

# **STREAM**

**Support to Regional Aquatic Resources Management**

**Workshop on  
Process Monitoring and Significant Change**

*Report*

**Bangkok, Thailand  
26-28 June 2002**

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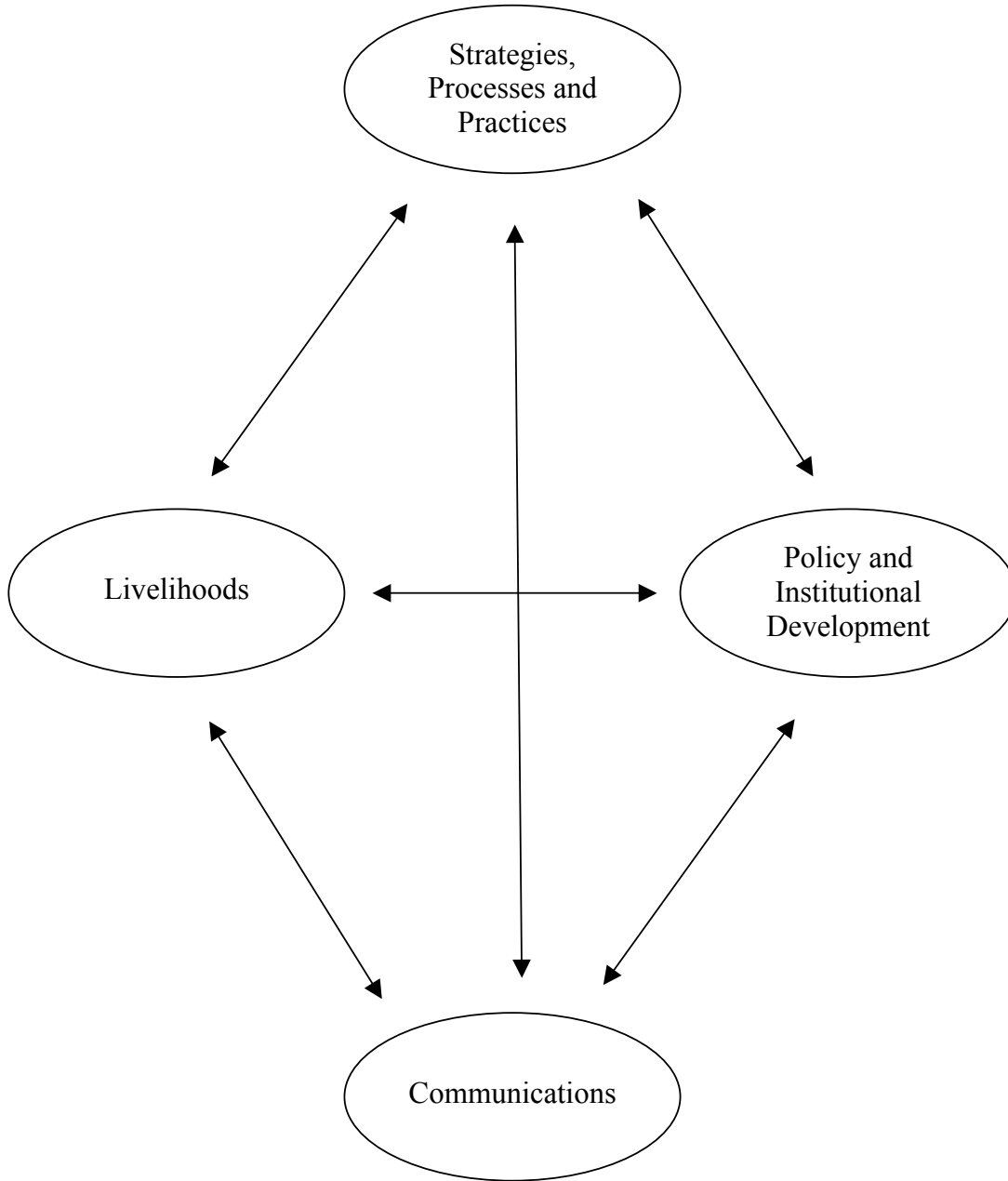
## Acknowledgements

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- We thank each participant for working with us in such a productive and collaborative manner, and look forward to further developing together a system for process monitoring and significant change.

## Acronyms

ADB	Asian Development Bank
AICC	Agriculture Information Communication Centre, Nepal
ARM	Aquatic resources management
BFAR	Bureau of Fisheries in Aquatic Resources, Philippines
CFDO	Community Fisheries Development Office, Cambodia
CSP	Country Strategy Paper
DADC	District Agricultural Development Committee, Nepal
DANIDA	Danish International Development Agency
DFID	Department for International Development, UK
DOF	Department of Fisheries
DOAD	Department of Agricultural Development
DOFD	Directorate of Fisheries Development
DOWA	Department of Women's Affairs
DREAM IT	A regional rights-based disability project
FAO	Food and Agriculture Organisation
FRMP	Fisheries Resource Management Project
GEF	Global Environment Facility
IDPO	International Disabled Peoples Organisation
IGO	Intergovernmental Organisation
IO	International Organisation
INGO	International Non-Governmental Organisation
IUCN	International Union for Conservation of Nature and Natural Resources
LGU	Local Government Unit
LHA	Livelihoods analysis
M&E	Monitoring and Evaluation
MOFI	Ministry of Fisheries, Vietnam
MRC	Mekong River Commission
NARC	Nepal Agriculture Research Council
NEFIS	Nepal Fisheries Society
NGO	Non-Governmental Organisation
NORAD	Norwegian Agency for Development Cooperation
ODA	Overseas Development Administration
PA	Project Assistant
PD	Programme Director
PDEU	Programme Development and Evaluation Unit
PM	Process Monitoring
PO	Programme Officer
QQT	Quantity, Quality, Time
RPDFA	Regional Programme Development and Funding Advisor
RIA 1	Research Institute for Aquaculture No 1, Vietnam
SAPA	Sustainable Aquaculture for Poverty Alleviation Strategy, Vietnam
SC	Significant Change
SCALE	SAO Cambodia Integrated Aquaculture on Low Expenditure
SL	Sustainable Livelihoods
SPARK	The Sharing and Promotion of Awareness and Regional Knowledge
STREAM	Support to Regional Aquatic Resources Management
UNDF	United Developers Foundation
USAID	United States Agency for International Development
VDC	Village Development Committee
VSO	Volunteer Service Overseas



*STREAM Themes*

## Introduction to the Workshop

The Workshop on Process Monitoring and Significant Change was held from 26-28 June 2002 at KU Homes on the Kasetsart University Campus.

The original rationale and objectives of the workshop (Annex 2) were circulated to participants (Annex 1) before they arrived. These were revised shortly before the workshop started in the light of discussions among the facilitator, the two resource persons and STREAM staff. These discussions focused on the experience of monitoring and the need to utilise the outcomes of the STREAM Regional Conference held the previous week. It became clear that, since there are no blueprints for a monitoring system (monitoring is context-sensitive), local systems would have to be developed based on local interpretations of STREAM's work. For this reason, the aim of the workshop became:

Formulating an approach which would enable participants to start detailed work on a system, building on current activities and using already existing skills, specific to each country represented at the workshop.

The specific objectives were to:

- Familiarise everyone with recent developments and news on process monitoring and significant change, and
- Develop an action plan for each country and a set of guiding principles for a STREAM monitoring system to underpin work in all countries.

The actual outline of the workshop as it emerged over the three days appears in Annex 3. An annotated bibliography of reference materials on process monitoring and significant change was made available at the workshop and is included as Annex 11.

### **Approach to the Workshop and Report**

The workshop approach was flexible and took into account the need for everyone to understand and take on board the underlying concepts of process monitoring (see Annex 4 for a definition) and ways in which it is being used in the region. Consequently, workshop activities were allowed to take up as much time as was needed on the first two days. A tighter time structure was used on the third day to ensure that the guiding principles were covered and the action plans developed. All activities were set in the context of STREAM and the outputs from the STREAM Regional Conference. This report summarises the main outcomes from the different activities in roughly the order in which they occurred.

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## Day 1

Day 1 was designed to enable participants to gain an understanding of process monitoring and to begin to think about their own needs, as stakeholders in STREAM, for a process monitoring system. We started with a short introduction linking this workshop with the STREAM Regional Conference and went on to two presentations on process monitoring: the first on Measuring the Process by Nick Innes-Taylor, and the second on Significant Change by Ronet Santos.

The PowerPoint presentations of Nick and Ronet are available from the STREAM Regional Office.

### **Linking the Conference and Workshop**

The first STREAM Regional Conference was the first opportunity for colleagues directly associated with STREAM to come together. The objectives were to find out about activities in each of STREAM's four themes (Strategies, Processes and Practices; Livelihoods; Policy and Institutional Development; Communications), and to discuss and plan ways of working and actions to be taken to follow-up the Regional Conference.

Insights gained into STREAM included:

- We understood more clearly about the four STREAM themes and their interrelationships.
- Activities within the themes vary according to country contexts and stage of STREAM implementation.
- We should try to start in small ways and learn as we expand.
- We need to recognize and respond to opportunities; process monitoring and significant change may help with this.

Statements made during the conference related to process monitoring and significant change included:

- There should be a monitoring and evaluation system (is there a need for training, exposure in mechanisms?). Can we learn from processes outside of Asia?
- Develop ways of documenting significant changes in livelihoods.
- Find a way to capture, store and share learning from staggered STREAM developments [strategies, processes and practices]
- Our first question should be "in what ways can we involve people in communities?" Therefore, there is a likely role for process monitoring in engagement with dynamic policy processes.
- Consider the role for process monitoring in communications.
- Cambodia: Livelihoods study with provincial DOF and DOWA colleagues – skills assessment taking place at the beginning of the study. Should be followed up at the end to assess progress.
- NACA: Process monitoring will be important. Need to document the whole [CSP] planning process, which is currently quite experimental (from Cambodia).



## **Measuring the Process**

This presentation by Nick Innes-Taylor (see Annex 5 for the paper) highlighted the importance of measuring the process of development with the use of indicators, developed by and with stakeholders, and on providing some “rules of thumb” for developing a process monitoring system. Examples from work in Laos and Cambodia were given. The main points from the presentation are summarised below.

The advantages of process monitoring are that it looks at why and how things have happened, at relevance, effectiveness and the efficiency of processes. It involves stakeholders and beneficiaries in planning, in deciding what is to be monitored, and in developing and recording monitoring processes. This involvement leads to greater transparency and ownership. Developing process indicators with stakeholders and beneficiaries involves three key stages: identifying the indicator, setting quantity and quality, and putting these within a time framework.

Experience in the region has led to the development of the following “rules of thumb”:

- Build on existing systems of monitoring and evaluation (M&E)
- Educate project stakeholders about the system
- Develop a system for the regular revision and review of indicators
- Do more monitoring and less evaluation
- Measure the little things
- Use impact indicators when appropriate

### *Discussion Points*

Donors are open to new approaches, and would rather see a project succeed using process monitoring than sticking to a blueprint and not achieving its objectives. Reluctance about process monitoring has more to do with a perceived lack of experience and understanding among line agency staff. The idea of a rolling planning process can be difficult to handle but makes developmental sense because it can be responsive to changes in local contexts. Donors will perhaps begin to see this and accept it if recipients are more confident in raising the issue.

Unexpected changes need to be valued and can be incorporated into process monitoring (see Significant Change below), although obviously it is not possible to measure everything.

Make the process the focus and never forget that farmers and fishers are all important within this.

Don't rule out the use of quantitative information in favour of the qualitative. But remember that the quality of activities for process monitoring is important. For example, rather than stating that “ten individuals received X hours of training”, focus on the content and quality of that training and more importantly on what people are capable of at the end of it.

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## Significant Change

Significant Change (SC) is an example of one particular kind of process monitoring which is being used by VSO. The presentation by Ronet Santos was set within the framework of the SPARK monitoring and evaluation system. It focused on the background to SC, the steps involved in implementation, the issues and practical concerns raised by using SC, and on some examples of the way in which Significant Changes are collected and recorded.

Significant Change does not use indicators but is centred on domains of change (e.g., changes in lives of beneficiaries, in lives of colleagues, in participation), and covers how change happened and why. In general, it could be said to involve nine steps, as implemented by SPARK. The steps are:

- Selecting domains to be monitored
- Agreeing frequency of reporting period
- Determining participants in different stakeholder groups
- Phrasing questions
- Determining the structure of participation
- Feedback
- Verification
- Quantification
- Monitoring the monitoring system

### *Discussion Points*

Examples of Significant Change are chosen through discussion at different levels based on agreement as to the best examples. Agreement is sometimes difficult to achieve and thus the process itself is a valuable one. This process is still evolving.

Concern was expressed about the tendency of donors to want to agree achievements in advance, which would miss the strength of Significant Change to capture the unexpected. However, many donors agree the objectives of a project yet are happy with the logframes as a management tool being adapted throughout the project. Therefore monitoring process and capturing (unexpected) change is not unprecedented. Building on traditional monitoring and evaluation approaches and incorporating process elements is a possible starting point. SC can explain what is occurring.

Monitoring based on written information will work best in countries where literacy rates are good, e.g. Vietnam. However, in countries like Nepal where literacy rates, particularly for women, are much lower, other ways of recording SCs need to be considered. STREAM intends to use a variety of media and already has good examples of alternative media use from India where literacy among rural poor people is limited.

STREAM wants changes significant to fishers and farmers to be captured. These can be subjective. Responses such as “My involvement in this work has given me hope that something is possible” are important. The question is how do we capture such sentiments commonly excluded from monitoring and evaluation processes?

Transparency is a guiding principle of STREAM. A common criticism of participatory approaches is limited documentation and transparency. Implementing Significant Change can offer a mechanism to attain both. Process monitoring requires documentation of how the process was carried out. The best people to do this are those who are conducting it. It can always be edited later.

### **Reasons for Monitoring**

Participants considered the reasons why they, as individual stakeholders, might want a STREAM monitoring system.

As all participants in this workshop are STREAM stakeholders, we would like you to:

- Think about why YOU want a STREAM monitoring and evaluation system.
- Write these ideas down on Post-Its as short statements with your name.
- Give the Post-Its to the facilitator.

There are examples of why an M&E system can be useful on the handout.

*Handout*

Some reasons why a monitoring and evaluation system can be useful:

- To investigate how a new development model works and its validity
- As a means to monitor progress in implementation
- To generate a solution to a specific problem
- To justify decisions
- For self regulation

The results of this activity showed a remarkable degree of agreement between the groups, which can be summarized as follows:

Benefiting the poor by:

- Understanding the livelihood strategies adopted by poor people
- Giving poor people a voice

Benefiting the STREAM Initiative through:

- Understanding change
- Learning lessons
- Identifying problems and priorities in projects
- Determining what is actually happening rather than what was planned
- Promoting the approach and its transparency

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After the presentations, discussions and consideration of the reasons for monitoring, participants were still concerned about their level of understanding and wanted time for further discussion and clarification. Time was therefore made for this. The participants broke into two groups, one led by Nick Innes-Taylor and the other by Ronet Santos. After half an hour, the two groups changed “leaders”.

### **Guiding Principles and Initial Actions**

An individual activity on guiding principles for monitoring resulted in some conceptually broad principles (e.g., flexibility, sustainability, empowerment) which participants felt needed further refining and possibly definition in relation to the way in which they could be applied to STREAM. Bill Savage was invited to consider this and present his thoughts for discussion on the third day (see below).

Participants were also asked to begin thinking about initial actions for setting up a monitoring system in preparation for the action plans.

## **Day 2**

Because of the need to focus on local contexts when designing a monitoring system, the second day concentrated on defining local stakeholders and their possible needs, and on translating the four STREAM themes into local contexts. This was carried out in groups representing Cambodia, Nepal, the Philippines and Vietnam, and led by participants from those countries.

The four countries are at different stages in their relationship with STREAM and this affects the definition of stakeholder needs. Nepal, for instance, is at an early stage of involvement, whereas Cambodia has already prepared a STREAM Country Strategy Paper (CSP) and embarked upon some activities. Responses were therefore varied and reflected the stage at which people are working. Those from countries who were “further along the road” tended to act as resources for countries at an earlier stage.

### **Stakeholders in Process Monitoring**

The next activity was designed to focus attention on diverse stake holdings in monitoring.

Groups were asked to list current STREAM stakeholders in the four countries, to classify them, and then to consider why each stakeholder might want a STREAM monitoring system.

This activity is to discuss who are STREAM stakeholders and why they may need a monitoring system. We would like you to:

- Split into four groups according to country (a list of participants in each group is in the handout).
- Make a list of CURRENT STREAM STAKEHOLDERS (you may need to discuss the criteria for stakeholder status).
- Develop a classification of the stakeholder list (divide them into stakeholder types; there is an example of stakeholder classification on the handouts).
- Write the list of stakeholders on a flip-chart grouped into their classification (types).
- Discuss and record (on the flip-chart) the reasons why each stakeholder might want a STREAM monitoring system.
- Record on Post-Its any further activities or guiding principles that could help you to refine and develop this information.
- Give a short presentation on your decisions.

*Handout*

Examples of stakeholder groups:

- Policy advisor
- Project manager
- Academic researcher
- Funding agency
- Members of a network
- Local NGO
- Groups of villagers

Assumed reasons for stakeholders wanting, or benefiting from, a process monitoring system centred on issues of collaborative learning, transparency, and improving the efficiency, relevance and cost effectiveness of service provision. The actual reasons will need to be determined through discussions with stakeholders.

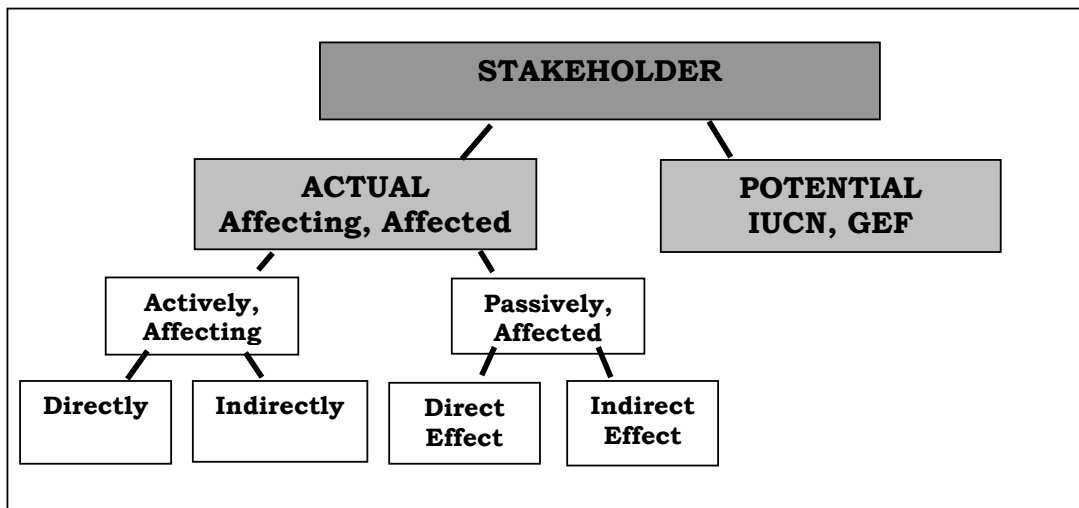
Widely varying lists of stakeholders and different approaches to classification (e.g., direct-indirect, passive-active, inner-outer circle, potential, partner, key, antagonistic) were presented by each country group (see Annex 6). It was considered that these differences were important and pointed to the need for clarification of the term “stakeholder” in relation to STREAM. Further group work led to a wide-ranging discussion during which attempts were made to arrive at such a definition.

A definition was proposed: *“Those impacted by management decisions and those outside the immediate management structure are stakeholders those involved in management are not stakeholders”*. However, this definition does not hold for the STREAM Initiative. Through STREAM, people on the ground (poor fishers and farmers) are intended to influence decisions as “co-managers”. Therefore, the distinction between “managers” and “stakeholders” breaks down. An example from India was given to illustrate what happens. When examining policy development in India, the role of STREAM has enabled people to share experiences with government. They are direct stakeholders in one of STREAM’s main themes (policy and institutional development). We need to take examples such as this where STREAM

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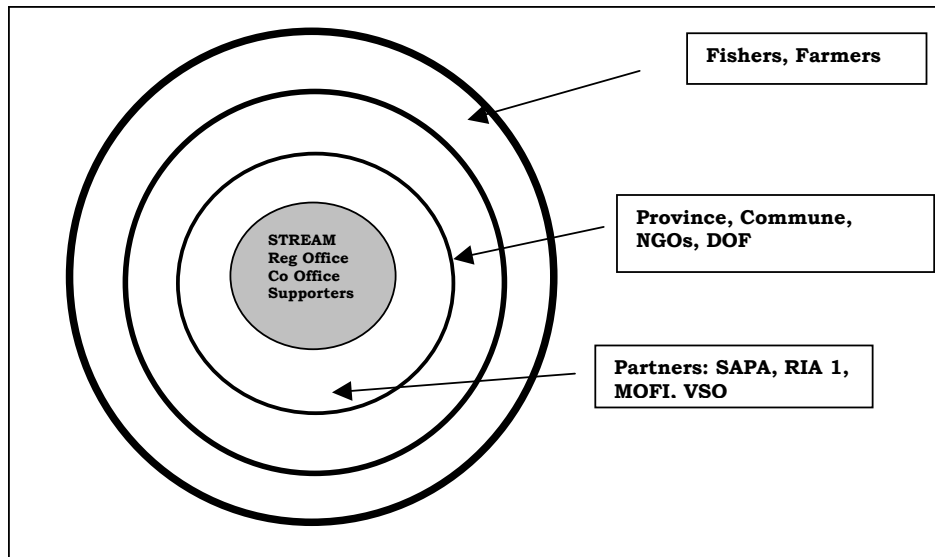
has worked with farmers and fishers, and facilitated participation of these groups with government to provide examples of what a stakeholder is.

The nature of direct and indirect, and active and passive, stakeholders was discussed (Figure 1). The question of the people who are going to be directly involved in process monitoring was raised, i.e., who is going to be “actively participating” or “passively receiving”? People to be involved may be direct (active) stakeholders, i.e., those who work with STREAM or the organisations which host STREAM (Figure 2). Otherwise, what will they have to comment on STREAM’s activities? Those indirectly involved might include other development or research practitioners, e.g. research programmes (such as those of DFID).



*Figure 1: Decision Tree of Stakeholder Classification*

It was agreed that stakeholders are not a fixed group. As activities progress, stakeholders would then begin to “define themselves”. It was proposed that one outcome of STREAM’s process monitoring (one change domain) would be to build an emergent inventory of “direct stakeholders” and to monitor the changes in the make-up of this group.



*Figure 2: Illustration of Direct Stakeholders*

### **Translating STREAM into Local Contexts**

STREAM documents lay out the four themes around which activities are focused:

- Identify appropriate strategies, processes and practices
- Encourage better understanding of poor people's livelihoods
- Facilitate the voices of people in the development of policies and institutions which are set up to support them, and
- Promote communications about these issues.

As these are broadly expressed concepts the aim of the next activity was to create a statement of change (not Significant Change), specific to each country and as realistic as possible depending on the state of the Country Strategy Paper (CSP). The statements would provide points for discussion when participants return to their countries and also a working framework against which to develop a process monitoring system. A maximum vision of one year was suggested.

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STREAM's work focuses on four themes [see above]. In this activity we would like you to:

- Split into the country groups used in the previous activity.
- Discuss these four themes and translate them into local contexts.
- Record the local translation of STREAM's four themes as statements of change.
- Examples of how STREAM's four themes could be translated into local statements of change are on one of the handouts.
- Give a short presentation of your change statements.

*Handout*

Examples of STREAM's themes translated into local statements of change:

**Identify appropriate strategies, processes and practices**

Identify a better provincial-level process of financial management that facilitates decentralised development administration at district level

**Encourage better understanding of poor people's livelihoods**

Encourage government and NGOs to include "gleaners" (mostly women and children) in plans and reports

**Facilitate the voices of people in the development of policies and institutions which are set up to support them**

Facilitate the translation of village-level community fishing regulations into documented legislation at district level

**Promote communications about these issues**

Promote better processes of making local people understand policies so that they can be involved in implementing them, not just the writing of policies in local languages but engaging them in the process of understanding existing policies

As was to be expected, the groups tackled this activity in a variety of ways, with a different focus for each country.

*Cambodia*

1. Improve the understanding of provincial staff about the poor fisher livelihoods in three provinces of Cambodia.
2. Enhance the monitoring of community fisheries in Cambodia.
3. Improve stakeholder knowledge about STREAM and interact more efficiently.
4. Support local communities to understand changes in bye-laws, sub-decrees and laws.



*Cambodia Discussion*

Presently, through the use of cases, we have anecdotal evidence and we have to be careful about how this is used. However, how does one make the change from anecdotes into credible Significant Change stories?

*Philippines*

1. Promote understanding of the wider meaning of livelihoods among service providers.
2. Understand how service providers (provincial government, BFAR, local government) can work together in effectively delivering ARM as a service. (Poor people had previously been excluded from ARM by service providers as they are unaware of them.)
3. Identify the ways the experiences of poor people are shared.
4. Understand existing policies and engagement of poor people in implementation.

*Philippines Discussion*

In the Philippines, a perception change is required from “activities” to a wider meaning of the concept of “livelihoods”. The Philippines statements are still general and activities need to be developed further; activity and change levels need sorting out. However, the statements reflect the analysis that has occurred in the ongoing Aquatic Resources and Poverty Review.

STREAM’s themes of “livelihoods” and “policy and institutional development” are interlinked in this example. Poor fishers (those with maybe a small boat and limited resources) are currently supposed to benefit from exclusive use of the 0-15 km zone of coastal waters in the Philippines. Legislation supports this process and enforcement is the responsibility of the Local Government Units (LGU). However, the law is not enforced, illegal fishing is occurring and poor people are excluded. In order to understand the current situation LGUs need to understand the livelihoods of poor people.

## Nepal

The Nepal group presented the outcome of their discussion as shown in Figure 3.

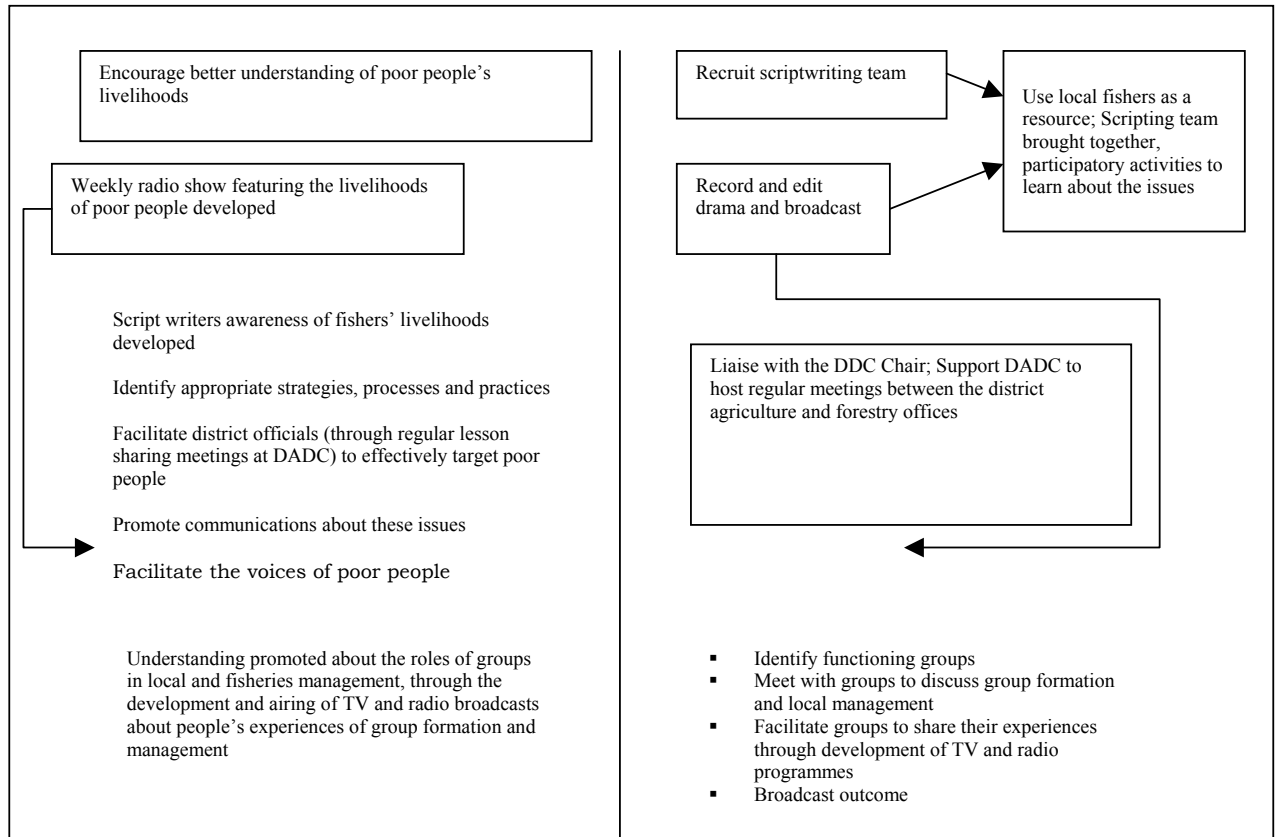


Figure 3: Nepal Change Statements

## Nepal Discussion

STREAM analysis and planning in Nepal are still conceptual in nature, compared to other countries such as Cambodia.

It is intended that communications will be promoted through existing media such as radio dramas which are well advanced as an extension mechanism in the mountainous areas of Nepal. However, communicators have to develop awareness of the issues through participation with the intended beneficiaries.

Communication is a mechanism through which all themes are linked; but what should be the subject of communication in Nepal: livelihoods? aquatic resources?

The key to the Nepal approach is the utilisation of existing media and communications facilities. It is a valuable entry point and communications can be seen as its strength. Other country offices can learn from Nepal, while Nepal can learn from others in different ways.

*Vietnam*

In thinking about change statements for STREAM work in Vietnam, the group first thought it necessary to understand relationships among the four STREAM themes. They proposed the diagram in Figure 4 as a way of visualizing the themes of Strategies, Processes and Practices (SP&P), Livelihoods (L), Policy and Institutional Development (P&ID), and Communications (C). (The Vietnam change statements appear in boxes next to the relevant STREAM theme.)

It can be seen that SP&P is at the top, indicating that STREAM is not only concerned with Strategies, Processes and Practices in themselves, but also specifically for work in L, P&ID and C. The placement of Communications at the bottom of the diagram signifies that communicating about STREAM's work is an underpinning activity, whether that be about SP&P, L or C. Livelihoods and Policy and Institutional Development feature in the center of the diagram (joined in the dotted box) as STREAM's "content" areas.

The arrows are multi-directional to show that all four themes are connected to the others in some context-specific manner. The four theme points of the diagram also provide a visual representation of different "entry points" for STREAM in each country context. For example, in Cambodia, we started with Livelihoods activities and can now talk about how P&ID relates to that. In Nepal, it is likely that STREAM will be entering with a Communications focus.

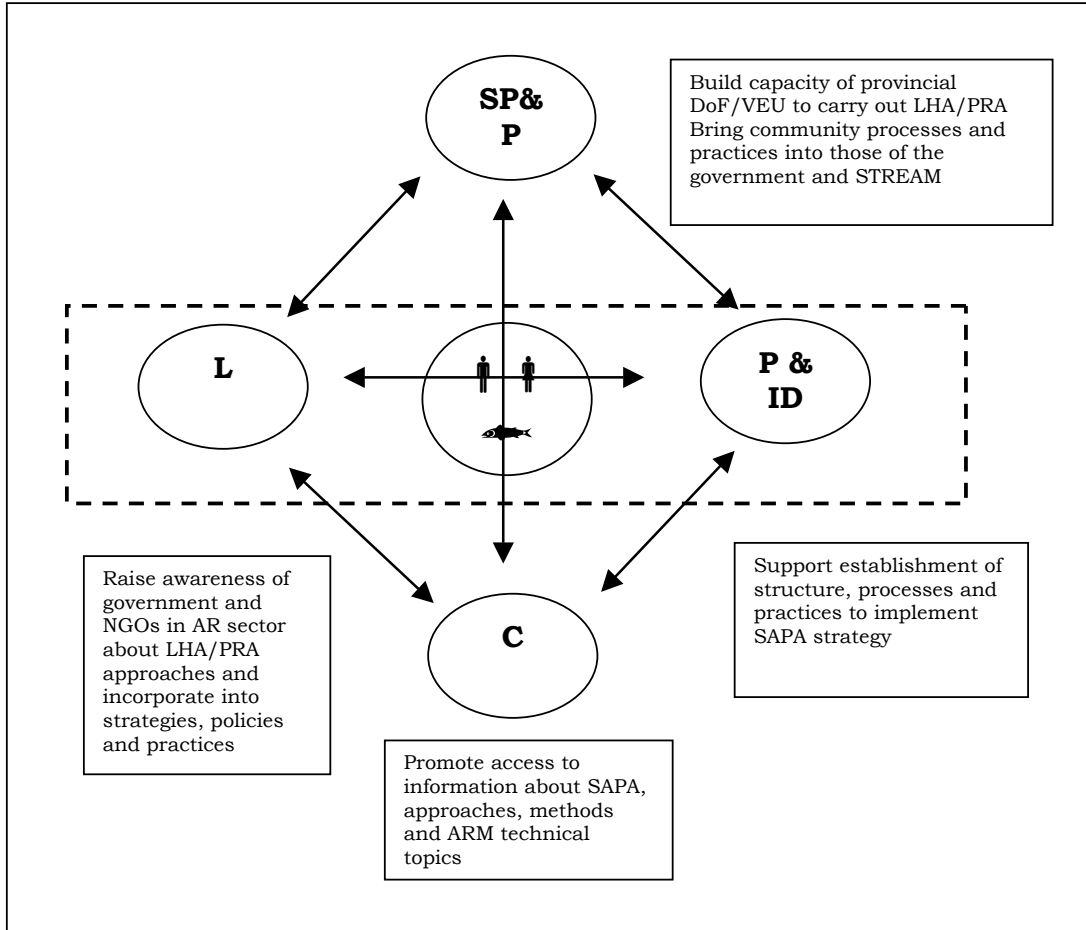


Figure 4: Vietnam Change Statements and the STREAM Themes

*Vietnam Discussion*

At this stage it is difficult to assess the real and eventual activities, but they are implicit in the statements of change. The priority is to work towards these activities, which will be used to work towards these expected changes. Monitoring must capture these changes as well as those that are unexpected.

*General Discussion*

An unexpected outcome from this activity was the exploration by the Vietnam group of the relationships among the four themes (see Figure 4). Discussion of this diagram led to an understanding that there is a central axis linking livelihoods to policy and institutional change and there are overlaps among the themes, that they are not distinct entities. It is proposed that the diagram be developed and used to demonstrate relationships among the themes to others.

It was also noted that appropriate STREAM entry points vary with different countries (e.g., India: policy; Nepal: communications; Vietnam: livelihoods). This will have an impact on the process monitoring system.

A question was raised about areas that fall outside the four themes of STREAM? For example, what if after a livelihoods assessment what appears to be required is infrastructure. STREAM cannot itself build infrastructure and would have to consider how to approach it. But STREAM activities could lead people and organisations to assess their own situation and identify their own needs, of which infrastructure may be one.

## Day 3

Day 3 activities picked up on the continuing need to understand and learn more about measuring process (in particular, how to set indicators) and significant change (in particular, how significant change stories are collected and filtered, by whom, and how). In answer to this, short presentations were made before a plenary discussion. This was followed by an activity that built on the statements of change, in which groups “teased out” what they would monitor in relation to their statements of change, who would do what, and how.

### **Review of Process Monitoring Approaches**

First, Nick Innes-Taylor revisited measuring change with a particular focus on indicators. Then, Shaun Vincent and Ronet Santos detailed the way in which VSO has developed and implemented its system for monitoring significant change, and how it fits into VSO’s overall system of data collection, recording and monitoring. They gave a more detailed explanation of how change stories are collected and filtered and by whom (Annex 7). Examples of significant change stories can be obtained by contacting the STREAM Regional Office or VSO in Bangkok.

The presentations emphasized that:

- STREAM does not have to choose between measuring the process through the development of indicators or through capturing Significant Change. The approaches can work together, choosing what is appropriate is what is important.
- Monitoring systems take a long time to evolve. They do not spring out of one or two days of planning. VSO has been working on its system for three years and it is still evolving.
- Monitoring systems are not set in stone; they change according to changing circumstances.
- It is important to build on what already exists (monitoring, documentation systems, skills), and to see process monitoring as complementary to other monitoring and evaluation systems rather than as a replacement for them.

### **Making Significant Change Statements**

As a way of helping people to understand more fully the way in which significant change stories are collected, the form used by VSO (Annex 8) to collect stories from their volunteers was distributed and participants were invited to fill in the form according to the most Significant Change which they had undergone during the workshop. These were then collected and filtered by Shaun Vincent, Ronet Santos

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and Erwin Pador, who have experience of such an activity. Three examples of SC were selected from the filtering process:

- It was learnt how the four STREAM themes work together.
- Lots of things are now rearranged in my mind, with explanations of new ideas.
- VSO is more advanced in the process than first thought.

Two of the statements were about learning, a hoped-for outcome from a workshop of this kind, but the third was unexpected and has been forwarded to VSO. This exercise was well received as a practical demonstration of what can be achieved in a short time.

### **Monitoring: What, How and Who?**

Participants were asked to develop statements of the sorts of things they thought could be measured in relation to one of the statements of change they had drafted for individual countries. The results of this activity (see Annex 9) would feed into the action plans.

The different level of current engagement that countries have with STREAM was once again reflected in the output from this activity.

- From the Philippines, a “who and how” monitoring plan was beginning to emerge. Key groups are already identified and the focus (more coastal LGUs, e.g., BFAR delivering aquatic resources management) decided on. Indicators are local government asking for assistance from BFAR, not BFAR pushing it. Existing monitoring systems need to be identified.
- For Nepal, communications is the entry point. The first step is to develop relationships, building on what AICC already does. The longer-term aim is to change the composition of the radio programming committee to include livelihoods resource persons and to achieve the regular inclusion of livelihoods contents in scripts.
- For Vietnam, the immediate task is to clarify the roles and responsibilities of the SAPA Implementation Unit and STREAM and monitor how that is happening.

### **Guiding Principles**

Bill Savage gave a presentation which helped to reconcile participants’ suggestions of guiding principles of process monitoring with existing statements of guiding principles in the STREAM Summary Booklet. He took as his starting point the need to go beyond dictionary definitions and to ground meaning in STREAM, its mission statement and already-stated guiding principles. After analyzing these for their relationship to the four themes, he then linked them (see Figure 5) to the guiding principles, which had arisen from the earlier group activity, looking for common ground and arriving at a meaningful framework for use in STREAM.

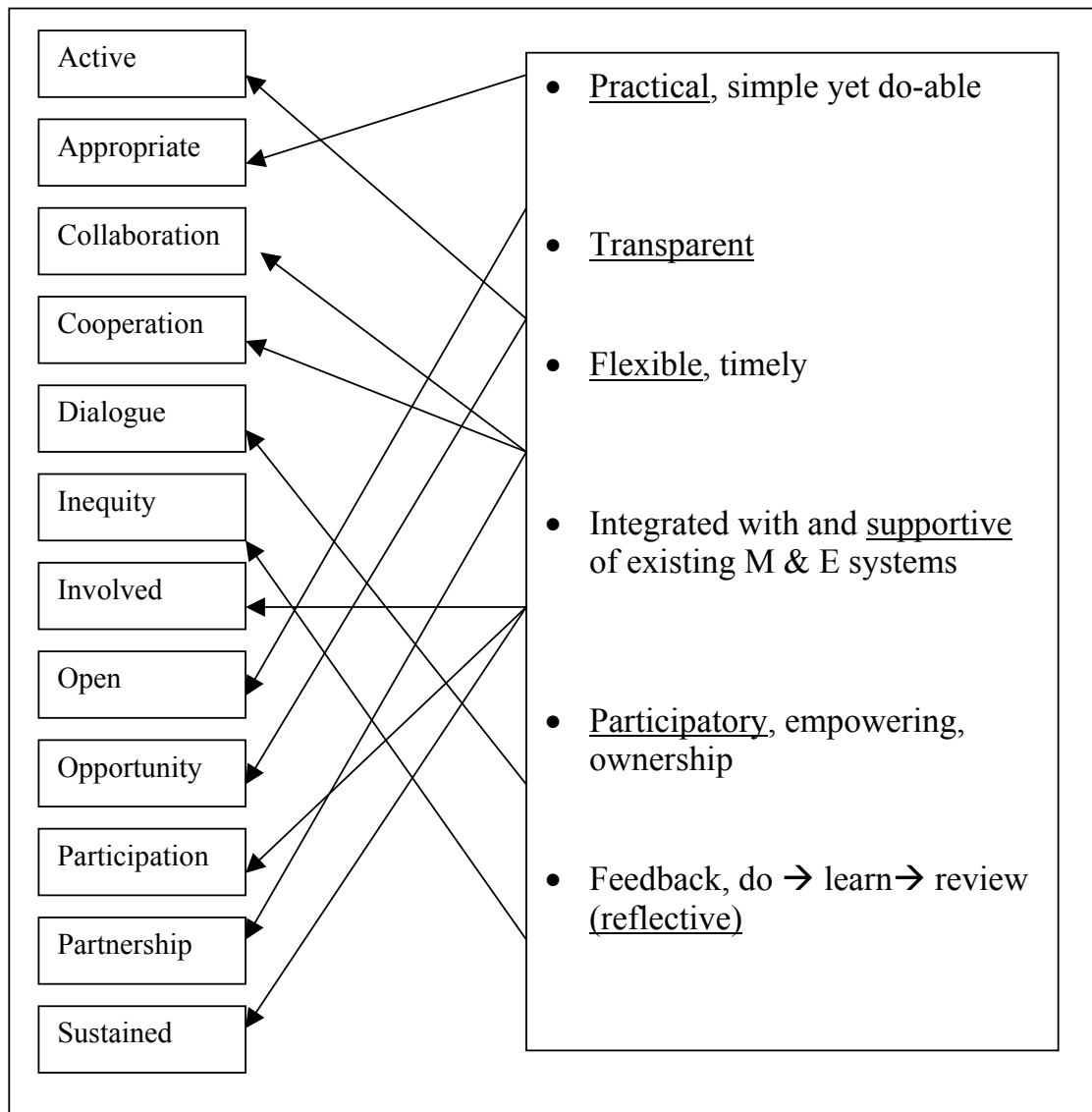


Figure 5: Proposed STREAM Guiding Principles

### Action Plans

The final activity before the workshop evaluation was the preparation of action plans building on outputs from the workshop activities. The output from this was:

- Two general actions for all STREAM partners
- Detailed country action plans, and
- A regional plan of support for country activities.

As these plans represent the fulfillment of one of the main aims of the workshop, they are located for easy reference at the back in Annex 12.

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## **Workshop Evaluation**

Participants were asked to respond to these questions:

1. How much have we achieved the objectives of the workshop and met your expectations?
2. What do you think about the workshop sessions and methods?
3. How do you feel about your own participation and contributions?
4. What is something important you learned this week?
5. Anything else?

The results of the evaluation are in Annex 10.



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*Annex 1 Participants*

<b>Name: Role</b>	<b>Organisation: Position</b>	<b>E-mail</b>
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Nick Innes-Taylor: Key informant on process monitoring	Independent Consultant	nick@upe2.loxinfo.co.th
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Bill Savage	STREAM: Communications Specialist	savage@loxinfo.co.th
Paul Bulcock: Reporter	STREAM: Research Assistant	paul.bulcock@enaca.org

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## *Annex 2 Original Workshop Rationale and Objectives*

### **Process Monitoring Workshop Bangkok, Thailand, 26-28 June 2002**

#### **Rationale**

The Support to Regional Aquatic Resources Management (STREAM) Initiative aims to offer support to the livelihoods of poor people who manage aquatic resources. STREAM adopts an inclusive approach, reaching out to link stakeholders engaged in aquatic resources management and supporting them to influence the initiative's design, implementation and management. Towards this end, the STREAM Initiative plans to hold a Process Monitoring Workshop in Bangkok in June to identify information needs and practical mechanisms for monitoring support processes for poor people's livelihoods, policy change and communications.

The STREAM Initiative is a process rather than a project, and its focus is on learning and building on learning, not the achievement of pre-determined objectives. An overarching goal of STREAM is to facilitate *changes that support poor people* who manage aquatic resources. A key objective of STREAM is *policy change*, which in itself is complex and difficult to monitor. Two further layers of complexity relate to the regional scope of the Initiative and the collaborative involvement of stakeholders, all of which need to be accountable for their work.

We therefore need a special monitoring and evaluation system that enables the measurement of change processes (where much of the real learning takes place) as well as outcomes. We would like to learn from other evolving concepts and methods for monitoring development processes. We would also like to develop a shared system among STREAM partners, which will support rather than duplicate their own learning and accountability needs. The system should assist STREAM in learning and inform stakeholders, including DFID, AusAID, FAO, VSO, NACA Governing Council, NACA, STREAM Country Offices, STREAM Regional Office, the Regional Coordination Committee, national teams and other partners and stakeholders.

#### **Objectives**

Familiarizing everyone in the regional STREAM Initiative with work being done in process monitoring and significant change.

Discussion and development of a practical information system that enables (i) the monitoring of development processes and significant changes occurring within the STREAM Initiative, and (ii) learning to inform STREAM implementation and other stakeholders.

Specifically:

1. To explore and characterise a system that might:
  - Identify and record significant changes
  - Agree levels within the Initiative at which significant changes are recorded and criteria for filtering and selection of significant change examples
  - Categorise significant changes at the national level in relation to national Country Strategy Paper (CSP) aims
  - Categorise significant changes at the regional level in relation to STREAM regional objectives
  - Use participatory tools for process monitoring, e.g., behavioural changes and engagement with ill-defined policy processes.
2. To explore how will this work in practice.

*Annex 3 Workshop Outline*

The outline presented here represents what actually happened. It was arrived at through a process of negotiation with participants and close observation by the facilitation team to see where participants had got to in the learning process and what might be needed next.

**Day 1**

9.00 am	Opening Remarks and Welcome Introductions Overview of the Workshop Linking the Conference and Workshop Measuring the Process Discussion	Hassanai Kongkeo Pat Norrish Pat Norrish Bill Savage Nick Innes-Taylor
10.30 am	Break	
11.00 am	Significant Change	Ronet Santos
12.15 pm	Lunch	
1.30 pm	Discussion of Significant Change	Plenary
2.15 pm	Individual Reasons for Monitoring	Individual and Group
3.00 pm	Clarification and Questions on the Presentations	Two Groups
4.00 pm	End	

**Day 2**

9.00 am	Guiding Principles and Initial Actions	Individual
9.30 am	Identification of Wider Stakeholder Groups and Reasons for Monitoring Discussion Break	Country Groups
11.30 am	Definition of Stakeholders	Groups
12.00 pm	Lunch	
1.30 pm	Translating STREAM into Local Contexts	Groups led by Ronet Santos, Nick Innes-Taylor
4.00 pm	End	

**Day 3**

9.00 am	Review of Process Monitoring Approaches	Shaun Vincent, Ronet, Nick
10.30 am	Break	
10.45 am	What is Going to be Monitored, How and by Whom? Significant Change	Country Groups Individual Exercise
1.00 pm	Lunch	
2.00 pm	Guiding Principles	Bill Savage
2.30 pm	Action Plans	Country Groups
3.55 pm	Plenary Wrap-up Results of Significant Change Exercise	Shaun Vincent
4.00 pm	Evaluation End	

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#### *Annex 4 Definition of Process Projects and Process Monitoring*

These were given as handouts at the end of the workshop. The definitions are based on Mosse et al. (1997), according to whom, process projects have the following features:

- Design, which is flexible, and changes as a result of learning.
- Emphasis on relationships and contextual factors.
- Accepting dynamic, unpredictable idiosyncratic elements which may be central to success but outside the control of the project.
- Being able to explain why and how something happened is vital; many factors affect what goes on in and after projects (culture, politics, institutions, policies, costs, prices).
- Managed networks-interagency links and partnerships bring the need for process into focus.
- Open-ended design and piloting of new approaches and institutional arrangements are premised on rapid information feedback: how is this to be achieved, who will do, what form, who to?
- Ownership and commitment of different stakeholders to monitoring processes and approaches is essential.

The implications of this for process monitoring are:

- Continuous information gathering.
- Concern with dynamics of development process, different perceptions of relationships, transactions, decision-making or conflict and its resolution.
- Its about what is happening now.
- Action orientated and therefore directed initially at those who can take action, may go no further.
- Inductive and open ended, borrows from ethnography.
- Outside project structure: may involve non-project staff and settings, not filtered through hierarchical structures.
- Explicit recognition given to different perspectives and judgements.
- Not a substitute for other forms of monitoring, impact assessment or planning, but feeds into them.
- May arouse suspicion.
- All information flows nested in power relations.
- In every development project information boundaries are deliberately and carefully nurtured.
- Flow is deliberately directed, guarded or restricted by individuals holding conflicting priorities.

Source: Mosse, D, Farrington, J, and Rew, A 1997 *Development as Process: Concepts and Methods for Working with Complexity*. London and New York: Routledge.

## *Annex 5 Measuring the Process*

*By Nick Innes-Taylor*

This article highlights the importance of measuring the process of development. It provides some guidance on how process monitoring can be linked into participatory development. Measuring the *process* of development not only helps development organizations measure their success, but also helps them learn and improve their effectiveness. Process monitoring can also play a central role in encouraging and facilitating stakeholder participation.

Monitoring and evaluation (M&E) of development initiatives has received increasing attention in recent years, as it has been realized that having an effective M&E system is very productive. Development initiatives often deal with complex issues of social, cultural and political change. Considerable advances have recently been made in how to quantify and measure development progress. In particular, the growing acceptance of participatory methods means that development beneficiaries are now much more likely to be part of M&E processes. While such advances are seen as positive, there has also emerged a desire to develop M&E systems that simplify the complex nature of development (often characterized by confusing and less-than-transparent processes), and focus on measuring impact. Development impact is seen as the “bottom-line” and while the desire to measure this is understandable, there are drawbacks to this simplified approach. By just looking at the “end” of a development process, it is difficult to assess issues of relevance, efficiency and effectiveness.

One problem is that hard data on developmental impact are often difficult and costly to collect. Data on changes in beneficiaries’ social, cultural and political environment, or on changes in the natural environment, are usually difficult to obtain and interpret. The collection and analysis of such data often cannot be justified by the relatively large investment of financial and human resources required. Focusing a development organization’s M&E system at the end of a development process means that other steps receive little attention. For organizations seeking to promote *sustainable* change, this is extremely problematic, as it is mainly through monitoring the entire development process that organizations and individuals learn how to adapt to change.

A further problem with focusing M&E systems at the end of the development process is that it overemphasizes the important of *what* has been done and diminishes the importance of *how* it has been accomplished. This is unfortunate, as more attention on *how* development is done would almost certainly result in more substantial achievements, especially in efforts to assist poorer members of society. The *how* and *what* of development are equally important and M&E systems should be developed that measure the whole development process. Process monitoring provides information not just on development impact but also on the relevance of the intervention and the efficiency and effectiveness with which development processes are undertaken.

While the advantages of process monitoring are relatively clear, measuring the process of development in practice has yet to be widely accepted and adopted. This is partly because of the need for the “bottom-line”, comes mainly from the donor community. Many people also see the process of development as something that is established, and should be standardized and prescribed in advance of implementation: the more detailed the prescription, the greater the likelihood of success. In this context, monitoring the process of development has little value except to check whether a “recipe” is being followed correctly. Development practitioners charged with following such recipes (e.g., PIPs – Project Implementation Plans), understandably see process monitoring as just another name for what they are already doing.

The advantages of the process monitoring approach only become clear when development implementation is participatory and flexible and not prescribed in advance by a donor (or their representative). and that objectives, plans and methodologies are regularly reviewed by stakeholders. When the responsibility for implementation is more clearly placed at the level of

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local communities, monitoring the processes for implementing development activities can be a highly cost-effective and informative approach.

Local communities and government staff find the development of process indicators relatively easy. Local managers develop accountability and implement in a “transparent way”. Understanding more about *how* things are done promotes the development of trusting relationships that lead to increased delegation of authority. Without transparency, development organizations are reluctant to delegate management responsibility to local levels, which limits stakeholder participation. Measuring the process can therefore be seen to support effective participatory development.

### **Lessons Learned**

Here are some lessons learned from experiences of assisting provincial and district government institutions in the region establish process-orientated monitoring and evaluation systems:

#### *Build on Existing Systems of Monitoring*

For process monitoring systems to work effectively, they require local ownership and participation. In most cases, there are established ways of measuring development, but the systems and their indicators may be informal and undocumented. It is important to understand these systems and develop new systems from them, which provide institutions with new ways of delegating authority and increasing stakeholder participation.

#### *Educate Stakeholders about the Monitoring System*

As many stakeholders as possible should understand the monitoring system in which they participate. This will improve the effectiveness of the system and help to create a common understanding of indicators and objectives.

Spend time and effort to explain process indicators to stakeholders. Measuring the process is not easy to understand if you have been trained or conditioned to think only in terms of impact indicators. Role-playing can be an effective way of presenting, discussing and analyzing process.

#### *Indicators Need a System for Regular Revision and Review*

Indicators need regular revision; a clear system of indicator review is required for this to work effectively. Delegate responsibility for indicator management (e.g., scheduling indicator review or data summary and presentation) and indicator reporting. Develop a system for recording and retrieving indicator statements, data and reports.

Indicator statements should be formally recorded and regularly reviewed. All indicator statements require detailed description of Quantity, Quality and Timing aspects and special attention should be paid to developing good Quality statements. Develop capacity to develop a monitoring system as you develop the system. Indicators can always be improved.

#### *Go for More Monitoring and Less Evaluation*

Develop a process monitoring system that encourages a continuous process of internal review and aim to find ways in which evaluators can easily “plug-into” this system as formal evaluations although often necessary, but tend to scare people.

#### *Measure the “Little Things”*

Good process indicators are simple and inexpensive to measure. When developing indicators of process, encourage people to identify the “little things” in their working life that are easy to measure, yet clearly show whether a development initiative is working as expected. These can be the final impact as well as other stages in the process.



*Annex 6 Country-Specific Identification of Stakeholders*

**Cambodia**

	<b>Partner</b>	<b>Key Stakeholder</b>	<b>Stakeholder</b>	<b>Potential Stakeholder</b>
<b>Examples</b>	CFDO SCALE Donors	DOWA Provincial DOF	Consultants NGOs IOs	NGOs IOs Fishers Commune Council
<b>Reasons</b>	Monitor progress	Monitor progress	Identify opportunities for collaboration	Identify opportunities for collaboration
<b>How</b>	M&E	M&E	Information and communication	Information and communication
<b>Why</b>	Transparency Simplicity	Transparency Simplicity	Timeliness	Timeliness

## Nepal

Advocacy Group		Reasons
Policy Advisor	FAO	
Project Management	STREAM Management (regional), AICC, DOFD	Feedback to government and region
Academic Researcher	Nepal Agriculture Research Council DFID Research Programme	Project tracking
Funding Agency	FAO, DFID, USAID, UNDP, GEF, ADB	System or source of information about demand for research. Accountability and rationale for funding support Case study evidence
Government Agency	DOFD District Agriculture Development Office (Fisheries Development Officer) Agriculture Information and Communication Centre (AICC)	Information
Members of Network	Trans-Himalayan Cold Water Fishery Network UCN/FAO	Rationale for funding support
Local NGOs		
Groups of Villagers	Tenants, village groups landlords, fishers, VDC	Do they need one?
Local Governance	District Development Committee Village Development Committee	One person responsible for monitoring development activities. VDCs need monitoring to be allowed to perform activities (i.e., approval required). This is a mechanism for both government and international funded activities.

**Philippines**

<b>Stakeholders</b>	<b>Reasons</b>
<p><i>STREAM</i>                      [Erwin, BFAR (Region 6), Ronet, VSOP]                      STREAM researchers                      STREAM in Bangkok, NACA</p>	<p>As inputs to planning                      To track changes (impact)                      To know which intervention works and why (effectiveness)                      Learning from the wider world                      Cost effectiveness                      Relevance                      Efficiency                      Decrease workload</p>
<p><i>Wider Environment</i>                      Government                      National agencies (BFAR, DICG, NAPC)                      Local government                      NGOs                      Local                      International                      Universities                      Schools                      Church                      Media                      Private                      Programmes (FRMP, CBM)                      International aid agencies</p>	<p>Important for planning                      Lesson learning                      Sharing results and initiatives                      To know research area                      To know where support is                      To know business opportunities                      Not wanting to share negative ways of working</p>
<p><i>Groups on the Ground</i>                      FARM                      POs and Co-ops                      Individuals in the community (fishers, farmers, gleaners, vendors)                      Consumers                      Money lenders                      Village government                      Illegal fishers and financiers                      Commercial fishers                      Fishpond operators                      Youth</p>	<p>Important for planning                      To show and receive information                      To know impact, efficiency, effectiveness (LGUs)                      Lesson learning                      Not wanting to highlight negative practices that support exploitative systems</p>

## Vietnam

Stakeholders	Examples	Benefits of STREAM Monitoring
Government MOFI	Specific departments in MOFI Fisheries Dept Dept of Science and Technology Fisheries Info Centre Research Institutes Fisheries Training Colleges	Transparency Modelling Information and learning
Other Ministries	MOET-University of Fisheries MOLISA MARD	Collaboration Improved planning
Provincial Communities	People's Committees Communes Vietnam Women's Union Village women's clubs Women's committee under each ministry, Fishers Associations	Participate Improving service provision
International Orgs	FAO, IUCN/WB, ADB	Realise impact
INGOs	e.g., Oxfam, Action Aid, IMA, VSO	Learning and collaboration
Inter-Govt Orgs	NACA	Learning and collaboration
NGOs	Local partners of INGOS	Learning and collaboration
ODA	DANIDA, NORAD, DFID	Efficiency, effectiveness, achievement
Communities		Participation, improvement and learning about livelihoods
STREAM		Learning and all reasons stated yesterday by individuals

***Annex 7 The Documentation and Analysis of “Significant Changes” in Volunteer Placements: An Explanation***

*By Rick Davies, 9 April 2000<sup>1</sup> Version 3  
As edited by Jo Rowlands, December 2000*

**1. Background**

This paper was requested by Penny Lawrence, following a meeting with senior VSO staff at VSO UK office on 17<sup>th</sup> April 2000. In the course of that meeting Penny outlined her informal "pre-test" experience with the use of "Significant change" reporting in interviews with VSO volunteers completing their placements in China. This method was seen as a potentially useful component of a wider system designed to enable VSO to monitor the achievement of its own corporate objectives, and a similar set of objectives being incorporated in VSO's proposed partnership agreement with DFID.

The “Significant change” method of monitoring is not new, but it is not widely known. It was first implemented in Bangladesh by an NGO in the early 1990's. It has since been experimented with by other organisations in Brazil, Ethiopia, Philippines and Australia. A paper outlining the method as used in Bangladesh, and listing others who have since used the method, can be found at [www.swan.ac.uk/cds/rd/ccdb.htm](http://www.swan.ac.uk/cds/rd/ccdb.htm). The most recent large-scale usage of the method has been by the Target 10 Dairy Extension Project, implemented by the Department of Natural Resources and Environment, of the Victorian State Government. The results of its use are documented in "Target 10 Evaluation Stories May 1998 - May 1999"<sup>2</sup>.

The aim of this paper is to explore the significant change method as a contribution to VSO's monitoring and evaluation processes.

**2. Steps Involved in the Implementation of the Significant Change Method**

A cautionary note: The basis of the significant change method is a very simple question. It is important, however, to take care with the surrounding procedures. If these are properly attended to all participants will gain much more value from the information and analysis that is generated.

**2.1 Defining the domains of change that are to be monitored**

The first step to take is for the staff of the implementing organisation (VSO in this case) to identify what areas, or *domains*, of change they want to monitor using the significant change method. In the April 17<sup>th</sup> meeting it was decided that the primary focus should be on events at volunteer placement level, and in particular, two types of change:

- Changes in the lives of individuals, including beneficiaries of the organisation in which the volunteer is placed (where appropriate including colleagues in the definition) or in the lives of individuals in the community where the volunteer lived.
- Changes in the organisation in which the volunteer is placed, and in its policy environment.

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<sup>1</sup> Cambridge, UK [Rick@shimbir.demon.co.uk](mailto:Rick@shimbir.demon.co.uk) [www.swan.ac.uk/cds/rd/rd1.htm](http://www.swan.ac.uk/cds/rd/rd1.htm) [www.mande.co.uk/news.htm](http://www.mande.co.uk/news.htm)

<sup>2</sup> Available on request from the Department of Natural Resources and Environment, Victoria, [Mark.Walton@nre.vic.gov.au](mailto:Mark.Walton@nre.vic.gov.au) or via Jessica Dart (author) at [j.dart@pgrad.unimelb.edu.au](mailto:j.dart@pgrad.unimelb.edu.au) A copy is available in paper form in PDEU.

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These domains do not have to be precisely defined as would be the case with indicators; they can therefore be interpreted as appropriate for the individual placement. All that is necessary is that the wording remains the same over time, unless there is a deliberate decision to change the domains of change being monitored. The meaning of the domains will be defined by the way they are applied, like the use of words in everyday English.

As will be made clear below, once information has been collected on changes within these two domains it will then be subject to some further sorting into other categories of concern to VSO, its strategic aims at the country and international level.

## **2.2 The reporting period**

Significant change information will be collected at the end of each volunteer's placement. It will be collated, reported and analysed within the VSO structure once a year.

It is proposed that the collection of significant change information will start in January 2001, with a pre-test of the method in July-Nov 2000.

## **2.3 The participants**

Four groups of participants will be involved:

- VSO volunteers, at the end of their placements (preferably with, but if necessary without colleagues/employers)
- Programme Directors (with programme staff team)
- Regional Programme Managers
- The Overseas Director with Heads of Programmes

The structure of their participation will determine how the significant change information is analysed.

## **2.4 Phrasing the question**

The basis to the significant change method is a simple question, which all volunteers will be asked to respond to. It will take the following form:

Describe what you think was the most significant change that you contributed to, in some way, during your placement.

The significant change you choose can be in:

- the lives of the beneficiaries of the organisation with which you worked, or
- the lives of individuals in the community where you lived, or
- colleagues with whom you worked, or
- an aspect of the organisation with which you worked, or the wider policy environment.

Volunteers will be asked to answer the question in two parts. Appendix 1 gives the new first section of the final volunteer report where the question is asked, using examples of completed answers from piloting.

For each question, the first part is *descriptive*: what happened, who was involved, where did it happen, when did it happen. It is crucial that the 'story' is evidence based and that there is enough information included for an independent person to visit the placement location, find the people involved and verify that the event took place as described.

The second part of the answer will be *explanatory*. The volunteer should explain why the change is the most significant of all the changes that took place during the placement. In particular, what difference did it make already, or will it make in the future?

Please note:

We don't expect volunteers to search for and apply a universal standard of what is "significant". An event just needs to be the *relatively* most significant, evident when the various changes that took place during the placement are recalled and compared to each other.

We don't expect that the volunteer's explanation of significance to be objective. On the contrary, we expect their explanations to be a *subjective* expression of their values and concerns. The purpose of the written explanation is to help bring these values into the public realm (within VSO) where they can be examined, compared and selected (see below). Hopefully there will be some overlap with VSO's espoused mission and strategy.

## **2.5 The structure of participation**

All finishing volunteers will write at least one story of significant change as part of their final report. On an annual basis, the programme staff will take all the significant change stories generated in the year and go through a process of analysis. This will enable the choice of 2-3 stories per strategic aim in the Annual Country Report, as well as provoking useful discussions and learning at programme office level and data for use in evaluations, reviews workshops etc. In order to meet accountability requirements, there will then be a system of filtering the stories upwards through the VSO structure, finally choosing 10-20 stories to represent changes achieved at placement level to SMT, trustees and DFID.

## **2.6 Feedback**

It is important that participants at each level in this iterated selection process are informed of the judgements made by the level above them as soon as possible. The simplest way of doing so is to copy the documented result of the selection process (taking place at any level) to those above *and below* that level, within the same line of management. In addition, the document submitted to the Trustees should also be made available down to the PO, and to their volunteers. It is easy to neglect this stage of the process.

The purpose of this feedback is so that those identifying the changes within country programmes can take into account the views of their senior staff when in the process of evaluating changes in the next reporting period. They can either passively adapt their search for significant change according to the perceived concerns of their senior staff, or more actively seek better examples and provide better explanations for the significance of the types of changes that *they* think are most significant. If feedback is provided as planned the monitoring system should take the form of a slow but extensive dialogue up and down the VSO hierarchy each year.

## **2.7 Turning anecdotes into qualitative data**

It is important that all participants are aware from the beginning that all stories should be evidence-based, rather than opinion-based. This will enable investigation into the sustainability of change in due course. It is this attention to detail that will bring rigour to the method and help make the difference between collecting anecdotal evidence and collecting useable qualitative data on placements.

Those changes that are identified as the most significant of all, by the most senior management, are precisely those stories where the most effort needs to be invested in

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verifying the factual details of the events described. Subsequent verification visits to the locations of the described events could perform two functions. One is accountability, ensuring that there is some accuracy and honesty in report writing. The other is to provide an opportunity to gather more detailed information about the event that was seen as specially significant, and if some time after the event, a chance to see what has happened since the event was first documented (another aspect of impact).

Verification inquiries could, in principle, be initiated by participants at any level of the selection process within VSO. Any significant change report that has been received can be subject to follow-up inquiries. The exact details are yet to be agreed, but it is anticipated that there will be a system of verification visits to a sample of countries to follow the audit trail back to the placement where they story was collected.

## **2.8 Quantification**

This can take place in two ways. Firstly when a significant change report is being written it is quite possible to included quantitative information as well as qualitative information. Secondly, it is possible to quantify the extent to which a change identified as the most significant in one location, country or region have taken place in others within a specific period. In the case of any significant change report a letter can, in principal, be sent out by the recipient of the report to all other VSO staff in their region seeking information on the numbers of identical changes that they were aware of having taken place in their area in the past year. However, there is not necessarily any need to repeat this particular question every year thereafter, as in traditional monitoring systems.

## **2.9 Meta-monitoring**

‘Meta-monitoring’ means monitoring the performance of a monitoring system. VSO will need to know how well the significant change system is working, what value is it producing and how. Using records generated by the process outlined above it is possible to monitor changes over time in the contents and sources of the most significant changes being reported. What types of volunteers and types of placements have generated the most significant changes, as judged by the most senior level of VSO management? When significant change reports are categorised by strategic aim, at the country or corporate level, which objectives receive the most versus least number of reports? What are the most common problems encountered in the way the significant change reports are written? What types of significant change reports are being rejected at the lowest levels of the selection process? What do staff, at different levels of VSO, think about the information generated by the significant change method, overall? This sort of analysis would normally be the responsibility of headquarters M&E staff, and should feed into their M&E capacity building roles.

Probably the most useful meta-monitoring "indicator" of the state of the system is boredom. If the reports being selected at the highest level of the selection process are boring then something is going wrong. Descriptions of changes may be too general, or too brief, lacking details. The explanations given may be trite and cliché'd. The changes may be so common they cannot really be judged as most significant.

## **3. Issues and Concerns that May Arise**

### **3.1 What about indicators?**

Most people think indicators are absolutely central to effective monitoring In contrast, the significant change method has sometimes been called "monitoring-without-indicators" Indicators are useful, but their usefulness is limited to particular types of outcomes: (a) where there is prior agreement about what is expected. However, as we can see in daily newspapers,



many important changes are not expected; and (b) where the significance of the change is already agreed upon. Many changes are not like this. With the significant change method there are no predefined, agreed by all, indicators of what constitutes important change. The significant change process is intended to be open-ended, one where what is the most important change is discovered after the event, by the comparison of many different staff perspectives on all the changes that have taken place.

Another difference with the significant change method is that the process of sampling changes that is involved is *purposive rather than random*. The monitoring system outlined above will not report the average state of the VSO programme, but rather what is taking place on the outer perimeter of the programme's experience, *the most significant* events. If the reported changes are negative ones, then it will be a type of change the VSO would want to move away from, to avoid in the future. If positive, then it is a type of change that the VSO would want to see become more central to its international programme, more typical of their activities as a whole, in the future. This is the same approach to aggregating information as can be seen in daily newspapers. It contrasts with the way quantitative data is often used by organisations to make generalised or averaging statements, about *the overall state* of their programme of activities.

### **3.2 This is all very subjective!**

Subjectivity in judgements is a fact of life that we all manage to live with, in our daily lives. We cope with subjectivity in a number of ways.

We try to establish who is the *source* of the information. The significance of the information is weighted by our past experience of information from that source. Stories of aliens landing on the earth, reported by the Sunday Sport, would not be given much credence by many people in the UK, whereas if they were on the front page of the Times or the Guardian they might be. All the significant change reports produced by VSO staff will have the identity of their reporters.

We note the *context* in which the information is provided. Is it in a bar over a few beers, or part of a formal reporting system? The results of the significant change system should be reported in such a way that the reporting process which generated the significant change reports is visible to the reader.

We ask people to *explain* their judgements. Newspapers often explain their focus on some stories, via their editorial section. With the significant change method we will require the reporter to explain the rationale for their choice. The same will apply to the choices of significant changes by middle and upper management.

We can make our own *independent inquiries*. We can talk to the people involved and see if their views are consistent with what we have heard. This check is built into the significant change method in the form of possible verification visits.

### **3.3 Practical choices**

A decision needs to be made for each story and each placement as to whether volunteers should identify the significant change during their placement on their own, or jointly with their employer/colleagues. The approach being recommended is that where possible, the story will be chosen through a participatory process, but that the bottom line expectation is that significant changes should be identified by the volunteers alone. Placement visits could identify the extent to which employers agree or not with the selection made by a volunteer, and if not, why not. Insisting on joint choices would probably lead to some very bland, and uninformative significant change reports. Changes not agreed to by the employer may

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nevertheless very important. In cases where a participatory process can lead to a meaningful choice of story, this is to be welcomed. In this case, the process should be made transparent. There are two broad choices as to how SC reports can be reviewed and selected, above the volunteer level: by hierarchy or team. The line manager can make the choice or s/he can delegate this choice to those s/he supervises. Team based choices have been the preferred approach in Bangladesh and Victoria, as they maximise the opportunity for learning and analysis. Programme Offices will be given a choice of methods; again, the process should be made transparent.

By way of illustration of how this might work, in the NGO in Bangladesh, they went through the following process:

- Each significant change report is read out to the meeting.
- Questions are asked, and comments are made, about each significant change report in turn, after it is read out.
- There is an open discussion of all significant changes.
- Participants vote on the significance of each significant change, by giving a rating between 1 and 10, for each significant change. Voting adds transparency to the process of choice, and is an important feature.
- Total ratings for each significant change are counted.
- Explanations for the choice of the highest rated change are documented.
- A report is written documenting the ratings and explanation.

The method as outlined above will normally generate a high percentage of positive changes. Previous experience in Bangladesh and Victoria suggests that only 10% of the changes will be about negative developments. VSO senior management will need to monitor this percentage and decide whether the balance is acceptable. If not, one possibility is to ask a third question, about the most significant negative change.

There are many ways in which VSO could choose to develop this approach over time, but it is important to start with a relatively simple approach. There will be scope for modifying it in response to monitoring of the effectiveness of the approach, if appropriate, in due course.

## *Annex 8 VSO Significant Change Form*

### **Writing Stories of ‘Significant Change’**

The basis of ‘Significant Change’ reporting is a simple question:

*Describe what you think was the most significant change that you contributed to, in some way, during your placement.*

The significant change you choose can be in:

- the lives of the beneficiaries of the organisation with which you worked, or
- the lives of individuals in the community where you lived, or
- colleagues with whom you worked, or
- an aspect of the organisation with which you worked, or the wider policy environment.

These guidelines are intended to help you to answer this question.

***What is a significant change?*** The volunteer or the volunteer and employer/colleagues are free to judge for themselves what is ‘significant’ in the specific context of the placement.

***What counts as a change?*** Again, this judgement can be made by the volunteer or the volunteer and the employer/colleagues. A change can be big or small, positive or negative, and could affect a single individual, a small group or an entire organisation: the point is that it is seen as a real change rather than a one-off thing. In a few cases, a ‘change’ may be something that stays the same – for example, something continues which would most likely have stopped otherwise in the face of external forces.

***Does it have to be about work objectives?*** No. We would anticipate that many change stories would be directly connected with the placement objectives; however, if the most significant change(s) are to do with other things that have happened, for example, in the local community, that is fine.

***Is it right to single out one or two changes over others?*** No one would claim that this approach would capture everything that is achieved in any one placement, and we expect that other achievements will be included in other parts of the final report. What choosing one or perhaps two stories will enable, however, is for at least some of the achievements during the placement to be brought alive and considered in more detail than can be done in the rest of the reporting system. Trying to cover too many aspects of change in one story will result in a less useful and less powerful account.

***Who should choose the story?*** Ideally, the story would be chosen through a joint process between the volunteer, the employer, colleagues and beneficiaries if appropriate. Realistically, however, in many placements this will not be feasible. The bottom line, therefore, is for the volunteer to make the choice, involving others where possible. Do what is possible in your circumstances – and make it clear in the account who was involved and how. The crucial thing is to have transparency.

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***How much detail should be included?*** The volunteer can decide how to write up the change. We wouldn't expect any one account to be more than two pages long; one page is plenty. The things that are likely to contribute to a story being most useful are:

***In the 'story':*** information about the nature of the change: who or what has changed? In what way? A story based on evidence rather than opinion will be more useful: what tells you that the change has happened? What have been the effects of the change? Include enough detail to make it understandable by someone not familiar with your placement and to make it possible to follow up later to see if the change has continued.

***In the explanation:*** why is this particular change of significance – why was this chosen over any other potential change stories? who made this choice? what difference has this change made or is it likely to make and for whom? This is the most important part of the account, as it enables other people to judge the significance & relevance of what might otherwise be 'just a story'. It's fine if this account is subjective, in fact one would expect it to be so: the important thing is for the values and concerns it represents to be made explicit.

***How should the story be written?*** It is the story of significant change which VSO is interested in, not the language and style in which it is written. The form outlines what should be covered, but how that is covered is up to you. We are not looking for journalistic excellence or perfect English!

***What will happen to the 'significant change' story once it has been completed?*** The significant change question is in a stand-alone section of the final volunteer report (see attached example), so that it can be easily reproduced. Initially, all the 'significant change' stories from volunteers will be discussed in the programme office. A sample of stories touching on key issues may be followed up in more detail. These processes will support programme staff in considering what is being achieved in the programme. The stories might also be used to support in-country learning processes, for example as the basis for workshop sessions with volunteers. At a given time each year we will be asking programme office staff to meet as a team to choose 2 or 3 of the most significant changes that they have received throughout the year under each strategic aim of the programme. The criteria used for choosing will be up to the team, based on what they see as important, but we will ask for explanations of the reasons for the choice, which will be shared with volunteers. The selected stories will then be passed on to their Regional Programme Manager in the UK. A sample of these significant change accounts may be followed up in greater detail as part of VSO's corporate learning process. Some stories may be used for volunteer briefing pre-departure, and for other communications purposes. Finally, a selection of stories which Regional Programme Managers & other senior UK staff consider most significant will be submitted to the Board of Trustees and to the UK government's Department for International Development, along with more quantitative data, as part of our accountability to our external stakeholders & donors.

**VSO FINAL REPORT - Part 2 (Volunteer Report)**

to be completed by the volunteer after the final Programme Office visit to the placement

Volunteer name:	Volunteer ref & country recruited:
Job title:	Job ref:
Employer:	Country:
Name of volunteer's line manager:	Volunteer start of service date:

· Please use dark (preferably black) ink and use extra paper if you wish.  
 · The main purpose of this form is to enable VSO to understand and learn from volunteers' experience in their placements.  
 · The report may also be used for briefing by future volunteers and extracts may be given to funders or used by VSO in publicity material (as explained in the volunteer handbook)  
 · If you wish to make confidential comments, please do so on a separate sheet of paper specifying from whom they should be confidential. VSO will ensure that they are treated with the confidentiality you require.  
 · Any issues arising from the placement should be discussed with your employer or programme office. If you feel an issue has not been dealt with reasonably by the programme office you may write to your Regional Programme Manager at VSO.UK.

1(a) Describe what you think is the most significant change that you contributed to, in some way, during your placement.

Where possible, choose the most significant change after discussions with your employer, colleagues and programme officer.

There may have been many changes, great and small, positive and negative. Choose the change that you feel is most significant.

Describe who was involved, what happened, where and when.

Include enough detail to make it understandable by someone not familiar with your placement and to make it possible to follow up later to see if the change has continued.

If choosing one change is too difficult, feel free to describe more than one (using further forms).

The significant change you choose can be in:

- the lives of the beneficiaries of the organisation with which you worked,
- the lives of individuals in the community where you lived,
- colleagues with whom you worked,
- an aspect of the organisation with which you worked, or the wider policy environment.

(b) Explain why you chose this particular change.

What difference has it made/will it make?

Why do you think this difference is important?

(c) If anyone other than you was involved in choosing the story explain who and how.

(d) Are there any lessons for VSO arising from change you have written about?

(e) Give your "news story" a headline, summarising it in a few words

Headline:

(a) Description:

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(b) Explanation:

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(c) Who chose the story?

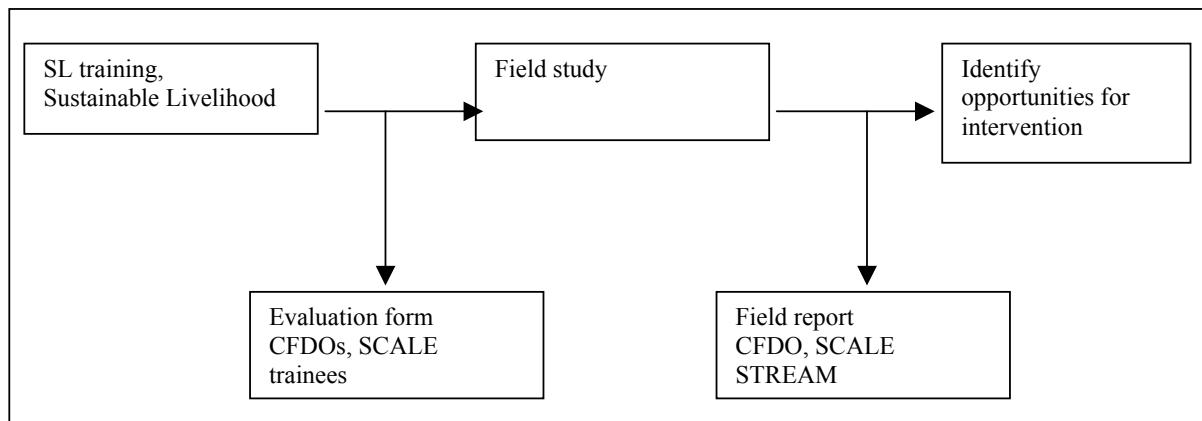
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(d) Lessons or recommendations for VSO:

<b>Date of completing report:</b>	
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*Annex 9 Measuring Change: Country-Specific Indicators*

**Cambodia**



**Philippines**

*What? (end-point)*

More coastal LGU (Local Government Unions), such as BFAR (Bureau of Fisheries on Aquatic Resources) in Region 6 are delivering ARM (aquatic resources management), (protection, resource, assessment planning, legislation and extension) with livelihoods focus (wider meaning of livelihoods)

*Process towards End-Point*

By (co BFAR), Region 6 unknown as yet number of coastal LGUs (there are 80 in total) has a partnership agreement with STREAM on understanding of wider meaning of livelihoods

*How*

Documented learning and action points  
Change stories as result of learning

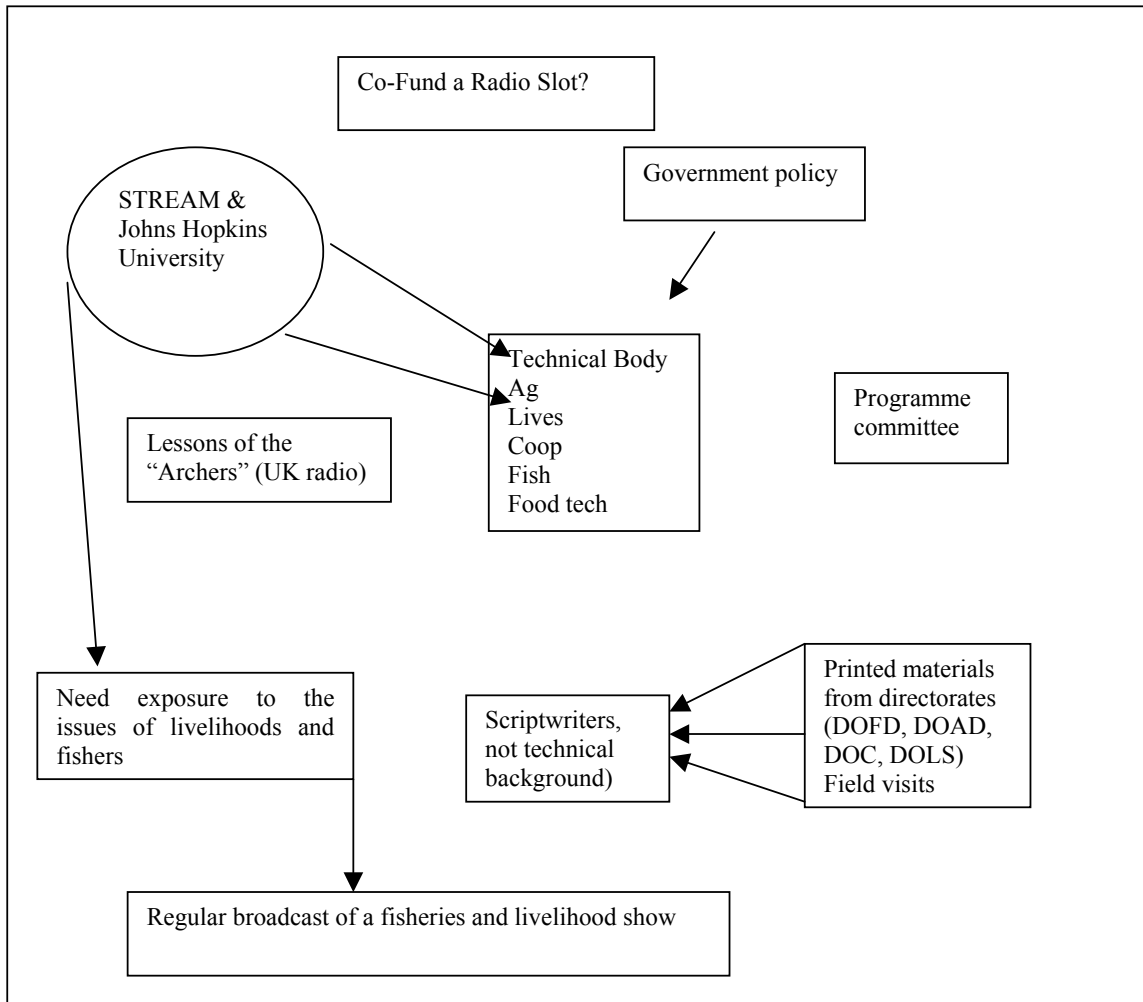
*Why*

Needs to include understanding  
Some LGUs selected  
PMED (Planning, Monitoring and Evaluation Division) staff within BFAR  
Needs to do donkey work

*Activity*

Understanding M/E within the BFAR-Region 6 (PMED), (LGU)  
Experimental learning process involving BFAR  
Region 6 staff and selected LGUs, learn from experience of Cambodia  
Conduct on LHA in the Philippines  
E group on livelihoods

## Nepal



### *Indicators*

Established regular radio shows every fishery livelihood drama

Incorporation of livelihoods contents in scripts

Composition of programming committee changed to include livelihoods type resource persons



**Vietnam**

Entry point P & ID

Support to establishment of structure, processes & practises to implement SAPA strategy

Roles & responsibilities of SAPA Implementation Unit and STREAM are clarified, initial agreement on ways of working, members' work as a team.

Matrix of responsibilities, monitored to check if roles are fulfilled

Info exchange, people aware of what they are doing! Aware about regular meetings, centralised filling system

Stakeholders participation in drawing up a CSP, SAPA? STREAM roles informed by existing programmes and building on early activities i.e. livelihoods capacity, building and awareness raising.

How: SC method on agreed topics e.g. Roles and Res, SAPA? STREAM relationship, ways of working (e.g. info exchange)

Who: everybody

When: starting next week

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## *Annex 10 Workshop Evaluation*

### **1. How much have we achieved the objectives of the workshop and met your expectations?**

- Good for what I expected
- It is really exciting for me to join the workshop and I think it really makes sense and it really achieved what we expect
- I,m personally satisfied with the objectives of the workshop
- Objective1-mostly, Objective 2-partly
- 9/10: wanted to spend more time with country plan but could only do so much. Fully achieved but I like to leave room for next stage
- 75%
- Objectives met, I didn't come with expectations (unlike for regional conference) I,m happy with what we got.
- I think the objectives were achieved for the most part
- We achieved the objectives, what we perceived
- Objectives achieved 90%, now need action for 100%, exceeded my expectations
- Well achieved, fully met expectations
- Achieved more than my expectations
- OK, but I expected (possibly wrongly) that we might have a more definite idea of the monitoring framework, but what has been achieved is fine
- To my mind, yes and then some, there were many other benefits

### **2. What do you think about the workshop sessions and methods?**

- To identify indicators of significant changes
- Method of Process monitoring
- The workshop arrangement is really flexible and can adapt to what the participants want to be
- The way workshops are conducted is so convincing and it encourages peoples active participation in the discussion
- Very good
- I like the flexibility and the thoroughness in the way the sessions were prepared, and the time and effort given to newly country specific action plans.
- Good
- Good external resource people, good participants and use
- Was a good mix of lecture, discussion and small group activities, perhaps a few energizer activities were needed
- The workshop sessions and methods are new and exciting for me and very useful to learn a new idea
- Varied, participatory appropriate to the movement of the group, flexible-a fine example of applications of all our "new" principles
- The sessions were relaxed and it definitely facilitated better/learning
- Varied, flexible, in structure ( a reflection of STREAM guiding principles)
- Fine, some of the groups lacked critical mass and it is a bit early in STREAM's life to draw on experience-this will change as we do more
- Good mix, kept the tempo up and minds fairly active

### **3. How do you feel about your own participation and contributions?**

- Well
- It is great
- I have not participated much and actively to the discussions yet I,ve learnt a lot from it
- Satisfactory
- I was torn between facilitation and becoming a participant
- Good
- Tried to move towards constructive engagement
- As I am not really part of STREAM I perhaps did not see many chances to participate contribute but where I felt I could I did

- Active participation and contribute effectively
- Hope I didn't talk too much and if I did that my contributions were relevant constructive and welcome, enjoyed the workshop experience from the participant viewpoint
- Felt very good to be sharing and letting people know about how things are going in my country and that there are efforts to make them better
- "It was hamfisted, inarticulate and confused"
- excellent (joking), its always difficult to keep quiet when you are interested in something
- As reporting not any active participation, other than the reporting itself but passively soaked it all info in like a sponge

#### 4. What is something important you learned this week?

- Method of Process monitoring
- Significant change
- I learn what the significant is all about and what we are going to do with it
- How to do things in more logical way and the relative importance of M & E system in work
- Classifying the relationships between the 4 STREAM themes
- Importance of communicating learning ..... and the ways this can be done
- reasonable
- I learnt a lot about the significant change methodology
- Learned a lot about STREAM
- To understand the ways to trace out the most significant change among many changes
- The power of possibility of a group of people who commit to learning how to work together
- Not to be in fear of new terms of approaches and how PM and SG is so obviously the best approach for STREAM as its relatively simple and we are not monitoring for the sake of it, but due to all the benefits this will have. Also how STREAM will differ and evolve in each region but guided by four themes, themselves offering a degree of flexibility. How this approach ties in beautifully with STREAM, four, interlinked, flexible themes, how itself STREAM will evolve.
- That seriously looking into process would give better explanation to just figures in monitoring reports
- What a change domain in the content of STREAM
- The sig change method and how it might have an application in something

#### 5. Anything else?

- More ideas from resource people and participants
- English is improved by English speaking environment. I became more self-confident as standing in front t of people.
- Developing relationships with other STREAM related people.
- Thank you for involving me in this
- It was fun to participate
- Good lunch
- Excellent experience
- Developing better awareness and sensitivity to significant changes in poor peoples lives could be a big step forward to the implementation of the development process, many thanks.
- Yes please
- Its all so simple when you boil it down; and coming from a research/commercial background where M&E exercises were thrust upon you at the last minute for the benefit of the reviewer with an added emphasis on numbers, how others could, and indeed how I could have benefited from this approach particularly sig change, making good work even better!! Also the relatively extra benefits of PM such as IDing the stakeholders and the dynamic shifts of these groups. The nature and approach of STREAM is also much, much clearer as is the nature of its adaptability and potential to evolve differently in each region is clear, my average typing speed has also gone up ten words or so.

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## *Annex 11 Annotated Bibliography*

*Checkland, P. & Scoles, J. 1990. Soft Systems Analysis.*

Based on the Soft Systems Methodology, Copy of summary slides, describing SS methodology, key ideas, rich pictures and conceptual models. Available in hard copy only from Paul Bulcock, co NACA. Suraswadi Building, Department of Fisheries Compound, Kasetsart University Campus, Ladyao, Jatujak, Bangkok 100903. Thailand. [paul.bulcock@enaca.org](mailto:paul.bulcock@enaca.org).

*Davies, Anthony. 1997. Managing For A Change. How to run community development projects. Intermediate Technology Publications. ISBN. 1-85339-399-1.*

Advice on all aspects concerning a development project's planning and management, including programme analysis, decision-making, leadership, employment of contractors and quality control. Each chapter ends with exercises to help test the new knowledge and reinforce lessons in good practise.

*Engel, Paul. G.H & Salomon, Monique. L. 1997. Facilitating Innovation for Development: A RAAKS resource. KIT Press. ISBN 906832 109 9.*

RAAKS is a participatory method that facilitates networking and communications processes. It can be used to improve the generations and use of agricultural knowledge and innovation, in the sense of 'change on purpose'. This resource box includes a guide to the RAAKS method, plus 'windows'-specific ways to gain a perspective on the situation-and 'tools' to be used in practise. Each window and each tool is on a separate card, so that a RAAKS team can chose a combination to fit their situation. The accompanying book combines theory and case studies, providing detailed background material for the methodology. Book, guides and cards in a box.

*Feuerstein, Marie-Therese. 1986. Partners in Evaluation: Evaluating development and community programmes with participants. Macmillan Education Ltd. ISBN 0-333-42261-9.*

One of the earliest books on the subject, but still used, has recently been reprinted. Excellent, clear, writing, how to do it with reasons for everything. Extensive bibliography.

Has chapters on:

1. Understanding evaluation
2. Planning and organising resources
3. Using existing knowledge and records
4. Collecting more information
5. Reposting the results of evaluation
6. Using your evaluation results

Serves dual purpose as both practical field handbook and textbook. It is designed to assist those who want to know more about monitoring and evaluating their own work. The methods, principles and examples contained can be utilized in various differing projects and programmes, but are particularly suited to the fields of development and community. The book is written in a style enabling it to be used by those with little or no formal training in M&E.

*Garrett, James. L. & Islam, Yassir. Policy Research and the Policy Process: Do the Twain Ever Meet? IIED, International Institute for Environment and Development. Gatekeeper Series no. 74. (SA74).*

The paper recommends a mixed method approach to evaluation that looks at output, processes and potential outcomes, rather than focusing on actual policy outcomes. This better reflects how researchers produce their findings and policymakers actually use research.

*Gubbels, Peter & Koss, Catheryn. 2000. From The Roots Up, Strengthening Organizational Capacity Through Guided Self-Assessment. World Neighbours Field Guide Capacity Building. World Neighbours. ISBN 0-942716-10-8.*

Designed to assist grassroots organizations and community groups recognize their own potential, identify crucial issues for programme and organizational development, and decide for themselves what actions to take, in relation to their purpose, context and resource.

*Guijt, Irene. Participatory monitoring and impact assessment of sustainable agriculture initiatives SARL Discussion Paper No.1, July 1998. IIED, International Institute for Environment and Development.*

A practical, methodological introduction to setting up a participatory monitoring process for sustainable agriculture initiatives. Initially written as a guide to an research process on M & E with small-scale producers, rural workers unions and NGOs engaged in sustainable agriculture in Brazil. After explaining the objectives of the research the document introduces several central concepts and identifies key steps in developing a monitoring system. Also included is a discussion of the complexity of indicator selection and reflects upon the constraints faced in Brazil in implementing an M & E scheme for sustainable agriculture.

Excellent account of the basics for PM&E with a description of 20 different methods/tools for use in monitoring. Excellent bibliography.

*IIED, International Institute for Environment and Development. 1998. PLA Notes 31, Participatory Monitoring and Evaluation.*

This was one of the PLA Notes special editions and includes papers specifically addressing participatory M & E.

1. Tracking change together.
2. Monitoring and evaluating in the Nepal-UK community forestry project.
3. Participatory self-evaluation of world neighbours-Burkina Faso.
4. Institutional issues for monitoring local development in Ecuador.
5. Growing from grassroots, building participatory planning, monitoring and evaluation methods in PARC.
6. ELF-3 year impact evaluation: experiences and insights.
7. Participatory monitoring and evaluation in flood proofing pilot project, CARE-Bangladesh.

*Kanbur, Ravi. 2001. Q-Squared? A Commentary on Qualitative and Quantitative Poverty Appraisal.*

Brings together the proceedings of a workshop on “Qualitative and Quantitative Poverty Appraisal; Complementarities, Tensions and the Way Forward” and represents a valuable statement concerning the current Qual-Quant debate, and their use in poverty reduction strategies.

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Workshop Conference Program and Participants also available. Qualitative and quantitative Poverty Appraisal: Complementarities, Tensions and the Way Forward. Workshop sponsored by Poverty, Inequality and Development Initiative. Cornell University. March 15-16, 2001, 401 Warren Hall.

Both above available in digital format from [paul.bulcock@enaca.org](mailto:paul.bulcock@enaca.org).

*Lindblom, Charles. E & Woodhouse, Edward. Third Edition. Prentise Hall. ISBN. 0-13-682360-2.*

Part I. Introduction

1. The challenges facing policy making
2. The limits of analysis
3. The potential intelligence of democracy

Part II. Conventional Government and Politics

4. The imprecision of voting
5. Elected functionaries
6. Bureaucratic policy making
7. Interest groups in policy making

Part III. Broader Influences on Policy Making

8. The position of business in policy making
9. Political inequality
10. Impaired inquiry

Part IV. Improving Policy Making

11. Making the most of analysis
12. More democracy

*Linney, Bob.1995. Pictures, People and Power, Macmillan Education Ltd. ISBN 0-333-60044-4.*

Practical guidelines to enable non-artists make their own visual aids and includes sections on common pictorial conventions including how to draw and use colour, how to copy and adapt pictures, how to make use of people centred visual aids and how to plan and conduct training workshops concerning visual communications.

*Natural resources International Limited. 2000. Sustaining Change: Proceedings of a workshop on the factors affecting uptake and adoption of Department for International Development (DFID) Crop Protection Programme (CPP) research outputs. 21-23 June 2000. Imperial College at Wye, Kent, UK. NR International Ltd. (Eds). Hainsworth, S.D & Eden-Green. ISBN. 0-9539274-0-7.*

Summary and synthesis of a workshop held at Imperial College. The workshop offers an opportunity for the CPP to draw together conclusions and lessons learned from a series of projects it had commissioned on factors affecting uptake and adoption of outputs of crop protection research, for the wider benefit of project partners and the development community.

Additional insert includes questionnaire developed in addressing uptake and adoption of outputs of research in rice systems, India. Available in digital format from [paul.bulcock@enaca.org](mailto:paul.bulcock@enaca.org)

*Rennie, J. Keith & Naresh, C. Singh. 1995. Participatory Research for Sustainable Livelihoods, A Guidebook for Field Projects. International Institute for Sustainable Development. ISBN 1-895536-42-1.*

Contains chapters addressing Policy concepts, design and organization, Project set up, Preparing and Conducting for Participatory research, Policy and Process issues including knowledge sharing, local and NGO empowerment. Originally conceived as a guide to participatory research the revised version assists project executants in the application of an abstract set of concepts in a field situation.

*Routledge Research/ODI Development Policy studies. 1998. Development as process. Concepts and methods for working with complexity. Eds. Mosse, David, Farrington, John & Rew, Alan. Routledge. ISBN. 0-415-18605-6.*

Includes sections referring to:

1. Process-orientated approaches to development practise and social research.
2. Process documentation research and process monitoring: case and issues
3. Process monitoring and impact assessment in development projects
4. Participatory water resources development in western India: influencing policy and practise through process documentation research.
5. An evolutionary approach to organizational learning: an experiment by an NGO in Bangladesh
6. Impact assessment, process projects and output-to-purpose reviews: work in progress in the Department for International Development (DFID).
7. Process monitoring in inter-agency contexts
8. Partnership as a process: building institutional ethnography of an inter agency aquaculture project in Bangladesh.
9. A donor's perspective and experience of process and process monitoring.
10. Process monitoring and inter-organisational collaboration in Indian agriculture: Udaipur district and beyond.
11. Process monitoring and policy reform
12. The resolution and validation of policy reform: Illustrations from Indian forestry and Russian land privatization.

*Sharma, Ritu, R. An Introduction to Advocacy, Training Guide. Support for Analysis and Research in Africa (SARA). US Agency for International Development, Africa Bureau, Office of Sustainable Development.*

A guide for people in all sectors that are concerned with policy change through *advocacy* (Defn 1. An action directed at changing policies, positions or programmes of any type of institution, 2. A pleading for, defending or recommending an idea before other people, 3. Speaking up, drawing a community's attention to an important issue and directing decision makers towards a solution), although written primarily for use in training sessions, it can also be used by potential advocates as a tool to help them start their own advocacy work.

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*Veldhuizen, Laurens Van, Waters-Bayer, Ann & Zeeuw, Henk. 1997. Developing Technology With Farmers: A trainers guide for participatory learning. Zed Books Ltd. ISBN 1-85649-489-6.*

A manual written for trainers in governmental and non-governmental development organizations. The training is designed to stimulate active learning by participants who draw on their own experience, an approach that mirrors the type of interaction between facilitator and farmers in participatory technology development (PTD). The guide is divided into four parts.

1. Basic orientation and skills needed by field staff for a participatory approach to agricultural development.
2. Joint analysis and planning.
3. Supporting farmer's experimentation
4. Extension of technologies and participatory methods.

*Wilson, Ian. A Case Study of Sample Design for Longitudinal Research: Setting up the Young Lives Project.*

Addresses issues concerning selecting sites, an excellent paper concerning a project, which aims to follow the same individuals through life trajectories between the age of 1 and 16.

## **Websites**

*FAO Website on Participation*

<http://www.fao.org/participation/>

Contains the subfolders:

1. Participatory Library

[http://www.fao.org/participation/bibdb/retrieval/index\\_en.htm](http://www.fao.org/participation/bibdb/retrieval/index_en.htm)

Library of searchable key word and phrases concerning publications about participatory issues globally includes M & E, planning and follow up M& E. Includes how to do it manuals and reports on PM&E in management of natural resources etc.

2. FAO Lessons Learned

<http://www.fao.org/participation/lessonslearned.html>

Provide a forum to learn from each other's experiences gained through practical application of participatory processes within FAO supported projects or programmes in different sectors. Examples of successful application as well as information regarding difficulties and obstacles when applying participatory approaches are presented.

Emphasis is given to those conclusions, recommendations and lessons learned, which may help others avoid the repetition of mistakes and build on achievements and best practises.

The Lessons Learned texts, presented, give a brief introduction to the project/topic and include the respective lessons text as formulated by the authors. If available, online links to the full document describing these Lessons Learned are provided.



### 3. Field tools

[http://www.fao.org/Participation/ft\\_find.jsp](http://www.fao.org/Participation/ft_find.jsp)

A pool of information, providing instruments at hand for all users dealing/planning to deal with participation.

The core of this section is a collection of participatory field tools, methods and approaches developed or applied by FAO. Each item is presented with comprehensive descriptions, information on application possibilities and contact links to experts and further information.

IDS website - Participation sub section

Through the work of the Participation Group, the Institute of Development Studies serves as a global centre for research, innovation and learning in citizen participation and participatory approaches to development.

<http://www.ids.ac.uk/ids/particip/index.html>

*PM&E*

Tracing the history of Participatory Monitoring and Evaluation

<http://www.ids.ac.uk/ids/particip/research/pme.html>

*Annex 12 Action Plans*

	<b>Action</b>	<b>Timeframe</b>	<b>Responsible</b>	<b>What support do you need?</b>	<b>How do you intend to share results?</b>
<b>Cambodia</b>	<ol style="list-style-type: none"> <li>1. Create evaluation form</li> <li>2. Check field report</li> <li>3. Follow up activities</li> </ol>	June 2002	CFDO, SCALE, trainees	Is there a need for input from Regional Office in monitoring?	<ul style="list-style-type: none"> <li>▪ Workshop</li> <li>▪ Internet</li> <li>▪ E-mail</li> <li>▪ Conference</li> </ul>
<b>Vietnam</b>	<ol style="list-style-type: none"> <li>1. Hold inception program for volunteer</li> <li>2. Establish a functional hub</li> <li>3. Facilitate the CSP process, include inputs on PM&amp;SC</li> <li>4. Document the process for STREAM VSO</li> </ol>		CSP roles and responsibilities for discussion next week	STREAM Regional Office	
<b>Philippines</b>	<ol style="list-style-type: none"> <li>1. Describe M&amp;E system within BFAR Region 6, especially PMED and local government</li> <li>2. Get comments from STREAM regarding summary poverty report and distribute final copy to Region 6/BFAR (send draft to Sonia)</li> <li>3. Helps determine who are interested</li> <li>4. Discussion (comments report to STREAM)</li> </ol>	<p>End August</p> <p>2nd week July -- August</p> <p>End Aug September</p>	Erwin  Ronet  Erwin	Graham, all hubs, Bill	Report on result of reaction to report at BFAR

WORKSHOP ON PROCESS MONITORING AND SIGNIFICANT CHANGE

<p><b>Nepal</b></p>	<ol style="list-style-type: none"> <li>1. Set up office in Nepal</li> <li>2. Visit AICC &amp; DOFD</li> <li>3. Understand and document existing M&amp;E systems of AICC and DoFD</li> <li>4. Understand details about communications as an entry point</li> </ol> <p>Nilkanth Pokharel: Discuss with script writer about how to incorporate STREAM Initiative, i.e., people's livelihoods, in present program framework</p>	<p>August-September</p>	<p>Graham, Nil (AICC), Responsible person (DoFD)</p> <p>Nil, Bill to support</p>	<p>Bill</p>	<p>Share progress with other hubs using e-mail and e-meetings</p>
<p><b>Regional</b></p>	<ol style="list-style-type: none"> <li>1. Assign Process Monitoring and Significant Change tasks, e.g., Bill on India policy project</li> <li>2. Develop initiative-wide system of PM&amp;SC</li> <li>3. Production and dissemination of workshop report</li> <li>4. Assess regional support needs and cross-country guiding principles</li> </ol>	<p>12 July</p> <p>20 July</p> <p>31 July</p>	<p>Graham, Shaun, Bill</p> <p>Graham, Shaun, Bill</p> <p>Graham and Regional Office</p> <p>Bill ++</p>		