

Summary

Process monitoring aims to capture change processes among stakeholders and to enhance understanding of what hinders or enables change. In addition, it can support learning within the Learning Alliance. Process monitoring starts by defining a monitoring framework, which needs to include change processes to be monitored, indicators and data collection methods. The project partners have defined these jointly. After the information is gathered and documented, analyses need to be carried out and formal reporting will take place.

Introduction

Why	<p>During the inception workshop a number of indicators for outcomes of the LA process were formulated. We do not only aim to make an impact in terms of technology, but also to contribute to institutionalising change among stakeholders by building their capacity to understand WASPA related problems, and to deal with these.</p> <p>Process monitoring is a method for capturing such change processes among stakeholders in a structured way. It is a tool to gain understanding on whether change is taking place and what enables or hampers change. In addition, by documenting these changes, we can contribute to dialogue and learning. Therefore, process documentation is also an important tool in WASPA as in other projects using the LA approach.</p>
For who is the note meant?	<p>This note is meant for local team leaders who are responsible for facilitating and monitoring the learning alliance process, as well as for the field staff responsible for collecting information required for monitoring. It might be necessary to translate (part of) the included tools in the local language.</p>
What does this note describe?	<p>During a first workshop in Bangladesh, it was felt important to keep the process monitoring for WASPA focused on one key change process, of capacity of stakeholders to deal with WASPA related problems. A 5 step approach is detailed below which guides the organisation of the process monitoring. In the annexes you will find some examples of tools and the processes traced in the Empowers project.</p>

How to organise process monitoring?

In carrying out process monitoring, a number of steps can be distinguished:

- Step 1: selecting the change process to be monitored
- Step 2: defining indicators
- Step 3: defining responsibilities in data collection and storage
- Step 4: defining framework for analysis
- Step 5: defining responsibilities in analysis and reporting

Each of the steps is detailed below. At the end of each step a table is given which summarises the key points and agreements for each step.

Step 1: Selecting the change processes to be monitored

The first step is the definition and selection of key change processes to be monitored. These are usually the processes that refer to changes among stakeholders, especially in how they understand a certain issue, what their attitude is towards the issue and how they deal with it.

A key change process to which WASPA should contribute is change in capacity of stakeholders to deal with WASPA-related problems in a sustainable manner. This will therefore be the focus of our process monitoring.

Step 2: Defining indicators

Indicators define the elements of analysis for measuring progress of the change process. Because of the nature of the process to be tracked, indicators are mostly qualitative. WASPA aims to build capacity. We first need to define “capacity” more clearly in order to be able to monitor changes. We have chosen to break that down into the knowledge and empowerment of the stakeholders. For both elements of capacity, the following indicators have been defined for our process monitoring:

Change process	Indicators
Capacity of stakeholders to deal with WASPA related issues	<p>For ‘Knowledge’</p> <ul style="list-style-type: none"> - Ability of stakeholders to explain the linkages between WASPA components (sanitation, wastewater, agriculture, hygiene, urban development) - Ability of stakeholders to explain the interests of the other stakeholders relating to the elements of WASPA <p>For ‘Empowerment’</p> <ul style="list-style-type: none"> - Ability of stakeholders to explain their own understanding and interests around elements of WASPA to other stakeholders

These indicators may be further refined as we go, or other, more relevant indicators may be formulated. But, for now, we start with these.

Step 3: Defining responsibilities in data collection and storage

To assess whether change is happening, you will need to interact with the various stakeholders. Change may be made explicit in direct answers to questions, but more often, changes in people’s knowledge and empowerment only become apparent indirectly, through observations they make, questions they ask, solutions they propose, their behaviour in meetings and site visits, and actions they undertake. Process monitoring requires that these are captured in a structured way. In addition, since the WASPA approach is new to the country teams, We will also document change in our own understanding and more generally, what lessons we have learned through the WASPA project regarding WASPAs concepts and approach.

Whenever there are interactions with stakeholders, information can be collected to for process monitoring. There are multiple **sources of information** which may include:

- Records of meetings and workshops
- Semi-structured interviews
- Questionnaires
- Joint site visits
- Informal discussions
- Any other interaction with stakeholders

In order to structure the data collection, the write up of all interactions with stakeholders should include:

- proceedings of the event/ minutes
- key lessons learnt
- observations about stakeholder’s participation in the event (including quotes and “sound-bites”)
- and action points for the project

It is recommended to keep one or more “field diaries”, where those write-ups can be made. These are complementary to the formal proceedings. Annex A provides an example of how you could keep notes of your observations.

Data collection for process monitoring is a continuous activity, whenever there are interactions with stakeholders. In addition, there will be need for specifically targeted data collection activities as well, such as interviews with stakeholders. Observations made by a farmer or an official who accompanies the team during a water quality testing visit can provide as much information as a formal interview with the same person.

This also means that the entire team is the responsible for data collection. Everyone can collect data during his or her interactions with stakeholders. However, it is recommended that one designated person takes overall responsibility for compiling all information, and storing it for analysis.

These steps come together into a **data management plan**, as follows

Data required	Data sources	Data structuring	When	Who
<ul style="list-style-type: none"> - Answers given - Observations made - Questions asked - Proposed solutions - Behaviour and attitude - Practices 	<ul style="list-style-type: none"> - Records of meetings - Semi-structured interviews - Questionnaire - Joint site visits - Informal discussions - Any other interaction with stakeholders 	<ul style="list-style-type: none"> - proceedings - lessons learnt - observations - action points <p>Note: field diary is highly recommended</p>	During any interaction with stakeholders and during specifically targeted events	All team members, under the supervision of one designated person

Step 4: Defining framework for analysis

The analysis will be done according to the indicators. As these are qualitative, the analysis will have to be qualitative as well. The analysis should include:

- The status of each of the indicators. This is the current understanding or level of empowerment of stakeholders. Look here also into contradictions, e.g. when a stakeholder says one thing, but does something different.
- Disaggregation for each of the identified stakeholders. Try to be as specific possible, and use categories identified during the stakeholder analysis.
- References to the field information collected. Analysis according to indicators is not a box ticking exercise, but needs to be backed by quotes, examples or stories from the stakeholders.
- Triggers of change. Describe moments or events that triggered change in knowledge of empowerment of stakeholders.

Using such framework, could yield an imaginative result, as given in the example below:

Stakeholder: Slum dwellers	
Indicator	Status
Ability of stakeholders to explain the linkages between WAPSA components	Slum dwellers realise that they contribute to the wastewater generation, but emphasise that this is due to their lack of access to sanitation. "We would not do our necessities in the canal anymore, if the Municipality would provide us with decent toilets" (Mrs. Khan, community leader, during field visit on 12-3-2005).
Ability of stakeholders to explain the interests of each of the other stakeholder in the different elements of WASPA	Slum dwellers start to understand their rights, especially in relation to services they can expect from the Municipality. "We know that the Municipality has little money, but it is their responsibility to provide sanitation to all people in the Municipality. We can contribute, but we need support" (Mrs. Khan during field visit on 12-3-2005).
Stakeholder: Municipal engineering department	
Indicator	
Ability of stakeholders to explain the linkages between WAPSA components	The municipal engineer has a limited view on the relation between sanitation and hygiene. During the interview she mentioned that "people just have to be participated, and then they will use the toilet".
Ability of stakeholders to explain the interests of each of the other stakeholder in the different elements of WASPA	Before the field visit the engineer did not understand why the slum dwellers have objections to using the public toilets. But, having now gone to the site, she realised that the construction was so bad, that she would never use such a toilet if she lived there.

Step 5: defining responsibilities in analysis and reporting

Analysis needs to happen at different moments in time, and involving different persons. There needs to be **ongoing analysis** to support the implementation of project activities. This should be done once a week, for example every Thursday or Friday, during a short meeting. In this meeting, recent developments need to be discussed and analysed and corrective action, if needed, can be planned. The framework, defined in Step 4, helps guiding those discussions.

In addition, more in-depth analysis needs to happen at certain points in the process. At those moments process monitoring reports will be written, according to the framework for analysis defined in Step 4. Those moments are ideally:

1. at the start (baseline analysis)
2. after the assessment phase
3. after the planning phase
4. at the end of the process

The ongoing analysis is the responsibility of the country facilitator and the field team. The analysis for the four in-depth process monitoring reports will be done by two groups:

- By the process facilitator and field team; this should give the outsider-in perspective, analyzing and articulating the change process that the stakeholders themselves may not see. An outsider (e.g. a journalist) may be useful in helping analysing the raw material.
- Reflective analysis: in this form of insider-out double loop learning, the LA members jointly reflect on the change processes in general. This can be done in some of the meetings and workshops.

The two perspectives need to be combined into one report, and especially when there are contradictions between the two perspectives, those need to be highlighted. It is the responsibility of the country facilitator to oversee this reporting.

The weekly analysis meetings do not have to be reported fully. But, key points of analysis need to be stored. These will be useful as input into the 4 detailed process monitoring reports. The minutes should be stored together with the other material, according to the structure outlined in Step 3.

Because of the sensitivities that may be involved and to guarantee an open atmosphere for stakeholders to critically express themselves, the in-depth analytical reporting will be geared towards internal learning, and not published externally without consent of all stakeholders involved. For external dissemination, informal reports, such as story telling will be useful.

The following table summarises responsibilities in analysis and reporting:

What	When	Who	Format
Ongoing analysis	At the end of every week	Facilitator and field team	Minutes of meetings, to be stored other raw material for full analysis
Process monitoring	At 4 points in the process: - baseline - after assessment - after planning - at end of project	Facilitator and field team LA members themselves	Analytical internal process document External dissemination to be defined

How to document change

It was agreed with the project teams that we would not only produce formal reports, but also try to tell the stories of change that have been observed in the project in a way that is easy to understand. We developed process documentation in the form of illustrated stories that followed progress in the project.

To undertake process documentation effectively, we need:

- a) To ask questions and listen to the stakeholders
- b) To observe
- c) To keep notes of things we observe
- d) To share them in the team, reflect on the change or lessons

a). Ask questions and listen to the stakeholders

What do they say that tells us something about their understanding or awareness?

What do they say that relates to the role/ responsibility of other stakeholders?

What do they say that relates to their relation with other stakeholders (including the WASPA team)?

b). Observe

- What is the actual situation in sanitation, wastewater, agriculture, hygiene, urban development?
-Is the information they give us verified? Or do we find different people telling us different things?
- Do the stakeholders give information easily? Is it easy to talk to them or are they reluctant to talk?
- How do different stakeholders communicate with each other?
- Do they talk as friends? Do they not talk at all? Do they talk as master and servant?
- Do they see any common interests?

c). Keep notes of things we observe

Keep one notebook for your observations.

- Is the communication going well?
- Has something changed in stakeholder's understanding or awareness? What exactly?
- What caused that to happen?
- Are you hearing and seeing things that are new or different from what you heard before?

Annex A provides an example of how you could keep notes of your observations.

Annex C provides an example of processes traced and tools used in the Empowers project

d). Share our notes and observations in the team, reflect on the change or lessons

- When meeting minutes are made, add your notes and observation (for internal purposes).
- Each month before updating the stories, share your notes and observation verbally.
- Check with the field team, have they noticed any changes in the project?

Annex A. : Taking notes

Taking notes: an example

When taking notes, keep the following in mind:

Can I observe a **change**

- In the **interaction** with this stakeholder? (positive or negative?)
- In their **knowledge**?
- In their **attitude or concerns** relating to WASPA **issues**?
- In their **attitude or concerns** relating to WASPA **stakeholders**?
- In their **behavior**?
- In their **willingness or ability to do** something about WASPA issues?

Have I learned something new from them?

Did something go well or badly? Is there something I need to do differently next time?

Both the formal process monitoring reports and the change stories require 'proof'. Therefore, it's important that you:

- Try to be as specific possible for changes observed in each stakeholder group
- Write down quotes, examples or stories from the stakeholders.
- Take pictures that show who is there and what is happening.
- Ask stakeholders to identify what caused the change.
- Describe moments or events that triggered change in knowledge, attitudes or empowerment of stakeholders

The following outline provides an indication of how the change process could be recorded in a field diary. There are many different ways to record the information. The most important issue is that notes are recorded and stored in a way that they are easy to retrieve at a later date, so that adequate follow up is done, but also so that they can be shared with team members for analysis and used for reporting or for updating the change stories.

Date	
Event	[this could be meeting at a silk factory or informal discussion of survey findings with some farmers]
Who	[list the people who were there. Are they the same people as you met with before?]
Knowledge of WASPA issues	[did they say something that relates to their knowledge on sanitation, wastewater reuse or the links between these?]
Relation other stakeholders	[did they say something that relates to other stakeholders?]
Cooperation/ openness	[are they giving information that is correct? Are they committed?]
New information	[have you learned something new from them? Any new contacts or other information?]
Progress	[do you feel it is going well? did the stakeholder express a concern that needs follow up?]
Other	[is there something else you observed]

Annex B: Change stories; A framework to describe and illustrate change:

Each change story must describe the change from the beginning to the present situation.

We need to explain:

- Who is the change story about?
- What change in knowledge/ attitudes/ awareness/ behavior?
- What caused this change to happen?
- Can we show the change? In photos, quotes or observations?

Some extra information about the project can be given in a box on the first page of the story

A note about photos: Photos can be very effective in telling a story. Here are some kinds of photos that could be useful:

Show a person in their environment

Show a specific feature: the drain, someone's hands, garbage etc

Show a relationship: people sitting with their backs to each other, people crowding around an important person

etc

Make sure the photo is of sufficient quality and that the person in the photo has given their consent.

References

For further reading refer to:

Firas T. Abd-Alhadi, Buthaina Mizyed, Rania El-Zoubi, May El-Soda and Ton Schouten (2006) "Effect of process documentation on building the capacities of EMPOWERS stakeholders for local governance (Middle East)" Symposium on Sustainable Water Supply and Sanitation: Strengthening Capacity for Local Governance 26-28 September 2006, Delft, the Netherlands. Available at:

<http://www.irc.nl/page/31141>

Jorge Chavez-Tafur\ Karen Hampson, Anita Ingevall and Rik Thijssen (2007) *Learning From experience ; a Manual of Organising Analysing and Documenting Field Based information*. ILEIA, Centre for Information on Low External Input and Sustainable Agriculture, The Netherlands. Available at

<http://documentation.leisa.info/Documentation%20Manual.pdf>

Ton Schouten (2007)'Briefing Note on Process Documentation' SWITCH project outputs. Available at

<http://www.switchurbanwater.eu>

Annex C: Process Documentation Matrix from the EMPOWERS project (unpublished)

WHAT – Key Processes	WHEN/WHERE	HOW	TOOLS
<p>Decision making process:</p> <p>Documenting context for decision making - key issues to consider:</p> <ul style="list-style-type: none"> • who are part of the decision making processes in water management • who are not part of the decision making process – why not • which outsider groups influence decision making • how are decisions in water management taken – formally and informally • why are decisions in water management taken the way they do – why not shared • are there conflicts in decision making - which • is decision making a transparent process – why or why not • what are the problems with this type of decision making process • did the decision making process go through changes in history – which and why <p>Documenting the Empowers process of decision making - key issues to consider:</p> <ul style="list-style-type: none"> • are stakeholders willing to change the decision making process – why • is there resistance to change the decision making process – why and on what • are there conflicts of interest between stakeholders – on what • can every stakeholder have the same access to information • which traditional relationships or habits influence the decision making process • do vulnerable groups have a say in the decision making process – how and why not • is the decision making process more equal and how is this organised • do stakeholders consider shared decision making to contribute to the achievement of their own goals • do stakeholders consider shared decision making to contribute to the wider goal of improved water resources management 	<p>Documenting context for decision making:</p> <ul style="list-style-type: none"> • Part of this must be sought in history • Part of this is still taking place and can be “ground truthed” through interviews with representatives of stakeholders <p>Documenting the Empowers process of decision making:</p> <ul style="list-style-type: none"> • When there are meetings where different stakeholders discuss • Interview people before and after the meetings on expectations and concerns 	<p>Documenting context for decision making:</p> <ul style="list-style-type: none"> • Interviews – go to knowledgeable people (professors, retired bureaucrats etc.) and interview them • Read studies and literature <p>Documenting the Empowers process of decision making:</p> <ul style="list-style-type: none"> • Make a protocol for observation in meetings • Interview participating stakeholders before and after meetings 	<p>Documenting context for decision making:</p> <ul style="list-style-type: none"> • Interviews and transcription of interviews • Reading and summaries of articles/books <p>Documenting the Empowers process of decision making:</p> <ul style="list-style-type: none"> • Observation protocol • Interview protocol • Film stars: portraits of representatives of each stakeholder group • Diaries of stakeholders or Empowers team members • Video sequences of meetings/contact • Ask stakeholders to video/photo their own environment • Stakeholder workshops • RAAKS tools

WHAT - Key Processes	WHEN/WHERE	HOW	TOOLS
<p><u>Process of concerted action:</u></p> <p>Documenting context of concerted action – key issues to consider:</p> <ul style="list-style-type: none"> • how do stakeholders organise internally (formally and informally) • how do stakeholders traditionally communicate to other stakeholders (formal and informal networks) • are there dependency relationships between stakeholders – which stakeholders are involved, on what and how • do pressure groups and civil society have opportunities to execute influence • do stakeholders take initiatives for improved water management – what and how • where do stakeholders meet and negotiate • what is the role of government in promoting, hampering concerted action • do all stakeholders have the same access to information • what is the history of concerted action in water management – what are the changes over time <p>Documenting the Empowers process of concerted action–key issues to consider:</p> <ul style="list-style-type: none"> • do all stakeholders have the same objectives • why are stakeholders willing to cooperate • why are stakeholders resisting to cooperation • do stakeholders consider concerted action to be beneficial for all • do stakeholders follow up on agreed actions • are stakeholders willing to change the way they have cooperated so far - why • do stakeholders communicate with their constituencies • are there misunderstandings about each other's opinions – which • do all stakeholders participate equally in meetings and events 	<p>Documenting context of concerted action:</p> <ul style="list-style-type: none"> • Part of this must be sought in history • Part of this can be observed in existing networks and existing meeting places of stakeholders <p>Documenting the Empowers process of concerted action:</p> <ul style="list-style-type: none"> • When there are meetings where different stakeholders discuss • Interview people before and after the meetings on expectations and concerns 	<p>Documenting context of concerted action:</p> <ul style="list-style-type: none"> • Interviews – go to knowledgeable people (professors, retired bureaucrats etc.) and interview them • Read studies and literature • Case studies of initiatives taken by stakeholders <p>Documenting the Empowers process of concerted action:</p> <ul style="list-style-type: none"> • Observation protocols for meetings • Interviews with stakeholders and transcriptions 	<p>Documenting context of concerted action:</p> <ul style="list-style-type: none"> • Interviews and transcription of interviews • Reading and summaries of articles/books • Searching for or writing case studies <p>Documenting the Empowers process of concerted action itself:</p> <ul style="list-style-type: none"> • Observation protocol • Interview protocol • Film stars: portraits of representatives of each stakeholder group • Diaries of stakeholders or Empowers team members • Video sequences of meetings/contact • Ask stakeholders to video/photo their own environment

WHAT - Key Processes	WHEN/WHERE	HOW	TOOLS
<p>Process of behavioural/attitude change:</p> <p>Documenting context of behaviour/attitude change – key issues to consider:</p> <ul style="list-style-type: none"> • what do stakeholders consider to be their peer group (shared values, beliefs, norms) • who influences the opinions of the stakeholder groups • do stakeholders consider the history of water management in their country important – what are the achievements made in history • what are stakeholders’ beliefs, norms, prejudices and values towards water use and management • what are stakeholders’ beliefs, norms, prejudices and values towards working with each other • how do stakeholders describe each others attitude/behaviour • how are the stakeholders known – stigmas, nick names, jokes made about each other • what are the roots of behaviour/attitude of the stakeholders • is there easy contact or big social and cultural distance between stakeholder groups • which attitudes hamper or promote concerted action and shared decision making <p>Documenting behaviour/attitude change in Empowers process – key issues to consider:</p> <ul style="list-style-type: none"> • what is the impact of specific behaviour and attitude on the decision making and concerted action process in Empowers – which • does the behaviour and attitude of stakeholders change through the process of concerted action and shared decision making in Empowers – which and how • does the social and cultural distance between stakeholder groups change in Empowers – why and how • is there a difference between how people behave in their own stakeholder groups and when they meet other stakeholders in Empowers – which differences 	<p>Documenting context of behaviour/attitude:</p> <ul style="list-style-type: none"> • Part of this must be sought in history • Part of this is still taking place and can be “ground truthed” through interviews with representatives of stakeholders <p>Documenting behaviour/attitude change in Empowers process:</p> <ul style="list-style-type: none"> • In internal meetings (formal and informal) • Where stakeholders meet each other (formal and informal) • Interview people before and after the meetings on expectations and concerns 	<p>Documenting context of behaviour/attitude:</p> <ul style="list-style-type: none"> • Interviews – go to knowledgeable people (professors, retired bureaucrats etc.) and interview them • Read studies and literature <p>Documenting behaviour/attitude change in Empowers process:</p> <ul style="list-style-type: none"> • Go to formal and informal meetings for observation of behaviour • Make a list of attitude features and use it for observation • Interview the stakeholders how they perceive each other’s attitude 	<p>Documenting context of behaviour/attitude:</p> <ul style="list-style-type: none"> • Interviews and transcription of interviews • Reading and summaries of articles/books • Anecdotes/stereotypes/jokes of attitude and behaviour (stories told) <p>Documenting behaviour/attitude change in Empowers process:</p> <ul style="list-style-type: none"> • Observation protocol • Interview protocol • Film stars: portraits of representatives of each stakeholder group • Video sequences of meetings/contact • Ask stakeholders what they consider as “high values and rituals” and video/photo them • Stakeholder attitude survey

WHAT - Key Processes	WHEN/WHERE	HOW	TOOLS
<p>Process of empowerment:</p> <p>Documenting context of empowerment – key issues to consider:</p> <ul style="list-style-type: none"> • who has traditionally the power in water management – who not • have the power relationships in water management always been accepted by all stakeholders • are the power relationships in water management accepted by all stakeholders • do the stakeholders think that they have enough power (rights and capacities) in the water decision making process – why not • do all stakeholders have the same (legal and practical) rights to organise themselves and participate in the decision making process • do all stakeholders have the same capacities to organise themselves, to participate, to communicate • what are the accountability relationships – who is accountable to who – and are these being practiced <p>Documenting empowerment in the Empowers process – key issues to consider:</p> <ul style="list-style-type: none"> • are power relationships changed through Empowers – informal and formal • has the balance of power changed through Empowers and are all stakeholders satisfied with that • what caused the changes in the balance of power – due to the Empowers project or due to other factors • have the capacities to participate in the decision making process changed - how • have the rights to participate in the decision making process changed - how • is empowerment depending on the presence of the project(team) or is it sustainable 	<p>Documenting context of empowerment:</p> <ul style="list-style-type: none"> • Part of this must be sought in history • Part of this is still taking place and can be “ground truthed” through interviews with representatives of stakeholders <p>Documenting empowerment in Empowers process it self:</p> <ul style="list-style-type: none"> • Where the stakeholders meet • Through interviews • Records of people claiming rights in organisations • Records of complaints 	<p>Documenting context of empowerment:</p> <ul style="list-style-type: none"> • Interviews – go to knowledgeable people (professors, retired bureaucrats etc.) and interview them on issues under • Read studies and literature <p>Documenting empowerment in Empowers process:</p> <ul style="list-style-type: none"> • Go to formal and informal meetings for observation of behaviour • Make a list of attitude features and use it for observation • Interview the stakeholders how they perceive each other’s attitude 	<p>Documenting context of empowerment:</p> <ul style="list-style-type: none"> • Interviews and transcription of interviews • Reading and summaries of articles/books • Searching for or writing case studies <p>Documenting empowerment in Empowers process:</p> <ul style="list-style-type: none"> • Observation protocol • Interview protocol • Film stars: portraits of representatives of each stakeholder group • Video sequences of meetings/contact • Ask stakeholders what they consider as “high values and rituals” and video/photo them • Stakeholder attitude survey