

Comparing conditions and results of a joint monitoring and evaluation protocol in 5 countries: success, failures and lessons

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Contributors

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Ethiopian team: Lemenih, M., Cullen, B., Lema, Z., Leta, G., Regassa, T., Molla, G., Zemadim, B., Desalegn, M., Damtew, E., Debevec, L., Hundessa, G., Adie, A., Megersa Lenjiso, B.,
French team: Abrami, G., Barreteau, O., Morardet, S.
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Interns: Baha, K.

WHY MONITORING AND EVALUATING A PARTICIPATORY PLANNING PROCESS? (OBJECTIVES)

Field objectives For local stakeholders:

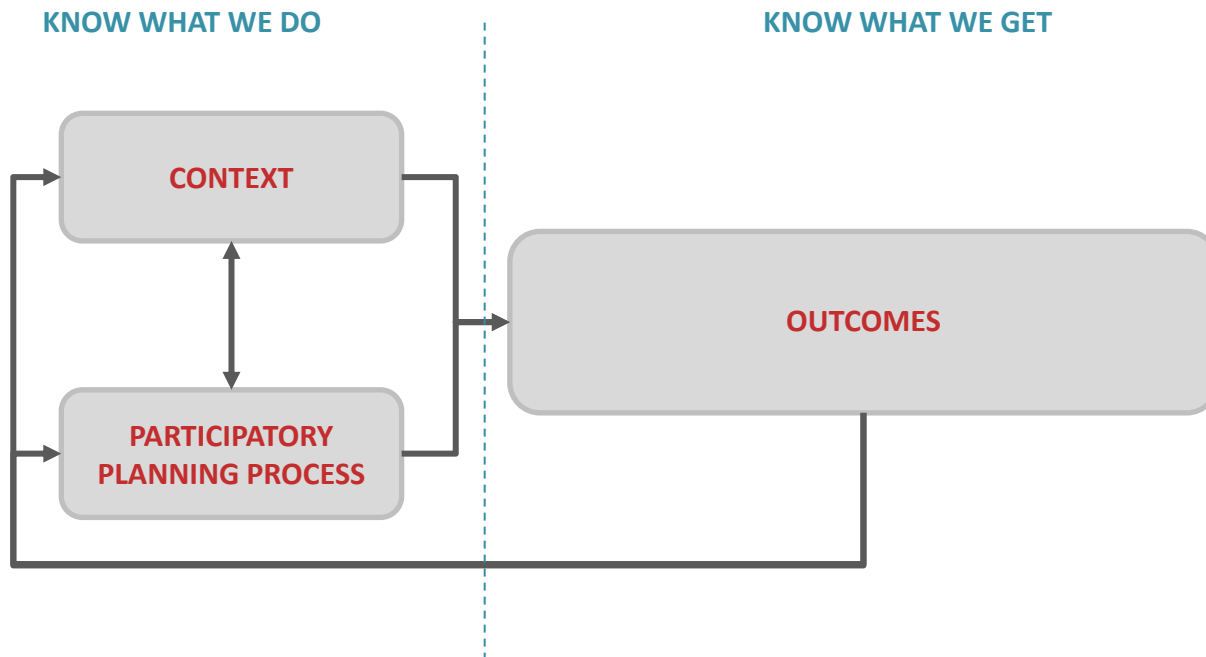
- To get a reflexive understanding of the planning process, its resulting plans, as well as other resulting impacts (behavioural change, emerging organisations, new rules, etc.) (Arydannykh,2011; Daniell et al., 2008)
- To make their progress and results visible to themselves and higher policy makers
- To set the scene for the future monitoring and evaluation of plan implementation and adaptation

Research objectives For scientists and practioners:

- To assess to what extent is the participatory planning process “changing change” and subsequently improve the methods
- To assess the exemplary value of the case studies’ experience for other countries



WHAT DO WE MONITOR AND EVALUATE? (VARIABLES)



Some of the ground references used for building the framework: Ducrot et al, 2013; Ferrand, 2004 ; Ferrand & Daniell, 2006; Rowe, 2004; Ostrom, 2005,2009; Saleth, 2006; Avenier, 2005; Pahl-Wostl, Kabat, & Möltgen, 2008; Rijke et al., 2012; Simon, 1993; Anderies, Janssen, & Ostrom, 2004; Grothmann & Patt, 2005; Klein, Nicholls, & Mimura, 1999; Connick & Innes, 2003; Hanak & Lund, 2011; Lempert, Scheffran, & Sprinz, 2009; Smith, 1973



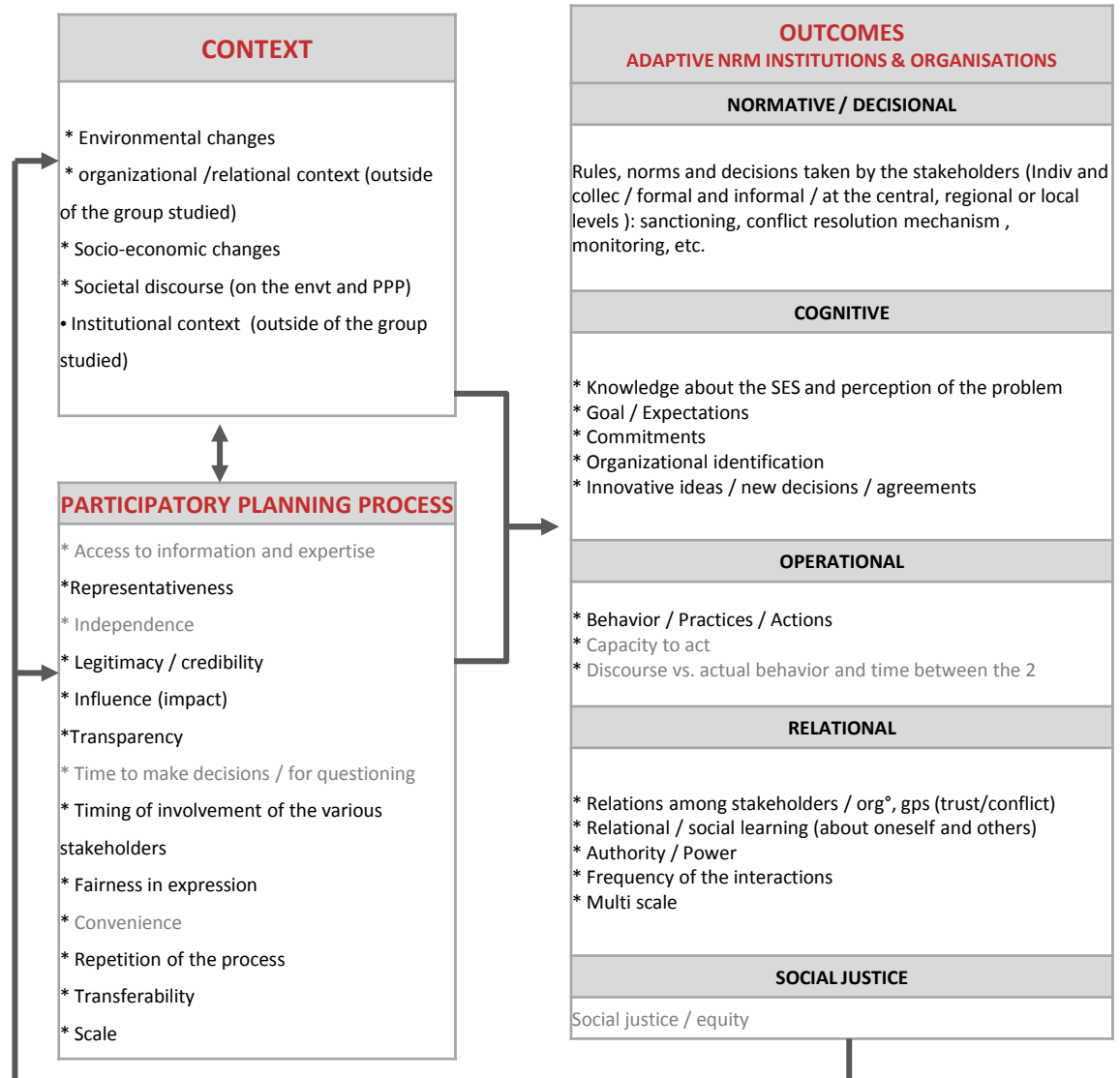
WHAT DO WE MONITOR AND EVALUATE? (VARIABLES)

3 main selection criteria :

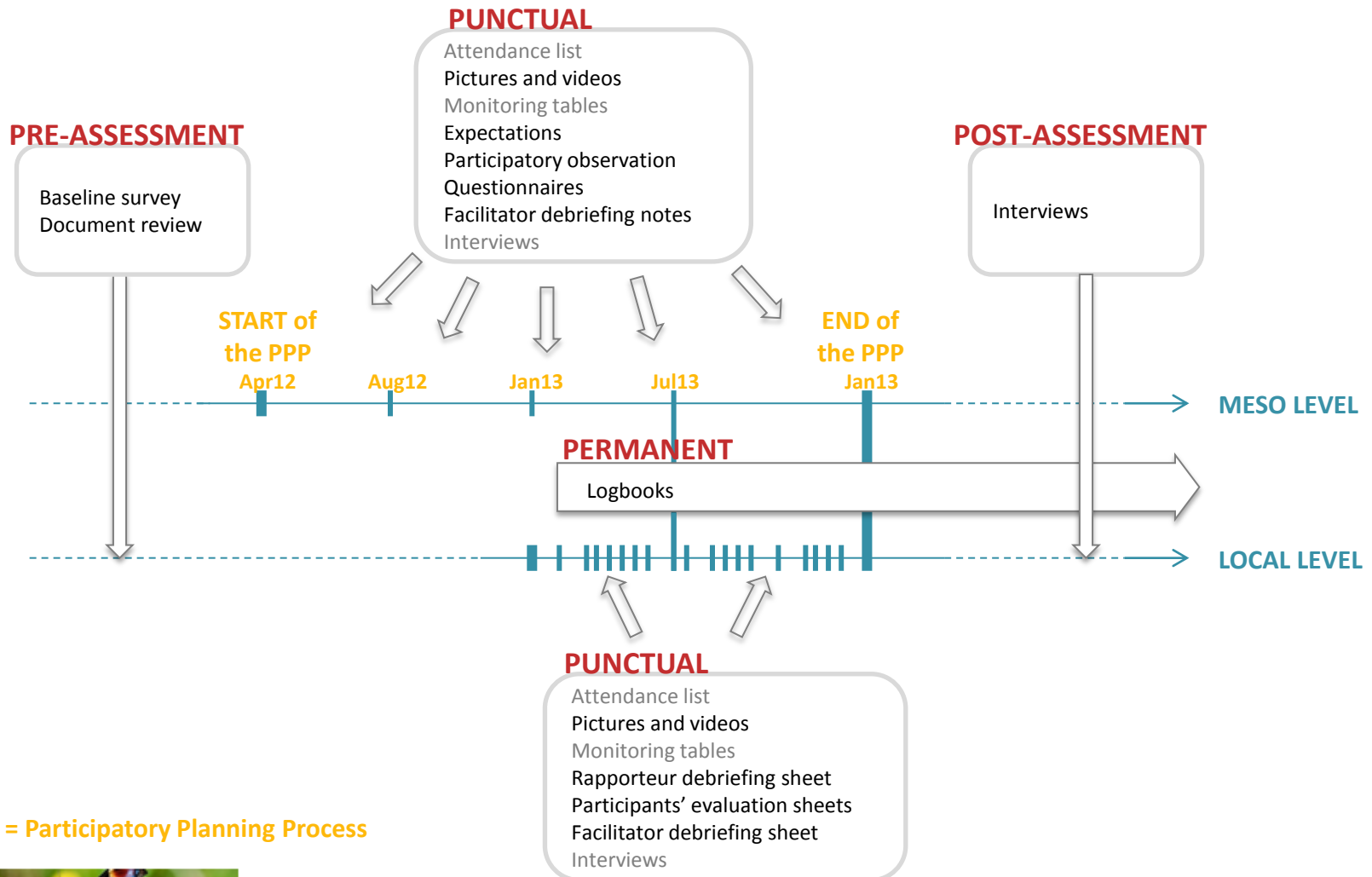
- Relevance in regards to the M&E objectives
- Recurrence in literature
- Identification by stakeholders

4 different stages to monitor outcomes and process variables:

- Initial situation (only for outcomes) (before the process)
- During the process
- Following year or 2 (?)
- Longer term (?)



HOW DO WE MONITOR AND EVALUATE? (PROTOCOL & TOOLS)



PPP = Participatory Planning Process



HOW DO WE MONITOR AND EVALUATE? (PROTOCOL & TOOLS)

PUNCTUAL

1. Attendance list
2. Pictures and videos
3. Monitoring tables
4. Expectations
5. Participatory observation
6. Questionnaires
7. Facilitator debriefing notes
8. Interviews

MESO LEVEL

1. Attendance list

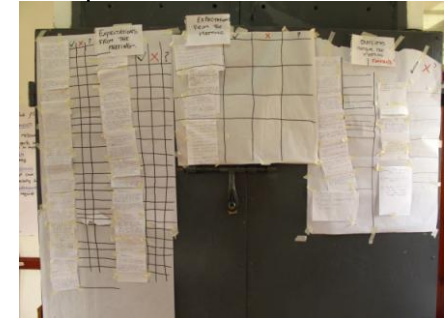
2. Pictures and videos



3. Monitoring tables

Monitoring table				
UP STREAM			Players in trouble	Activities played
Initial situation	17	0	0	
Round 1 DATE: ... / ... / ...				
Round 2 DATE: ... / ... / ...				
Round 3 DATE: ... / ... / ...				
Round 4 DATE: ... / ... / ...				

4. Expectations



8. Interviews



7. Facilitator debriefing notes



6. Questionnaires



5. Participatory observation



HOW DO WE MONITOR AND EVALUATE? (PROTOCOL & TOOLS)

PUNCTUAL

1. Attendance list
2. Pictures and videos
3. Monitoring tables
4. Rapporteur debriefing sheet
5. Participants' evaluation sheets
6. Facilitator debriefing sheet
7. Interviews

LOCAL LEVEL



Transfer to researchers
via logbook

2. Pictures and videos



4. Rapporteur debriefing sheet



5. Participants' evaluation sheets



6. Facilitator debriefing sheet



DATE 12-10-13

Strongly agree	☹	I enjoyed participating in this meeting	☺	Strongly agree
Strongly disagree	☹	I learned about natural resources in the Rwenzori	☺	Strongly disagree
		After this meeting, I will...		
		practice better methods of farming like growing ground nuts		
		KALWENHO JUKET		
		I could discuss and share with other participants		Strongly disagree
		Relevant actions were suggested		Strongly agree
	☒		☑	



HOW DO WE MONITOR AND EVALUATE? (PROTOCOL & TOOLS)

PERMANENT

Logbooks

(Etienne, 2009)

Logbook 1: Uganda AfroMaison Logbook

Tracking all stakeholders interventions, sessions, interactions, events, operational change, and other external or contextual factors



3 forms/files:

- Events
- Participants
- Participants/Events

Events' form

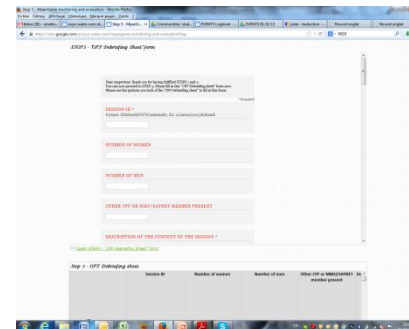
Event ID no.	Events	Type of Start event	Month	Year	Precise / Approximation	Duration	Animator Who called it / who had the idea?	Language	Location	Support if any / documents	Observations / Debriefing, feedback, synthesis	Outcomes	Source
1	EU FP7 AFROMAISON project proposal meeting	Meeting with ES Team	December	2009	Precise	2/2 day		English	Vice-Chancellor's Office, MMU, Fort Portal	Minutes	1. Update on consortium proposal development 2. AFROMAISON, the agency coordinating this consortium proposal submission, have accepted the Rwenzori region as a case study with MMU as the case study lead.	* SORESMA, the agency coordinating this consortium proposal submission, have accepted the Rwenzori region as a case study with MMU as the case study lead.	AFROMAISON meeting minutes 11.12.09
2	Visit of Tom D'Haeyer to Fort Portal	Meeting AfroMaison	July	2010	Approximation			English	Fort Portal		* We were visited by Tom D'Haeyer who briefed us further about how the project would be organised and the role his organisation Serema (now ANTEA) will play.		AFROM'1 meeting minutes 25th Jan 2011
4	Signature of the Grant Agreement with EU	Meeting AfroMaison	December	2010	Approximation					Grant Agreement with the EU			AFROM'1 meeting minutes 25th Jan 2011

Events' file



Logbook 2: MpanGame monitoring and evaluation

For entering all the M&E documents related to the local sessions



6 forms/files:

- Monitoring tables
- Rapporteur debriefing sheet
- Facilitator debriefing sheet
- Participant evaluation sheet
- Community strategies
- Rapporteur Debriefing sheet for strategy feedback session



Joint M&E Protocol – E.Hassenforder
2nd Science for the Environment Conference
Aarhus Denmark 3-4 October 2013

COMPARISON OF THE IMPLEMENTATION OF THE JOINT M&E PROTOCOL IN THE 5 CASE STUDIES



	★★★★ Uganda	★★★ Ethiopia	★★ South Africa	★ Mali	Tunisia
State of implementation of the M&E protocol	Presented above Based on the original AfroMaison M&E framework (ENCORE) but modified to incorporate specificities linked to my thesis	Same than Uganda But: • only meso-scale (no extension at local scale) • Logbook filled in retroactively • individual longitudinal follow-up through Video interviews	Original AfroMaison M&E framework (ENCORE - Ducrot et al, 2013; Ferrand & Daniell, 2006) + interview of team members and participants	Expectations Facilitators' notes Questionnaires Report after workshops	Reports after meetings
	importance of M&E, very supportive even though not specifically trained for it	the importance of M&E + professional skills (anthropologists and social scientists) Implementation aligned with another project with similar M&E objectives – availability of means	specifically on the process	the importance of M&E even though not specifically trained for it	
Products	1 thesis Reports after each workshop		1 master dissertation (Pommerieux, 2012)		Reports after meetings

SAMPLE RESULTS FROM THE RWENZORI, UGANDA

Context	Participatory Planning Process	Outcomes
<ul style="list-style-type: none"> • Dense network of formal and informal NRM organisations • Many rules and bye-laws but not applied • Failure / lack of performance of past initiatives • Ethnic conflicts between batoro, bakonzo and bamba • Refugees (60 000 from RDC) > pressure on NR • Existing social networks among participants 	<ul style="list-style-type: none"> • Size: about 800 regular participants, more than 1500 « one-shot » participants, • 131 community sessions in total (Jan-Jun13) • 50% are women, 33% are men and 17 are children (cty level) • Vertical and horizontal extension > multiscale • Autonomy • Acceptance of certain aspects of the process fostered by attractive tools (Role-playing-game) (Abrami et al., 2012). • Issues of power intervene 	<ul style="list-style-type: none"> • 3 meso-scale plans + 27 local plans > 1 draft regional INRM plan • Innovant actions suggested that did not exist in the region (ex: brick-making from garbage) • Substantive learning (about consequences of daily practices, upstream/downstream relationships, socio-eco and environmental dynamics, etc.) • Social Learning across scales, inside and outside the group (about others' constraints, interconnectedness among stakeholders) • Some conflicts and arguments • Early organizational identification • High stakeholders' Commitments • Behavioural change, new practices



CHALLENGES AND KEY SUCCESS FACTORS IN IMPLEMENTING A M&E PROTOCOLE

CHALLENGES	KEY SUCCESS FACTORS
Procedural	
Low tech	Mostly paper-based M&E + frequent interactions + use of tabs
Low education levels (at the local level up to 50% of participants are illiterate)	Use of symbols
M&E not only punctual but permanent/ongoing	Hiring of rapporteurs, use of 2 logbooks (Etienne, 2009)
Autonomisation and transfer > potential self-evaluation risks	Triangulation of data collected
Participants evaluation sheets > participants not used to rate + symbols not always understood	Thorough explanations of the objectives and the raison-d'être of the M&E protocol + how to use/fill in the tools
Project team members and champions not always having M&E skills	Champions with a great knowledge of the SES
Participants not always using the same names > individual longitudinal follow-up difficult	Need for a local focal point person cognizant with the local social network to coordinate the M&E
Substantive	
Tracking of internal causality: what is doing what on what within the dispositive	Deepened and extensive interviews with team members, non-participants and participants
Transfer and use of the same M&E process in other case studies → intervention required ?	Publications and communication on the conditions, protocol and results of this M&E process
Alternative participatory planning processes?	
Links between M&E of the plans, of the process and of the implementation of the plans (adaptiveness)	



Thank you !!

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