

Guiding Principles for Monitoring and Evaluation

- As with assessments, monitoring and evaluation can take place at whatever level is relevant to the organization seeking the information, which will be similar levels to those at which assessments are conducted.
- Define and agree with stakeholders what will be monitored and evaluated early in project development.
- A mix of qualitative and quantitative approaches is likely to be the most useful for monitoring and evaluation in a post-disaster situation. Participatory performance monitoring and household surveys are two especially useful qualitative tools.
- Assessment data are a critical source of baseline information for evaluation, another reason to promote the sharing of this information among agencies.
- Government can simplify the task of tracking reconstruction if it provides agencies with guidance on the indicators it wishes to be monitored at the project level. The indicators to be monitored should be based on the reconstruction policy.
- Good monitoring and evaluation principles are not different in a post-disaster situation, but to apply them may require more flexibility and imagination.
- If government is not prepared to aggregate data collection from multiple agencies to monitor reconstruction, agencies in one sector or region should consider coordinating the monitoring among themselves.


This Chapter Is Especially Useful For:

- Lead disaster agency
- Agencies involved in reconstruction
- Project managers
- Affected communities

Introduction

Monitoring and evaluation shouldn't be confused with each other. Monitoring is the routine, daily assessment of ongoing activities and progress, while evaluation is the periodic assessment of overall achievements. Monitoring looks at what is being done, whereas evaluation examines what has been achieved or what impact has been made.

There are countless audiences for the information that comes from the monitoring and evaluation of post-disaster projects, including funders, government, executing agencies, the general public, and—of course—the affected community.

In  Chapter 2, Assessing Damage and Setting Reconstruction Policy, it is suggested that information gathered and produced in a post-disaster assessment might be looked at as a “public good.” A similar case can be made for monitoring and evaluation results, given the large number of stakeholders for most reconstruction projects.

Yet monitoring and evaluation of humanitarian and development activities, while often attempted, are not always that effective as tools to communicate results. Monitoring and evaluation can be even more difficult for disaster-related projects: project assessments and designs may have been hastily prepared, baselines are often not established, and the necessary data might be hard to collect. But good monitoring and evaluation not only improve project outcomes for stakeholders, they have the potential to contribute to international understanding of what “works” in reconstruction—knowledge that is still in somewhat short supply.

Many good tools and resources are available for monitoring and evaluation under “normal conditions.” However, few methodologies have been adapted specifically to the disaster environment. Even so, this chapter argues for a rigorous, yet participatory and flexible approach to monitoring and evaluation in all aspects of housing and community reconstruction.

This Chapter is from “Safer Homes, Stronger Communities: A Handbook for Reconstructing after Natural Disasters,” published by the World Bank in January 2010. Additional chapters, other resources, and ordering information for the handbook can be found at the handbook Web site: www.housingreconstruction.org.

The World Bank states that an impact evaluation is intended to determine whether the program had the desired effects on individuals, households, communities, and institutions and whether those effects are attributable to the program intervention. But when there are multiple agencies with multiple interventions in the same locality, it may be difficult to attribute impact to any one project.

Key Decisions

1. The **lead disaster agency** should decide how monitoring and evaluation will be carried out within the reconstruction program.
2. The **lead disaster agency**, in consultation with **agencies involved in reconstruction**, should decide how information on expenditures and progress at the project level will be tracked and reported, in order to facilitate consolidation.
3. **Agencies involved in reconstruction** should jointly define protocols for collecting and consolidating sector information, in the absence of government guidance.
4. **Agencies involved in reconstruction** should decide how they can involve affected communities in monitoring and evaluation activities.
5. **Agencies involved in reconstruction** should decide how the results of monitoring and evaluation activities will be shared with the affected community and the general public.
6. **Affected communities** should demand that monitoring and evaluation provide objective project results, which may imply contracting third-party evaluators to conduct them.

Public Policies Related to Monitoring and Evaluation


Government may have policies that require monitoring and evaluation (M&E),¹ and some even require the disclosure of the results of projects built with public funds. Most donors, international financial institutions (IFIs), and nongovernmental agencies have internal M&E policies as well. However, there may not be any policy that governs the reporting of project results by agencies to government or to project beneficiaries.

Monitoring, like assessments, may be an area where there are efficiencies in collaboration, but not necessarily the right incentives. Government should consider establishing protocols for the collection and reporting of post-disaster data, in order to facilitate collection, consolidation, and analysis at the national level. Rules may also be needed to establish minimum parameters for the M&E of projects and to require the disclosure of results. With these rules in place, government can track the progress and the effectiveness of all expenditures related to the disaster and of all the projects being carried out.

Technical Issues

A Comprehensive Project Evaluation

A comprehensive project evaluation includes several distinct elements,² all of which are covered in this chapter. The elements are the following.

- **Monitoring:** to assess whether a program is being implemented as was planned. A program monitoring system enables continuous feedback on the status of program implementation, identifying specific problems as they arise.
- **Process evaluation:** to analyze how the program operates. Focuses on problems in service delivery.
- **Cost-benefit or cost-effectiveness evaluation:** to assess program costs (monetary or non-monetary), in particular their relation to alternative uses of the same resources and to the benefits being produced by the program.
- **Impact evaluation:** to determine whether the program had the desired effects on individuals, households, and institutions, and whether those effects are attributable to the program intervention. (A detailed discussion of impact evaluation is found in  Annex 1, How to Do It: Conducting an Impact Evaluation of a Reconstruction Project.)

What to Monitor and Evaluate in Reconstruction

While evaluation is more strategic than monitoring, which has an operational focus, both monitoring and evaluation are about two things: learning and accountability. This no different in a post-disaster reconstruction project. While it may sound obvious, it still bears mentioning: agencies must carefully define what should be monitored and evaluated, and why, before designing the M&E program.

1. Monitoring and evaluation are separate but related activities, often discussed together. The handbook uses the convention of referring to the two activities together as “M&E.”


2. Judy L. Baker, 2000, *Evaluating the Impact of Development Projects on Poverty: A Handbook for Practitioners*, (Washington, DC: World Bank), <http://go.worldbank.org/8E2ZTGB010>.

In an evaluation of the 1998 Armenia, Colombia, earthquake reconstruction,³ Gonzalo Lizarralde proposes the following as the aspects of post-disaster housing project to evaluate:


1. Efficiency	Were the local and external resources optimized?
2. Results	Were the targeted outputs attained?
3. Timing	Were the outputs available at the right time?
4. Quality	Was this a good project in the environment where it was used?
5. Pertinence	Were the outputs made available to the right people?
6. Acceptability	Did the local community use the outputs/services offered?
7. Strategy	Did the outputs offered correspond to the needs of the population?
8. Scope	How much of the real need was covered? Is that percentage satisfactory?
9. Impacts/objectives	Did the project reduce the vulnerabilities of the population?
10. External aspects	How did the environment affect the results of the project?



Monitor and Evaluate Programs, Projects, or Households?


As with assessments, M&E takes place at whatever level is relevant to the organization seeking the information. With one exception, these levels are similar to those at which assessments are conducted, although unlike with assessments there is little movement toward common M&E standards. These levels are:

- National reconstruction program (multi-sectoral) M&E
- Housing and community sector-level M&E
- Program or project-level M&E for a specific reconstruction project (not an assessment level)
- Household-level M&E (generally collected using household surveys) (see the  case study, below, on the unexpected results of a household survey following the 2004 Indian Ocean tsunami reconstruction in Indonesia)

The following table compares the separate characteristics of M&E at each level and shows the responsible party.

Level	Monitoring	Evaluation	Responsible party
National reconstruction (multi-sectoral) M&E	Equivalent to tracking system discussed in  Chapter 15, Mobilizing Financial Resources and Other Reconstruction Assistance.	Reconstruction program evaluation is conducted once reconstruction is substantially complete.	<ul style="list-style-type: none"> ■ Government ■ United Nations (UN) agencies ■ Donors as a group
Housing and community sector M&E	Tracking system should provide monitoring at the sector level to ensure equitable distribution of resources among sectors. Process monitoring may be useful at the sector level if a set of programs is using standard processes.	Joint evaluation of all programs in the housing and community reconstruction sector in a locality might be considered. Conducted once reconstruction is complete, or midway through if problems arise. ⁴	<ul style="list-style-type: none"> ■ Government ■ United Nations agencies or Clusters ■ Donors as a group ■ Academic institution
Program or project M&E ⁵	Monitoring system should be established for each project or program as part of project design. Monitoring should include the effectiveness of project processes. If government defines monitoring indicators, information will be compatible with national tracking system. Donor and IFI programs may cover more than one sector and be monitored at both program and project level. Project monitoring should be accessible by the affected community, and the monitoring system may be Web-based, as was done in the Community-Based Settlement Reconstruction and Rehabilitation for NAD and Nias Program in Indonesia. ⁶	The feasibility and need for evaluation of a project or program should be defined during project design. Donor and IFI programs may cover more than one sector, and need to be evaluated at both program and project level. An “Implementation Completion Report and Results Report” is prepared for all World Bank projects. The report provides detailed information about project outcomes. Many are publicly available. ⁷ Project sponsors should consider conducting an addition ex post evaluation several years after project completion.	<ul style="list-style-type: none"> ■ Program or project sponsor ■ Affected community or its representatives can organize local M&E using participatory approach ■ Sponsor should be required to report results to government ■ Evaluation should be carried out by third party(ies)

3. Gonzalo Lizarralde, 2002, “Organizational Design, Performance and Evaluation of Post-Disaster Reconstruction Projects,” <http://www.grif.umontreal.ca/pages/i-rec%20papers/gonzalo.PDF>.
4.  Chapter 2, Assessing Damage and Setting Reconstruction Policy, Annex 2, How to Do It: Assessing Post-Disaster Housing Damage, provides an assessment methodology based on Land Ownership and Housing, Final Report (Informe Final, Tenencia de la Tierra y la Vivienda), conducted in Peru to analyze the effect of the 2008 Ica/Pisco earthquake by Centro de Estudios y Promoción del Desarrollo; the UN Human Settlements Programme (UN-HABITAT); the Department for International Development; and the Ministry of Housing, Construction and Sanitation. This assessment was carried out one year after the earthquake to evaluate the problems with the reconstruction program.
5. A concurrent construction audit can be used to monitor a construction project. A construction audit scope of work is included in  Chapter 19, Mitigating the Risk of Corruption, Annex 3, How to Do It: Conducting a Construction Audit.
6. World Bank, “Community-based Settlement Reconstruction and Rehabilitation Project for NAD and NIAS,” <http://web.worldbank.org/external/projects/main?Projectid=P096248&Type=Overview&theSitePK=40941&pagePK=64283627&menuPK=64282134&piPK=64290415>.
7. World Bank, “Documents and Reports,” <http://go.worldbank.org/LRCBQPWF40>.

Level	Monitoring	Evaluation	Responsible party
Household M&E	<p>Monitoring the needs and perceptions of the affected community in real time can be carried out using feedback mechanisms, two-way communications, surveys,⁸ community scorecards, and other tools.</p> <p> Annex 2, How to Do It: Conducting a Social Audit of a Reconstruction Project, includes information on three participatory performance monitoring methodologies. An addition tool is participatory impact assessment.⁹</p>	<p>Outcomes at the community level and perceptions of the affected community should be central topics of the project evaluation.</p> <p>Household satisfaction surveys or beneficiary monitoring studies should be conducted as part of the evaluation.</p> <p>Public sources of survey data and World Bank formats can be used to standardize the household surveys used to collect evaluation data.</p>	<ul style="list-style-type: none"> ■ Agencies involved in reconstruction ■ Government (housing ministry, for example) may conduct household-level monitoring to see effects of its own or agency programs ■ Affected community or its representatives can organize local M&E using participatory approach

How Agencies Organize Project Information

IFIs, nongovernmental organizations (NGOs), and development and humanitarian agencies use two principal frameworks for defining and organizing project goals, objectives, and monitoring indicators. They are the “results framework” and the “logical framework.” They are both explained here to promote a shared understanding of organizations’ approaches to M&E.

The results framework. Monitoring and evaluation take place in the context of a strategic dialogue among development agencies and their governmental clients about “aid effectiveness.” Many development agencies, including the World Bank, have in the past few years oriented their development interventions to conform and contribute to the “Managing for Development Results” agenda. This approach combines a coherent framework for development effectiveness with practical tools for strategic planning, risk management, progress monitoring, and outcome evaluation. For maximum effect, it requires:

- objectives that are clearly stated in terms of expected outcomes and beneficiaries;
- intermediate and higher-order outcome indicators and targets;
- systematic monitoring and reporting;
- demand for results by partner countries and development agencies alike;
- an effective and continuous dialogue on results; and
- strengthening of country capacity to manage for results.

These principles were endorsed in the Rome Declaration on Harmonization in February 2003 and further developed by the Organisation for Economic Co-Operation and Development (OECD) in various reference materials.¹⁰

8. Extensive information on designing and conducting household surveys is available at International Household Survey Network, <http://www.internationalsurvenetwork.org/home/>; and World Bank “Poverty Net, Accessing Surveys,” <http://go.worldbank.org/B50PMCIUV0>.
9. Andrew Catley, John Burns, Davit Abebe, Omeno Suji, 2008, *Participatory Impact Assessment: A Guide for Practitioners* (Boston: Feinstein International Center at Tufts University), <https://wikis.uit.tufts.edu/confluence/display/FIC/Participatory+Impact+Assessment>.
10. Organisation for Economic Co-Operation and Development, “Aid Effectiveness,” http://www.oecd.org/department/0,2688,en_2649_3236398_1_1_1_1_1_1_100.html and “Managing for Development Results,” <http://www.mfdr.org/>.



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As a result of these agreements, a number of agencies, including the World Bank and the U.S. Agency for International Development, now use the “results framework” to organize and report on project processes and outcomes. Results-based management and results frameworks are similar to logical frameworks (discussed below), but they take a broader look at the context of the project in an organization. While often used for strategic planning, results frameworks are useful for project-level design as well.

A results-based approach aims to improve management effectiveness and accountability by defining realistic expected results, monitoring progress toward the achievement of expected results, integrating lessons learned into management decisions, and reporting on performance. Inputs and the activities that transform them into outputs reflect the process of implementing projects and program rather than desirable end results in themselves. The results framework presents project objectives and indicators in the following format.

Monitoring and Results Framework Matrix

Project development objective	Outcome indicators	Use of outcome information
Overall objective for project	List of indicators that will be used to monitor outcomes	Assess whether expected results are being achieved
Intermediate results	Results indicators for each component	Use of results monitoring
Component 1		
Results 1-1 to 1-n	Indicators to monitor each result	How monitoring will occur for each result
Component 2		
Results 2-1 to 2-n	Indicators to monitor each result	How monitoring will occur for each result
Component 3 (project management may be counted as a component)		
Results 3-1 to 3-n	Indicators to monitor each result	How monitoring will occur for each result

This matrix is accompanied by a second matrix that describes in detail the baseline data for key indicators, the target values, and the data collection and reporting arrangements.


The logical framework matrix. The logical framework matrix (LFM) is a project “snapshot” that is still used by a number of international agencies. It is an instrument for arranging the 10 questions listed above in a logical, succinct way, to define project, program, or policy objectives, and to identify expected causal links (the “program logic”), outcomes, and impact. It also helps identify indicators for M&E at each stage, as well as potential risks.

Logical Framework Matrix¹¹


	Activity description	Indicators – answer the question	Sources of verification	Assumptions and risks
Goal	The broad pro-poor development “impact”/higher-level objective to which the activity will contribute	“Is progress being made towards the goal?”	How the information will be collected, when and by whom, and how it will be reported.	
Development objectives or purpose	The more specific development outcome(s) to be achieved by the activity.	“Have the activity outcomes been achieved?” measured in terms of quality, quantity, and time.	Sources of information and how it will be reported.	Factors outside the activity management’s control that may affect the activity objectives to goal link.
Results or outputs	The products and/or services delivered by the activity that are under the implementation management’s control.	“Have the outputs been delivered?” measured in terms of quality, quantity, and time.	How the information will be collected, when and by whom, and how it will be reported.	Factors outside the project management’s control that may affect the output to activity objective link.
Tasks/activities	The tasks that have to be completed to deliver the planned outputs.	Inputs: Summary of the program/project budget.	(Sometimes a summary of costs/budget is given in this box).	Factors outside the activity management’s control that may affect the tasks/activities to output link.

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11. New Zealand’s International Aid & Development Agency (NZAID), 2006 [updated 2007], “Logical Framework Approach, Annex 5: Developing a Logical Framework Matrix,” <http://nzaidtools.nzaid.govt.nz/logical-framework-approach/annex-5-developing-logical-framework-matrix>.

The  case study, below, on the reconstruction in Colombia following the 1999 Armenia earthquake, shows how the results of the project were reported using an LFM.

Data Management Issues in Monitoring and Evaluation

Availability of baseline data. Good M&E depends on establishing a valid baseline, to make it possible to know whether the project being monitored or evaluated has really had an effect. Baseline data for housing and community reconstruction will generally consist of social and economic indicators for households and physical development indicators for the community. Baseline data can be collected specifically for the project or come from post-disaster assessments, census bureaus, studies carried out during project preparation, the Humanitarian Information Center, or other donors. Information and communications technology, including photographic and geographic information systems, can be used in monitoring and to collect baseline data. (See  Chapter 17, Information and Communications Technology in Reconstruction.) If there is a commitment to good monitoring, government and donors should be able to combine forces to develop adequate baselines for the disaster area.

Availability of monitoring and evaluation data. M&E should cover processes, costs and benefits, and impacts. The project's design and results framework or logical framework will help define what specifically should be monitored and evaluated. "Output" and "activity" data will be generated by the project's own monitoring and financial systems; the project should be set up to facilitate the collection of these data. Other data may come from the national-level tracking system and/or surveys and data-gathering exercises that government and donors may conduct jointly. The following table shows some potential sources of baseline and M&E data.

Potential Sources of Data for Monitoring and Evaluation¹²

	Sources of baseline data	Sources of M&E data
Goal Recovery of nation from disaster and contribution to larger development goals	National assessment data National census Household surveys National accounts	National monitoring data National census Household surveys (existing or new) National accounts Reconstruction programmevaluation
Objectives or purpose Normalize economic and social activities through the restoration of essential housing and basic infrastructure	National assessment data National census Household surveys National accounts Regional accounts Local and sector assessments State/municipal social indicators	Reliable sources of social and economic indicators Data collection by third parties may be advisable
Outputs Build or repair houses and public and social infrastructure		Output data from project monitoring system Community surveys Joint assessments
Tasks/activities The tasks that have to be completed to deliver the planned outputs		Data from project financial system Project indicators from monitoring/tracking system

The disaster environment. Above all, the disaster environment itself may be what makes M&E so difficult. The World Bank states that an impact evaluation is intended to determine whether a program had the desired effects on individuals, households, communities, and institutions, and whether those effects are attributable to the program intervention. But when there are multiple agencies implementing multiple interventions in the same locality, it may be difficult to attribute impact to any one project. In addition, some of the results sought from post-disaster projects are qualitative or difficult to measure ("commitment to building back better" or even "greater community participation"). Disaster projects are sometimes designed rapidly with insufficient information, necessitating adjustments during implementation, and making agencies reticent to have their work "judged." And, there is apt to be turnover and inexperience in the executing agency and higher priorities in government than providing census or other data to donors. Therefore, project designers should be practical when identifying indicators and means of verification for post-disaster projects. Third parties may be needed to collect the data or run the monitoring program

12. NZAID, New Zealand's International Aid & Development Agency (NZAID), 2006 [updated 2007], "Logical Framework Approach, Annex 5: Developing a Logical Framework Matrix," <http://nzaidtools.nzaid.govt.nz/logical-framework-approach/annex-5-developing-logical-framework-matrix>.



altogether. But government should not hesitate to establish rules for monitoring and to send the message that agencies must be accountable for the resources they are spending. For a detailed discussion of post-disaster impact evaluation, see 📖 Annex 1, How to Do It: Conducting an Impact Evaluation of a Reconstruction Project.

Audits versus Monitoring and Evaluation

At times, the word “audit” is used interchangeably with “monitoring.” Audits can serve a monitoring function, especially if they are carried out in a concurrent manner. However, audits generally measure results in a more structured way against predefined rules and practices. Formally, an audit analyzes:

- the legality and regularity of project expenditures and income, in accordance with laws, regulations, and contracts, such as loan contracts and accounting rules;
- the efficiency of the use of project funds measured against accepted financial practices; and
- the effectiveness of the use of project funds, that is, whether they were used for the intended purposes.

See 📖 Chapter 19, Mitigating the Risk of Corruption, for a discussion of the purposes of audits and the types that may be useful in post-disaster reconstruction projects.

Social audits. Social audits are a special form of audit that is used for “participatory performance monitoring” purposes. With social audits, the public and the affected community oversee and report on an organization’s activities or a reconstruction project. With proper supervision, participatory performance monitoring can be used to collect either qualitative or quantitative information for M&E. For details on conducting a social audit and a summary of other participatory performance monitoring mechanisms, see 📖 Annex 2, How to Do It: Conducting a Social Audit of a Reconstruction Project.

Risks and Challenges

- Poor coordination within the housing sector or with government prevents data from being aggregated across the sector.
- Assessment data are not shared among agencies, government, and others stakeholders, causing inconsistencies and excess data collection costs.
- Lack of baseline data for projects or insufficient time to develop baselines.
- Project staff lacks commitment to monitoring, leading to delays in the implementation and limited availability of M&E information by project managers.
- Participatory M&E methods are not employed because of limited capacity or lack of commitment.
- Multiple baselines are developed and multiple monitoring indicators are used.
- Evaluations are conducted “in-house” and don’t convey actual project results.
- Information from M&E systems is not shared so learning about which reconstruction interventions are effective does not take place.

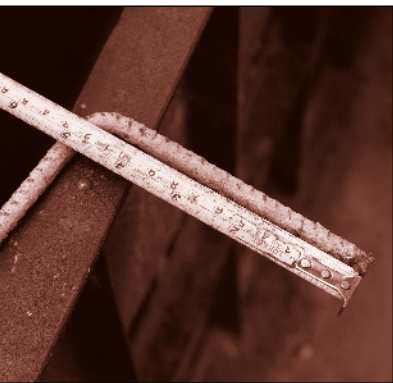
Recommendations

1. Take M&E seriously in housing and community reconstruction, in spite of the complexities of the post-disaster environment.
2. At the same time, be realistic about the challenges and design a monitoring system that is easily manageable while producing reliable results.
3. Consider conducting an impact evaluation using qualitative methods, alone or in combination with quantitative methods.
4. Take advantage of the knowledge gained during assessment when designing the M&E processes and establishing the project baseline.
5. Work with government and other donors to harmonize M&E indicators, so that information on project results can be compared and aggregated.
6. To avoid bias when conducting program evaluations, use objective, experienced evaluators. It is most likely that this will entail hiring outside evaluation experts.
7. Don’t just monitor the affected community. Involve them in project M&E, using social audits or other participatory monitoring methods, and make sure the community receives the results.



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Case Studies

1999 Earthquake, Armenia, Colombia

Monitoring and Evaluation of the Colombia Earthquake Recovery Project

Damages from the 1999 Armenia, Colombia, earthquake were estimated at US\$1.6 billion dollars. Some 560,000 people suffered direct earthquake losses, and 1.5 million more residing in 5 departments (provinces) and 28 municipalities in the region were affected indirectly.

The development objective for the World Bank's Earthquake Recovery Project for reconstruction after the earthquake was "to assist project beneficiaries to normalize economic and social activities through the restoration of essential housing and basic infrastructure built according to adequate seismic standards." Components of the project included (1) grants of up to US\$6,000 for shelter assistance to homeowners who met established criteria and for new houses for renters in vulnerable groups, (2) rehabilitation and retrofitting of social infrastructure, (3) rehabilitation of public infrastructure, (4) capacity building for natural disaster management, (5) social capital restoration, and (6) project management. The project was approved on March 21, 2000, and closed on August 20, 2002.

The reconstruction program was under permanent control, monitoring, and auditing by public entities, such as the General Controller's Office, as well as private entities and citizen oversight groups, which permitted a guarantee from all stakeholders that the projects were being properly executed both physically and financially. Official project monitoring responsibility was contracted to a consortium of universities. Bank staff conducted nine monitoring missions to Colombia during execution of the loan.

The project was given a highly satisfactory rating in the Implementation Completion and Results Report dated January 10, 2003.¹³ The following were the results of the project.

13. World Bank, 2003, "Implementation Completion Report on a Loan in the Amount of US\$225 Million to the Government of Colombia for the Earthquake Recovery Project," <http://go.worldbank.org/KTH3BR97W0>.

Project Indicators	Projected	Actual	Results
Outcome/impact indicators			
Increase in the amount of new and repaired housing meeting seismic codes	43,480		Subsidies for units partially damaged
	17,550		Subsidies for units destroyed
	18,420		Subsidies for units structurally damaged
		100,000	Subsidies to repair housing
		13,000	Subsidies to rebuild housing of owners
		17,000	Subsidies to rebuild housing of tenants
Total housing	79,450	130,000	
Number of families relocated from temporary shelters		600	Families in temporary shelters reduced from 14,000 in 1999 to 600 in 2002.
Lower unemployment in the project area		19%	Rate of unemployment fell from 52% in 2/99 to 19% by 2001.
Number of reconstruction and micro-zoning plans implemented in the project area		All	Land use plans developed for all municipalities in the region and used in relocation/reconstruction effort.
Total impact	79,450	130,000	
Output indicators			
	Units	Units	
Schools	650	604	
Churches	161	60	
Other public buildings	417	355	
Total outputs	1,228	1,019	
Activities/expenditures			
	Million US\$	Million US\$	
Housing	243.00	243.05	
Social infrastructure	75.00	82.40	
Public infrastructure	115.00	107.60	
Disaster management	7.00	7.00	
Social capital	8.00	8.00	
Management	19.75	19.75	
Total baseline cost	467.75	467.80	
Total project costs	467.75	467.80	
Front-end fee	2.25	2.25	
Total expenditures	470.00	470.05	



2004 Indian Ocean Tsunami, Aceh, Indonesia

Who Cares about Quality?

The Indonesian organization Urban Poor Linkage Indonesia (UPLINK) is a national coalition of NGOs and community-based organizations that focuses on urban poor issues. UPLINK provided emergency help and housing reconstruction assistance to 25 villages in one of the coastal areas that was most affected by the 2004 tsunami in Aceh, Indonesia. The project completed more than 3,300 houses using a participatory approach. The reconstruction work of UPLINK won an international award and was recognized by various national and international technical evaluations for the outstanding quality of the new houses.

While expressing general satisfaction with UPLINK's work, people voiced some reservations about its high quality. In fact, a survey carried out in 2007 revealed that a significant number of people considered such factors as size, number of rooms, provision of a kitchen or a porch and furniture, and an overall "modern" house more important than quality or protection from future disasters. Houses with inferior quality but with free furniture were more appreciated than the high-quality, unfurnished houses provided by UPLINK. In addition, people expressed a willingness to forgo the participatory process used by UPLINK if a contractor-built house was bigger and looked more modern! This indicates that in evaluating housing assistance options, people evaluate numerous features, including size, design, and amenities of the housing package, and that important considerations for funding agencies, such as the quality and safety of construction, are not necessarily a priority for the homeowners and accordingly are unlikely to be considered when families begin expanding their homes. In the case of UPLINK, people surveyed considered the quality as "excessive" and would have preferred a more standard quality in exchange for a little extra space, a kitchen, or a porch.

Source: Jennifer Duyne Barenstein et al., 2008, *People-Driven Reconstruction and Rehabilitation in Aceh: A Review of Uplink's Concepts, Strategies and Achievements* (Aachen: Misereor).

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How to Do It: Conducting an Impact Evaluation of a Reconstruction Project

As discussed in this chapter, a comprehensive project evaluation includes several distinct elements.¹ This chapter provides guidance on whether to carry out an impact evaluation of a post-disaster housing and community reconstruction project, and recommends resources that are available to support the process, should it be decided to conduct one.

The elements of a comprehensive project evaluation are the following.

- **Monitoring:** to assess whether a program is being implemented as was planned. A program monitoring system enables continuous feedback on the status of program implementation, identifying specific problems as they arise.
- **Process evaluation:** to analyze how the program operates. Focuses on problems in service delivery.
- **Cost-benefit or cost-effectiveness evaluation:** to assess program costs (monetary or non-monetary), in particular their relation to alternative uses of the same resources and to the benefits being produced by the program.
- **Impact evaluation:** to determine more broadly whether the program had the desired effects on individuals, households, and institutions, and whether those effects are attributable to the program intervention.

Is an Impact Evaluation Required?


A true impact evaluation is one designed to answer the so-called “counterfactual questions”: How would individuals who participated in the program have fared in the absence of the program? And if those who were not involved in the program had been incorporated, what would have been the outcome? Impact evaluation therefore requires establishing a valid comparison group of individuals who were not in the program, but on whom the program would have had a similar impact had they participated. The identification of this comparison group is critical to any impact evaluation.

The additional effort and resources required for conducting impact evaluations are best mobilized when the project is innovative and replicable, involves substantial resource allocations, and has well-defined interventions. Impact evaluations can also explore unintended consequences, whether positive or negative, on beneficiaries.

Before carrying out an impact evaluation, it must be determined whether one is warranted. The costs and benefits should be assessed, and consideration should be given as to whether another approach, such as monitoring of key performance indicators or a process evaluation, would be adequate or more appropriate. An impact evaluation requires:

- a need and desire to assess the causality associated with the project;
- strong political and financial support; and
- an ability to “net out” the effect of the interventions from other factors through the use of comparison or control groups.

Qualitative techniques are also used for carrying out impact evaluation, without attempting to make a causal connection. The focus is on understanding processes, behaviors, and conditions as they are perceived by the individuals or groups being studied. There are risks associated with using qualitative methods alone to evaluate impact, including subjectivity in data collection, the lack of statistical robustness, and generally small sample sizes, which make it difficult to generalize to a larger, representative population. The validity and reliability of qualitative data are very dependent on the skill of the evaluator and field staff in interpreting the information they collect.

However, there are benefits from using qualitative information that might be especially relevant in the post-disaster context, where a quantitative impact evaluation may be impossible. Qualitative assessments are flexible, can be carried out using rapid techniques, and can employ novel data collection approaches. They can also enhance other elements of the impact evaluation by providing an understanding of stakeholder perceptions and priorities that may in turn have affected program impact. The affected population can even play a role in qualitative evaluation, using such tools as participatory monitoring. Three participatory monitoring techniques are described in this chapter in  Annex 2, How to Do It: Conducting a Social Audit of a Reconstruction Project.

Clarifying Evaluation Objectives

Once it has been determined that an impact evaluation is appropriate and justified, it is necessary to establish clear objectives and agree on the issues that will be the focus of the evaluation. Clear objectives are essential to identifying information needs, setting output and impact indicators, and constructing a solid evaluation strategy to provide answers to the questions posed. Statements of objectives that are too broad do not lend themselves to evaluation.

A logical framework or results framework can provide the basis for identifying the goals of the project and the information needs for the evaluation. If either of these has been prepared during project preparation, it should serve as the starting point for defining objectives and issues for the evaluation. If not, it can be developed in preparation for the evaluation. Reviewing other evaluation components, such as cost-effectiveness or process evaluations, may also be important objectives of a study and can complement the impact evaluation. A process

evaluation can assess the procedures, dynamics, norms, and constraints under which a particular program is carried out. Qualitative and participatory methods can also be used to assess impact.

No evaluation technique or set of techniques is perfect. The evaluator must make decisions about the tradeoffs for each method chosen during the planning of the evaluation.

Impact Evaluation Best Practices

Although each impact evaluation will have unique characteristics requiring different approaches, a best practice impact evaluation should include:

- an estimate of the counterfactual by (1) using random assignment to create a control group (experimental design), and (2) appropriately and carefully using other methods, such as matching to create a comparison group (quasi-experimental design);
- to control for pre- and post-program differences in participants, and to establish program impacts, relevant data collected at baseline and follow-up (including sufficient time frame to allow for program impacts);
- sufficiently sized treatment and comparison groups to establish statistical inferences with minimal attrition;
- cost-benefit or cost-effectiveness analysis to measure project efficiency; and
- qualitative techniques to allow for the triangulation of findings.

Identifying a control group is challenging under ordinary circumstances; for a post-disaster project, it may be considerably harder. This may be due to the fact, for instance, that the project takes place only in a specific location (where the disaster occurred), that those who participate have special characteristics (all members of the affected population whose houses were destroyed), or that it may not be ethical to withhold assistance from some who were affected. Selecting the control group can be accomplished using methodologies that fall into two broad categories: experimental designs (randomized) and quasi-experimental designs (nonrandomized).

Main Steps in Designing and Implementing Impact Evaluations

During Project Identification and Preparation

1. Clarify objectives of the evaluation
2. Explore data availability
3. Design the evaluation
4. Form the evaluation team
5. If data will be collected:
 - (a) Select sample design
 - (b) Develop data collection instrument
 - (c) Staff and train fieldwork personnel
 - (d) Pilot test
 - (e) Data collection
 - (f) Data management and access

During Project Implementation

6. Collect data on an ongoing basis
7. Analyze the data
8. Write up the findings and discuss them with policy makers and other stakeholders
9. Incorporate the findings in project design

Slum Upgrading as a Model for Post-Disaster Reconstruction Projects

Limited material on impact evaluations following disasters is available to draw on. However, significant work has been done by the World Bank and others on impact evaluations for specific types of infrastructure projects and for slum upgrading projects, which provide a framework for evaluating housing and community reconstruction projects. Because slum upgrading projects have many similarities with multi-sectoral community reconstruction projects, this annex recommends drawing on this experience.

According to the World Bank,² slum upgrading consists of physical, social, economic, organizational, and environmental improvements within neighborhoods. These projects may be undertaken by citizens, community groups, businesses, and local and national authorities. Typical actions include:

- regularizing security of tenure through property mapping, titling and registration;
- installing or improving basic infrastructure, including water, waste collection, storm drainage, electricity, security lighting, and public telephones;
- removal or mitigation of environmental hazards;
- providing incentives for community management and maintenance;
- constructing or rehabilitating community facilities, such as nurseries, health posts, and community centers;
- home improvement, including material upgrading, new construction, and expansion of existing structures;
- improving access to health care and education and programs to address community issues, such as crime and substance abuse;
- enhancement of income-earning opportunities through training and micro-credit; and
- crime control.

Some of the challenges faced in slum upgrading evaluations that are relevant to evaluations of housing and community projects are discussed below.

Slum Upgrading Evaluation Challenges Relevant to Reconstruction Project Evaluation

1. Mobility	High turnover in the project site will create distortions in the findings, but may also be a project outcome, so should be evaluated carefully.
2. Rural-urban ties	Mobility of residents to and from rural areas and the transfer of funds through worker remittances are potential impacts that should be evaluated.
3. Informal sector	Residents may be participating in both the formal and informal commercial and credit sectors, and evaluations should capture both and the changes in both from the project. Residents may be more forthcoming about formal than informal economic activity, income, etc., creating distortions in data.
4. Population heterogeneity	In urban settings with more diverse populations, it may be important to disaggregate findings by gender, race, ethnicity, and/or class. Certain interventions may be more effective with some subgroups than others. Ethnic group relationships may also be affected by the project.
5. Spillovers	Project benefits may extend outside the project boundaries and make it difficult to measure impact and to select the control group, particularly in more dense, urbanized areas.
6. Contamination	The behavior of the control group may change if its members know about the project and anticipate it being delivered to them in the future.
7. Crime	Residents may be reticent to disclose certain information about economic or criminal activity in neighborhoods where crime is a problem and data sources other than direct reporting may be required.
8. Multiple simultaneous interventions	Projects covering several sectors, such as community reconstruction projects, are difficult to evaluate because the impacts of specific elements are difficult to separate out. Potential solutions include comparing to projects with different sets of interventions, or projects with elements sequenced differently, but these may be difficult to find. Where there are multiple actors in charge of different types of interventions, close cooperation is required among sponsors to conduct an impact evaluation.

Outcome Indicators for Housing and Community Reconstruction

The following indicators (some taken from slum upgrading projects) are relevant for post-disaster reconstruction projects. Specific outcomes within these categories should be chosen based on the details of the intervention and anticipated effects.

Housing indicators

- Housing reconstructed/rehabilitated by number and type of housing
- Housing reconstructed/rehabilitated by tenancy type
- Housing safety improvements by number and type
- Displacement and return
- Completion rates of housing
- Household occupancy
- Household size
- Household satisfaction (process, project, housing, services, amenities)
- Real estate market effects

Social indicators

- Time use in household
- Time to work
- Childhood occupation by gender
- Intrahousehold bargaining and gender issues
- Fertility
- Mental health, including stress and depression

Community-level indicators

- Residential segregation
- Social services access/quality
- Public services access/quality
- Community environmental management and risk reduction
- Distance to work and social services
- Indicators of social capital (participation, bartering)
- Political enfranchisement

Economic indicators

- Household income and distribution
- Employment and income generation activities
- Formal sector integration
- Credit market demand and access
- Cost recovery
- Composition of assets
- Formal and informal taxes

Program indicators

- Distribution and use of subsidies
- Household contribution to reconstruction
- Population displacement time/cost
- Cost per unit of construction/rehabilitation (housing and community facilities)
- Overhead cost per unit of construction/rehabilitation (housing and community facilities)
- Impact on local markets



Household Surveys and Survey Data

Household and community surveys are the most common instruments for collecting data for impact evaluations. They can be used to collect both quantitative data to evaluate project impacts and qualitative information to evaluate household satisfaction and perceptions of reconstruction projects.³ The World Bank Urban Sector Board has designed a prototype survey instrument, organized by sector, that includes comprehensive printable household and community questionnaires for evaluating slum upgrading projects and that is useful for data collection for evaluating post-disaster projects.⁴ Guidance on questionnaire design and sampling is available from the International Household Survey Network (IHSN).⁵

There are multiple data sources that may help reduce data collection costs for an impact evaluation, such as administrative data, household survey data, census data, facility survey data, industry data, specialized survey data, participatory

assessments, and geographic information system and global positioning system data.

Household surveys are essential analysis tools for collecting information on satisfaction and other project results at the household level. A census covers the whole population in the country. A survey covers only a subset—generally a small fraction—of all households. Common survey types include single-topic surveys, multi-topic surveys, demographic and health surveys, employment surveys, rapid monitoring surveys, service satisfaction surveys, and specialized.

The use of household surveys has become increasingly widespread around the world, as has the effort to standardize survey design and survey indicators. Government may be able to supply survey data for an impact evaluation. There are also a number of online sources of survey data, as shown below.

Public Sources of Survey Data

IHSN	The IHSN is a partnership of international organizations seeking to improve the availability, quality, and use of survey data in developing countries. It provides a central survey catalogue that lists existing and planned surveys by country, as well as other technical resources on household surveys. http://www.internationalsurvenetwork.org/home
Poverty Net Web site of the World Bank	This site provides an extensive list of household survey data sources around the world. http://go.worldbank.org/PCRSXRI320
World Bank Development Data Platform (DDP)	DDP lists existing household surveys along with questionnaires, other documentation, and datasets by country. http://go.worldbank.org/AM8Z12FUL0
World Bank Survey-Based Harmonized Indicators Program (SHIP) for Africa	SHIP facilitates the monitoring of social and economic outcomes of national development programs using standardized household survey data. http://go.worldbank.org/4FSNHCFAA0

Expertise Required for an Impact Evaluation

An impact evaluation should be carried out only by evaluation experts. The team may include a combination of international and national consultants. A proposed evaluation design should be provided to the consultants or should be developed by them and approved by the agency contracting the consultancy.

A basic impact evaluation team includes an impact evaluation manager, a lead researcher and a research assistant, field supervisors, and interviewers.

- The manager clarifies the objectives of the evaluation, taking into account the client's needs, drafting the terms of reference for the team members, reaching agreement among the team members and the client about implications of the implementation of the evaluation, and coordinating the field work.
- The lead researcher, usually an economist, is responsible for selecting the evaluation methodology; defining and supervising the data collection strategy, including survey and sampling design; supervising the field work; conducting the quantitative analysis; and writing the evaluation report.
- The research assistant is responsible for giving support to the lead researcher, especially when it comes to designing the data entry programs and processing data to produce basic results for the qualitative analysis.

- Field supervisors oversee the interviewees and other data collection in the field. Use of national consultants to carry out the field work is a common practice to overcome language and cultural barriers.

Some evaluation teams include a sociologist and/or an anthropologist to ensure community participation and to perform the qualitative analysis. A fieldwork manager may be needed to supervise data collection, including scheduling the field supervisors and interviewers. The team should coordinate its work with government officials in relevant sectors. Examples of terms of reference for an impact evaluation are available from the World Bank.⁶

Annex 1 Endnotes

1. Judy L. Baker, 2000, *Evaluating the Impact of Development Projects on Poverty: A Handbook for Practitioners*, (Washington, DC: World Bank), <http://go.worldbank.org/8E2ZTGB010>.
2. Erica Field and Michael Kremer, 2006, *Impact Evaluation for Slum Upgrading Interventions* (Washington, DC: World Bank), http://siteresources.worldbank.org/INTISPA/Resources/383704-1146752240884/Doing_ie_series_03.pdf.
3. Examples of post-disaster household survey instruments and results in the public domain are limited. See Sarah Zaidi, 2006, "Results of the RISEPAK-LUMS January Household Survey in the Earthquake Affected Areas of Mansehra and Muzaffarabad" (RISEPAK: Lahore), for one example from the 2005 North Pakistan earthquake.
4. Ana Goicoechea, 2008, "Preparing Surveys for Urban Upgrading Interventions: Prototype Survey Instrument and User Guide" (Washington, DC: World Bank), http://siteresources.worldbank.org/INTURBANDEVELOPMENT/Resources/336387-1169585750379/UP-6_Surveys.pdf.
5. IHSN, <http://www.internationalsurvenetwork.org/home>.
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Annex 2

How to Do It: Conducting a Social Audit of a Reconstruction Project

Background

Participatory performance monitoring refers to the involvement of citizens, users of services, or civil society organizations (CSOs) in the monitoring and evaluation of service delivery and public works. Participatory performance monitoring can make an important contribution to reducing corruption and improving the quality of post-disaster reconstruction. This guidance covers the use of social audits in detail, and briefly mentions two other methods of participatory performance monitoring: citizen report cards (CRCs) and community score cards (CSCs).

A social audit (sometimes also referred to as social accounting) is a process that collects information on the resources of an organization or on a particular project, such as a housing or infrastructure reconstruction project.¹ The information is analyzed and shared publicly in a participatory fashion. Although the term “audit” is used, social auditing does not merely consist in examining costs and finance—the central concern of a social audit is how resources are used for social objectives.

Purpose

The scope of social audits may differ. They may be used for investigating the work of all government departments over a number of years in several districts. They may also be used to manage a particular project in one village at a given time. Most social audits will usually consist of the following activities and outcomes:

- Produce information that is perceived to be evidence-based, accurate, and impartial
- Create awareness among beneficiaries and providers of local services
- Improve citizens’ access to information concerning government documents
- Be a valuable tool for exposing corruption and mismanagement
- Permit stakeholders to influence the behavior of government
- Monitor progress and help to prevent fraud by deterrence

How to Implement a Social Audit

Social audits methodologies vary considerably and are influenced by the country context, the availability of information, and the legal and political framework. In general, implementation would include the following steps.

Activity	Considerations
Definition of objectives	The objectives of the social audit exercise should be clearly delineated. As a first step, one should identify the relevant agencies/projects that will be subjected to audit, the time frame for the audit, and the factors/indicators that will be audited.
Identifying stakeholders	The stakeholders should be identified and included in the whole process. The stakeholders should be a mix of government actors from different levels, service providers and/or contractors, representatives of CSOs, beneficiaries, and workers of the service providers or contractors. Special consideration should be given to marginalized social groups.
Data collection	<p>Social audits use a combination of different methods for obtaining relevant data, including interviews, surveys, quality tests, compilation of statistics, case studies, participant observation, evaluation panels, and relevant official records. This is a crucial stage in the process but is often difficult and frustrating, since the agencies under investigation may not have kept records properly or may be unwilling to provide such records. It is important to include the officials from the agencies that are being evaluated, since officials may be more willing to provide information if they are included and gain and understanding of the potential benefits of the process.</p> <p>Quality tests may be expensive to conduct and not feasible given budget constraints. In cases where quality tests were conducted (e.g., testing the quality of the cement used in a construction or the bitumen premix for a road), they often produce hard evidence of resource misuse.</p> <p>The process of collecting data is extensive and takes a lot of time. Audit committees in each community can be made responsible for interviewing representatives, such as the municipal mayor and the head of the procurement and contracts unit, for visiting the sites (roads, buildings, etc.), and for collecting information on the project outputs.</p>
Data analysis/collation	Deciphering official records can be challenging and complex. The information gathered through different methods and from different sources should be summarized in one comprehensive document that is easy to understand for everyone who is involved in the process. For the data to be user-friendly, they may have to be converted.
Distributing and getting feedback on the information	The findings from the audit are provided to the stakeholders for feedback. Citizens who worked on project sites play an important role in this step, since they can verify the figures relating to material and non-material resources stated in the project documents. This information exchange provides an opportunity for building civic momentum and publicizing the public hearing. Some social audit initiatives have used creative media, such as songs, street plays, and banners, to explain the process and advertise for the public hearing.

Activity	Considerations
Public hearing	If the area under consideration is large, several public hearings should be held, since it is important that the location is convenient and accessible to encourage attendance by as many constituents as possible. At the beginning of the hearing, the rules of conduct are explained to the participants to avoid conflict. After workers or residents have described social audit findings, which can include evidence of corruption, inefficiencies in utilization of funds, or poor planning, public officials are given adequate opportunity to justify their performance in projects. Marginalized groups should be actively encouraged to contribute their points of view.
Follow-up	Following the public hearing, the final social audit report will be written up. This will include recommendations for government regarding actions to address specific instances of corruption and mismanagement. Copies of the report should be widely disseminated to government officials, the media, participants involved in the process, and other organizations deemed relevant to the issues at stake. Key findings and recommended actions should be disseminated in written and oral formats.

Who Implements the Social Audit?

The steps described above may differ depending on the agency and the available resources.² In some countries, government periodically carries out social audits for self-evaluation. In many developing countries, however, CSOs have initiated the social audit process to hold government accountable for its actions. Depending on the scope of the audit, different CSOs, research institutes, or government agencies may work together under the direction of one lead institution. The choice of the implementing agency is crucial for the success of the auditing process. The organization should be perceived as impartial and above party politics by all groups involved in the process.

Where Have Social Audits Been Used?

Social audits have been applied in many countries. While social audits have sometimes been used to investigate the quality of services, such as the police, customs, or schools, the majority of social audits have focused on public works. The time frame under investigation typically ranges from two to five years. Social audits can be employed after a project is finished and during the planning and implementation phase. Auditing during the planning or implementation phase is often not feasible, since it requires close cooperation with the government agency that will be audited. However, when possible, auditing during the planning phase is valuable, as it has the advantage

of preventing inappropriate acts by monitoring decision making, bidding, contracting, and execution. Social audits that are conducted after the project is finished can be carried out independently of a strong willingness of the agency under scrutiny, although a minimum level of cooperation is often required for obtaining the necessary documents, especially if there is no access to information legislation.

Public works social audits have often produced the following findings:

- Works are paid for but have not taken place, e.g., roads or wells exist only on paper.
- Work is done only in part (only a fraction of the amount stated in the records is delivered or only a part of the tasks agreed on is completed).
- Work is done in worse quality than the quality specified in the contract.
- Work that is done is billed twice and payments are made twice.
- Payrolls include “ghost workers” (people who are dead, have long left the village, have never worked on the project, etc. appear on payrolls).
- The wages actually paid are considerably below what is stated in the records.

Strengths and Challenges of Social Auditing

Strengths	Challenges
<ul style="list-style-type: none"> ■ Improves transparency of public works/services ■ Exposes and reduces corruption and mismanagement ■ Improves the quality of public works/services ■ Strengthens the capacities of communities in participatory local planning 	<ul style="list-style-type: none"> ■ Preventing elite capture ■ Lack of legal obligation for government to act on the findings ■ The process requires time, costs, and significant organization efforts ■ Possibility of manipulating stakeholder views

Other Participatory Performance Monitoring Mechanisms to be Considered

Citizen Report Cards. CRCs are participatory surveys that solicit user feedback on the performance of public services. CRCs can significantly enhance public accountability through the extensive media coverage and civil society advocacy that accompanies the process.

CRCs are used in situations where demand-side data, such as user perceptions on quality and satisfaction with

public services, are absent. By systematically gathering and disseminating public feedback, CRCs serve as a “surrogate for competition” for state-owned monopolies that lack the incentive to be as responsive as private enterprises to their client’s needs. They are a useful medium through which citizens can credibly and collectively “signal” to agencies about their performance and advocate for change. A prerequisite is the availability of local technical capacity to develop the questionnaires, conduct the surveys, and analyze results.

Strengths and Challenges of CRCs

Strengths	Challenges
<ul style="list-style-type: none"> ■ CRCs can be used to assess either one public service or several services simultaneously. ■ The feedback can be collected from a large population through careful sampling. ■ CRCs are quite technical and thus there may not be a need for a major citizen mobilization effort to get the process started. ■ Perceived improvements in service quality can be compared over time or across various public agencies involved in service provision. 	<ul style="list-style-type: none"> ■ CRCs require a well thought out dissemination strategy so that public agencies take note of citizen feedback and take the required action to correct weaknesses. ■ In locations where there is not much technical capacity, CRCs may be difficult to design and implement. ■ If there is an error in sampling, the quality of service may not be reflected in the survey results.

Community Score Cards. The CSC process is a community-based monitoring tool that is a hybrid of the techniques of social audits and CRCs. Like the CRC, the CSC process is used to demand social and public accountability and responsiveness from service providers. By linking service providers to the community, citizens are empowered to provide immediate feedback to service providers.

The CSC solicits user perceptions on quality, efficiency, and transparency, and uses the “community” as its unit of analysis.

It is focused on monitoring at the local/facility levels. It facilitates community monitoring and performance evaluation of services, projects, and even government administrative units (like district assemblies). Since it is a grassroots process, it is also more likely to be of use in a rural setting.

The Operational Manual for Implementing the Community Scorecard Process in the Maharashtra Rural Water Supply & Sanitation Project is a useful resource for organizing a CSC process.³

Strengths and Challenges of CSCs

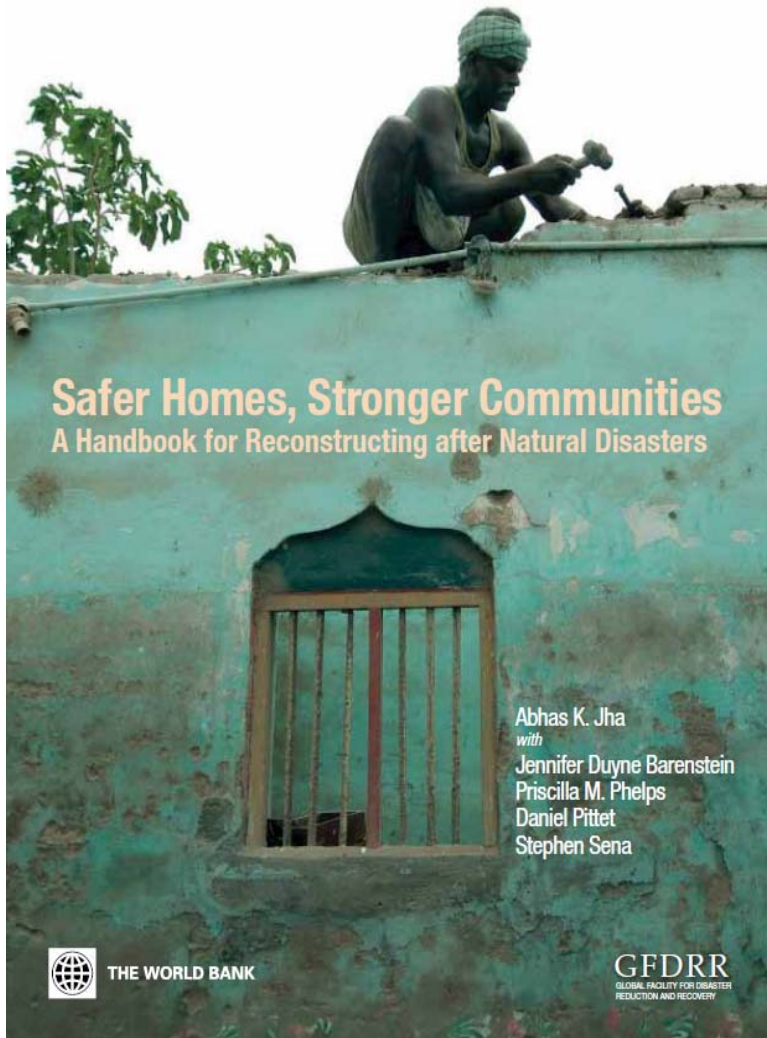
Strengths	Challenges
<ul style="list-style-type: none"> ■ Can be conducted for one public service or several services simultaneously. ■ This is a community-level process that brings together service providers and users to discuss possible ways of improving service quality. ■ Perceived improvements in service quality can be compared over time or across various public agencies involved in service provision. 	<ul style="list-style-type: none"> ■ CSCs rely on good-quality facilitators who may not always be available. ■ Reaching out to stakeholders before beginning the score card process is critical, but may not always be feasible. ■ In locations where there is not much local technical capacity, CSCs could be difficult to design and implement. ■ CSCs cannot be easily applied to large geographical areas.

Annex 2 Endnote

1. This annex is adapted from World Bank, n.d., “Chapter 3, Methods and Tools” in “Social Accountability Sourcebook” http://www.worldbank.org/socialaccountability_sourcebook/.
2. See Centre for Good Governance, 2005, *Social Audit: A Toolkit. A Guide for Performance Improvement and Outcome Measurement* (Hyderabad: Centre for Good Governance) <http://unpan1.un.org/intradoc/groups/public/documents/cgg/unpan023752.pdf>.
3. World Bank, 2004, “Operational Manual for Implementing the Community Scorecard Process in the Maharashtra Rural Water Supply & Sanitation ‘Jalswarajya’ Project,” <http://www.sasanet.org/documents/Case%20Studies/Accountability%20in%20Maharashtra%20RWSS.pdf> and World Bank, 2007, “Case Study 4: Maharashtra, India: Improving Panchayat Service Delivery through Community Score Cards,” http://www.sasanet.org/documents/Newreport/Maharashtra/Case4_Maharashtra_SAc_CSC_August%202007.pdf.



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