



Infrastructure & Cities
for Economic Development

Guidance note:
Community Based Monitoring

Value for Money of Infrastructure in Fragile and Conflict Affected States

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1. Introduction

1.1 Purpose of this guidance note

This document sets out guidance for structuring and deploying Community-Based Monitoring (CBM) to monitor infrastructure projects in fragile and conflict-affected states (FCAS) as a tool to improve value for money (VFM). While the guidance is targeted at using CBM for infrastructure projects, the concepts are broad enough to be applied to a wide range of development activities in a wide range of settings.

1.2 What is community-based monitoring?

CBM refers to the selection, empowerment and training of local, representative members of a community to monitor the progress of a project's development activities. This can provide a cost-effective way for development activities to be monitored more regularly than may otherwise be possible in FCAS, and also serves to promote local ownership and buy-in to the activities taking place.

CBM can be a particularly helpful approach to monitoring in FCAS where it can be difficult for donors to send their own staff or contractors to monitor development activities. But it should not be considered a 'silver bullet' in terms of promoting transparency. It requires careful planning, training, and support in order to be effective. It is one tool within a broader monitoring suite of monitoring tools.¹ In addition, if implemented incorrectly, it could serve to provoke conflict or foster inequity within a community.

CBM should be viewed as distinct and complementary to other forms of monitoring such as internal programmatic monitoring and third-party monitoring. Internal programmatic monitoring could be strengthened through using CBM as an input source for monitoring data. Third party monitoring is distinct as it provides monitoring from a truly independent standpoint, and can also be used to provide further insight to the successes and challenges of a CBM system.

1.3 CBM and Value for Money of Infrastructure

CBM is linked to VFM in two key ways:

1. It can improve a programme's VFM by providing an alternative, more inclusive form of monitoring for its cost. The inclusivity aspect promotes local buy-in and ownership, which in turn can promote programme sustainability. In relevant programming, this approach to monitoring can be tailored to contribute to programme outcomes – for example building community cohesion, or improving local governance – and hence costs of the approach are offset against wider programme benefits.
2. It can be a mechanism in itself to collecting data on broader aspects of a programme that contribute to VFM – particularly as community-based local monitors are present on the ground at all times.

The linkages between CBM and the different aspects of VFM in an infrastructure context are summarised here, with further examples provided throughout the paper. Case studies citing both successes and failures are provided in Annex 1.

Economy

CBM can provide significant benefits during the procurement phase of a programme. In particular, under appropriate supervision, a committee of representative community monitors can oversee procurement from tendering the specification, to selection of appropriate suppliers, to ensuring fair costs are achieved, to ensuring that quality materials are delivered. Their knowledge of local context, suppliers and prices can

¹ Other monitoring tools include use of third party monitors, and remote monitoring using sensor or drone technology.

often be greater than international implementing organisations, and their integration within a community can help them to receive better terms and prices than would otherwise be achieved.²

Efficiency

Within infrastructure programmes, the efficiency aspect of VFM relates to the quality of the inputs and the quality of the resulting structures they are used to build, as well as timely delivery and construction. With appropriate training, community monitors can provide greater coverage of specific infrastructure investments at a lower cost than more traditional third-party monitoring.

Community monitors can be trained on what to look for when assessing the quality of materials and structures, and in some cases take photos where possible and appropriate. This training (and associated reporting tool development) would be developed and administered by qualified engineers recruited by programme implementers. These engineers would play a role in assessing the data collected and making final judgements on quality.

In addition, community monitors can be appropriately briefed on the expected timelines for construction, and given their local presence, can provide regular updates on how construction is progressing. This ability to have real time information and issues raised as soon as they are identified would be extremely costly if undertaken by traditional third-party monitors. They have a unique insight into all aspects of efficiency, being able to observe in real-time any delays, unintended costs to the community, and also benefits in kind.

The close engagement of community members can drive efficiency as suppliers are held more accountable on a more ongoing basis.

Effectiveness

Effectiveness relates to whether or not the infrastructure is able to be used for its intended purpose, and also whether or not any unintended effects (either positive or negative) are occurring as a result. It can be difficult to assess this through one-off observation, and so community monitors have the added benefit of being immersed in the relevant community and can have greater exposure to how the infrastructure is functioning.

Community monitors can undertake a range of monitoring activities to assess effectiveness, as appropriate to the type of infrastructure being assessed. These could include observation, site surveys, and community surveys as an example. Given their local presence, monitoring activities can take place over a longer period of time to understand whether effectiveness is consistent, or whether any issues arise over time.

Equity

Further on in this paper guidance is provided on how to structure a CBM team. Equity considerations are at the heart of this, and should be visible throughout the structure of a CBM team. Having a balanced CBM team means that a range of different perspectives will be represented and brought to the monitoring process. These local monitors will be able to identify challenges and constraints that are highly specific to their community and could otherwise be missed by international implementers. Their presence can complement and add-value even when thorough political economy analysis of a given community has been undertaken.

From a monitoring perspective, community monitors can be given instruction to report specifically on who is accessing the infrastructure, and whether any groups within a community are being excluded. In

² Based on consultation with the Danish Demining Group who have applied this approach in their infrastructure programmes.

addition, their integration within a community can allow them to gain and report on useful insight into how access could be improved for particularly marginalised groups.

If community monitors are involved in the decision making process, they will be able to flag potential issues early on that could lead to conflict if not addressed, and their ability to do this will be significantly greater than external third-party monitors or non-local programme staff.

Sustainability

Sustainability is a core component of VFM for infrastructure investment, as infrastructure is unlikely to represent value to stakeholders if its benefits are not sustained over a longer term. Linked to some of the points discussed above under other aspects of VFM, CBM can contribute significantly towards overall programme sustainability in the following ways:

- Empowerment of local communities to take part in the decision making and monitoring processes promotes local ownership and buy-in which is critical to the ongoing support for and maintenance of infrastructure.
- Community monitors are embedded within their communities, and therefore can monitor and report on effectiveness over a longer time horizon than third-party monitors who may be flown in for discrete monitoring exercises. This can be enhanced if community monitors are given a mechanism to continue reporting issues or concerns over a longer time horizon than just the construction phase itself.

2. What types of programme are suited to CBM?

While nearly all development programmes could consider a CBM approach to monitoring, there are certain characteristics that can make a CBM approach more suitable or more valuable. These are set out below and inform the scorecard presented in Chapter 3 which is designed to inform whether CBM could be a cost-effective option for a particular programme.

 Characteristics that make CBM easier to apply	 Characteristics where CBM could add more value	 Characteristics where CBM may be less suitable
<ul style="list-style-type: none"> • The community are engaged as a core stakeholder in the programme theory of change. • The programme is being designed from the bottom-up with strong community involvement in design and planning. • The implementing organisation has experience in operating in a highly participatory manner. • Community members are contributing to or co-funding aspects of the programme. • The infrastructure has a very direct benefit to community members at large (e.g. with a water pump having more <u>direct</u> benefit than say a police station) 	<ul style="list-style-type: none"> • Communities with accessibility issues where it is difficult for core programme staff to access on a regular basis or have a permanent presence. • Communities with complex power dynamics or high levels of fractionalisation.³ • Programmes where budget restrictions limit the ability to monitor comprehensively from a third-party perspective. 	<ul style="list-style-type: none"> • Short-term projects which may not have enough time to establish a CBM system • Highly technical infrastructure projects where quality and progress may be difficult to assess without qualifications⁴ • Contexts where complex power dynamics could not be overcome to create a CBM team representative of all groups within a community. This could lead to biased CBM results.

Note that there is overlap between characteristics where CBM could add more value, and where it is harder to implement. Appropriate consideration needs to be given to the trade-offs between these; and advisers and implementing partners in country will be naturally best placed to evaluate the local factors.

All types of infrastructure could be suited to a form of CBM. More simple forms of infrastructure (e.g. buildings/structures, WASH facilities, etc.) can benefit from CBM because local monitors can be trained appropriately to assess aspects of quality and usefulness more easily than in the case of more complex forms of infrastructure (e.g. energy grids). However, even complex infrastructure could benefit from community monitoring for things such as tracking timeliness, taking photos, and reporting on equity of access. It is possible that road infrastructure projects could pose challenges to a CBM model where they extend between different communities if relations are fractured. This would depend on the specific situation.

Strong consideration should be given to exploring infrastructure delivery models where community members contribute to the programme in terms of their time or money – even if the amounts are very small. This approach has been demonstrated to improve community buy-in to a programme, and can therefore strengthen community incentives for effective monitoring, as it becomes a mechanism for the community to monitor their ‘investment’ in a programme.⁵

³ Note that this context would make it more difficult to apply CBM, but it is a context where CBM could also be used to help bring the community together and build mutual support for the programme. In such contexts, no programme could feasibly operate without engaging with this issue in any case, and CBM could be a way to facilitate dialogue and cooperation in fractured communities.

⁴ CBM could still be used to monitor some aspects of highly technical projects, but would likely need to be paired with appropriate third party monitoring as well.

⁵ Based on consultation with the Danish Demining Group and their experience with CBM in Somalia and other FCAS.

3. Costs of CBM

3.1 Costs of CBM relative to traditional monitoring approaches

As described in Chapter 1, CBM needs to be considered as more than just a simple alternative to traditional monitoring approaches. Whilst CBM can be used as a replacement for some forms of traditional monitoring, it provides a wider benefit in terms of community engagement. This can benefit programme implementation in a range of ways (including sustainability, for example), where traditional monitoring does not. As such, a direct comparison of costs between CBM and traditional monitoring is not completely valid, and should only be done if the wider benefits are taken into account.

The cost of implementing CBM will differ widely based on the scope and ambition of the exercise – which can be scoped according to the guidance on implementation approach provided in Chapter 4. Costs will also vary significantly between geographies due to local cost variations.

Use of CBM in the forestry sector provides insight into the relative costs of CBM compared to other forms of monitoring, that can be applied to infrastructure and other sectors.⁶ One particular study in this area undertaken by Forest Compass in 2014, cited the key cost drivers for monitoring as **wages** (or per-diem payments for community monitors), **travel, accommodation, and training**.⁷ According to the study, wages, travel, and accommodation costs for CBM were all lower than traditional monitoring; however training costs were significantly higher. As such, it found that in the first year, CBM was significantly more expensive than traditional monitoring. From the second year on, CBM was evaluated as significantly cheaper than traditional monitoring, as the high cost of initial training was not incurred on an ongoing basis. The study found sustained skill increases over time; processes being better understood and therefore more efficiently implemented. This cost profile of CBM compared to traditional monitoring is also supported by other studies in this field.^{8,9}

3.2 CBM Cost Scorecard

To aid in the decision of whether or not the higher upfront costs of CBM can be justified for a particular project or programme, we have developed a simple scorecard that can be used by practitioners, which scores the project/programme against a selection of relevant factors and gives it an overall cost-effectiveness rating.

The scorecard requires the user to rate a project being considered for CBM between 1 and 5 against the list of factors below, according to the definitions of each score presented in Table 1. (Weightings for the relative importance applied to each factor are shown in brackets). Definitions of each factor are also included in Table 1, along with scoring instructions and project examples. An Excel-based version of this scorecard is also provided as attachment to this paper, for practical use.

- Project length (40%)
- Project complexity (15%)
- Community skill base (15%)
- Community fractionalisation (15%)
- Community participation (15%)

⁶ There is little to no data available on the **explicit** costs of CBM – particularly with regard to infrastructure projects.

⁷ Forest Compass (2014). *Assessing the accuracy and cost-efficacy of community-based monitoring for REDD+*. Available from: <http://forestcompass.org/case-studies/assessing-accuracy-and-cost-efficacy-community-based-monitoring-redd#toc-5>

⁸ Bellfield, H., Sabogal, D., Goodman, L., & Leggett, M. (2015). Case Study Report: Community-Based Monitoring Systems for REDD+ in Guyana. *Forests*, 6, pp. 133-156.

⁹ World-Wide Fund for Nature (WWF) (2015). *Community-based Monitoring, Reporting and Verification Know-How: Sharing knowledge from practice*. Available from: <http://wwf.panda.org/?239457/Community-based-Monitoring-Reporting-and-Verification-Know-how>

After scoring the project (from 1-5) against each factor, scores are multiplied by their assigned weights, summed together, and then multiplied by 10. This generates a project CBM score out of 50, which can be used to determine how cost-effective CBM would likely be for the particular project. The score should be interpreted in the following way:

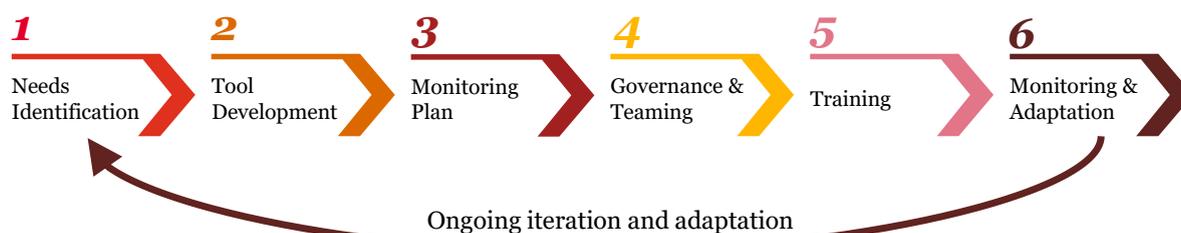
- **40 – 50:** Strong rationale for CBM being considered as a cost-effective monitoring approach.
- **30 – 40:** Moderate rationale for CBM – however it could possibly be considered for only certain aspects of the project/programme, or be supplemented with traditional monitoring.
- **< 30:** Weaker rationale for CBM on this particular project/programme. Should only be used if the wider benefits of CBM (e.g. generating increased community participation or fostering positive relationships between community groups) are deemed to outweigh the costs and complexity.

Table 1: CBM Scorecard

Factor	Score (1-5)	Weighting	Description	Notes
Project Length	(1-5)	40%	<p>The overall length of the programme implementation. The following scoring should be used:</p> <p>5 = A project of 4+ years in length 4 = A project of between 3 and 4 years in length 3 = A project of between 2 and 3 years in length 2 = A project of between 1 and 2 years in length 1 = A project of < 1 year in length</p>	<p>There are high upfront training costs involved with CBM. A longer project allows this cost to be spread over the longer-term and results in lower costs when compared with traditional monitoring. CBM is therefore more suited to longer projects than shorter ones.</p>
Project Complexity	(1-5)	15%	<p>The overall complexity of the programme - specifically the aspects to be monitored. A score of 5 is the least complex, and a score of 1 is the most complex. As examples:</p> <p>5 = A project where the activities to be monitored can very easily be counted and minimal training would need to be provided to even poorly educated community monitors. E.g. counting the number of pit latrines built.</p> <p>3 = A project where the monitoring would require a combination of counting, basic spot assessments of quality and interviews may need to be conducted. E.g. Monitoring the construction of a simplified sewerage system which involved counting the number of toilets built, following a basic checklist to assess the quality of the toilets, and interviewing users on their usage habits.</p> <p>1 = A highly complex project that would require very deep technical expertise to conduct even basic monitoring. E.g. the construction of a complex power station. Other than being able to tell that some form of construction was taking place, this would need skilled engineers to determine whether construction was taking place to an appropriate standard.</p>	<p>Highly complex programmes could benefit from CBM, but it is much harder and more expensive to implement. They require a highly skilled group of community monitors, which means if education levels are not already high, significant investment in upfront training needs to be made when compared with simpler programmes and less complex monitoring requirements.</p>
Community Skill Base	(1-5)	15%	<p>The existing baseline skill base of the community members who could potentially take part in monitoring. A score of 5 is the most skilled, and a score of 1 is the least skilled. As examples:</p> <p>5 = A pool of available community members who have been involved in CBM before, or have good levels of education.</p> <p>3 = Community members have basic literacy and numeracy skills, but no prior experience with CBM</p> <p>1 = Community is extremely marginalised, with very low levels of education (e.g. very limited literacy and numeracy skills)</p>	<p>CBM is cheaper and easier to apply when the community skill base is high or there is previous experience with CBM. Albeit, a higher skill base could increase the required payment amount.</p> <p>However - it is important to consider that the community may reap additional benefit from the extra training (e.g. improving their broader employment prospects) if their starting skill base is very low. This is one of the wider benefits from CBM.</p>

Factor	Score (1-5)	Weighting	Description	Notes
Community Fractionalisation	(1-5)	15%	<p>A score that captures the complexity of the community dynamics - and particularly fractionalisation - between different community groups that could distort community cohesion. More fractionalised communities can make it more complex to set up a CBM system. A score of 5 is the least fractionalised, and a score of 1 is the most fractionalised. This factor should be given a lower score for countries that are considered FCAS, and therefore could also cause issues with accessing project sites due to insecurity.</p> <p>As examples:</p> <p>5 = A very cohesive community without any deep-seated divisions, that is ethnically and religiously homogenous.</p> <p>3 = A community with at least two disparate groups, and only minimal hostilities between groups.</p> <p>1 = A deeply divided community on clan, ethnic, or other lines with significant hostility / conflict between groups. FCAS-nature of the country creates major security and site access issues.</p>	<p>CBM is much harder to apply to highly fractionalised communities - and therefore significant additional upfront investment is required to select the right team members in a sensitive way and plan to ensure safety and sensitivity of approach. However, in such circumstances, CBM can provide additional benefits to the community in terms of fostering tolerance and joint understanding if implemented correctly. This is one of the wider benefits from CBM. It is often intangible and difficult to quantify.</p>
Community Participation	(1-5)	15%	<p>A score that captures how involved the community are / intend to be in the design and development of the programme. A score of 5 would be for a project with very high community involvement, and a score of 1 would be for a project with very low community involvement. As examples:</p> <p>5 = A programme where the community has been (or intend to be) fully engaged in the design, development and implementation of all aspects of the programme. A truly participatory approach where all different community groups are represented in these processes.</p> <p>3 = A programme where the community may be involved in some aspects of design and/or implementation, but not across all aspects. Alternatively, the community may not be fully represented in this process (i.e. only some parts of the community are).</p> <p>1 = A programme that is not participatory at all. Intervention is designed top-down at a central or international level, and then teams brought in to implement on the ground with minimal input from communities themselves.</p>	<p>As a matter of principle, programmes should be designed in a manner that is as participatory as possible. If for some reason this is not the case, then it will be much harder to establish the required buy-in from the community to be involved in the CBM, and there will be additional investment required in community relations, which contributes towards higher costs.</p>

4. Detailed implementation approach for CBM



4.1 Identify monitoring needs



The first step in designing CBM is to identify what needs to be monitored – and this should take place during the programme’s inception phase. The following steps should be followed in order to assess the monitoring needs on a programme.

- a. **Review the theory of change (ToC) to understand both (a) what activities are being delivered, and (b) what outputs and outcomes these activities contribute towards.**

Development programmes should have a strong ToC developed at their outset, and this needs to have been sufficiently scrutinised and signed-off before a monitoring plan is developed. The ToC should demonstrate a logical pathway between activities being implemented, outputs these will result in, and overall outcomes that these will contribute towards.

Each output identified in the ToC should have a monitoring plan associated with it.

There may be certain outputs which have greater priority or weighting in order to translate into the desired outcomes, and these weightings can also be used to drive the level of monitoring effort to ensure that an appropriate amount of effort is devoted to the right activities.

- b. **List out the requirements of each activity in order to enable it to translate into the output.**

A typical assumption underpinning most ToCs is that the activities are delivered to a sufficient level of quality in order for them to translate into outputs – however this is not always explicitly stated. For each output, a list of activities should be identified that need to take place and the assumptions underpinning these activities (or requirements to translate into an output) should be listed. For example, consider an output concerning WASH facilities being constructed in order to promote reductions in open defecation. The table below also shows how different aspects of monitoring link to different aspects of VFM to ensure complete coverage.

Activity	Requirements to translate to output	Relevant aspects of VFM
Selection of sites for WASH facilities	<ul style="list-style-type: none"> • Appropriate consultation across the community • Adequate coverage across key areas • Clear gender segregation of facilities • No conflicts likely to arise over different community groups being able to access 	Equity and sustainability

Activity	Requirements to translate to output	Relevant aspects of VFM
Construction of WASH facilities	<ul style="list-style-type: none"> Competitive procurement of materials Timely delivery of materials Construction keeping to schedule Contractors appropriately skilled Quality standards being met 	Economy and efficiency
Ongoing maintenance of WASH facilities	<ul style="list-style-type: none"> Maintenance plan exists Roles and responsibilities clearly articulated Realistic expectations on commitments Government buy-in 	Sustainability
Running community engagement sessions to market benefits of greater use of WASH facilities	<ul style="list-style-type: none"> Appropriate venue selected Community members notified in a timely manner Good facilitation Good attendance at sessions Evidence of messages being understood and taken on-board Usage of WASH facilities 	Effectiveness

While this is a simplified table, in this example all of the requirements listed for each activity would need to take place or exist in order for these activities to actually promote reductions in open defecation. As such, these requirements form the basis of what needs to be monitored for this selected output. This exercise should be repeated across all relevant outputs for a given programme.

If resources are quite constrained, then the requirements should be prioritised for monitoring. However, where possible at least some requirements across all activities within an output should be selected for monitoring.

It is important that this exercise goes to a sufficient level of detail in order to provide specific guidance to monitors. When using a CBM approach, it is likely that many of your monitors will not have conducted such work before, and therefore will need sufficient clarity in what they are supposed to be looking for when conducting their work.

c. Consult with relevant stakeholders on the final list

There can often be differences in monitoring priorities between the implementing organisation, community members and the government. Before proceeding, it is important that all relevant stakeholders are on-board with the articulated monitoring needs, and are preferably engaged in their development to the extent practicable and possible.

4.2 Develop tools



Once the monitoring needs have been identified, appropriate tools need to be developed in order to collect the data. The tools need to be kept simple and straightforward to use, given that the literacy and broader education levels of potential community-based monitors.

Three key tools that have broad usage in a CBM context are covered in the table below.

Tool	Example Usage	Notes
Checklist	<ul style="list-style-type: none"> • Checking construction quality • Checking stock • Checking facility design/availability 	<ul style="list-style-type: none"> • Where possible use icons/pictures in place of words to allow usage by illiterate monitors¹⁰
Feedback Form	<ul style="list-style-type: none"> • Gauging usefulness of training • Assessing access / usage of infrastructure • Identifying quality/usability concerns • Identifying additional activities required 	<ul style="list-style-type: none"> • Very targeted to a specific activity or piece of infrastructure • Keep it short in nature • Allow monitors to complete, but also allow other community members to access and submit unprompted
Survey / Interview Guide	<ul style="list-style-type: none"> • Collecting demographic information • Understanding remaining barriers to reaching an output • Assessing government buy-in to an intervention 	<ul style="list-style-type: none"> • Usually more detailed than a feedback form • Very structured in terms of wording and routing of questions. • Complex routing (e.g. if answer x, then go to question y) should be minimised
Focus Group Guide	<ul style="list-style-type: none"> • Delving deeper into selected issues to understand their source 	<ul style="list-style-type: none"> • More difficult to administer than feedback forms/surveys, and hence requires more training or a more educated monitor • Works best with specific selected groups within a community • May be best left to evaluation rather than monitoring activities depending on monitors available
Attendance Tracker	<ul style="list-style-type: none"> • Tracking attendance at community events, training sessions, etc. 	<ul style="list-style-type: none"> • Should be kept very simple to mark attendance at start (or end) of an event • Simply binary yes/no responses are all that is needed. • Should be filled out by monitor, not by attendees or facilitators
Observation Guide	<ul style="list-style-type: none"> • Monitoring how training is undertaken • Monitoring how infrastructure is used 	<ul style="list-style-type: none"> • Monitors need good training on what they are looking for • Guide should be very specific in what they should be looking for and recording

Each tool should be specifically tailored to the activity being monitored and the skills of the selected monitors. In addition, each tool should have a clear process in place for how the data is captured and collected into a consistent format. For example, a paper survey template with multiple-choice responses may need to be entered into a pre-developed Excel template by a data entry person so that the results can be analysed across all respondents. However, a construction progress checklist that is completed once-per-month may just need to be fed back to the individual preparing the monitoring report for inclusion, rather than needing any additional data entry or analysis.

4.3 Develop simple monitoring plan



Once the monitoring needs and associated data collection tools have been developed, a simple monitoring table should be developed to bring this all together. An example of this is provided in Annex 2.

The table should then feed into the development of a monitoring report template that is used on a regular basis. Depending on the nature and length of the intervention, this may be quarterly, monthly, or more

¹⁰ Note that there is always a strong preference for monitors to be literate where possible. If this is not possible, and the illiterate monitor is suitable in all other ways, then extra focus needs to be given to the development of suitable tools that will be usable.

frequent depending on the stage of the programme. For example, during construction phases it may be necessary to have more frequent monitoring, which could then slow down after construction has completed.

4.4 Set up governance and identify team



Integrity Watch Afghanistan note desirable criteria for individuals who should be involved in coordinating and mobilising a CBM system. These include:¹¹

- Integrity.
- Commitment to and respect for local communities across the country.
- Belief that each citizen, despite their education, ethnic, gender or geographic identity, can help improve the country.
- Lives in the communities where monitoring needs to take place.
- Skills in managing and leading people.
- Ability to build lasting personal relationships.
- Willing to constantly learn, adapt and be challenged.

The Integrity Watch toolkit contains a very useful guide with more detailed information on appropriate structures for CBM.¹² A brief overview is therefore provided here for reference, with adjustments made to make the guidance more specific and actionable. Note that this structure is a guide, and adaptations can be made where deemed appropriate or necessary.

1. Define the appropriate community and district boundaries

Programmes may have a wide geographical reach, and therefore careful consideration needs to be given as to how the relevant communities themselves are defined. For example, there may be a wider district or provincial level which consists of many different community areas within it. This division needs to be decided upon carefully, and be informed by appropriate political economy analysis of the situation.

2. Define and recruit country-level roles

Note that the roles described here are examples, and likely only possible for large projects with appropriate resource. These should be tailored according to the specific project, and fewer roles used if deemed acceptable. However, consideration should be given to the hierarchy and oversight of the CBM roles defined.

If the programme is operating across multiple districts, then there needs to be CBM coordination at the country level. If the programme (or the areas being subject to CBM) is only operating in a selected district, then these roles could exist at the district level. The following roles should be in place to coordinate the CBM activity. These roles would likely not exist as stand-alone individuals, but the responsibilities outlined would form part of the roles of other staff at the country office level.

- **Programme Manager**

The programme manager coordinates and oversees the CBM activity. This includes financial administration, reporting, staff management, and monthly visits to the district or provincial offices to oversee monitoring and deal with administrative issues.

¹¹ Integrity Watch Afghanistan (2015). Community Based Monitoring Toolkit. Available from: <http://toolkit.communitymonitoring.org/>

¹² Available from: http://toolkit.communitymonitoring.org/wp-content/uploads/2013/04/CBMToolkit_English_CH2.pdf

- **Data Officer**

The data officer is responsible for collating and quality checking the data that is fed up from the CBM exercises. This involves inputting relevant data, preparing relevant reporting on the data to check on progress and highlight identified issues, and also assist to improve the quality of the data capture where issues are identified.

- **Senior Engineer**

All infrastructure projects will have a senior engineer involved, and at the country level this person will need to also be involved in the CBM. The CBM component of their role should focus on being involved with the development of relevant tools for the monitors, and also training of local monitors. They should ensure they the local monitors have sufficient knowledge of materials and quality issues to be able to carry out their role.

3. Define and recruit district/provincial-level roles

At the district level (noting that this may overlap with the country level roles for smaller programmes),

- **Programme Officer**

The programme officer should have overall responsibility for the CBM in the district. They play a key facilitation role between the community monitoring efforts, local government authorities, contractors and the head office.

- **Engineer**

- The engineer is responsible for training the local monitors on the aspects of the infrastructure that they will be monitoring, and provide guidance and tools to assist them in performing their role effectively. The individual selected for this role needs to be someone committed to empowering others, and not feel that they are the only ones solely able to conduct such technical monitoring. Their role in CBM is therefore largely focussed around empowering and training the community to advocate for better quality infrastructure with contractors and/or governments.
- The engineer should also respond with a higher level of technical assistance when monitors identify issues – however they should not be conducting the first level of monitoring themselves.

- **Focal Points**

- Focal points are community members who support the local project monitors, and are the first point of contact for local monitors. Local monitors should be able to contact the focal point to ask questions, raise concerns, or in case of an emergency. They could have potentially been local monitors themselves in the past. They play a key role in interfacing between the community and programme staff.
- Focal points need to regularly meet with monitors and visit the project sites to take photos. In addition, the focal point should collect the regular reports from the local monitors, and help them complete reporting templates where necessary. All of these materials are then provided by the focal point to the programme officer.
- A focal point should be responsible for no more than 20 local monitors in order to keep their workload practical.

4. Recruit local monitors

Local monitors are the most important aspect of the CBM system. As a minimum, two local monitors should have monitoring responsibilities for each project. They should be elected by their local communities through a transparent and participatory process. This process should be facilitated by programme staff and key senior stakeholders within a community. It is important that the community considers a very broad range of candidates that could include youth, women and ethnic minorities.

Integrity Watch note 10 characteristics that are important to consider when selecting local monitors:¹³

¹³ Available from: http://toolkit.communitymonitoring.org/wp-content/uploads/2013/04/CBMToolkit_English_CH2.pdf

- Honest
- Well-respected within the community
- Supports the CBM programme
- Previous experience with some form of social work
- Not employed by the implementing organisation
- Lives close to the project
- Physically able to visit project sites
- Has free time to conduct visits
- Willing to volunteer their time (with expenses covered)
- Literate.

Note that whilst the final characteristic of literacy is important, this criteria can be waived in certain circumstances. For example, if a local monitor is identified who is well suited in all other aspects, then they could work alongside another literate local monitor, or receive assistance from others to complete the required documentation and reports. Tools would need specific adaptation (e.g. the use of icons, etc.) if they are to be used by an illiterate monitor. However, the initial preference is to always use literate monitors where possible.

4.5 Conduct training



Once all of the relevant staff have been identified for the CBM process, relevant training needs to be developed and conducted. The nature of this training will differ depending on the monitoring tools developed for specific projects. Training needs to cover all relevant staff involved in the CBM at different levels, and should not be rushed. For example, training of local monitors may need to take place over a series of sessions spread over a few days in order to be most effective.

Ideally, training of local monitors should be conducted by the focal points, who will have been trained by programme staff. It is important that the community members are heavily involved in the delivery of the training, with only supervision provided by programme staff.

As a minimum, the training should cover the following:

- The purpose of the programme and how it will benefit the community.
- The role of community members in making this a success – emphasising the role of local monitors in this process.
- Roles and responsibilities of each team member.
- The data collection tools and reporting templates – covering their purpose and how they are to be completed.
- Role playing exercises on completing the tools – including the provision of feedback and repetition to ensure the tools are well-understood.
- The opportunity for questions and issues to be raised.

For longer-term projects, it is important the refresher training is provided to staff on a regular basis.

4.6 Monitoring and adaptation



Only after the previous steps have been completed should CBM actually commence. It is very likely in the early stages that issues or problems could arise. This is normal – particularly for organisations that may be new to implementing a CBM model or are working in new communities. However, the governance structure discussed in this guide should allow for these issues to be efficiently fed back up from local monitors to the head office via focal points and programme officers. It is important that an adaptive approach is taken to implementing CBM, and that tools and methods are adjusted as necessary. For example, it may be that a particular data collection tool is difficult to use, or not fit for purpose, and needs adjustment. This could be noted via feedback from the focal points, or through other staff noting that the data being reported back is not overly helpful.

It is also very important at this stage that the results of the monitoring are reviewed and reflected upon by the relevant programmatic staff – not just to improve the CBM process itself, but to feed into decision making regarding the programme implementation. If the CBM is working successfully, issues should be flagged that could relate to, for example, procurement processes or the quality of construction. Programme staff need to be engaging with the incoming monitoring reports with enough regularity in order to make adjustments or take corrective action to programme implementation as needed. If such review and adaptation of programming is not taking place, then the CBM process will not serve any use in broader implementation.

5. Risks

As with all approaches to monitoring, there are risks associated with CBM that need to be considered before investing in its development. Some of these risks are outlined below.

- **Costs** – examples (see Annex 1) show that upfront investment in training and capacity building for community monitors is vital. In addition, many CBM teams may need to be compensated financially for their time and involvement in order for the team to perform adequately. For shorter programmes, there is a risk that these costs outweigh the benefits over traditional implementer monitoring. As such, it is recommended that CBM be considered primarily for larger, longer-term programmes.
- **Leadership** – there is a risk that in trying to set up an inclusive, representative CBM team that the structure becomes too flat and lacks appropriate leadership. Examples demonstrate that clear leadership and responsibilities across CBM roles is critical to ensuring the success of the approach.
- **Conflict** – CBM needs to have fair representation across all community groups in order to be free from bias. There is a risk that a cohesive, functioning and representative CBM team cannot be formed, particularly in areas with high community fractionalisation or conflict. However, putting aside CBM, such community issues would likely need to be addressed in order for the programme to be implemented successfully regardless. It is suggested that the formation of CBM only be attempted at a point where such issues have been addressed in order for implementation to be able to proceed.
- **Security** - In many contexts, community monitors could face risks in undertaking their monitoring activities. These risks could be greater than those of third party monitors who may employ additional security as an example. Appropriate analysis of the context needs to take place to understand if CBM teams could be exposed to unacceptable risks through their monitoring activities. In some cases, these risks could be mitigated through only sending certain team members to conduct certain monitoring activities, or waiting until later in the programme (e.g. if certain activities could be deemed to reduce this risk over time) to implement CBM. In extreme cases, it may be deemed that CBM is unsuitable altogether due to this risk.
- **Validity** – it is possible that with the formation of CBM teams, implementing staff distance themselves from monitoring data and accept what is provided by CBM teams. It is vital that CBM outputs are reviewed and evaluated periodically by implementing staff in order to ensure they are performing well and collecting valid data, otherwise data issues resulting from CBM teams not performing their roles correctly could be missed.

Annex 1: CBM case studies

A1.1 Soul City Institute (South Africa)¹⁴

Soul City Institute (SCI) implemented a CBM system for health services in 12 South African communities in order to support the quality of health care at a primary level, and increase access to and participation in health care by adolescents. The programme consisted of teams of community members participating actively in monitoring elements of quality at clinics or community health centres, and providing feedback to both staff and the community so that solutions could be jointly sought. The programme was implemented in Fezile Dabi, Francis Baard and Ugu districts in the Free State, Northern Cape, and KwaZulu-Natal respectively.

Soul City established CBM teams in 12 facilities where they were trained and supported in setting up a data collection system for patients to rate the quality of services that they received. This data was compiled into report cards which were used to engage facility management and hold them accountable for poor service. Public dialogues were then held with the community, facility staff and district management to discuss the concerns raised and jointly seek solutions.

Through the CBM process identified a range of positive outcomes of the project, including increase utilisation of health serviced, improved delivery efficiencies (scheduling, wait times, etc.), and increased staff productivity.

Some of the lessons learned from the CBM process included:

- **Consultation and planning:** a vital step to the establishment of an effective CBM system. Implementers noted that getting buy-in from all key stakeholders early on to ensure they were not threatened by the process was important
- **Team selection:** Important to be representative and reflect a community mapping exercise.
- **Socialisation:** Important that the CBM team are appropriately identified and introduced to the community to ensure their acceptance.
- **Visibility:** A uniform or other identifying feature of the CBM team was noted to be helpful, and making score charts visible in the community can increase wider community involvement.

Recommendations made about the CBM process included:

- **Expansion:** Given the success of the model, the team recommended that CBM mechanisms should be built into more facilities
- **Linkages:** CBM teams should develop linkages with community structures outside the clinics, such as youth organisations, advocacy groups, other NGOs and local councils.
- **Outreach:** It was noted that some services were still inaccessible to youth for different reasons. The implementers noted that the CBM team could potentially be involved in investigating why this was the case to inform adaptive management.
- **Mentorship:** Existing CBM teams should support new teams through mentorship and skills sharing
- **Feedback:** Formal feedback mechanisms need to be developed – both face-to-face and through local media – with communities in order to report back on activities undertaken and achievements/bottlenecks.

¹⁴ http://www.hst.org.za/sites/default/files/cbm_adolescentsfinal_lo-res.pdf

A1.2 Road Construction in Afghanistan¹⁵

Integrity Watch Afghanistan implemented a CBM programme to monitor the quality of rural road construction in Afghanistan between 2011 and 2013. The CBM intervention was implemented on certain road infrastructure development projects to specifically target leakage, and ensure that development investment can translate into economic growth.

A study was subsequently undertaken to assess the quality of roads subject to the CBM intervention, compared to rural roads constructed without a CBM component. Engineers found that across the sample taken, roads constructed with a CBM mechanism in place were of significantly higher quality than those without CBM.

Whilst the full study is still ongoing, preliminary results of the evaluation demonstrate:

- It is possible to experimentally evaluate CBM in rural Afghanistan
- Community monitors do improve road quality
- Community monitoring can enable effective development spending in poorly governed and dangerous areas
- Roads with community monitors remained good even 3 years later.

A1.3 Danish Demining Group – Community Safety Programme¹⁶

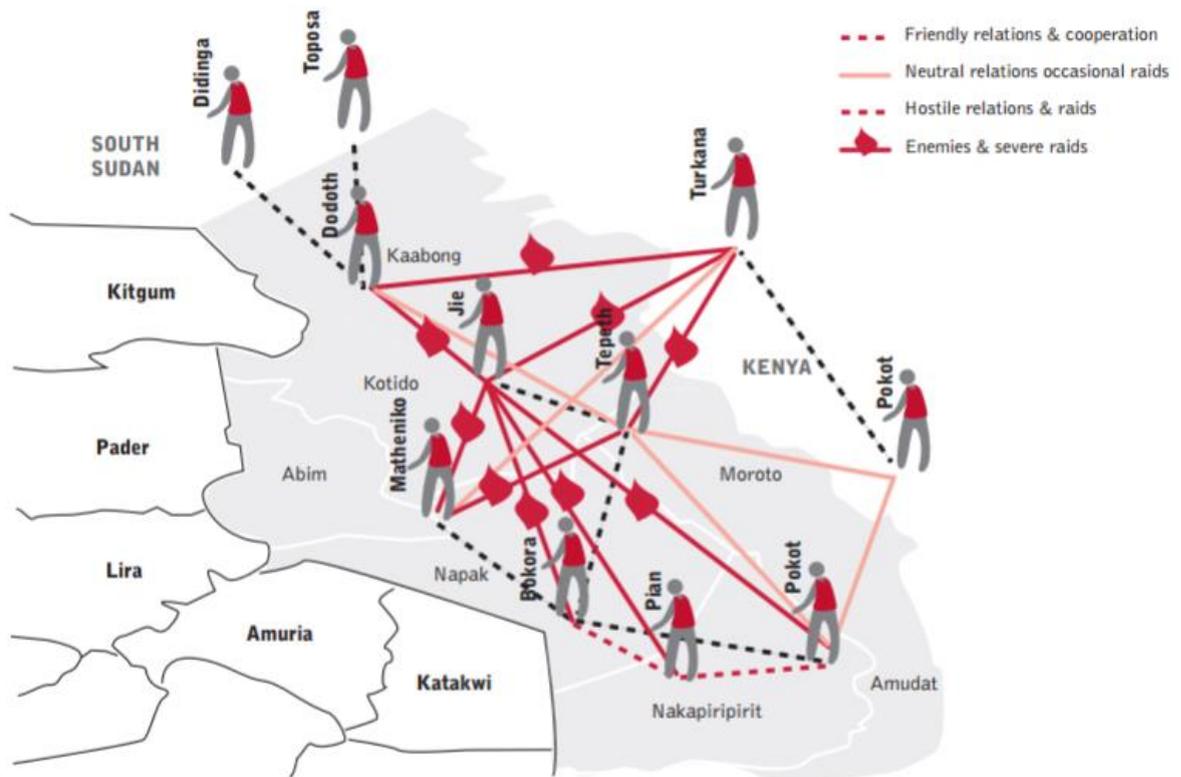
The DDG community safety programme aims to address the causes and impacts of instability, conflict and armed violence in Karamoja, Uganda. It aims to do this through developing the capacity of communities to mitigate conflict, and developing the capacity of formal security providers to meet the needs of communities. This approach is broadly similar to the programmes DDG run in Somaliland and South Sudan, with adaptations to local context.

The community are heavily involved in all aspects of planning, implementing and monitoring the programme. Some of the key areas driven by community involvement include:

- **Community entry** – in-depth consultation with key security providers to gain their support (which took a long time), and collaborative planning of key components of the programme. Also developed a conflict map (see image below) to detail the conflict dynamics between clans and security providers in the communities. The map was used to ensure that the programme is conflict sensitive, staff understand the context, and are able to ensure the programme does not create or exacerbate existing tensions. The map is updated regularly.

¹⁵ <http://www.theigc.org/project/community-monitoring-to-address-leakage-in-roads-construction-in-afghanistan/>

¹⁶ <http://danishdemininggroup.dk/media/1309849/avr-casesudy-in-uganda.pdf>



Source: DRC/DDG | Powerpoint presentation | Conflict map | 2012

- **Community safety planning** – Seven day consultation workshop attended by approximately 100 people, focusing on clarifying communities’ vision of community safety and developing an action plan. The attendees are selected by the community, and include elders, women, youth, political leaders and security providers. Participants select members to form a Community Safety Committee (CSC), which is responsible for implementing the action plan. Example activities in the plan include the need for a police unit in a particular parish, or the need for more street lighting.
- **Capacity building training** – DDG offers support to CSCs on community mobilization and how to write funding proposals. DDG help connect them with relevant donors and garner appropriate support.

Some key lessons from this programme include:

- People from rural communities were easier to work with, as they took more responsibility for and ownership of their Community Safety Plans. In urban settings, the team noted additional challenges in getting the same level of buy-in.
- The level of capacity building requires to enable the CSC to perform their role should not be underestimated. In addition, the skills that this capacity building can provide will benefit CSC members beyond this particular programme.

A1.4 Community monitoring of National Rural Health Mission in Chandigarh, India¹⁷

The National Rural Health Mission (NRHM) in India is a broad, government-led health initiative which has community participation as a core principle. The CBM component empowers the community to work with health service providers to identify and solve community problems. An evaluation of CBM under NRHM was conducted in Chandigarh. Note that this example is different to the others in that it is a government-led initiative, rather than an NGO-led initiative.

As part of this evaluation, records were reviewed, interviews were conducted, and checklists were used to score observations. The following results and lessons were garnered from the evaluation:

- CBM was lacking in appropriate leadership, leading to poor outputs from group discussions due to a lack of moderation.
- CBM was lacking representation from non-health sector, lower communities and NGOs.
- Training provided to CBM team was weak, in that it was mostly lecture-oriented and had no focus on skill building for interviews and focus-group discussions – key tasks for the CBM team. It was suggested that field-based practical training and role plays could be more useful.
- Roles of different committee members within the CBM structure were often unclear. This lack of clarity often led to a low frequency of meetings and an overall lack of drive and leadership throughout the CBM team
- CBM tools were not tailored enough, and more work is needed to make them simpler, more understandable and contextual.

¹⁷ <https://www.ncbi.nlm.nih.gov/pubmed/26985413/>

Annex 2: Example monitoring table

The following table is an example of what should be developed as part of the monitoring plan. The plan should also contain templates for all of the tools.

Output	Activity	Requirement	Tool	Target	Frequency	Stage	Monitor Responsible
Output 1	Site selection	Adequate consultation	Beneficiary Engagement Survey	All identified beneficiary groups	Once - Upfront	Design	[Name]
		Adequate coverage	Coverage Checklist	Site map / plan	Once - Upfront	Design	...
	Construction of WASH facilities	Competitive procurement	Procurement Interview	Procurement officers and contractors	Twice (once per stage)	Design and Implementation	...
		Construction keeping to schedule	Construction Checklist	Building sites	Monthly	Implementation	...
		Quality standards being met	Quality Checklist	Building sites	Monthly	Implementation	...
	Community engagement	Good attendance	Attendance Tracker	Attendees	All training sessions	Implementation	...
		Good facilitation	Training Observation Tool	Trainers and attendees	All training sessions	Implementation	...
		Usefulness of session	Training Feedback Form	Attendees	All training sessions	Implementation	...
		Messages understood	WASH Knowledge Interview Tool	Attendees	Quarterly after training has taken place	Implementation	...
	Output 2

Annex 3: Example monitoring plan contents

Context

- Summary description of the programme
- Outline of the theory of change
- Why a CBM monitoring approach is being used
- Work undertaken to feed into this monitoring plan

Monitoring plan

- Objectives of the monitoring process
- Monitoring table (see Annex 2)
- Overall reporting template for monitoring findings

Monitoring governance

- Structure and organisation of the monitoring team
- Oversight provisions
- Roles and responsibilities
- Discussion of how monitoring data will be used and acted upon to inform adaptive management

Data collection tools

- All required tools and templates as outlined in the monitoring table
- Structure for data capture and collection
- Explanation of how data collected through each individual tool will be used to inform regular reporting

Risk management

Risk matrix covering:

- Identified risks to the CBM
- Likelihood and materiality of risk
- Mitigating actions



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