NATIONAL OPEN UNIVERSITY OF NIGERIA

DEPARTMENT OF ENTREPRENEURIAL STUDIES

FACULTY OF MANAGEMENT SCIENCES

COURSE CODE: ENT 803

COURSE TITLE: MONITORING AND SUPERVISION OF ENTREPENEURSHIP DEVELOPMENT PROGRAMMES

AUTHOR: HELEN AFANG ANDOW PhD

ENT 803: MONITORING AND SUPERVISION OF ENTREPENEURSHIP DEVELOPMENT PROGRAMMES

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1.0 Introduction

This unit introduces the topic of Monitoring and supervision in
Entrepreneurship Development Programmes (EDP). It is intended
primarily for students who have an interest in the topic, the main aim of this
unit is to acquaint learners with the background of the basic concepts of
course.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand the background of the basic concepts of the course.

3.0 Main contents

3.1 Background on Monitoring and Supervision in Entrepreneurship Development Programme (EDP)

Entrepreneurship Development Programme (EDP) is a programme which helps in developing the entrepreneurial abilities. EDP is a specially formulated curriculum that aims at training and grooming people with entrepreneurial aspiration; thereby equipping them with the required skill set to put their ideas into action. Entrepreneurship Development Programme (EDP) helps budding entrepreneurs to learn the ropes of running a business organization in the most efficient manner. The skills that are required to run a business successfully is developed among the people through this programme. Sometimes, people may have skills but it requires polishing and incubation. This programme is perfect for them. This programme consists of a structured training process to develop an individual as an entrepreneur. It helps the person to acquire skills and necessary capabilities to play the role of an entrepreneur effectively.

As per National Institute of Small Industry Extension Training, an EDP is an effort of converting a person to an entrepreneur by passing him through a thoroughly structured training. An entrepreneur is required to respond appropriately to the market and he/she is also required to understand the business needs. The skills needed are varied and they need to be taken care in the best possible way. EDP is not just a training programme but it is a

complete process to make the possible transformation of an individual into an entrepreneur. This programme also guides the individuals on how to start the business and effective ways to sustain it successfully.

Many countries have numerous projects in an attempt to improve their infrastructure and this improves the standard of living of its citizens. Huge sums of money are put into this activity and it is important to get value for money. Four aspects that would contribute towards ensuring these are planning, supervision, monitoring and evaluation.

Good planning, supervision, monitoring and evaluation enhance the establishing of clear links between past, present and future entrepreneurship initiatives and development results. Monitoring and evaluation can help an organization extract relevant information from past and ongoing activities that can be used as the basis for programmatic fine-tuning, reorientation and future planning. Without effective planning, supervision, monitoring and evaluation, it would be impossible to judge if work is going in the right direction, whether progress and success can be claimed, and how future efforts might be improved. Unfortunately, many project owners and managers do not recognize the need and usefulness of these concepts.

4.0 Conclusion

This Course sets out the roles of both planning, supervision, monitoring and evaluation in successful implementation of EDP projects and how these can be applied. It highlights the common constraints and ways in which these constraints can be overcome.

UNIT 2: DEFINITIONS AND OBJECTIVES OF ENTREPRENEURIAL DEVELOPMENT PROGRAMMES (EDP)

Table of Content

1.0 Introduction

This unit introduces the topic of Entrepreneurship Development Programmes (EDP). It is intended primarily for students who have an interest in the topic, the main aim of this unit is to acquaint learners with the basic concepts of EDP, its definition, objectives and the need for EDPs.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand the definitions of Entrepreneurial Development Programmes
- Understand the Need for EDPs
- Understand the Objectives of Entrepreneurial Development Programmes

3.0 Main contents

3.1 Definitions of Entrepreneurial Development Programmes (EDP)

As the term itself denotes, EDP is a programme meant to develop entrepreneurial abilities among the people. In other words, it refers to inculcation, development, and polishing of entrepreneurial skills into a person needed to establish and successfully run his / her enterprise. Thus, the concept of entrepreneurship development programme involves equipping a person with the required skills and knowledge needed for starting and running the enterprise. Small Industries Extension and Training Institute (SIET 1974), now National Institute of Small Industry Extension Training (NISIET), Hyderabad defined EDP as "an attempt to develop a person as entrepreneur through structural training. The main purpose of such entrepreneurship development programme is to widen the base of entrepreneurship by development achievement motivation and entrepreneurial skills among the less privileged sections of the society."

According to N. P. Singh (1985), "Entrepreneurship Development Programme is designed to help an individual in strengthening his entrepreneurial motive and in acquiring skills and capabilities necessary for playing his entrepreneurial role effectively. It is necessary to promote this understanding of motives and their impact on entrepreneurial values and behaviour for this purpose." Now, we can easily define EDP as a planned effort to identify, inculcate, develop, and polish the capabilities and skills as the prerequisites of a person to become and behave as an entrepreneur.

3.2 Need for EDPs:

That, entrepreneurs possess certain competencies or traits. These competencies or traits are the underlying characteristics of the entrepreneurs which result in superior performance and which distinguish successful entrepreneurs from the unsuccessful ones. Then, the important question arises is: where do these traits come from? Or, whether these traits are in born in the entrepreneurs or can be induced and developed? In other words, whether the entrepreneurs are born or made? Behavioural scientists have tried to seek answers to these questions.

A well-known behavioural scientist David C. McClelland (1961) at Harvard University made an interesting investigation-cum-experiment into why certain societies displayed great creative powers at particular periods of their history? What was the cause of these creative bursts of energy? He found that 'the need for achievement (n' ach factor)' was the answer to this question. It was the need for achievement that motivates people to work hard. According to him, money- making was incidental. It was only a measure of achievement, not its motivation.

In order to answer the next question whether this need for achievement could be induced, he conducted a five-year experimental study in Kakinada, i.e. one of the prosperous districts of Andhra Pradesh in India in collaboration with Small Industries Extension and Training Institute (SIET), Hyderabad. This experiment is popularly known as 'Kakinada Experiment'. Under this experiment, young persons were selected and put through a three-month training programme and motivated to see fresh goals. One of the significant conclusions of the experiment was that the traditional beliefs did not seem to inhibit an entrepreneur and that the suitable training can provide the necessary motivation to the entrepreneurs (McClelland &

Winter 1969). The achievement motivation had a positive impact on the performance of entrepreneurs.

In fact, the 'Kakinada Experiment' could be treated as a precursor to the present day EDP inputs on behavioural aspects. In a sense, 'Kakinada Experiment' is considered as the seed for the Entrepreneurship Development Programmes (EDPs) in India.

Based on this, it was the Gujarat Industrial Investment Corporation (GIIC) which, for the first time, started a three-month training programmes on entrepreneurship development. Impressed by the results of GIIC's this training programme, the Government of India embarked, in 1971, on a massive programme on entrepreneurship development. Since then, there is no looking back in this front. By now, there are some 686 all-India and State level institutions engaged in conducting EDPs in hundreds imparting training to the candidates in thousands. Till now, 12 State Governments have established state-level Centre for Entrepreneurship Development (CED) or Institute of Entrepreneurship Development (lED) to develop entrepreneurship by conducting EDPs. Today, the EDP in India has proliferated to such a magnitude that it has emerged as a national movement. It is worth mentioning that India operates the oldest and largest programmes for entrepreneurship development in any developing country.

The impact of India's EDP movement is borne by the fact that the Indian model of entrepreneurship development is being adopted by some of the developing countries of Asia and Africa Nigeria inclusive. Programmes similar to India's EDPs are conducted in other countries also, for example, 'Junior Achievement Programme' based on the principle of 'catch them young' in USA and 'Young Enterprises' in the U. K.

3.3 Objectives of Entrepreneurial Development Programmes (EDP)

The main objectives of entrepreneurial development programmes (EDP) are to provide knowledge of business to the people having little or no knowledge and to make them successful Business persons.

Following are the main objectives to achieve these goals:

1. To Promote First Generation Businessmen and Industrialists

We know that the son of businessman has the tendency to become a businessman, owing to family traditions, as they are hearing and looking at the intricacies of business, since birth, the habit of bearing loss is in their blood and the nature for making investments is developed, by way of inheritance. But for persons of such families where the business does not exist, the environment of business is lacking, who does not know anything about business, it means then that entrepreneurial development programmes provide inspiration to enter into trade, industry, and business.

2. To Create Awareness about Availability of the Resources

Various and special types of resources, like raw material, labour, techniques, and technologies are available in all parts of our own country and in foreign countries. But, due to lack of proper knowledge about them, these remain underutilized or even utilized. Hence, entrepreneurial development programmes (EDP) aim at providing information to people about these resources, so that their proper utilization is possible.

3. To Promote Small, Cottage & Local Industries

The aim of the entrepreneurial development programme is to provide inspiration to people for setting up small, local Industries, by utilization of resources available in the nearby areas and areas of their links.

4. To Encourage Self Employment Tendencies

Persons have two sources of livelihood, either by service or my own business, which are known as wage employment and self-employment, respectively. The entrepreneurial development programmes aim at inducing people for self-employment, in place of service, so that they may become the master of his own business and may be able to provide employment to other persons by establishing the business.

5. To Provide Knowledge about Government Plans and Programmes

The government has introduced various schemes for self-employment. But, they become significant only when people have sufficient knowledge about them. Hence, entrepreneurial development programmes (EDP) aimed at dissemination of detailed knowledge and information about self-employment, like how to make use of the government schemes, where from and how to obtain the required reliable information, which department will provide information and assistance about finances, techniques, and technologies, etc.

6. To Make a Successful Entrepreneur

The success of an entrepreneur depends upon certain qualities. Hence, entrepreneurial development programmes aim at developing all such qualities in them, which may make them a successful entrepreneur. These qualities include self-confidence, farsightedness, maturity, dynamic

approach, dedication, [leadership qualities](#), qualities for innovations, decision making power, etc.

7. To Provide Training to Operate Business

Entrepreneurial development programmes also aim to provide training for successful operation for the business. In this programmes, the entrepreneurs are trained, how to do the business, how to make business dealings with various parties, how to develop cordial relations, how to establish the business balance between various components of the business and how to combat the difficulties arising during the course of business, etc.

8. To Create Awareness about Marketing

In the present age, it is easy to produce goods, but the selling of goods is most difficult. Entrepreneurial development programme (EDP) provides information about the markets, to facilitate the sale of goods. The techniques of sustaining from competitions are also made known and the abilities to take suitable decisions in different situations are also developed.

9. To Develop Entrepreneurs in all Areas of the Country

Normally, it is observed that people establish business and industries and those places, where there are already well established. As a result, their localization and development take place, but other places or areas remain deprived of the industries and business. In such situations, entrepreneurial development programmes aim to develop in all parts of the country.

10. To Remove Doubts of Entrepreneurs, Give Solutions and Suggest Remedies of Problems

Whenever a person establishes his own business and industry, he feels many doubts, various problems also arise and he is visualizing several shortcomings. The entrepreneurial development programmes aim at removing the doubts and suggesting remedial measures for the problems and shortcomings.

For fulfilling these objectives, programmes of the various subject matter by specialists organized in which prospective entrepreneurs are invited to provide them opportunities for direct contact with these specialists and their problems are well diagnosed and remedies are suggested.

Besides, some of the other important objectives of the EDPs are to:

i.   Let the entrepreneur himself / herself set or reset objectives for his / her enterprise and strive for their realization.

ii.   Prepare him / her to accept the uncertainty in running a business.

iii. Enable him / her to take decisions.

iv.   Enable to communicate clearly and effectively.

v.   Develop a broad vision about the business.

vi.   Make him subscribe to the industrial democracy.

vii. Develop passion for integrity and honesty.

viii. Make him learn compliance with law.

4.0 Conclusion

Unit Two has shown that Entrepreneurship Development Programme (EDP) helps budding entrepreneurs to learn the ropes of running a business

organization in the most efficient manner. The skills that are required to run a business successfully is developed among the people through this programme.

5.0 Summary

The unit was able to define the concept of Entrepreneurship Development Programme (EDP), the Need for the EDP and the objectives of the EDP.

6.0 Tutor-Marked Assignments

Question (1) Describe the Needs for EDP.

Question (2) Describe any seven major objectives of EDP.

7.0 References / Further Reading

1. OCHA, 'Guidelines: Results-Oriented Planning & Monitoring', 2017.

2. OECD, 'Effective Practices in Conducting a Multi-donor Evaluation', Paris, France, 2018.

UNIT 3: BASIC CONCEPTS AND NATURE OF PLANNING, MONITORING, EVALUATION AND SUPERVISION

Table of Content

1.0 Introduction

2.0 Objectives

3.0 Main contents

2.0 Introduction

This unit introduces the basic concepts of Planning, Monitoring, Evaluation and Supervision. It is intended primarily for students to have an understanding of the concepts and their nature.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand the concept and nature of Planning
- Understand the concept and nature of Monitoring
- Understand the concept and nature of Evaluation
- Understand the concept and nature of Supervision

3.0 Main contents

3.1 Planning

Planning can be defined as the process of setting goals, developing strategies, outlining the implementation arrangements and allocating resources to achieve those goals. It is important to note that planning

involves looking at a number of different processes: Identifying the vision, goals or objectives to be achieved

    i.   Formulating the strategies needed to achieve the vision and goals

    ii.   Determining and allocating the resources (financial and other) required to achieve the vision and goals

    iii.   Outlining implementation arrangements, which include the arrangements for monitoring and evaluating progress towards achieving the vision and goals

There is an expression that "failing to plan is planning to fail." While it is not always true that those who fail to plan will eventually fail in their endeavours, there is strong evidence to suggest that having a plan leads to greater effectiveness and efficiency. Not having a plan—whether for an office, programme or project—is in some ways similar to attempting to build a house without a blueprint, that is, it is very difficult to know what the house will look like, how much it will cost, how long it will take to build, what resources will be required, and whether the finished product will satisfy the owner's needs. In short, planning helps in defining what an organization, programme or project aims to achieve and how it will go about it.

The Benefits of Planning

There are four main benefits that make planning worthwhile:

    i.   Planning enables us to know what should be done when—without proper planning, projects or programmes may be implemented at the wrong time or in the wrong manner and result in poor outcomes. A classic example is that of a development agency that offered to help improve the conditions of rural roads. The planning process was controlled by the agency with little consultation. Road repair began

during the rainy season and much of the material used for construction was unsuitable for the region. The project suffered lengthy delays and cost overruns. One community member commented during the evaluation that the community wanted the project, but if there had been proper planning and consultation with them, the donors would have known the best time to start the project and the type of material to use.

ii. Planning helps mitigate and manage crises and ensure smoother implementation— There will always be unexpected situations in programmes and projects. However, a proper planning exercise helps reduce the likelihood of these and prepares the team for dealing with them when they occur. The planning process should also involve assessing risks and assumptions and thinking through possible unintended consequences of the activities being planned. The results of these exercises can be very helpful in anticipating and dealing with problems. (Some planning exercises also include scenario planning that looks at 'what ifs' for different situations that may arise.)

iii. Planning improves focus on priorities and leads to more efficient use of time, money and other resources—Having a clear plan or roadmap helps focus limited resources on priority activities, that is, the ones most likely to bring about the desired change. Without a plan, people often get distracted by many competing demands. Similarly, projects and programmes will often go off track and become ineffective and inefficient.

iv. Planning helps determine what success will look like—a proper plan helps individuals and units to know whether the results achieved are those that were intended and to assess any discrepancies. Of course,

this requires effective monitoring and evaluation of what was planned. For this reason, good planning includes a clear strategy for monitoring and evaluation and use of the information from these processes.

3.2 Monitoring

Monitoring is a continuous process which compares/assesses the ongoing performance of a project's input, activities (process) and outputs with actual standards.

Monitoring is the process of collecting and analyzing information, and using that information to improve our work and help work management as well. It is a tool for identifying strengths and weakness in a program and for making good and timely decisions. If monitoring is done well it is easier to evaluate a project\program or a piece of work effectively, which helps to formulate a future action plan to operate a project\program successfully.

Monitoring is a periodic measurement of inputs, activities, and outputs of an undertaken project during implementation towards achievement of the plans against them. It is the periodic collection and analysis of selected indicators to enable managers to determine whether key activities are being carried out as it was planned.

Monitoring can be defined as the ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving their goals and objectives. Contrary to many definitions that treat monitoring as merely reviewing progress made in implementing actions or activities, the

definition used in this Course Handbook focuses on reviewing progress against achieving goals. In other words, monitoring in this Couse Handbook is not only concerned with asking "Are we taking the actions we said we would take?" but also "Are we making progress on achieving the results that we said we wanted to achieve?" The difference between these two approaches is extremely important. In the more limited approach, monitoring may focus on tracking projects and the use of the agency's resources. In the broader approach, monitoring also involves tracking strategies and actions being taken by partners and non-partners, and figuring out what new strategies and actions need to be taken to ensure progress towards the most important results.

3.3 Evaluation

Evaluation is the assessment at one point in time of the impact of a program/project or of a work and the extent to which stated objectives have been achieved.

Evaluation is defined as the retrospective analysis of experience to assess the stated objective of a project\program was achieved and to determine how and why the objectives were and were not achieved.

An evaluation is usually more formal and systematic, since it concentrates specifically on whether the objectives of the program/project or a piece of work have been achieved, and what impact has made.

Evaluation is a rigorous and independent assessment of either completed or ongoing activities to determine the extent to which they are achieving stated objectives and contributing to decision making. Evaluations, like

monitoring, can apply to many things, including an activity, project, programme, strategy, policy, topic, theme, sector or organization. The key distinction between the two is that evaluations are done independently to provide managers and staff with an objective assessment of whether or not they are on track. They are also more rigorous in their procedures, design and methodology, and generally involve more extensive analysis. However, the aims of both monitoring and evaluation are very similar: to provide information that can help inform decisions, improve performance and achieve planned results.

While monitoring provides real-time information required by management, evaluation provides more in-depth assessment. The monitoring process can generate questions to be answered by evaluation. Also, evaluation draws heavily on data generated through monitoring during the programme and project cycle, including, for example, baseline data, information on the programme or project implementation process and measurements of results.

3.4 Supervision

It is difficult to formulate an overall definition that takes into account all the different organizational contexts and types of work for which supervision is required. In the development profession terms such as assessment, monitoring, and appraisal add to the confusion, since supervision can encompass much of these. Literally, to supervise means to "oversee the actions or work of (a person). "Vision" is derived from the Latin "videre," meaning "to see. One helpful definition might be that supervision encompasses several functions concerned with monitoring, developing, and supporting individuals.

Good supervision impacts organizational results and the overall work environment. A strong supervisory team that contributes to a positive work

environment and enables employees to be (and feel) successful can provide your organization with a competitive advantage in attracting and retaining talented employees – which is critical in a sector that faces challenges in recruiting and retaining top employees. Good supervision is based on clearly defining the role of supervisors in your organization, and ensuring supervisors have the requisite competencies to carry out their role effectively. Supervision is a management function. Therefore, the delivery of supervision should be a key part of an organization's safety management system.

i.   Supervision is a managerial activity to influence supervisees so that they become more positively motivated and contribute fully towards the achievement of the objectives of the organization.

ii. Supervision is a process or course of activities through which the supervisor administers and controls the subordinates so that they manage their tasks efficiently in order to achieve desired program goal.

4.0 Conclusion

Unit three has shown that four aspects that would contribute towards ensuring successful Programme/project implementation are planning, supervision, monitoring and evaluation.

5.0   Summary

The unit was able to define the concepts of Planning, Supervision, Monitoring and Evaluation.

6.0   Tutor-Marked Assignments

Question (1) Describe the concepts of Planning, Supervision, Monitoring and Evaluation.

Question (2) Describe any five benefits of Planning.

7.0   References / Further Reading

1.   OCHA, 'Guidelines: Results-Oriented Planning & Monitoring', 2017.

2.   Joint Committee on Standards for Educational Evaluation, 'Programme Evaluation Standards: How to Assess Evaluations of Educational Programmes', 1994, 2nd ed, Sage Publications, Thousand Oaks, CA. 'Managing for Development Results (MfDR) Initiative'.

UNIT 4: RATIONALE FOR MONITORING, EVALUATION AND SUPERVISION IN ENTREPRENEURSHIP DEVELOPMENT PROGRAMMES

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1.0 Introduction

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3.1 Rationale for Monitoring, Evaluation and Supervision in Entrepreneurship Development Programmes

4.0 Conclusion

5.0 Summary

6.0 Tutor-Marked Assignment

7.0 Reference / Further Reading

1.0 Introduction

Good planning, combined with effective monitoring supervision and evaluation, can play a major role in enhancing the effectiveness of development programmes and projects. In this unit, you will learn about the Rationale for Monitoring, Evaluation and Supervision in Entrepreneurship Development Programmes.

2.0 Objective

At the end of this unit, the student should be able to:-

- Understand the rationale for Monitoring, Evaluation and Supervision in Entrepreneurship Development Programmes.

3.0 Main contents

3.1 Rationale for Monitoring, Evaluation and Supervision in Entrepreneurship Development Programmes

A core justification for EDP Monitoring and supervision is the presence of coordination failures and information asymmetries, which may limit EDP ability to contribute to economic and industrial development, innovation, job creation and social cohesion. SME Entrepreneurship support can come in various forms, including advice, training, and enhanced access to finance and can help both, the individuals as well as the rest of society through

positive spill-over benefits in terms of job and wealth creation, as well as economic growth.

There is consequently substantial direct public expenditure on businesses and entrepreneurship programmes and many other policy measures, which target SMEs, have important indirect public finance implications through foregone tax revenue. It is the responsibility of policy makers to use monitoring, supervision and evaluation to provide accountability, and to ensure that expenditure is in line with programme objectives and has the intended effects.

Monitoring, supervision and evaluation is also needed to refine and redirect programme interventions, hence improving performance and "value for money". Applied systematically across different types of policy interventions, it can help to ensure that policy, in aggregate, is coherent and that the policy mix is appropriate.

Good planning, combined with effective monitoring supervision and evaluation, can play a major role in enhancing the effectiveness of development programmes and projects. Good planning helps us focus on the results that matter, while monitoring and evaluation help us learn from past successes and challenges and inform decision making so that current and future initiatives are better able to improve people's lives and expand their choices.

To improve the chances of success, attention needs to be placed on some of the common areas of weakness in programmes and projects. Four main areas for focus are identified consistently:

1.   Planning and programme and project definition—Projects and programmes have a greater chance of success when the objectives and scope of the programmes or projects are properly defined and clarified. This reduces the likelihood of experiencing major challenges in implementation.

2.   Stakeholder involvement—High levels of engagement of users, clients and stakeholders in programmes and projects are critical to success.

3.   Communication—Good communication results in strong stakeholder buy-in and mobilization. Additionally, communication improves clarity on expectations, roles and responsibilities, as well as information on progress and performance. This clarity helps to ensure optimum use of resources.

4.   Monitoring and evaluation—Programmes and projects with strong monitoring and evaluation components tend to stay on track. Additionally, problems are often detected earlier, which reduces the likelihood of having major cost overruns or time delays later.

4.0 Conclusion

Unit three has shown that good planning, combined with effective monitoring supervision and evaluation, can play a major role in enhancing the effectiveness of development programmes and projects.

5.0   Summary

The unit was able to rationale for monitoring, evaluation and supervision in entrepreneurship development projects.

6.0   Tutor-Marked Assignments

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Question (1) Describe the rationale of Planning, Supervision, Monitoring and Evaluation in Entrepreneurship development.

Question (2) Describe any three areas of weaknesses in entrepreneurship development programmes/projects.

7.0   References / Further Reading

1.   Sheehan, Michael – Kearns, Dan (1995) Using Kolb: Implementation and evaluation of facilitation skills. Industrial and Commercial Training, Vol. 27.

2.   Storey, David (2015) Six Steps to Heaven: Evaluating the Impact of Public Policies to Support Small Business in Developed Economies. In: Blackwell Handbook of Entrepreneurship, ed. by Donald L. Sexton – Hans Landström, 176–191. Blackwell: Oxford, UK.

UNIT   5:   MONITORING   AND   ENTREPRENEURSHIP DEVELOPMENT PROGRAMMES

Table of Content

1.0 Introduction

This unit discusses in detail monitoring in EDP. It is intended primarily for students to have an understanding of Monitoring in Entrepreneurship.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand monitoring in detail
- Understand the Objectives of monitoring
- Understand the Benefits of monitoring
- Understand the Scope of monitoring
- Understand the Principles of monitoring
- Understand the Types of monitoring

3.0 Main contents

3.1 Monitoring in EDP

Monitoring is a periodic assessment of the progress of a project/ programme towards achievement of its planned activities and results. It starts with the implementation of the first activity, and continues as long as all activities are accomplished.

Monitoring is useful for the management to know the status of the project/programme. This is why it is considered as a basic and universal management tool. Project management always remains interested to know if the activities are carried out as per plans, and the activities produce expected effect on the target beneficiaries of the project.

Project/programme management selects some key activities for monitoring. For each key activity, they select some indicators. Then, they ask monitors to collect data on the indicators, analyze the data, and give results to management, so that they can understand the actual status of the project, and to what extent the completed activities are going to produce expected effects on target beneficiaries of the project.

Monitoring needs a systematic planning. It is conducted through some methods and techniques. During planning of monitoring, the project management sets some standards for the performance of inputs, processes, and results. During monitoring data are collected and analyzed, for comparing the actual performance of inputs, processes, and results with the set standards. Thus the monitoring results show the project management the deviations from the standards.

The project management considers the deviations, finds out reasons of deviations, and takes necessary decision to fill the gaps and to improve performance. So, monitoring identifies the positive and negative performance of a project, and helps the management to take good and timely decisions to correct the negative performances.

3.2 Objectives of monitoring

The objectives of project monitoring are as follows:

i. Identify the actual status of long-term sustainability of the project in order to determine if scheduled activities and expected output are being implemented/achieved as planned.

ii. Discover gaps and deficiencies in project implementation as well as current and potential issues/problems that need to be addressed.

iii. Identify factors that may affect the long-term sustainability of the project.

iv. Highlight significant features that may serve as insights for the planning and implementation of future similar projects

v. Identify opportunities and strengths that can be tapped to ensure successful project management and implementation.

vi. Recommend policy options for effective and efficient project management and implementation.

vii. Document initial success stories that may be useful for social mobilization and advocacy or for replication in related project.

viii. Immediately inform project management and administrators of the status of project implementation so that they can apply remedial measures to solve problems.

ix. Disseminate the results of the monitoring to the project managers, planners, donors and other sponsors.

Objectives of project monitoring should be:

i. Specific

ii.   Measurable

iii.   Achievable/attainable

iv.   Result-oriented

v.   Time-bound, as set by the project

Objectives that are *specific* help to clarify goals, provide direction to the activities, guide the selection of data and provide a basis for assessing the overall value of evaluation.

Measurable objectives help provide outcomes that are observable and demonstrable.

An *achievable* objective should be attainable on the basis of the available financial and material resources and the technical demands of the methods to be employed, as well as staff capabilities.

Finally, objectives should be *time-bound* and should be achieved within a specific time frame.

3.3 Benefits of monitoring

The purpose of monitoring is to provide program managers, staff and people involved with sufficient information to make the right decisions at the right time. It is the process by which everyone involved can assess their strengths and weakness, and amend the directions of the project. The needs for monitoring are:

i.   Monitoring results produce the exact operational performance of the project. Based on the results, the project management can judge the needs for improving the day-to-day activities.

ii. The project management is accountable to stakeholders and donors. Monitoring results tells the management whether the beneficiaries are getting what they are supposed to get, and if they are getting whether they are receiving them through the planned process, and within the budget of activity implementation.

iii. The failure of the development projects is often due to faulty or incomplete implementation of intervention rather than ineffective solution. Monitoring results inform the management if the activities were implemented following the criteria.

iv. Monitoring results help the management to judge if the activities remain useful for the beneficiaries. Thus monitoring results is crucial for the management to decide if the intervention should continue, or the duration of the project should be expanded or the project should be terminated.

3.4 Scope of monitoring

Monitoring is limited to the relation between the implementation of the activities and the results, in which the results are directly and only determined by the project activities. Monitoring encompasses observation of the process and comparison of targets and standards with actual and appropriately reporting to responsible individuals.

3.5 Principles of monitoring

i. Monitoring should be based on the needs of project management decision-making. It should be systematic, and should be considered as an indispensable part of the project phase.

ii. The cost of monitoring should be as minimal as possible.

iii.   Monitoring should be designed to see the progress in comparison with the baseline survey conducted before the start of the project.

iv.   The monitoring system should be established through close consultation with the potential users in order to ensure that required information are collected so that the users can justify the progress.

v.   The information monitoring will produce should be designed at the early stage of the project. It should be based on sound methods so that the users easily understand, accept, and use the monitoring results.

vi.   The purpose of monitoring is not spying, but it is a collaborative effort for understanding the status of the project, and the ways for improving performance. Thus monitoring system should examine the most effective ways of involving the beneficiaries in the monitoring process.

3.6 Types of monitoring

Commonly there are two types of monitoring in development interventions:

- Process/progress Monitoring and

- Impact Monitoring.

1.   Process/Progress Monitoring

Process/Progress monitoring of project includes information on the use of inputs, the progress of activities as per plans, and the procedure following which the activities are carried out.

Process/Progress monitoring is a means for:

i.   Reviewing and adapting the plans of activities regularly

ii.   Assessing whether the activities are carried out as per plans

iii. Identifying and dealing with emerging problems

iv.   Reinforcing the strengths of operation and taking advantages of opportunities

v.   Assessing whether the style of activity implementation and management is the best way to achieve the purpose of the project (capacity building, changing power relationships, etc.)

vi.   Determining changes in the target population and in the overall social environment to which are interventions are relevant.

2. Impact Monitoring

Impact monitoring provides information on progress towards achieving objectives of the project. Impact monitoring is the means by which:

i.   A measure of progress of interventions can be related to the overall objectives of the project on a continual basis.

ii.   The interventions can be modified in response to the changing socio-economic context without diverting from direction.

iii. The needs for adapting the project objectives can be identified.

iv.   The needs for further information or research can be identified.

v.   The assumption that the activities will help achieve the stated objectives can be verified.

4.0 Conclusion

Unit four has shown that Monitoring is limited to the relation between the implementation of the activities and the results, in which the results are directly and only determined by the project activities. Monitoring encompasses observation of the process and comparison of targets and standards with actual and appropriately reporting to responsible individuals.

5.0   Summary

The unit was able to discuss monitoring and entrepreneurship development programmes, Objectives of monitoring, Benefits of monitoring, Scope of monitoring, Principles of monitoring and Types of monitoring. Principle of monitoring etc.

6.0   Tutor-Marked Assignments

Question (1) Describe the objectives rationale of Monitoring in Entrepreneurship development.

Question (2) Describe any three benefits of Monitoring in entrepreneurship development programmes/projects.

7.0   References / Further Reading

1.   Patton, Michael Quinn (2009) Qualitative Evaluation Methods. SAGE Publications: Newbury Park, USA.

2.   Storey, David (2000) Six Steps to Heaven: Evaluating the Impact of Public Policies to Support Small Business in Developed Economies. In: Blackwell Handbook of Entrepreneurship, ed. by Donald L. Sexton – Hans Landström, 176–191. Blackwell: Oxford, UK.

UNIT 6: EVALUATION IN ENTREPRENEURSHIP DEVELOPMENT PROGRAMMES

Table of Content

1.0 Introduction

This unit discusses in detail Evaluation in EDP. It is intended primarily for students to have an understanding of Evaluation in Entrepreneurship.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand the Why and Uses of Evaluation
- Understand the Evaluation Norms and Standards
- Understand the Types of Evaluation
- Understand the Specific Considerations for Planning Evaluations

- Understand the Steps in the Evaluation Process
- Understand Evaluation Objectives and Criteria

3.0 Main contents

3.1 Why Evaluate? Uses of Evaluation

Evaluation is critical for EDP to progress towards advancing human development. Through the generation of 'evidence' and objective information, evaluations enable managers to make informed decisions and plan strategically. EDP success depends, in part, on the ability of EDP and its counterparts to carry out credible evaluations and use them to make evidenced-based decisions. The effective conduct and use of evaluation requires adequate human and financial resources, sound understanding of evaluation and most importantly, **a culture of results-orientation, learning, inquiry and evidence-based decision making**. Everyone in EDP and its stakeholders have to share the same vision and be open to change.

When evaluations are used effectively, they support programme improvements, knowledge generation and accountability.

Supporting programme improvements—Did it work or not, and why? How could it be done differently for better results?

The interest is on **what works, why and in what context**. Decision makers, such as managers, use evaluations to make necessary improvements, adjustments to the implementation approach or strategies, and to decide on alternatives. Evaluations addressing these questions need to provide concrete information on how improvements could be made or what alternatives exist to address the necessary improvements.

Building knowledge for generalizability and wider-application—What can we learn from the evaluation? How can we apply this knowledge to other contexts?

The main interest is in the development of knowledge for global use and for generalization to other contexts and situations. When the interest is on knowledge generation, evaluations generally apply more rigorous methodology to ensure a higher level of accuracy in the evaluation and the information being produced to allow for generalizability and wider application beyond a particular context.

Supporting accountability—Is EDP doing the right things? Is EDP doing things right? Did EDP do what it said it would do?

The interest here is on determining the merit or worth and value of an initiative and its quality. An effective accountability framework requires credible and objective information, and evaluations can deliver such information.

These uses are not mutually exclusive and evaluation, in general, has multiple uses. Throughout the evaluation process, the identified use has to be revisited and redefined, as necessary, in consultation with stakeholders. This inclusive process ensures the credibility and ownership of the evaluation process and products, hence resulting in its optimal use.

3.2   Evaluation Norms and Standards

Evaluation in EDP should be:

i. **Independent**—Management must not impose restrictions on the scope, content, comments and recommendations of evaluation reports. Evaluators must be free of conflict of interest.

ii. **Intentional**—The rationale for an evaluation and the decisions to be based on it should be clear from the outset.

iii. **Transparent**—Meaningful consultation with stakeholders is essential for the credibility and utility of the evaluation.

iv. **Ethical**—Evaluation should not reflect personal or sectoral interests. Evaluators must have professional integrity, respect the rights of institutions and individuals to provide information in confidence, and be sensitive to the beliefs and customs of local social and cultural environments.

v. **Impartial**—Removing bias and maximizing objectivity are critical for the credibility of the evaluation and its contribution to knowledge.

vi. **Of high quality**—All evaluations should meet minimum quality standards defined by the Evaluation Office.

vii. **Timely**—Evaluations must be designed and completed in a timely fashion so as to ensure the usefulness of the findings and recommendations

viii. **Used**—Evaluation is a management discipline that seeks to provide information to be used for evidence-based decision making. To enhance the usefulness of the findings and recommendations, key stakeholders should be engaged in various ways in the conduct of the evaluation.

3.3   Types of Evaluation

Project Versus Outcome Evaluations

There are several important differences between project evaluations and outcome evaluations, as illustrated in Table below.

Differences between project and outcome evaluations		
	Project Evaluation	**Outcome Evaluation**

Focus	Generally speaking, inputs, activities and outputs (if and how project outputs were delivered within a sector or geographic area and if direct results occurred and can be attributed to the project)*	Outcomes (whether, why and how the outcome has been achieved, and the contribution of EDP to a change in a given development situation)
Scope	Specific to project objectives, inputs, outputs and activities Also considers relevance and continued linkage with outcome	Broad, encompassing outcomes and the extent to which programmes, project, soft assistance, partners' initiatives and synergies among partners contributed to its achievement
Purpose	Project based to improve implementation, to re-direct future projects in the same area, or to allow for upscaling of project	To enhance development effectiveness, to assist decision making, to assist policy making, to re-direct future EDP assistance, to systematize innovative approaches to sustainable human development

Source: Guidelines for Evaluators, 2002

*Large projects may have outcomes that can be evaluated. Further, small projects may also make tangible contributions to the achievement of CPD outcomes or even project-specific outcomes. In such instances, these project evaluations may be considered to be fulfilling requirements for outcome evaluations.

3.4 Specific Considerations for Planning Evaluations

Evaluations generally require significant resources and time. Therefore, every evaluation must be justified and used in an optimal way. Programme units together with key stakeholders should consider the following points in developing an evaluation plan:

i. **Uses, purpose and timing of evaluation**—Evaluations should be proposed only when commissioning programme units and stakeholders are clear at the onset about why the evaluation is being conducted (the purpose), what the information needs are (demand for information), who will use the information, and how the information will be used. Such information can be derived from a shared vision of success, as expressed in the results or outcome model at the planning stage. The intended use determines the timing of an evaluation, its methodological framework, and level and nature of stakeholder participation. The timing of an evaluation should be directly linked to its purpose and use. To ensure the relevance of an evaluation and effective use of evaluation information, the evaluation should be made available in a timely manner so that decisions can be made informed by evaluative evidence.

ii. **Resources invested**—an area (thematic or programmatic area, outcome or project) in which EDP has invested significant resources may be subject to an evaluation as there may be greater accountability requirements.

iii. **The likelihood of future initiatives in the same area**—Evaluations are an important means of generating recommendations to guide future work. An evaluation enables the programme unit to take stock

of whether the outputs have contributed to the outcome and whether EDP has crafted an effective partnership strategy. When selecting an initiative to be evaluated, look for one in an area that EDP will continue to support.

iv. **Anticipated problems—**evaluations can help prevent problems and provide an independent perspective on existing problems. When selecting an outcome for evaluation, look for those with problems or where complications are likely to arise because the outcome is within a sensitive area with a number of partners.

v. **Need for lessons learned—**what kinds of lessons are needed to help guide activities in this country or other countries or regions in the region?

vi. **Alignment and harmonization—**planned evaluations should be aligned with national, regional and global development priorities, and should be harmonized with evaluations of UN system organizations and other international partners.

3.5 Steps in the Evaluation Process

Step 1: Pre-Evaluation: Initiating the Evaluation Process

Checking the evaluability, or readiness, for evaluation

Step 2: Preparation

Agreeing on the management structure of an evaluation and roles and responsibilities

Step 3: Managing the Conduct of The Evaluation

Briefing and Supporting the Evaluation Team

Step 4: Using the Evaluation—Management Response, Knowledge Sharing and Dissemination

3.6 Evaluation Objectives and Criteria

i. **Relevance** concerns the extent to which a development initiative and its intended outputs or outcomes are consistent with national and local policies and priorities and the needs of intended beneficiaries.

ii. **Effectiveness** is a measure of the extent to which the initiative's intended results (outputs or outcomes) have been achieved or the extent to which progress toward outputs or outcomes has been achieved.

iii. **Efficiency** measures how economically resources or inputs (such as funds, expertise and time) are converted to results. An initiative is efficient when it uses resources appropriately and economically to produce the desired outputs. Efficiency is important in ensuring that resources have been used appropriately and in highlighting more effective uses of resources.

iv. **Sustainability** measures the extent to which benefits of initiatives continue after external development assistance has come to an end. Assessing sustainability involves evaluating the extent to which relevant social, economic, political, institutional and other conditions are present and, based on that assessment, making projections about the national capacity to maintain, manage and ensure the development results in the future.

v. **Impact** measures changes in human development and people's well-being that are brought about by development initiatives, directly or indirectly, intended or unintended. Many development organizations evaluate impact because it generates useful information for decision making and supports accountability for delivering results.

In general, applying the following most commonly applied criteria—**relevance, effectiveness, efficiency, sustainability** and **impact**—in combination will help to ensure that the evaluation covers the most critical areas of the initiative. However, not all criteria are applicable, or equally applicable, to every evaluation.

The effective conduct and use of evaluation requires adequate human and financial resources, sound understanding of evaluation and most importantly, a culture of results-orientation, learning, inquiry and evidence-based decision making. Everyone in EDP and its stakeholders have to share the same vision and be open to change. When evaluations are used effectively, they support programme improvements, knowledge generation and accountability.

4.0 Conclusion

Unit five has shown that the effective conduct and use of evaluation requires adequate human and financial resources, sound understanding of evaluation and most importantly, a culture of results-orientation, learning, inquiry and evidence-based decision making. Everyone in EDP and its stakeholders have to share the same vision and be open to change. When evaluations are used effectively, they support programme improvements, knowledge generation and accountability.

5.0 Summary

The unit was able to discuss evaluation in entrepreneurship development programmes, Why Evaluate? Uses of Evaluation, Evaluation Norms and Standards, Types of Evaluation, Specific Considerations for Planning Evaluations, Steps in the Evaluation Process, and Evaluation Objectives and Criteria.

6.0 Tutor-Marked Assignments

Question (1) Describe the objectives and criteria of Evaluation. Question (2) Describe any two types of Evaluation in entrepreneurship development programmes/projects.

7.0 References / Further Reading

1. Rowe, Christopher (1996) Evaluating management training and development: revisiting the basic issues. Industrial and Commercial Training, Vol. 28, No: 4.

2.   Patton, Michael Quinn (2009) Qualitative Evaluation Methods. SAGE Publications: Newbury Park, USA.

UNIT 7: SUPERVISION AND ENTREPRENEURSHIP DEVELOPMENT PRGRAMMES

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3.7 The drama triangle

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3.9 Outcomes-focused supervision

3.10 Group supervision

3.11 Implications for practice

4.0 Conclusion

5.0 Summary

6.0 Tutor-Marked Assignment

7.0 Reference / Further Reading

1.0 Introduction

This unit discusses in detail Supervision in EDP. It is intended primarily for students to have an understanding of Supervision in Entrepreneurship development Programmes.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand supervision means in detail
- Understand the Functions of Supervision
- Understand the Context of Supervision
- Understand the Historical Evidence of Supervision
- Understand the Processes in supervision
- Understand the drama triangle
- Understand the Skills for supervision
- Understand the Outcomes-focused supervision
- Understand the Group supervision
- Understand the Implications for practice

3.0 Main contents

3.1 Introduction

Supervision is an essential component of practice in social work like EDP and social care, not just for frontline staff, but at all levels in an organization. Effective supervision provides a safe space for workers to reflect on their practice, as well as to develop skills and knowledge. The delivery of supervision is heavily dependent on the organisational context, While the evidence base on supervision is limited, the available evidence points to good supervision being associated with job satisfaction, organisational commitment and retention of staff. The dynamics of supervision can be

extremely complex, and delivering effective supervision is a skilled task which requires support and training for supervisors.

Supervision in social work and social care is a 'key organisational encounter' (Middleman and Rhodes 1980, p52). However, although much has been written about this topic, the evidence base is limited. This review seeks to explore the relevant literature and focus on a number of themes in more detail. It will begin by looking at the key functions of supervision before exploring supervision in two specific contexts: integrated settings and child protection. One model of supervision, the 4 x 4 x 4 model (Wonnacott, 2012) will be explored, because it both promotes reflective supervision and locates it firmly within its organisational context. This review will then turn to two important approaches to supervision: outcomes-focused and reflective supervision. The dynamics of the supervision process will then be explored and effective supervision skills identified. The emphasis in this review is on individual 1-1 supervision, but attention will also be paid to group supervision because of its use in a range of social care settings.

3.2 What do we mean by supervision?

It is important at the outset to look at the definition of supervision. There are a number of definitions, some of which are lengthy and detailed (see for example, Davys and Beddoe, 2010; Hawkins and Shohet, 2012). Morrison (2006) defines supervision as: A process by which one worker is given responsibility by the organization to work with another worker(s) in order to meet certain organisational, professional and personal objectives.

Writing in a social care context, the Care Council for Wales (2012), in a more organizationally focused approach, defines supervision as: an accountable, two-way process, which supports, motivates and enables the

development of good practice for individual social care workers. As a result, this improves the quality of service provided by the organization. Supervision is a vital part of individual performance management.

This second definition has a much stronger emphasis on the organisational context of EDP within which supervision is conducted.

3.3 Functions of Supervision

Whilst there may be broad consensus on what supervision is about, there are differences when it comes to exploration of its key functions. Kadushin (1992) argues that there are three main functions: educational, supportive and administrative. The educational or development function concerns the development of knowledge, skills and, importantly, attitude toward the worker's role. In this function, the goals of supervision are seen to encourage reflection and exploration of the work and to develop new insights, perceptions and ways of working. The supportive function involves supervisors providing support for both the practical and psychological elements of a practitioner's role. Hughes and Pengelly (1997) argue that attending to the emotional response to the work is more important than merely support. In this function, the primary issue can be seen as being the emotional impact of practice and the potential of this to undermine safe practice, as well as the impact on health and wellbeing of the practitioner. Lastly, the administrative or management function concerns the promotion and maintenance of good standards of work and the adherence to organisational policies and those of other key stakeholders, including professional bodies and the Care Inspectorate. This can be viewed as the quality assurance dimension within supervision. Morrison (2006) suggests

that supervision has a fourth function of mediation, which involves providing a link between the worker and the broader organization.

It is recognized that there are tensions between different functions. Peach and Horner (2007) and Beddoe (2010) identify tensions between what they refer to as surveillance on the one hand and support or reflection on the other. This points to the importance of adopting a critical perspective on supervision. In addition, Malahleka (1995) suggests that there is a tension between interface (mediation) and interference (scrutiny).

3.4 Context of Supervision

Supervision is clearly located within its organisational context (Noble and Irwin, 2009). It is contended that supervision takes place at the intersection of four systems: political, service, professional and practice (Baines et al, 2014). The broader political culture within which social work and social care operates has changed considerably in recent years, with a much stronger emphasis on agency accountability (Peach and Horner, 2007). However, it is argued by Jones (2004) that learning is inextricably linked to questions of accountability - 'What is it that practitioners are learning to do, how well they are doing it and to whose benefit?' Further, it is argued that there is an increased emphasis on risk (Beddoe, 2010) and on the organisational aspect of supervision at the expense of attention to practice issues (Hughes and Olney, 2012).

Organisational culture can be a very strong influence on supervision, with Hawkins and Shohet (2012) claiming that the best and worst features of the organization often accompany participants into supervision. Similarly, Lawlor (2013), in a study of developing a reflective approach to supervision

in one agency, stresses the importance of leadership from the very top of the organization.

The optimum context for effective supervision is within a broader learning and development culture, characterized by the following features:

i. Reviews of mistakes and problems provide opportunities for learning, not finding scapegoats

ii. There is organisational commitment to continuing professional development throughout workers' careers

iii. Room is found for professional autonomy and discretion, and practice which is not dominated by rule-bound proceduralism

iv. The emotional impact of the work is recognized with effective processes to mitigate the worst effects

v. Individuals and teams make the time to review their effectiveness

(Schon, 1983; Hughes and Pengelly, 1997; Davys and Beddoe, 2010)

3.5 Historical Evidence of Supervision

There is an apparent paradox in that whilst the importance of supervision has been increasingly recognised in recent years (Hawkins and Shohet, 2012), the evidence base has not reflected this. For example, after reviewing 690 articles about supervision in child welfare, Carpenter and colleagues (2013, p1843) concluded that, 'the evidence base for the effectiveness of supervision in child welfare is surprisingly weak'. They note that there are many models of supervision, but few of them have been subjected to

rigorous research. The most obvious gap is in evidence that the implementation of clearly defined models of supervision in an organisation leads to improved outcomes for workers and, in particular, people who access support. As Fleming and Steen (2004) point out, there are a number of causal links and intervening variables that make the task of building an evidence base very challenging.

Taking a broader approach than child welfare, Davys and Beddoe (2010) point out that there remains little agreement as to what constitutes 'good' supervision and that much evaluative research into effectiveness has focused on supervision of students. In particular, the impact of supervision on outcomes for service users and carers has rarely been investigated (Carpenter et al, 2012), although there is some evidence which suggests that supervision may promote empowerment, fewer complaints and more positive feedback (Local Government Association, 2014). Two recent and large-scale studies of the views and experiences of newly qualified social workers in Scotland (Grant et al, 2014) and England (Manthorpe et al, 2015) both paint very mixed pictures of the experience of receiving supervision, with those who do receive regular supervision finding it very helpful in terms of their professional development, and others finding supervision to be infrequent and focused purely on its administrative function.

However, whilst there is limited robust research, what evidence there is points to good supervision being associated with job satisfaction, organisational commitment and retention of staff (SCIE, 2012). There is also an apparent link between employees' perceptions of the support they receive from the organization and perceptions of their own effectiveness. In short, good supervision does appear to have a positive impact on practice, although more rigorous research is needed. This Insight will now turn to a

brief exploration of supervision in two specific, but significant contexts, namely integrated settings and child protection. These areas have been chosen because of the currency of the integration agenda and the volume of literature that relates to child protection. In selecting these areas to highlight in this brief review, it is important to stress that supervision is just as important in other areas of social work and social care practice.

Integration

Evidence on supervision in integrated settings is limited, and of particular importance as integration of health and social care gathers pace in Scotland in particular. One recent exception (SCIE, 2013) explored the delivery of supervision in a range of joint and integrated team settings within adult care in England. Leadership was found to be particularly important in establishing a learning culture as well as supporting innovation. This piece of research explicitly sought to address the perspectives of people who use services on supervision, an aspect that is significantly under-represented in the literature. People who use services were unclear about the purpose of supervision, and concerns were expressed about decisions being made without their input into the process. The lack of research highlights the importance of paying attention to this area as the integration agenda develops.

Child protection

Supervision of child protection work is an area that has come under particular scrutiny. The emotional impact of child protection work is well documented (Harvey and Henderson, 2014). In her review of child protection in England, Munro (2010, 2011) identifies that there can be a high personal cost to being exposed to powerful and often negative

emotions involved in this area of work. A lack of effective supervision increases the risk of burnout, which can be defined as emotional exhaustion, cynicism and reduced personal accomplishment.

Evidence from Serious Case Reviews where children have died or been seriously harmed at the hands of parents or carers (Brandon et al, 2008; Vincent and Petch, 2012) indicates that inadequate supervision, or supervision that is overly focused on administrative aspects, risks losing the focus on the child, with the potential for fatal consequences. This theme is explored by Laming (2009, p32) who identified a concern that, 'the tradition of deliberate, reflective social work practice is being put in danger because of an overemphasis on process and targets, resulting in a loss of confidence amongst social workers'.

Brandon and colleagues (2008) stress the importance of effective and accessible supervision. This helps staff put into practice the critical thinking required to understand cases holistically, complete analytical assessments, and weigh up interacting risk and protective factors. This underlines the importance of reflective supervision, an area that will be explored in more detail below.

3.6 Supervision processes - A model and processes

There are many models of supervision, but one that seeks to both promote reflective supervision and to locate it firmly within its organisational context is the 4 x 4 x 4 model.
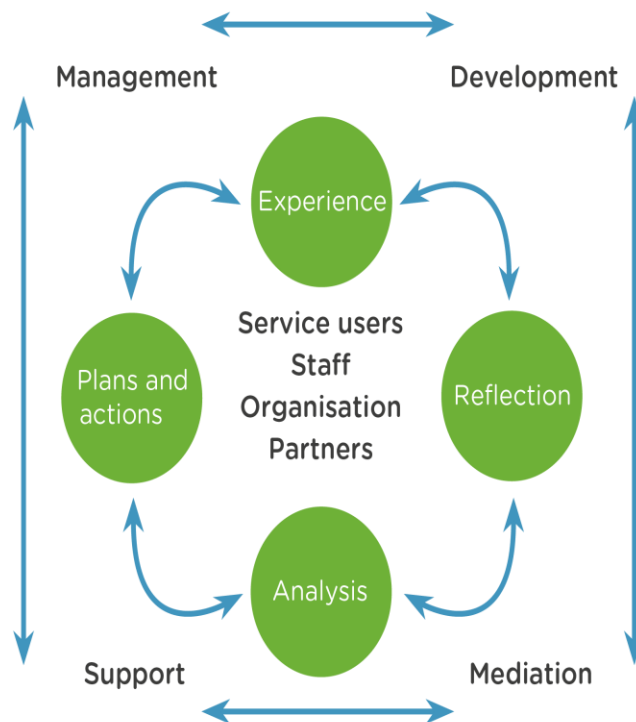
The 4 x 4 x 4 model of supervision (Wonnacott, 2012, p54)

The model seeks to bring together:

The four stakeholders in supervision

- Service users

- Staff

- The organization

- Partner organizations

The four functions of supervision

- Management

- Development

- Support

- Mediation

The four elements of the supervisory cycle

- Experience

- Reflection

- Analysis

- Action

As Wonnacott explains, this model moves away from a static, function-based model, and instead promotes a dynamic style of supervision that uses the reflective supervision cycle at the heart of the process. The supervision cycle, 'could be described as the glue that holds the model together' (Wonnacott, 2012, p54) and was developed by Morrison (2005) from earlier work by Kolb (1984) on adult learning theory. According to Kolb, learning involves transferring experience into feelings, knowledge, attitudes, values, behaviours and skills. Morrison (2005) contends that if the cycle is short-circuited in any way there is a danger of getting stuck in unhelpful traps, for example, the 'navel-gazing theorist' who never risks putting their theories to the test or 'paralysis by analysis' where learning is limited by the fear of getting it wrong. Whilst the 4 x 4 x 4 model can perhaps be criticised for underplaying the complexity of the supervisory relationship, in particular the power dynamics involved, it can provide a useful framework for approaching supervision for both the supervisor and supervisee.

Reflective supervision

This section draws heavily on work undertaken by Davys and Beddoe (2010). As has already been identified, the development of a managerialist culture, combined with a tendency to risk aversion, has tended to drive supervision towards a more technical, administrative process, with a desire for 'clean' solutions, which may tend to sideline reflection. According to Schön (1983, p83), many practitioners, 'have become too skilful at techniques of selective inattention, junk categories, and situational control... for them uncertainty is a threat, its admission a sign of weakness'. The reflective learning model (Davys and Beddoe, 2010) turns this on its head, and has a working assumption that supervision is, first and foremost a learning process. Building on Kolb's learning cycle, Davys and Beddoe's (2010) approach follows the: event - exploration - experimentation - event sequence.

Event

The cycle begins with identification of the goal for the issue which the supervisee has placed at the top of the agenda. Through their 'telling' of the event, this stage aims to reconnect with the event without becoming overly immersed to the point of losing focus. Keeping a tight focus clarifies the real issues without the narrative swamping reflection with detail.

Exploration

With a clear goal established, the supervisee can move on to the next stage of the cycle, exploration of the issue. This stage clearly recognises the place of the supervisor's practice wisdom and experience, but also that sharing this prematurely may prevent the supervisee from finding their own

solutions (Kadushin, 1992; Cousins, 2010). The task of the supervisor is to create a space for the supervisee to explore possibilities associated with both their own behaviour and the behaviour of others.

Experimentation

Once a decision or understanding has been reached, it is then important that this is tested to establish whether it is possible or realistic. The importance of this stage of the process is that the 'solution' can be examined to ensure that it is sufficiently robust and also that the supervisee has the requisite skills and knowledge in order for any plan to be implemented.

Evaluation

The evaluation stage of the cycle marks the completion of the work and allows for reflection on the process, and in particular whether the supervisee has got what was required with respect to this issue. In short, this model provides the basis for supporting and developing critical practice.

Summary of the model

This model might be criticised for not taking sufficient account of the context within which supervision operates, or for being unrealistic in busy working environments. However, if located within the 4 x 4 x 4 model it allows for supervision to be seen within its organisational context, and a clear theoretical model can be helpful: 'The lack of a clear theoretical model about the nature, influence, and critical elements of effective supervision undermines the ability to drive up standards, training, support, and monitoring of supervisory practice. 'Too often we settle for 'having supervision' rather than having good supervision - a crucial difference'(Wonnacott & Morrison, 2010).

3.7 Processes in supervision

Supervision does not occur in a vacuum, and is susceptible to a range of external influences. The supervision literature, particularly the strand informed by psychodynamic approaches, explores how the supervisory relationship is influenced by what is going on at other levels of the system. One example of this is mirroring, which Morrison (2005) describes as the unconscious process by which the dynamics of one situation (such as the relationship between the worker and the service user) are reproduced in another relationship (such as that between the worker and supervisor). This process can work in both directions.

3.8 The drama triangle

One of the explanatory devices that is frequently used (Hughes and Pengelly, 1997; Morrison, 2005; Hawkins and Shohet, 2012) is Karpman's (1968) drama triangle, which can seen as playing out in direct practice as well as in supervision.
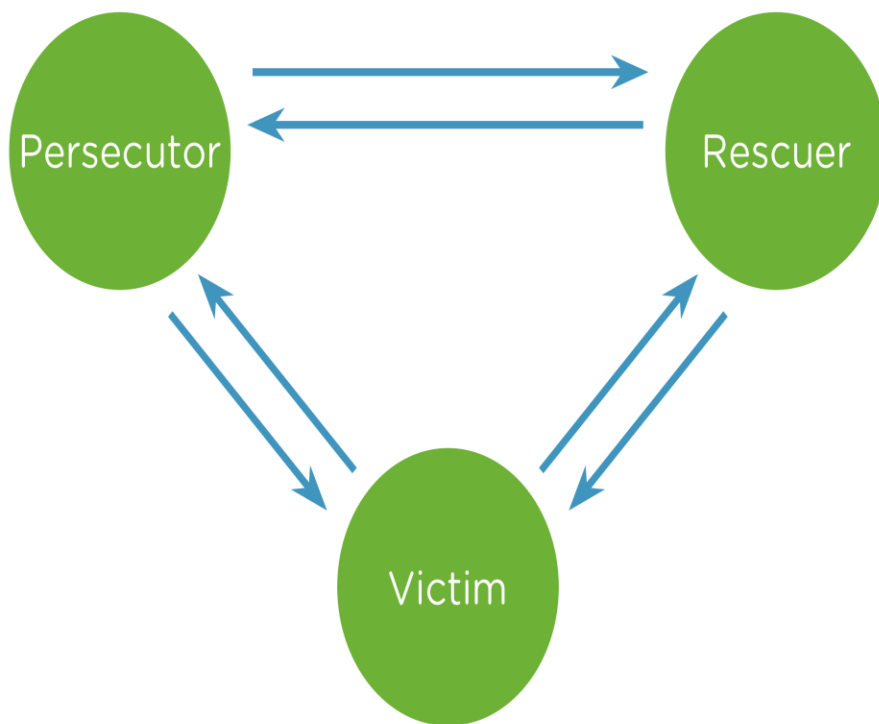
Drama triangle

The terms persecutor, victim and rescuer in this context signify not only what individuals do or have done to them, but more importantly the roles they take up with respect to each other. The persecutor cannot bear to experience their vulnerability, and therefore, seeks to project it onto a victim. In turn a victim cannot tolerate their own hostility and seeks to find someone onto whom this can be projected, namely the persecutor. The victim also abdicates any sense of responsibility, seeking a rescuer onto whom any competence can be projected. A rescuer can bear neither vulnerability nor hostility and sets out to 'save' the victim, a project which is doomed to fail. Davys and Beddoe (2010) argue that the very nature of health and social care leaves practitioners susceptible to an enactment of the drama triangle. Hughes and Pengelly (1997) stress that in caring professions

it is particularly the rescuer tendency, with its failure to acknowledge angry feelings that may lead to unsafe practice, and also the risk of creating dependence on supervisees.

A number of variations have been applied to the drama triangle in recent years. In particular, the empowerment triangle (Cornelius and Faire, 2006, cited in Davys and Beddoe, 2010, p174) identifies alternative roles which can be employed to break the repetitive cycle. For example, if a supervisor finds themself in a persecutor role, the challenge is to become an educator or consultant, for a rescuer the challenge is to become a mediator, and for the victim the challenge is to redefine themselves as a learner.
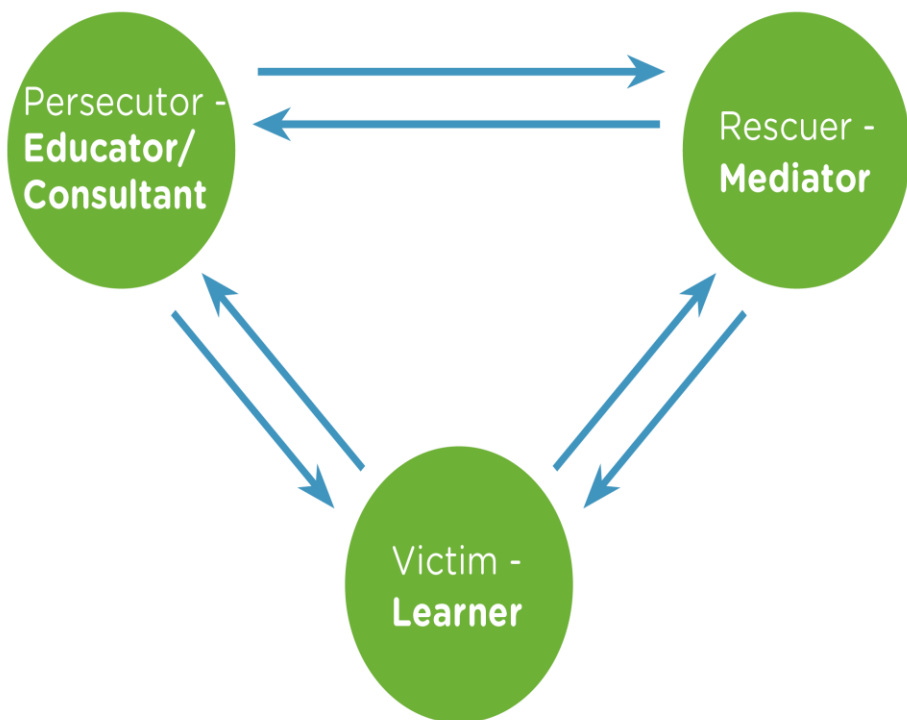
Empowerment triangle (Davys and Beddoe, 2010)

Supervision games

The complexity of the supervisory relationship may also lead to games being played (Cousins, 2010). Kadushin (1992) outlines a number of games that can be played by both supervisor and supervisee. Examples include the following, with quotes that illustrate the game being played.

Manipulating demand levels

- 'We both know how stupid that procedure is, don't we?'

- 'I know it's my session but you look terrible today'

Redefining the relationship

- 'Let's sort this out over a pint'

- 'Treat me don't beat me'

Reducing the power disparity

- 'Have you ever worked with the elderly?'

- 'So what do you know about it?'

Controlling the situation

- 'I have a little list'

- 'Yes, but...'

Morrison (2005) contends that the greater workload pressures, external insecurity and change, the more likely it is that these defensive processes

will arise. Further, that in his words, 'it takes two to tango' in that, even if the supervisor or supervisee has not initiated the game, both parties carry an element of responsibility for its continuance. The way of dealing with games being played is firstly to be able to recognise or name what is happening (Hawkins and Shohet, 2012) and secondly to simply stop playing. This discussion of the dynamics of the supervisory relationship leads into a discussion of the skills involved in supervision.

3.9 Skills for supervision

At best, the supervisory task is like a balancing act, managing the tension between.... ensuring agency policies are followed and attending to workers' emotional responses to the work. It can leave a good supervisor feeling pulled in all directions, struggling to manage the balance between feeling stimulated and feeling chronically frustrated and unsupervised (Hughes and Pengelly, 1997, p31).

Wonnacott (2012), drawing on previous work on parenting, and criticisms of social work practice for being insufficiently authoritative, for example in the Peter Connelly Serious Case Review (Haringey LCSB, 2009), takes this into the supervision agenda and argues that what is required is a style of supervision that is both demanding and responsive. This is a style that she labels as authoritative, where the supervisor is clear about expected standards and provides a safe environment for supervision, based upon an agreement which makes clear both the negotiable and non-negotiable aspects of supervision. Wonnacott develops this argument, suggesting that failure to remain in the authoritative zone may result in increased worker anxiety and dependence or a lack of focus.
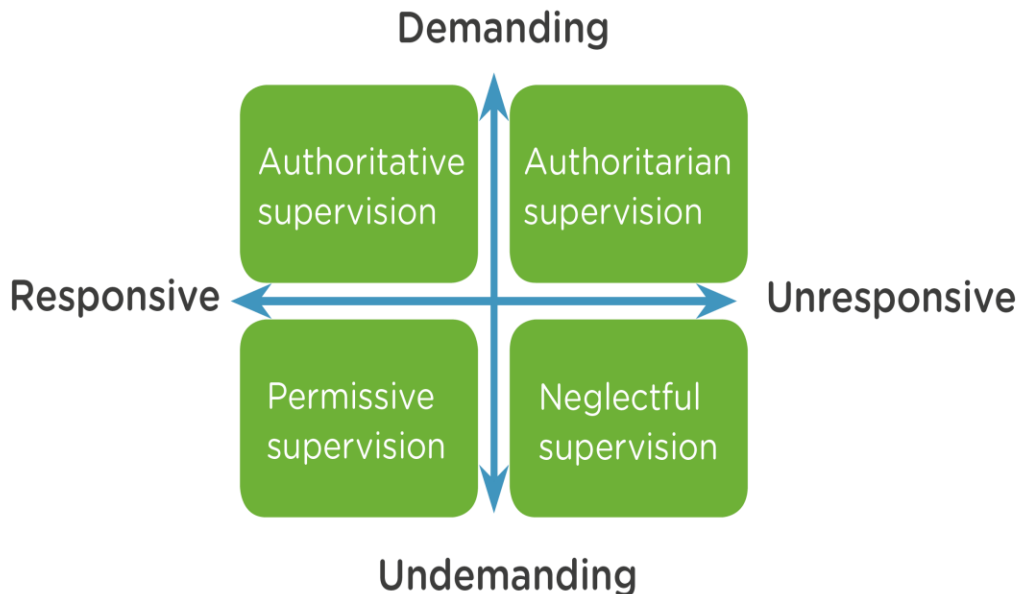
Staying in the authoritative zone (Wonnacott, 2012, p79)

Supervision interventions can be categorized into facilitative, catalytic, conceptual, confrontative and prescriptive (Davys and Beddoe, 2010). Facilitative interventions establish the container within which supervision operates (Isaacs, 1999). Listening is a key skill for the supervisor, 'Just as the professional needs to actively listen to the person they are supporting, the supervisor needs to listen to staff with and provide constructive feedback, listening for positive aspects of practice and identifying things that are going well' (Johnstone and Miller, 2010).

Catalytic interventions aim to promote growth, development and learning. Skills required include the ability to ask open questions, and give feedback, which is a skill in its own right. To be effective, feedback must be clear,

owned, regular and balanced (see Davys and Beddoe, 2010 for a more detailed exploration).

Conceptual interventions provide the supervisee with information and knowledge. Caution should be exercised in using these interventions if over-dependence is to be avoided. Bond and Holland (1998, cited in Davys and Beddoe, 2010) offer a useful suggestion in that the more technical the problem the more relevant it is to offer information and advice.

Confrontative interventions, despite the name, are not intended to be adversarial, but are aimed at promoting change and movement. By facing supervisees with previously unrecognised aspects of themselves, discomfort may be created, although when handled well this can be exciting and open up new possibilities for the supervisee.

Finally, prescriptive interventions provide the supervisee with a specific plan of action for a particular situation, generally where there is no option, for example crisis situations, or with a new member of staff. As Davys and Beddoe (2010) caution, prescriptive interventions should be used sparingly, and if they become the norm then it is probable that supervision has slid into performance management. Before concluding this Insight, attention will be paid to the issue of outcomes-focused supervision, before briefly exploring group supervision.

3.10 Outcomes-focused supervision

A focus on outcomes, defined as, 'the changes, benefits, learning or other effects that result from what the project or organisation makes, offers or provides' (Miller, 2011, p2) has been emphasised in Scottish policy for

several years. For example, Changing lives (Scottish Executive, 2006) stated that less time should be spent on measuring what goes into services and how money has been spent, and that more time should be invested in finding out what difference those services have made (See Miller, 2012 for a fuller exploration of the issues).

Johnston and Miller (2010) contend that there are strong parallels between the role of the practitioner working with the individual to identify and work towards the outcomes important to them, and the role of the supervisor working with the practitioner to identify their strengths and skills, and to be outcomes-focused in their work.

'The primary characteristic of outcomes-focused supervision is maintaining a focus on the intended results of the work, and to use this focus as a way of structuring supervision. Associated with the outcomes are activities that the supervisee, [the] person and others carry out as part of the plan' (Bucknell, 2006, p44).

In an outcomes-focused approach, supervision becomes a forum for clarification and for findings ways of achieving outcomes through identifying opportunities for change. Johnstone and Miller (2010) summarise the shift that is required in terms of three key changes. Firstly, the endpoint shifts from the delivery of the service and a focus on the here and now to exploring the impact of the intervention. Supervision involves a future focus. Secondly, the focus shifts from identifying problems and deficits, with supervision being focused on troubleshooting, to a focus on building on capacities and strengths towards achieving creative solutions. Supervision involves identifying previous strategies which have proved successful. Finally, recording of practice shifts from being a mechanistic,

'tick-box' exercise, to building a picture of the person and towards supporting a clear plan for achieving the desired outcomes. Supervision focuses on achieving the desired outcomes.

3.11 Group supervision

The focus of this Insight has been on individual, 1-1 supervision, but there may be circumstances when group supervision is being considered. This may be where there are larger staff groups, for example, in residential or domiciliary care settings, and may involve the group setting in some or all of the responsibilities of supervision (Brown and Bourne, 1996). In some contexts, group supervision might be seen as a viable alternative to individual supervision, particularly for the hard-pressed supervisor. Hawkins and Shohet (2012) caution that ideally group supervision should come about as a positive choice, rather than a forced compromise, and Wonnacott (2012) argues that group supervision should supplement, but never replace individual supervision. Further, the issues identified above about the lack of evidence of the effectiveness of individual supervision transfer to a group setting. Morrison (2005) suggests that there are a number of myths in relation to group supervision, not least that it is a cheaper way of providing supervision, or that it is a process in which all supervisors will necessarily be competent.

These reservations notwithstanding, there are a number of strengths within group supervision. The impact of the group process may foster a sense of team cohesion and reduce the risk of dependence upon an individual supervisor. It can expand the skills and knowledge base of group members and may increase the pool of options and ideas. It may also help the development of more innovative practice. However, there are

disadvantages. For the facilitator, these can include being more demanding because of the multiple dynamics, it can confuse boundaries of responsibility and structures or require them to focus on individual and group dynamics at the same time. For the group, it can reflect or amplify dysfunctional team processes, be dominated by a few loud voices, allowing others to hide, or can make it seem less relevant to group members who are at different stages of professional development (Morrison, 2005; Davys and Beddoe, 2010).

Brown and Bourne (1996) stress the importance of getting the basics right, including ensuring transparency with respect to the purpose, focus and key tasks of the group, clarifying the mandate and the authority of the group, defining the boundaries of the group and negotiating the role and authority of the facilitator.

3.12 Implications for practice

- Supervision should take place within a culture of learning and development, with space for discretion and autonomy

- There needs to be a balance between surveillance and reflection in the supervisory relationship - a move from dependence to empowerment and growth

- The emotional aspects of the work should be transparently recognised, addressed and supported

- Supervision should be linked directly with practice and to those who use services - relationships matter across all of these roles

- Within supervision, there should be an outcomes focus for all, a focus not only on desired outcomes for the person using services, but also for the practitioner

- Group supervision can be used flexibly to complement, but not replace, individual supervision

- Watch out for game playing - it's easy to assume unhelpful supervisor/supervisee roles and get stuck within these

4.0 Conclusion

This Insight has explored some of the literature relevant to supervision within social services, identifying its importance and how dependent its quality and effectiveness is on the organisational context. Whilst the limited evidence base for supervision has been acknowledged, the complexity of the process has been explored and the case made for a reflective approach to supervision. In challenging times, there is a risk of the importance of supervision being downplayed, or of the reflective component being seen as less important that it's managerial function. On the contrary, it is argued that effective supervision is even more important. 'Supervision can at very least allow, albeit briefly, the doors to be shut, the noise to be reduced and a quiet space for satisfying professional conversation' (Davys and Beddoe, 2010).

5.0   Summary

The unit was able to discuss supervision and entrepreneurship development, What do we mean by supervision?, Functions of Supervision, Context of Supervision, Historical Evidence of Supervision, Processes in supervision,

The drama triangle, Skills for supervision, Outcomes-focused supervision, Group supervision and Implications for practice.

6.0   Tutor-Marked Assignments

Question (1) Describe the Functions of Supervision.

Question (2) Describe Outcomes-focused supervision in entrepreneurship development programmes/projects.

7.0   References / Further Reading

1. Social Care Institute for Excellence (2013) Practice enquiry into supervision in a variety of adult care settings where there are health and social care practitioners working together, London, SCIE

2. Vincent S and Petch A (2012) Audit and analysis of Significant Case Reviews, Edinburgh: Scottish Government

3. Wonnacott J (2012) Mastering social work supervision, London: Jessica Kingsley

UNIT 8: COMPARISON AMONG MONITORING, SUPERVISION AND EVALUATION

Table of Content

1.0   Introduction

Effective monitoring supervision and evaluation, can play a major role in enhancing the effectiveness of development programmes and projects. This unit compares Monitoring, Evaluation and Supervision in Entrepreneurship Development Programmes.

2.0   Objectives

At the end of this unit, the student should be able to:-

- Compare Monitoring and Supervision
- Compare Monitoring and Evaluation

3.0 Main contents

3.1 Monitoring and Supervision

Monitoring is the systematic and continuous assessment of the progress of a project or program over period of time. It is a basic and universal management tool, though covering a wide variety of techniques and methods.

Supervision is required to accomplish the task. It coordinates proper and effective linkage among the program, management and its staff members.

This is a managerial activity to influence supervisees so they become more positively motivated and contribute fully towards the achievement of the objectives.

Monitoring	Supervision
a. To emphasize work	a. To emphasize worker
b. to find deviation	b. To find causes of deviation and give solution
c. Do not pass comments	c. pass comments and suggestions
d. Administratively outside personnel	d. administratively in side personnel

e. Scientific and systematic	e. Not systematic
f. A monitor is not a supervisor	f. A supervisor is also a monitor
g. only highlighted program deviation	g. Help subordinate to develop herself or himself

3.2 Monitoring and Evaluation

Monitoring is the periodic collection and analysis of selected indicators to enable managers to determine whether key activities are being carried out as planned and are having the expected effect on the target population.

Evaluation is the assessment at one point in time of the impact of a program/project or of a work and the extent to which stated objectives have been achieved.

Evaluation is defined as the retrospective analysis of experience to assess the stated objectives of a project\program was achieved and to determine how and why the objectives were and were not achieved.

An evaluation is usually more formal and systematic, since it concentrates specifically on whether the objectives of the program/project or a piece of work have been achieved, and what impact has made.

Monitoring	Evaluation

a) It is conducted during the period of project implementation.	a) It is done at the end or middle of the project.
b) Monitoring staff performs it.	b) Evaluation staff performs it.
c) It compares with standard.	c) It compares with objective.
d) It identifies problems, deviations.	d) It provides suggestions based on the identified problems and causes.
e) It takes comparatively less time.	e) It takes comparatively more time.
f) In most cases, concentrates on the inputs, and processes of the project. In few cases, it concentrates on outputs.	f) It concentrates on inputs, processes and outputs, as well as the impact of the project.
g) Result shared with grassroots level managers and as well as senior managers.	g) Mostly with senior managers.

4.0 Conclusion

Good planning, supervision, monitoring and evaluation enhance the establishing of clear links between past, present and future entrepreneurship initiatives and development results.

5.0 Summary

The unit was able to discuss comparison among monitoring and supervision and evaluation.

6.0   Tutor-Marked Assignments

Question (1) Compare Supervision and monitoring.

Question (2) Compare supervision and evaluation.

7.0   References / Further Reading

1. Patton, Michael Quinn (2009) Qualitative Evaluation Methods. SAGE Publications: Newbury Park, USA.

UNIT 9:   UNDERSTANDING INTER-LINKAGES AND DEPENDENCIES BETWEEN PLANNING, MONITORING AND EVALUATION AND SUPERVISION

Table of Content

1.0 Introduction

2.0 Objectives

3.0 Main contents

1.0   Introduction

Planning, supervision, monitoring and evaluation come together as RBM. This unit discusses the inter-linkages and dependencies between planning, supervision, monitoring and evaluation in Entrepreneurship Development Programmes.

2.0   Objectives

At the end of this unit, the student should be able to:-

- Put Planning, Supervision, Monitoring and Evaluation Together as Results-Based Management (RBM)

3.0 Main Content
3.1 Putting Planning, Supervision Monitoring and Evaluation Together: Results-Based Management (RBM)

Planning, supervision, monitoring and evaluation come together as RBM. RBM is defined as "a broad management strategy aimed at achieving improved performance and demonstrable results," and has been adopted by

many multilateral development organizations, bilateral development agencies and public administrations throughout the world (as noted earlier, some of these organizations now refer to RBM as MfDR to place the emphasis on development rather than organizational results).

Good RBM is an ongoing process. This means that there is constant feedback, learning and improving. Existing plans are regularly modified based on the lessons learned through monitoring and evaluation, and future plans are developed based on these lessons.

Monitoring is also an ongoing process. The lessons from monitoring are discussed periodically and used to inform actions and decisions. Evaluations should be done for programmatic improvements while the programme is still ongoing and also inform the planning of new programmes. This ongoing process of doing, learning and improving is what is referred to as the RBM life-cycle approach.

RBM is concerned with learning, risk management and accountability. Learning not only helps improve results from existing programmes and projects, but also enhances the capacity of the organization and individuals to make better decisions in the future and improves the formulation of future programmes and projects. Since there are no perfect plans, it is essential that managers, staff and stakeholders learn from the successes and failures of each programme or project. There are many risks and opportunities involved in pursuing development results. RBM systems and tools should help promote awareness of these risks and opportunities, and provide managers, staff, stakeholders and partners with the tools to mitigate risks or pursue opportunities.

RBM practices and systems are most effective when they are accompanied by clear accountability arrangements and appropriate incentives that promote desired behaviour. In other words, RBM should not be seen simply in terms of developing systems and tools to plan, monitor and evaluate results. It must also include effective measures for promoting a culture of results orientation and ensuring that persons are accountable for both the results achieved and their actions and behaviour.

The main objectives of good planning, monitoring and evaluation—that is, RBM— are to:

i.   Support substantive accountability to governments, beneficiaries, donors, other partners and stakeholders.
ii. Prompt corrective action
iii. Ensure informed decision making
iv. Promote risk management
v.   Enhance organizational and individual learning

These objectives are linked together in a continuous process.

i.   Without proper planning and clear articulation of intended results, it is not clear what should be monitored and how; hence monitoring cannot be done well.
ii. Without effective planning (clear results frameworks), the basis for evaluation is weak; hence evaluation cannot be done well.
iii. Without careful monitoring, the necessary data is not collected; hence evaluation cannot be done well.
iv. Monitoring is necessary, but not sufficient, for evaluation.
v.   Monitoring facilitates evaluation, but evaluation uses additional new data collection and different frameworks for analysis.

vi.   Supervision, Monitoring and evaluation of a programme will often lead to changes in programme plans.

This may mean further changing or modifying data collection for monitoring purposes.

4.0 Conclusion

Good RBM is an ongoing process. This means that there is constant feedback, learning and improving. Existing plans are regularly modified based on the lessons learned through monitoring and evaluation, and future plans are developed based on these lessons.

5.0   Summary

The unit was able to discuss the inter-linkages and dependencies between planning, monitoring and evaluation and supervision and putting planning, supervision monitoring and evaluation together: results-based management.

6.0   Tutor-Marked Assignments

Question (1) Describe RMB.

7.0   References / Further Reading

1. Patton, Michael Quinn (2009) Qualitative Evaluation Methods. SAGE Publications: Newbury Park, USA.

2. Joint Committee on Standards for Educational Evaluation, 'Programme Evaluation Standards: How to Assess Evaluations of Educational

Programmes', 1994, 2nd ed, Sage Publications, Thousand Oaks, CA. 'Managing for Development Results (MfDR) Initiative'.

UNIT 10: MONITORING AND SUPERVISION SYSTEM

Table of Content

1.0 Introduction

2.0 Objectives

3.0 Main contents

      3.1 Definition of monitoring and supervision system

      3.2 Components of monitoring and supervision system

      3.3 Considerations in setting up a monitoring and supervision system

      3.4 Characteristics of good monitoring and supervision system

      3.5 Monitoring and Supervision: Areas to Be Addressed

4.0 Conclusion

5.0 Summary

6.0 Tutor-Marked Assignment

7.0 Reference / Further Reading

2.0 Introduction

This unit discusses monitoring and Supervision system in EDP. It is intended primarily for students to have an understanding of the mechanism of monitoring and Supervision.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Define of monitoring and supervision system
- Understand the Components of monitoring and supervision system
- Understand the Considerations in setting up a monitoring and supervision system
- Understand the Characteristics of good monitoring and supervision system
- Know the Areas to Be Addressed in Monitoring and Supervision

3.0 Main contents

3.1 Definition of monitoring and supervision system

A monitoring and supervision system can be defined as an observation system for the project managers to verify whether the project activities are implemented according to plans, and whether the means of observation are used in a correct and efficient manner. The system must supply the project management with a continuous flow of information throughout the project to make it possible to take the right decisions.

3.2 Components of monitoring and supervision system

The Essential Components of a Monitoring and supervision System are:

i.   The selection of indicators for each activity.

ii.   The collection of data on the indicators.

iii. The analysis of the data.

iv.   Appropriate presentation of analyzed data.

v.   Use of monitoring and supervision results to improve performance.

3.3 Considerations in setting up a monitoring and supervision system

  i. Defining the objectives of the monitoring and supervision system

  ii. The selection of relevant information

  iii. The collection of data for monitoring and supervision

  iv. The analysis of the data

  v. The presentation of the information

  vi. The use of the information

  vii. Maintaining the system: resources, training, support and supervision

  viii. Who is involved in monitoring and supervision

3.4 Characteristics of good monitoring and supervision system

In order to ensure the chances of success of the project, monitoring and supervision is needed at various stages of the project cycle from inception of the project up to the completion of the final activities. A good monitoring and supervision system has the following characteristics:

i.   It should provide periodic and timely feedback on physical and substantive project implementation as well as financial status.

ii.   It should identify problems that require solutions and action. Problems may be specific to the project or may be institutional in

nature (e.g., chances in procurement procedures and rules of government overtime pay).

iii. It should be relatively simple and should not burden the project monitors, but comprehensive enough to incorporate the basic information required by project management. The use of complicated forms requiring a large volume of data not only creates confusion but also will reduce the enthusiasm of those who are directly responsible for data collection and monitoring.

iv. It should be a continuous exercise from the start up phase to the project completion. Monitoring seeks to provide a profile of real world situations, to compare what actually happens with what has been planned or expected. For effective problem solving, monitoring should ensure timeliness of information and feedback.

v. It should take into consideration the different areas of accountability, namely:

Coverage accountability: Are the persons being served by the project really the intended beneficiaries? Are there beneficiaries who are not reached by the project? Are these persons who are not intended beneficiaries being served by the project?

Service delivery accountability: Are services being delivered in the proper amounts? Are the treatments and interventions provided really the intended project services?

Fiscal accountability: Are funds being used properly? Are expenditures properly documented? Are funds used with the limits set by the budget?

Legal accountability: Are the relevant statutes and rules being observed by the project?

3.5 Monitoring and Supervision: Areas to Be Addressed

i. **Progress towards aspired objectives**: Time/cost overruns, achievements of necessary standards

ii. **Quality of development process**: Experiences of accessing vital services, paricipation of primary stakeholders in key institutions, transparency of decisions, accountability of actions

iii. **Utilization of resources and opportunities**: Proportional share of disadvantaged people, pattern of ownership and control

iv. **Roles of different stakeholders**: Changes in role of key people and institutions over time, political equations

v. **Trends of external environments**: Changing external factors that can influence livelihood choices and coping strategies of the poor; new issues.

4.0 Conclusion

Monitoring and supervision system must supply the project management with a continuous flow of information throughout the project to make it possible to take the right decisions.

5.0 Summary

the unit was able to discuss monitoring and supervision system, definition of monitoring and supervision system, components of monitoring and supervision system, considerations in setting up a monitoring and supervision system and characteristics of good monitoring and supervision system.

6.0   Tutor-Marked Assignments

Question (1) definition of monitoring and supervision system.

Question(2) describe the components of monitoring and supervision system.

7.0   References / Further Reading

1. Global Environment Facility, 'Monitoring and Evaluation Policy', February 20016.

2. Patton, Michael Quinn (2009) Qualitative Evaluation Methods. SAGE Publications: Newbury Park, USA.

UNIT 11: MONITORING AND SUPERVISION INDICATOR

Table of Content

1.0 Introduction

Indicators provide a standard against which to measure changes brought about by project activities. They are determined on the basis of the project activities. This unit discusses monitoring and Supervision indicators in EDP. It is intended primarily for students to have an understanding of the indicators of monitoring and Supervision.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Define of indicators
- Understand the Characteristics of a good indicator
- Understand the types of indicators
- Understand how to Develop indicators
- Understand the Guidelines for developing indicators
- Know the Qualities of good monitor

3.0 Main contents

3.1 Definition of Indicator

An indicator is a variable that reflects the efficient and effective performance of a project. Indicators provide a standard against which to measure changes brought about by project activities. They are determined on the basis of the project activities.

3.2 Characteristics of a good indicator

A good indicator has the following characteristics

i.   It should be specific and meaningful.

ii.   It should be sensitive to the central feature of project implementation, and be understandable and useful to all major interested users at different levels (national, local and grassroots).

iii. It should be measurable of progress and change and should be observed in terms of time, expertise and cost

iv.   It should be acceptable (valid) by the management authority.

v.   It should be reliable and statistically valid.

vi.   It should have periodicity characteristic in terms of its ability to be changed for changes brought due to the changes in the procedure of the project.

vii.   It should not be overlapping.

viii. Selected indicators should be those, which are easy to collection at the planned time.

3.3 Types of indicators

There are various types of monitoring indicators and their categorization depends on their scope and purposes.

1. ***Qualitative indicators*** are intended to measure the quality of the input, process and output of the project. They measure performance relative to some given standards and norms. The term "quality" can mean different things depending on the context. Here the term refers to a perceived improvement in the implementation of the project.

2. ***Quantitative indicators*** statistically measure the amount or value of inputs or resources available. The "quantity" reflects a numerical condition such as the number learners, teachers, costs, facilities or textbooks at a specified time.

-     learner enrolment percentage, including females;

-     costs/expenditure per learners by level and urban/rural location; and,

-     textbooks by level and urban/rural location.

3. ***Input indicators*** are determinants subject to policy manipulation, e.g., the characteristics of learners, teachers, curriculum, textbooks, other instructional material facilities, equipment, learner capacity for learning and other resources.

4. ***Process indicators*** are determinants that reflect forms of interaction between teachers, learners, administrators, materials and technology. Process indicators refer to the procedures or techniques that determine the transition of inputs into outputs, and are thus important for evaluation.

5. ***Equity indicators*** are used to measure the degree to which expenditures for education are provided for the population regardless of economic status, place of residence and intellectual capability. These also measure equality of access not only to physical facilities such as schools or learning centers but also to good quality education.

6. ***Efficiency indicators*** are used to monitor the attainment of one of the project results at the least possible cost. Cost is basically the expenditure associated with the use of resources such as personnel or equipment. Examples of efficiency indicators are promotion rates, repetition rates, drop-out rates, average study time and rate of facilities use.

7. ***Outcome indicators*** are results and effects on individuals and society as a whole that are evident over time as a consequence of education outputs with the socio-economic context. These education outcomes are effects more distant in time after completing education, and are usually more dispersed in occurrence than education outputs. The main outcome indicators are:

i. Degree to which acquired learning and skills (e.g., literacy and numeracy) have been retained several years later;

ii. Admission to further education and training; and,

iii. Achievement in subsequent education and training.

There can be other specific indicators related to the project. For an education project, the following could also be indicators.

i. Learning related indicators are focused on a learner's condition and needs. The indicators include recruitment rate, achievement/performance level of learner, and learners' attitudes and motivation.

ii. Instruction-related indicators include instructor's performance/achievement level, her/his teaching methods and strategies, sufficient instructional materials and other factors related to instruction.

iii. Resource/facilities related indicators include availability of learning center, teaching equipment at learning center, learning materials and relevance to the curriculum.

iv. Socio-economic/environment-related indicators are concerned with the level of community involvement, participation of government and non-government organizations and the standard of living of the participants in the project.

3.4 Development of indicator

There are some steps useful in developing measurable and effective indicators. Below an example is given from education project to clarify the steps.

Step one: Study the objectives and expected outcomes of the literacy project. The best strategy is to identify and clearly define the objectives of a literacy project and break down these objectives into concrete small targets or elements. These objectives should include the expected outcomes of the literacy project.

Step two: Specify activities for the planned inputs, processes and outputs. For example, inputs consist of personnel, money and materials. Activities for materials would include needs assessment, compiling and dissemination.

Step three: Identify parameters or limits for measurement of performance. The parameters should clearly reflect the main characteristics of performance and be measurable. Once the parameters are identified, the important task is to determine the ways to quantify them.

Step four: Check whether the identified indicators match with the contextual needs related to learning, instructional facilities and socio-economic environment.

Step five: Segregate the appropriate indicators at different functional levels for example village, district or national.

Step six: Develop a matrix of indicators. It should show the logical and internal relationship between indicators and project objectives at different functional levels.

3.5 Guidelines for developing indicators

The planners of a project monitoring system should consider many aspects to make the indicators environmentally sound and cost effective. The following guidelines may be useful.

i. Check whether the indicators have the characteristics of good indicators.

ii. Be very selective in identifying indicators and keep the list of indicators as short as possible. Avoid a very long list of indicators confined with the list to those essential for the information required.

iii. Consider the availability of human, financial and technical resources in the collection and processing of information. Management of large-scale information demands an increased budget for the collection and processing of data. It also requires additional skilled manpower.

iv. Keep in mind how the information to be collected will be used. It is better to avoid collecting information that will not be used immediately. Outdated information is of little use for monitoring the progress of any project.

v. Start with a small number of indicators and keep options for incremental expansion. It is easy to handle a smaller number of indicators at the beginning stage of any project. Gradually more and more indicators may be added depending upon the capacity of the project management and the need for more information.

vi. Focus on clearly defined information needs. If the information needs are not specifically identified, there is the risk of unclear or inaccurate responses, which ultimately jeopardize the very

objectives of monitoring. Selection of indicators with specific information needs also help in keeping the list of indicators shorter.

vii. Create an opportunity for the participation of stakeholders in identifying the indicators and their use. Participation of learners, community members and literacy personnel from various levels in designing the monitoring system helps in the development of a need based system. Further, it increases their sense of ownership of the project and ultimately facilitates the collection of good quality data at their level.

viii. There should be periodic review and updating of indicators. Indicators developed at the initial stage of the project should not be considered as permanent monitoring indicators. With changes in the socio-economic environment or implementation system of the project, the indicators might need to be changed or revised. Thus it is better to make provisions for a periodic review of indicators.

3.6 QUALITIES OF GOOD MONITOR

- Achieve desired result
- Maintain a safe and conducive work environment
- Communicate effectively Up, Down and Sideways
- Make ethical decisions/ Must be neutral
- Clear conception about his/her duty
- Acceptable presentation skills
- Having skills to perform responsibilities cost effectively

- Conscious about working environment

- Be patient

- Be inquisitive

- Be careful about qualitative aspects of a task

- Be analytical

- Update knowledge about program and its changes

- Must fill-up checklist/tools, top sheet and processing sheet in the data/information collected area.

4.0 Conclusion

Indicators provide a standard against which to measure changes brought about by project activities. They are determined on the basis of the project activities. A good indicator has the following characteristics should be sensitive to the central feature of project implementation, and be understandable and useful to all major interested users at different levels (national, local and grassroots).

5.0   Summary

The unit was able to discuss monitoring and supervision indicator, Characteristics of a good indicator, Types of indicators, Development of indicator, Guidelines for developing indicators and qualities of good monitor.

6.0   Tutor-Marked Assignments

Question (1) Describe the types of monitoring and supervision indicators.

Question (2) Describe the Guidelines for developing indicators in entrepreneurship development programmes/projects.

7.0   References / Further Reading

1. Wonnacott J (2012) Mastering social work supervision, London: Jessica Kingsley

UNIT 12: PRINCIPLES OF PLANNING, SUPERVISION, MONITORING AND EVALUATING FOR ENTREPRENEURSHIP DEVELOPMENT PROGRAMMES RESULTS

Table of Content

1.0 Introduction

This section addresses some of the principles that students should have in mind throughout the entire process of planning, monitoring, supervision and evaluation.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand Ownership
- Understand Engagement of Stakeholders
- Understand how to Focus on Results
- Understand how to Focus on Development Effectiveness

3.0 Main contents

3.1 Ownership

Ownership is fundamental in formulating and implementing programmes and projects to achieve development results. There are two major aspects of ownership to be considered:

i.   The depth, or level, of ownership of plans and processes

ii. The breadth of ownership

Depth of ownership: Many times, units or organizations go through the planning process to fulfil requirements of their governing or supervisory bodies, such as a Board of Directors or Headquarters. When this is the case, plans, programmes or projects tend to be neatly prepared for submission, but agencies and individuals return to business as usual once the requirements are met. When these plans are formulated to meet a requirement and are not used to guide ongoing management actions, organizations have greater risk of not achieving the objectives set out in the plans. Ownership is also critical for effectively carrying out planned monitoring and evaluation activities and linking the information generated from monitoring and evaluation to future programme improvements and learning.

Breadth of ownership: There are two questions to address with respect to breadth of ownership: Who does the development programme or project benefit or impact, and do a sufficient number of these agencies and persons feel ownership of the programme or project?

A key aim of managing for results is to ensure that ownership goes beyond a few select persons to include as many stakeholders as possible. For this reason, monitoring and evaluation activities and the findings, recommendations and lessons from ongoing and periodic monitoring and evaluation should be fully owned by those responsible for results and those who can make use of them.

3.2 Engagement of Stakeholders

Throughout all stages of planning, monitoring, evaluating, learning and improving, it is vital to engage stakeholders, promote buy-in and commitment, and motivate action.

A strong results-management process aims to engage stakeholders in thinking as openly and creatively as possible about what they want to achieve and encourage them to organize themselves to achieve what they have agreed on, including putting in place a process to monitor and evaluate progress and use the information to improve performance.

3.3 Focus on Results

Planning, monitoring and evaluation processes should be geared towards ensuring that results are achieved—not towards ensuring that all activities and outputs get produced as planned.

It is not often clear what development partners such as EDP organizers are accountable for and what they should therefore focus on. It is sometimes suggested that since development agencies' initiatives are generally small, have limited impact and are not accountable for development changes or high-level results, they should focus on outputs.

3.4 Focus on Development Effectiveness

Results management also means focusing on achieving development effectiveness. Meaningful and sustainable development results require more than just a generic plan of outcomes, outputs and activities. How we do development is often equally if not more important than what we do in development work. For this reason, many development agencies attempt to incorporate various themes into their planning, monitoring and evaluation processes to improve the overall effectiveness of their efforts. For example, planning, monitoring and evaluation must focus on sustainability. This conclusion was reached after years of experience with projects and programmes that had short-term impact but failed to alter the development conditions of countries or communities in any meaningful manner.

Similarly, there is now a focus on gender in planning, monitoring and evaluation. Many projects and programmes often failed to achieve their objectives because there was little or no analysis of, and attention to, the differences between the roles and needs of men and women in society. Inequalities, discriminatory practices and unjust power relations between groups in society are often at the heart of development problems.

4.0 Conclusion

Many projects and programmes often failed to achieve their objectives because there was little or no analysis of, and attention to, the differences between the roles and needs of men and women in society. Inequalities, discriminatory practices and unjust power relations between groups in society are often at the heart of development problems.

5.0   Summary

This section addresses some of the principles that readers should have in mind throughout the entire process of planning, monitoring and evaluation.

6.0   Tutor-Marked Assignments

Question (1) Describe the principles of planning, supervision, monitoring and evaluating for entrepreneurship development programmes results.

7.0   References / Further Reading

1. Kolb, David A. (2014) Experiential learning: experience as the source of learning and development, Englewood Cliffs, NJ : Prentice-Hall.

2. Wonnacott J (2012) Mastering social work supervision, London: Jessica Kingsley

UNIT 13: MONITORING AND SUPERVISION PROCESS AND PLAN

Table of Content

1.0 Introduction

This unit addresses some of the processes and plan that students should have in mind throughout the entire process of planning, monitoring, supervision and evaluation.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand Monitoring and Supervision Process
- Understand Monitoring and Supervision Plan

3.0 Main contents

3.1 Monitoring and Supervision Process

1. Yearly basis issue selection and checklist preparation

In the beginning of the year, issues of monitoring for the year are selected through a workshop with the presence of all project management and monitoring unit staff (field and main office staff). The number of issues to be selected for each project will depend on the complexity of the project

and resources for monitoring available. As soon as issues are selected, checklist for each issue is prepared in the workshop.

2. Quarterly basis issue distribution and checklist preparation

After issues are selected for the year, these are distributed among four quarters. Thus, which issues will be monitored in which quarter are selected. In light of the checklists prepared at the workshop, questionnaires are prepared for each issue. In addition, processing and presentation sheets are also prepared. Usually the organization establishes mechanisms how questionnaires, processing sheet, and presentation sheets will be prepared, when and by whom. Holding of two block meetings is one mechanism. The first block meeting can be of four days: day 1 – questionnaire preparation, day 2 – field test, day 3 – in light of field test and discussion among the block members finalization of questionnaire and processing sheet, and day 4 – the solution to the problems around the issues of monitoring for the quarter and other relevant agenda. In this way, from three different blocks the primarily finalized questionnaire and processing sheet are collected by the main office, and then the staff at the main office discusses on the questionnaire and sheets, makes necessary changes and finalizes for use.

3. Selection of methodology, Preparation of schedule and orientation to the monitoring staff

After the questionnaire and processing sheet are finalized, then a list is prepared with information of which methodologies will be used for which issues, the number of sample for issues, the data collection technique for the issues, and the schedule of data collection in locations. Then at the quarterly meeting of the monitoring staff, the finalized questionnaire, processing sheet, data collection methods, techniques and schedule are discussed in

detail and every single details are clarified. It should be mentioned that, in this final discussion if any corrections become necessary, then the correction is made upon consent of all present.

4. Data Collection as per schedule and checking of data

With (three months work) three months' issues along with questionnaire on the issues, and processing sheet, field monitors go back to their base office. They conduct monitoring as per their schedule. During the field monitoring, the main office staff checks 2% work of block monitors, who are under their supervision. This checking is done to main the quality of the work, and also to give solutions to the monitors on the problems related to the work.

5. Block meeting in the field

Another block meeting is held during the collection of data from the field. In this meeting, discussion is held on monitoring issues, solution to the raised questions, and emerged problems, and consolidation of the results of monitoring issues in blocks. Two staffs of the main office attend each block meeting. In addition, the manager monitoring attends each block meeting. The second block meeting is of two days. The main office staffs collect the filled in questionnaires and processing sheets of the monitoring issues completed before holding of the current block meeting for preparing the presentation sheet for the next quarterly meeting.

6. Opinion sharing meeting on the monitoring results at the quarterly meeting with field-based managers and main office based senior management

The field-based monitoring staffs share the results of monitoring with the teams (team in-charge and area manager) in their work locations after

completion of collection of all data on an issue. In addition to sharing the result the monitors provides a copy of the brief result (top sheet). During the sharing, if the field management raises any question, the monitors give the answers. Later at the quarterly meeting opinion sharing is held on the monitoring results with the presence of relevant managers. In a year, four quarterly meeting is held. For presenting the result of the monitored issues, daylong meeting is held. In this meeting, the senior management of the relevant project from the main office remains present. Open discussion is held during presentation of the results on each issue, all questions on the discussed issue are answered.

One week after the quarterly meeting is held, a monitoring report with brief results on the issues is submitted to the management authority of the project. In addition, the result presentation sheets of the areas are also attached. Moreover, a copy of the presentation sheet is given to the field based management of the project. Within the next 20 days a narrative monitoring report on the issues is prepared as a quarterly narrative report and submitted to the relevant management authority of the project. In addition, the prepared report is submitted to the executive director, all directors, and department heads. Once the activity of a quarter is completed, the activities for another quarter start.

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┌─────────────────────────────────────────────────────────────────────────┐
│  M   ┌─────────────────────────┐                                         │
│  O   │ Monitoring Department   │                                         │
│  N   └─────────────────────────┘                                         │
│  I          │                                                            │
│  T   ┌───────────────────────────────────────────────┐                  │
│  O   │ Selection of Indicators at the beginning of the year             │
│  R   │ through discussion with program personnel      │                  │
│  I   └───────────────────────────────────────────────┘                  │
│  N          │                                                            │
│  G   ┌───────────────────────────────────────────────┐                  │
│      │ Design formats including questionnaire, Processing               │
│  P   │ sheet & presentation paper (both by field & HO staff)            │
│  R   └───────────────────────────────────────────────┘                  │
│  O          │                                                            │
│  C   ┌───────────────────────────────────────────────┐                  │
│  E   │ Field test & finalize the design (both by field & HO staff)      │
│  S   └───────────────────────────────────────────────┘                  │
│  S          │                                                            │
│      ┌──────────────────────────────────┐   ┌──────────────┐            │
│  P   │ Discussion on methodology, sample size &   │ Move to field &     │
│  R   │ data collection technology with field monitors │ collect data    │
│  O   └──────────────────────────────────┘   └──────────────┘            │
│  C                                                │                      │
│  E                                         ┌──────────────────────┐      │
│  S                                         │ Cross check data by HO      │
│  S                                         │ Staff to ensure the quality │
│                                            └──────────────────────┘      │
│                                                   │                      │
│                                            ┌──────────────────────┐      │
│                                            │ Share results with          │
│                                            │ Regional Manager            │
│                                            └──────────────────────┘      │
│      ┌──────────────────────┐  ┌──────────────────────────────────┐     │
│      │ Process data & prepare │←│ Present findings & share experience with HO │
│      │ Narrative report       │ │ Management in the quarterly meeting at HO   │
│      └──────────────────────┘  └──────────────────────────────────┘     │
└─────────────────────────────────────────────────────────────────────────┘
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3.2 Monitoring and Supervision Plan

It is crucial to have a prior plan for conducting systematic monitoring on
any issue, so that monitoring activities can be completed properly. It could
be planned as per the following chart.

Planned activities	Selected Indicator	Amount	Method	Material/ Technique	Sample	Location	Time	Interval Time Period	Number of staff

1	2	3	4	5	6	7	8	9	10

1. Planned activities mean all activities that are accomplished for implementing a project.

2. Selected Indicators are few important selected indicators that are derived from the many planned activities based on the characteristics of selection.

3. The total Amount of the issue on which monitoring will be conducted should be written/noted.

4. The method of data collection should be prior selected. For example, survey method, PRA method etc.

5. Material means questionnaire for survey, and for PRA methods social map, wealth ranking card and production flow chart and other techniques.

6. Sample means the selected representative sample of the total population made through use of sampling technique, on which data will be collected.

7. Location means the project areas on which issue monitoring will be conducted.

8. Time means the time-period in which any issue will be monitored.

9. Interval Time-Period means the gap of time-period after which an issue will be monitored.

10. Number of Staff means the number of staff required for monitoring the selected issues.

4.0 Conclusion

Many projects and programmes often failed to achieve their objectives because there was little or no analysis of, and attention to, the process of implementation. This section discussed the process and plan of EDP implementation.

5.0   Summary

This section addresses some the process and plan of monitoring and supervision.

6.0   Tutor-Marked Assignments

Question (1) Describe the process and plan of supervision and monitoring.

7.0   References / Further Reading

1. Kolb, David A. (2014) Experiential learning: experience as the source of learning and development, Englewood Cliffs, NJ : Prentice-Hall.

2. Wonnacott J (2012) Mastering social work supervision, London: Jessica Kingsley

UNIT 14: COLLECTION OF DATA, ANALYSIS AND REPORTING IN MONITORING AND SUPERVISION

Table of Content

7.0 Reference / Further Reading

1.0 Introduction

This unit discusses data collection, analysis and reporting of monitoring and supervision that students should have in mind throughout the entire process of planning, monitoring, supervision and evaluation.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand the Scope of Monitoring and Supervision
- Understand how to Select the Monitoring Approach and Tools
- Understand how to Obtaining reliable data and information for Monitoring and Supervision
- Understand Data Collection Methods
- Understand how to write Monitoring and Supervision Report

3.0 Main contents

3.1 Scope of Monitoring and Supervision

Monitoring and supervision aims to identify progress towards results, precipitate decisions that would increase the likelihood of achieving results, enhance accountability and learning. All monitoring and supervision efforts should, at a minimum, address the following:

i. **Progress towards outcomes**—this entails periodically analysing the extent to which intended outcomes have actually been achieved or are being achieved.

ii. **Factors contributing to or impeding achievement of the outcomes**—this necessitates monitoring the country context and the

economic, sociological, political and other developments simultaneously taking place and is closely linked to risk management.

iii. **Individual partner contributions to the outcomes through outputs**—These outputs may be generated by programmes, projects, policy advice, advocacy and other activities. Their monitoring and evaluation entails analysing whether or not outputs are in the process of being delivered as planned and whether or not the outputs are contributing to the outcome.

iv. **Partnership strategy**—This requires the review of current partnership strategies and their functioning as well as formation of new partnerships as needed. This helps to ensure that partners who are concerned with an outcome have a common appreciation of problems and needs, and that they share a synchronized strategy.

v. Lessons being learned and creation of knowledge products for wider sharing.

3.2 Selecting the Monitoring Approach and Tools

There is a range of approaches and tools that may be applied to monitoring and supervision projects, programmes, outcomes and any other programmatic activity. Those who manage programmes and projects must determine the correct mix of monitoring and supervision tools and approaches for each project, programme or outcome, ensuring that the monitoring contains an appropriate balance between:

i. **Data and analysis**—This entails obtaining and analysing documentation from projects that provides information on progress.

ii. **Validation**—This entails checking or verifying whether or not the reported progress is accurate.

iii. **Participation**—This entails obtaining feedback from partners and beneficiaries on progress and proposed actions.

3.3 Obtaining reliable data and information for monitoring and supervision

Monitoring and supervision is part of a comprehensive programming continuum that starts with an in-depth analysis of the development situation. Normally, this analytical phase that precedes planning provides early insights into monitoring considerations. For example, the availability and quality of data that is needed for analysis for developing a new programme or project would indicate the scope and possibilities for use of existing capacities and resources for monitoring. It would also indicate critical gaps that may need to be addressed in order to ensure effective monitoring in the future. Therefore, recognizing that there is an important opportunity during the analytical phase preceding planning can ensure effective monitoring later in the programme cycle.

3.4 Data Collection Methods

Primary data consists of information evaluators observe or collect directly from stakeholders about their first-hand experience with the initiative. These data generally consist of the reported or observed values, beliefs, attitudes, opinions, behaviours, motivations and knowledge of stakeholders, generally obtained through questionnaires, surveys, interviews, focus groups, key informants, expert panels, direct observation and case studies. These methods allow for more in-depth exploration and yield information that can facilitate deeper understanding of observed changes in outcomes

and outputs (both intended and unintended) and the factors that contributed by filling out the operational context for outputs and outcomes.

Secondary data is primary data that was collected, compiled and published by someone else. Secondary data can take many forms but usually consists of documentary

There are many different methods of data collection. The methods to use can be selected according to the kind of information that is needed, who is collecting it, and when and how it will be used. Possible methods for collecting data include:

Commonly used methods:

   i.   Field visit

  ii.   Exit interview

 iii.   Reviewing existing documents

 iv.   Observation

  v.   Spot check

 vi.   Interview

Field visit

Characterized by a planned itinerary, usually of a predetermined length during which a   particular environment or past or present 'event' is observed and studied.

Uses

- To study something that cannot be brought into a class room

- To stimulate interest and concern

- To demonstrate a course of action 'in the field' or in a work a day environment

- To find out details of how things are done.

Advantages

- Seeing is more meaningful than hearing and reading above it becomes easier to 'relate' to the real thing

- A particular practice can be related a its environment.

- A team spirit can be distressed through participants become acquainted socially.

- Usually more enjoyable than class room learning.

- Useful for competitive learning (Each group will prepare a report)

Limitations

- Planning and organizing can be time consuming

- Travel and accommodation are costly.

- Tight schedule are hard to maintain.

- Certain risks are always involved injuries, sickness, or example.

Requirements

- A definite starting time and point.
- Detained transport accommodation and certain arrangement.
- Maps, information handouts and detailed programs or each group.
- A final 'get-together' to review the project.

Preparation and procedure

- An organizer must plan in detail and contact every person and place that is to be visited.

- Schedules must be drawn up and maps and handout materials (or learning aids) prepared

- Every member of the party must be well briefed on want they will see, the purpose of each visit, what is expected of them, the amount of spare time that will be available, and the time of their return.

After each stop, members should meet to review what they have seen and its significance for them.

Regular record keeping: forms and diaries

Some information about activities is recorded on a regular basis. Forms and set formats are often used for recording quantitative and qualitative information. The following factors are important:

- Good form design will facilitate the accurate recording of information

- Clear instructions on how to use forms should always be available. Instructions should include clear definitions of terms used on the formats

- The form should contain enough information to be useful to the people collecting the data

- The people collecting the data need to understand how the information will be used

- The information needed to complete the forms should be available without too much extra effort

- The format should be the same in the different forms and registers used

Review of existing documents:

Reviewing the existing documents information could be collected for monitoring system, which includes:

- project proposals and planning documents

- project and field directors reports

- relevant donor policy documents and strategy papers

- previous reviews and evaluations

- surveys and special studies

- Relevant correspondence, minutes of meeting

Supervision checklist and reports:

The collection of data during supervision meeting provides an opportunity to discuss the information as it is being collected. This can be useful for both supervisors and those being supervised. Checklist and set formats can be used to ensure that information about key indicators is collected.

Continuous Assessment in Training:

The effectiveness of training/learning activities can be monitored by regularly assessing the skills and knowledge of trainees. Methods for this include:

- role play

- demonstration

- written and oral test

- observation of normal practices using a checklist

Surveys

Regular surveys can be used to collect information about key indicators. This may be a good way of looking at impact indicators – to see how the target population has been affected by a program\project or a piece of work. Surveys can be used to collect quantitative and qualitative information, but they can be time -consuming and expensive, and may raise expectations unless they are very well designed and implemented. Some points to be considered in survey:

- Train people to collect data (enumerators). It is important that data collection methods are used consistently to avoid bias. It may be necessary to produce guidelines on how to ask questions, how to make physical measurements, how the variables are defined, and so on. Supervisors will also be needed to ensure data collection methods are used correctly.

- Carry out a pilot survey. The data collection methods, including questionnaires, must be tested on a small group and then amended if necessary. This will expose any problems (for example in the wording of questions, in gaining access to respondents, in the

training of enumerators, or in the length of questionnaire) which should be addressed before starting to collect from the whole sample.

- Data is collected and collated from the sample by enumerators and supervisors.

Spot Checks: periodic studies into a particular aspect of the work

Selected activities may be monitored in detail over a specific period. For example, all staff could fill in activity sheets every day for several weeks to assess how effective their use of time is. This can be a useful exercise leading up to a more formal evaluation, since it gives staff and participants a clear idea of what they are doing, especially if they are not keeping regular records of activities.

Participatory Methods:

Participatory methods can be useful for finding out how the people affected by the work view its progress. For example, it may be useful to use semi-structured interviews to find out what people considered being the good and not- so- good points of the work.

Summary of common data collection methods used in Monitoring, Evaluations and Supervisions			
Method	**Description**	**Advantages**	**Challenges**
Monitoring and Evaluation Systems	Uses performance indicators to measure progress, particularly actual results against expected results.	Can be a reliable, costefficient, objective method to assess progress of outputs and outcomes.	Dependent upon viable monitoring and evaluation systems that have established baseline indicators and targets and have collected reliable data in relation to targets over time, as well as data relating to outcome indicators.
Extant Reports and Documents	Existing documentation, including quantitative and descriptive information about the initiative, its outputs and outcomes, such as documentation	Cost efficient.	Documentary evidence can be difficult to code and analyse in response to questions.

	from capacity development activities, donor reports, and other evidence.		Difficult to verify reliability and validity of data.
Questionnaires	Provides a standardized approach to obtaining information on a wide range of topics from a large number or diversity of stakeholders (usually employing sampling techniques) to obtain information on their attitudes, beliefs, opinions, perceptions, level of satisfaction, etc. concerning the operations, inputs, outputs and contextual factors of a EDP initiative.	Good for gathering descriptive data on a wide range of topics quickly at relatively low cost. Easy to analyse. Gives anonymity to respondents.	Self-reporting may lead to biased reporting. Data may provide a general picture but may lack depth. May not provide adequate information on context. Subject to sampling bias.

Interviews	Solicit person-to-person responses to predetermined questions designed to obtain in-depth information about a person's impressions or experiences, or to learn more about their answers to questionnaires or surveys.	Facilitates fuller coverage, range and depth of information of a topic.	Can be time consuming. Can be difficult to analyse. Can be costly. Potential for interviewer to bias client's responses.
On-Site Observation	Entails use of a detailed observation form to record accurate information on-site about how a programme operates (ongoing activities, processes, discussions, social interactions and observable results as directly observed during the course of an initiative).	Can see operations of a programme as they are occurring. Can adapt to events as they occur.	Can be difficult to categorize or interpret observed behaviours. Can be expensive. Subject to (site) selection bias.

| Group Interviews | A small group (6 to 8 people) are interviewed together to explore in-depth stakeholder opinions, similar or divergent points of view, or judgements about a development initiative or policy, as well as information about their behaviours, understanding and perceptions of an initiative or to collect information around tangible and non-tangible changes resulting from an initiative. | Quick, reliable way to obtain common impressions from diverse stakeholders. Efficient way to obtain a high degree of range and depth of information in a short time. | Can be hard to analyse responses. Requires trained facilitator. May be difficult to schedule. |

Benefits of using information from monitoring and evaluation are multiple. The value of a monitoring and evaluation exercise is determined by the degree to which the information is used by intended decision makers and a wider audience.

3.5 Monitoring and Supervision Report

The following are the section of a monitoring report

- Cover page

- Table of contents

- Introduction

- Objective

- Sample

- Methods and Techniques of Data Collection

- Results

- Conclusion

4.0 Conclusion

Monitoring and supervision is part of a comprehensive programming continuum that starts with an in-depth analysis of the development situation. Normally, this analytical phase that precedes planning provides early insights into monitoring considerations. For example, the availability and quality of data that is needed for analysis for developing a new programme or project would indicate the scope and possibilities for use of existing capacities and resources for monitoring. It would also indicate critical gaps that may need to be addressed in order to ensure effective monitoring in the future.

5.0   Summary

The unit was able to discuss collection of data, analysis and reporting, Scope of Monitoring and Supervision, Selecting the Monitoring Approach and Tools, Obtaining reliable data and

information for monitoring and supervision, Data Collection Methods and Monitoring and Supervision Report.

6.0   Tutor-Marked Assignments

Question (1) Describe the Data Collection Methods of monitoring and supervision.

Question (2) Describe the Monitoring Approach and Tools in entrepreneurship development programmes/projects.

7.0   References / Further Reading

1. Wonnacott J (2012) Mastering social work supervision, London: Jessica Kingsley

2. Patton, Michael Quinn (2009) Qualitative Evaluation Methods. SAGE Publications: Newbury Park, USA.

UNIT 15: USE OF MONITORING AND SUPERVISION DATA AND INFORMATION FOR MANAGEMENT ACTION AND DECISION MAKING

Table of Content

1.0 Introduction

Data and information on progress towards results are gathered, reviewed and used at the project, outcome, sectoral and programme levels. These entities are interconnected and reinforce each other. This unit discusses the use of monitoring and supervision data for management action and decision making that students should have in mind throughout the entire process of monitoring, supervision and evaluation.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand how to Use of Monitoring and Supervision Data in Evaluations
- Understand how to Use of Monitoring and Supervision Information by Different Stakeholders

3.0 Main contents

3.1 Levels of Use of Monitoring and Supervision Data and information

Data and information on progress towards results are gathered, reviewed and used at the project, outcome, sectoral and programme levels. These entities are interconnected and reinforce each other. There is a two-way flow of information among them with the following common objectives:

i. Clarifying and analysing progress, issues, challenges and lessons
ii. Precipitating actions and decisions including effecting changes in plans and resources as required

Project Level

Monitoring data normally aggregates from project level to higher level results. The first monitoring action at the project level is to be clear of what is expected in terms of project-specific results and what is to be done with respect to monitoring actions.

Outcome Level

Sectoral and outcome-level coordinating mechanisms play a critical role in results monitoring and developing capacities for monitoring. They forge partnerships around initiatives supported by partners to achieve common results, provide oversight in a collective spirit, make linkages to

national systems and national development goals, and promote the development of monitoring capacities.

The sectoral or outcome coordinating mechanism should continually assess the status of outputs and related initiatives by partners—all of which contribute to an intended outcome.

Programme Level

Each partner that contributes to one or more outcome typically has its own arrangements to plan, implement and monitor the contributions it is making to results.

3.2 Use of Monitoring and Supervision Data in Evaluations

Effective monitoring and supervision generates a solid data base for evaluations. Data, reports, analysis and decisions based on monitoring evidence should be retained with a view to making them easily accessible to evaluations.

3.3 Use of Monitoring Information by Different Stakeholders

Donors

Although different donors have different requirements, if work is monitored well enough to ensure good management, most of the information needed by donors should also be available. Donors needed information:

- to demonstrate good management of resources,

- to show that the work is as effective as possible in terms of working towards the stated objectives,

- to show how problems have been addressed,

- about the sustainability of the work, for example in terms of institutional strengthening,

- to show what lessons have been learned.

Partners:

Donor and partners should be accountable to each other in order to demonstrate their joint responsibility for achieving the objectives of the partnership. Each partner needs:

- to know how donors and other partners work as organizations: how decisions are made, what procedures are involved, and so on;

- to know what are donors and other partners' objectives is being involved in a piece of work;

- to show donor and other partners are working according to agreed objectives;

- the opportunity to discuss the relationship between partners, and to address any problems in the relationship which effect the work.

Beneficiaries:

A program should also be accountable to the people who will be affected by it, even when they are not actively involved in the work. People involved by the work need:

- the opportunity to say whether they think donor or the implementing agency is doing a good job, and what is good or not good about it;

- information to show how their problems, as they perceive them, are being addressed;

- information to show that the project is working in the most effective way possible;

- Information to show that the resources they contribute, including time and labor, are being well spent.

Using information for:

i. **Making sure resources are used effectively-**Information to show what resources are required to produce a certain effect, or how resources can be distributed differently to be more effective.

ii. **Planning work-**Information to show what and who will be available when, and how work could be affected by seasonal trends in, for example, labor availability, diseases, rainfall, snow fall, market prices, transport and so on.

iii. **Identifying problems and finding solutions at an early stage-**Information to make sure problems can be discussed and tackled before they become so serious.

iv. **Identifying opportunities-**Information to help take advantage of strengths and opportunities when they arise.

v. **Providing a record of events-**Information which allows people to check on what has happened.

vi. **Looking at the "process" of development-**information about the style of work, whether this is the best way of working to achieve more self-motivation, capacity- building, and so on.

vii. **Providing an information base for future evaluations-**Information about what has been done and why, and to show trends over time.

viii. **Helping staff feel their work has a definite purpose-**Information about objectives, progress, impact and quality of work will help staff feel motivated in involved in the work.

4.0   Conclusion

Effective monitoring and supervision generates a solid data base for evaluations. Data, reports, analysis and decisions based on monitoring evidence should be retained with a view to making them easily accessible to evaluations.

5.0   Summary

The unit was able to discuss the use of monitoring data for management action and decision making, use of monitoring and supervision data in evaluations and use of monitoring information by different stakeholders.

6.0   Tutor-Marked Assignments

Question (1) Describe the use of monitoring data for management action and decision making.

Question (2) Describe the use of monitoring and supervision data in evaluations in entrepreneurship development programmes/projects.

7.0   References / Further Reading

1. Wonnacott J (2012) Mastering social work supervision, London: Jessica Kingsley

2. Patton, Michael Quinn (2009) Qualitative Evaluation Methods. SAGE Publications: Newbury Park, USA.

UNIT 16: CURRENT TRENDS AND CHALLENGES OF MONITORING AND SUPERVISION

Table of Content

1.0 Introduction

2.0 Objectives

3.0 Main contents

3.1 Current Trends and Challenges of Monitoring and Supervision

4.0 Conclusion

5.0 Summary

6.0 Tutor-Marked Assignment

7.0 Reference / Further Reading

1.0 Introduction

There have been a number of recent advances in policy evaluation techniques, many of which are likely to be particularly valuable in the evaluation of SME and entrepreneurship programmes and policies. This unit discusses the current trend and challenges of monitoring and supervision.

2.0 Objectives

At the end of this unit, the student should be able to:-

- Understand the Current Trends and Challenges of Monitoring and Supervision.

3.0 Main contents

3.1 Current Trends and Challenges of Monitoring and Supervision

1. **There have been a number of recent advances in policy evaluation techniques**, many of which are likely to be particularly valuable in the evaluation of SME and entrepreneurship programmes and policies. There have also been some important advances in data collection for SME and entrepreneurship policy development. SME and entrepreneurship programme monitoring and supervision is now widely established internationally, and monitoring frameworks for SME and entrepreneurship strategies are largely in place. For example, through the yearly SME Performance Review, the European Commission monitors and assesses countries' progress in implementing the Small Business Act (SBA). SBA country fact sheets focus on key performance indicators and national policy developments related to the SBA's 10 policy dimensions. Nigeria has developed an SME policy monitoring and evaluation system for its SME strategy 2014-2020, which includes a full quantitative evaluation every two years with the support of foreign experts under the responsibility of the Ministry of Commerce and Industry. However, progress has been less significant in governments' use of these advances to make the most rigorous assessments of policy effectiveness, and to use the results for continuous policy improvement. In short, the creation of an evaluation culture has yet to be widely established and significant challenges remain.

2. **SME and entrepreneurship policies are frequently implemented without clear objectives.** The objectives of the intervention are best framed in terms of the market or institutional failure the intervention seeks to address or the social benefit sought. Targets or key performance indicators can then be established against which the outcomes (intended and unintended) of the policy action can be monitored. In particular, more attention is needed to better understand the mechanisms through which policy will lead to benefits and to consider the potential unintended consequences that the policy may have

(positive or negative). Appropriate data need to be collected and analysed, reflecting this understanding of potential consequences.

3. **There is also room to improve the data collection systems and national statistical information available for SME and entrepreneurship policy monitoring and evaluation**. Data should be available at appropriate time intervals and levels of disaggregation, and refer to an outcome indicator that is relevant for the foreseeable future. In some cases dedicated data collection exercises may be required, but in most cases the evaluator can rely upon existing data sources. Rich and relevant data often exist within different parts of the administration, but remain unexploited for SME and entrepreneurship policy evaluation, e.g. in tax records or the unemployment registry (OECD, 2017b). Other sources of data outside public administration can be helpful. For example, in the SME space, the use of bank client data for evaluation is another promising area, e.g. as exploited in Coad et al (2013). Legal barriers, a lack of incentives to make the data available or a lack of incentives to utilise the data for assessments can prevent their use. To address this challenge, some countries have made major steps in recent years to broaden access to confidential data and to link data from different sources. Others are making administrative data available through remote access to authorised researchers. Looking ahead, "big data" collected with digital technologies holds promise for improving evaluation. Recently-developed methodological tools to analyze big data could become an important resource in the area of SME and entrepreneurship policies.

4. **A further challenge is to ensure that account is taken of the interactions between the outcomes of different SME and entrepreneurship policies and programmes**. Only in this way can informed judgements be made about potential adjustments to the policy mix; i.e. identifying programmes that merit expansion and programmes that merit contraction or abrogation. However, SME and entrepreneurship programmes are highly diverse. Some are expected to have an impact in the very short term (e.g. export facilitation), while others are unlikely to have an observable impact in less than a decade (e.g. innovation).

5. **The impacts on SMEs and entrepreneurship of policies targeted at other areas need to be evaluated, too**. Ministries of economy and industry commonly have the formal responsibility for leading and co-ordinating SME and entrepreneurship policies across government. However, expenditures in other ministries such as those responsible for

finance, education, employment and infrastructure, strongly influence entrepreneurship and SME activity. These include policies in the areas of taxation, social security, business regulation, immigration, competition etc. The impact of their policies on SME and entrepreneurship activity needs to be assessed, for example through using monitoring and evaluation evidence to support Regulatory Impact Assessments and the SME Test, and by creating cross-cutting groups within government to undertake evaluation and reflect on evidence from evaluations on the impact of these policies on entrepreneurship and SME development.

6. **There has been an increase in the use of the most reliable and rigorous evaluation techniques, including for SME and entrepreneurship policy**. New econometric techniques can correct for selection bias which can plague the evaluation of many of the types of support measures, e.g. through propensity score matching[1]. There has also been increased use of Randomized Control Trials (RCT), whereby a group of eligible recipients and their performance is compared over time with those eligible recipients who were randomly excluded in order to establish a counterfactual. A number of recent exemplar RCT evaluations have been undertaken in the area of SME and entrepreneurship policy, for example on management and workforce training in SMEs in the United Kingdom (Georgiadis and Pitelis, 2016); the subsidised entry of the unemployed into new business creation in Germany (Caliendo, M., Künn, S., & Weißenberger, M. 2016); and entrepreneurship training in the United States (Fairlie et al, 2015), etc.

7. **However, high-quality evaluations remain relatively rare in the field of SME and entrepreneurship policy**. For example, the Nigerian Government Accountability Office report for 2012 reviewed 53 entrepreneurship programmes across four different agencies. It reported that for 39 of the 53 programmes, the four agencies had either never conducted a performance evaluation or had conducted only one in the past decade (GAO, 2012). Effective supervision, monitoring and evaluation requires a commitment to evaluation as an integral part of the policy-making process. Often evaluations are undertaken as individual exercises and not embedded in the policy cycle. A monitoring and evaluation culture should permeate all stages of policy design, implementation, and reform. This could

be built for example through targeted training and partnership with independent evaluation agencies and academic institutions. The use of monitoring and evaluation evidence also requires space for policy experimentation and acceptance of failure.

4.0 Conclusion

In particular, more attention is needed to better understand the mechanisms through which policy will lead to benefits and to consider the potential unintended consequences that the policy may have (positive or negative). Appropriate data need to be collected and analysed, reflecting this understanding of potential consequences.

5.0   Summary

The unit was able to discuss the current trends and challenges of monitoring and supervision**.**

6.0   Tutor-Marked Assignments

Question (1) Describe the current trends and challenges of monitoring and supervision**.**

7.0   References / Further Reading

1. Wonnacott J (2012) Mastering social work supervision, London: Jessica Kingsley

2. Patton, Michael Quinn (2009) Qualitative Evaluation Methods. SAGE Publications: Newbury Park, USA.