

Example of case study methodology for evaluation

PD-AAP-262

AN EVALUATION PLAN
FOR THE PL 480 TITLE II
FOOD FOR WORK PROGRAM IN INDIA

Submitted to:

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CONTENTS

	<u>Page</u>
ACRONYMS	
EXECUTIVE SUMMARY	
A. Evaluation Methodology.....	2
B. Monitoring & Evaluation System.....	2
C. Training.....	3
I. INTRODUCTION	
A. Background.....	I-1
B. Scope of Work	I-2
C. Activities During the Consultancy.....	I-3
II. THE TITLE II FFW PROGRAM IN INDIA	
A. Catholic Relief Service's FFW Program.....	II-1
B. The CWS/LWR/CASA FFW Program.....	II-9
III. CASE STUDY EVALUATION METHODOLOGY	
A. Overview	III-1
B. Planning for the FFW Evaluations	III-3
C. Coordination Tasks.....	III-10
D. The Integration Report	III-12
E. Evaluation Studies	III-14

CONTENTS Contd.

	<u>Page</u>
IV. OPPORTUNITIES TO IMPROVE MONITORING & EVALUATION	
A. Introduction	IV-1
B. Objectives	IV-3
C. Additional Information Required.....	IV-4
D. Implementation.....	IV-14
V. TRAINING	
A. Specific Training Needs.....	V-1
B. Training Methods.....	V-2
C. Training for CRS Staff	V-2
D. Training for CASA Staff.....	V-8
VI. NEXT STEPS	
A. Next Steps for the Evaluation Studies of 1981-1982.....	VI-1
B. Next Steps for Improving Monitoring & Evaluation Systems for the Voluntary Agencies.....	VI-2
C. Next Steps for Training.....	VI-3
APPENDIX A: Interim Evaluation Report on PL 480 Title II Program in India	
APPENDIX B: Scope of Work for Evaluation Planning for PL 480 Title II Program in India	
APPENDIX C: Partial List of People Consulted regarding Title II FFW Programs in India	

CONTENTS Contd.

Page

APPENDIX D: Annual Budget Submission, FY1982, Catholic Relief
Services Program, Attachment V

APPENDIX E-1: CRS Kumbakonam Multipurpose Social Service
Society Application Form

APPENDIX E-2: CRS Kumbakonam Multipurpose Social Service
Society KMSS Form #5 for Evaluation

APPENDIX F: Progress Report on 3000 Irrigation Well-Ranchi
CRS Project #IN-9-D-001

FIGURES / TABLES / EXHIBITS

	<u>Page</u>
Figure III-1: The Logical Structure of FFW-Assisted Programs	III-5
Figure III-2: Generic Design for Minor Irrigation Projects in India Using FFW Food	III-24
Figure III-3: Upgrading Agricultural Land in India with FFW Assistance	III-37
Figure III-4: Road Projects in India Using FFW Assistance	III-42
Figure III-5: Generic Design for Housing Projects in India Using FFW Food	III-49
Figure III-6: "Fostering Community Self-Reliance" In India with FFW Assistance	III-62
Figure III-7: Creating Assets for the Landless in India with FFW Work Assistance	III-71
Figure IV-1: Proposed Changes in Management Procedures for FFW with Improved Monitoring & Evaluation System	IV-5
Figure IV-2: Project Preparation and Approval.....	IV-7
Figure IV-3: Project Implementation	IV-10
Figure IV-4: After Completion of Outputs.....	IV-12
Figure V-1: Summary of Proposed Training: CRS.....	V-6
Figure V-2: Proposed (Sample) Training Program for CRS Consignee Field Staffs: Three Days.....	V-7
Table III-1: High Priority Evaluation Studies Recommended for 1981 - 1982.....	III-7
Table III-2: Evaluation Studies Recommended for Deferral to Years After 1981-1982 Evaluations.....	III-8

FIGURES / TABLES / EXHIBITS Contd.

	<u>Page</u>
Exhibit V-1: CASA Project Management Inservice Training Project Sample Logical Framework	V-13

ACRONYMS

FFW	Food for Work
CRS	Catholic Relief Services
CWS/LWF	Church World Service/Lutheran World Relief
CASA	Church's Auxiliary for Social Action
OFFP	Office of Food for Peace
PCI	Practical Concepts Incorporated
GOI	Government of India
AID	Agency for International Development
USAID/India	U.S. Agency for International Development Mission to India
ABS	Annual Budget Submission
IQC	Indefinite Quantity Contract
KMSSS	Kumbakonam Multipurpose Social Service Society
SMFs	Small and Marginal Farmers
FY	Fiscal Year
CY	Calendar Year
NTG	Non-Target Group

EXECUTIVE SUMMARY

The PL 480 Title II Program in India is the largest bilateral food commodity program in the world, and the Title II Food for Work (FFW) component in India is also the largest of any bilateral FFW Program. In India, Title II FFW Projects provide more than 109,000 metric tons of food commodities to nearly 700,000 recipients at nearly 14,000 project sites. The direct commodity and international shipment costs presently exceed \$29 million annually.

The Title II FFW Program in India is sponsored by two private voluntary agencies: Catholic Relief Services (CRS) and Church's World Service/Lutheran World Relief (CWS/LWR), the latter operating through an Indian counterpart agency, Church's Auxiliary for Social Action (CASA).

The Office of Food for Peace (OFFP) and USAID/India wish to evaluate quantitatively the impact of this program. USAID/India requested technical assistance from Practical Concepts Incorporated (PCI) in planning an evaluation of the PL 480 FFW Program in India. The objectives of the assistance were to provide:

- Specific written recommendations and an outline for a FFW case study evaluation methodology;
- Specific recommendations for elements to be incorporated in a common FFW monitoring/evaluation system for use by the voluntary agencies in India; and
- Written recommendations on training the voluntary agency staffs to effectively use the monitoring/evaluation system.

PCI began the consultancy following the approach recommended in the "Generic Scope of Work" for Title II evaluations. PCI consulted the OFFP and the India Desk in AID/Washington and the main offices of CRS and CWS in New York. Upon arrival in India, the consultants interviewed appropriate Delhi office representatives of CRS, CWS/LWR, USAID and the Government of India. Nine days of field work outside Delhi followed; Dr. Lawrence D. Posner went to Bihar and

12

West Bengal, and Dr. David Barker went to Tamil Nadu and Andhra Pradesh. The remaining nine days of the consultancy were used in Delhi to prepare written recommendations. An oral debriefing in Delhi was provided to USAID, CRS and CWS/LWR on November 14, and a draft report was submitted on November 17. A debriefing in Washington for the Office of Food for Peace was held on December 17.

A. EVALUATION METHODOLOGY

The objectives of the FFW evaluations are to document the most important results from the "mainstream" programs assisted with FFW commodities and to provide a basis for decisions about how to improve the use of FFW in India.

Six evaluation studies deserve high priority for 1981-1982:

- One study of the recipients of FFW food will document the direct benefits to the recipients and "eaters" of the FFW food and the local value of the FFW commodities to the recipients;
- Four "benchmark evaluations" of the biggest FFW-assisted programs in India will assess the impact of minor irrigation works, upgrading agricultural land, roads, and low-cost housing; and
- A sixth study will evaluate projects oriented toward community self-reliance and toward the landless.

The planning, coordination and integration of these studies, while not generating original data, is treated as a separate study.

B. MONITORING & EVALUATION SYSTEM

Changes are proposed in the monitoring and evaluation systems of the sponsoring agencies to facilitate management decisionmaking that places increased emphasis on the creation of durable assets. Much of the information presently available to sponsoring agency project managers relates to the transportation, storage and

9

distribution of food commodities. Although essential to the control functions of management, this information is nearly useless in identifying what types of projects optimize FFW food resources or the extent to which intended recipients or other beneficiaries are being reached.

Thirteen items of additional information on each FFW Project are recommended to implement (a) subproject selection procedures which incorporate simple quantified levels of expected benefits; (b) followup monitoring which routinely reports results of construction (outputs) or other assets created; and (c) improved institutional memory.

For both sponsoring agencies, implementation of a system incorporating these common elements will require the development of new and simplified reporting formats which will make the additional information immediately useful.

C. TRAINING

The training provided to the voluntary agency staffs should be the minimum amount necessary to institutionalize the recommended changes in the monitoring and evaluation system. Training should impart the capacity to continue necessary training by Indian institutions (the sponsoring agencies or other institutions which service them) as rapidly as possible. It should attain demonstrated successes quickly and facilitate changes in institutional practice which are obvious, significant, and minimally disruptive to current practice. The training program should clearly recognize the differences between CRS and CASA and should not attempt to lump the two agencies together; their staffs should be allowed to be trained separately if they prefer to do so. All training should be decentralized to the extent feasible.

1. Catholic Relief Services (CRS)

The CRS staff can receive training by trainers employed by five regionally-based institutions with which CRS has or could have close working relations.

These trainers could participate in an intensive seminar focused on both project management and training methods, attended by five trainers from each of the five regional institutions and one CRS FFW evaluator from each zonal office, a total of approximately 30 people. The Training of Trainers Seminar would last six weeks, composed of three two-week segments devoted to classroom instruction on project design and monitoring systems, field experience in using new reporting formats for additional monitoring information, and preparation of regionally-tailored training materials.

Training for CRS staffs should be oriented toward professionals in the zonal office and consignee field staffs, estimated to number 600 and 750 individuals. They should participate in three workshops of approximately three days each, scheduled at quarterly intervals over a nine-month period.

2. Church's Auxiliary for Social Action (CASA)

The apparent training need of CASA is not more staff training, but better utilization of skills it has acquired during intensive training sessions in the past year and enhanced ability to communicate these skills to contact persons. Training for contact persons could be strengthened through regular training sessions on a quarterly basis at the zonal headquarters, or it could be decentralized and conducted by field reviewers during the course of routine visits to contact persons. If it is feasible to increase the training function of field reviewers, then CASA can design a series of short workshops for them to reinforce the project management skills they acquired during their recent training.

3. Implementation

For CRS, the Training of Trainers Seminar, possibly sponsored by USAID/India in cooperation with CRS, could be held during the second quarter of CY1981. Training could then begin during the third quarter and conclude in the first quarter of 1982, at which time the monitoring and evaluation system would be fully implemented.

CASA should be able to meet its staff training needs during the second and third quarters of 1981 and begin to implement the monitoring and evaluation system in 1982.

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Training for CRS staffs should be oriented toward professionals in the zonal office and consignee field staffs, estimated to number 600 and 750 individuals. They should participate in three workshops of approximately three days each, scheduled at quarterly intervals over a nine-month period.

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INTRODUCTION

CHAPTER I

A. BACKGROUND

The PL 480 Title II Program and its \$29 million Food for Work (FFW) Program component are the largest in the world. FFW Projects in India are sponsored by two private voluntary agencies, Catholic Relief Services (CRS) and Church World Service/Lutheran World Relief (CWS/LWR), the latter operating through an Indian counterpart agency, Church's Auxiliary for Social Action (CASA). These projects, which number nearly 14,000 per year, provide employment for nearly 700,000 food recipients and are oriented to the Country Development Strategy Statement objectives of increased food supply and rural employment. The FFW Program will absorb 108,968 metric tons of commodities costing \$29,141,000 (Annual Budget Submission [ABS], FY1982, page 69).

The Government of India (GOI) has taken over the FFW Program formerly operated by CARE and expanded it to the present commodity level of 3.5 million tons of cereals programmed each year. The GOI Program is a major mechanism for generating employment among the rural poor and creating assets in backward areas.

The Office of Food for Peace (OFFP) and USAID/India have wanted an evaluation of the entire Title II Program in India including the FFW component. An interim evaluation of the entire PL 480 Title II Program in India was prepared in 1979 by Community Systems Foundation. The evaluation plans recommended in the current report build upon the earlier thinking of the interim evaluation and take into consideration the comments on the interim evaluation made by USAID/India, the voluntary agencies, and the GOI. The interim evaluation recommended as follows regarding program evaluation:

"Given this high level of variability in programs, the use of a large-scale, random sample survey will obscure precisely those programmatic differences which would allow project managers to decide which activities to emphasize or de-emphasize. Furthermore, the large intra-program variability detracts from what can be said meaningfully about the various program forms.

For these reasons, we feel that a series of indepth studies of particular programs or groups of programs with similar characteristics will be more fruitful than a large-scale sample survey which perforce cannot be tailor-made to each program.

A final comment is that any indepth research effort should consider the broad range of possible effects and should not focus exclusively, or even primarily on nutritional variables" (page 114).

The conclusions and recommendations made by the Interim Evaluation regarding FFW Projects are reproduced in Appendix A.

Assessment of the impact of the Title II Program is important because of the size of the program and because such an evaluation can lead to improvements in management procedures of the voluntary agencies. Evaluation data and management improvements could also influence the management of the much larger program of the GOI.

B. SCOPE OF WORK

USAID/India requested technical assistance regarding evaluation planning for the PL 480 Title II FFW Program in India (IQC AID/SOD/PDC-C-0261, Work Order 3). The Scope of Work appears in Appendix B. The objectives of the work order were the following:

"The technical assistance provided to USAID/India is expected: (a) to provide specific written recommendations and an outline for FFW case study evaluation methodology (i.e., detailed scope of work and implementation plan); (b) to provide written recommendations for elements to be incorporated in a common FFW Program monitoring/evaluation system for use by the voluntary agencies in India; and (c) to provide written recommendations on training the voluntary agency staff to use effectively the monitoring/evaluation system."

C. ACTIVITIES DURING THE CONSULTANCY

PCI began the consultancy following the approach recommended in the Generic Scope of Work for Title II Evaluations. PCI consulted the OFFP and the India Desk in AID/Washington, and the head offices of CRS and CWS in New York. Upon arrival in India, the consultants interviewed appropriate Delhi office representatives of CRS, CWS, USAID, and the GOI office that recently evaluated the GOI FFW Program (a partial list of people and organizations contacted appears in Appendix C). Nine days of field work outside Delhi followed.

Dr. Lawrence D. Posner of PCI went to Bihar with Lawrence Flynn and S. Chandrasekar of USAID for visits to the CRS Zonal Office and CASA Area Office in Calcutta, to the CRS consignees in Patna and Ranchi and to the two CASA consignees near the CASA Field Office in Gaya. Twenty sites in Bihar were visited and interviews conducted with people at all levels including beneficiaries of the program, distributors, consignees, zonal offices, church officials, and outside evaluators.

Dr. David Read Barker of PCI went to the Madras area with John Westley and N. Krishnamurthy of USAID for visits to the CRS Zonal Office and CASA Area Office in Madras, to CRS consignees in Tiruchirapalli, Thanjavur and Kumbakonam, Tamil Nadu, and Vijayawada, Andhra Pradesh, and to CASA contact persons in Tiruchirapalli, Tamil Nadu and Rasapallam, Andhra Pradesh. Twenty-one sites were observed and interviews conducted with people involved at all levels as was done in Bihar.

The remaining nine days of the consultancy were used in Delhi for further discussions with USAID, CRS, CWS/LWR, and CASA, for digesting and for preparing written recommendations. A preview of the conclusions and recommendations was provided to USAID, CRS, and CWS/CASA and an oral debriefing was provided on Friday, November 14 and a draft report on November 17, 1980.

This report is organized into six sections including an introductory chapter. Chapter II describes briefly the existing FFW Program including the structure of the voluntary agencies, the objectives and content of their FFW Programs and the procedures used to manage FFW. PCI's findings focus on elements germane to the monitoring and evaluation of the FFW Program. Chapter III summarizes conclusions and recommendations regarding evaluation studies. Chapter IV presents recommendations regarding the opportunities for improvement in the systems for FFW monitoring and evaluation. Chapter V describes the recommended training to operate the management and evaluation system. Chapter VI focuses attention on the next steps for action.

THE TITLE II FFW PROGRAM IN INDIA

CHAPTER II

The Title II FFW Programs in India are sponsored by CRS and by CWS/LWR, the latter operating through an Indian organization, CASA. USAID/India has a FFP Office in Delhi that is responsible to AID/W and OFFP for proper management of both programs and for coordination with GOI at the national level.

A. CATHOLIC RELIEF SERVICE'S FFW PROGRAM

1. CRS Agency Structure in India

CRS has its national headquarters in Delhi, five zonal offices, 174 consignees, and 8,800 distributors throughout the country. A typical consignee for CRS is a social service agency operating in a Catholic Church diocese under the close supervision of a bishop and headed by a senior priest. Distributors are typically parish priests working with a "village committee" with responsibility for FFW Projects and other activities in their own parish; some CRS distributors are non-Catholic organizations and many projects benefit non-Catholics. In June 1980, CRS had six American employees plus 49 Indians at its headquarters and 102 Indians at the zonal offices (source: ABS, FY1982).

2. Objectives & Content of the CRS FFW Program

CRS has two stated objectives for FFW Programs:

- To supplement the diet of unemployed laborers and their families; and
- To organize the unemployed laborer to work on community and economic development projects.

For economic development projects, an additional objective is:

- To increase food production by small and marginal farmers (SMFs).

For community development, objectives are:

- Construction of facilities necessary to the community;
- Construction of housing for the homeless, or those with inadequate shelter; and
- Vocational training (this also fits under economic development for certain categories) (source: CRS Program Plan, ABS, FY1982, page 28).

CRS's most recent program plan notes that: "For the most part, FFW projects have a relief orientation providing a meager existence for the unemployed and landless laborers" (Program Plan, ABS, FY1982, page 27).

The content of the CRS FFW Program responds to both objectives--providing food and employment. Selected material from the ABS (Attachment V) appears in Appendix D. CRS's FFW Projects provided 28,860,576 mandays of employment in FY1979, often with a relief orientation to provide for the needs of unemployed and landless laborers. The agriculture/economic development projects absorbed approximately 76% of all mandays utilized (Attachment V, Column 4) with the major categories being irrigation development (35% of all mandays), land clearing (25%), roads (9%), and low-cost housing (16%). In FY1982, CRS plans for 650,000 FFW recipients including 139,250 in Bihar and 108,000 recipients in the Southern States visited during the planning visit (Tamil Nadu and Andhra Pradesh).

3. CRS Program Procedures

Guidance for the CRS program is provided from AID, GOI, and CRS (in New York and Delhi) regarding allowable FFW activities. CRS's FFW Manual summarizes this guidance on policy, priorities, and the boundaries of allowable

activities. The project preparation and approval cycle takes place quarterly in each zone. Projects are prepared by distributors in conjunction with village committees using CRS's Form 10. The applications are submitted to the consignee, screened, and the projects endorsed by the consignee are summarized for approval by the zonal office using Form 11. The zonal office selects projects quarterly, approving those that meet the requirements and show the most promise for use of the FFW food available to the zone.

a. Project Design

It is difficult to generalize about the design of projects using FFW assistance because they are diverse in their size, complexity, duration, and number of beneficiaries. The description of the project design process below is based on the six CRS consignees and 15 distributors observed by PCI; CRS and USAID should be alert to the possibility of these being atypical observations.

The best designed CRS Projects observed by the PCI team were designed to create assets that would produce long-term benefits to a large number of poor people. The worst designed projects were, in a sense, a pretext for providing food to needy recipients. Some CRS consignees and project holders do not systematically distinguish between "recipients" who receive a FFW food ration for a day's work and "asset users" or "beneficiaries" who receive benefits from the asset created. Providing food for work may be considered a sufficient end in many parishes. This outlook is strengthened by the fact that "charity" and "relief" activities have in the past been conducted in the same areas that FFW Projects are now underway, and from the viewpoint of parish priests and villagers, the "gift food" from a foreign donor agency serves in the first instance as a stop gap to ward off starvation.

The FFW food rations serve short-term consumption requirements during periods of seasonal unemployment which correspond to the peak seasons for FFW Projects. Most projects last only a few weeks or months, rarely lasting more

than one year. For these rare projects at the beginning of each fiscal year, a new application is required. In general only unskilled workers are willing to work for a food ration, rather than cash. Consequently, FFW Projects usually entail simple labor-intensive activities typified by land clearing and earth moving. These characteristics make complementary inputs and maintenance key issues in project design.

FFW Projects show wide variation in the quantity and nature of the complementary inputs necessary to bring them to completion. At one extreme are vocational training projects, in which the food commodities may be a minor portion of the costs of providing training. Intermediate in this range are brick houses, for which CRS estimates that the food-compensated labor represents one-third of the total cost, and wells, for which the FFW component typically ranges from one-fourth to one-half of the total cost. For some land clearing, road and earthwork construction, and forestry projects, the labor component is nearly the entire cost of the project.

Complex projects requiring extensive inputs of capital and materials are only undertaken when there is financial backing of local institutions (in a few cases) or foreign donor agencies such as Misericordia or OXFAM (in a larger number of cases) since AID regulations prohibit selling food commodities for cash to purchase material inputs, and since the FFW food is essentially limited to paying for unskilled labor. The lack of funds for the "complementary inputs" was a critical problem in some projects observed by PCI in the Madras zone. Wells were dug for individual beneficiaries who lacked the cash or credit to pay for blasting rock (if it is encountered), steaming the well, or purchasing a pump set. Of six wells observed, two were providing sufficient water to irrigate their owner's land, two yielded only enough water to irrigate tiny vegetable plots, and two were dry holes floored by rock formations. All four owners of the incomplete wells said that they did not have the funds or credit to deepen or line them.

The second important design issue, maintenance, is most obvious in the earthwork FFW Projects like tanks, *ahars** and irrigation channels. These are particularly subject to erosion and siltation and require maintenance every year or two. The PCI team observed several instances where no one maintained the assets adequately. Often FFW commodities were being used to pay for labor to deepen channels, desilt tanks and rehabilitate older projects.

Earthmoving projects are often conceived in terms of mandays of effort rather than the construction of a durable asset. This outlook is most apparent in some well-digging projects which were considered satisfactory even though no water had been struck. In these instances, the distributors argued that the FFW assistance had given the beneficiaries a good start and that it was up to them to complete the well, usually by blasting and steening. Management was focused overwhelmingly on the inputs (food) and activities (construction) rather than the benefits from use of the well.

b. Sub-Project & Beneficiary Selection

Parish priests play a key role as distributors in FFW Projects. In theory, each priest functions in conjunction with a committee of village leaders, known variously as a "parish committee" or "village committee." In practice, consignees reported that there is predictable variation in the relationships between parish priests and the village committees. Some priests were reported to run their local FFW Projects almost single-handed. In other parishes, priests were reported to view the village committees as a vehicle to strengthen local leadership. In most cases, members of the village committees are Catholics who are active in the village church, but both consignees and distributors insist that religious affiliation is not a criterion for membership on village committees or for becoming a beneficiary of an economic development project using FFW assistance.

* An *ahar* is an earthwork embankment or dike to impound surface water for irrigation after the rainy season ends.

A statement of aims of village committees collected by the PCI team during its brief tour has been produced by the Kumbakonam Multi-Purpose Social Service Society (KMSSS), a large consignee in Tamil Nadu. Its three-page summary of the aims, responsibilities and proceedings of village committees states that the aims are the following:

- Involvement of the people in the programs of KMSSS undertaken by the parish priests in the respective parishes and to lead them to offer their whole-hearted cooperation to the project holder;
- To help the parish priest in the implementation of projects;
- Self-help and decisionmaking for their uplift;
- To think and plan in an apt way to develop the parish and village socially and economically;
- To approach the government for help and to organize the people to fight for their rights; and
- To make the people give up the tendency of dependence on continued help from donor agencies and plan out their own betterment through self-help.

Parish priests who become distributors frequently seem to feel that the FFW Program is a mixed blessing. On the one hand, it undeniably provides them with resources to accomplish a variety of objectives ranging from feeding unemployed coolies or vocational trainees to improving agricultural output. On the other hand, several priests reported that they were unfairly blamed by villagers for partiality in selection of beneficiaries and were unable to satisfy all the legitimate requests for assistance.

To counter charges of favoritism and make the selection of beneficiaries as equitable as possible, some consignees are experimenting with new application procedures at the village level. The most ambitious of these noted by the PCI team was at Kumbakonam in Tamil Nadu which had developed a very large application form containing 47 items of information on very potential beneficiary in a parish. A translation is provided in Appendix E-1.

In the Vijayawada Diocese in Andhra Pradesh, applications to the diocese for FFW Projects are made on cyclostyled forms that are tailored to each type of project. A set of forms collected included those for:

- Bund (embankment) construction/repair;
- School/community center/health center/godown/temporary or permanent shelters construction/repair;
- Road construction/repair; and
- Raising of house site land.

To each form should be annexed another form, Socio-Economic Survey of the Locality of the Proposed Project. The PCI team noted, however, that this form was in fact not attached to applications from the parish priest.

c. Project Implementation & Monitoring

Most monitoring activities center on the management of food commodities before and during the implementation of projects. Distributors maintain three forms:

- Distributor's Stock Register (Form C), which is sent to the consignee yearly;
- Distributor's Stock Report (Form D-1), which is filed monthly with the consignee; and
- FFW Attendance and Food Distribution Register, which records the names of all workers (recipients) and days present, which is kept by the distributor.

Periodic reports from distributor to consignee consist of the Distributor's Stock Register (Form D-1), one copy of which is kept by the distributor and one copy sent to the consignee. The consignee field staffs also make frequent visits, often weekly, biweekly or monthly, to each distributor and project site during the implementation phase.

At the end of each quarter, if it lasts more than one quarter, and at the conclusion of the project, project holders send a Quarterly Progress/Completion Report (Form 12) to the consignee. Field staffs are often assigned to file this report instead of having the project holder doing it.

Some projects (particularly wells) are considered to be complete when the food ration allocated for them is used up. The completion report requests information only on the food distributed and the mandays expended. There is no place on the form for information concerning the asset created or the expected benefits of this asset. The completion report is filed after the completion of inputs (e.g., when the food is exhausted and no more work is being done with FFW support) without reporting on whether the asset is fruitful, e.g., is the well providing any water for irrigation (output level)? are the crop yields up (purpose level)? and is the beneficiary earning more money or eating better from his own production? (goal level)

CRS's Calcutta Zonal Office selects a 30% sample of projects and validates the records provided at all levels. The validation asks: does the summary from the consignee conform to the applications? Do the food records check? Do the distributor records conform to the consignee records? Some questions are asked about benefits in order to identify problems. The zonal office follows up on problems detected in this validation process but there is no pretense of systematic evaluation of the benefits. Records are saved for three years for the auditors and then destroyed.

d. Project Evaluations: Current Practice

CRS does not try to conduct systematic and comprehensive evaluations of its FFW projects. The reasoning is candidly stated by CRS:

"Although individuals and groups have benefited immensely from the aid provided by CRS for development, we are unfortunately not in a position to measure the impact of our programs on specific areas or groups of people. This has been due mainly to the fact that the

assistance was given and received without proper planning for achievements of specific goals, objectives and targets within specified time periods. Our development efforts in the past have been scattered over wide areas and undertaken mostly as isolated attempts in raising the living standards of small groups here and there" (CRS FFW Manual, October 1979, pp. 3-4).

The PCI team observed several indications that CRS national headquarters and individual consignees were aware of the desirability of impact evaluations and were taking steps to accomplish them. For example, the Food for Work Manual (October 1979) concludes with "Suggested Guidelines for Planning Socio-Economic Development Programs," the last entry of which is an "Evaluation Schedule," which states: "Evaluation is necessary:

- To find out if we are accomplishing the project activities as per an established time frame and targets and if we are progressing as planned towards our objectives;
- To search for and assess the unforeseen factors which cause changes in our program; and
- To draw conclusions and inferences which will help us in future planning. The plan document, therefore, should indicate the stages of the plan implementation when evaluations will be performed" (final page).

There have been some isolated evaluations of the CRS FFW Programs. One example is the extensive and thoughtful evaluation by the Xavier Institute of Social Service in Ranchi of the FFW Program in Daltonganj Diocese in Bihar (October 1980). Another example is an informal evaluation of 15 to 20 of its projects conducted by the Kumbakonam Multi-Purpose Social Service Society in Tamil Nadu, using the form shown in Appendix E-2.

B. THE CWS/LWR/CASA FFW PROGRAM

1. CASA Agency Structure

The CASA administrative structure forms a hierarchy of three levels: the national headquarters in New Delhi, area offices in Bombay, Madras and Calcutta, and contact persons.

The national headquarters in New Delhi coordinates and provides overall supervision of the program. It receives an Annual Estimate of Requirements from the three areas and allocates food commodities on a quarterly basis.

The three area offices have small administrative and field support staffs engaged in FFW activities. In Madras, for instance, there are seven field staff people, one in the state of Kerala and two each in Andhra Pradesh, Tamil Nadu, and Karnataka.

CASA contact persons are all local volunteer individuals or voluntary organizations such as church groups or other organizations such as the YMCA. Local unofficial organizations also are used as contact persons, through these are assigned a secondary priority. Finally, individuals occasionally become contact persons. Normally contact persons are changed after a maximum of three to five years in order to spread the available food commodities over as wide a geographic area as possible and to expose as many organizations as possible to the experience of being a contact person. In Madras, more than one-third of the contact persons in 1980 were in their first year in this capacity.

CASA area offices notify potential contact persons of the availability of FFW commodities by sending out circulars calling for new projects. As preliminary ideas are received, the field staff is assigned to begin a dialogue and negotiate the design and terms of the project.

Duties of CASA's field officers were made explicit in the Madras area of CASA. They were as follows:

- Make a spot study of project requests: contact the applicant and local church, school and panchayat leaders, visit the proposed project site, and contact the Block Development Officer (BDO). One field officer interviewed in Madras screened eight applications, of which he recommended three;
- Fill out or help the contact person to fill out the FFW application;

- Fill out the Project Site Data Sheet (PSDS) and write a narrative report on the applications;
- Visit the site occasionally during the implementation of the project for routine commodity monitoring; and
- Visit the site after completion of the project. Do not use a standard form. They *should* write a narrative Evaluation Report on every project. However the field officer interviewed by PCI had written only one such report in his two years on the job, an impressive ten-page narrative evaluation of the first project to which he was assigned. Field officers are supposed to visit a site within two months after the completion of the project, but actual practice is not known.

2. Objectives & Content of the CASA FFW Programs

The objectives for CASA's FFW Program are contained in its Food for Work Manual:

"The basic assumption in this programme is that food is being used for a two-fold purpose. It is, first of all, meeting an immediate need of people who suffer because of unemployment, crop failure or any other reason from lack of food. But beyond that, this is an effort to assist needy people by providing long-range solutions to the problems which have caused them to be in their position of present need.

Food for Work supported projects should normally be a part of a comprehensive integrated development scheme which meets socio-economic needs defined by the community. This means that CASA places a high priority on community participation in the design and implementation of projects receiving food for work assistance" (page 3).

3. CASA Program Procedures

- Zonal office mails a quarterly "call for projects" to social agencies known to it. Recognized voluntary social action organizations are given first priority;
- Applications in the form of an informal written project outline are received by the zonal office from recognized associations, local organizations and individuals;

- A dialogue is begun, followed by negotiations between the applicant and a member of the zonal office field staff;
- A formal written application is drafted and submitted to the zonal office. This application, FFW-1, is three pages long in triplicate;
- When proposals are completed, the zonal office prepares a synopsis which is circulated to all members of the zonal committee which meets quarterly; it formerly met once a month in the Madras zone but this was found to be too often;
- The project subcommittee of the zonal committee decides on applications. The zonal committee is made up of representatives of various churches. The project subcommittee in Madras consists of an engineer, physician, and agricultural expert. The project subcommittee meets as often as necessary;
- After projects are approved, the contact persons are asked to pick distributors. The contact person is formally responsible for the food, but it is usually stored near the project site and under the day-to-day supervision of the distributor; and
- The zonal office's field staff conducts routine monitoring of the storage and distribution of the food commodities and files a completion report or request for continuation of the project from one quarter to the next or from one year to the next. Although the latter practice was severely criticized by the auditors, it still seems to be fairly common.

CASE STUDY EVALUATION METHODOLOGY

CHAPTER III

A. OVERVIEW

The objectives of the Title II FFW evaluation program are:

- To document the most important results from the "mainstream" programs assisted with FFW; and
- Provide a basis for decisions about how to improve the use of FFW in India.

The program of evaluation studies recommended below builds upon the work in the interim evaluation of the PL 480 Title II Program in India (1979) by the Community Systems Foundation. Specifically, the interim evaluation recommends:

"A series of indepth studies of particular programs or groups of programs with similar characteristics, (as) more fruitful than a large-scale sample survey which perforce cannot be tailor-made to each program" (page 114).

The rationale of this approach was the following:

"Within FFW, for example, a road building project will be very different from one that trains village women in needlework. Given this high level of variability in programs, the use of large-scale, random sample surveys will obscure precisely those programmatic differences which would allow project managers to decide which activities to emphasize or de-emphasize. Furthermore, the large intra-program variability detracts from what can be said meaningfully about the various program forms" (page 114).

"Any indepth research effort should consider the broad range of possible effects and should not focus exclusively, or even primarily, on nutritional variables" (page 14).

"If further program evaluation is desired (in addition to the on-going monitoring and evaluation systems), it should start with the identification of all expected benefits of a given program, and of the assumptions underlying the expectation that these benefits will be obtained. A decision can then be made whether it is more efficient and economical to test the assumptions first, or concurrently with the assessment of purpose and goal achievement. Evaluation can be performed on a small sample of programs purposely chosen to be representative of particular variants" (pp. 115-116).

The evaluation plan builds upon the recommendations of the interim evaluation of 1979 in its criteria for assessing the value of FFW Projects (or Food for Development Project) on pages 65-68 which are reproduced in Appendix A.

The evaluation studies recommended by PCI differ from the recommendations above in two important respects:

1. The evaluation studies for 1981-1982 should be focused on the largest components of the FFW Program (neglecting the smaller components instead of striving for comprehensiveness) and focusing on the most important benefits and assumptions involved in each "strategy for using FFW assistance" rather than striving to deal with all benefits; and
2. The criteria for evaluating all types of FFW Projects should be the benefits they actually produce for poor people in India. The "criteria" described in the interim evaluation are actually hypotheses to be tested in the course of the FFW evaluations. For example, it is our hypothesis that involving the intended poor beneficiaries in planning and management of a project will lead to their taking greater responsibility for the assets created and to benefits for poor people. This hypothesis can be tested by identifying FFW Projects where this approach has been used, collecting data about the results, and analyzing the results in comparison to an appropriate comparison group. The evaluation clarifies this strategy for using FFW food and, based on the evidence and analysis about the actual benefits, suggests how it might be done better in the future.

Six evaluation studies deserve high priority for 1981-1982:

- One study of the recipients of FFW food will document the direct benefits to the recipients and eaters of the FFW food and the local value of the FFW commodities to the recipients;

- Four benchmark evaluations of the biggest of FFW-assisted programs in India: minor irrigation works, upgrading agricultural land, roads, and low cost housing; and
- A sixth study should evaluate projects oriented toward community self-reliance and assets used directly by the landless.

The planning, coordination, and integration of the FFW evaluation program will be extensive and should be regarded as a seventh component of the high priority evaluation program.

Some important studies cannot be completed in 1982 since harvests will come in Spring 1982. Also, it is not a simple matter to evaluate a \$29 million per year program spread all over a sub-continent using a series of Indian contractors, USAID staff, voluntary agency personnel, and possibly other contractors. Given the size of the FFW Program in India and major gaps in knowledge about the program's effects, this major program of evaluation deserves the support of decisionmakers responsible for the program in India. In addition, India appears to be a good place to demonstrate the feasibility of evaluating FFW Projects for decisionmakers using FFW in other countries, e.g., AID, CRS, CWS/LWR, CARE, the World Food Program, and others.

B. PLANNING FOR THE FFW EVALUATIONS

1. Common Elements for Planning the FFW Evaluation

The common thread through all FFW Programs is providing FFW food to recipients who need the food and will do work on some promising project in exchange for the food. The benefits from the FFW Program can be usefully divided into:

- The benefits from the FFW food given to the food recipients (which will be referred to as the recipient stream of benefits); and

- Benefits from use of the assets created during the project (which will sometimes be referred to as *asset* use stream of benefits).*

In India, it is commonplace for the recipients to be landless workers who need the food. Typically, the assets are used by a different group of "small and marginal farmers" (SMFs) whose benefits depend upon use of the assets created with FFW assistance. The evaluators and the FFW managers must give appropriate consideration to both streams of benefits. Evaluations should provide better facts about both streams to help make systematic and sound decisions about the best use of FFW food in India. The basic logic of FFW Projects is illustrated in Figure III-1 on the following page.

The intended results of the evaluation studies are:

- A series of "benchmark studies" which are self-contained and important for their own sake, with valid data about the results of various strategies for using FFW food in India; and
- Results which can be analyzed together for a "broad perspective integration study" to summarize the results of Title II FFW in India and how to improve the use of FFW assistance.

The evaluation methodology should build upon the generic scope of work for Title II evaluations developed by the OFFP. The basic conceptual structure and procedures of the generic scope of work are already developed and appropriate for use in India. OFFP intends to strengthen the FFW

* The interim evaluation of the Title II Program in India made a similar distinction (page 64) describing recipients and beneficiaries, but we find it clumsy distinguishing "benefits to the recipients" and "benefits to the beneficiaries." The assets created in FFW projects should be broadly interpreted to include "skills acquired in training; community organizations and changes in social structure" that are intentional and directly related to FFW assistance and beneficial to poor users of the assets. Note that ownership of the asset is less important than the use of the asset, e.g., those who get the irrigation water, the services from the health clinic, and the profits from an improved road.

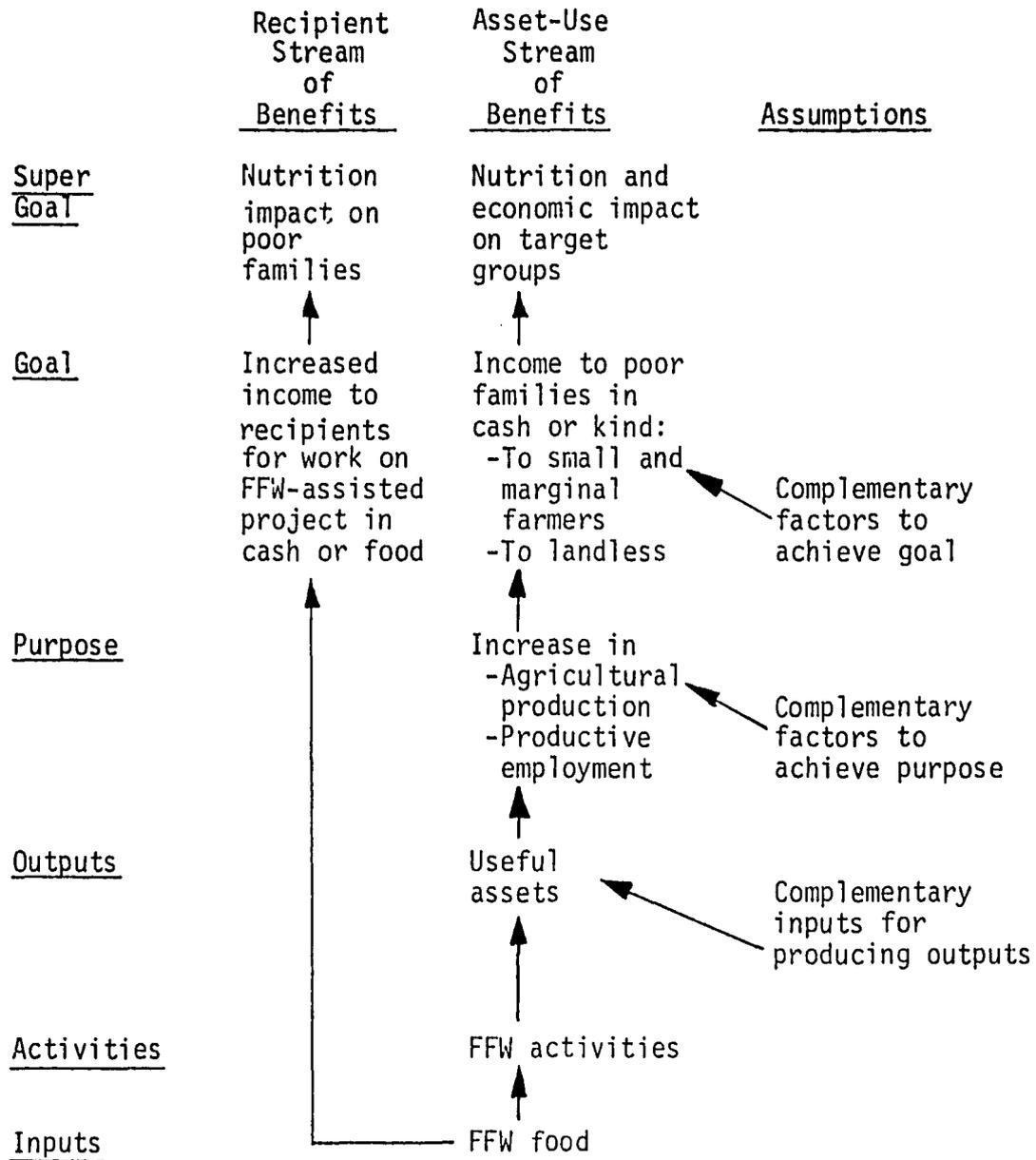


FIGURE III-1: THE LOGICAL STRUCTURE OF FFW-ASSISTED PROGRAMS

section of the generic scope of work which will make it more adequate for India's large, mature, and heterogeneous program. The high priority evaluation studies for 1981-1982 are listed in Table III-1 on the following page.

Evaluation studies should be considered later on for lower priority topics such as indirect benefits, systematic evaluations of the smaller FFW Programs, and evaluation of the indirect effects of FFW Projects through effects on wage rates, food prices, disincentives to agricultural production, etc. These studies are listed in Table III-2.

Full cooperation with the evaluation work is assumed as required from CWS/LWR, CRS, CASA, USAID, GOI, and OFFP. Based on the planning work in India, it appears realistic to expect full cooperation from the voluntary agencies if the evaluations are planned with a sensitivity to their limited staff time and budgets available for supporting the evaluation work. It is clear that extensive financial and staff assistance will be required from USAID/India, from Indian contractors, and, to a lesser extent, from other contractors. CRS and CASA should be invited to collaborate in the planning, execution and interpretation of the evaluations since they are:

- Potential users of the evaluation results; and
- Able to gather information at relatively low cost in many cases.

The evaluation should be managed so that it is perceived by all parties as a *constructive* analytical effort to help make FFW an effective instrument for reaching the poor. CRS and CASA will benefit from participation in the evaluations through a "learning by doing," on-the-job training experience with the evaluations with evidence about the benefits to recipients and to asset users in the FFW Program.

Improvements in the monitoring and evaluation systems of CRS and CASA are assumed in planning for followup evaluations after 1982. Chapter IV describes the recommendations for these improvements.

TABLE III-1: HIGH PRIORITY EVALUATION STUDIES RECOMMENDED FOR 1981 - 1982

1. Recipient Study.
 - a. Profile of food recipients.
 - b. Profile of FFW food eaters.
 - c. "Local value" of FFW food.
2. Minor Irrigation Program.
 - a. Garden wells-CRS/Ranchi (Bihar).
 - b. Earthworks-CASA/Gaya (Bihar).
 - c. Canals (or other issue)-CRS/site undecided.
3. Upgrading Agricultural Land.
 - a. Land clearing/leveling-CRS.
 - b. Land development-CASA/Madras and Bombay.
4. Road Construction/Repairs.
 - a. Construction-CRS.
 - b. Repairs-CRS.
5. Low Cost Housing.
6. Landless-Oriented Projects.
 - a. Community self-reliance-CASA.
 - b. Creating assets for use by the Landless-CRS.
 - c. Review of effects on landless from diverse projects.
7. Planning, Coordination, and Integration.
 - a. Planning.
 - b. Coordination.
 - c. Integration Report.

TABLE III-2: EVALUATION STUDIES RECOMMENDED FOR DEFERRAL TO YEARS AFTER 1981-1982 EVALUATIONS

1. Additional Recipients Studies.
 - a. Use of FFW commodities by recipients.
 - b. Distribution of FFW food within the family and nutritional implications.
 - c. Opportunity cost of FFW employment to the recipient and to the economy.
 - d. Other important effects of FFW employment that affect value to the recipients.
2. Other Economic Programs.
 - a. Vocational training.
 - b. Fisheries.
 - c. Others.
3. Community Infrastructure and Other Non-Economic Programs.
 - a. Schools, clinics, and other structures.
 - b. Reforestation/environment.
 - c. Health improvement-drinking wells/sanitation, etc.
4. Indirect Effects.
 - a. Effects on food production & food prices to consumers.
 - b. Effects on wages of target group.
 - c. Effects on social and economic structure.
5. Cost Analysis and Efficiency Improvement.
 - a. Port and railroad problems.
 - b. Coordination with GOI Program.
 - c. Promising approaches for use of FFW assistance not elsewhere considered.

2. Evaluation Design

The research design for these evaluations will have the following common elements:

- Each evaluation study will be oriented around a particular "strategy" for using FFW food in India. A strategy implies a series of hypotheses that are testable (at least in principle) and the evaluation will be designed to test *some* of the basic hypotheses;
- The choice of "evaluation situation" or project will be made based on the evaluators' assessment of the potential to do an excellent evaluation addressing the important issues at acceptable cost. The choice will be made after consultation with USAID and the voluntary agencies to ensure the appropriateness of the evaluation situation. This procedure builds upon the recommendations of the interim evaluation as cited earlier. The cost of good indepth studies will be some loss in representativeness since there is likely to be a systematic tendency to evaluate in places where there has been an extensive program, and where there are plans to continue the same type of program in the future;
- Sampling of project beneficiaries will be representative and will use sound statistical practices;
- Comparison groups will be used in evaluation studies, to the extent feasible, to provide an appropriate standard of comparison for the observable results from the FFW-assisted projects. Normally the evaluations will compare "asset users" with a similar "non-project" group;
- Data collection will be designed to use direct observation whenever feasible instead of interview responses about critical items (e.g., weighing the paddy stored at home after the harvest instead of asking about it six months later);
- Analysis methods will emphasize straightforward techniques, e.g., cross-tabulations comparing the results of people in the "project group" and the "non-project group"; and
- The anticipated use of evaluation results has been made explicit at the planning stage to ensure that the evaluation is oriented to a specific user.

C. COORDINATION TASKS

A profile of the CRS and CASA programs for using FFW food will be useful in selecting appropriate "situations for evaluation." The recommended procedure is outlined below for CRS and for CASA.

1. A Profile of CRS Projects

- Summaries of the FFW Projects completed in FY1979 and FY1980 should be assembled in Delhi. No new data is necessary. Each zonal office can send photocopies of the existing summary sheets that already include the project approval data and the progress reporting data available at zonal level;
- The FY1980 program should be analyzed for all India using the standard CRS categories (as in Attachment V of the FY82 ABS). The objective of the analysis is to total the number of mandays used in each type of FFW activity (to update the basis for the choice of evaluation studies);
- The overall summaries will provide a basis for planning the recipient study which is national in scope;
- Analysis by zones will clarify which parts of India are appropriate for an evaluation study of each "mainstream" type of project;
- The choice of specific situations for evaluation studies will be made in the zones where this type of project is being actively done after reviewing (together with the zonal office) the activities of various consignees; and
- The evaluation studies of roads and low-cost housing can be planned selecting from the projects done in FY1979 and identifiable from the FY1979 zonal office summary sheets.

2. A Profile of CASA Projects

The procedure for CASA is directly analogous to the process for CRS, but the national program of CASA is approximately equivalent in size to half of one zone of CRS.

- Summaries of the FFW Projects in FY1979 and FY1980 should be assembled in the Delhi headquarters;
- The program should be analyzed to confirm that the current program emphasis continues to be in minor irrigation and upgrading agricultural land. The policy decision to emphasize community self-reliance should be confirmed;
- The summaries should be used for planning the recipient study;
- Analysis by zones will help selecting appropriate areas to go for specific evaluations; tentatively, a minor irrigation study has been recommended in Gaya; if the upgrading evaluation can draw upon experience in Bombay and/or Madras region, it will distribute the learning from the evaluation and distribute the workload also;
- The choice of specific consignees or distributors or projects should be made after consultation with the national and zonal offices; and
- The FY1979 summaries can be used to select specific projects for the community self-reliance substudy (6a) and the "upgrading agricultural land" study (3a).

3. Other Coordination with CRS, CASA & GOI

An evaluation committee should be set up to carry out a useful coordination function. USAID, CRS, CWS/LWR, CASA, and perhaps GOI would be represented on the committee. The evaluation committee should be headed by USAID's coordinator for the evaluation, perhaps John Westley. The committee should coordinate and advise and avoid becoming a formalized bureaucratic obstacle to action.

The objectives of the committee should include:

- Efficient sharing of information about the evaluation tasks being undertaken; and
- Fostering the fruitful use of the evaluation result.

The specific tasks of the advisory committee should include the following:

- Informally reviewing the plans, progress, and the results of each study;
- Providing informal communications regarding the voluntary agencies' ability to staff and finance activities required for good evaluations and the extent of USAID involvement appropriate to get high quality evaluations that will be useful; and
- Expediting in all the member organizations prompt and constructive responses to conclusions and recommendations from the evaluations without waiting for formal deliberations and an integration report in 1982.

D. THE INTEGRATION REPORT

There should be a broad perspective summary report integrating the results of the other FFW evaluation studies. The integration report should deal with the two original questions:

- What are the most important results of mainstream programs assisted with FFW in India; and
- How can the programs be improved?

The integration report should make an important contribution to evaluating and improving the India Program. It should pull together the results of the separate benchmark studies with the findings, conclusions, and recommendations regarding the use and usefulness of FFW assistance in India. Undoubtedly, it will raise additional questions and comments on what further studies deserve attention for the future in India or elsewhere. The distinguishing characteristics of the India FFW evaluation program should be the following:

- The direct effect on poor beneficiaries will be documented with facts about the mainstream programs;
- The evaluation will be done with a constructiveness that is conducive to program improvement; and

- The evaluation's recommendations will be based on evidence that is up-to-date and valid for the Title II Program in India.

The integration report should be ready in the third quarter of 1982. Evaluations that require harvest results in early 1982 will be completed by the second quarter and one quarter should be allowed for integration. The integration report should not be delayed longer, even if one of the component studies has not been completed. The report author probably should be an AID team (perhaps headed by someone from outside of USAID/India) with:

- Strength in evaluation;
- Familiarity with FFW; and
- Familiarity with India.

The OFFP should be able to provide non-AID contractors, using its Indefinite Quantity Contracts for evaluation, to the extent it is necessary to assemble a team with the appropriate mix of skills at the appropriate time.

The integration report should include a cost analysis using data about the costs and benefits from the benchmark studies. The integration study on costs should also consider the costs of commodity acquisition, ocean freight, port and inland transportation, voluntary agency administration, consignee costs, other donor costs, and costs paid by the beneficiaries themselves.

The level of effort appropriate to the integration report is approximately four man-months with 75% for preparing the draft report and 25% for discussions, review with the interested organizations, and revision into a final report for broad circulation.

52

E. EVALUATION STUDIES

The remainder of Chapter III is a series of study designs for the six evaluation studies. The material is organized to help a reader who is particularly interested in one study and not in the others. Each study has a title page and a "running head" to make it easy to locate the study of interest. The outline is the same for all studies recommended for the 1981-1982 evaluations. The lower priority studies have not been developed in this report since they are unlikely to be done for several years and the results of the high priority evaluations will change management perspectives about what is most important to study at that time.

The outline for each study is the following:

1. The Strategy for Use of FFW Food and the Intended Results;
2. Key Issues for the Evaluation Study Including Anticipated Use of the Evaluation Results;
3. Beneficiaries and the Evidence of Benefits Actually Received;
4. Comparison Groups;
5. Sampling;
6. Data Collection Plan;
7. Analysis Plan;
8. Next Steps; and
9. Comments.

For readers with specialized interests, the studies start on the following pages:

1. The Recipient Study III-16
2. Minor Irrigation Programs, including Garden Wells in Ranchi District of Bihar, Earthwork Structures in Gaya District of Bihar, and Canals or Another Study in the Madras or Bombay Region..... III-23

44

5/3/57

- 3. Upgrading Agricultural Land-3 Substudies..... III-36
- 4. Roads..... III-41
- 5. Low Cost Housing..... III-48
- 6. Current Approaches to Creating Assets for the Landless, including Community Self-Reliance Projects, Current Projects Creating Assets for the Landless, and a Review of all Evaluation Studies Regarding Benefits to the Landless..... III-58

45

55

EVALUATION STUDY #1: THE RECIPIENT STUDY

1. The Strategy for Use of FFW Food & The Intended Results

The FFW commodities are distributed to recipients who are willing to work for a wage paid in FFW commodities (and sometimes supplemented with cash). Typically there is no other employment (or better employment), they need the food, and they are able to provide useful work in exchange for the food.

It is assumed that only the very poor will work for FFW commodities, so a self-selection process will ensure the FFW commodities going to very poor recipients. The rations are appropriate for feeding a family of five. There are strict prohibitions against selling the food. Only one worker per family is supposed to be receiving the FFW food. Consequently, the intended benefits are consumption of the FFW food by the immediate families of the recipients during a period of temporary unemployment and hunger.

2. Key Issues for the Evaluation Study of Recipients Including Anticipated Use of Evaluation Results

Much is assumed and very little is known about the actual recipients of FFW commodities. The amount of food distributed is documented adequately and the muster rolls (when properly prepared) identify the individuals who did the work and were entitled to receive the food. From that point on, planning and management seems to work with the assumptions from OFFP and headquarters about how many days of work are done per recipient and how many dependents eat the food together with the recipient. The value of the FFW commodity to the recipients is assumed to vary a great deal depending on the amount of food available from home production and in the market, food prices, cash available to buy food and other goods, and the specific FFW commodities distributed matched with local food preferences; the principles are understood but there are very few facts to decide what could be done to increase the value to recipients of the FFW food.

1. Recipients

III-17

The contributions expected of the recipient study will be the following:

- Clarify the characteristics of the actual FFW "recipients" and "eaters" in India;
- Collect systematic estimates of the local value of the FFW commodities to the recipients;
- Analyze the data to identify patterns with programmatic implications such as systematic differences by geographical location, ethnic group (e.g., tribals), seasonal period, type of project, commodity distributed, etc; and
- Identify opportunities to increase the value to recipients from the FFW commodities available.

The results will probably reveal some interesting patterns with some situations where FFW food appears to be valuable (e.g., food scarcity and commodities well accepted) and others where the value is low (e.g., food available, employment available, commodities not well accepted). These can be useful in choosing FFW commodities in areas where corn is well received (e.g., tribals) or bulgar is not well received, etc. It may suggest swapping agreements with GOI with use of GOI rice or wheat supplies in areas where FFW commodities are not well accepted and rail transport is a significant constraint. It should help later in attempts to make a balanced analysis of the benefits to food recipients and benefits from the use of assets created with FFW assistance.

3. Beneficiaries & Evidence of Benefits Actually Received

It is anticipated that virtually all the FFW commodities are consumed by the FFW recipients and those who eat with them. The recipients and eaters are expected to be landless people, and other poor unemployed people of scheduled castes and scheduled tribes. The actual number of recipients is unknown since many projects last less than ten months and even within a project the workforce changes over time (perhaps even on a daily basis in some cases). The total number of beneficiaries (eaters) may be substantially larger and the "FFW food per eater" small than the numbers assumed in AID documents. FFW recipients are known to

come from joint families of eight to fifteen people in some parts of India, but the extent of food sharing is unknown. Variations in the actual rations distributed (e.g., bulgar wheat without oil) and the availability of food from other sources will also affect the patterns of benefits to recipients.

The value of the FFW commodities will obviously vary according to the price and availability of alternative foods like wheat, rice and edible oils. The evidence of benefits to be collected in this study is the following:

- *Recipient characteristics* will be documented from questionnaire responses of the recipient at the time of food distribution;
- *Eater characteristics* will be documented from the questionnaire with the recipient at the time of food distribution; and
- *The local value of the FFW food* will be provided by the distributor following systematic instructions for getting the price of wheat and the closest substitute for soy salad oil; a sample of recipients will be questioned regarding an appropriate barter ratio between wheat and the FFW commodities; the distributor will report the daily wage for unskilled labor in this area paid by:
 - The Title II FFW Project;
 - GOI's FFW Projects; and
 - Local employers at this time of year, in cash or kind.

4. Comparison Groups

The value of the FFW commodities will be compared to the value of:

- Purchased or bartered food; and
- Alternative wages.

5. Sampling

The number of FFW workers is estimated at 140,000 recipients per year--127,000 workers for ten months in CRS plus approximately 10% more in CASA programs. The

1. Recipients

III-19

programs are seasonal with most of the work in the dry season and the periods when there is neither planting nor harvesting work available. The timing varies by region.

An appropriate sampling universe will be the recipients of FFW food during a preselected week once per quarter for a year (e.g., the Xth week of each quarter). Samples can be drawn from each zonal office list of approved projects that are believed to be active during that week. Assume initially that 10% of the active projects will be included in the study and that all recipients at the sampled projects will be questioned when they receive their food ration. The sponsoring agencies should be consulted regarding their interest in recipient profiles in different groupings such as "state level," "consignee level," the areas served from specific ports of entry for FFW commodities, or areas where corn is used.

The evaluation contractor should have a qualified statistician analyze the sample size required for useful analysis once it is clear how detailed the potential users want the profiles and the degree of rigor required for managerial decisions.

6. Data Collection Plan

a. Profile of Recipients & Eaters

A relatively simple questionnaire can be administered verbally at the time of food distribution. Basic questions will include the following: recipient's sex, caste, landownership, distance from home to worksite, eaters who share in the FFW commodities (number of adults, children), FFW commodities received (adjusted to "beneficiary day" basis if necessary), number of weeks the family has been receiving FFW commodities on this project, and weeks of future food expected.

b. Local Value of FFW Commodities

The local value of FFW commodities is to be provided by the distributor following systematic instructions, such as getting the cheapest price for X kilos of wheat at the market most convenient to the place where FFW food is distributed. Instructions should be similar for the closest oil substitute. Thirty recipients (randomly selected) should be questioned at each project regarding barter ratios they consider fair between a local wheat and the FFW commodities.

The distributor will report the FFW wage paid by:

- The Title II Project;
- The GOI for FFW Projects in this area; and
- The daily wage for unskilled work paid by local employers at this time of year, in cash or kind (wheat equivalent).

c. Readily Identifiable Costs of the Distributor & Consignee & Beneficiary for Getting FFW Food

The most obvious costs will be included based on reports by the distributor and consignees about total income of FFW commodities and total cost for transportation, storage, demurrage, and supervision. Costs paid by recipients for food, transportation, etc., will be documented. Proceeds from empty containers retained by the distributor or consignees or recipient will be treated as a negative cost.

7. Analysis Plan

The analysis will be kept simple: mainly cross-tabulations, percentages, and estimated money or wheat barter value for the FFW wage. The analysis tables should include the following (by zone or state) for each quarter year:

- Number of recipients, and their characteristics;

1. Recipients

III-21

- Number of eaters per recipient--adults and children;
- Estimated FFW food per eater--estimated from time worked, ration and eaters per recipient;
- Local value of FFW commodities for a day of work compared to local wage from GOI's FFW Program or other employment; and
- The local costs will be documented--rupees per daily ration--for use later in a cost analysis with costs for the FFW commodities considering the cost of acquisition, ocean freight, port and inland transportation paid by others and identifiable administrative and handling costs.

8. Next Steps

The recipient study can be done by an Indian contractor with the cooperation of CRS and CASA in the data collection work and in the sampling. There probably are many Indian institutions that can do this type of sample survey work. A single contractor for the whole study is recommended. A good statistician should study the sample sizes since large samples significantly increase the cost of the work. Management probably does not need more than 90% confidence levels. Analysis formats should be developed before the data are collected, and data not required for an important analysis should be dropped from the questionnaires. Questionnaires should be tested and can be easily tested before being widely used.

CRS and CASA should participate in selection of the week of the quarter for the sampling surveys that will give them the most useful data and also the grouping of data in the analysis formats. Ideally, the first round of data collection will be in a quarter which is not a peak period for FFW. An ideal questionnaire will match up with a "muster roll," adding a set of columns to be filled in when the recipient collects his food and acknowledges receipt. Results from each round of data collection should be analyzed and circulated for comments before the next quarter's data collection in order to force the pace for analysis and to assess the usefulness of the output.

The analysis of the cost of the Title II rations probably should be deferred to the integration study, but the "local costs" should be documented for each *location* in this study.

9. Comments

There are other studies regarding recipients that would be interesting but are given lower priority than the 1981-1982 studies.

6/2/16

EVALUATION STUDY #2: FFW ASSISTANCE TO MINOR IRRIGATION PROGRAMS

The evaluation study of minor irrigation programs includes three substudies:

- Substudy #2a: Garden Wells in Ranchi District of Bihar State;
- Substudy #2b: Earthwork Structures in Gaya District of Bihar State; and
- Substudy #2c: Canals or another study in Madras or Bombay Regions.

All three substudies are treated together in the discussions of Points 1 and 2. Then each substudy is discussed separately in Points 3 through 9.

1. The Strategy for Use of FFW Food & the Intended Results

FFW food pays part of the cost of minor irrigation works (wells, tanks,* *ahars*,** canals) to irrigate the land of small and marginal farmers (SMFs). Use of the irrigation water should lead to more agricultural production and employment on the irrigated land. The benefits that should follow are higher net income to the SMF (in cash and kind), and sometimes additional income to hired laborers may occur. The Logical Framework in Figure III-2 summarizes the logic of minor irrigation projects in India using FFW food.

2. Key Issues for the Minor Irrigation Evaluation Studies including Anticipated Use of Evaluation Results

The key issues for Study #2 are the following:

- Document the benefits to SMFs, landless, and non-target group users of FFW-assisted minor irrigation works in three diverse programs--garden wells in Ranchi, earthworks in Gaya, and another program from another part of India (e.g., Hyderabad distribution canals or Tamil Nadu Canal scheme with OXFAM);

* A tank is constructed to store surface water.

** An ahar is one or several dikes to catch surface water and hold it for use after the natural rainfall ends. Typically, an ahar impounds more water than a tank, but dries up seasonally.

LOGICAL FRAMEWORK
FOR
SUMMARIZING PROJECT DESIGN

Est. Project Completion Date _____
Date of this Summary November 1980

Project Title: Minor Irrigation Projects in India using FFW Assistance

	NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS							
<p>DEVELOPMENT HYPOTHESES</p> <p>If Purpose, Then Goal</p> <p>If Purpose, Then Purpose</p> <p>If Outputs, Then Outputs</p> <p>MANAGEABLE INTEREST</p> <p>If Inputs, Then Outputs</p>	<p>Program Goal: The broader objective to which this project contributes:</p> <p>Increased income to poor rural families from improved food production. (and FFW food provided to workers during construction)*</p>	<p>Measures of Goal Achievement:</p> <ol style="list-style-type: none"> Income profits to SMF landowner/operator (net of extra expenses and decreases in casual work for others) Income to poor other than SMF landowner (especially wages for landless laborers; also fishing, cattle watering, etc.) Income to FFW workers during construction--cash plus local value of FFW food) 	<ol style="list-style-type: none"> Follow up evaluations on sampling basis at time of first harvest--requires some base data with project application. VolAg monitoring records for FFW food; VolAg estimates for local value of FFW food.)* 	<p>Concerning long term value of program/project:</p>							
	<p>Project Purpose:</p> <p>Successful cultivation of food crops on the land of small and marginal farmers (SMFs)</p>	<p>Conditions that will indicate purpose has been achieved: End of project status</p> <ol style="list-style-type: none"> Increase in food production on irrigated land (paddy/kharif) (SMF land and others) Other increases in production (e.g., fishing, cattle watering). 	<p>Evaluation:</p> <p>Follow up at time of first harvest benefiting from irrigation</p> <ul style="list-style-type: none"> paddy and kharif harvests may differ probably sampling basis baseline in application 	<p>Affecting purpose-to-goal link:</p> <p>Land tenure and labor market conditions allow benefits to be retained by poor.</p>							
	<p>Outputs:</p> <ol style="list-style-type: none"> Increase in water available for irrigation and land under irrigation: <ol style="list-style-type: none"> New irrigation wells Irrigation wells deepened and cleaned Tanks, dams and reservoirs Irrigation canals Bunds constructed/repaired 	<p>Magnitude of Outputs necessary and sufficient to achieve purpose.</p> <ol style="list-style-type: none"> acre-feet of water available for irrigation acres of land irrigated (paddy/kharif) acre feet of water available for irrigation (increase) acres of land irrigated (paddy/kharif)(increase) acre feet of water available for irrigation (increase) acres of land irrigated (paddy/kharif) (increase) acre feet of water available for irrigation (increase) acres of land irrigated (paddy/kharif) (increase) 	<p>baseline and estimates of targets in applications; outputs (increase) monitored in completion reports</p>	<p>Affecting output-to-purpose link:</p> <ol style="list-style-type: none"> Complementary inputs for successful cultivation are available: seed, credit, fertilizer, technical assistance, marketing, satisfactory soil, etc. 							
	<p>Inputs: Activities and Types of Resources</p> <ol style="list-style-type: none"> Construction of new wells Deepening and cleaning irrigation wells Constructing tanks, dams, reservoirs Constructing irrigation canals Constructing and repairing bunds Totals for minor irrigation 	<p>Level of Effort/Expenditure for each activity</p> <table border="1"> <thead> <tr> <th>FFW Asst. (mandays)</th> <th>Cost (Rupees)</th> <th>Other Cost (Rupees)</th> <th>Total Costs (Rupees)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	FFW Asst. (mandays)	Cost (Rupees)	Other Cost (Rupees)	Total Costs (Rupees)					<p>VolAg monitoring reports</p>
FFW Asst. (mandays)	Cost (Rupees)	Other Cost (Rupees)	Total Costs (Rupees)								

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Washington, D C.

* The income benefits to FFW food recipients are included in parentheses since they do not depend upon the soundness of the rest of the project design for the benefits to assets users.

FIGURE III-2: GENERIC DESIGN FOR MINOR IRRIGATION PROJECTS IN INDIA USING FFW FOOD

- Analyze the durability of the earthwork structures and the effects of alternative maintenance arrangements on the benefit streams; and
- Analyze the importance of complementary inputs for construction of the assets; of complementary inputs for production; and of complementary factors for economic impact including distance from markets and credit sources.

The "benchmark studies" about minor irrigation programs should be useful in the following ways:

- The CRS consignee in Ranchi appears to have a very successful program on a relatively large scale that has reached tribals effectively. There is an effective organization providing complementary services to its 50,000 Catholic tribal members and also supporting the FFW Program for a much larger group of non-members. The evaluation study will document the success story, clarify the role of the Catholic Cooperative, and identify the differences in needs between locations close to Ranchi and more remote locations. The external validation of results should be helpful for public relations and fund raising;
- For programming decisions in CRS at the zone and national level, the Ranchi evaluation will clarify that there are feasible approaches to reach tribals and other poor people who have land and that Ranchi could absorb substantially larger amounts of FFW food if the projects elsewhere are not producing useful benefits to asset users;
- The Gaya earthworks study will provide realistic benchmarks for CASA and CRS about the durability of earthworks for irrigation and the alternative arrangements for maintenance to extend the useful life of the earthworks.

The durability analysis should be helpful in assessing the seriousness of erosion and silting with differing arrangements for maintenance of the structures and watershed. These structures are typically on government property and maintenance is the responsibility of the government, but often is not done. Documenting the extent of benefits to users of the irrigation water will clarify the feasibility of the users taking more responsibility for maintenance of the earthworks. The benefits to the SMFs with paddy land, other SMFs raising other crops, and non-target group people (NTGs) will be separated for analysis; and

- Minor irrigation was approximately one-third of the entire FFW Program for CRS in 1979 and a large proportion of all CASA projects, so it merits a third substudy from another part of the country. CRS, CASA and USAID should collaborate in identifying other issues that deserve evaluation and places that would be appropriate for further work. For example, (1) land tenure is not a significant factor in Ranchi and Gaya

but is very important in other countries; (2) heterogeneous communities, i.e., less homogeneous grouping of low caste and tribal people may add important complications in getting benefits from the FFW assets for poor people; (3) a major irrigation project such as the Tamil Nadu canal done by Kottar Social Service Society with OXFAM may have interesting differences in benefits to the users; and (4) the program of small distribution canals tied to government irrigation works (Andhra Pradesh, Hyderabad Archdiocese Social Service Agency) may have interesting differences in benefits to the asset users.

EVALUATION SUBSTUDY #2A: GARDEN WELLS IN RANCHI DISTRICT
OF BIHAR STATE

3. Beneficiaries & Evidence of Benefits Actually Received

1,750 wells were completed during FY1980 through CRS in Ranchi. The irrigation water is used to raise vegetables for sale and diverse crops for home consumption, harvesting frequently over many months. SMFs near Ranchi are likely to grow more crops for sale to others; SMFs located in remote areas are likely to grow fewer crops and consume them at home. The benefits to be measured should include:

- Profits from cash sales;
- The food consumed by SMFs; and
- Income to hired workers on the irrigated land.

4. Comparison Group

The ideal comparison group will consist of systematically selected, matched small land parcels without irrigation within one-half mile of irrigated sites and ideally owned by the same person with the well. "After only" comparison of agricultural production, employment, and income per acre will be feasible. Before/after comparison will be feasible only if the Catholic Coop and CRS records provide baseline data for comparisons. Benefits from wells close to markets will be compared to benefits from wells in more remote areas.

5. Sampling

FY1980 wells will be divided into three groups:

- Easy access to Ranchi;
- Difficult to reach Ranchi but accessible to cooperative extensionists; and
- All others.

Random samples of 30 wells will be selected from the first two groups for the evaluation. The progress report in Appendix F provides a basis for sampling.

6. Data Collection Plan for Ranchi

The collaboration of the cooperative is important in making it feasible to collect high quality data about production, income, expenses, and employment over a period of time instead of depending on a one-shot report from well users. Agricultural advisors report they visit well owners twice a month during much of the year. The timing must coincide with a period of harvesting when rainfall might not be adequate. Consider using the Xavier Institute in Ranchi as contractor for the evaluation work in Ranchi, contacting Father Bogaert or Father Franken to supplement or substitute for cooperative personnel for data collection and analysis as necessary.

The CRS Progress Report on the Ranchi Program is attached in Appendix F. The vignettes will be useful for designing data collection instruments. CRS and coop records and interviews will be consulted regarding the importance of the coop for services (e.g., credit, fertilizer, technical assistance, seed, etc.).

7. Analysis Plan for Ranchi

Cross-tabulations will be the basic analysis technique. Comparisons between land with and without irrigation and between land near the market and remote from the market will be important. The key results to analyze will be agricultural production, employment, profits from sale of produce, the value of food consumed by the producers, and income to hired labor.

The evaluation should identify problems encountered in (a) completing the wells so they could provide adequate irrigation water, (b) increasing production, and (c) increasing income from the irrigated land. This will be used to analyze the role of the Catholic Cooperative, the adequacy of other mechanisms to provide complementary services, and opportunities to improve the program.

8. Next Steps on Garden Wells Evaluation

Coordination will be essential with CRS, the Catholic Cooperative in Ranchi, Father Linus Kindo (the CRS Consignee in Ranchi), and a contractor. The Xavier Institute in Ranchi is such an obvious potential contractor for this substudy that discussions should be held with them from the beginning about the evaluations in Ranchi and perhaps also the minor irrigation evaluation studies in Gaya and Study 2c elsewhere in India.

This evaluation study should proceed promptly and be used to establish some benchmarks regarding the quality of the evaluations by other contractors. USAID already has a copy of the evaluation done by Xavier Institute regarding the FFW program in Daltonganj Dioceses which can be used as a reference point for discussions of the level of effort required for data collection, etc.

9. Comments on Ranchi Garden Wells

Everyone should recognize this project is a show piece that CRS is proud of, with justification. The evaluation should illuminate what is going on that makes it work well. It will help CRS and USAID to demonstrate the potential value of FFW, but should not be interpreted as typical of well projects throughout India.

14

EVALUATION SUBSTUDY #2B: EARTHWORK STRUCTURES IN GAYA DISTRICT OF BIHAR STATE

3. The Beneficiaries in Gaya & Evidence of Benefits Actually Received

CASA has been active in Gaya for 15 years building and improving tanks, ahars, canals and other irrigation works.

The benefits and distribution may differ significantly by type of structure-- tanks are multiple purpose and year round; ahars may capture more water but are seasonal; canals may draw on a common source of water instead of increasing the total water available for irrigation.

The information on production and income should be collected in January shortly after the paddy harvest when most of the harvest will be stored in the asset users' homes and will be available for physical observation (measurement); most of the produce is for home consumption but any sales will be recent and the harvest time market prices can be established objectively. The land planted for the rabi crop is harvested several months later so a second round of data collection at that time will be appropriate. The tanks are used for fish production, leased by the Block Development Office (BDO) to the highest bidder. The fish harvest comes near the time the tank is most depleted, so data can be collected in January. The BDOs should be interviewed regarding their priorities, plans, complementary investments, maintenance, etc. The earthwork structures are normally government property and the government is responsible for maintenance.

4. Comparison Groups for Gaya

Select matched non-irrigated plots of land in the same village area for comparison of agriculture production, employment and income. A larger map including

land outside the command area will normally be available at the BDO and can be traced for use by evaluators. An example appears at the end of this subsection.

Ideally, select a plot owned by the SMFs drawn in the original random sample; many will own small plots outside the irrigated area. Otherwise systematically select a matched plot within one-half mile.

When some land is for paddy and other land is not, stratify and match beneficiaries from each group.

5. Sampling for Gaya

CASA's field office in Gaya should identify as many projects as possible for which records can be found about the original asset constructed. The BDOs, consignees and CASA/Calcutta may also have files to identify CASA projects. For analysis of durability of assets, select 30 projects to be visited by an engineer for observation and analysis of durability and maintenance. Select structures at least two years old. If the universe is large enough, check structures subject to erosion and structures subject to silting from two, four and six years ago (CASA does approximately 25 projects per year). Random sample from each year's projects.

Sampling for analysis of benefits from the earth structures can be based on the two-year old structures (ten projects). For each of these ten structures, obtain a map of landholdings in the command area from CASA files or the BDO. Select 30 SMFs based on an area frame sample using the maps. Ownership is recorded at the BDO. Owners normally farm the land and live in a village within easy walking distance of the plot.

6. Data Collection Plan for Gaya Earthworks

The strategy for data collection is to go at a time when the harvested crops can be observed (measured) directly and reliably instead of depending

24

upon unreliable reports about output. Paddy is harvested by January and most of the crop is stored for self-consumption in the homes of the SMFs. The rabi crops are harvested several months later so a second visit will be necessary. The contractor will benefit significantly from the collaboration of the CASA consignees, the CASA field representative, and the BDOs in identifying structures, obtaining maps, drawing samples, and documenting expenses regarding maintenance of structures. The contractor should do the interviewing without depending on the other groups since they lack the resources and may bias the results.

Evaluators should measure land areas in acres and decimals of acres since the local measure of area, the *bigha*, varies in size from place to place within the Gaya District.

7. Analysis Plan

For the benefit analysis, do cross tabulations of "after only" data on water use (when did the water run out?), agricultural production, employment, and income. Compare the irrigation plots with comparison plots. For the analysis of durability of earth structures, estimate the time pattern of decrease in irrigation potential (storage capacity) and the factors that can improve durability such as institutional arrangements for maintenance.

8. Next Steps For Gaya Earthworks Evaluation Study

Collaboration with the CASA field representative in Gaya, the local consignees, and the appropriate BDOs will be important for getting a high quality evaluation at an acceptable cost. They will be most helpful in identifying the earthworks projects. They will be able to expedite getting maps, preparing lists of SMF beneficiaries, selecting matching plots, and developing appropriate data collection procedures. However, there are definite limits on the amount of help that can be expected from volunteer

consignees and the BDOs, so the contractor will have to do most of the data collection work and will have to provide sustained pressure to make the work progress.

The Gaya area is sufficiently close to Ranchi that the Xavier Institute would be a promising contractor for this study. They should be able to provide data collectors with appropriate languages and cultural sensitivity for the area. It is too late to collect data about the January 1981 harvest, so the detailed arrangements for this study could be delayed while more urgent studies are arranged. USAID probably can provide a suitable engineer for the analysis of durability and maintenance. The results of the study should be available in the second quarter of 1982.

9. Comments on Gaya Earthworks

Gaya is not a show piece; it is an attractive opportunity for evaluation because of the geographic concentration of FFW-assisted earthworks (perhaps 25 per year), for a sustained period of time (since 1964). The good working relationship with GOI will facilitate research, and the interest of CASA in continuing this type of minor irrigation in Gaya ensures the management relevance of the evaluation. The Gaya work is the bulk of CASA's program for the Calcutta Zone so it is representative of an important universe.

26

EVALUATION SUBSTUDY #2C: CANALS OR ANOTHER STUDY IN MADRAS OR
BOMBAY REGIONS

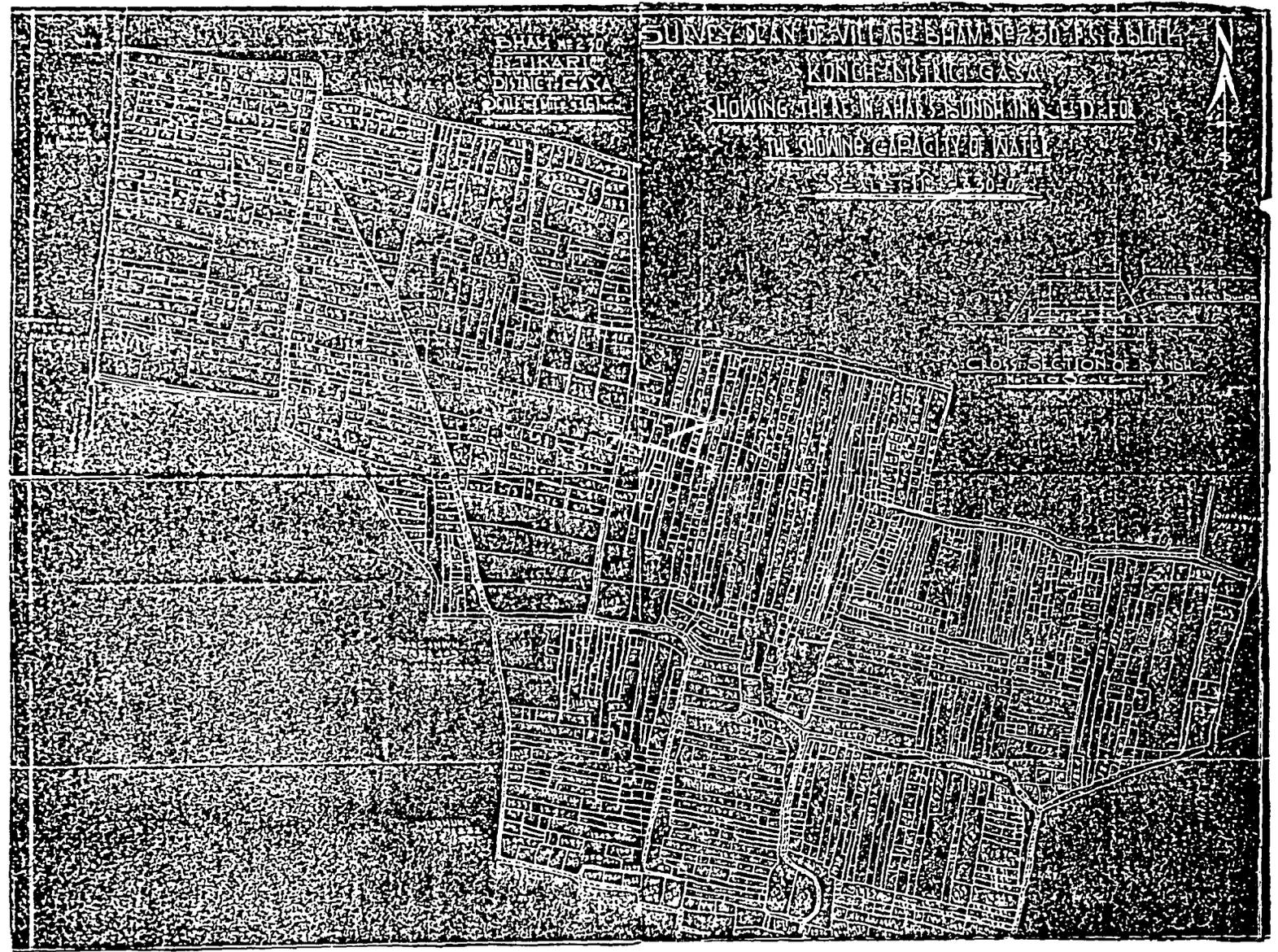
Points 3 through 7 are to be decided upon based on the specific projects.

8. Next Steps for Evaluation Study #2c

USAID and the FFW evaluation committee should use the "project profile" of FY1980 projects to identify promising evaluation situations for a third study. If there are several promising candidates, a reconnaissance team including USAID and CRS and perhaps a Xavier Institute representative should visit the sites and select one. The decision regarding the use of Xavier as the contractor in an area far from Bihar should be made based on Xavier's ability to handle the logistics, language problems, etc., and considering the real alternatives available.

The selection of a third site should proceed promptly to allow for seasonal problems, to ensure staff and funding are reserved, and to coordinate the study with the remainder of the FFW evaluation program. Canals are a much smaller component of the total FFW Program than the other types of minor irrigation, so the third study could be for structures comparable to the surface water structures in Gaya if other important issues are illuminated in a different region.

Tamil Nadu and Andhra Pradesh were suggested by CRS as places where there were extensive minor irrigation programs. The CRS project profile may suggest other better places for the evaluation.



SURVEY PLAN OF VILLAGE BHAM #230, KONCH DISTRICT, GAYA

8/12

EVALUATION STUDY #3: UPGRADING AGRICULTURAL LAND WITH FFW ASSISTANCE

1. The Strategy for the Use of FFW Food & Intended Results

FFW food is used to pay for the unskilled labor required for land clearing/leveling. This type of work consumed approximately 25% of CRS's 1979 mandays (7.1 million days in FY1979) and most of CASA's mandays that were not for minor irrigation projects. Typically, low quality land is given to landless farmers who become SMFs but have to prepare the land and make it cultivatable. FFW pays for subsistence while the work is done; eventually agricultural production should yield an income and generate employment on the upgraded land. The cultivated land is expected to yield a net income to the SMF (in cash or kind) and perhaps yield additional income to hired laborers. Figure III-3 summarizes the logic of Upgrading Agricultural Land Projects using the Logical Framework format.

2. Key Issues for the Evaluation Study on Upgrading Agricultural Land including Anticipated Use of the Evaluation Results

Two or three substudies in different parts of India should be sufficient to illuminate the issues of the Upgrading Agricultural Land Program. PCI does not propose particular sites for the substudies, but some issues are predictable and deserve attention:

- Are the resources available to prepare the land? Do the landless workers have the experience and complementary inputs to complete the task? Is land tenure secure?
- If the land is adequately prepared, are the complementary resources available to bring the land into production with satisfactory yields, e.g., water, bullocks, credit, skill in farming for the appropriate crops, etc.? and
- Is the result a profitable agricultural enterprise (which typically depends on marketing, favorable prices, etc.)? Does it generate employment for hired labor?

It is not obvious that the inferior land given to the landless can be transformed into successful agricultural enterprises. It is likely that some

LOGICAL FRAMEWORK
FOR
SUMMARIZING PROJECT DESIGN

Est. Project Completion Date _____
Date of this Summary November 1980

Project Title: Upgrading Agricultural Land in India with Food for Work Assistance

	NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS		
<p>DEVELOPMENT HYPOTHESES</p> <p>If Purpose, Then Goal</p> <p>If Purpose, Then Purpose</p> <p>If Outputs, Then Purpose</p> <p>If Outputs, Then Outputs</p> <p>MANAGEABLE INTEREST</p> <p>If Inputs, Then Outputs</p>	<p>Program Goal: The broader objective to which this project contributes:</p> <p>Increased income to poor rural families from improved food production (and FFW food provided to workers during land clearing/leveling)*</p>	<p>Measures of Goal Achievement:</p> <ol style="list-style-type: none"> Income as profits to SMF landowner/operator (net of extra expenses and decrease in income from casual work for others) Income to poor people other than the SMF landowner (especially payments to hired laborers) Income to FFW workers for land clearing/leveling paid in cash plus the local value of FFW food) 	<p>1&2. Follow up evaluations on a sampling basis after first and second harvests.</p> <p>(3. Voluntary agency monitoring records for FFW food; VolAg estimates of local value of FFW food)</p>	<p>Concerning long term value of program/project:</p>		
	<p>Project Purpose:</p> <p>Successful cultivation of food crops on the land of small and marginal farmers (SMFs)</p>	<p>Conditions that will indicate purpose has been achieved: End of project status.</p> <p>Increase in food production on the cleared/ leveled land</p> <ul style="list-style-type: none"> - paddy - other crops 	<p>Follow up after the first and second harvests</p> <ul style="list-style-type: none"> - sampling basis <p>Baseline data in application for FFW assistance</p>	<p>Affecting purpose-to-goal link:</p> <p>Land tenure, labor market conditions, and prices for the crops allow benefits to be retained by the poor</p>		
	<p>Outputs:</p> <p>Land ready for cultivation</p>	<p>Magnitude of Outputs necessary and sufficient to achieve purpose.</p> <p>1. acres of land upgraded:</p> <ul style="list-style-type: none"> - grade 4 to grade 3 - grade 4 to grade 2 - grade 3 to grade 2 	<p>Baseline and targets from the FFW application</p> <p>Actual outputs from project completion reports</p>	<p>Affecting output-to-purpose link:</p> <p>Complementary inputs are available for successful cultivation</p> <ul style="list-style-type: none"> - seed, credit, fertilizer, soil water, bullocks, technical assistance, farming skills, etc. 		
	<p>Inputs Activities and Types of Resources</p> <p>1. Land clearing work 2. Land leveling work</p>	<p>Level of Effort/Expenditure for each activity.</p> <table border="1"> <tr> <td>FFW Assistance (mandays)</td> <td>Other Costs (rupee cost)</td> <td>Total Costs (rupees)</td> </tr> </table>	FFW Assistance (mandays)	Other Costs (rupee cost)	Total Costs (rupees)	<p>Voluntary agency monitoring reports</p>
FFW Assistance (mandays)	Other Costs (rupee cost)	Total Costs (rupees)				

* The income benefits to FFW food recipients are included in parentheses since they do not depend upon the soundness of the rest of the project design for the benefits to asset users.

FIGURE III-3: UPGRADING AGRICULTURAL LAND IN INDIA WITH FFW ASSISTANCE

situations are winners and others are losers; an evaluation should help AID, CRS, and CASA to distinguish factors that are critical so they can be tough-minded in supporting projects that have the ingredients for becoming viable operations.

The substudies on upgrading agricultural land should be divided into one CASA study and two CRS studies. The CASA study will include some important projects in Bombay and/or Madras Zones. CRS should be consulted in selecting the sites for substudies of CRS projects. The Boy's Town in Tamil Nadu is not a promising situation for evaluation, since it is not typical of the larger group of projects for resettling landless farmers.

3. Beneficiaries & Evidence of Benefits Actually Received

The beneficiaries of land upgrading projects will be the people who use the land and receive its produce. It is not critical whether they own it or if the land is publicly owned. It should be relatively easy to identify the users of the upgraded land by observing the harvest results soon after the harvest period. The benefits typically will be the harvested food, whether it is for home consumption or for sale.

Evidence of progressive upgrading of the land after the FFW Project should be sought systematically. Evidence of progressive improvements would indicate the farmer was sufficiently prosperous to invest in the property and increase his chances of success as an agricultural enterprise.

The quality of the agricultural land in India is classified on a four-point scale with 1 being the top quality. A gross but elegant indicator of the results of land upgrading would be a table showing the acres of land improved from Grade 4 to Grade 3, from Grade 3 to Grade 2, etc.

3. Upgrading Agricultural Land

III-39

4. Comparison Group

More information about the specific projects is required.

5. Sampling

The projects are likely to have a clearly defined list of landowners and of parcels from which samples can be drawn.

6. Data Collection Plan

More information about specific projects is required.

7. Analysis Plan

Cross tabulations and other relatively straightforward analysis methods are recommended. Comparisons of the benefits for users of the upgraded land and the situation for an appropriate comparison group are appropriate: Status of the land, yield of the land during the same crop season, profitability of the land, and employment generated.

Problems encountered should be identified together with conclusions about patterns and recommendations regarding how to improve the performance of these projects.

8. Next Steps

This is a very important study that requires planning promptly. The FFW evaluation committee should develop program profiles (as discussed in

the first section of this chapter, select promising evaluation situations, and do a reconnaissance as soon as possible.

A contractor from the Madras or Bombay area should be considered for this study. The CASA Projects are in these two zones; CRS probably has appropriate projects there too, and this will provide geographic balance since two minor irrigation substudies are in Bihar.

8/10

EVALUATION STUDY #4: ROADS

1. The Strategy for Use of FFW Food & the Intended Results

Road work is a classic "employment generation" type of rural infrastructure program. CRS used 9.2% of its FFW mandays on roads in FY1979; CASA had three road projects but did not specify the mandays used.

The logic of a FFW-assisted road project is summarized in Logical Framework format in Figure III-4. The strategy is to use FFW food to pay for unskilled labor required for road construction and maintenance. The output should be roads that are appropriate to the transportation requirements of their area, e.g., linking remote villages to markets, sufficiently durable to provide all-weather access, or perhaps upgrading roads for use by buses. The purpose of these improvements typically is to stimulate agricultural production of cash crops that would not be marketable otherwise and to stimulate employment in agriculture and other enterprises. These economic activities in turn are expected to increase income to the farmers, employees, and the intermediaries who handle the increased trade. Roads also are usually expected to increase access to social services like hospitals, secondary schools, etc.

2. Key Issues for the Evaluation Study of Roads Including Anticipated Use of the Evaluation Results

One evaluation study is recommended for roads assisted with FFW food through CRS. The study should focus on roads that are based on expectations of economic benefits.

PCI does not propose any particular sites for an evaluation of FFW-assisted roads. However, there are issues that are predictable for the roads study, based on the problems with rural roads projects in developing countries everywhere.

- Did the project produce a road (output) that was appropriate to the transportation needs of the area?--e.g., it connected an area that was hampered by poor transportation; the durability and maintenance provisions were appropriate for weather conditions and type of vehicles using it;

4. Roads

III-42

FCI 118

LOGICAL FRAMEWORK FOR SUMMARIZING PROJECT DESIGN

Est. Project Completion Date _____
Date of this Summary _____

Project Title: Road Projects in India Using Food for Work Assistance

DEVELOPMENT HYPOTHESES

MANAGEABLE INTEREST

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS				
<p>Program Goal: The broader objective to which this project contributes:</p> <p>Increased income to farmers, employees, and intermediaries handling trade stimulated by the road</p> <p>(and FFW food paid to workers during road construction)</p> <p>Subgoal: Increased agricultural production and employment in agriculture and in non-agricultural enterprises in the area served by the road</p>	<p>Measures of Goal Achievement:</p> <ol style="list-style-type: none"> Profits from cultivation and sale of cash crops (separating SHFs from NTGs) Income from employment in agricultural enterprises in the area served by the road. Income from employment in off-farm jobs (separating landless, SHFs, NTGs) Improvements in health and education attributed by people in the area to improved road access Income to FFW workers paid in cash plus local value of FFW food 	<p>Baseline information may be available with FFW application or may be unavailable</p> <p>Actual results to be measured at first "critical" period after construction and again after two years.</p>	<p>Subgoal to Goal:</p> <ol style="list-style-type: none"> Competitive structure in markets for inputs, agricultural products, & unskilled jobs permit the poor to retain substantial benefits from the improved transportation. 				
<p>Project Purpose:</p> <p>The improved road is used to transport more people and goods with greater convenience and lower cost.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status:</p> <ol style="list-style-type: none"> People are using the road to go places they could not or would not go without the improved road. <ul style="list-style-type: none"> traffic count targets (# people using travel modes facilitated by the road improvement, e.g., bus service, motor vehicle, animal powered vehicle, human powered (bike or rickshaw), & foot. Goods transported using the road to places they could not or would not reach without the road improvement. <ul style="list-style-type: none"> traffic count by tonnage, volume, or value; targets for goods movement - type of goods and travel mode facilitated by the road improvement; e.g., heavy trucks and buses, light motor vehicles, animal powered vehicles, human powered vehicles, foot traffic including animals on foot. Convenience increased and cost decreased: Decrease in the travel time and cost for selected benchmark uses of the road appropriate to the area, e.g.: <ol style="list-style-type: none"> a person living in village & working in town; transporting fresh produce of the area for sale in the town market; merchants travel to & from village & from town for selling urban goods in a weekly market; a student living at home & commuting daily to secondary school; and a mother takes two small children monthly to the nearest health clinic from the village. 	<p>Baseline data or estimates from FFW applications if available. Actual road use measured in the 1st post project critical period and followed up two years later.</p> <p>- traffic count at a checkpoint with cooperation of local authorities on low volume roads - 1 week on high volume roads - 1 to 3 days.</p> <p>Special analysis - low cost analysis based on interviews and/or cost estimates.</p>	<p>Affecting purpose-to-subgoal link:</p> <ol style="list-style-type: none"> Access to inputs by road & access to market by road makes increased production feasible & profitable. Job opportunities exist for labor that is mobile. Urban services available. 				
<p>Outputs</p> <p>Usable roads (and related transportation improvements like bridges, culverts, etc.) appropriate to the transportation requirements of the area.</p>	<p>Magnitude of Outputs necessary and sufficient to achieve purpose.</p> <ol style="list-style-type: none"> Kilometers of road built to appropriate standards for transportation requirements of the area <ul style="list-style-type: none"> (specific specifications depend upon the transportation requirements of the area - durability, all weather, size of vehicle accommodated, etc.) Road maintained to the appropriate standard. 	<p>Voluntary agency completion reports</p>	<p>Affecting output-to-purpose link:</p> <ol style="list-style-type: none"> Transporters ready to provide service (especially buses). 				
<p>Inputs: Activities and Types of Resources</p> <ol style="list-style-type: none"> Construction of new roads Repairs and maintenance work Work on bridges/culverts/etc. 	<p>Level of Effort/Expenditure for each activity</p> <table border="1"> <tr> <td>FFW assistance (mandays)</td> <td>Other Costs Total Costs (Rupees)</td> <td>(Rupees)</td> <td>(Rupees)</td> </tr> </table>	FFW assistance (mandays)	Other Costs Total Costs (Rupees)	(Rupees)	(Rupees)	<p>Voluntary agency monitoring reports and completion reports.</p>	<p>Affecting input-to-output link:</p> <ol style="list-style-type: none"> Design for roads appropriate to transportation needs of area. Provision for maintenance & repairs. Supervision adequate for quality control (e.g., contracting).
FFW assistance (mandays)	Other Costs Total Costs (Rupees)	(Rupees)	(Rupees)				

Practical Concepts Incorporated, 1972
Washington, DC

FIGURE III-4: ROAD PROJECTS IN INDIA USING FFW ASSISTANCE

- Did the road lead to a significant and measurable increase in transportation of goods and people and/or reduce the cost of transportation (i.e., the purpose of the road)?--e.g., was bus service introduced? Who uses it? For what purposes? At what cost? Is there evidence of an increase in agricultural production and of employment in agricultural or non-agricultural enterprises (subgoal)?
- Is there evidence that income (in cash or kind) is higher for poor people as a result of the road (i.e., the goal of the road)?--e.g., increases in land value near the road, shift to cash crops for marketing via the road, increase in employment and trade dependent on the road, new enterprises that depend upon the road, etc.?
- Were the factors required to complete the road (the output) in addition to the FFW food, available as required?--e.g., were technical supervision, construction materials and equipment, and legal approvals available when needed with appropriate quantity and quality and cost?
- Were the factors required for higher incomes from road use available as required?--e.g., agricultural inputs such as seeds, fertilizer, credit, technical assistance, marketing facilities for cash crops, government and private construction of facilities and staffing for facilities like schools and clinics?
- Were there undesirable effects from the improved road?--e.g., competition from outsiders displaces local employment; emigration of desirable local people or immigration of undesirables; increase in rents or changes in land tenure unfavorable to the poor; decrease in food production for local consumption due to introduction of cash crops; etc.? and
- How could this project or other projects like it be improved?

The road use benefits are likely to receive relatively little weight in the preparation of FFW-assisted road projects today. The anticipated use of the roads evaluation study would be better project preparation and project screening by CRS and perhaps by GOI in its own FFW Program.

The evaluation methodology itself should display an approach to project design that will be helpful to CRS zonal offices and consignees for improved project preparation and screening. In order to achieve this benefit, try to select an area where the CRS staff plan to do more roads on a significant scale and where they welcome a better approach to using FFW assistance. Then integrate

4. Roads

III-44

the CRS staff into the evaluation process. The evaluation results (findings about what worked, problems, and opportunities to improve) should have direct influence on the procedures used by CRS to prepare projects, to recognize situations that are not likely to yield road use benefits, and to make a more balanced consideration of road user benefits in addition to benefits to the worker food recipients. If several variations in types of road projects are included, it may be possible to make better choices among types of road projects (e.g., new roads, maintaining old roads, upgrading roads, bridge and culvert work, etc.).

The GOI uses a great deal of its FFW food for road work. Consequently, USAID and CRS should consider the extent to which they welcome participation of GOI in planning the evaluation, doing it, or sharing in the results. Being sensitive to GOI concerns and involving GOI might help GOI see more clearly how to manage its own FFW Program. (The most obvious possibility is to invite GOI to participate in the planning, management, and interpretation of the evaluation results and perhaps adding one or more GOI Projects to an enlarged evaluation design.)

3. Beneficiaries & Evidence of the Benefits Actually Received

In most rural road projects, the users are people who live and/or work near the road and use it to connect into jobs and markets of nearby communities. If the road makes a significant difference, there should be an immediate change in some areas (even before the road is completed in many cases) with changes in cropping patterns, construction of homes, and employment in jobs farther away from home. These changes are likely to increase over time as innovators prove successful and are copied by others.

Ideally the evaluation study should build upon (a) evidence about agricultural production, employment, and trade before the road project--perhaps from the application for FFW assistance, (b) evidence about the same items approximately a year after completion of the road; and (c) again, approximately two years after the completion of the road. Changes being made in anticipation of

the road should be treated as project effects. The first post-project evaluation should be timed to follow the first period when important benefits are expected to be observable, e.g., marketing the cash crop in an expanded market or improving off-farm employment during the slow season without the need for migrating to distant places. The follow-up evaluation two years later provides an opportunity to observe the effects of poor maintenance and of adjustments in the market such as shifts in cropping patterns, land tenure, land ownership, market penetration, etc.

4. Comparison Groups

Applications to CRS for FFW assistance for road projects that were *not* approved are the best source for comparison groups if the applications have been preserved, and they have useful baseline data. An alternative approach for an access road or penetration road is to identify the market town or central place that the road connects to a tributary area; then the evaluators can select another tributary community or area that was not assisted in improving its road to the same central place.

5. Sampling

Normally area frames offer a feasible approach to sampling for road projects. The factors that matter most are: (a) proximity to the road; (b) land appropriate for cultivation of cash and/or subsistence crops; and (c) communities that provide jobs and/or employees for off-farm employment. Off-farm enterprises may be sampled independently of the farms.

The number of roads evaluated should be worked out after consultation with CRS and CASA to identify what they could do with the evaluation results and the evaluation situations available. Evaluating the results of three roads with comparison areas probably is adequate to reveal patterns of general interest but keep the study manageable with a single contractor and a single

4. Roads

III-46

evaluation procedure. The three projects should be more or less typical of road projects funded with FFW assistance in the past and those likely to receive assistance in the future.

Sample sizes will depend upon the precision needed in the answers and the scale of the road projects (the size of the area served and complexity of the changes anticipated).

6. Data Collection Plan

The condition of the road can be observed virtually anytime; there may be a critical or best time depending upon the purpose of the road (e.g., access during the monsoon or during the time for marketing of the harvest). Use of the road (purpose) may be best measured at the critical periods in the year by traffic counts. Alternative measures include reports from the bus company, vehicle owners, and traffic counts at non-critical periods. The economic impact of the road on agricultural production, employment, and family income will also be best measured at particular times of the year (or several times in the year).

7. Analysis Plan

Simple analysis methods are recommended:

- *A profile of beneficiaries:* identifying the area or people who use the road, classifying them into landless, small and marginal farmers, and non-target group people;
- *Comparisons* of the road service area versus the comparison areas with respect to: (1) travel time and cost for selected benchmarks appropriate to the area (e.g., getting vegetables to the urban market, employment in off-farm enterprises in town); (2) actual transportation of people and goods; (3) evidence of effects on agricultural production and employment; (4) evidence of effects on the income of the target group of poor people; and

Identification and analysis of problems encountered in producing the intended outputs, purpose, and goal level results; conclusions regarding opportunities for improved performance recommendations for improved project selection.

8. Next Steps

The FFW evaluation committee should proceed as recommended on Page III-10.. Identifying the road projects of FY1980 will clarify where there are active FFW-assisted road programs and the most promising evaluation situations. A few FY1979 candidates should be selected with the collaboration of CRS, USAID, and GOI (if it is represented on the committee), and a reconnaissance trip made to the project sites. Preference should be given to interesting projects in zones not heavily involved in other FFW evaluations.

A contractor should be selected after the location and character of the road projects have been tentatively decided. A regional institution probably can do the job effectively if projects are selected from an area with a single language/ethnic/agro-ecological zone.

The evaluation design should build upon the quick evaluation done by the GOI. The recommendation regarding future evaluations and other research studies was the following:

"6.6. As this is the first and quick evaluation study, it will be necessary to undertake further indepth studies covering all States in order to evaluate the impact of the programme in detail including its short-term and long-term benefits to the various sections of the village community. The aspect of remunerative and durable assets may also be looked into."*

The primary interest in the Title II evaluation study should be in the benefits to the users of the road rather than the food recipients.

* A Quick Evaluation Study of Food for Work Programme (August-October, 1979), An Interim Report, Programme Evaluation Organization, Planning Commission, Government of India, New Delhi (December, 1979), p. 24.

EVALUATION STUDY #5: FFW-ASSISTED LOW COST HOUSING PROJECTS

1. The Strategy for Use of FFW Food in Housing Projects & the Intended Results

FFW food is used to pay unskilled laborers for construction of low cost housing for the homeless or for those with inadequate shelter. Housing is not a classic use for FFW programs since: (a) the unskilled labor component for structures may be as low as 25% of total cost; (b) extensive supervision and quality control are typically required; (c) skilled labor is needed for many tasks; and (d) the assets are for the private use of a specific family rather than a public asset serving many families.

Nevertheless, in India, low cost housing has been done on a large scale. In FY1979, CRS used 4,656,672 mandays of FFW-funded work to build 20,976 low cost homes and CASA provided FFW assistance for 60 low cost homes. In some cases, the projects were a sequel to a disaster. For example, there was great demand after the 1978 tidal wave in Andhra Pradesh destroyed thousands of homes. Elsewhere, low cost housing has been done in connection with land resettlement schemes establishing poor families in new areas and/or helping poor families improve their housing while breaking ties of dependency on the village elites. The cost of building materials are typically paid by the consignees, distributors, or by the beneficiaries themselves. Sometimes there are funds from other donors such as Miserior to pay for bricks, cement, etc., and land may be provided by the government.

The logic of FFW-assisted low cost housing project is summarized in Logical Framework format in Figure III-5. FFW commodities finance the unskilled labor for construction; other inputs come from other sources. The intended outputs are adequate houses for poor families are constructed or rehabilitated. The purpose of constructing the housing is for poor families to be adequately housed after construction is complete. Implicitly, the housing is expected to create satisfaction for the poor occupants regarding their housing during the normal life of the house (goal level).

Critical assumptions for evaluation of low cost housing projects include the following: (a) the complementary inputs required for completing an

LOGICAL FRAMEWORK FOR

SUMMARIZING PROJECT DESIGN

Est. Project Completion Date _____
Date of this Summary November 1980

Project Title: Generic Design for Housing Projects in India Using FFW Food

FIGURE III-5: GENERIC DESIGN FOR HOUSING PROJECTS IN INDIA USING FFW FOOD

	NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
DEVELOPMENT HYPOTHESES If Purpose, Then Goal If Purpose, Then Purpose If Outputs, Then Purpose If Outputs, Then Outputs If Inputs, Then Outputs	Program Goal: The broader objective to which this project contributes: Poor families benefit from the satisfaction of housing for ___ years (and FFW food provided to workers during construction)	Measures of Goal Achievement: 1. Family reports satisfaction with quality of housing relative to the housing available to other families of comparable income in the same community. 2. Expenses for shelter for family (including maintenance) less than ___% of family income. 3. Family equity in home increases over time. 4. Income to FFW workers during construction - cash plus local value of food)	1. Standards in CRS/CASA guidelines est. expenditures in project application. Actual in evaluation sampling 2. Baseline in application & comparison in evaluation 3. Short questionnaire at time of taking occupancy and evaluation. 4. CRS/CASA monitoring for quantity and value.)	Concerning long term value of program/project:
	Project Purpose: Poor families adequately housed	Conditions that will indicate purpose has been achieved: End of project status. 1. Poor Families living in shelter meeting the standards set by CRS & CASA for at least ___ years after initial occupancy.	1. Initial occupancy in project completion report (CRS/CASA) 2. Follow up by evaluators on sampling basis Est. life of house in CRS/CASA guidelines	Affecting purpose-to-goal link: 1. Occupants can afford the costs to maintain the houses 2. Houses not transferred to non-poor occupants
	Outputs: Adequate houses for poor families constructed or rehabilitated	Magnitude of Outputs necessary and sufficient to achieve purpose. 1. ___ houses meeting minimum standards at the end of construction	Standards approved by CRS/CASA guidelines and project application. Adequacy of house verified at time of completion report	Affecting output-to-purpose link: 1. Provision for maintenance is adequate to ensure the houses are maintained (or improved) sufficiently to provide the standard of shelter quality during the originally programmed life of the house (e.g., ___ years for mud houses ___ for pukka or brick.)
	Inputs: Activities and Types of Resources 1. Construction of houses 2. Complementary services & site improvements	Level of Effort/Expenditure for each activity. FFW Asst. Cost Other Costs Total Costs (mandays) (Rupees) (Rupees) (Rupees)	CRS/CASA monitoring/completion reports. Commitments at time of application.	Affecting input-to-output link: 1. Complementary inputs for construction provided as needed.

adequate house will be provided as needed; (b) the house will be maintained (or improved) sufficiently to provide the standard of shelter that was originally programmed for the originally programmed life of the house (e.g., X years brick or *pukka* house and Y years for a mud house); (c) the poor families can afford the costs to maintain the house; and (d) they do not transfer the house to non-poor people.

2. Key Issues for the Evaluation Study Including Anticipated Use of the Evaluation Results

FFW assistance for low cost housing programs raises two issues immediately:

- What standard of housing is appropriate for housing poor people, recognizing that a lower standard of construction may free resources to build more houses for additional families? and
- Is it better to concentrate on income generating activities and let the poor families use the higher income to take care of their own housing needs?

The evaluation study should include: (a) some housing projects that provide mud houses of modest cost and modest quality; and (b) some housing projects for brick or *pukka* construction which are more expensive and better quality.

The low cost housing evaluation study should be useful for the following applications:

- Documenting for the public record an important achievement in reaching poor people through FFW assistance. Construction of almost 21,000 houses in FY1979 sounds impressive. It should be translated into human terms through the evaluation; how many people are benefiting with those big joint families? The evaluation is likely to show that virtually all the houses are occupied by poor people but how many are landless people;
- The housing evaluation itself will stimulate disciplined thinking in CRS about the standard of housing that is "adequate" for poor people. The results of the evaluation will provide better facts for CRS to judge the tradeoffs between (a) many cheap houses; (b) a smaller number of *pukka* houses; and (c) using FFW food (and

complementary resources) on income generating activities while letting people take care of housing themselves. This is likely to affect CRS policies on what to finance, its screening criteria, its instructions to project preparers, and the dialogue with organizations (like Miserior) that provide money for low cost housing; and

CRS has a problem in the housing program regarding charges that the parish priests favor Catholics. This is a delicate issue. CRS is aware of the possibilities of abuse and the priests in some places find it difficult to defend themselves against what they consider unfair charges of favoritism. The evaluations planning should include frank discussion of this issue with CRS so the data collection, analysis and use of the evaluation lead to constructive response to the situation, whatever it is. The evaluation will yield some facts and some suggestions on appropriate procedures for selecting beneficiaries that will be beyond reproach (to cut off the innuendo where it is unjustified and stop the discriminatory practices where they may exist). The tone and terms of reference should preclude an "expose" mentality on this delicate issue. The presumption should be made at all stages that CRS wants to allocate housing equitably, that it does so as well as it can, and that it will use the results effectively if the evaluation is handled professionally and sensitively.

3. Beneficiaries & the Evidence of Benefits Actually Received

The direct beneficiaries of the low cost houses are the occupants of the houses. The benefits relate to the change in their income and consumption patterns while they occupy the house. These benefits begin as soon as the house is occupied and can continue over 20 to 30 years if the house is maintained and improved. Ideally the evaluation should include data about:

- The occupants before they took occupancy, which could be available from the information used in selection of the beneficiaries;
- The situation soon after occupancy, which could be in a project completion report or a short term follow-up within six months of completion; and
- A longer term follow-up after two or three years, providing an opportunity to observe changes in ownership, faults in construction, and evidence of upgrading or deterioration of the houses and the community.

The evaluation should be designed to collect information about houses completed in FY1979. The records should still be complete and memories relatively fresh about the housing situation immediately before and after completion of the houses. The houses can be observed directly and the occupants can be questioned about income and consumption.

The evaluation should provide some better facts about existing projects:

Input and Output Level Evidence:

- Did the project result in *adequate houses* for poor families?
- What was the standard of adequacy of the housing for poor families?
- How were the standards decided?
- How appropriate do these standards appear now with the benefit of hindsight?
- How much did it cost to build them, including the FFW food and also other resources? and
- How did the availability of the other resources affect decisions about the use of FFW assistance?

Purpose Level Evidence:

- Did the project lead to *poor families* being adequately housed?
- Who ended up occupying the houses built with FFW assistance?
- What was the procedure for selecting the beneficiaries?
- What arrangements for maintenance of the houses were made to ensure the houses would be useful for the normal life of a house of that quality?
- What rights passed to the poor family (landownership, house ownership, occupancy and use without ownership, etc.)?
- Are there obligations such as mortgage loans?
- Did the house continue to benefit poor families after the initial occupancy?
- What are the characteristics (a profile) of the occupants (land-ownership, caste, income, number of occupants per house, adults and children, etc.)? and

5. Housing

III-53

- How does the quality of the housing compare to the housing for families of comparable income in the same community?

Goal Level Evidence:

- What evidence is there of important benefits to the poor from the low cost housing? For example, in the CRS housing project visited in Gulni in Bihar State, the occupants said they were able to get employment from other villages at higher wages once they had their own housing, without dependence on the landowners of their own village. Housing expenses may go higher or lower; health experience may improve; additional space for food and tool storage, home handicrafts, animals, etc. may be significant. Marriage and family structure (joint families) may be affected by housing designs, location, etc.

Evidence regarding Causal Linkages:

- Were the inputs other than FFW food available as required to complete the houses (output), e.g., being sensitive to problems with skilled labor, materials, supervision, land titles, and complementary services like water, transportation, etc?
- Were the outside factors working properly to ensure that poor people get the use of the houses?
- Is there a perception of fairness in the process and the results (Parish priests in Madras felt they were unfairly charged with favoritism in selection of beneficiaries; they passed responsibility for some decisions to the consignees to defend themselves from criticism)?
- What outside conditions were influential in poor people benefiting from the houses over time, e.g., employment conditions, relations with higher caste landowners, etc?
- Were there undesirable effects from the housing project? and
- How do the people involved in the FFW-assisted project think the housing project (or others like it) could be improved?

4. Comparison Groups

Ideally, the comparison group should consist of people who were qualified to receive a house and did not get one. Probably these people will still be in the community and will have made other provisions for shelter but it is not

clear whether records will remain to identify them for systematic sampling. Alternatively, it may be possible to compare occupants with people who work for the same employer, have parcels of land in the same vicinity, etc. The spillover effects from housing are likely to be small so it should be possible to stay within the same community. CRS and the consignees should be consulted in choosing the sites for evaluation to identify places where an appropriate comparison group is feasible.

5. Sampling

The choice of projects to evaluate will be important. Comparing these housing projects should be sufficient to capture several important variants in the low cost housing program and yet small enough to be managed by a single contractor with a single evaluation procedure. The three projects should be selected by the evaluators after reviewing CRS lists of housing projects from zonal offices that build a lot of houses. There should be many projects from FY1979, ideally within a single language/ethnocultural area (to have a single questionnaire language and to minimize differences in observed life styles that relate to different cultural patterns). There should be a reasonable set of records, and ideally the consignee should be planning to do further housing projects. One project should have produced high cost houses (brick or pukka). A second project should have produced low cost houses (mud probably). A third project should capture some other feature of interest to CRS and USAID; for example, (a) scattered housing as opposed to clusters of houses; (b) relatively urbanized versus rural housing; and (c) homogeneous communities of harijans versus communities of mixed status, etc. The ultimate choice of projects should be made by the evaluation contractor with an explicit rationale for choosing.

Sampling within projects should be straightforward for housing projects. There will be a clearly defined number of houses with occupants who can be listed or located on maps for sampling.

5. Housing

III-55

Sampling of 30 to 50 households for each project will be large enough to make meaningful estimates about the beneficiaries' characteristics. Equal sized comparison groups will permit useful comparisons.

6. Data Collection Plan

The status of the houses and the information about the households can be collected at almost any convenient time. This study can be timed for a period when there is a lull in other evaluation activities due to seasonality or other circumstances. The criteria for judging adequacy of housing and of adequacy of maintenance should be prepared after a reconnaissance of the projects and the housing of other poor people in the same community. A relatively simple checklist with a dozen items is suggested for measuring the adequacy of housing. It would be useful to test and validate the instrument with local people who are not from CRS to ensure the items considered important to the people of the area are included in the quality index and given an appropriate weight (if a weighted scale is used); e.g., potential items for a quality index are roofing quality, living space, sanitary water and toilets, floor and wall materials, vulnerability to flooding/weather damage, secure doors/windows, etc.

Some items may be relatively easy to measure--landownership by the occupants, the physical condition of the house, and the care for the house. Problems are more likely regarding adequacy. There may be no agreed standard of housing adequacy nor consensus on the programmed or normal life of the houses. The evaluation will make a contribution by inducing discussion on these issues. The hardest items to deal with are likely to be the goal level effects--the evidence of important benefits to the poor; these items should be treated as interesting but not crucial to the evaluation, i.e., it is not essential that they be done rigorously and systematically if the cost is high. The evaluation will be valuable enough if it:

- Documents that poor families are getting the houses;
- Deals with the pukka/mud house tradeoff; and
- Provides a factual basis for discussion of houses versus income generating projects that require comparable investments.

7. Analysis Plan

Straightforward analysis methods are recommended:

- A profile of the beneficiaries: identifying the characteristics of the households that receive the houses, e.g., landless, SMFs, non-poor, religious affiliation, etc.;
- Comparison of the quality of housing of FFW-assisted families with comparison families two years after the FFW-assisted houses were occupied;
- Analysis of the benefits that can be generated from a given FFW budget and complementary resources if invested in mud houses of a specified quality versus pukka houses of the type analyzed;
- After estimating the investment required for a mud house and a pukka house, estimate the benefits from the best investments of the same resources (FFW food and the complementary resources) for income generating projects like minor irrigation for the same community (or in the same consignees' area); and
- Identify and analyze the problems encountered in producing the intended outputs, purpose, and goal level results; comment on the observed results, and draw conclusions regarding opportunities for improved performance.

8. Next Steps

The FFW evaluation committee should review the list of FY1980 Low Cost Housing Projects to identify where there is activity and the FY1979 projects for promising situations for a good evaluation. After identifying promising

5. Housing

III-57

candidates, a reconnaissance trip is appropriate by USAID and CRS representatives. Consignee cooperation will be important to design a good study.

The choice of sites should favor regions that are underrepresented in the other evaluation activities. Ideally the three projects should be from a single area that will facilitate using a single evaluation contractor, probably a regional Indian institution. The quality of the study is likely to be better with a single language and a single contractor. USAID and the contractor should retain responsibility for the choice of projects, data collection, analysis and writing of the final report. However, the CRS consignee and zonal office should be consulted during planning and during the stage of digesting results to ensure a responsible interpretation of results and to foster CRS use of the results.

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EVALUATION STUDY #6: CURRENT APPROACHES TO CREATING ASSETS FOR
THE LANDLESS*

NOTE: "Landless" and "extremely poor" are used interchangeably in this section.
No subtle distinction is intended.

The interim evaluation of the Title II Program in India (1979) emphasized the importance of community self-reliance, community participation, and projects that would produce assets for the most needy, ideally the FFW recipients who did the work. The comments from USAID/New Delhi and the voluntary organizations were generally supportive of the evaluators' conclusions (page 20 of comments), but claim they represent an overly idealistic picture of the situation in rural villages of India. The voluntary agencies comment that evaluators fail to take into account the numerous constraints that exist in trying to implement the recommendations (page 20 of comments)

Evaluation Study 6 is intended to be an indepth study of what is actually feasible regarding the use of FFW assistance to consciously foster community self-reliance (Study 6a) and other approaches to create assets for the landless and others who are extremely poor (Study 6b). Study 6c will examine all the evaluation studies from the perspective of benefits to the landless and the extremely poor. The intended result of Study 6 is an empirical basis for judging what is feasible to do in the rural villages of India. Each study will provide evidence about what has been done and analysis about how the projects could have been done better. The intention is for decisionmakers to have a sound basis for decisions about (a) the feasibility of targeting FFW assistance on assets that directly benefit the extremely poor, and (b) the changes if any that are appropriate for managing FFW assistance oriented to community self-reliance or to assets for the extremely poor.

The amount of FFW assistance going into landless projects cannot be estimated from the information available. The principal problem is that land-ownership (or at least the right to use land) is so central to economic and social status in rural India that a small parcel of land becomes a key stepping stone for upward mobility. Several strategies for helping the landless are being used with FFW assistance currently:

Land is given to the landless and FFW is used to upgrade the land (Study #3), provide water for the land (Study #2), and to make the small plots productive;

6. Landless

III-59

- Housing for the landless (Study #6) is a form of consumption which may in some cases be associated with home income producing activities. Housing may also break some critical ties of dependency of landless on the local elite, allowing them to seek employment elsewhere at higher wages, escape from "bonded labor" relationships, etc.;
- Vocational education is a potential channel for upward mobility that does not depend upon land ownership. If one member of a family acquires skills for off-farm employment, that may permit "leapfrogging" into the modern sector with relevant skills instead of progressing to landownership with a tiny parcel of marginal land and a pair of bullocks;
- Community self-reliance, community development, and various approaches to improving the place of the landless within the social and economic structure is a potential role for FFW. CASA has embraced this approach more than CRS. It is not obvious what are the critical elements for a successful project or series of projects. Is it an organization that consists of only poor people? Perhaps a group that contracts to do FFW work and other construction work? Can it be an organization that is paternalistic but oriented to the needs of poor people (see Study 6a)?
- Social projects can benefit the landless without creating income. FFW can be used for projects of community improvement with guaranteed access for the poor--e.g., for drinking water, roads that provide access in and out, and health clinics and school buildings to expand services to the poor;
- Induced employment and other indirect benefits to the poor can be estimated or measured to clarify under what conditions this is an effective channel to the very poor. How much extra work is generated for the landless when the SMFs frequently have more unpaid family labor than they need?
- Employment that does not depend upon landownership is a possible strategy. For example, USAID is exploring the feasibility of social forestry in Mahdy Pradesh which would use common land or public land to generate potential benefits such as improved grazing for animals, forest products, etc. The fishery rights for the tanks on public land are an asset that might be captured in whole or in part for the landless. Perhaps the empty containers could become the base for some handicraft work--e.g., making biogas generators or other useful appliances. Other possibilities include a rickshaw pullers cooperative, cattle fattening, pump repairing, godown operations, grain purchasing and reselling; and
- Other strategies probably exist already or exist in the minds of the voluntary agencies handling FFW.

118

If there are other highly promising approaches, additional substudies should be considered; the criterion should be that a decision for a major expansion would be possible if the evaluation showed the strategy was promising and provided some guidance on promising situations that are likely to be winners for the landless.

96

EVALUATION SUBSTUDY #6A: FFW ASSISTANCE TO COMMUNITY SELF-RELIANCE PROJECTS1. The Strategy For Using FFW Food for Community Self-Reliance & The Intended Results

CASA intends to expand its efforts to create community self-reliance, not only using FFW assistance but with other resources as well. The strategy for using FFW assistance will be to pay for unskilled labor in situations where the FFW Project would foster the development of an appropriate organization or community structure.

FFW may be a clumsy instrument to foster the development of an on-going institutional structure with a stability and cumulative development overtime. In the past, CASA emphasized spreading the FFW food around widely. FFW assistance normally has been used for episodic projects of short duration. However, now CASA plans to provide a fulltime animator to work with a group during the pilot phase and secure complementary resources from other places.

The logic of a community self-reliance project is summarized in Figure III-6. The basic difference from the logical frameworks in the other studies is the attention given to the "organization" and "processes" in the community where the project is done. The central hypothesis (supported by an extensive literature on "participation" and "community development") is that involvement of the landless in planning, implementation, and participation in benefits, is the most promising approach to making *structural* improvements in the status of the poor for the long run. Hence, attention must be given to the process used for planning, implementation of the FFW-assisted work, and the use of the assets created.

LOGICAL FRAMEWORK
FOR
SUMMARIZING PROJECT DESIGN

Est. Project Completion Date _____
Date of this Summary December 1980

Project Title: "Fostering Community Self-Reliance" in India with Food for Work Assistance

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS						
<p>Program Goal: The broader objective to which this project contributes:</p> <p>Improvement of the economic and social status of the very poor (landless) people in rural Indian villages (including FFW food provided to workers on FFW-assisted projects).</p>	<p>Measures of Goal Achievement:</p> <ol style="list-style-type: none"> Evidence of increased income for the landless (in cash for kind) from the assets created with FFW-assistance. Evidence of other important benefits to the landless that derived from the FFW-assisted project. Evidence of increased income or other important benefits to the landless from the "community self-reliance organization" or from the changes in economic and social structure achieved with support from the organization. Income to FFW workers for work on FFW-assisted projects - cash plus local value of FFW food.) 	<ol style="list-style-type: none"> 2&3. Follow-up evaluation 1-3 years after completion of FFW project. Use observations and interviews with a sample of asset users and a sample of other "landless" people not initially users of the assets. Survey of landless in community to assess relative importance of progress compared to poverty problem. 4. Voluntary agency monitoring records for FFW food; Voluntary agency est of local value of food) 	<p>Concerning long term value of program/project:</p>						
<p>Project Purpose:</p> <p>An effective organization working to improve the economic and social status of the very poor.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status.</p> <ol style="list-style-type: none"> The assets from the FFW-assisted project are maintained in a useful condition; remain accessible to the very poor; are used by the very poor in equal or increasing numbers over 3 to 5 years after the project; and are appreciated by the very poor. Evidence of structural changes in the community that improve the economic and/or social status of the very poor; e.g., Harijans appear in increasing numbers in community affairs - schools, coops, community organizations, in better paid jobs, etc Local elites involved in organizations and processes to improve the status of the landless (rather than fighting to preserve exploitive relationships.) 	<ol style="list-style-type: none"> Inspection of assets during followup evaluation including observation and interviews with users and non-users in the area. Follow-up evaluation: interviews with organization leaders, community leaders, and a sample of elite and harijan populations. 	<p>Affecting purpose-to-goal link:</p>						
<p>Outputs:</p> <ol style="list-style-type: none"> Useful assets (e.g., community wells, schools, cooperatives, irrigation works, etc.) beneficial to very poor people. Identifiable improvements in the assets created, or the provisions for maintenance and use by the poor from the "participative process" and other beneficial effects of the "participative process" not directly related to the assets created in the FFW project. 	<p>Magnitude of Outputs necessary and sufficient to achieve purpose.</p> <ol style="list-style-type: none"> Wells providing clean drinking water, schools providing classes to ___ students; cooperative marketing ___ tons of vegetables and supplying ___ rupees of production credit a tank irrigating ___ acres of land for people who were formerly landless, etc. 2a. Changes in project design, evidence of greater efficiency, better distribution of benefits to the landless, better provision for maintenance and sharing of benefits. 2b. The organization plans and initiates other projects oriented to the landless. 	<ol style="list-style-type: none"> Assets observed at project completion voluntary agency records. Improvements from "participation" reconstructed from interviews with involved parties, documents from files. 	<p>Affecting output-to-purpose link:</p> <p>Episodic FFW projects can be used effectively to foster a continuing and cumulative "community self-reliance program."</p>						
<p>Inputs: Activities and Types of Resources</p> <ol style="list-style-type: none"> Construction work, learning, etc. on FFW-assisted projects. Special activities to actively foster a "process" participation of the very poor in planning, execution, and benefits of the project and of the "organization" providing continuity for the community. 	<p>Level of Effort/Expenditure for each activity.</p> <table border="1"> <tr> <td>FFW assistance</td> <td>other costs</td> <td>total costs</td> </tr> <tr> <td>(mandays)</td> <td>(rupees)</td> <td>(rupees)</td> </tr> </table>	FFW assistance	other costs	total costs	(mandays)	(rupees)	(rupees)	<p>Voluntary agency monitoring reports.</p>	<p>Affecting input-to-output link:</p> <p>The very poor are able and willing to participate effectively in a "participative process for the FFW project and as part of a "Community self-reliance" organization.</p> <p>Complementary resources are available as needed.</p>
FFW assistance	other costs	total costs							
(mandays)	(rupees)	(rupees)							

DEVELOPMENT HYPOTHESES
 If Purpose, Then Goal
 If Outputs, Then Purpose
 If Inputs, Then Outputs
 MANAGEABLE INTEREST

FIGURE 111-6: "FOSTERING COMMUNITY SELF-RELIANCE" IN INDIA WITH FFW ASSISTANCE

2. Key Issues For the Evaluation of Community Self-Reliance Including the Anticipated Use of the Evaluation Results

The evaluation study will focus on the link between a "participation process" and better results for the poor, taking the linkage as an hypothesis to be tested, not as a doctrine to be sanctified. The evaluation will observe and analyze what works (or could work better) in India using FFW assistance. The intended results of a more participative process is fostering an effective community organization as well as creating the assets (like a well or a school). The purpose level results of the organization could be (a) making the use of the asset more effective, efficient, and equitably distributed (sustaining the benefits over time, especially for the landless), and (b) the organization becomes the instrument for new initiatives for community improvement that may have little or no relationship to the original FFW-assisted project (i.e., spread of benefits to others).

The evaluation will analyze the results of FFW-assisted projects where the community self-reliance strategy has been used. It may be desirable to include projects that did not make this strategy explicit but where the consequences appear promising enough to bear examination.

The key issues are the following:

- Is there evidence that emphasis on participation and community self-reliance leads to greater effectiveness and/or efficiency in bringing benefits to the very poor from "use of the assets" created with FFW assistance?
- Is there evidence of changes in community structure and processes that bring other important benefits to the very poor which deserve the attention of managers of FFW-assisted projects and programs? and
- What are the key elements for using FFW assistance to foster the desirable effects in community self-reliance projects?

The uses anticipated for the self-reliance evaluation study are the following:

- To identify for CASA, USAID, and OFFP features of the community self-reliance strategy that require changes in the normal FFW procedures such as the current presumption that FFW Projects should be spread around rather than going repeatedly through the same group; and
- To help CASA articulate clearly what works, what doesn't work, why and how to make it better; this will be helpful for project preparation, project screening, fund raising to get complementary resources, and support for this strategy from USAID, OFFP, and CWS/LWR *to the extent the evidence justifies such support.*

3. Beneficiaries & the Evidence of Benefits Actually Received

The intended beneficiaries of community self-reliance project may go beyond the FFW recipients and the users of the assets to include the community as a whole or a group of poor people within the community to be served through an organization. The direct benefits are of less concern in this evaluation than the effect of "the process" or "the organization." The organization need not have its genesis in the FFW Project; more likely, there will be suitable organizations that are using FFW as one of several instruments to help the poor. In this sense CRS has a whole church infrastructure set up for it; the Kadigram Ashram (a CRS distributor) PCI visited in Mongyr District of Bihar might qualify with its work using free land gifts. The Catholic Cooperative in Ranchi would also qualify. This suggests that a "distributor" or consignee may become the focus of the evaluation rather than a particular project; however, we are interested in the ways to use FFW assistance and the conditions under which FFW assistance brings important benefits. Consequently, ideal timing would be (a) immediately after completion of an FFW Project, and (b) one to two years later. The follow-up evaluation is the more important since it is the continuation and spread effects that are of particular interest. The distributor organizations may be doing other things that are useful for the poor but are not related to FFW assistance; the evaluators will probe for the role of FFW assistance in the overall program.

20

The evidence of benefits from an organization or process could be of two types:

- Evidence of *continuation of benefits* from the assets created with FFW assistance; this might include effective maintenance and subsequent improvements without dependence on further FFW assistance, undertaking other activities that depended upon the FFW-assisted project, etc.; and
- Evidence of a *spread of benefits* from new initiatives related to the organization or process fostered by the FFW assistance but independent of the tangible assets created in the FFW-assisted project; this might include the organization undertaking new initiatives to improve the community, bring together harijans and people of higher castes in relationships fruitful for the harijans, etc.

The evidence to be developed in the evaluation includes the following:

Input & Output Level:

- Did the project result in effective completion of its intended outputs (e.g., houses, tanks, or schools)? How much FFW assistance was required? What other resources were required?

Purpose Level:

- Did the project result in sustained use of the assets for the benefit of poor (landless) people (i.e., both access to the assets and actual use)?

Goal Level:

- Did the project result in important benefits for the poor, taking into consideration the evidence available about effects on their income and other effects?

Causal Linkages:

- Is there evidence that the process with emphasis on participation and community self-reliance led to more (or less) effective and efficient production of the output (e.g., considering costs, quality control, productivity, etc.)?
- Is there evidence that the process with emphasis on participation and community self-reliance led to more (or less) effectiveness in use of the assets on behalf of poor people?

6a. Community Self-Reliance

III-66

- Is there evidence that the process with emphasis on participation or community self-reliance led to other important benefits for the community (or the poor segment of the community) in other ways that may have little or no relationship to the original FFW-assisted project?
- What outside factors were influential in the success of the organization effects or community self-reliance effects and in the fruitfulness of the FFW-assisted project?
- Were there undesirable effects from the process? and
- What do the people who were involved in the project think would have improved the success of the FFW-assisted project or the community self-reliance effects or other projects with similar objectives?

4. Comparison Groups

There are two types of comparison groups of interest: (a) an FFW-assisted project without a community organization, or (b) a community organization without FFW assistance. The first would be useful to analyze the additional value from the organization; this should not be too difficult since almost any kind of FFW-assisted project is likely to have been done elsewhere. The second type of comparison group should also be available; there will be some organizations that deliberately don't use FFW and some organizations will use FFW assistance selectively. This will provide insight into the problems these organizations face as distributors of FFW assistance.

5. Sampling

The organizations analyzed should be the best examples for reaching the very poor using community self-reliance. Let CASA identify the projects it considers promising, do a reconnaissance of all of them (one or two person day per project) and follow-up on the two or three most interesting. Preserve the data about the other projects in order to probe for patterns and generalizability. In the event that CASA has too few projects with useful

124

102

experience to evaluate, search the CRS files for organizations like Kadigram and include appropriate groups in the study. The purpose for separating CASA projects is to give peculiarities of CASA's objectives and process a chance to be explored without being overwhelmed by the larger CRS program.

Sampling within the self-reliance organization should be as representative as possible. This may require more information than the other evaluation studies. One approach is to consider all the poor people in the community as potential beneficiaries and to stratify them into (a) people directly using the assets created by the FFW-assisted project and (b) others who were not directly using the assets when the project was first completed. A random sample of 30 members from each group would provide insight into "direct effects" and to "spillover effects." The details of constructing lists and sampling must be worked out by the contractor.

6. Data Collection Plan

The data to be collected will include (a) normal evidence about the assets created with FFW assistance, (b) evidence about sustained use, and (c) evidence about the organization and process and its continuing effects. The evaluation probably would benefit from a U.S. contractor working together with Indians (or AID inhouse personnel with Indians) to ensure familiarity with the literature on participation, etc. The contractor should develop instruments with objectively verifiable indicators (evidence) of performance. The projects should be one to three years old and seasonality probably is not critical. There will be subtleties involved in measuring organization and process effects.*

* Some sources of information on these effects include the following: "Thailand Provincial Planning and Development Project: Design Consultancy Report," Practical Concepts Incorporated (PCI), Wash. D.C., 1980; "Integrated Rural Development: Making it Work?", Development Alternatives, Inc. (DAI), Wash. D.C., 1980; N. Uphoff, J. Cohen, and A. Goldsmith, Feasibility and Application of Rural Development Participation, Rural Development Committee, Cornell University, 1979.

6a. Community Self-Reliance

III-68

7. Analysis Plan

Straightforward analysis methods are recommended such as listings and cross tabulations:

- A profile of the beneficiaries of the FFW-assisted project. The same characteristics used in other studies will be noted in this study, including (if possible) the status of FFW-recipients and direct users of the assets created, and other poor people in the community;
- Document benefits to asset users and to the broader community. This study will be the place to probe the penetration of the FFW Project. Is it just a drop in the bucket or is it making significant inroads in the problems of the community? What evidence exists about the extent of the process and/or the organization spreading benefits beyond the direct uses of the assets?
- Identify and analyze the problems and opportunities for using FFW assistance through this kind of process and organization. Note the comments on the interim evaluation regarding the constraints the voluntary agencies felt about what they could do (pp. 18-36 of comments); and
- List suggestions of the people involved in the projects and the independent analysis of the evaluators on how to make the community self-reliance strategy successful.

8. Next Steps

The FFW evaluation committee should review the list of CASA projects that qualify as projects of self-reliance organizations. The most promising candidates should be identified and visited by a reconnaissance team with a representative of USAID and CASA. Based on this reconnaissance, a tentative selection should be made and a more complete scope of work prepared (including information about the specific projects).

A contractor (probably from the U.S.) should be selected that is familiar with the literature on participation, community development, etc. The scope of work should make it explicit that the evaluation is testing the *hypotheses*

122
that (a) community self-reliance is an effective strategy and (b) FFW assistance can foster it in India. A suitable Indian contractor will also be appropriate to ensure a sensitivity to local conditions, local languages, etc.

EVALUATION SUBSTUDY #6B: USING FFW PROJECTS TO CREATE ASSETS
FOR THE LANDLESS

1. The Strategy for Using FFW Food for Creating Assets for the Landless & the Intended Results

CRS is doing many projects that can be considered "assets for the landless" projects that have not been evaluated in the mainstream benchmark studies. A number of examples appear in Study 6. The strategy for using FFW assistance in these projects is normally to use FFW food to create an asset that is directly useful to the landless people. These assets may involve use of public assets, like the use of public forests, a public tank where fish can be raised, or public wells, schools and clinics that serve the poor. The assets can be private assets like low cost housing or a vocational skill that increased income.

The intended results of the assets for the landless projects are direct benefits to the landless from the assets created with FFW assistance. Specifically, the purpose of these projects is the use of assets by the poor people, and the goal is an improvement in income, health, shelter or other aspect of human welfare. The projects provide direct benefits to the landless without depending on "trickle down" effects such as induced employment on the land owned by small and marginal farmers. The logic of these projects is summarized in Logical Framework format in Figure III-7.

2. The Key Issue for Evaluation Study of Assets for the Landless & the Anticipated Use of the Results of the Evaluation

The key issue is the following:

Is there evidence that FFW assistance can be used effectively to create assets for the landless on a much larger scale than at present?

The uses anticipated for the assets for the landless study are the following:

LOGICAL FRAMEWORK
FOR
SUMMARIZING PROJECT DESIGN

Est. Project Completion Date _____
Date of this Summary December 1969

Project Title: Creating Assets for the Landless in India with food for Work Assistance

NAHRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS						
<p>Program Goal: The broader objective to which this project contributes:</p> <p>Increased income for the landless and extremely poor people in rural Indian villages and improvements in their health, education, and nutritional status (including FFW food provided to workers on FFW-assisted projects).</p>	<p>Measures of Goal Achievement:</p> <ol style="list-style-type: none"> Evidence of increased income directly to the landless from use of assets created with FFW assistance in cash or in kind: <ol style="list-style-type: none"> from physical assets; from employment skills. Evidence of improvements in health, education, and nutritional status of the landless as a direct result of assets created with FFW assistance: <ol style="list-style-type: none"> after completion of a health clinic or latrines, decrease in morbidity, child mortality, etc.; after completion of a school, increased attendance of children of the landless; after low cost housing is provided, improvement in morbidity, self-esteem; after homemaker training, improvements in health and nutritional status; Income to FFW workers for work on FFW projects in cash plus local value of the food). 	<ol style="list-style-type: none"> Followup evaluation 1-3 years after completion of FFW project. Observation of results and interviews with a sample of landless asset users and a group of comparable non-beneficiaries. Voluntary agency monitoring record for FFW food; Voluntary agency estimates of local value of FFW. 	<p>Concerning long term value of program/project:</p>						
<p>Project Purpose:</p> <p>Landless people are using assets created with FFW assistance to increase their productive employment, and level of consumption.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status.</p> <ol style="list-style-type: none"> Employment of landless people, directly related to assets created with FFW assistance: <ol style="list-style-type: none"> employment using physical assets from FFW (including self-employment or unpaid employment that increases production for home consumption or the market); employment using job skills learned with FFW assistance (including basic literacy, vocational training, on-the-job training doing FFW work when the training is explicitly part of the strategy, and homemaking skills to the extent there is clear economic improvement from the training); Landless people using appropriately the social assets created with FFW assistance: <ol style="list-style-type: none"> housing occupied & maintained; clinics & latrines used regularly; schools attended; wells maintained and used regularly. 	<ol style="list-style-type: none"> Followup evaluation 1-3 years after project completion; sample of 30 participants (users) per project and projects selected from promising types of projects. 	<p>Affecting purpose-to-goal link:</p> <p>Costs and output prices make it profitable to use the new assets and skills.</p>						
<p>Outputs:</p> <ol style="list-style-type: none"> Assets useful for directly increasing income to the landless. Assets useful for directly improving the level of consumption by the landless. 	<p>Magnitude of Outputs necessary and sufficient to achieve purpose:</p> <ol style="list-style-type: none"> Assets appropriate for generating income: <ol style="list-style-type: none"> Physical assets (rehabilitated tank for fish production, forest products from public land); Job skills that do not depend on owning agricultural land (e.g., tailoring, mechanics, construction, commerce, services, handicrafts). Assets for improving consumption level: <ol style="list-style-type: none"> Low cost housing; Health, education, and other facilities serving the landless (latrines, clinics, schools, wells, recreation, roads). 	<p>Baseline data & targets from FFW applications.</p> <p>Observation of actual outputs from project completion reports; supplemented with interview questions during follow-up interview.</p>	<p>Affecting output-to-purpose link:</p> <p>The complementary factors needed for use of the assets are available as needed; e.g., jobs are available, elites do not exclude landless from using schools, clinics, wells, etc.</p>						
<p>Inputs: Activities</p> <ol style="list-style-type: none"> Construction, training and other work on FFW assisted projects. <p>*NOTE: "landless" people is used interchangeably with very poor people.</p>	<p>Level of Effort/Expenditure for each activity.</p> <table border="1"> <thead> <tr> <th>FFW Assistance (mandays)</th> <th>Other Costs (rupees)</th> <th>Total Costs (rupees)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	FFW Assistance (mandays)	Other Costs (rupees)	Total Costs (rupees)				<p>Voluntary agency monitoring reports.</p>	<p>Affecting input-to-output link:</p> <p>The complementary inputs for completing the useful assets are available as needed.</p>
FFW Assistance (mandays)	Other Costs (rupees)	Total Costs (rupees)							

FIGURE III-7: CREATING ASSETS FOR THE LANDLESS IN INDIA WITH FFW WORK ASSISTANCE

DEVELOPMENT HYPOTHESES
If Purpose, Then Goal
If Outputs, Then Purpose
If Inputs, Then Outputs
MANAGEABLE INTEREST

III-72

130

- To help CRS, AID and OFFP make decisions on the ability to target FFW assistance on the landless in India by generating assets for the landless. These decisions on policy, priorities and screening procedures should be made based on evidence that is valid for India rather than based on doctrines that may be romanticized, analogies from other places that may be misguided, or by lack of initiative and imagination by individual consignees and distributors; and
- To identify for the voluntary agencies, USAID and OFFP any changes in policy, priorities or procedures that would expedite the effective use of FFW to create assets for the landless.

3. Beneficiaries & Evidence of Benefits Actually Received

The intended beneficiaries will be the landless people who use the assets created with FFW assistance. These will include the trainee who learns a job skill, the fisherman who uses a public tank to raise fish, the children who attend a health clinic or school specifically targeted for them, etc.

The benefits will be measured by direct observation whenever possible and by interviews when direct observation is impossible. Job skills will be measured by direct observation or by discussions with a supervisor or by the evidence of market acceptance of the products and services produced.

The evidence to be developed in the evaluation includes the following:

- Did the project result in successful creation of a useful asset for the landless? How much FFW assistance was needed? What other resources were required?
- Did the landless actually get the continued use of the asset after it was completed (access to the asset and also actual use)?
- Did the project result in important benefits for the landless, taking into consideration the evidence available about the effects on their income and other effects?
- What outside factors were important in securing for the landless the use of the assets and the benefits of higher income, etc. (e.g., community social and economic structure, access to jobs, government programs and other complementary programs)?

138

6b. Assets for Landless

III-73

- Were there any negative effects from the project, e.g., displacement of unskilled workers by the newly-trained landless worker? and
- What could be done to improve the performance of the existing projects or similar projects in other places?

4. Comparison Groups

The most appropriate comparison group will be other landless people from the same family or the same community. The matching will depend on the kind of asset involved.

5. Sampling

The projects will be selected from *types* of projects to reach the landless that appear plausible and promising based on superficial evidence available during the reconnaissance.

The choice of landless beneficiaries within projects will be done with traditional sampling methods to obtain representative samples of approximately 30-50 participants for each project and a comparison group of equal size of non-participants. Three to five different projects should be included. They will be diverse in any case so it is not critical that they be from the same area.

6. Data Collection Plan

The specifics of data collection depend on the specific projects selected. The general principles in the other evaluation studies will provide sufficient guidance. The emphasis differs in this study mainly in the focus on landless beneficiaries so the guidance on timing, physical observation and focusing on basics are all applicable. The identification of beneficiaries as landless is not really critical for the evaluation, provided the results of the evaluation do not depend in any way upon the participant having access to agricultural land.

7. Analysis Plan

The analysis methods should be straightforward, emphasizing frequencies and cross-tabulations:

- Comparisons for the participants and the comparison group with regard to the use of the asset created with FFW assistance, and the benefits such as earned income or health improvement; and
- Identifying problems and opportunities for improvement in the use of FFW assistance.

8. Next Steps

The FFW evaluation committee should review the list of CRS and CASA projects for types of projects that create useful assets for the landless which are not adequately covered by other studies. The most promising types of projects should be identified and a reconnaissance visit made to sites selected by USAID. CRS should participate in the reconnaissance visits and the geographic area may be selected after considering what zones are under-represented in other evaluations.

The types of projects that appear most promising should be reduced to between three and five. At this point, projects of a given type can be listed and a sample drawn at random; alternatively, projects of the proper type may be selected based on geographic convenience or other features that lend themselves to a good evaluation study.

The assets for the landless studies can be done by a single contractor or by a series of contractors (perhaps individuals). The planning should be done early to learn if there is a seasonality problem in any of the studies.

EVALUATION SUBSTUDY #6C: REVIEW & ANALYSIS OF ALL EVALUATION
STUDIES REGARDING BENEFITS TO THE LANDLESS

1. The Strategy for Using FFW Assistance for the Landless & the Intended
Results

Adequately discussed under Substudies 6a and 6b.

2. The Key Issues for the Analysis of all Studies of Benefits to the Land-
less & Anticipated Use of the Results of the Study

The key issues are the following:

- Taking a broad perspective on all the uses of FFW assistance studied, what is the ability to use FFW to create assets that benefit the landless? To what extent is it feasible to target FFW assistance *within* the broad group that qualified in AID guidelines?
- What is the probable absorptive capacity for the landless projects? Is it worthwhile trying to emphasize assets used by the landless in a balanced analysis of the benefits from FFW assistance? and
- Do the indirect effects such as induced employment for the landless appear important relative to the direct benefits to landless recipients of FFW food and direct benefits from use of assets by the landless?

The anticipated use for the results is the following:

- To help CRS, CASA, USAID and OFFP decide whether targeting on the landless is feasible and worthwhile. If it appears justified, to identify the most promising approaches and how to encourage those approaches with a minimum of bureaucratic procedures.

6c. Overview of Landless
Projects

III-76

137

3. Beneficiaries & the Evidence of Benefits Actually Received

The beneficiaries will be landless people or people whose involvement does not depend upon ownership of agricultural land; e.g., hired farm workers who may own land or not.

The evidence of benefits will be the same as the evidence in the preceding studies. It would be useful for someone on the FFW evaluation committee to take responsibility for remembering this study as all the other studies are designed and to watch for suitable evidence to be captured and preserved for use in Study 6c.

4. Comparison Groups

The alternative approaches for reaching the landless will be compared to each other.

5. Sampling

Inadequacies in the sampling of the original studies for the purposes of the landless overview will be noted and suitable qualifications to conclusions will be included.

6. Data Collection Plan

There will be no original data collection in this study. The data and analysis of the other studies will be reprocessed to the extent they are available about January of 1982. This will make Study 6c available for the final integration report. Alternatively, this study could be combined with the integration report.

112

135/136

7. Analysis Plan

The analysis methods should be straightforward as much as possible using lists and cross-tabulations primarily.

8. Next Steps

This study can wait so long as someone on the committee serves as its spokesman in the review of other evaluation plans. The study can probably be done by a USAID person who will be an author of the integration report.

139

OPPORTUNITIES TO IMPROVE MONITORING & EVALUATION

CHAPTER IV

A. INTRODUCTION

Neither of the FFW voluntary agencies presently conducts systematic evaluations of the impact of FFW Projects on either recipients of the food rations or beneficiaries of the assets created. Both agencies devote most of their attention to monitoring the flow of food commodities. The present management information systems are both the cause and consequence of an orientation toward the present and the short-term future. Development planning beyond the period for construction is generally lacking. Project monitoring essentially encompasses the transportation, storage and distribution of bulgar and oil. Follow-up work is typically for validation of the number of mandays devoted to a project and the quantity of food distributed. Evaluations of benefits are sparse.

There is widespread frustration in both CRS and CASA over the paperwork requirements of the existing monitoring and reporting systems. Several individuals interviewed by the PCI team stated that they wished they could do more and better evaluations of the impact of projects conducted with FFW assistance. They were unable to do so, they reported, because of constraints posed by the limited size and skill of the staffs and the constant pressure of monitoring the food commodities.

The mentality of the agencies conducting FFW Projects is in part an adaptive response to the historical development of the FFW Program in India and to the expectations and concerns of AID auditors. As the 1979 interim evaluation observed:

"Much of the controversy surrounding PL 480 Title II Program arises because there is no adequate conceptual framework to guide its operations. The reason is fairly obvious: the program started with INPUTS (food) and has been looking for PURPOSES and GOALS ever since. While these

can be inferred to some extent from what the food is doing in the field, the lack of clearly focused objectives has led to undirected searching for sense or meaning which often manifests itself as requests for more information from the field, even though it is not information, but the underlying conceptual framework which is lacking" (page 15)

Recent audits have emphasized the management of food rather than the attainment of clear program goals. Given the historical tendency to view the FFW Program as a form of charity, relief, or temporary employment for recipients, and finding their focus on commodities reinforced by AID audit requirements, CRS and CASA typically maintain a short-term management perspective emphasizing food inputs.

There are signs of progress in CRS and CASA toward fuller consideration of the assets created, but the transition is incomplete. The PCI team observed several instances of CRS and CASA people adopting a results-oriented approach and developing the project design and evaluation procedures to execute it. There is general awareness of the significance of the stream of potential benefits that should flow from the assets after project completion. These benefits are frequently classified as "developmental," in contrast to "relief" benefits to recipients who receive FFW food during the project. AID has pushed for a greater developmental orientation in the FFW Programs and greater integration with other development efforts of the GOI and USAID. The voluntary agency staffs generally seem to be in sympathy with programming FFW assistance with a longer time perspective and acknowledge the need to reorient themselves toward developmental outcomes. They have made steps in this direction in their literature, in the guidance of their manuals, and in some of their project preparation procedures. However, the transition is incomplete. The estimates of benefits are largely *pro forma*. Completion reports do not yet distinguish between wells dug that yielded no water and those that did. Many projects are left incomplete when the designated mandays are used up and the work is not finished to a state of usefulness. There is no systematic procedure for follow-up on the use and usefulness of FFW-assisted works after project completion. The expectations stated in the project applications are largely cosmetic, based on little data or analysis and not checked subsequently.

This report recommends relatively modest changes in the planning, monitoring, and evaluation procedures of CRS and CASA:

- In the project preparation screening and approval process, better use of a relatively simple conceptual approach (that is already known and accepted) should make it easier to systematically consider the benefits expected from assets produced in FFW-assisted projects. Estimating the benefits from use of the assets will require some additional work, but the evaluation studies of 1981-1982 will help provide facts and experience;
- Completion reports should include additional information regarding the completion of assets that are potentially fruitful; and
- Improvements in institutional memory so the information required for an evaluation of the use of assets and the benefits to poor people can be done after project completion.

The immediate improvements in planning, monitoring, and the externally led evaluations will prepare the way for further improvements in monitoring and evaluation by CRS, CASA and USAID at a later time.

This report does *not* recommend that CRS or CASA try to systematically and/or comprehensively evaluate their own FFW Projects at this time. The main responsibilities for the 1981-1982 evaluations are given to outside organizations. CRS and CASA collaboration is built into the evaluation process so they will learn from the evaluation process, contribute to the efficiency and quality of the evaluations, and be inclined to use the results of the evaluations for improving their FFW Programs.

B. OBJECTIVES

The objective of the proposed changes in monitoring and evaluation are practical procedures for using FFW assistance to bring important benefits to poor people in rural India. The strategy for improvement is to bring about a more balanced consideration of the benefits to the food recipients (which are already given heavy weight) and the benefits from the useful asset created with FFW assistance (which receives much less weight). The most important change is simply the

142

reorientation of the project preparation, screening, and approval process toward production of fruitful assets. Getting better *facts* about actual performance from the monitoring and evaluation system will be useful but probably is less important at this stage.

The outputs desired from the improved monitoring and evaluation procedures are (a) to provide program managers with *simple* and *useful* information directly relevant to their quarterly and annual program decisions regarding the allocation of food commodities; and (b) to provide evaluators with a greatly improved data base.

The first characteristic of changes proposed in Section C below is *simplicity*. Although more information is needed than is presently gathered, the information should simplify critical management tasks. Suggestions for gathering this new information in as simple a manner as possible are given in Section D.

The second characteristic of the proposed changes is to give managers information they really need; e.g., to identify what types of FFW Programs should be emphasized or the extent to which intended recipients and other beneficiaries are being reached.

C. ADDITIONAL INFORMATION REQUIRED

The common elements of the monitoring and evaluation systems of CRS and CASA are summarized in Figure IV-1, which identifies specific information available and needed at each of the three phases of the FFW Project Cycle and the source and use of this information. The information now available for monitoring and evaluation is summarized in the second row of Figure IV-1. Items with an asterisk are partially covered in existing forms with occasional (or frequent) deficiencies. Additional information that is needed and would be feasible to collect is summarized in the third row. During the preparation and approval phase, five items should be handled differently; during the implementation phase four items should be handled more completely; for projects that are monitored

117

PHASE	PLANNING PRIOR TO PROJECT PREPARATION	PROJECT PREPARATION AND APPROVAL	IMPLEMENTATION PHASE	AFTER COMPLETION OF OUTPUTS
Information Available *	Guidance regarding allowable activities from AID, GOI, CRS, CASA, Zone Policy Priorities Boundaries of allowable activities	Project Preparation by Distributor and Village Committee (Form 10 of CRS) Project Screening by Consignee and Summary for Zonal Office (Form 11 of CRS) Project Selection by Zonal Office (Quarterly)	Monitor Start, Progress & Completion (Form 12 of CRS) Progress Reports Summarized by Consignee for Zonal Office (Form 13)	Records available for Zonal Office validation (plus monitoring benefits and evaluation) 1. validation of mandays. 2. validation of food use. 7. Problems (?)
Added information needed		1. Work needed 2. FFW food needed 3. Ability to complete outputs* 4. Beneficiaries* 5. Maintenance* 6. Benefits expected* 3a. adequacy to complete outputs 4a. beneficiary profile 5a. adequacy to achieve purpose and goal 6a. baseline and targets for purpose and goal 7. actions for coordination	1. work progressing/completed (mandays) 2. FFW food and recipients 3. Complementary inputs used 7. Problems 3a. outputs achieved (useful asset) 5a. adequacy to achieve purpose and goal 7a. Actions required 8a. estimated value of FFW food to recipients	4a. actual beneficiaries 5a. maintenance and other needs to achieve purpose and goal 6a. actual benefits (O,P,G) 7a. actions for this and other projects
Source	FFW Manual etc.	Project application (and sometimes information on beneficiaries at start of construction);	Progress report Completion report	Follow-up monitoring Evaluations
Users	Project preparers, screening and approval	Project preparers, screening by Consignee, Approval by Zone	Distributors--trouble signaling Consignees--trouble spotting/problem solving Zonal--trouble spotting, problem solving, revised project selection National--publicity and fundraising based on output achievement CRS & AID--revise guidance on priorities (promising opportunities for FFW), publicity, fundraising	Distributors--problem solving and revised project preparation Consignee--problem solving, improved screening Zonal--validation, problem solving, revised project selection National--revise guidance on priorities (promising opportunities for FFW), publicity, fundraising based on purpose and goal achievement.

* = information is often adequate

FIGURE IV-1: PROPOSED CHANGES IN MANAGEMENT PROCEDURES FOR FFW WITH IMPROVED MONITORING & EVALUATION SYSTEM

or evaluated after the completion of outputs, four more items are required, but it is anticipated that post-project evaluation will be done on a sampling basis rather than comprehensively. Each item of information is described in the following sections, grouped by phases in the project cycle.

1. Phase I: Project Preparation & Approval

The items of information available and needed are shown in Figure IV-2, which, like the two that follow, is derived from Figure IV-1.

The current application form provides enough information to judge the work to be done and the amount of FFW food required. The following information would be useful to judge whether the project is likely to yield important benefits from the assets created during the project:

- #3a. *Ability to successfully complete a useful output:* there are several questions about items needed to complete construction but the application should make it obvious that projects should be supported only if a useful asset will result (e.g., a well with water adequate to irrigate the land, with steening to prevent caving in);
- #4a. *Beneficiary profile:* the application should make clear who the beneficiaries are and that they qualify (or not) in the high priority target groups. For example, how much land do they own? caste or tribal classification? and perhaps a gross measure of socio-economic status within the community (e.g., based on quality of housing being high, normal or low relative to local standards). In Kumbakonam, the CRS consignee collects much more detailed data about applicants; it would be worthwhile analyzing their lists to see what people can answer and to validate the items of most interest for a sample of the applicants (e.g., estimated value of land, yearly income through agriculture and other sources, and expenditures and debts);
- #5a. *Adequacy of plans to achieve purpose and goal:* in a typical project, the FFW output is a source of water or land upgraded to a potentially cultivatable status. The purposes of these projects are typically agricultural production from the improved land and the goal is increased income to the small farmers and hired laborers. However, these benefits often depend upon other factors like landownership,

PHASE	Project Preparation by Distributor, Village Committee, Contact Person	Project Screening by Consignee and Summary for Zonal Office	Project Selection by Zonal/Area Office (Quarterly)
Information available *	1. Work needed 2. FFW food needed 3. Ability to complete outputs* 4. Beneficiaries* 5. Maintenance* 6. Benefits expected*		
Added information needed		3a. Ability to complete outputs 4a. Beneficiary profile 5a. Adequacy to achieve purpose and goal 6a. Baseline and targets for purpose and goal 7. Actions for coordination	
Source	Project Application (and sometimes information on beneficiaries at start of construction)		
Users	Project preparers screening by Consignee Approval by Zone		

* = information often inadequate

FIGURE IV-2: PROJECT PREPARATION AND APPROVAL

fertilizer, improved seed, technical assistance, bullocks, marketing, credit, etc. These conditions are present in many projects and absent in others; the guidance for preparing applications should call attention to complementary inputs so that applicants consider these factors and get FFW assistance only when they have an opportunity to make fruitful use of the asset;

- #6a. *Baseline data and targets for purpose and goal-level benefits:* the current situation must be documented in order to measure the *improvement* that results from the project. For example, how much land will be affected by the project? What is current production (crops and amounts)? What is the profitability of the land now (gross income less cash expenses including payments to outside laborers)? How much income for outside laborers is generated?

Some of the information is hard to collect in a consistent and valid manner. Some experimentation will be necessary to determine what applicants can answer accurately or even approximately, what level of detail is sufficient for M&E purposes, and how to handle some items that are tricky such as depreciation of capital assets, exchange of labor without payment, payments in kind, debt service, and rental of bullocks from other small and marginal farmers.

The purpose level targets for agricultural yields and for improvement in income will be easy to do as casual estimates and difficult to do as refined projections. However, many consignees and distributors are assisting hundreds of SMFs with similar land in similar circumstances, which will provide some basis for estimates of yields and profitability under normal weather conditions. Some experimentation will be required to see what people can answer; it may not be essential that the estimates be refined and accurate for them to be useful. These estimates orient the applicants toward FFW uses that are productive investments. Applicants may have provided similar information to get credit to develop their land; the FFW consignee may accept the estimating procedures used by the credit agency. The distributor should note any important differences in the procedure for estimating yields and income; and

- #7a. *Actions for coordination:* the application should identify any actions required in addition to approval by CRS to complete the outputs, e.g., a loan may be approved for the steining of the well, etc. These items at the time of application will provide an adequate basis to judge if the applicant has a reasonable chance of getting important benefits from the FFW-created assets. It will alert the project preparers to actions they need to take to have a good project. Similarly, it will help consignees and zonal committees to distinguish projects of great promise from projects that require more preparation before funding.

2. Phase II: Project Implementation

Figure IV-3 shows the information available and needed in this phase.

The Progress/Completion Report (e.g., CRS Form 12) provides adequate information about the progress of the work (mandays), the FFW food and the complementary resources used for the project (if Form 12 is completed properly). It also calls attention to problems.

The following information should also be readily available during the implementation phase for M&E purposes:

- #3a. *Outputs achieved:* the completion report should document the completion of a useful asset appropriate to its intended purpose. For example, the water available from the well at time of completion and acreage to be irrigated; for an ahar or a tank, the storage capacity measured in acrefeet of water and the acreage to be irrigated; for a vocational education project, certify that the trainee completed training and was considered competent for an entry-level job;
- #4a. *Beneficiary profile:* both agencies permit applications for a group of similar projects (e.g., for 25 wells). In some circumstances it may make sense to get conditional approval of the application first and defer getting the beneficiary profile from the application phase to the time immediately prior to construction;
- #5a. *Reconfirm adequacy of plans to achieve purpose and goal:* the completion report should reconfirm that purpose and goal appear realistic. If not, the problem should be identified, and the alternatives available;
- #7a. *Actions recommended:* the report should be action-oriented. If there is a problem, there should be a built-in orientation toward how to improve the situation. This includes consideration of the problem of the intended beneficiary (e.g., the food is used up and the asset is not yet usable; what should be done? The applicant lied in order to get the FFW Project done and can't fulfill his commitments; what to do?) The report should also be used to improve the management process--training or replacing irresponsible preparers, spotting the need for credit or fertilizer and getting people organized to solve the problem, etc.; and

PHASE	Monitor Start, Progress & Completion (Form 12 of CRS)	Progress Reports Summarized by Consignee for Zonal Office (Form 13)
Information Available	1. Work progressing/completed (mandays) 2. FFW food and recipients 3. Complementary inputs used 7. Problems	
Added (Information needed)	3a. Outputs achieved (useful asset) 5a. Adequacy to achieve purpose and goal 7a. Actions required 8a. Estimated value of FFW food to recipients	
Source	Progress report Completion report	
Users	Distributors--trouble signaling Consignees--trouble spotting/problem solving Zonal--trouble spotting, problem solving, revised project selection National--publicity and fund raising based on output achievement CRS & AID--revise guidance on priorities (promising opportunities for FFW), publicity, fund raising	

FIGURE IV-3: PROJECT IMPLEMENTATION

142

#8a. *The estimated value of the FFW food to recipients:* this item does not fit with the other information about benefits from the assets. However, in analyzing the benefits to poor people, eventually an estimate should be made about the importance of the food to the workers. In well-designed programs, the food will come at a time of scarcity when the alternatives to FFW food are costly; in a loosely run program, the FFW food may be used when there is no food gap and locally available food would have been much cheaper and preferred. Both voluntary agencies should develop a simple procedure for estimating the value of local equivalents and document it at the time of the completion report; this will provide a credible basis for weighing the benefits to FFW workers who are typically more needy than small farmers. This value should not be the *cost* of the FFW food that appears in AID documents, which may differ substantially from local values.

The users of the M&E information during implementation are:

- Distributors who will have an opportunity to signal that they have a problem and need help;
- Consignees and zonal offices who will use the reports for trouble-spotting, problem solving, and for improving their project selection process; and
- The sponsoring agencies (nationally and internationally) and AID will be able to use the completion information for publicity and fundraising based on better claims to achieving useful outputs. They will also be able to revise the guidance about priorities in the use of food based on a better understanding of the fruitfulness of FFW in specific applications.

3. Phase III: After Completion of Outputs

Figure IV-4 shows the information available and needed in this phase. The information collected by both voluntary agencies now is basically a validation of the data provided by the system. Validation is intended to keep the system honest in estimates of mandays required and food requirements. The CRS, Calcutta Office says it also identifies some problems and deals with them in this phase in a 30% sample of all projects.

PHASE	Records available for Zonal Office validation (plus monitoring benefits and evaluation)
Information Available	<ol style="list-style-type: none"> 1. Validation of mandays 2. Validation of food use 7. Problems (?)
Added information needed	<ol style="list-style-type: none"> 4a. Actual beneficiaries 5a. Maintenance and other needs to achieve purpose and goal 6a. Actual benefits (O,P,G) 7a. Actions for this and other projects
Source	Follow-up monitoring Evaluations
Users	<p>Distributors--problem solving and revised project preparation</p> <p>Consignee--problem solving, improved screening</p> <p>Zonal--validation problem solving, revised project selection</p> <p>Nation--revise guidance on priorities (promising opportunities for FFW), publicity, fund raising based on purpose and goal achievement</p>

FIGURE IV-4: AFTER COMPLETION OF OUTPUTS

Additional information that could be collected after implementation for M&E purposes at least on a sampling basis, are summarized below:

- #4a. *Actual beneficiaries:* verify that the actual beneficiaries were landless and SMFs, at least on a sampling basis. This will put to rest some phantom doubts about the improved land being sold to wealthy people or the benefits going to absentee landlords, etc. There may be benefits like the fishing rights in a rehabilitated tank, cattle watering, and some other benefits that may not have been prominent in the minds of designers;
- #5a. *Maintenance and other items required to achieve purpose and goal:* these are items where there are frequently disappointments despite the best efforts of preparers and project review committees. The first step to getting good use from FFW food is honest monitoring of what problems are arising;
- #6a. *Actual benefits at output, purpose, and goal levels:* monitoring these benefits is much easier than demonstrating a causal relationship to the project. Some care is necessary in collecting information depending on the type of project and local circumstances. For example, the time to collect data about agricultural production is soon after the harvest when it is possible to observe the food in storage or discuss sales that were made recently. Paddy is harvested at a different time than kharif crops that may be irrigated from the same FFW minor irrigation work, so it may be necessary to go more than once to get good data. Estimates of income can be collected at the same time as production data. Information about the adequacy of the water can probably be collected. In land improvement projects, a field evaluator can document whether the land is being progressively improved or maintained or deteriorating perhaps using India's land classification scale from Grade 1 to 4 (1 is best). This item will require significant additional work unless it is done selectively with a random sample or a purposive sample. The extent of the evaluations should be modest while the 1981-82 evaluations are in progress. In 1982-83, the voluntary agencies should be ready and able to collect better evaluation data and make better use of it; and
- #7a. *Actions recommended:* different problems may emerge from the post-project analysis. The monitoring should be used to trigger actions regarding the individual project, or more often about other projects the sponsoring agencies will fund in the future (e.g., finding better ways to encourage maintenance of the earth structures, identifying problems that require GOI assistance, or identifying situations that are real winners that deserve replication).

152

The users of information collected after completion of outputs are the same as the users of the project implementation information (see page IV-11 for the same kinds of purpose: problem solving, improved screening and selection, revised guidance, publicity, and fundraising based on stronger evidence of benefits to poor people).

D. IMPLEMENTATION

For both sponsoring agencies, implementation of a system incorporating these common elements will benefit from the development of new and simplified reporting formats which incorporate much of the information which is already gathered in interviews and, when reported, is presented in narrative form. The PCI team observed that CRS consignees and distributors and CASA program officers and contact persons already had some of this information (especially in the project preparation phase) but it was recorded in a manner which kept it outside of the management information system. Field staff, for instance, were observed to make laborious field notes in lieu of a checklist which would order the information in a simple and useful fashion. However, we also observed that especially in CRS there is a creative impulse to get more useful information at the project application and follow-up stages.

Development of new reporting formats should coincide with staff training, which should emphasize the intended uses of the information, how to get it, and the field testing of new forms for project design and follow-up.

1. Staffing Implications

Programming FFW Projects to include estimates of increases in production, income and other benefits should not require major changes in the size of the staffs of either CRS or CASA. The capacity to monitor benefits (e.g., increased agricultural production, employment and income) after the project will entail gathering and disseminating more and different types of information than are presently sought or used. However, this information is closely linked to

information routinely collected at the present time by both voluntary agencies in the project application and completion monitoring stages. The additional demands on the existing paid and volunteer staff should be a tolerable burden if the value of monitoring benefits becomes appreciated and accepted at all levels of the agencies. The key to successful implementation is focusing on the critical information, and immediately using it for critical management decisions. If these criteria are adhered to rigorously, development of the information infrastructure to support benefits monitoring should not cause a paperwork explosion or require the hiring of additional specialists. Furthermore collecting the information on a sampling basis will substantially reduce the workload while the new procedures are perfected and prove their usefulness.

We recommend that implementation of the monitoring and evaluation system be accomplished through improvement of the capabilities of existing staff and through modifications and extensions of current data collection practices.

The voluntary agencies may wish to go beyond the monitoring and evaluation system recommended in this evaluation plan and obtain, in the near future, a full-scale evaluation of a sample of its FFW Projects. In this case, several options are open which deserve exploration. First, the agencies could endeavor to develop their inhouse capacity to conduct evaluations. Such an approach offers the advantage of having resource people readily at hand for both technical expertise and training. CRS, in particular, might have a need and enough projects to justify developing this capability; however a felt need was not apparent to the PCI team. Second, the agencies could contract with outside institutions or consulting firms to conduct evaluations. A recent precedent for this is the Evaluation of Food for Work Programs in Daltonganj Diocese commissioned by the CRS Calcutta Area Office and conducted by the Xavier Institute of Social Service. This approach offers the advantages of avoiding major recurrent budget costs for inhouse evaluation staff and of using local institutions that are familiar with regional language and cultural variations.

In either case, we recommend that the voluntary agencies and USAID/India cooperate closely on the forthcoming evaluations of the FFW Program in India.

TRAINING

CHAPTER V

The training provided to staff of the voluntary agencies should be the minimum amount sufficient to institutionalize the changes in the monitoring and evaluation system described in Chapter IV:

- In the project preparation, screening, and approval process, better use of a relatively simple conceptual approach (that is already known and accepted) should make it easier to systematically consider the benefits expected from the assets produced in FFW-assisted projects. Estimating the benefits from the use of assets will require some additional work but the evaluation studies of 1981-1982 will help to provide facts and experience for estimating;
- Completion reports should include additional information regarding the completion of assets that are potentially fruitful; and
- Improvements in the institutional memory so the information required for an evaluation of the use of assets and the benefits to poor people can be done after project completion.

Training is proposed as a means to (a) improved project design and follow-up monitoring and (b) simplified and improved record-keeping. It should impart the capacity to continue the necessary training to Indian institutions serving the voluntary agencies or to the voluntary agencies themselves as rapidly as possible. Training should emphasize the improved handling of assets created with FFW assistance and changes in institutional procedures which are obvious, significant, and minimally disruptive to current practice.

A. SPECIFIC TRAINING NEEDS

The specific training needs must be worked out in detail with the voluntary agencies to ensure that they accept the need for more attention to the assets and benefits flowing from their use. Readiness to collect the necessary data,

make record-keeping changes, the pace for installing these changes, and the choice of training institutions are among the tactical decisions that must be worked out by the agencies involved.

B. TRAINING METHODS

We recommend that all training use small group experiential learning methods tailored to adult learning styles. Such training is successfully conducted in groups of 25 to 35 which can be broken into workshop groups of 8 to 12. This training proceeds by *doing* rather than *hearing* or *seeing*. It makes full use of the on-the-job experience of the trainees. Plenary presentations relate new concepts and methods to case material which is directly relevant and well-known to the trainees. Workshop groups use drills, exercises and problem-solving tasks which draw from their own experience and are commonly encountered in work settings.

The training program should accept the differences between CASA and CRS and should not force the two voluntary agencies together. Each should be supported in keeping its own identity and the two agencies' staffs should be allowed to be trained entirely separately if they prefer to do so.

C. TRAINING FOR CRS STAFF

CRS training should be predicated on the recognition that there is a fairly wide range of practice within CRS in project design and beneficiary selection, and many consignees have started to develop their own forms to refine the standard national forms. (This range of practice should be viewed as a sign of creativity and positive experimentation rather than undesirable deviation from rigid norms.) Training should strive to identify the *best* among *existing* practices and extend their usage rather than trying to impose something entirely new from the outside.

CRS training should be decentralized to the extent feasible.

1. CRS Trainees

Training should be oriented toward individuals who are engaged fulltime, professionally, in FFW Projects. This means that the key individuals to receive training are:

- Zonal office field staff: field evaluator and others who travel; all those who help to design and select projects and who are responsible for monitoring them at their conclusion;
- Consignees: the individuals who are responsible for all aspects of the FFW Program in their diocese; and
- Consignees' field staff: these are the key individuals.

a. CRS Zonal Office Staff

The ABS FY1982 states that there are a total of 19 field reviewers and six FFW evaluators. Possibly some of the field reviewers do not concentrate (or work at all) on FFW Projects. The field reviewers have a supervisory monitoring role, but they are not the direct supervisors of the consignees' field staffs. The FFW evaluators are important because *they* select individual projects submitted by the consignees on Form 11. Within the CRS hierarchy, it would be helpful to give the area field staffs a preview of training before any other training is conducted in their area. This might be as short as one day and should focus on a discussion of the issues involved and a reorientation in attitude and the implications of the changes for zonal office record-keeping. Or, the zonal staffs could attend one day both before and after the first full training workshop in their area; they should be the key liaisons between the zonal offices and the training institution in the area which will actually handle the bulk of the training. They should, probably, not be expected to become trainers themselves.

b. CRS Consignees

The ABS FY1982 says that there are 174 consignees. In Madras, of the 31 consignees, only 28 handle FFW. This is 90%. If typical, there are about 157 FFW consignees in India. If these were evenly divided among five zones, there would be about 30 in each (i.e., Madras is a typical size). These numbers make it feasible to hold one workshop in each area. In Madras there is an annual consignees' meeting, so there is at least some precedent for bringing them all together (from as many as four states). If they are to be brought together at the zone level, a workshop for consignees could be the same as a workshop for the zone field staff.

c. Consignees' Field Staffs

Consignees range in size from one-man operations to large operations with staffs numbering as high as 32. Typical consignees, however, have between two and five field staff members. With an average of 30 to 35 consignees in each of the five zones, there are estimated to be between 90 and 150 field staff in each zone, or a total of between 450 and 750 staff persons.

2. Training for CRS

We recommend that CRS use five regionally-based outside organizations to actually conduct the training. These institutions should be those with which CRS has, or could have, close working relations and which currently have some training capabilities. Examples are the Xavier Institute of Social Service in Ranchi and the Indian Social Institute in Delhi.

The most straightforward method of delivering the required training would be for trainers in these collaborating institutions to participate in one intensive seminar focused on both project management and training methods. The seminar would have 25 to 35 participants, last four to six weeks, and be conducted on a

nationwide basis. Each regional institution serving one of the five CRS zone offices would send five to seven prospective management trainers who would subsequently be responsible for training to 90-150 CRS staff members in their region.

CRS zone office and consignees' field staffs should participate in three workshops of approximately three days each scheduled at periods when seasonal workload is low or at quarterly intervals over a nine-month period. These workshops would be conducted by the management trainers who had participated in the four to six week seminar and would be held locally for the staffs of a few consignees at a time. This would typically require holding two or more seminars in each state. There are several advantages to this format:

- Short periods of training would be minimally disruptive to the flow of routine operations of CRS consignees and would not overload CRS participants with more concepts and procedures than they can use. Decentralization of training will minimize travel costs and other participant expenses;
- The two follow-up sessions after the first session will enable CRS trainees to test new project design and benefits-monitoring procedures by field testing simplified reporting forms. The contents and format of the reports will be refined in this process, and trainees will receive reinforcement on their application and their use in management decisions; and
- This multiple-session format will facilitate the evolutionary improvement of the design and presentation of the training itself.

3. Implementation Schedule for CRS

CRS can identify collaborative training institutions during the first quarter of CY1981. The Training of Trainers Seminar, possibly sponsored by USAID/India in cooperation with CRS, could be held during the second quarter of CY1981. CRS training would then be expected to begin during the third quarter and conclude in the second quarter of CY1982, at which time the monitoring and evaluation system would be fully implemented.

	NATIONAL HQ	ZONE OFFICES	CONSIGNEES	CONSIGNEE FIELD STAFFS
WHO	Policy Staff	Zone Director, FFW Evaluator, Field Reviewer(s)	Consignees	Field Rep., Reviewers, Officers, Assistants
NUMBER	10?	5 Dir., 6 Eval., 19 Reviewers	Est. 157	Est. 475-735
HOW LONG	1 day	3 days+ all of that for consignee + staff for area field staff	2 days QI	Q I 3 days Q II 3 days Q III 2 days
OBJECTIVE	<ol style="list-style-type: none"> 1. Understanding and active support of benefits monitoring. 2. Development of guidelines to implement. 	<ol style="list-style-type: none"> 1. Development of guidelines to implement. 2. Understanding and support of all procedures. 3. Ability to supervise the monitoring done by consignees' field staffs. 	<ol style="list-style-type: none"> 1. Understanding and support of all proc. 2. Select projects on the basis of expected benefits. 3. Maintain project records throughout the expected duration of benefits. 	<ol style="list-style-type: none"> 1. Design projects and select projects on the basis of quantified levels of expected long-term benefits. 2. Conduct follow-up monitoring which quantifies outputs of each project.

FIGURE V-1: SUMMARY OF PROPOSED TRAINING: CRS

	<u>MAJOR ELEMENTS</u>
Day 1 Morning	<ol style="list-style-type: none"> 1. The present objectives of FFW Plenary discussion of projects ongoing at the time of the workshop regarding their objectives. Participants identify what they are trying to achieve now. 2. The potential of FFW projects. Directed plenary discussion derived from (1) identifying the role of FFW projects in economic development, community development. 3. The intended benefits of FFW projects. Directed plenary discussion.
Day 1 Afternoon & All Day 2	<ol style="list-style-type: none"> 4. Project design Introduction to the Logical Framework approach to summarizing project design. Plenary lectures and workshops.
Day 3 Morning	<ol style="list-style-type: none"> 5. The project cycle Design-implementation-evaluation. Management information and the project cycle Plenary lectures and workshop.
Day 3 Afternoon	<ol style="list-style-type: none"> 6. Monitoring results and benefits. Plenary lecture and case study workshop 7. Forms, records, and record keeping. Plenary lecture and workshop. 8. Evaluation Summarizing introduction to the basics of evaluations.

FIGURE V-2: PROPOSED (SAMPLE) TRAINING PROGRAM FOR CRS
CONSIGNEE FIELD STAFFS: THREE DAYS

D. TRAINING FOR CASA STAFF

There are two important considerations in the design of a training program for the CASA staff. First, the duties of zonal office staff are functionally very different from those of the field staffs. Program officers at the zonal offices hold institutional responsibility for project appraisal and design, as well as overall control of commodity flows. Field staff responsibilities are primarily limited to monitoring and verification of food stocks, and to a much lesser extent, to monitoring the conclusion of FFW Projects. The critical task of project design is primarily carried out by contact persons, all of whom are volunteers and many of whom at any given time have had no previous experience with implementing CASA FFW Projects.

Second, CASA has made a substantial investment in staff training in the past 18 months; further training to install a new monitoring and evaluation system should build carefully on the skills imparted through recent training. The object of recent training has been "to increase field staff capabilities in project design, implementation and evaluation assistance they provide project holders" (ABS FY1982).

The objective of further training for the CASA staff should therefore be better utilization of skills which have already been introduced to the staff and to extend these skills to contact persons. It appears that the first step in achieving these objectives is revision of the roles of the program officer and field reviewers to enable the latter to play a significant part in the project design phase. Further training should enable the field reviewers to play a more effective role in training contact persons.

1. Changes in Staff Duties

At the present time, the design of FFW Projects is accomplished through discussions and negotiations directly between potential contact persons and the program officer stationed at the zonal headquarters or field office (e.g., in

165
Gaya for projects in Southern Bihar). The program officer distributes "a call for projects" each quarter. Potential contact persons send their ideas directly to the program officers, who work out the project design and food commodity levels before notifying the field reviewer, who then verifies the specific information provided by the contact person. Field reviewers do not, typically, play a critical role in the project design process, and they are not expected (nor, apparently, encouraged) to submit their own proposals for FFW Projects.

The major reason for this system appears to be the fact that the field reviewers are fully occupied with monitoring and control of the food commodities and verifying the records of the contact persons. They play only a small role in training the contact persons in project design, in comparison to the role of the program officer.

CASA should re-examine the duties of the field reviewers to see if it would be possible for them to play a more active role in designing projects and in monitoring them after their completion. This is especially important because the rapid turnover of contact persons places a great burden on the program officer to train them adequately in CASA procedures. Involvement of the field reviewers at the start of the project cycle might diminish conflicts between them and contact persons. At the present time, field reviewers are frequently perceived as "policemen" rather than "consultants," and an active and supportive training role for the field reviewers would probably be the best way to make them the allies rather than the watchdogs of village leaders who undertake FFW Projects.

2. Recent Training in CASA

CASA has made a concerted effort in the past 18 months to upgrade the skills of both the zonal office and field staffs. One example of this effort, from the Madras Zone, was the Project Management Inservice Training Project which was conducted between June and December 1979, scheduled for one week per month

for six months. An indication of the contents of the training program is shown in the Logical Framework presented in Exhibit V-1, and through the contents of the seminar notebooks given to the trainees, as shown below:

<u>Topic</u>	<u># Pages</u>
Project Evaluation	44
Project Implementation	45
Projects: The "Cutting Edge" of Development	9
Project Appraisal	38
Project Design: Outline of a Project Proposal	3
Project Design: The Logical Structure of a Project	12
Project Feasibility	8
The Relevance of Management in Development Work	6
Evaluation of Needs Assessment	3
Project Identification	8

3. Future Training for CASA

In the light of the extensive training which the CASA staff has received in the last two years, the apparent training need of CASA is not more staff training but better utilization of the skills it has acquired and enhanced ability to communicate these skills to contact persons. The major constraints are the relatively small absolute number of CASA field staff, the fact that contact persons are volunteers, often with little previous project experience, and the rapid turnover of contact persons as a matter of explicit CASA policy.

There are two major options here: training for contact persons could be strengthened through regular training sessions on a quarterly basis (or during seasonal lulls that are convenient to participants) at the zonal headquarters under the leadership of the zonal program officer. Or training could be decentralized and conducted by field reviewers during the course of routine visits to contact persons. The first option would appear to be far more

169
cumbersome and costly than the second, entailing significant travel and per diem costs and the likelihood that attendance would not be full or regular. The second option, though it appears far simpler, will require a change in the duties of the CASA field reviewers and, consequently, their relationships with both the program officer and the contact persons.

We recommend that CASA carefully re-evaluate the role of field reviewers in project design to identify specific training tasks which they can perform in a decentralized manner. If it is feasible to increase the training functions of the field reviewers, then CASA can design a series of short workshops for them to reinforce the project management skills they acquired in their recent training and emphasizing new skills for them as trainers. Changes in the duties of field reviewers, limited training for them, and increased training for contact persons are the priority training needs.

4. Implementation Schedule

CASA should undertake a review of the responsibilities of field reviewers and identify specific training requirements during the first quarter of CY1981. It should meet these staff training needs during the second and third quarters of 1981 and begin to implement the monitoring and evaluation system outlined in Chapter III during the fourth quarter of 1981. Full implementation of the monitoring and evaluation system could be expected by the beginning of the second quarter of CY1982.

USAID/India is already alert to the demands being made upon CASA to respond to a critical audit in 1980. Consideration was given to offering CASA a "grace period" while it responded to the auditors, allowing CASA to postpone improvements in the monitoring and evaluation system. However, upon reflection, moving ahead immediately seems more appropriate than waiting. The basic understanding is already present in CASA as a result of the recent management training program. The auditors want to see evidence of sound internal review and self-auditing system. Improving the management systems as recommended in this

report with a "results-orientation" is exactly the type of management improvement required for effective internal reviews and self-improvement. Consequently, the recommended activities should be regarded by the auditors as good faith efforts to improve internal review procedures. Of course the acid test will be for CASA to make some important changes based on information from its improved internal review system.

Title: Project to convert landless labourers-
Agrl. lab. - Kapparthi Area.

Prepared by Sub-Group Project FY 80-81
Working-Cum-Consulting Group/Madras Zone

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
GOAL: -improve socio-economic status -achieve self-sufficiency -reduce poverty of the landless labourers. Sub Goal: Achieving self-sufficiency in increasing rice-production	1.Changes in Marketing relationships. 2.Increase Expenditure in-house-in hotel management. 3.Increase in Expenditure on cultural activities. 4.Less indebtedness.	Survey observations Records of coop & financial Institutions Interviews or dialogue with the village people.	-stable Govt.policies -co-op of the labourers price planning -no adverse acts of God.
PURPOSE: -Increase of production. -Provide an effective crop production system.	1.Double crops-storage facilities. 2 Increase in consumption rate. Use of Modern Methodology - like high breed seeds.	Interview with farmers available records with BDO CASA/IRD Household survey records available in the retail shopping, like fertilizers and seeds.	25 wells with not suffice 264 acres of land. Water shared by Farmers. Groundnut/paddy will grow. Climatic condition permits
OUTPUT: -25 irrigation wells completed. -25 pumpsets installed -creation of cultivable land.	-personal verification of wells by F.R. (25 nos) -installation of pumpsets. -increased supply of water. -increase in production.	Records of CASA Records of BDO Kirloskar Company's records.	Food CASA supplies un. FFW will be sufficient complete the work. Fertilizers will be available. Pumpsets will be available. Personal verification by F.R.
INPUTS: -aid from CASA Food worth 7,00,000 -loans -IRD 1,00,000 -fertilizers, pesticides seeds from BDO 80,000 -Technical advice	Approval by the project committee. Despatch of food on time. Availability of fertilizers and pumpsets.	Records of CASA (Despatch Advice/CI etc). Records of BDO	PL 480 Title II food will come. Project Committee will approve the project. Fertilizers/pumpsets and seeds will be available.

Practical Concepts Incorporated

EXHIBIT V-1: CASAPROJECT MANAGEMENT INSERVICE TRAINING PROJECT
SAMPLE LOGICAL FRAMEWORK

Narrative Summary	Objectively verifiable Indicators	Means of verification	Important Assumptions
PERSONNEL FROM BDO -Dry land given by Govt. -Service of Mtd. Officials. -able-bodied labourers.		Records of Revenue Dept. Muctor Kollo Financing Institution records	Voluntary services of the Mtd. Officials will be available. Labourers will be willing to work for food(as wages) BDO is willing to take up the area.

General: 1. Goal, sub-goal and purpose have no definite target.
 2. No time factor

Recommendations: Subject to the following conditions the project is not a viable one.

1. No specification regarding ground water analysis.
2. No idea about their present baseline - conditions.
3. No target and time factor.

NEXT STEPS

CHAPTER VI

The next steps for carrying out the evaluation plan are collected together in this chapter. The recommendations are divided into steps for:

- The evaluation studies of 1981-1982;
- Improvements in the monitoring and evaluation systems; and
- Training.

A. NEXT STEPS FOR THE EVALUATION STUDIES OF 1981-1982

USAID/India should take the initiative for the program of evaluation studies for 1981-1982 with the following tasks:

1. Review the evaluation plan in its final form, checking for overall strategy and relevance to important decisions in the next two years by USAID, CRS, CWR/LWR, CASA, GOI and others (first quarter of 1981);
2. Assign personnel to the evaluation program from USAID, with realistic commitments of time to do a good job. John Westley would be an excellent candidate to head the committee and coordinate the evaluation program. We understand that John Chudy may also be available for an important role. Larry Flynn and others in the FFW Program should also participate (first quarter);
3. Create an "evaluation advisory group" as recommended in Pages III-11 - III-12. Establishing a constructive and informal dialogue between USAID and the voluntary agencies should begin immediately and characterize the entire evaluation program (first quarter);
4. Budget preparation should be done in the first quarter of 1981;
5. Scheduling requirements are indicated in some of the studies and not in others. Prepare the profile of projects from CRS and CASA in FY1980 and FY1979 to confirm the importance of the mainstream programs identified in the evaluation plan, the zones where there are many projects

124

of a particular type, and a basis for reconnaissance visits regarding specific studies. A schedule should be ready by March 31, 1981;

6. Contracting for the first evaluation should be done promptly. It would be best to start with a known contractor that has already done some good work for USAID. Use the first contract to establish some benchmarks for costs, productivity, and time to complete the evaluations; these benchmarks should be helpful later in negotiations with other institutions. The recipient study (#1) and/or Minor Irrigation Studies #2a and #2b may be good candidates. The Xavier Institute of Social Science Research in Ranchi appeared to be a good candidate for Study #2; USAID and the evaluation advisory committee must negotiate a contract based on their own experience regarding the capabilities and costs of evaluation work in India (first quarter of 1981); and
7. OFFP should be alerted regarding any plans to use contractors through the Indefinite Quantity Contracts (IQC) for Title II Evaluations. PCI (and probably other IQC contractors) would be pleased to assist in the FFW evaluation program, even though every effort has been made to facilitate using Indian institutions and contractors.

B. NEXT STEPS FOR IMPROVING MONITORING & EVALUATION SYSTEMS FOR THE VOLUNTARY AGENCIES

CRS and CASA should take the initiative for improving the monitoring and evaluation systems for their Title II FFW Programs. The next steps are the following:

1. The national and zonal offices should review the recommendations of this report and confirm that the proposed changes are potentially worthwhile and feasible. Each zone should check out the best practices among its consignees and identify staff members who could contribute to and benefit from practical/analytical management improvement work;
2. CRS and CASA should encourage volunteers among the zone offices and consignees for (a) testing the recommended approaches to monitoring and evaluation, and (b) subsequently for adapting the procedures used by the voluntary agencies. USAID and the national offices of CRS and CASA should provide generous moral support, financial assistance as required, and expert assistance if requested; and
3. Experimentation with improved project preparation, screening and approvals should be underway by the second quarter of 1981. Improved monitoring of project completion should also be tested in the second

144

175/145
quarter. The results of the experimentation should be shared with the national offices by the end of the second quarter and with the evaluation advisory committee soon afterwards.

C. NEXT STEPS FOR TRAINING

1. USAID and CRS should discuss the recommendations in Chapter V regarding training. The plans should be checked regarding overall objectives, feasibility, the actual number of staff persons who should get training, the plans regarding use of outside training institutions and decentralized short-term seminars, etc. Inevitably some improvements will be made in the plan (first quarter);
2. CRS should identify training institutions in each zone that could provide training for CRS staff in the zone and consignee levels. Contacts should be made with the most promising training institutions (first quarter) to establish their interest in training CRS staff and their availability for a national Training of Trainers Seminar in the second quarter of 1981;
3. USAID/India should initiate contact with Lou Faoro of DS/RAD regarding the Training of Trainers in Management (TTM) Program and the feasibility of a site visit to India in the first quarter of 1981 for a TTM in the second quarter of 1981. The site visit will verify the suitability of TTM (and alternatives), costs, and structure for the training;
4. Discussion of the costs for training after TTM should be initiated by USAID and CRS. The OFFP and the Asia Bureau could be included in this discussion if CRS is not able to handle it without help since management improvements can be funded from varied budgets (discussions and initial paperwork in the first quarter of 1981); and
5. If CASA wants to make its field representatives into trainers for contact persons, CASA should not be penalized for having done extensive management training already. CASA could use the same training institutions CRS uses. Alternatively, CASA trainers could be allowed to participate in the TTM with trainers who will serve CRS field staff. Alternatively, there may be a place for CASA trainers in a TTM outside of India that is not specifically oriented to FFW Projects.

179/

APPENDIX A: Interim Evaluation Report on PL 480 Title II Program in India

10

Community Systems Foundation, An Evaluation Report on the P.L. 480 Title II Program in India, June 4, 1979, pp. 65-68.

d. Conclusions and Recommendations

In Food for Work projects, the food which is provided under the Title II serves essentially the same functions as cash. One advantage to providing food is that it is easier to monitor than cash because it gives less incentive for corruption. Another is that it prevents the sharp rise in food prices which might result from a sudden increase in the community's purchasing power. The disadvantage is that food is less flexible in its uses than money. It can be used to pay labor, but not to buy materials. Given that food is additional to cash aid, Food for Work can represent a useful 'target of opportunity' for a resource which happens to be available.

The Food for Work projects are always designed around the concept of using food as wages. In one new project, however, the food is seen as a neutral resource and is converted into cash. This is the edible oil production project of the National Dairy Development Board. This project suggests a new approach to food for development. Rather than using the availability of food as a starting point, it might be possible to start by identifying needed development projects, estimating the required inputs, and then devising ways in which food could substitute for some of these inputs. In this way, new uses of the food might be found which could also contribute directly to an integrated development plan.

The existing projects that make use of the FFW food are not neutral in their effects. Those which involve the granting of assets to selected individuals or to a community without requiring their participation in planning their contribution of labor or resources, run the risk of perpetuating a dangerous attitude of dependency on outside charity.

Furthermore, if projects promise benefits which are not received because of poor planning and lack of other inputs, or if a project's benefits are clearly allocated unfairly and without regard for genuine need, then people will become cynical, skeptical of the value of development programs. This is likely to reduce their level of cooperation in future programs and may encourage them to engage in "trickery and rascality" as one person called it, taking advantage of a program which they perceive to be a sham.

In contrast, projects which use the availability of food as an incentive to organize the community and educate it in planning and problem solving as well as to create income-generating assets and skills can have an important positive long-term effect on economic and community development. The nutritional impact of such an effect may well be greater than that of any direct feeding program.

As we have discussed, the projects supported under Food for Development can serve several objectives:

1. provide jobs for poor laborers
2. increase agricultural production
3. improve the economic position of the poor
4. improve the standard of living of the poor
(without regard to changing incomes)
5. promote community development

182

146

We have suggested criteria by which to evaluate the potential of any given project for achieving each goal, and those will be summarized below. The decision whether or not to apply these criteria rests with the policy makers in USAID and the volags, and depends on their evaluation of program priorities in light of local economic conditions. In our view, the greatest long-term benefits to the country will be derived from projects which promote community development as we have defined it. Such development should allow a community to improve incomes and standards of living and increase employment as well. In the short term, severe unemployment or constraints on income may be felt to justify less comprehensive projects in some cases. However, projects which simply take the form of grants, in which assets are given without any participation by the recipients, or in which food is simply used to pay for unskilled labor on a continuing basis, probably do more long-term damage by creating dependency and reducing the incentive for initiative than is justified by the limited benefits they provide. Unless the food is used as a short-term input contributing to a lasting change, providing food in these projects is like 'pouring water in a jar with a hole in it', as one project implementor said. (Obviously provision of foods in a famine is an exception in which humanitarian concerns would and should override other considerations.)

Based on these concerns, we have suggested these criteria for assessing the value of Food for Development projects.

First, if possible, the project should be one that promotes community-wide self-reliance as well as economic growth. This can be achieved if project beneficiaries are involved in planning and execution of the project, if they take responsibility for it, and if they are required to provide some of the project resources themselves. Second the project should

be planned with food as a resource with time-limited availability and with specific criteria for the eventual termination of the food input. (In training programs the time limit could be applied to individual trainees.) Third, the selection of project beneficiaries (those who receive assets created by the project) should be based on established criteria of economic need. Ideally, from the point of view of community participation, the recipients (those who receive the food) should be the beneficiaries as well. It would be best if the whole community participated in selection of beneficiaries as well as of the project. Recipients of course should also be selected on the basis of need. Fourth, a project should not be undertaken unless all the resources are known to be available. Otherwise, those resources which are used will be wasted, and people's confidence will be lost. Fifth, a project should address an existing constraint on economic development in the community, responding, if possible, to a felt need of the people.

We would stress that these criteria need not be rigidly imposed and that the decision to impose them at all depends on the purpose of the program as seen by USAID and the volags. We do feel, though, that the purpose of Food for Development programs should not be simply to move food or to rack up new assets. There is enough need for genuine development in India so that the resources should not be wasted on fruitless projects. If sufficient projects cannot be found which at least meet the criteria of serving the needy and alleviating real constraints, then the volags might want to assign more staff to the development and promotion of such projects in the community, or they might consider the possibility that less food should be used and fewer projects undertaken.

10/1/06

APPENDIX B: Scope of Work for Evaluation Planning for PL 480 Title II Program in India

1.88

I. TITLE

FFP Program Support and Management Evaluation Planning for PL 480 Title II
Food for Work Program in India

II. OBJECTIVES

The technical assistance provided to the USAID/India is expected: (a) to provide specific written recommendations and an outline for FFW case study evaluation methodology (i.e., detailed scope of work and implementation plan), (b) to provide written recommendations for elements to be incorporated in a common FFW program monitoring/evaluation system for use by the voluntary agencies in India, (c) to provide written recommendations on training the voluntary agency's staffs to use effectively the monitoring/evaluation system.

III. STATEMENT OF WORK

Fulfillment of this work order will be as follows: (a) identify and examine FFW Program evaluation criteria (i.e., goals objectives, performance indicators and assumptions) which are suitable for use as common guidelines by field investigators who will conduct FFW case studies, (b) examine the internal monitoring/evaluation system of CRS and CWS/LWR FFW Programs for areas which could be incorporated into a common system, (c) review existing FFW data base for information to be included in evaluation methodology, (d) interview appropriate USAID, CRS and CWS/LWR staff to obtain information relevant to the evaluation methodology and the monitoring/evaluation system for FFW Projects, (e) review FFW issues raised in evaluations, audits, USAID reports, select records and reports of CRS and CWS/LWR and all voluntary agencies, AID and GOI's manuals on FFW Programs for relevant information necessary to meet the abovementioned objectives, and (f) recommend program content and methods for training voluntary agency's staffs to implement the evaluation and monitoring systems developed by USAID/India and the voluntary agencies.

08/1/90

APPENDIX C: Partial List of People Consulted regarding Title II FFW Programs
in India

PARTIAL LIST OF PEOPLE CONSULTED REGARDING THE TITLE II
FFW PROGRAM IN INDIA

USAID/India

Priscilla Boughton	Director
Lawrence Flynn	Chief, Food for Development
John Westley	Program Review Officer
Harry Houk	Food for Development Office
S. Chandrasekar	Food for Development Office
N. Krishanmurty	Food for Development Office

AID/Washington

Office of Food for Peace (OFFP)

Peggy A. Sheehan	Chief, Title II Division
Robert B. Pooley	Department Chief, Title II Division
Carolyn F. Weiskirch	Program Analyst
Robert Sears	Asia Program Officer

Asia Bureau

James Manley	India Desk
Bernadette Bundy	India Desk

Government of India (GOI)

Planning Commission, Programme Evaluation Organization

S.M. Shah	Director
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192

Catholic Relief Services (CRS)

World Headquarters in New York

Donald Crosson	Regional Director, Asia & Pacific
Anthony M. Foddai	Director, Program & Supply

India National Headquarters

John M. McHale	Director
P. Rozario	Internal Reviewer

Madras Zonal Office

Joseph Gerstle	Director
Mr. Sebastian	FFW Evaluator

Calcutta Zonal Office

Mark Kinsella	Director
Neville Pradhan	Program Reviewer

Consignee #1: Catholic Charities, Patna Diocese (Bihar State)

Fr. Robert Donahue	Diocesan Director
Bishop Benedict Osta	Patna Diocese
Job Thekas	FFW Evaluator
Joseph Francis	Patna Diocese Field Officer

133

Patna Distributor #1: Gulni Parish (Patna, Bihar State)

(mud housing; ahar repairs; land leveling projects)

Fr. Aloysius Sequeria Distributor
Japas Manghi Udrai Village

Patna Distributor #2: Khadigram Ashram (Monghyr District, Patna Diocese, Bihar State)

(mud housing; ahar; channel and ahar; Budanpuri Village development--105 acres resettlement for 35 families)

Rammurti Ji Director, Shram Bharati

Consignee #2: Catholic Charities, Ranchi (Ranchi District of Bihar State)

Fr. Linus Kindo Diocesan Director, Catholic Charities, Ranchi
Mr. Martin Tiga Assistant Director
Fabian Alexander Former CRS Evaluator
Fr. A Van Exem, S.J. Head of Catholic Cooperative of Ranchi

Ranchi Distributor #1: Khunti Parish

(garden wells; earthwork dam project in Khunti irrigating 60 acres)

Fr. Patric Tete, S.J. Distributor in Khunti
Kajru Munda Village Spokesman in Khunti

Ranchi Distributor #2: Mandar Parish (Ranchi District, Bihar State)

(well projects near Malpi Village)

Matias Ekka Supervisor

Xavier Institute of Social Service (Ranchi)

Fr. Michael Van Bogaert, S.J.

Fr. Franken, S.J.

Consignee #3: Thanjavur M.S.S.S. (Tamil Nadu)

Fr. Philominraj	Consignee
Mr. Arpudasami	Program Officer
Francis Xavier	Field Reviewer
Rajinder	Field Reviewer

Consignee #4: Kumbakonam M.S.S.S. (Tamil Nadu)

Fr. A. Pakiasamy	Consignee
Rajindra	FFW Field Representative
Muthukrishnan	Field Assistant

Consignee #5: Vijayawaga Social Service Centre (Andhra Pradesh)

Fr. Marampudi Joji	Consignee
Pratap Reddy	Field Representative
K.N. Chary	Field Representative

Consignee #6: Tiruchirapalli M.S.S.S. (Tamil Nadu)

Fr. Kulandaisami	Consignee
Br. Alexander	Distributor, Boys Town
Fr. Peter John	Distributor, Marambadi

Church World Service/Lutheran World Relief (CWS/LWR) & Church's Auxiliary for Social Action (CASA)

CWS World Headquarters in New York

William Bartlett	South Asia Region
Howard Jost	South Asia Region

CWS/LWR India National Headquarters in Delhi

Ronald E. Yoder	Representative
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CASA National Headquarters

Major J.K. Michael	Director
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CASA Calcutta Zonal Office

G.P. Rao	Zonal Director
B. Jash	Programme Officer

CASA Gaya Field Office in Bihar State

S. Behera	CASA Field Representative, Bihar
P.K. Singh	Assistant to Field Representative
A.K. Sinha	Field Officer

CASA Contact Person #1: Kharmoni Tank

P.N. Singh	Consignee
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Others Consulted

Douglas Attwood

Director, CARE India

197/2

APPENDIX D: Annual Budget Submission, FY 1982, Catholic Relief Services
Program, Attachment V

Attachment V

FFW PROPOSED AND ACCOMPLISHMENT FY '79 PROJECTION FY 80 AND PROPOSED FY 81

ACTIVITIES	1 PROPOSED FY '79		3 ACCOMPLISHED FY '79		5 % OF ACCOMPLISHMENT		6	
	Units	Man-days proposed	Units	Man-days utilised	Units cols. 3:1	Man-days cols. 4:2		
Irrigation Wells (Nos)	5,326	4,183,068	4,370	3,893,570	75%	93%		
Wells Deepening (Nos)	2,699	1,198,356	2,422	1,150,450	90%	96%		
Tanks/Dams/Reservoirs (Nos)	1,139	3,073,022	1,237	2,673,157	109%	87%		
Irrigation Canals (Kms)	633.7	437,253	258.59	285,742	41%	65%		
Land Construction/Repairs (Kms)	1,355.7	1,480,424	1,683.71	2,170,302	124%	147%		
Land Clearing/Levelling (Acres)	2,475		170.1					
Beach Terracing/Land Reclamation (Acres)	18,713	5,127,362	28,858.32	7,070,288	154%	137%		
Reforestation (Acres)	8,466	2,116,500	375	26,250	4%	1.24%		
Restoration (Acres)	3,055	158,860	3,262.9	978,870	107%	616%		
Pasture & Forrage Development (Acres)	237	51,192	83.5	18,454	35%	36%		
Fisheries Development (Nos)	155	150,185	2,001	974,487	1,291%	612%		
Road Construction/Repairs (Kms)	2,753	5,123,333	1,777.52	2,655,614	65%	52%		
Bridges/Culverts (Nos)	4	7,920	3	4,680	75%	50%		
Drinking Water Wells (Nos)	1,364	566,176	680	492,320	50%	87%		
Schools/Health Centres/Godowns (Nos)	393	1,350,505	350+	653,400	92%	35%		
Boundary wall (Kms)	0.14		360,000	Bridges				
Low cost housing (Nos)	23,380 + 2192000 bridges	8,510,320	20,976 + 2363000 bridges	4,656,672	90%	55%		
Vocational Training (Nos)	41,950	1,971,650	47,675	762,800	114%	39%		
Construction of Latrines/Sewages/Ditches, etc (Nos)	1,930+	1,453,290	248	393,420	49%	27%		
Others	67.7		50	Pits				
Godown Upkeep (Acres)	191	-	191	Repairs	-	-	-	-
(Kms)	100	-	669		-	-	-	-
Dairy Units (Kms)	77.24	-	76.71		-	-	-	-
Trees	78	-	38		-	-	-	-
TOTAL:	-	37,498,416	-	28,860,576	-	77%		

ACTIVITIES		7		8		9		10		11		12	
		PROJECTION FY '80				PROPOSED FY '81				% INCREASED/DECREASED			
		Units	Man-days	Units	Man-days	Units	Man-days	Units Cols. 9:7	Man-days Cols. 10:8	Units Cols. 9:7	Man-days Cols. 10:8		
New Irrigation Wells	(Nos)	5,360	3,982,480	6,217	4,569,495	(+)	16%	(+)	15%				
Wells Deepening	(Nos)	2,232	1,024,488	2,907	1,424,430	(+)	30%	(+)	39%				
Tanks/Dams/Reservoirs	(Nos)	1,247	2,091,219	1,399	2,487,422	(+)	12%	(+)	18%				
Irrigation Canals	(Kms)	354	275,412	453	659,115	(+)	28%	(+)	139%				
Bank Construction/Repairs	(Kms)	1,808	2,073,776	2,483	2,341,469	(+)	37%	(+)	13%				
Land Clearing/Levelling	(Acres)	19,331.8	4,504,309	22,634	4,911,578	(+)	17%	(+)	9%				
Bank Terracing/Land Reclamation	(Acres)	471.6	30,654	281	25,290	(-)	40%	(-)	17%				
Reforestation	(Acres)	6,887	289,254	5,075	1,471,750	(-)	16%	(+)	409%				
Pasture & Forrage Development	(Acres)	340.7	74,954	473	111,628	(+)	39%	(+)	48%				
Fisheries Development	(Nos)	23	112,033	28	196,728	(+)	22%	(+)	76%				
Road Construction/Repairs	(Kms)	2,192.3	2,942,066	2,281	2,878,622	(+)	4%	(-)	2%				
Bridges/Culverts	(Nos)	14	29,669	29	190,816	(+)	536%	(+)	543%				
Drinking Water Wells	(Nos)	920	487,600	1,079	525,473	(+)	17%	(+)	8%				
Schools/Health Centres/Godowns	(Nos)	265	518,985	333	912,087	(+)	17%	(+)	76%				
Low Cost Housing	(Nos)	18,136	5,205,032	19,292	5,884,060	(+)	6%	(+)	13%				
Vocational Training	(Nos)	38,456	1,769,068	41,814	1,505,304	(+)	9%	(-)	15%				
Construction Lat./Sew/Ditches, etc.	(Nos)	1,190 +	612,850	986	496,944	(-)	17%	(-)	19%				
	(Kms)	30											
Others	Persons	300		2,035									
	Acres	100		100									
	Kms	66		115									
TOTAL:		-	26,023,849	-	30,592,211	-		(+)	18%				

104

APPENDIX E-1: CRS Kumbakonam Multipurpose Social Service Society
Application Form

205

[CRS] Kumbakonam Multipurpose Social Service Society

Consolidated particulars of people requesting CAS aid
(To be filled in duplicate, one for project holder's file and
one to be sent to the _____ committee)

Serial number

Name of the applicant

Father's name

Name of block, village and panchayat

Number of people in the family

Children (applicable to males only)

Name

Education

Occupation

Yearly income

Occupation of the applicant

Do you own house; if so estimated value thereof?

Do you own land; if so estimated value thereof?

Total acres:

Under rabi

Under kharif

Total number of acres brought under cultivation

Under rabi

Under kharif

Do you own a well?

Do you have a pump set

Do you own bullocks?

Do you own bullock-cart?

Best Available Document

165

Yearly income:

Thru agriculture

Thru other means

Yearly ex enditure

Towards agr. culture

Towards family maintenance

Towards children education

Towards other incidentals

Do you have any debts: if so how much is the total

From where did you raise loan?

Rate of interest on the loan

Details of cattle, sheep, chicken etc. and the total cost

What do you need at present

Did you receive in the past any Gov assistance: if so for what purpose
and the quantity involved

Dimensions of the new well to be dug

Details of the old well

Existing dimensions

Work to be done

Measurement: of the land to be leveled

Nature of the soil

Average cubic feet of earth work per man/day

Daily work strength

For how many days

Best Available Document

209/21

APPENDIX E-2: CRS Kumbakonam Multipurpose Social Service Society
KMSSS Form #5 for Evaluation

[CRS] Kumbakonam Multipurpose Social Service Society

CATHOLIC RELIEF SERVICES/IDCC

KM. SS ROAD 5

FOOD FOR WORK - EVALUATION

1. Name of the beneficiary: Project:
2. Details of family: Beginning date:
3. Details of property: Closing date:
4. Details of past CRS assistance:
5. authorized number of workers
 - Total
 - Daily average
 - Total number of workers actually worked
6. Details of wages distributed
 - per day
 - Male, Female, Equal wages
7. Daily working hours
8. work accomplishments
 - Measurement prior to the project
 - Measurement after the project
9. water level
 - before the project:
 - after the project
10. Total amount so far expended for this project activity:
 - a. Lorry hire and other incidentals:
 - b. Masonry and blasting costs
 - c. Cash paid to workers

11. If the project is complete
 - a. How many acres were brought under cultivation
 - b. What crops ~~are~~ were grown
 - c. Total increased income

12. If the project activity was accomplished by you WITHOUT C.R.S. assistance, what would have been the total cost

13. Comments *of* beneficiary on this scheme

14. Suggestions of the beneficiary for improved program success

Signature of the beneficiary

address:

Signature of the project-holder

Signature of the project supervisor

Place:

Date:

APPENDIX F: Progress Report on 3000 Irrigation Well - Ranchi
CRS Project #IN-9-D-001

CATHOLIC CHARITIES

Diocesan Director
Catholic Charities
Manresa House
Purulia Road
Post Box No. 2
Ranchi - 834 001
Bihar

Tel. 21414
RANCHI
Date 13 NOV 1980
CRS-UP
INDIA PROJECT
NEW DELHI

PROGRESS REPORT ON 3000 IRRIGATION WELL - RANCHI

CRS PROJECT NO. IN-9-D-001.

FINANCIAL STATEMENT (As of September 30, 1980.)

<u>Receipts</u>		<u>Payments</u>	
By Grant Received from CRS :			
Dec. 1979	Rs. 251,627.30	To wells of FY-79 :	Rs. 251,627.30
March 1980	Rs. 69,972.20	To wells of FY-80 :	Rs. 722,938.98
May 1980	Rs. 200,000.00	(Amount utilized	
August 1980	Rs. 367,830.25	as per Bills.	
		See attached list)	
By amount overdrawn		Balance with centre	Rs. 272.35
from Chotanagpur			
Catholic Mission			
Co-operative			
Credit Society,			
Ranchi.	Rs. 85,458.88		
Total	<u>Rs. 974,888.63</u>	Total	<u>Rs. 974,888.63</u>

CATHOLIC CHARITIES

Diocesan Director
Catholic Charities
Manresa House
Purulia Road
Post Box No. 2
Ranchi - 834 001
Bihar

Tel. 21414
RANCHI

Date :

WELLS OF FY-80

NARRATIVE :

Out of 1967 wells approved for implementation during FY 80, 1750 wells have been completed, 148 wells were incomplete as of Sept.30, 1980 but they will be completed by the well owners themselves under the supervision of the local project committee members. No further quantity of grain, oil or money will be given for the completion of these wells as the stones needed for the steening have been paid for and are already available at the well site, further expenses, if any, will be met by the owners.

69 wells were cancelled or abandoned. The reason being that in some cases the beneficiaries were unable to start the work in time either because of illness in the family, financial constraints or migration of the earning members to urban areas to look for work. Some of the wells had to be abandoned because of impenetrable rock or unforeseen heavy rains in certain pockets of the area by which the wells collapsed in the initial digging stage. In the meanwhile the monsoon had fully set in and it was too late to re-excavate.

Considering that 89% of the wells planned for the year have been completed and only 7.5% were incomplete and 3.5% cancelled or abandoned, the implementation of the project has been satisfactory.

A total of 168,654 bags of Bulgur wheat, 31970 tins of Soyabean oil and Rs. 722,988.98 has been used for these wells of FY-80 (See attached list).

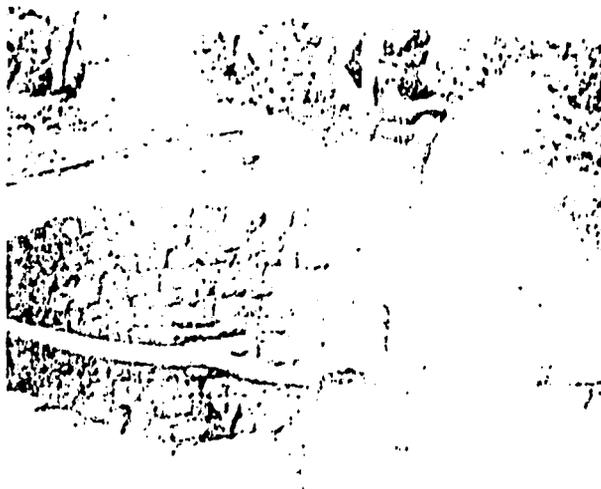
CATHOLIC CHARITIES

Diocesan Director
Catholic Charities
Manresa House
Purulia Road
Post Box No. 2
Ranchi - 834 001
Bihar

Tel. 21414
RANCHI

Date:

THE BENEFICIARIES



F.F.W. PROJECT NO. AI/1145/80, CENTRE DIGHIA, WELL NO. 1.

Dasru Ahir Mahto of village Kudarkho, under Dighia centre, is about 45 years old. He is married and has one daughter whose age is 7 years. His old mother is also living with them. He has studied upto class 3 and is from the low caste Hindu community. It was probably his grandfather who acquired the land which Dasru is now cultivating.

His well was completed under this project in the month of August 1980. It is 12 feet in diameter and 32 feet deep and is located on the high end of his 0.43 acre plot of land which is about 2 Km. away from his house. Besides this land, he also owns about 2 acres of paddy land from which about 25 mounds (1 mound = 40 Kgs.) of paddy is produced once a year, provided that during the monsoons the rains are adequate and well spaced. Earlier, without any irrigation facilities, the 0.43 acre of upland was not cultivated. Dasru could find employment for only about 30 days in a year which would add a meagre sum of Rs. 120 to his annual income. The total annual net income had been about Rs. 1000, hardly sufficient for one meal every day for a family of 3 adults and one child. Dasru now considers himself lucky because the village panch, which consists of five responsible people from his village recommended his application for well to the circle project committee.

This committee which consists of 2 members from each village vouched for him as a needy and industrious farmer and included him as one of the intended beneficiaries of 1980 well programme.

Now Dasru Ahir Mahto is a happy man inspite of the fact that he has to put in more than 12 hours of hard labour practically every day on his 0.43 acre of land. He is assisted by his wife after she is free from the house-hold chores.

At present peas and potato crops cover a major portion of this plot. He has also planted vegetables such as white pumpkin, brinjal, tomato etc. He expects that the peas would be about 2½ mounds and potatoes about 20 mounds and the gross income would be about Rs. 200/- from peas and Rs. 1500/- from potatoes. After this Dasru intends to grow wheat which he says will give him a yield of about 15 mounds to fetch Rs. 900/-. The surk vegetables will bring an additional income of Rs. 500/-. Thus the total gross income from this 0.43 acre of land is estimated to be about Rs. 3100. From this about Rs. 1100/- must be deducted for inputs i.e. cost of seeds manure, fertilizers and paid labours etc., leaving a net income of Rs. 2000.

Dasru is a good example of what can be accomplished by an enterprising farmer making use of what help is available to him. In just few months, he has been able to triple his income. He can now provide assured and wholesome meals for his family through-out the year. He also plans to send his daughter to school from January 81. The family can now hope for better future.



F.F.W. PROJECT NO. AI/1145/80, CENTRE DIGHIA, WELL NO. 3.

Amrus Khes is another beneficiary of FY-80 wells project. He lives about 1 Km. from the Dighia centre. Amrus is about 24 years old and is an Adivasi (Tribal) belonging to the Oraon tribe. He is married but does not yet have children. His mother is also living with them. He has studied upto class 7. His father died when he was a child.

He has a total of 3 acres of ancestral land. The well has been made on $1\frac{1}{2}$ acres of upland and the other $1\frac{1}{2}$ acres is paddy field. Although Amrus his wife and mother have been cultivating the land for their use, his father's 3 brothers who have migrated with their families to the tea gardens on the foothills of Bhutan, also have legal right to the share of the land.

Amrus has had no experience in growing vegetables. He cannot estimate the produce which would be available from his standing crops of potatoes, peas and garlic. But he told us that as soon as water was available in the well while the steening was still in progress, he had planted chillies on about 0.25 acres of land and got a net income of Rs. 250/- from it. In Amrus's case it will take 3 to 4 years to reach the level of profit that can be made from the land, but he is determined, patient, hard working and with the additional advantages of having passed middle school, he will reach his

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Date :

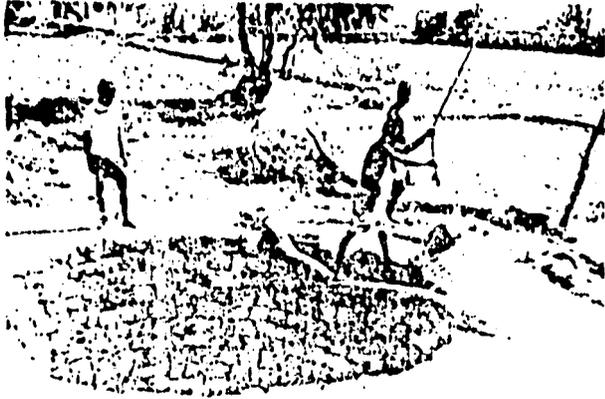
220

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goal of being self sufficient.

Amrus wants to purchase a pair of bullocks as soon as he gets some extra money from the land because he has no bullocks of his own, and has to hire them from other farmers when ever he has to plough his fields.

His uncles have helped him with some money when ever he asked them for help. For this he is grateful and would not mind sharing the land with them, if he is required to do so.

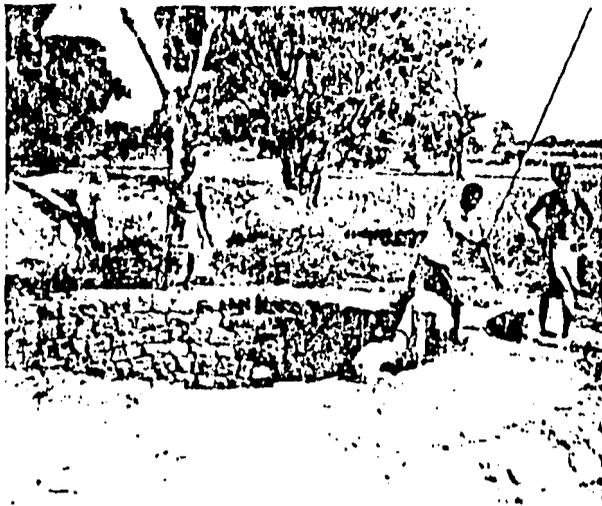


F.F.W. PROJECT NO. AI/1145/80, CENTRE DIGHIA, WELL NO. 18.

Sani Oraon, Birsu Oraon and Budhwa Oraon are three brothers in the age group of 45 to 60 years, each of them live in a separate house with their wife and children and grand children, but they jointly own about 14 acres of land which is still in their father's name who died many years ago. They live in one of the interior villages called Pandeypara some 12 Km away from Dighia centre. They belong to the Oraon tribe and follow their traditional religion which is nature worship called "Sarna". There are 42 family members dependent on this 14 acres of land and none of them have gone to school.

Their well is 15 feet in diameter and 50 feet deep and is located on 2.47 acres of up-land which they have been using for growing vegetables. Each brother has been earmarked plots which he cultivates separately along with his family members. But they all use the water from the well made under this project; which was completed in August 1980. Besides they also have 3 small Kacha wells which are just holes in the ground, with 2 being lined with either bricks or stones. These wells being shallow and small in diameter hold water for only 1 to 2 months after the monsoons, and require regular excavation and upkeep. But these "Kacha" wells have provided

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Bihar



years of experience to all the brothers and their sons to grow vegetables. Now with this project well, sufficient water is available to all of them to earn an extra income of Rs. 1500 to Rs. 2000 per family. At present they do not have any plan as to how they would use this extra income. On closer questioning they said that they would like their children to go to school, but first the family should be better provided for by way of food. It may be noted that their desires seem limited to the very basic need of an assured food supply.

These case-studies indicate the enormous benefit which the project has had for the sub-marginal farmers of our area. On behalf of the beneficiaries we take this opportunity to thank Catholic Relief Service USCC, NORAD and the donors for their generosity.

223/

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Bihar

Tel. 21414
RANCHI

Date :

CONCLUSION:

The stone wall of the wells will sink and settle down in its place within one year. In order to make the wells a permanent asset for the farmer and safe even for drinking water, because many of these wells are the only source of drinking water in the area, it is necessary that the wells be provided with proper parapets and tops made with cement after the stones have settled down. For this each well will require about 6 bags of cement. B.H.MISEREOR has committed funds for this purpose and we have applied to the Government of Bihar for the necessary permit to purchase the required cement for the wells.

The application for wells for FY-81 are now being received by us through the Project Committee of the centres. These applications will be sent to Catholic Relief Services, Calcutta, by the end of November 1980 for the necessary approval. The wells of FY-81 will be started in the month of January 1981 and completed before September 1981. We request that for these wells of FY-81, the first instalment of Rs. 300,000 be sent to us in the month of January 1981. We also request that the overdrawn amount from the Chotanagpur Catholic Mission Co-operative Credit Society less the amount balance with centres (Rs. 85,458.88 - Rs. 272,35) i.e. Rs. 95,186.53 be sent to us as soon as possible.

L. Kindo

November 10, 1980.

FR. L. KINDO
DIOCESAN DIRECTOR.

C.C.: CRS Calcutta.

(8)

Money & Food Commodities utilized upto September 30, 1960 for wells of FY 60.

Name of Centre	Well Money account				Food utilized		Status of Project			
	Amount Credited (as.)	Amount utilized (as per bills) (as.)	Refunded (as.)	Balance with the centre (as.)	Bulgur (Bags)	Oil (Ltrs)	No. of wells approved.	Number completed.	Number incomplete.	Number not started/ cancelled/ abandoned.
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
Doranda	7600.00	7600.00	200.00	-	1330	222	21	19	-	2
Harna	7400.00	7400.00	-	-	517	123	8	8	-	-
Hesga	7300.00	7300.00	-	-	756	151	12	12	-	-
Husman	9901.00	9901.00	-	-	2118	414	24	18	2	4
Kari	-	-	-	-	-	-	-	-	-	-
Kanke	-	-	-	-	-	-	-	-	-	-
Prabhat Sara	9552.00	9564.00	388.00	-	470	102	9	9	-	-
Ranchi	25000.00	25000.00	-	-	2160	379	40	33	2	5
Sambalg	9200.00	9200.00	-	-	2019	404	27	20	6	1
Ulhatu	10529.95	9818.70	851.25	-	1817	305	25	23	-	2
Bardih	2325.00	2175.00	150.00	-	1031	154	13	13	-	-
Bhikhampur	5500.00	5500.00	-	-	905	44	11	10	1	-
Chainpur	3000.00	2000.00	-	-	1652	257	20	17	1	2
Dumbarpath	-	-	-	-	130	9	2	2	-	-
Katkehi	13100.00	13100.00	-	-	2529	611	33	32	-	1
Moudih	13000.00	13000.00	-	-	2033	759	38	37	-	1

Practical Concepts Incorporated

181

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
Kajkol	-	-	-	-	301	100	12	11	1	-
Tonjo	10000.00	7200.00	2300.00	-	1376	330	22	21	-	1
Bumabira	20755.00	26651.00	104.50	-	5977	1105	59	51	3	-
Gajutoli	14000.00	14000.00	-	-	3554	222	33	35	-	2
Jampari	12250.00	12222.00	28.00	-	3660	590	41	34	1	6
Kinjuloya	3355.00	2335.00	-	-	1451	244	13	16	-	2
Kurdes	23355.00	23359.00	-	-	4318	975	58	55	3	-
Kuria	9501.00	9501.00	-	-	1633	122	21	21	1	-
Manjarin	14955.00	14955.00	-	-	3233	500	40	46	-	-
Saljaposh	-	-	-	-	1781	432	21	20	-	1
Samsara	6000.00	6000.00	-	-	1429	293	18	14	2	2
Santali	50000.00	50000.00	-	-	9200	1950	107	104	2	1
Tainser	34342.00	34342.00	-	-	7017	1134	76	74	2	-
Tarra	5710.00	5510.00	-	200.00	2194	341	25	20	5	-
Tumaji	15000.00	15000.00	-	-	4301	947	52	45	7	-
Umarri	2170.00	2170.00	-	-	1901	265	18	18	-	-
Umaria	1000.00	1000.00	-	-	1573	195	13	11	2	-
Gumla	10375.00	10375.00	-	-	2456	544	31	24	6	1
Jokari	4000.00	3435.00	515.00	-	303	173	10	9	-	1
Karandabera	12750.00	12750.00	-	-	3023	534	34	34	-	-

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
Madras	11022.00	11475.00	147.00	-	1204	515	25	25	-	-
Madras	7000.00	7000.00	-	-	1502	500	13	13	-	-
Madras	6000.00	6000.00	-	-	1791	431	14	14	-	-
Madras	4042.50	4042.50	-	-	1500	200	14	12	2	-
Madras	-	-	-	-	1330	336	16	12	4	-
Madras	11206.75	10247.75	961.00	-	2552	455	21	31	-	-
Madras	11300.00	11347.50	12.50	-	3039	547	42	37	4	1
Madras	3070.00	3020.00	515.00	-	7004	1192	20	51	44	2
Madras	11544.00	11544.00	-	-	5079	606	30	30	-	-
Madras	10707.38	10759.28	-	8	1935	403	22	25	1	2
Madras	9450.00	9001.00	1450.00	-	4171	1032	43	31	3	3
Madras	19827.00	19827.00	-	-	5097	1149	39	39	-	-
Madras	2500.00	2300.00	200.00	-	1445	100	19	12	5	2
Madras	2800.00	2750.25	49.75	-	2851	572	32	29	2	1
Madras	2481.00	2481.00	-	-	1951	300	18	16	2	-
Madras	10000.00	10000.00	-	-	2484	150	32	30	2	-
Madras	2900.00	2900.00	30.00	-	1940	105	21	16	-	5
Madras	12310.00	12310.00	-	-	3004	622	42	39	1	2
Madras	4201.55	4345.00	-	16.35	2459	577	23	22	6	-
Madras	11000.00	10952.00	-	48.00	3335	494	34	34	-	-

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
Mamrie	6455.00	6454.00	1.00	-	1902	414	25	13	6	1
Acetoli	25255.00	25254.00	1.00	-	3912	1400	23	79	-	4
Sundargar	1500.00	1173.15	326.85	-	1110	270	19	13	1	-
Dijhia	14795.00	14795.00	-	-	2497	448	30	28	2	-
Lohardaga	20355.00	20460.00	395.00	-	3426	750	40	34	6	-
Kandar	25201.75	25674.75	127.00	-	5129	1010	59	36	19	2
Mapra	-	-	-	-	540	120	6	6	-	-
Koatara	25205.00	24213.00	992.00	-	4371	996	53	53	5	-
Petrachauli	22000.00	22000.00	-	-	2293	413	27	24	1	2
Sidrol	4000.00	3700.00	300.00	-	642	146	9	7	2	-
Total	793,714.13	722,308.93	10,452.35	172.35	16834	31,470	1967	1750	143	35

2022