

PN. AAQ-810

ISA-26156

~~BASELINE DATA & EVALUATIONS~~

Models for preparing
Baseline Data, Evaluation Plans
and Evaluations:
Private Voluntary Organization
Co-Financing Project

BASELINE DATA, EVALUATION PLANS, AND EVALUATIONS

Private voluntary organizations are known for their innovative programming and project implementation techniques. One of the goals of USAID's PVO Co-Financing Program is to learn from PVOs active in the field, about these 'state of the art' development activities. An important tool, for helping this learning come about, is the use of evaluation.

Comprehensive evaluations provide documentation and analysis of program activities while the activity is on-going (interim evaluations) and at the end of the grant period (final evaluations). A well done evaluation can provide not only information about completed activities but direction for ongoing activities.

The process of evaluation begins with a well thought out evaluation plan based on and following the organization of a project proposal. Next, comprehensive baseline data are gathered. Baseline data describe situations which exist at the onset of a project activity as a basis of comparison for later evaluation.

USAID requires that the PVO submit a brief evaluation plan with the original proposal. Within 6 months of the signing of the Grant Agreement, PVOs are required to submit a detailed evaluation plan and schedule and comprehensive baseline data.

This collection of articles has been prepared to assist in the preparation of these required evaluation plans, baseline data and actual evaluations. You will find, in Section 3 & 4, a sample evaluation which contains the basic information required by USAID, articles on collecting data, articles on designing and conducting evaluations, and finally a specific article on evaluating trainings since many of our PVO projects include aspects of training.

This is a first attempt at editing a collection of useful information on evaluation. We need all your comments, suggestions, and ideas so that the following handouts will be even more helpful to the PVO community.

Please feel free to contact the PVO Office for assistance in any aspect of evaluation planning, as well. Good luck!

CONTENTS:

A. EVALUATIONS:

- Section 1: Progress and Product Evaluation, from Systematic Project Design, Vanderschmidt, Boston:Boston U., 1981.
- Section 2: Developing a Scope of Work for an Evaluation, from, USAID/Asia Missions Evaluation Workshop 3/81.
- Section 3: PVO Evaluation Guidelines from, USAID/Washingtons Guidelines for Working with PVOs.

B. EVALUATION REPORTS:

- Section 4: A Sample PVO Evaluation, from, USAID/Washingtons Guidelines for Working with PVOs.
- Section 5: Writing an Executive Summary, from USAID Evaluation Guidelines, 1982.

C. EVALUATING TRAINING ACTIVITIES:

- Section 6: The Evaluation Process; Trainings, from Selected Readings for Peace Corps Trainers, 1979.

D. BASELINE DATA:

- Section 7: Useful Tools for Gathering Data, from An Evaluation Sourcebook, Daniel Pietro, New York:ACVAFS, 1983.

CHAPTER IV: PROGRESS AND PRODUCT EVALUATION

A. INTRODUCTION

Evaluation of a project gives you a steady stream of information on the progress of the project; the information allows you to make day-to-day decisions and improve the project. Information on the progress of a project is called "Feedback". End-of-project evaluation tells you if your project has met its goals.

B. EVALUATION:
WHAT, WHY, AND WHEN

What is →
Evaluation

Evaluation enables you to obtain feedback on the project's operation. Obtaining feedback at frequent intervals alerts you to problems before they become too serious to remedy. It allows you to change direction if needed, to modify timetables, arrange for materials and supplies, or handle personnel disputes.

Why →
Evaluation

The prime reason for evaluating is to obtain feedback. You also evaluate to show to your supervisor that the project has met its stated objectives. In this way you obtain evidence that your group of volunteers has successfully carried out its project. Such information allows administrators to build upon your experience, repeat the project, or replicate it elsewhere. It makes you and your fellow volunteers look good when your project is successful.

When is →
Evaluation
done

Evaluation is done before, during and after a project. Evaluation should take into account the data which was collected during the project planning phase (see Chapter III). This data includes information on project goals, project tasks, and person and material requirements for the project. This data is collected before the project starts. Evaluation occurs at frequent intervals during the project, as well as at the end of the project.

How is →
Evaluation
Done?

The detailed evaluation process is described below. You need to be objective, realistic and logical in your evaluation. If the project works smoothly, very well. If it does not, frequent feedback should help you. If nothing can be done, this very fact is valuable. Your positive experiences and your mistakes should both be documented. If the evaluation turns up some areas of unexpected difficulty, this should be described, so that the same difficulties can be avoided in the future.

One good way of developing useful information on a project is to keep a daily log. This, along with formal and informal feedback, should enable you to write a report summarizing the project during the project and when it is completed.

GUIDELINES →

C. GUIDELINES FOR PROGRESS AND PRODUCT
EVALUATION

First →
Evaluation
should be
conducted
when the
project
starts

Are the services/facilities planned now available?
For instance:

- Equipment, supplies, and materials. Are these on hand?
- People resources. Are community volunteers and others available at the beginning of the project as planned?
- If either material resources or manpower are not available, what alternative courses of action are possible?

Have one or more of the goals of the project already been met:

- Have some of the tasks specified in Chapter III been completed?

Example

For example, how would you evaluate at the beginning of a project to stock ponds in a community with fish? You might answer questions such as the following:

- Are baby fish, equipment, and supplies available?
- Are villagers available to work with volunteers?
- Do volunteers know how to stock ponds or have access to how-to-do-it manuals or expert advice?
- Are there any fish in the ponds now? If so, describe type of fish and estimate how many.

Define →
Progress
Checks

To determine if the project is making progress during the project, follow these steps:

- Determine if the tasks or activities which you listed in Form #3 (see Chapter III, Task Oriented Planning and Implementation) are being carried out on schedule.

You require frequent feedback on progress. You can identify problems quickly. You also use feedback to see whether the project is on schedule or ahead of schedule and determine how you can build upon these achievements. (See Feedback, Methods Section, page 110.)

Specify →
the
Products

To determine whether you have achieved your goal, it is essential to describe in measurable terms what the project will produce when completed.

- List chief measurable products.
- How will you know if the products have been achieved?

Example:

Rug
Cooperative

Measurable Products at
End of Project (from
page 47- End of Project
Description

How Will Product
Be Assessed?

● Plan specifying how the cooperative will sell and store rugs; how costs of raw materials will be handled; how pricing will be determined; how profits will be divided; and how records will be kept	Written plan available
● Quality of rugs up to specified standards	Independent expert inspects rugs to see if up to standards
● 100 rugs produced	Records
● 50 rugs sold by cooperative	Records
● Central location for storing and selling rugs available	Site Visit
● 20% profit made by selling rugs	Records

Name: _____

Date: _____

Project: _____

Form #4

COMPLETING A PROGRESS AND PRODUCT EVALUATION

ISSUES

POSSIBLE METHODS

1. Beginning of Project Evaluation

Are services/facilities like those planned now available? For instance:

Are equipment, supplies, materials available to begin work on the project? Describe any shortages.

See Form #3, page 41

Are people resources available? Volunteers? Community members? Describe any shortages.

If either materials or manpower are lacking, what alternative courses of action are possible?

ISSUES

POSSIBLE METHODS

Have one or more of the goals of the project been partially met?

Have any of the tasks specified been completed? If yes, please describe.

2. Progress Checks (These should be carried out at frequent intervals during the life of the project.)

See Form #3, page 41

Are the tasks or activities which you listed in your implementation schedule (Form #3) being carried out?

See Feedback, page 110

Describe any problems. What remedial steps will you take?

Are the tasks or activities you listed in your implementation schedule (Form #3) on schedule?

See also Chapter V, page 53

ISSUES

POSSIBLE METHODS

Describe any problem areas. What remedial steps will you take?

3. Product Checks

Using your end of project description, list the products of your project.

How will you know that the products have been achieved at the end of the project?

See Practical Tests, page 112

Use Form below:

Measurable Products at end of Project (from page 48)	How Will Product be Assessed?

NOTE: If some products of your project were in place at the start of the project, you will have to compare the beginning and end of project with respect to those products.

CHAPTER V: PROBLEM SOLVING

A. INTRODUCTION

You have identified a project; it has the support of the community, a plan has been developed and you have started your project and may find:

1. Your project is proceeding on the schedule developed in Chapter III.
2. Your project may be falling behind schedule.

If your project is on schedule and is not facing difficulties, you can ignore this chapter. However, if you are behind schedule or are facing difficulties, here are some suggestions.

B. IMPLEMENTATION PROBLEMS: WHAT, WHY, AND WHEN

What are
Implement-
ation
Problems?

Problems which prevent you from carrying out and completing your project according to plan.

Why
should a
project be
completed
according to
a plan?

A plan is nothing more than a map indicating where you want to go: you can change the plan, but at all times you should know what will exist at the end of the project and when the project will be completed.

Are you
ahead of
schedule?

If you are far ahead of schedule, ask, "Why"?

Questions to ask:

1. Did the original schedule, developed in Chapter overestimate the time required? If yes, go over schedule again and plan the completion of your project on a more realistic basis.

2. Are you satisfied with the quality of the project?
If no, you must add appropriate quality controls to your plan.
3. Are you receiving more assistance than originally anticipated? If yes, you should replay to take account of the additional help.

Are you →
behind
schedule?

If your project is far behind schedule, turn to Form 5, page 55.

Name: _____

Date: _____

Project: _____

Form #5

CHECK LIST OF POSSIBLE PROJECT PROBLEMS

PROJECT PROBLEM AREAS	EXAMPLES	HOW SOLUTIONS WILL BE IDENTIFIED
<p>Equipment, supplies, or services in use are not sufficient or of the correct kind.</p> <p>1. Yes <input type="checkbox"/></p> <p>2. No <input type="checkbox"/></p>	<p>1. Well drilling equipment will not drill deep enough.</p> <p>2. Incorrect fertilizer for gardens.</p> <p>3. Books in literacy class inappropriate</p> <p>4. No compactors for a road project.</p>	<p>The project may have to be modified or changed to accommodate the equipment and supplies available or new sources found. Consider these methods:</p> <p>1. Bargaining and Negotiations, page 94</p> <p>2. Technical Assistance, page 102</p> <p>3. Practical Tests, page 112</p>
<p>Volunteers and community members lack sufficient skills.</p> <p>1. Yes <input type="checkbox"/></p> <p>2. No <input type="checkbox"/></p>	<p><u>No One Knows:</u></p> <p>1. How to test and chlorinate wells.</p> <p>2. Why vegetables will not grow in a village.</p> <p>3. The correct way to construct water sealed latrines.</p> <p>4. Effective teaching methods for adult illiterates.</p>	<p>The project leaders require training and assistance; consider these methods:</p> <p>1. Library Search, page 75</p> <p>2. Education, page 142</p> <p>3. Technical Assistance, page 102</p>

13

PROJECT PROBLEM AREAS	EXAMPLES	HOW SOLUTIONS WILL BE IDENTIFIED
<p>The product being produced by the project is not being used properly or the community does not appear to be benefiting from the project.</p> <p>1. Yes <input type="checkbox"/></p> <p>2. No <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. Children will not attend an after school remedial reading program. 2. Villagers will not use latrines. 3. A village poultry cooperative is not enrolling a sufficient number of villagers. 	<p>The project may require a critical assessment to determine whether or not the services are appropriate or whether or not the recipient of the services are willing. Consider these methods:</p> <ol style="list-style-type: none"> 1. Group Discussions and Community Meetings, page 89 2. Consulting Experts, page 84 3. Feedback, page 110
<p>The project plan underestimated the cost of necessary equipment and supplies, or promised funds are not available.</p> <p>1. Yes <input type="checkbox"/></p> <p>2. No <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. The cement required for a bridge will cost far more than estimated in the plan. 2. The paddy harvest in the village was poor and the villagers are unable to provide funds. 3. It seems impossible to raise in the village sufficient funds for the purchase of vegetable seeds. 	<p>It may be necessary to revise the plan and to scale down the project or seek additional sources of support. Consider these methods:</p> <ol style="list-style-type: none"> 1. Bargaining and Negotiations, page 94 2. Technical Assistance, page 102 3. Practical Tests, page 112

PROJECT PROBLEM AREAS	EXAMPLES	HOW SOLUTIONS WILL BE IDENTIFIED
<p>Villagers do not appear to be interested in working on the project, using the results or products produced and generally appear to have lost interest.</p> <p>1. Yes <input type="checkbox"/></p> <p>2. No <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. Villagers will not use a well constructed by volunteers. 2. Villagers will not participate in a malaria control project. 3. Villagers will not volunteer their services on a road project. 	<p>Motivation and interest on the part of villagers may be important. Consider these methods:</p> <ol style="list-style-type: none"> 1. Group Discussion and Community Meetings, page 89 2. Bargaining and Negotiations, page 94 3. Providing Model Behavior, page 97
<p>The project is not being managed or supervised properly.</p> <p>1. Yes <input type="checkbox"/></p> <p>2. No <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. Village leaders who promised to manage the project are not doing so. 2. Expert assistance promised by the Ministry of Health in Nutrition Education is not available. 3. So many volunteers have left the project that it lacks continuity. 	<p>Effective leadership is very important. It may be necessary to replace or train the original leaders. Consider these methods:</p> <ol style="list-style-type: none"> 1. Group Discussion and Community Meetings, page 89 2. Bargaining and Negotiations, page 94 3. Nonformal Education including on-the-job training, page 99

15

PROJECT PROBLEM AREAS	EXAMPLES	HOW SOLUTIONS WILL BE IDENTIFIED
<p>Conflicts and disagreements which threaten the project have developed between key groups in the project.</p> <p>1. Yes <input type="checkbox"/></p> <p>2. No <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. A project may be developing a village health center, and a serious disagreement has developed over the location of the center. 2. A cooperative to market excess produce can not agree on the structure of the group. 3. A community organization created to plan and manage a sanitation plan for the village is opposed by some of the village elders. 	<p>Conflict between opposing groups is a frequent occurrence and the real reasons for the conflict are often hidden. Consider these methods:</p> <ol style="list-style-type: none"> 1. Group Discussion and Community Meetings, page 89 2. Bargaining and Negotiation, page 94 3. Technical Assistance, Coaching, Team Building, page 102
<p>Some of the volunteers appear to be indifferent to the project, unwilling to work, not comfortable in the village and as a result, the project has a high turnover.</p> <p>1. Yes <input type="checkbox"/></p> <p>2. No <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. Over a period of 3 months, 60 volunteers are sent to a remote village. The stay is ten days. 2. Female volunteers will not work on a latrine project. 3. Male volunteers are reluctant to make house calls on a family planning project. 	<p>Volunteer motivation is an important factor in project success. Consider these methods in dealing with volunteer problems:</p> <ol style="list-style-type: none"> 1. Group Discussion and Community Meetings, pages 89 2. Team Building, page 102 3. Bargaining and Negotiation, page 94

CHAPTER VI: FOLLOW-UP, EVALUATION OF IMPACT

(This Chapter is meant for volunteers who follow-up or for administrators of volunteer programs who do so.)

A. INTRODUCTION

Reports of ACTION projects often are pushed aside and easily forgotten once the project is completed. A month or a year later, a similar project starts, ten kilometers away! Memories are short. No one recalls the earlier project: its successes, failures, and lessons learned. Thus, we repeat the same mistakes, solve problems which have already been solved, and develop systems which others have already thought through.

B. FOLLOW-UP, EVALUATION OF IMPACT

What is →
Follow-Up
and Impact
Evaluation?

We have discussed product evaluation which answers the question: Did the project produce what it was intended to produce...for example, one-room schoolhouses, sanitary wells, a farm cooperative?

Volunteers and community members should follow-up on the project at regular intervals to find out if it is continuing, and if the products developed are being maintained.

- Are the latrines still in use?
- Are more being built?
- Is the food cooperative still functioning?

The also like to ask a more far-reaching question: Did the project have an effect in terms of serving the basic needs of the community?

- Did children acquire knowledge and skills?
- Did the sanitary wells reduce and prevent the spread of infectious diseases?
- Did the food cooperative produce more income, and improve the living conditions of farmers?

Follow-up and evaluation of impact give the volunteer and his organization necessary information on the outcomes and value of the project over time. Follow-up looks at the consequence of the project. In the years following, Impact Evaluation looks at the more fundamental question: Did the project make a difference?

Why →
conduct a
Follow-Up
and Impact
Evaluation?

a. Follow-Up

Many projects have little to show for the expenditure of time, effort, and money, once the project is completed. The people who plan projects often do not realize that initiating a new method of doing things is not enough. Maintaining the innovation and having it adopted is the basic objective and is difficult to achieve.

b. Impact Evaluation

Measuring the impact of the program gives direct evidence to the volunteer organization that the program has made a contribution, and is still benefiting the community.

Without this data, you can only assume the project has had a positive effect.

When to →
Follow-Up
and
Evaluate
Impact

Both follow-up and impact evaluation of programs are generally done at least six months to one year after the project is completed. It is hard to be specific on this issue. Each project should be followed up and evaluated according to its content and timetable.

How →
should
Follow-Up
and Impact
Evaluation
be completed?

a. Follow-Up

In order to follow up, the volunteers return to the project site to determine if the project is continuing. They also assess if the products which were produced (wells, latrines, a reforested hillside) are being used and maintained. Working with villagers, they answer these questions:

- Are the products which have been completed in use? Being maintained? If not, why not?
- What can be done to assure proper use and periodic maintenance?

Follow-up is an interpersonal more than a technical problem. Once the project has developed products (people trained to read and write, trees planted on a hillside), it is often difficult to keep the village working on the project. Other projects, other priorities become more important.

To maintain the project, the volunteers must motivate villagers to perform the necessary upkeep. Examples are adding chemicals to the well, recementing cracks in the lip of the well, weeding the area between the young trees.

Methods such as Providing a Model (see page 97) and Technical Assistance, Coaching, Team Building, Leadership Training (see page 102) may be useful here.

b. Evaluation of Impact

Evaluation of ACTION programs involves high standards. Evaluation will not achieve the scientific accuracy suggested for research projects, where each variable is studied separately and carefully controlled. The purpose of research is to increase basic knowledge of the variables being studied. The purpose of evaluation is more limited. It is to determine if the project fulfilled its stated objectives (see Chapter III) and to show that these objectives had an effect (impact) on one or more of the basic needs:

- Health and Primary Care
- Water/Sanitation
- Food/Nutrition
- Education
- Economic Development
- Community Services
- Energy Conservation

**C. GUIDELINES FOR FOLLOW-UP AND
EVALUATION OF IMPACT**

Follow-Up →

- Describe your plans for continuation/maintenance of the project:
 - What is the role of volunteers?
 - The role of community members?
- List the tasks for continuation, maintenance. Draw a timetable for follow-up. Use Form #3, page 41.
List people and materials resources needed for follow-up. Be specific.
- Describe how records and reports will be handled:
 - Will this be done?
 - How?
 - Who will do it?
 - How often?
 - Who will receive reports?
 - What will be done with findings of records and reports?

Example:

Project
Water
Sealed
Latrines

• Describe Plans

Community members will build six new latrines. During the six months after completion of the project, a community committee headed by "x" will carry out the project. No volunteers will be available for building new latrines. Maintenance of the present latrines will be conducted by each household individually.

Tasks involved in continuation and follow-up are as follows:

20

Example: Project Water Seal Latrine (Continued)

List Tasks A Task Chart follows:

Task	Month						Individuals Responsible	Equipment, Services Supplies Needed
	1	2	3	4	5	6		
1. build new latrines	●	●	●	●	●	●	Committee	template, cement wire/to reinforce cement, pipes, tools for digging
(one new latrine complete each month)								
2. maintains latrines								
a. checks on usage			●			●	Committee	
b. checks if clean	●	●	●	●	●	●	Home Owners	
c. checks if squat plates are broken or cracked						●	Volunteers	
d. checks if water seal is adequate			●			●		
e. checks if pipes are open or unclogged			●			●		

- Keep records, make reports: Community members will develop a report monthly indicating progress on tasks of building and maintaining latrines. Problems incurred will be listed. Copies of the report will be given to the headman. The committee and headman will discuss progress and take corrective action if needed. Copies will be sent to the volunteer organization. They will utilize feedback to plan new programs.

21

Impact
Evaluation

- a. Select and describe a few simple indicators you will measure to determine if the project has done some good.
- b. When will you evaluate the impact of the project? Data should be collected at the beginning of the project, at the end, and a few months later. You can then compare the before and after data.
- c. How will you determine that change occurred? As compared with the status at the beginning of the project, how much improvement/change will convince you that the project has had an impact?

Determine how you will collect information.
How will you evaluate the results? Here are some possible ways:

- proportion or percentage of improvement
 - the number of people using "x" before and after
 - the number of cases of disease "c" before and after
 - the number of acres of "x" before and after
- d. How large a sample will you look at to determine if the project has had an impact? (see Field Surveys, page 78)

Example:

Construction
of a
Motorable
Road

Impact Evaluation

- a. Indicators selected to evaluate six months after completion are:
- Do people use the road? How many motor vehicles come to the village and/or leave the village each day?
 - Do people say they like the road?
- b. Data should be collected on road usage before the road is constructed, and six months after it is completed.

It would be useful to know if attitudes toward the road have changed during the same time period.

- c. To determine the extent of road usage, count the number of cars, trucks, and motorcycles coming to town on a week day morning and afternoon before and after the project.

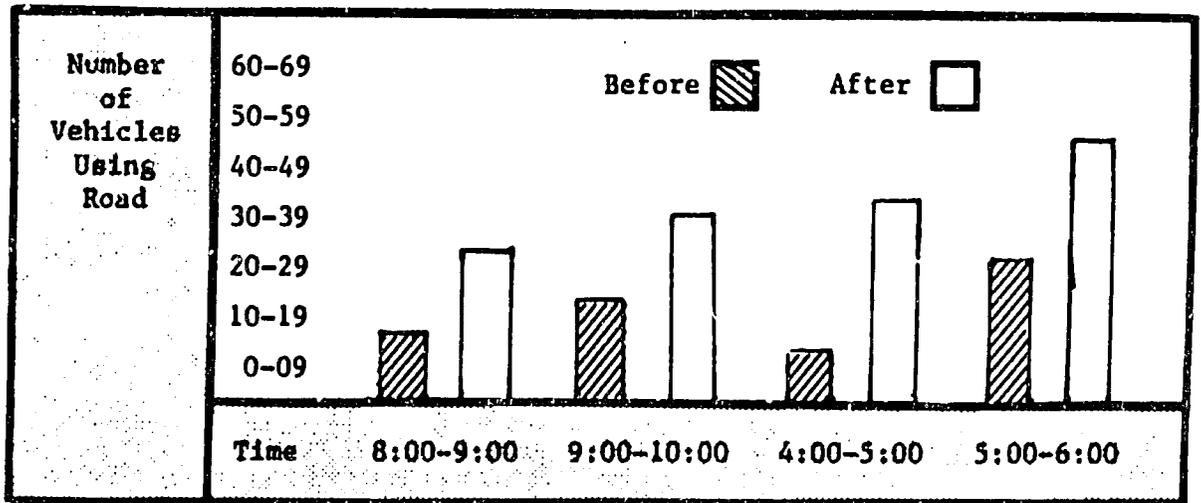
To assess the attitudes toward the road, develop 4 or 5 simple questions. Ask two or three villagers to interview ten families each (randomly select the families). Ask the people who collect the information to keep records. Give them simple forms to fill out. (See also Field Surveys, page 78).

- d. To determine usage of the road, all the vehicles on the road will be counted from 8-10 a.m. and 4-6 p.m. each day. To determine community attitudes, 30 families chosen at random (out of 247 families) will be interviewed.

- e. Results will be summarized as follows:

● Usage of Road:

This information will be summarized by a bargraph. See sample below.



● Attitude of villagers:

- The main points of villagers attitude will be summarized in writing.

The information will be used by volunteers to determine if their project has been successful. They can use the information to decide if road projects should be repeated in other locations.

Now complete Form #6 - Designing and Completing Follow-Up and Impact Evaluation.

24

Name: _____

Date: _____

Project: _____

Form #6

DESIGNING AND COMPLETING FOLLOW-UP AND
IMPACT EVALUATION

ISSUES

POSSIBLE METHODS

A. Follow-Up

Refer to each major outcome of your project

1a) What are your plans for continuation of maintenance by volunteers and/or community members?

1b) List the tasks for continuation of maintenance.

Chapter III, Task Oriented Planning and Implementation, page 33

1c) Draw a timetable for follow-up.

Use Form, page 63

2a) What people resources are needed to follow-up?

Use Form, page 63

25

ISSUES

POSSIBLE METHODS

2b) What material resources are needed?

Use Form, page 63

3a) How will you, other volunteers and the community keep records and make reports?

3b) What will be done?

3c) How?

3d) Who will do it?

3e) How often?

ISSUES

POSSIBLE METHODS

3f) Who will receive reports?

3g) What will be done with findings of records and reports?

B. Impact

1) What easy to measure indicators for impact evaluation will you chose?

2a) When will you evaluate the project's impact? Before the project?

Yes No

Just after the project is completed?

Yes No

Later when you follow-up on the Project?

Yes No

3a) How will you determine that change occurred?

Practical Exams,
page 112

4a) How large a sample do you need to look at to be sure that the project has had the desired impact?

Field Surveys, page 78

27

ISSUES

POSSIBLE METHODS

5a) How will you document your results?

5b) What will you do with your results?

Presenting Data and
Information, page 115

FEEDBACK

Introduction

Feedback is ongoing information on how well a worker is performing or learning, and whether or not the project is meeting its objective. You obtain feedback on the performance of particular tasks, whether the project is on schedule, etc. Feedback is the best way of regulating a project. Frequent feedback tells you what is going well, what is not, and why.

Description

Feedback may be obtained formally or informally. It should be available as frequently as possible. You should plan methods of obtaining feedback.

Formal methods of obtaining feedback include:

- Tests. In your literacy program, are your students able to read the material you give them? Are they able to solve the arithmetic problems you give them? To obtain feedback, develop progress tests which give you day-by-day information about how well students are learning.
- Performance Checks. Are your village counterparts able to perform each step in preparing the ground and planting seedlings? A checklist outlining the main tasks or steps can help you determine if some tasks are performed improperly or not at all.

Informal methods. For volunteer projects, informal methods of obtaining feedback are highly recommended. Find out from your fellow volunteers and village counterparts what part of the work is going well and where the difficulties occur. Observe people at work. Listen to accounts of what happened. Ask questions.

Advantages

You are able to maintain control of your project if you know what is going on. You can meet problems head on, anticipate shortages, and keep the timetable from slowing up.

Disadvantages

In order to obtain feedback, careful plans must be made and implemented. It is sometimes inconvenient or difficult to make changes when the feedback shows you that problems exist. Obtaining feedback is a lot of work and requires discipline.

PRACTICAL TESTS

Introduction

Practical tests allow you to observe and assess the as he performs a critical task. Such tests are useful in giving you exact information on whether community members are able to perform tasks which are part of project. If people are not able to perform the task you may have to show them how to do the task correct or at least the part of the task with which they are having difficulty.

Description

A practical test is a test of performance. It tests actual on-the-job skill, thinking, doing, communicating or comes as close as possible to testing that skill.

One simple way of testing performance is by constructing checklists which outline the critical steps in the procedure.

Directions for constructing a practical test follow:

1. Decide on Critical Steps.

First, decide what the critical, important steps are performing the task...

- List all the steps;
- Cross out unnecessary steps; and
- Order steps as they would be performed on the

For example, in the following checklist, steps c, g, could probably be crossed out...

Checklist for Sterilizing Instruments

- a. Uses cleansing agent.
- b. Washes instruments.
- c. Drains water from sterilizer.
- d. Rinses sterilizer.
- e. Places instruments in sterilizer.
- f. Adds water to cover.
- g. Turns on heat.
- h. Brings water to boil.
- i. Tests whether water is boiling at 212°.
- j. Boils equipment 15 minutes.

Item c. could probably be omitted because in order to rinse the sterilizer, the water would have to be drained. Item g. could be crossed out because the heat needs to be turned on to boil the water. Item i. could be crossed out because you need not test the temperature if the water is boiling. (If the water is boiling, it is already at 212°.)

2. List the steps one by one.

Each step should be so written that it can be checked "yes" or "no." Statement a. and b., as written, can easily be checked either yes or no. But you might have difficulty deciding between yes or no for statement c.

- | | | |
|--|------------------------------|-----------------------------|
| a. Uses cleansing agent. | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| b. Washes instruments thoroughly. | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| c. Using cleansing agent, washes instruments thoroughly. | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

An individual checks no for item c. It is hard to tell whether the technician failed to use the cleansing agent, failed to wash thoroughly, or both.

3. Describe behaviors using strong action verbs.

In writing statements, don't use imprecise phrases like "answer quickly" or "listens carefully." Try to state exactly what you mean in terms of behavior. For example:

He answers the arithmetic problem in 30 seconds.
He is able to repeat the recipe for rehydration medicine.

4. Develop clear instructions.

Develop clear instructions to the person taking the test. If other volunteers are administering the test, ask them to read the test. If any statements are unclear, explain the step and revise it if necessary.

Advantages

- Easy to tell if trainer is performing correctly.
 - Can be used before and after the project, and for follow-up evaluation.
 - Checklists can be used to teach procedures, as well as test them.
 - Accurately tests trainees skills.
-

Disadvantages

- Have to test every trainer separately, which is time-consuming.
- Have to agree sometimes on how to carry out a task.
- Have to agree on critical steps.

Example

Traditional birth attendants are being trained to use modern, clean techniques when they are helping mothers give birth.

The volunteer instructor explains to the trainees that the instruments before them will be used to birth a baby. They should sterilize the instruments.

Checklist for Sterilizing Instruments.

- | | | |
|------------------------------------|------------------------------|-----------------------------|
| a. Uses cleansing agent | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| b. Washes instruments | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| c. Rinses sterilizer | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| d. Place instruments in sterilizer | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| e. Adds water to cover | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| f. Brings water to boil | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| g. Boil water for 15 minutes | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Instructions to the volunteer are to observe the trainee and mark yes or no for each step. If the trainee fails to perform one step of the procedure or performs incorrectly, the trainee fails the exam. That trainees should be asked to repeat this practical test later, after some explanation of what step was missed and why it is important.

Reference

Rezler, AC and Stevens, BJ: The Nurse Evaluator in Education and Service. New York, McGraw-Hill Company, 1978.

DEVELOPING A SCOPE OF WORK FOR AN EVALUATION

A clearly thought-out and well written scope of work is essential if an evaluation is to be worth (1) the funds expended on it and (2) the investment of personnel time that the execution of a good evaluation typically requires. A good scope of work makes it possible for the evaluation team to concentrate on substantive matters and to produce a report that effectively presents the information most needed by project managers and other decision-makers. On the other hand, a hastily drafted scope, or even one that is vaguely worded or overly general, causes the evaluation team to fritter away precious time on procedural matters and makes it highly likely that the evaluation report will be delayed in submission and that, when submitted, it will fail to present clearly stated and easily utilized conclusions and recommendations. For these and other reasons, project managers are urged to realize that an investment of time early on in producing the best possible scope of work will, in nearly all cases, result in a greater time-and-effort savings later on.

The following is suggested as a general framework for a scope of work most likely to guide the evaluation team in producing a report useful to both project managers and program decision makers. It is suggested that the first version produced be regarded as only preliminary and that it be circulated within your organization for comment to ascertain that it most effectively presents what you need. Project officers are urged, wherever possible, to involve counterparts in developing the scope so that it also meets their needs and involves them in the evaluation process at the earliest possible point.

Organization Name

"TITLE OF PROJECT (OR PROPOSED TITLE OF EVALUATION REPORT)"
Scope of Work for Evaluation

I. The Project.* Specify project title, number, cost, and life-of-project dates. Suggest also state briefly what is generally known as agreed upon regarding the present status of the project (e.g., lauded as successful, delayed in implementation, or having completed all major inputs).

II. Purpose and Timing of the Evaluation. This section should specify the following:

*Modify appropriately if evaluation covers more than one project (i.e., a program) or only selected components of a single project. Note that this outline can easily be used as an easy guide for organizing information needed for scopes of work not only for evaluations but also for other similar investigations such as assessments, studies, technical assistance analyses, and so on.

1. Why is the evaluation being done? (To be stated in terms specific to details of the project and organizations future activities rather than a generality such as "Terminal", or "To measure progress in meeting project objectives.")
2. When will it be done and why at this time?
3. Who is to do what with its findings and recommendations?

III. Questions the evaluation team will answer. What are the main questions that managers responsible for the project want answers to? What are secondary questions? This section should state "The report of the evaluation should answer the following major questions" and should then list a relatively small number (no more than 5 to 10 maximum) of major (essential) questions that the persons responsible for the project want answers to. (Note that some of the major questions might be expanded upon by subordinate clarifying questions -- e.g., "What are the circumstances responsible for this and how might they be changed?") The scope might then list "Additional (secondary) questions to be answered." Note that the listing of specific, explicit questions with an indication of priorities, is important for getting a report that tells the intended audience what they need to know. (A scope that merely says "The team shall address the following subjects, -- matters, concerns, or issues --" is far more likely to produce a rambling report that does not pinpoint the aspects of the project most needing attention or does not effectively provide useful new information).

If the scope is to specify individual tasks for each team member, this can also be done here (or in section IV as "responsibilities of individual team members").

For most evaluations it is suggested that the questions posed be based on a recognition of the present status of the project (as supportable by documentation) rather than be stated as if nothing is known about the present status. (E.g., not "Were the original assumptions valid?" but "Why have so few of the intended beneficiaries participated in the project and is it possible to increase their participation? And, if so, how?")

IV. Team composition. This section should specify the following:

1. What composition (i.e., government, host-country contractor, USAID, U. S. contractor) is required?

34

2. What expertise and male/female balance is required?

V. Methodology and Procedures. The scope should provide answers to the following:

1. What should be the duration (and time-phasing) of the evaluation? Specify, related to this:

a. Whether one or more team members should be available in advance of rest of team (to do preparatory work such as document or data analysis) or to continue after the rest of the team (e.g., to see report through to early finalization), and

b. If contractors are expected to work (and to be paid) for six day weeks, and

c. What should be the appropriate division of time between capital city interviews and document review, field site visits, and analysis and report writing?

2. What general methodology will be used? Note specifically:

--How will change be measured? (What data exists for the team to review to determine actual project impact to date or projected future impact?)

3. What documents (e.g., project proposals, previous evaluations, other donors' reports, sector analyses) should each team member have reviewed and be familiar with prior to beginning the team investigation? Who will provide these documents?

VI. Funding. This should include an estimate of the cost of the evaluation as well as a statement as to how the costs will be met (i.e., project funds, or other source).

VII. Reporting requirements

1. Format of the report

The report will contain the following sections:

--Executive Summary (two pages, single spaced, including statement of purpose of the project(s) reviewed and of the evaluation);

--Basic Project Identification Data Facesheet (see attached);

35

--Statement of conclusions (short and succinct with topic identified by subhead) and recommendations (corresponding to conclusions and worded, whenever possible, to specify who, or which agency, should take the recommended action);

--Body of report (which includes a description of the context in which the project was developed and which provides the information on which the conclusions and recommendations were based); and

--Appendices as necessary (including, minimally, the evaluation's scope of work and a description of the methodology used and, possibly, methodological recommendations for future evaluations).

2. Submission of report

The scope should specify both what portion or version of the report (e.g., preliminary draft) will be presented to the organization and donors at completion of the field portion of the evaluation and when the final draft will be submitted for organization and donor review. It should also state that the team leader will be responsible for seeing the report through to timely, professional-level, completion.

3. Debriefing(s). Timing and audience(s) to be specified.

GUIDELINES FOR EVALUATION

A. INTRODUCTION

1. Evaluations are the heart of any development activity. During the implementation of a grant, evaluations serve to identify problem areas as well as areas of opportunity. Managers can take advantage of periodic evaluations to assure that the activity is on course or to take appropriate action if it is not. Evaluations should be performed at the end of each activity and may also be performed sometime after to measure continuing impact.

2. A prerequisite for successful evaluations is a carefully thought out proposal which sets in motion from the beginning the gathering of indicative data which will allow the activity manager to measure the direction in which the activity is going at any selected time.

3. Periodic program evaluation differs sharply from reporting. Reporting recounts what has taken place during the reporting period. Evaluation is an examination of results, or lack thereof, of a given activity. It answers such questions as whether or not the activity achieved or is achieving its purposes and whether or not the activity needs to be restructured in order to increase its effectiveness.

4. A final evaluation should assess whether the activity has been successful and to what degree. It should also assess what lessons have been learned which might be useful either in a continuation of the specific activity, replication elsewhere, or to be used in future program development. A final evaluation team should include any technical specialists required as well as one or more evaluators not directly involved with the activity implementation. Host country officials where appropriate are not only useful participants in a final evaluation, but their participation also exposes them to ideas which they may choose to use in other activities. AID participation may also be desirable.

Interim evaluations during implementation provide the activity manager and others with an important managerial gauge of the activity's effectiveness to date. If the activity, or parts of it, are not being carried out as planned, there is an opportunity to make adjustments during the balance of the activity. If new opportunities or techniques emerge from the evaluation, the activity can be adjusted to take full advantage of them. If the activity or parts of it are failing and there is no remedy, the opportunity to discontinue the activity will save funds and frustration. Interim evaluations should concentrate on examining the work to date in order to improve the balance of the activity.

5. There is no reason why PVO evaluations should be difficult, mysterious or vague if the original proposal clearly outlines the purpose of the activity and has clearly identified a series of progress indicators which can be accurately tracked during the course of the activity.

Evaluations should be performed promptly as agreed upon in the original grant proposal. Missions should analyze and comment to PVO's on each evaluation.

OUTLINE FOR EVALUATION OF PVO FIELD SUPPORT GRANTS

Activity Title:

Grant Number:

Activity Location:

PVO Name:

Contact Person:

Period Covered by Evaluation:

Name(s) and Title(s) of Evaluator(s):

Type of Evaluation: Interim Final

The evaluation should be prepared by using the original PVO proposal and signed grant plus any amendments made since the inception of the grant. The topics herein relate directly to those outlined in the original proposal.

Evaluation Summary: This brief section should summarize the evaluation findings and include the particular major conclusions, lessons learned and changes needed.

- A. Activity Purpose and Description: The evaluator should examine the activity purpose and description to determine if there has been any significant change in the purpose or description as originally outlined in the grant and proposal. If no change had occurred simply state so. If there have been changes, describe their nature and extent.
- B. What has been done to date? The original proposal describes work done to date prior to the inception of this grant. In the evaluation summarize what has taken place since the grant began.

C. Describe the Beneficiaries: (1) They should be described as outlined in the Proposal. (2) How have your original projections regarding the cost per beneficiary and the degree to which they will benefit varied at this point? If the cost and degree of benefit are significantly higher or lower than originally projected, what changes should be made in the activity?

D. What has this activity accomplished?

(1) This section should provide the data gathered to date as outlined in the original proposal. It should list the indicators of progress described in the proposal showing the change in the indicative information gathered at the beginning of the activity, at any interim points in between and the current available indicators. It should also describe as specifically as possible any other changes not originally anticipated which have taken place. The PVO should examine the results of this material to determine whether or not the indicators have been sufficient to measure progress. If not, additional or different indicators should be proposed in this section.

(2) This section should also discuss whether or not the changes anticipated at the beginning of the activity are realistic based on the evaluation and whether it appears the activity will exceed or fall short of its original goals. It should also examine what prospects there are for activities to continue at the end of the project and whether or not the PVO's original projections on continuation are still valid.

E. How the Activity is being Implemented. The evaluator should examine the methodology which has been used to date to determine whether or not it is adequate or whether changes should be instituted in order to improve the operation of the activity.

F. Time Frames. Is this activity on schedule as outlined in the original proposal? Is it ahead of schedule? Is it behind schedule? Should the schedule be adjusted at this point? Is there a need to extend the activity time limit?

G. Assumptions. Reexamine the assumptions in the activity proposal to determine if the list of assumptions is still valid. Have any assumptions failed to materialize which affect the project negatively? Are there additional assumptions which should be added at this point in time?

- H. Describe any changes in your evaluation plans. Based on this current evaluation, assuming it is an interim evaluation, what changes or approaches will you adopt in the next evaluation in order to improve the content of that evaluation. If no changes are anticipated from the original proposal or in subsequent evaluations, simply say so.
- I. Budget Financial Narrative: Whether this is an interim or a final evaluation, this section should compare the actual expenditures of AID and other resources with the original projections of expenditures shown in the proposal. There should be a breakdown using the same line items as included in the original proposal, with two columns for the AID expenditures, one showing the original projections and the second showing the actual expenditures at the time of the evaluation. The same two column approach should be used for non-AID expenditures.

Based on the variance between proposed and actual expenditures, what comments, if any, do you have regarding changes or adjustments to the budget in future years? Are there projected sub-activities which have failed to materialize for which the funds set aside will no longer be needed? Are there sub-activities which are costing more than originally programmed or which, with an additional infusion of funds, could improve the end performance of the activity? Have your original plans for sub-grants or contracts with other organizations changed?

SECTION 4

(ATTACHMENT A to Section 3)

ILLUSTRATIVE PVO EVALUATION OF PVO FIELD SUPPORT GRANTS

Activity Title: Emba Province Farm Training

Grant Number: AID 879-0440

Activity Location: Emba Province, Katalan

PVO Name: Farmers Guild International

Contact Person: Harold Bottrell, Program Officer

Period Covered by Evaluation: March 1, 1984 - February 28, 1985

Name(s) and Title(s) of Evaluator(s): Richard Farrell,
Private Consultant

Type of Evaluation: Interim Final

EVALUATION SUMMARY

Conclusions: In the first training year, 45 of a planned 50 participants were trained to increase farm income. Their average income was increased from \$120 per year to \$140 per year, an increase not originally anticipated.

Beneficiaries were the 45 participants, 226 family members and 72 members of Emba cooperatives who were trained in extension and training.

For the second year of training 53 participants have begun training as previously scheduled. Based on progress to date the income of all participants should, as projected, be doubled, or almost so at the end of the activity. There will be a total of 733 beneficiaries.

As described in section F, the current drought situation has delayed the project and could result in a request for an extension of time and additional funding.

Lessons learned: By arranging the training schedule so the the trainees could actively farm while training, they were able to apply new skills as learned and increase their income during the same year.

- A. Activity Purpose. Little change has been noted except that the number of Emba Province residents who are anxious to achieve larger cash incomes each year is now more accurately reflected at a level of 300 rather than the originally projected 250. The increase in interest seems to be at least partially stimulated by the limited successes of this activity to date which have received wide publicity in the Province. Also the time required to execute this activity will be three years rather than 2 1/2 years as explained more fully in section G "Planned Accomplishments By Year." No opposition to the activity has emerged to date. There is some discontent among unsuccessful applicants for second year training which is indicative of the popularity of the training.
- B. What has been done to date: The grant was signed on August 28, 1983. Recruitment and placement of a country Director, Charles Walker, was completed on October 1, 1983 as described in FGI's initial six months report covering the period September 1, 1983 through February 28, 1984. At the end of the current evaluation period 47 trainees were graduated of which 45 are pursuing intensive agriculture as envisioned in the original proposal. An unforeseen opportunity developed during the course of training to allow the course to be adjusted so that trainees could spend additional time under supervision practicing new methods on their own farms during the last nine months of training. The trainees actually showed increased income during those 9 months. This happy development not only improved the cash incomes of the trainees but stimulated their interest in learning as much as possible during the training course. Now that the graduates are working full time, the latest survey of projected earnings, which was conducted at the end of training, has shown substantial improvement in their cash incomes. The second group of trainees, numbering 53, has been recruited. They have visited the three model farms which were established during the year as well as farms of some of the first graduates. The visits have done a great deal to stimulate interest in the training program which commenced just after the end of this evaluation period.
- C. Beneficiaries and D. Accomplishments: The following chart compares the progress indicators gathered at the start of the first year's training with those gathered at the end of training.

	<u>Actual March 1 1984</u>	<u>Goal Feb. 28 1985</u>	<u>Actual Feb. 28 1985</u>
1. No. of participants completing training	0	50	45
2. Number of members of families affected by participants' incomes	226	200	226
3. Amount of land currently under cultivation (hectares)	103.5	*	112.5
4. Amount of additional land available to participants for cultivation (hectares)	511	*	502
5. Amounts of land planted of each crop (hectares):			
rice	103.5	*	96.75
improved rice	0	*	10.5
cocoa	0	*	5.25
6. Annual yield of each crop (Metric tons):			
rice	186.3	*	202.55
improved rice	0	*	42
cocoa	0	*	0
7. Amount of each crop consumed by families (metric tons):			
rice	98.9	*	116.65
8. Amount of each crop sold (metric tons)	87.4	*	128
9. Production and marketing costs for all crops this year	4,170	*	7,780
10. Net income	\$6,390	\$6,390**	\$7,155**

* Data was not available for these items prior to start-up of the project since exact beneficiaries had not been selected. The first firm data was collected by March 1, 1984 and is shown in the first column.

** It had not been anticipated that the net income of the trainees would increase during the training period. However, as pointed out earlier, an adjustment in the training program allowed the trainees to put their new knowledge into practice immediately, which resulted in increases in their cash income.

a. Of the first group of fifty trainees, three dropped out early in the course. The 47 remaining trainees completed questionnaires only 45 completed the training. Because of a low literacy level the trainees were assisted in this initial set of questionnaires compiled on March 2, 1984 by volunteer members of the Emba Province Cooperatives. The questionnaires showed that the trainees on average were tilling 2.3 hectares of land each, all of it in rice. The average yield per hectare was 1.8 tons. Much of the rice was consumed by trainees and their families.

On average, each trainee sold \$120 worth of rice during the year immediately preceding the training period. In addition, an average of \$22 in miscellaneous income was earned by each trainee. At the end of the training period, similar information was gathered from each trainee which showed the average number of hectares had increased to 2.5 per trainee, whereas, the yield per hectare had increased to 2.1 tons per hectare. Cash income from the sale of rice increased to \$140 whereas miscellaneous income dropped to \$19 probably due to the trainees lack of time for activities during the training period. It is also believed that the increase of cash sales of rice may be in a small degree accounted for by better record keeping by the trainees, something learned during the course of their training.

The projected income for the 45 trainees for the period March 1, 1985 - February 28, 1986 is \$230 based on the expectation that trainees will increase their land under production to an average of 3 hectares with a yield of 3.8 tons per hectare in rice. Only 21 of the trainees elected to plant small cocoa crops, whereas 42 have planted small areas in a new rice variety, IR 122, which province agricultural officials believe will produce 4 tons or more per hectare. Neither the experiment in cocoa nor that in improved rice varieties is sufficiently advanced to make any projections on increased income or production. There are indications however, that the trainees themselves are excited over the prospects of a 4 ton per hectare yield if their test plots do produce at that rate. They are likely to increase their plantings the following year assuming the taste of the rice does not produce unfavorable market results. Meals prepared with the new variety of rice were served on three occasions during the training year and the trainees themselves were quite enthusiastic over the taste comparing it favorably with their best local grains. It is too early to comment on expected results from the

second class of 53 trainees, except to speculate that they should do as well or better than the first group. The total improvement in cash income for the 45 trainees who are now actively farming is \$7,155 for the 9 month period ending February 28, 1985. This is an increase of \$765 over the average one year cash incomes of \$6,390 for the year preceding training.

Cost Per Beneficiary: The total cost of the start-up period was \$38,787 for both AID and non-AID costs. Half of this amount, \$19,393.50, was attributed to the cost of training the first years graduates. Training costs during training year one totalled \$50,691. Adding together the start-up and training costs, the total cost for training for year 1 was \$70,084.50 or \$1,557 per trainee. This is somewhat higher than the projected \$1,378 per trainee, primarily because only 45 trainees have actually graduated and initiated farming activities. It is still within reasonable limits for this activity.

The 45 trainees have benefited in receiving one year's training and as described earlier in this evaluation have actually increased their cash income.

b. End of Activity Projections: Based only on information to date, the goal will fall slightly short of doubling the income from \$120 in rice production for the year preceding the training. But it is expected to rise to \$230 in the year following training. This does not anticipate the likely fact that trainees will continue to increase the number of hectares under production as new rice strains become more popular and cocoa takes hold as a separate income producing activity several years hence. Taken together, therefore, there is every reason to believe at this point in time that the activity will reach or exceed its original goals.

As for continuation, the enthusiasm and hard work displayed by the first group of graduates strongly suggests that their activities will indeed continue for an indefinite period of time. The attitude of key members of the Emba Cooperative Movement has been exemplary. They now clearly perceive the intensive farming training program as a means of aiding farmers in the area as well as enhancing the Movement's status as a useful developmental organization. They have begun negotiations through the Katalan National Farmers Cooperative Movement to obtain additional funding either from the government or

other donors to contribute to a continuation and expansion of the program. They hope to bring these negotiations to a successful conclusion in the coming year.

The Emba Cooperatives have provided on average 12 volunteers at a time to assist in the training process, two more than originally anticipated. They are welcome additions to the activity. The Province Cooperative Movement does not see any role for itself in the marketing of rice for the farmers, since satisfactory marketing systems for rice are already in place. However, they do see a role in providing new varieties of rice seed for sale in other parts of the Province as well as other parts of Katalan at a premium price if the experiments now being conducted are successful. They are also eager to examine the possibility of a role in marketing cocoa once this product is available. However, this is a long term prospect since cocoa takes quite some time to develop and the amounts now planted are quite small. The Emba Cooperatives Movement entry would be a distinct plus for the Province. The Cooperative Movement in Emba Province has traditionally served only to provide consumer goods to its members.

Although enthusiasm is increasing for the intensive farming scheme in Emba Province and although FGI was forced to turn away more than two times the number of trainees accepted because of limited facilities and funds, it is too early to predict how, when, and by what means this approach might be expanded to other provinces in Katalan.

- E. Methodology. A major change in methodology was developed during the first year of training by allowing the trainees sufficient time to begin applying their training while the training activities were still underway. As mentioned earlier, this not only provided additional cash during the training year but also increased the enthusiasm of the trainees themselves as well as the enthusiasm of the latest group of trainees to be registered. FGI also will add three additional model farmers to the original three selected at the beginning of the activity. They will be selected from the best of the trainees to date, partly to show recognition to some of the trainees, but also to expand the number of points geographically where other farmers can visit to see the results of intensive farming methods. Under this activity, FGI provided certain agricultural supplies to the trainees during their first

year, including fertilizer and insecticides sufficient to cover only part of their crops. It was anticipated that increased income would allow the trainees to operate without additional support in this area during the second year. Although the trainees income has increased, they have not set aside funds to provide fertilizer and insecticides. FGI proposes to give them a second chance by providing these supplies during their second year with a clear understanding that no further agricultural supplies will be furnished to the trainees.

- F. Time Frames: As noted in FGI's initial six month report all targets were met for that six month period even though the country director was put in place one month late.

The single activity planned for the first evaluation period was the training of the initial class of students. This was completed and on time.

Looking at the activities for the second training year, this evaluation completes item 10 which was to perform an evaluation at the end of training year 1. Regarding item 11 (initiate second year training), the fifty-three trainees have been recruited and their training has begun. However, Emba Province is now experiencing an unusual and serious drought which has brought field activities to a halt. It is quite likely that completion of second year training may be delayed by as much as six months which will increase the cost of the project somewhat in order to cover the additional time frame. When the impact of the drought has been determined, FGI may seek an extension and an increase in funds from AID.

- G. Assumptions: There has been no change in the assumptions as laid out in the original proposal.
- H. Evaluation: FGI does not plan to change its current approach to evaluation in the coming year but will add to the evaluation a close look at the prospects for further developing marketing activities by the Emba Cooperatives. FGI will also carry out several attitudinal surveys (conducted by cooperative volunteers) to determine the extent of the impact the training of approximately 100 farmers is having on other farm families in the Province.
- I. Financial Narrative: The funds have been used generally as outlined in the original budget proposal. The budget comparison which follows in the next section shows those minor variations which did take place. There were no

sub-grants or contracts made during this period although a cash advance was made to the Emba Cooperative Association to purchase duty-free supplies through the government's agricultural commodities system. A list of the supplies purchased during the period was submitted to USAID/Katalan and the Grant Officer approved the list of supplies required by the activity as documented in the activity records.

GUIDELINES FOR DEVELOPING AN
EXECUTIVE SUMMARY

I. Why an Executive Summary Format was Developed

The purpose of evaluation in AID is to provide information on the performance and impact of projects and programs to project planners, managers and administrative decision-makers. With shrinking resources, increased questioning regarding AID's impact, and a growing concern with learning the lessons of development, there exists a greater need than ever for generating project performance and impact information. In response to this need, the number of evaluations of AID's efforts have been steadily increasing. Unfortunately, however, few individuals have the time to sift through each of the reports that may be helpful to them in making the numerous decisions that are necessary on the funding, planning and/or developing of projects that they must deal with on a daily basis.

The Executive Summary format has been developed to ease the burden of utilizing evaluation findings by interested individuals that do not have the time to read entire reports. This format will also serve those who may have the time to read certain reports in their entirety but need first to assess the relevance of the report's content to their tasks at hand.

II. Who is to Use the Executive Summary Format

All individuals preparing evaluation, research or feasibility studies for the Asia Bureau will use the attached format in developing Executive Summaries for their reports.

III. How is the Executive Summary Format to be Used

In preparing an Executive Summary, it is important to be aware that anyone or combination of the following groups of individuals may constitute the audience for which the summary is written. By taking into consideration the perspective of each of the following potential readers when writing the summary, there is a greater likelihood of including the critical information that will serve their needs.

A. Project Design Teams

Evaluation findings from Executive Summaries can be a rich source of institutional learning for individuals designing projects. They will be looking for what strategies seem to work and within what context. Also of interest will be strategies that are not working well and why - what obstacles prevented success and what, if any, adjustments or revisions are recommended.

B. Project Evaluations.

In designing an evaluation strategy, it is often valuable to review a description of other evaluation efforts of similar projects to the one currently being evaluated. Most useful to this audience will be brief descriptions of methodology schemes and critical indicators used to measure performances and impact and any obstacle they encountered in using the chosen methodology and indicators within the particular context they were working.

C. Administrative Decisionmakers

Administrative decisionmakers in Washington are constantly faced with having to assess the value and viability of proposed new projects and extensions of existing projects. In addition, these administrators are faced with assessing the validity and logic of assumptions contained in various policy papers. With shrinking resources, the need for utilizing lessons learned from previous developmental efforts becomes critical in their decisionmaking process. For this audience, executive summaries should very clearly assess performance and impact of projects and offer recommendations for actions to be taken.

D. Congressional Testimony

Often, AID officials are requested to give congressional testimony with regard to progress made in certain sectors or countries. Executive Summaries that offer very clear statements regarding evaluation findings on project performance and impact will be most helpful to the audience. Also, it should be noted, that audience in particular will want to see basic statistical statements backing up narrative statements on progress.

IV. General Approach to Preparing Executive Summary Format

The Executive Summary should be a two page, single-spaced document containing a clear, concise summary of the most critical elements of the report. The summary should be a self-contained document that can stand alone from the report. This document should be prepared so that even individuals unfamiliar with the project can understand the basic elements of the project and how the findings

are related to it without having to refer to any other document.

V. Elements of the Executive Summary Format

A. Problem and Overview

Describes the development problem that the project responds to as well as other significant attempts in that country to deal with the problem.

B. U.S. Assistance

Concentrates as the characteristics of the project that are supported by or are the responsibility of USAID. In addition, certain essential project information is given, such as the project number, project cost, dates the project began and ended, host country counterpart agency, contractor (if appropriate) and the projects' goal, purpose, objectives and strategy.

C. Purpose of Evaluation

Discuss any previous evaluations performed on this project and why the current evaluation is being done. Describe the methodology used and any obstacle found in the chosen strategy. Include in this discussion what the findings are based on eg. documents, interviews, questionnaire etc.

D. Findings

This section reports the evaluation findings concerning project performance and impact (if tested). For each finding, state what the bottom line is in one single, concise sentence. Then elaborate.

E. Project Design and Policy Implication

This section should provide information that answers the questions, "What are the project design and implementation elements that were most critical to the outcome of this project?"

F. Recommendations

This section should provide recommendations in terms of project revisions, adjustments, need for further development, alternative approaches or in the most severe instance, termination of the project.

THE EVALUATION PROCESS

Determining the:

I. Purpose (Why do the evaluation?)

II. Planning

What do you want to evaluate? Reaction? Learning? Behavior? Results?

Who will evaluate? How big is the group?

Who will construct evaluation tools?

When will you evaluate?

How will the results be analyzed?

How will the results be used?

Who will use the information gathered?

III. Construction of Evaluation Tools (make sure you have equal number of choice for the positive and the negative entries.)

IV. Implementation

A. Administer evaluation tools as scheduled

B. Collect tools/questionnaires

C. Analyze results

V. Reporting

A. Progress Report

B. Final Report

EVALUATION OF TRAINING

EVALUATION CLARIFIED

Nearly everyone would agree that a definition of evaluation would be "to determine the effectiveness of a training program". But this has little meaning until we answer the question, "In terms of what?" We know that evaluation is needed in order to improve future programs and to eliminate those programs that are ineffective. The problem is how to begin.

Evaluation changes from a complicated elusive generality into clear and achievable goals if we break it down into logical categories. These categories can be defined as follows:

- Category 1 - Reaction. How well did the conferees like the program?
- Category 2 - Learning. What principles, facts, and techniques were learned?
- Category 3 - Behavior. What changes in job behavior resulted from the program?
- Category 4 - Results. What were the tangible results of the program in terms of reduced cost, improved quality, improved quantity, etc.

CATEGORY 1 - REACTION

Reaction may best be defined as how well the trainees liked a particular training program. Evaluating in terms of reaction is the same as measuring the feelings of the conferees. It is important to emphasize that it does not include a measurement of any learning that takes place. Because reaction is so easy to measure, many training directors do it.

Guides for evaluating reaction.

1. Determine what you want to find out.
2. Use a written comment sheet covering those items determined in step one above.
3. Design the form so that the reactions can be tabulated and quantified.
4. Obtain honest reactions by making the forms anonymous.
5. Allow the conferees to write in additional comments not covered by the questions that were designed to be tabulated and quantified.

CATEGORY 2 - LEARNING

It is important to recognize that favorable reaction to a program does not assure learning. All of us have attended meetings in which the conference leader or speaker used enthusiasm, showmanship, visual aids, and illustrations to make his presentation well accepted by the group. A careful analysis of the subject content would reveal that he said practically nothing of value - but he did it very well.

Learning Defined

There are several definitions for learning. For the purpose of Peace Corps, learning is defined as follows: the principles, facts, and techniques which were understood and absorbed by the participants. In other words, it does not include the on-the-job use of these principles, facts, and techniques. This application will be discussed later in the section "Behavior."

Guideposts for Evaluating in Terms of Learning

Several guideposts should be used in establishing a procedure for measuring the amount of learning that takes place.

1. The learning of each conferee should be measured so that quantitative results can be determined.
2. A before-and-after approach should be used so that any learning can be related to the program.
3. As far as possible, the learning should be measured on an objective basis.
4. Where possible, a control group (not receiving the training) should be used to compare with the experimental group which receives the training.
5. Where possible, the evaluation results should be analyzed statistically so that learning can be proved in terms of correlation or level of confidence.

These guideposts indicate that evaluation in terms of learning is much more difficult than evaluation in terms of reaction as described earlier. A knowledge of statistics, for example, is desirable. In many cases, the training department will have to call on the assistance of a statistician to help plan the evaluation procedures, analyze the data, and interpret the results.

CATEGORY 3 - BEHAVIOR

Evaluation of training in terms of on-the-job behavior is more difficult than the reaction and learning evaluations described in the two previous sections. A more scientific approach is needed, and many factors must be considered. During the last few years a number of attempts have been made, and more and more effort is being put in this direction.

Several guideposts are to be followed in evaluating training programs in terms of behavioral changes:

1. A systematic appraisal should be made of on-the-job performance on a before-and-after basis.
2. The appraisal of performance should be made by one or more of the following groups (the more the better):

- a. The person receiving the training.
 - b. His superior or superiors.
 - c. His subordinates.
 - d. His peers or other people thoroughly familiar with his performance.
3. A statistical analysis should be made to compare before-and-after performance and relate changes to the training program.
 4. The post-training appraisal should be made three months or more after the training so that the trainees have an opportunity to put into practice what they have learned. Subsequent appraisals may add to the validity of the study.
 5. A control group (not receiving the training) should be used.

CATEGORY 4 - RESULTS

The objectives of most training programs can be stated in terms of results such as: reduced turnover; reduced costs; improved efficiency; reduction in grievances; increase in quality and quantity of production; or improved morale which, it is hoped, will lead to some of the previously stated results. From an evaluation standpoint, it would be best to evaluate training programs directly in terms of results desired. There are, however, so many complicating factors that it is extremely difficult, if not impossible, to evaluate certain kinds of programs in terms of results. Therefore, it is recommended that training directors evaluate in terms of reaction, learning and behavior.

Certain kinds of training programs, though, are relatively easy to evaluate in terms of results. For example, in teaching clerical personnel to do a more effective typing job, you can measure the number of words per minute on a before-and-after basis. If you are trying to reduce grievances in your plant, you can measure the number of grievances before and after the training program. If you are attempting to reduce accidents, a before-and-after measure can be made. One word of caution, however, E. C. Keachie stated it as follows in an issue of the Journal of Industrial Training (July-August, 1948): "Difficulties in the evaluation of training are evident at the outset in the problem technically called 'the separation of variables'; that is, how much of the improvement is due to training as compared to other factors?" This is the problem that makes it very difficult to measure results than can be attributed directly to a specific training program.

CRITERION CHECK

What is meant by Criterion Check?

CRITERION CHECK is a short test given during the Teaching learning activities to enable the instructor to find out how well the students are doing. Usually the CRITERION CHECK is given in the middle of the appropriate Practice Activities.

Why Give Criterion Check?

When the instructor is planning the learning activities, he anticipates that some learners will finish before others or that some learners will have one kind of problem. The only way the instructor can then identify which students are having problems learning the materials and which learners have "reached criterion" (that is, can do activity described in the behavioral objective in a satisfactory manner) is by giving a CRITERION CHECK.

The CRITERION CHECK will consist of activities similar to the Appropriate Practice and the Post-Evaluation. However, the CRITERION CHECK is not used for grading purposes (strictly speaking, nothing in CRI is used for grading purposes). It is used to plan the remaining instructional activities.

How Do You Use CRITERION CHECK?

The first step in using CRITERION CHECKS is to indicate that it is a preview of the Post-Evaluation, since this is what the CRITERION CHECK really is. Emphasize that to the learners. It will be used for finding ways to improve the instruction.

The second step is to administer the CRITERION CHECK. This will consist of giving the students a set of exercises to do, a task to do, or a project to do. The important distinction is that the activity must be the same as described in the Behavioral Objective. Usually, the CRITERION CHECK is only done for the Appropriate Practice Activities.

The third step is to apply the results of the CRITERION CHECK to the instructional process so that improvements can be made. Essentially, there are two main decisions that must be made at this time. These are: what to do about the students who have learned the skill and what to do about those learners who have not learned the skill.

A. Learners who have Reached Criterion: These learners have performed very well on the CRITERION CHECK, and in a sense have achieved the behavior described in the Behavioral Objective. Therefore, the appropriate instructional decision is to find alternative constructive activities for these individuals. Examples might be:

- i) They can take the Post-Evaluation
- ii) They can do more difficult exercises
- iii) They can help some of the learners who have not reached criterion level.
- iv) They can learn different skills, particularly if an instructor is not required.

Imaginative Instructors will find many more alternatives to aid to this list.

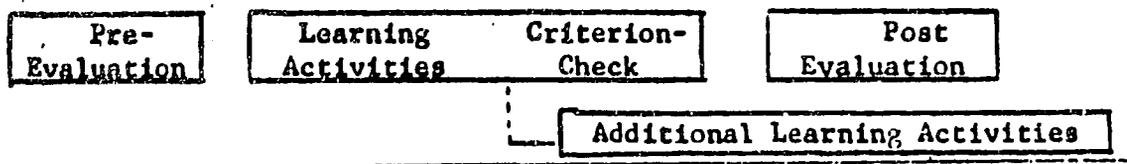
B. Learners Who Have Not Reached Criterion: These learners need more practice and depending upon their performance may require a Review of the Graduated Sequence activities. Perhaps the learning activities were not constructed adequately for these learners' learning needs. This may entail a re-examination of the Graduated Sequence. Individual Differentiation or Knowledge of Results to find ways to improve it. The instructional decisions that may have to be made here might include one or more of the following:

- 1) The learners receive individualized special tutoring.
- ii) The learners do more appropriate practice exercises.

Again, imaginative instructors will be able to aid to this list.

Post-Evaluation- is used to determine how successful the instructional sequence was. It is simply a measure of how many learners can do the activity correctly at the end of instruction. Successful instruction will have most of the learners demonstrating the ability to perform the activity. But we can only say that the learners were successful if we can also show that the students could not do the activity before the lesson.

We can see this process diagrammatically:



How satisfied are you from today?

Very satisfied

Satisfied

Moderately

Unsatisfied

Remarks: _____
 Suggestions: _____
 Name: _____

At the end of the day, after participants have given their reactions throughout the day to all or some of the processes, the facilitator wish to receive a total reaction to the whole day's activities. (Fig. 1). Each participant is handed a copy of "The Barometer" and requested to mark and answer it.

11-7

Activity	To Me				For the Group			
	No Imp.	Some Imp.	Imp.	Very Imp.	No Imp.	Some Imp.	Imp.	Very Imp.

Name _____ Group _____

LEADER RATING SHEET

Rating _____ Name of Leader _____ Date _____
 Subject _____

A. PREPARATION

1. Did he prepare for the meeting?
2. Was his preparation geared to the group

B. CONDUCTING

1. Did he read his material?
2. Did he hold the interest of the group?
3. Was he enthusiastic-dynamic?
4. Did he use visual aids?
5. Did he present his material clearly?
6. Did he help the group apply the material?
7. Did he adequately cover the subject?
8. Did he summarise during conference and at end?
9. Did he involve the group?

C. CONSTRUCTIVE COMMENTS

1. What would you suggest to improve future sessions?

D. POTENTIAL

1. With proper coaching, what would be the highest rating he could achieve?

E. ADDITIONAL COMMENTS

PARTICIPANT FEEDBACK FORM
(End of Session)

to _____

or Job Title _____

Please check the line which best describes your previous training in program evaluation.

_____ have had little or no training

_____ have had some normal training (i.e., a workshop, a college course, etc.)

_____ have had on-the-job training

_____ have had extensive training

To help us make this workshop as useful as possible to you, we would appreciate your reacting briefly to today's activities in each of the general areas listed below. Please be candid in expressing your feelings, whether they are positive or negative. Please do not sign your name unless you have a particular reason for doing so. Use the back of this sheet if you need additional space to answer any questions.

CONTENT of today's session (please be specific, if your comment does not apply to all the content).

PRESENTATION techniques used (if your comment does not apply generally, please specify the media, instructional technique, or person about whom you are commenting).

TIME and PACING of today's sessions (please be specific if your comments apply only to portions of the session).

FACILITIES and ARRANGEMENTS (Please be specific if your comment does not apply generally).

REACTION SHEET

Please give us your frank reactions and comments. They will help us evaluate this program for possible improvement in future programs.

Leader _____ Subject _____ Date _____

1. How do you rate the subject matter?

Excellent

COMMENTS:

Very good

Good

Fair

Poor

2. How do you rate the conference leader?

Excellent

COMMENTS:

Very Good

Good

Fair

Poor

3. What benefits do you feel you got from this session?

New knowledge that is pertinent.

Specific approaches, skills or techniques that I can apply on the job.

Change of attitude that will help me in my job.

OTHER:

4. What would have made this session better? (Use other side if necessary.)

FINAL REACTION SHEET

NAME OF PROGRAM _____ DATE _____

1. How would rate the overall program as an educational experience?

Excellent

COMMENTS:

Very Good

Good

Fair

Poor

2. To what extent with it help you do a better job for your organization?

To a large extent

COMMENTS:

To some extent

Very little

3. What were the major benefits you received? (Check as many as you wish.)

Helped confirm some of my ideas.

Presented new ideas and approaches.

Acquainted me with problems and solutions from other companies.

Gave me a good chance to look objectively at myself and my job.

Other benefits:

4. How were the meeting facilities, luncheon arrangements, etc?

Excellent

COMMENTS:

Very Good

Good

Fair

Poor

5. Would you like to attend future programs of a similar nature?

Yes

No

Not Sure

6. Other comments and suggestions for future programs:

STAFF DEVELOPMENT

SESSION CRITIQUE SHEET - PRACTICE TEACHING

I. PRESENTATION

FACILITATOR

- 1. Did the facilitator introduce the session in relation to what has happened before it to establish a smooth flow?
- 2. Was a perceived purpose for the session established?
- 3. Were the objectives for the session clearly stated?
- 4. Was an ice-breaker (a quotation, a poem, a story, a joke, etc.) used to introduce the new subject matter?

II. APPLICATION

- 1. Was practice of the behavior provided during the session?
- 2. What teaching-learning principles were taken into consideration in the course of the session?
- 3. What ~~teaching-learning principles~~ were used?

III. EVALUATION

- 1. Was an evaluation of learner's accomplishment of the objective done at the end?
- 2. What tool or technique(s) were used to measure learnings? Results?

IV. CLASSROOM MANAGEMENT

- 1. Pacing - Did the lesson proceed at a challenging pace? Or where people bored?
- 2. Time - Did the session start and begin on time?
- 3. What instructional aids were used? Were the aids used effectively?
- 4. How did the facilitator conduct him/herself? (Voice projection, physical stance, gestures, etc.)

Comments for improvements:

64

CRITIQUE SHEET**A. PHYSICAL ARRANGEMENT**

Was the room conducive to learning?

B. PREPARATION OF THE TEACHER

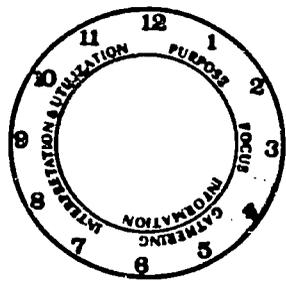
1. Does she have all the materials needed?
2. Did the teacher start on time?
3. Does she know her subject matter?

C. LESSON PROPER

1. Was the objective stated behaviorally?
2. Was the objective clear?
3. Was it attainable?
4. Did the teacher establish the rationale of the activity?
How?
5. Was the time element appropriate for the topic presented?
6. Did the learning activities help in the achievement of objectives?
7. Were there alternative activities for learners who had difficulty in achieving the objectives?
8. Were the individual given knowledge of result?
9. Was there a time given for each individual to undergo appropriate practice?
10. Did they evaluate the outcomes based on the objectives?

D. COMMENTS FOR IMPROVEMENT

USEFUL TOOLS: A POTPOURRI OF INFORMATION GATHERING METHODS



When it comes right down to it, being an evaluator is akin to being a detective. Both evaluators and detectives search out information, analyze what they find, and then reach conclusions based on their analyses. Sherlock Holmes had his magnifying glass... but what are the tools of the trade for those of us working in evaluation?

This section begins to answer that question by presenting sixteen different information gathering tools:

- | | |
|--------------------------|------------------------------|
| Action cards | Mapping |
| Analytical Frameworks | Measuring Nutritional Status |
| Community Meetings | Observation |
| Creative Expression | Photography |
| Diaries | Problem Stories |
| Farmer's Own Record | Questionnaire |
| Interviewing | Scales |
| Investigative Journalism | Unobtrusive Measures |

These tools provide ways of putting into action some of the concepts of the earlier sections. They enable us to expand our repertoires. It is important, however, to keep in mind that the tools we use for collecting data often influence what we in fact collect.

The description of each tool has five parts: *Definition; How It's Used; Pros, Cons, and Other Issues; Participatory Applications; and For More Information.* The highlight on participation stems from PVOs' commitment to helping people to carry out development activities themselves, as emphasized throughout the Sourcebook.

The tools included here are intentionally diverse in scope. Some are geared to quantitative data and others to qualitative concerns. Some tools require reading and writing, others emphasize listening, and still others are mainly visual. Many of the tools are simple to create and use, while others are more complex and require considerable advance preparation.

It is important to remember that there is no direct match between the tools and the Primary Persuasions discussed in the previous chapter. For the most part, any of the tools can be adapted for use with any of the persuasions. For instance, an evaluation stressing a goal-based approach may encompass both quantitative and qualitative goals, so a method combining scales, questionnaires, photography, and problem stories might be appropriate. Likewise, a goal-free evaluation might make use of the same method, although with more open-ended items on the questionnaires and scales. The one exception in terms of matching persuasions and tools is probably naturalistic evaluation. Clearly, the less obtrusive tools, such as observation, interviewing and unobtrusive measures would be most appropriate in this case.

Generally, the key to effective selection and application of information gathering tools is the use of a number of tools in combination. Different tools by nature reveal different aspects of a project. For instance, creative expression may show individual feelings and opinions, whereas action cards certify certain verifiable tasks or accomplishments.

The use of a combination of tools also deals with the thorny issues of **RELIABILITY** and **VALIDITY**. These principles evolved from the scientific method and are two pillars of social science research. Basically, reliability means that you can trust the consistency of a measure from one situation to the next, validity deals with the extent that a test measures what it is supposed to measure. In evaluating PVO projects, it is usually not possible to find ready-made measures that are reliable and valid, while at the same time appropriate. Instead, project evaluators often are called on to create their own methods especially suited to the character of an individual project. Therefore, using a combination of tools provides a way to cross-check and confirm information gathered.

Another important key to effective information gathering is the use of **PRE** and **POST** tests. Traditionally, questionnaires have usually served as major sources of "before" and "after" data, but the less conventional tools in this section, such as mapping, are also adaptable for this purpose.

Information collection methods tend to be "catchy" or easily visible parts of the evaluation process, and therefore, decisions about data collection techniques are sometimes made early in the planning process. However, look back to the Evaluation Clock (p. 22), and note where this decision fits into our framework. The selection of an information gathering method should be coordinated with other basic deci-

sions, namely, the kind of information needed, the evaluation approach(es) to be used, the level and complexity of the evaluation, the capabilities of the project beneficiaries, and the persons who will be involved in carrying out the evaluation process.

As you make those decisions, then, use this tools section as you would a spice rack! Be daring, and add a variety of new flavors to your evaluation. Or, if you're more a salt-and-pepper type, try one new seasoning at a time to add zest to your findings. In short, use this section as a resource for enriching what and how you evaluate.

Useful Tools: Action Cards

Definition:

Action cards provide a simple way of noting steps taken towards a goal and problems that were encountered. Blank index cards or brief, specifically designed forms (half sheets of paper with two or three questions) are used by individuals or groups to keep a running account of what they did, when, to reach their goal. Card entries can be short — a few words or sentences. The cards promote a sense of accomplishment and help identify critical project incidents or turning points.

How It's Used:

This evaluation tool was specifically designed for participant use. It is most appropriate for a self-help project, in which small groups or communities have decided to work together to accomplish a collective goal, such as starting a community child care center, forming a bee-keeping cooperative, or securing piped water for a village. Cards can be kept by all members of a group or by selected individuals. The events recorded can be major happenings only (e.g., rights secured to a parcel of land) or more detailed (e.g., meeting held with Mr. X, application presented to district office, etc.). Obviously, the more detailed approach gives a fuller picture of the project's activities.

Participants can use the cards at regularly scheduled meetings to assess their progress. By comparing the cards to a projected action plan or timeline, changes and needed revisions in the plan can be identified. The cards can also be shared with outside evaluators as a basis for discussion. An evaluator's questions and insights may help broaden a group's view of its activities. Also, the cards provide a concise record of outcomes.

Besides being useful for evaluation, the cards have a positive side effect: they reinforce goal-setting and planning skills amongst the participants. In using the cards, participants keep a longitudinal account of a specific set of activities and expand their capabilities for charting future activities.

Pros, Cons, Other Issues:

PROS:

- Specific, concrete, action (outcome) - oriented.
- Easy to use.

CONS:

- If used alone, can place too much emphasis on results and not enough on how they came about.
- Requires some writing ability.

This approach assumes that participants are clear on a project's direction and are committed to its goals. Also, action cards need to be introduced early in a project in order to have maximum value for tracking activities.

The way participants use action cards can involve them to greater or lesser degrees in project analysis and policy-making. On one end of the spectrum, participants might keep cards which would then be compiled and analyzed by an outside evaluator. On the other end, participants would be involved in determining what to record, how to analyze and use the data, and with whom to share it. The latter approach enables participants to be not only sources of data, but first users of the data as well.

Action cards are an easy-to-use, easy-to-introduce evaluation tool that can effectively be combined with other tools to comprise a project evaluation strategy. The cards create a mechanism for building community participation in evaluation throughout a project, not just at the midpoint or when a project ends.

For More Information:

No published references available. Original work developed by World Education, 210 Lincoln Street, Boston, MA 02111.

Useful Tools: Analytical Frameworks

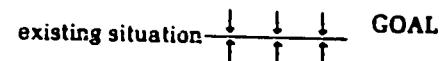
Definition:

An analytical framework provides a conceptual model for organizing and simplifying a complex process or situation. Typically, the frameworks are written outlines or graphic representations that are used as guides in examining the subject of the evaluation.

How It's Used:

Two analytical frameworks adaptable for PVO project evaluation are: **FORCE FIELD ANALYSIS** and **FUNCTIONAL ROLE ANALYSIS**.

Force field analysis can be used to look at any situation and determine the factors both contributing to and inhibiting desired change. For instance, a community women's group may have the goal of increasing their chicken production. With force field analysis, they would first brainstorm existing "supports" to chicken production (good stock, sanitary housing, proper feed), then brainstorm possible "constraints" (poor care of chicks, prevalence of disease). The idea behind force field analysis is that by maximizing positive forces and removing negative forces, goals can be reached. This framework is graphically represented as follows:



Functional role analysis is a useful overlay for examining social and task relationships, such as behavior and interaction in small groups. Group process outlines exist for this analysis and include criteria for effective "task" and "maintenance" behaviors.

Analytical frameworks can also be created for specific situations. For instance, a local PVO in Tanzania drew upon transactional analysis (see Jones & Jongeward) as a means to focus on respectful, participatory development and learning approaches. Their framework developed contrasted "parent-child relationships" and "adult-adult relationships" (see Vella).

Analytical frameworks work well with group discussion. The person presenting the framework needs to be able to explain it clearly and involve the group in applying it to their own situation. Following the discussion and analysis, recommendations and action plans can be developed.

- Often emphasizes specific skills; useful for behavior learning.
- Leads directly to action steps.

- CONS:**
- May be too abstract for some groups.
 - In some cases, may be too narrow in scope and exclude other important variables.

Participatory Applications:

Though analytical frameworks can be used by individuals, they are used most effectively for group discussion and analysis. To enable everyone to express their views — to get the fullest range of perspectives on an issue — small groups of four or five can meet, conduct analyses, and then report their ideas to the larger group. Next, the large group can work together to identify conclusions and "where to go from here," i.e., next steps.

Analytical frameworks are essentially participatory tools, as long as the participants clearly understand what the frameworks mean and how to use them. They are helpful in focusing discussion and in enabling groups to develop plans of action.

For More Information:

- Jones, Muriel and Jongeward, Dorothy. *Born to Win*. Massachusetts: Addison-Wesley Publishing Co. Simple explanation and various applications of transactional analysis.
- Peiffer, J. William and Jones, John E., eds. *A Handbook of Structured Experiences for Human Relations Training*. Vols. 1-5. LaJolla: University Associates, 7596 Eads Ave., Calif., 92037. Various group process frameworks.
- Walla, Jane. *Learning to Listen*. Amherst: Center for International Education, 1980. Hills South, Univ. of Mass., 01003. Group process; transactional analysis applications to rural development.

Useful Tools: Community Meetings

Definition:

For the purposes of project evaluation, community meetings are a structured assembly for a large group of people that provide a forum for the following: a hearing on issues, a presentation of evaluation findings, a discussion of evaluation recommendations, and/or decision-making on plans of action.

Generally, community meetings are most appropriately used in combination with one of the other tools included in this section. Community meetings serve to open the evaluation process to more people and thus promote a greater sense of community involvement in project activities. The community meeting is basically a "presentation" tool, while the other methods are more "data collection" tools.

How It's Used:

Community meetings can utilize a wide range of formats: a visitor or expert panel presentation; community committee presentations; a fair or display (for instance, different kinds of wood burning stoves; or art work created by community members, see Creative Expression); a structured workshop; a presentation by community leaders; a debate; etc.

Whatever format is used, the process of a community meeting is essentially the same. First and foremost, community meetings must be well-planned and carefully structured because of the number of people involved. Community members ideally should be informed of what is to be presented at the meeting in advance, through a wall newspaper, flyers, home visits, radio, or whatever medium is available. When the meeting is held, its scope and purposes need to be made clear at the outset. Next, the presentation is given; it should be brief and geared to the level of those attending. Questions and discussion then follow. A good way to

small discussion groups. After a specified period of time, the large group can reconvene and hear reports from each of the small groups. To end the meeting, it is important to specify any decisions that have been made and any next steps planned. Since it is difficult for many people to agree on a course of action, suggestions can be referred to a community or project committee or to community leadership for their deliberation.

Community meetings can be held at "critical points" throughout the life of a project, such as project identification and planning; mid-point review; and termination of outside technical assistance.

Pros, Cons, Other Issues:

- PROS:**
- All-inclusive; all interested community members can attend.
 - Broadens community ownership of project.
 - When outside experts are involved, provides a "reality-base" for expert views and recommendations.
- CONS:**
- Community conflicts may be manifested and go unresolved.
 - Difficulty in bringing closure to the meeting.

Participatory Applications:

Community committees involve a significant number of community members in meetings. The committees can perform the following tasks: collecting/analyzing data for presentation at a meeting; planning the structure of a meeting; coordinating logistics (space, publicity, etc.); making presentations at a meeting; following up on meeting recommendations by functioning as task forces. If a meeting is to be devoted primarily to an expert presentation, the preparation gives community members the feeling of having some part to play. Action task forces are excellent for translating evaluation findings into community commitments.

The composition of community committees will differ according to the interests of a particular community. Some may want representatives from major community groups; others may prefer voluntary participation.

For More Information:

- Byram, Martin; Conchelos, Greg; Hall, Budd; Jackson, Ted; and Kidd, Ross. "Emerging Rural Applications of Participatory Research." A Paper Prepared for Social Sciences Division, Unesco, Paris, 1978. Toronto: Participatory Research Project, International Council for Adult Education, 29 Prince Arthur Ave., Toronto, Ontario M5R 1B2, Canada. See esp. pp. 9-23.

Community Development Trust Fund. *Appropriate Technology for Grain Storage*. New Haven: Community Development Trust Fund, 1977.

Useful Tools: Creative Expression

Definition:

Creative expression as an evaluation tool involves the use of art forms as a means for individuals and groups to represent their ideas and/or feelings. This method is very open-ended; it can generate data that is particularly rich for interpretation and contains many subtleties. Artistic forms that are commonly used include drawing, drama, role plays, music, found objects, and collages.

participating in the evaluation are comfortable. In some cultures, for instance, folk dramas are a part of people's lives, and expressing reactions to a project through drama may be quite natural. After choosing the appropriate form, the individuals or group participating are usually given a question or theme to guide their work, such as, "How has the project affected the community?" or "Before the project/after the project." Basically, four kinds of guiding questions or themes can be used: 1) optimal (prescriptive: how participants would like something to be); 2) actual (descriptive: what they see happening in the present situation); 3) problem (descriptive/analytical: critical issues, why they exist, and what to do about them); and 4) comparative (how participants see two different periods of time, two different projects, etc.).

In evaluations with individuals or small groups as participants, the participants work on their creations and then present them to the full group for reflection and analysis. When groups work on one art form together (such as a collage), they stand back to look at and think about what they've created. In both cases — individuals or small groups — the creation(s) becomes a representation to "decode" and analyze, then draw conclusions and make plans for the future.

Here are some suggested art forms:

- Drawing: charts, maps, timelines, pictures, abstract free form, social interaction networks, cut-outs, diagrams
- Drama (usually longer than role plays): before and after stories, different perspectives on same issue through different characters; story of a problem
- Role play: critical incident, problem situation, role reversal, how to solve a problem

Pros, Cons, Other Issues:

PROS: • Literacy skills not required.

- Art works usually represent a wide range of views and mirror complexities.
- Process is fun and promotes interaction/discussion.

CONS: • Some participants may be inhibited in expressing themselves through art forms.

- Analysis and interpretation can be complex; hard to reach conclusions.
- Some funders may consider creative expression too "soft" an evaluation tool.

Participatory Applications:

Creative expression lends itself naturally to participation. The process of using an art form for evaluation is actually more like a workshop than the administration of an evaluation instrument. The evaluator serves as a facilitator, establishing the focus for the art form, then guiding the participants in creating, and finally posing questions to aid in analysis and drawing conclusions.

Whether the art works are created by individuals separately or individuals as a single group, all participants contribute to interpreting what has been created. Emphasizing this collective analysis and planning — making recommendations, revising a project implementation plan, modifying project goals — maximizes the participatory use of this tool. Collective analysis and planning takes time, but the time invested yields participants who share a sense of ownership and commitment to project activities and directions.

Kidd, Ross and Byram, Martin. *Popular Theatre. Participatory Research Project, International Council for Adult Education*, undated. 29 Prince Arthur Ave., Toronto, Ontario, Canada, M5R 1B2.

Laedza Batanani. *Organizing Popular Theatre. Popular Theatre Committee, Institute of Adult Education, University College of Botswana, Private Bag 0022, Gaborone, Botswana.*

Marino, Dian. *Drawing from Action for Action: Drawings and Discussion as a Popular Research Tool. Participatory Research Project, International Council for Adult Education.* Toronto: undated. (See "Kidd" above, for address.)

Russell, Robert. *The Fun Bus.* Amherst: Center for International Education, Hills South, Univ. of Mass., 1977. For community drama.

Vella, Jane. *Visual Aids for Nonformal Education.* Amherst: Center for International Education, Univ. of Mass., 1977.

Useful Tools: Diaries

Definition:

Diaries are records of events that occur over time. They record how the events happened, the problems that occurred, and peoples' feelings and thoughts about what transpired. Diaries can be kept by individuals, groups, or communities; they can focus on a narrow topic, such as rice planting and harvesting, or on wider aspects of community life, such as community development efforts.

Diaries are a unique source of data in that they record activities as well as personal reflections on those activities.

How It's Used:

Diaries need to be introduced early in the life of a project, and participants may require some training to use them effectively. It may be useful to review samples of other diaries. Participants may also want to meet after they've made a few entries to discuss what makes a valued entry and problems they may have encountered. Diaries can be kept in blank notebooks, or packets of forms, or even on cassette tapes for participants with minimal literacy skills. Guidelines should be set to determine what is to be included in the diaries and how often entries are to be made.

The data from diaries can be compiled in one of two ways. First, an outside evaluator can collect the diaries at specific times and review them. Second, participants themselves can meet to share their entries and discuss their themes and perceptions. The questions of who will have access to the diaries and how the information will be used should be determined from the outset. Some participants may be unwilling to present parts of their diaries to an outsider or even to another community member.

Diaries have been used creatively in some development programs. For instance, in Bolivia, farmers kept "technical agricultural diaries" to record how they carried out crop and livestock tasks (see Hatch, 1981). The information in these diaries was considered so valuable by agriculturalists that it is being compiled into a "people's textbook."

Thus, the diary material is useful for a number of purposes: tracking the life of project activities; identifying major turning points or problem areas; noting changes and accomplishments; getting a picture of individual satisfactions and dissatisfactions — even promoting learning among community members or between communities.

- PROS:**
- Combined focus both on project contents (what happens) and process (how it happens)
 - Creative — reinforces writing and analysis skills.
 - Enables participants to be the first users of the evaluation data.

- CONS:**
- Generally, requires writing skill (though participants may dictate entries to school-age children or use a cassette tape instead of a notebook).
 - Generates a large amount of data, making compilation and analysis a challenge.

Participatory Applications:

Diaries are useful evaluation tools because participants control the data that is gathered, recorded and shared. Therefore, the approach described for using diaries is highly participatory. If trust is promoted among community members or between community members

and an outsider, the data from their diaries will often be more comprehensive than if it had been gathered through interviews or questionnaires.

Groups and communities can also keep diaries collectively. Individuals can make entries in turn, or groups can discuss together what to include. Such collective diaries, in addition to presenting a composite view of project activities, become a means of self-reflection for groups and contribute to building solidarity.

For More Information:

Hatch, John K. "Peasants Who Write a Textbook on Subsistence Farming: Report on the Bolivian Traditional Practices Project," *Rural Development Participation Review*, Winter 1981, Vol. 2, No. 2. Rural Development Committee, 170 Uris Hall, Cornell University, Ithaca, New York, 14853.

_____. "A Record Keeping System for Rural Households," Michigan State University Rural Development Series, Working Paper No. 9, 1980. (write: Dept. of Agricultural Economics, MSU, E. Lansing, MI 48823). Includes various "instruments," such as a gameboard for crop enterprise accounting. (REF. 5)

Useful Tools: Farmer's Own Record

Definition:

Perhaps the ultimate level at which evaluation must occur is the individual. A farmer, for example, should be the final judge as to whether he/she should adopt a new technique. The best way for a farmer to decide is to test the new idea on a small portion of his/her land. By keeping records, the farmer can evaluate the merits of the new idea.

How It's Used:

There are a number of criteria which a farmer uses to determine whether or not to adopt a new practice. Included are the cost/benefit ratio, the amount of time and labor required, the availability of resources and desirability of product, and many more. Though these factors are often judged subjectively, some of them can and should be measured quantitatively.

A farm record can help a farmer keep track of input costs, total time spent on various operations, etc. These items can then be weighed against the difference in yield between the control plot (traditional practice) and the trial plot (new practice being tested). An objective evaluation then can be made.

Amount of time spent on each operation can be recorded in hours, or more simply, in half-day units, i.e. mornings or afternoons spent doing an operation on that plot. Such a record is reproduced in the accompanying sample.

Pros, Cons, Other Issues:

- PROS:**
- Farmers can keep records if they are literate enough to write numbers and have a knowledge of simple mathematics. They can thus add up the costs of inputs and compare them with the estimated value or actual sale of produce to determine net profit or loss.
 - Even illiterate farmers have been taught to keep records like those illustrated here. Farm records which use drawings, could be adapted for measuring other factors needed for individual-level evaluation.

Participatory Applications:

If one agrees that the ultimate "evaluators" are the individual beneficiaries, the concept of farmers being taught to measure and record their inputs and yields is basic to an agricultural development program.

The participatory approach to evaluation acknowledges the validity of people making their own decisions. If a farmer is taught how to measure and keep records, he/she can decide whether or not a technique being recommended by an extension agent will really be an improvement.

But this approach has an even greater potential. Not only can farmers be taught to evaluate an outside recommendation; farmers can test their own ideas and develop their own improved practices. This unleashes a revolutionary potential, with millions of inspired innovators experimenting and accelerating the development of agriculture!

For More Information:

Bunch, Roland. *Two Ears of Corn*. Oklahoma City: World Neighbors, 5116 North Portland Avenue, Oklahoma, 73112, 1983.

Hapgood, David, ed. *Policies for Promoting Agricultural Development*. Report of a Conference on Productivity and Innovation in Agriculture in the Under-Developed Countries. Center for International Studies, Massachusetts Institute of Technology, undated.

Harwood, Richard R. *Small Farm Development, Understanding and Improving Farming Systems in the Humid Tropics*. Boulder: Westview Press, 1979.

World Neighbors — 3 filmstrips: "Testing New Ideas" (Africa); "Let's Try It!" (Guatemala); "How to Test a New Idea" (Guatemala). (see "Bunch" above, for address.)

Useful Tools: Interviewing

Definition:

The oldest and most respected manner of gathering information known to man is human conversation, or for our purposes - interviewing. The style of interviewing may range from informal and conversational to closed and quantitative. The objective in all cases is to provide a framework for respondents to express their understanding in their own words.

How It's Used:

For PVO practitioners, interviewing simply requires the perfecting of a common task: talking to people. Doing it right, though, requires more than a casual approach. Including interviewing in evaluation is a must when one wants information that cannot be observed. We suggest four variations to structure interviews to collect information for an evaluation:

1. Background information only	informal conversation	discovery
2. Interview guide	unstructured	open-ended probe
3. Standard questions	structured	open-ended verification
4. Questionnaire	limited responses	closed verification

The first three alternatives are primary means of gathering qualitative data, while the fourth is more quantitative. In all cases, interviewing should never be the sole means of gathering information. Rather, it should serve in corroboration with other evidence.

Analysis of interview data is painstaking, but rewarding. Recording interviews helps tremendously, but if that is too inconvenient, the interviewer must take detailed notes during and immediately after an interview. The evaluator should check the analysis with those closely involved in the observed situation, and then build a persuasive case, using generalizations that draw on specific points from the interviews. Tolerating ambiguities in most instances is a virtue.

Pros, Cons, Other Issues:

Interviewing provides the richest source of data in the shortest time. Its reliability is greater than any other form of information gathering from individuals because of the face-to-face interplay that occurs. Its principal drawback is frequently the cost. This factor should be weighed carefully against the value of the information. Also, interviewing is a skill that should not be taken for granted. Training, at least in the basics, is a must. One should consider the pros and cons of each style of evaluation:

1. **Informal conversational:** PROS: Discovers questions; builds well on observations, brings out deviations from usual responses. CONS: Hard to systematize and analyze; difficult to use different interviewers.
2. **Unstructured:** PROS: Keeps interview flexible, but easier to systematize information collection. CONS: Variations in questions posed affect responses.
3. **Structured:** PROS: Maintains comparability of interviews; easier to analyze responses. CONS: More restrained answers; restricts relevance of replies.
4. **Limited responses:** PROS: Quick interviews; possible to use various interviewers, produces quantifiable data. CONS: Impersonal; can distort responses; not useful for probing.

Participatory Applications:

Interviewing has obvious potential as a participatory technique. The community's involvement begins with the formulation of questions. A field worker can easily train community members to conduct interviews because it is a natural activity. Analyzing responses may require more assistance, but does not require technically sophisticated skills. Interviewing can be an excellent complement to community meetings, bringing out information people are unwilling to discuss in groups. Relating people's views in their own words can bring about effective communication of community concerns to others.

For More Information:

- Dexter, T.A. *Elite and Specialized Interviewing*. Evanston: Northwestern University Press, 1970.
- Guba, E.G. and Lincoln, Y.S. *Effective Evaluation*. San Francisco: Jossey-Bass Publishers, 1982. See especially chapter 7 on interviewing, observation and non-verbal cue interpretation. (REF 3)
- Patton, M.Q. *Qualitative Evaluation Methods*. Beverly Hills: Sage Publications, 1980. (REF 3) Chapter 7 deals specifically with interviewing, but chapters 8 and 9 are also helpful on analysis of data.

Useful Tools: Investigative Journalism

Definition:

Investigative journalism is a method of inquiry used to expose a situation or condition in imical to the public interest. As an evaluation tool, investigative journalism is one of the new techniques developed at the Northwest Regional Educational Laboratory (Portland, Oregon). The Laboratory is carrying out a long-range project that emphasizes "metaphoric adaptation," which simply means using a discipline or field of activity not traditionally linked to evaluation as a way to gain new insights into a project. The project is based on the idea that dominant approaches to evaluation (i.e., social science methods) are inadequate for dealing with evaluation issues that are related to management, policy, value, and economics. It contends that new methods are needed to respond to expanded evaluation concerns. Thus, the aim is to broaden evaluation perspectives on ways of knowing and how data is gathered and perceived.

How It's Used:

While the premise on which investigative journalism is based may not be appropriate for PVO evaluation, the processes can be useful for guiding open-ended inquiry.

Investigative journalism assumes that some wrong-doing or conflict of interest situation exists. It starts with a hunch, then sets out to prove the hunch is true. In PVO projects, conflict of interest circumstances may arise within a project or in relation to the local community. For instance, a local official may be tapping project funds for non-project purposes or determining who attends a particular training program. Usually, such situations are extremely difficult politically and must be handled in such a way that good PVO relations can be maintained with collaborating organizations. Or, a policy decision must be made to stop working with a particular organization or in a particular area. In general, journalists can afford to alienate the subject of their inquiry, whereas PVOs cannot.

In terms of processes, however, investigative journalism has much that is adaptable for PVO evaluation. This involves a series of steps: the hunch or hypothesis (for PVO projects, this could be related to a problem, such as limited participation, rather than to an assumption of wrong doing); exploration; and tracking. Different techniques support these steps. "Exploration" typically involves informal discussions, observation, and some document reviews. "Tracking" is much more rigorous; this step includes detailed study of written records to identify themes and connections, cross-checking of sources, and a key interview or interviews with these or whom the evaluation focuses. These techniques have been thoroughly developed through investigative journalism experience and interested PVO evaluators are encouraged to consult the sources in "For More Information" for complete guidelines and tips. Investigative journalism seems especially appropriate for monitoring or formative evaluation.

Pros, Cons, Other Issues:

- PROS:
- Provides a format for delving into critical problems or issues and for gaining a full understanding of their complexities.
 - Combines both quantitative and qualitative data; comprehensive.
- CONS:
- If used by an outside evaluator, may seem too much like a "detective investigation." If used by local team, may demand too much in terms of literacy and abstraction skills.
 - Can identify conflicts that may be beyond the scope of the project to resolve.

participants with suspicion, so this tool may actually require participation in order to be used successfully in the field. At the same time, the techniques probably need to be simplified for participants and/or community members to be able to use them.

A participatory approach for carrying out evaluation like investigative journalism would involve a team of participants coordinated by an individual well-versed in the techniques, possibly an outside evaluator. The role of the coordinator would be to guide the team in planning, in developing needed skills, and in implementing the plan. The planning could be done in a workshop, structured according to the steps used by investigative journalists (hunch, exploration, and tracking). For each step, the evaluator would explain the kind of inquiry and techniques typically utilized, and participants themselves could identify similar techniques suitable to their own skills and context. For instance, rather than do extensive cross-checking of written references, participants might decide to cross-check many different individuals.

In a nutshell, a participant team uses an investigative journalism approach to determine a key area to examine in depth, define ways to find out and confirm information, carry out the investigative plan (meeting regularly to cross-check data and identify new leads), and finally reach conclusions. The coordinator enables the team to become detectives in their own situation.

For More Information:

Guba, Egon G. "Investigative Journalism." In *New Techniques for Evaluation*. Edited by Nick L. Smith. Beverly Hills: Sage Publications, 1981. pp. 167-262. (REF 3)

Nelson, David E. "Investigative Journalism Methods in Educational Evaluation." In *Field Assessments of Innovative Evaluation Methods*. Edited by Nick L. Smith. San Francisco: Jossey-Bass Publishers, 1982. pp. 53-81. (REF 3)

Note: The above publications also include articles on some of the other "new methods" for evaluation developed by the Northwest Regional Educational Laboratory in Portland, Oregon. These include adaptations of film criticism, philosophy, committee hearings, and watercolor painting.

Useful Tools: Mapping

Definition:

Mapping refers to making graphic representations of specific aspects of a community, i.e., social structure, communications networks, neighborhoods, historical development, and resources. It is a structured activity in which individuals or groups diagram a part of the context in which they are living. As an evaluation tool, mapping is especially useful for "before and after" reactions and for recording perceptions of project impact.

How It's Used:

Maps are fairly simple tools to create and use, as long as participants are able to make the connection between their milieu and some lines and figures drawn on a piece of paper. Many kinds of environments can be represented on maps — entire communities, organizations, households, coops, businesses, and small groups. Within these environments, many different kinds of structures and relationships can be considered, i.e., social relationships, economic structures, leadership, decision-making, resource utilization, etc.

Choosing an Environment as Its Center:

To use mapping, the specific focus of the map must first be established. This focus and the instructions for creating a map then need to be clearly explained to participants. It is very helpful to have a sample from another community, because the idea of a map may be new to some. Maps can be drawn by individuals or by group members together and subsequently should be analyzed by the full group.

Maps tend to highlight critical elements of whatever is being considered, such as landmarks in the development of a group or community organization, or key problem areas in resource utilization and control. Participants should be encouraged to represent what they perceive as most important and not to worry about details.

Many segments of a population should participate so that a range of perspectives are represented.

Pros, Cons, Other Issues:

PROS: • Generates many different perspectives and provokes rich analysis.
• Can lead to new discoveries.
• Results in a graphic product that can be referred to in the future.
• Promotes greater understanding in a group or community of different viewpoints.

CONS: • Sometimes complex, hard to interpret.
• May be difficult for some groups to conceptualize.

Mapping of areas that can be sensitive, such as decision-making patterns or resource control, may produce strong differences of opinion within a group. The individual coordinating the evaluation needs to be skilled in facilitating discussion and in dealing with conflict.

Participatory Applications:

"Collective creation" and "collective analysis" are the ways to promote full participation in using mapping for evaluation. The more diverse the viewpoint of those who are involved in

making the map or maps, the broader the range of representations on the maps. Diversity will enrich the subsequent discussion and analysis.

Mapping of social, economic, and historical relationships is much more subjective than geographic mapping. In fact, this method is most effective with wide participation so that many perspectives are included.

Wide differences of opinion can also represent a challenge, particularly for arriving at conclusions and recommendations for the future. Following general discussion/analysis, participants may want to form a task force to review, summarize, and identify some directions from what has been said. These could then be presented at a later date to the larger group for consideration.

For More Information:

Marino, Dian. *Drawing from Action for Action: Drawing and Discussion as a Popular Research Tool*. Participatory Research Project, International Council for Adult Education, Toronto, undated. 29 Prince Arthur Ave., Toronto, Ontario, Canada, M5R, 1B2.
Participatory Research Project. *Participatory Research Handbook for Community Groups*. International Council for Adult Education, Toronto, undated. (Same address as above.)

Useful Tools: Measuring Nutritional Status

Definition:

The basic goal of most development programs is an enhanced quality of life for the beneficiaries. Unquestionably, one of the most basic aspects of quality of life is the nutritional status of children. Consequently, knowing how a program has directly or indirectly affected the nutritional status of a community's children is an important element in the evaluation of almost any program.

Nutritionists use a wide range of measurements, but here we will focus only on those anthropometric measurements which can be used by field workers with minimum training.

How It's Used:

1. **Weight for age:** Commonly used on the "Road to Health Chart" developed by Dr. David Morley, monthly weighings of an individual child are recorded on a graph with current age as one axis. Results are compared with standards (i.e., Harvard) for classification (i.e., Gomez) into grades of malnutrition based on percentiles.
2. **Height for age:** Height versus age is compared with a standard (i.e., WHO) giving an indication of the duration of past malnutrition, or stunting.
3. **Weight for height:** When compared to reference, this measure can be used to classify children as a) normal, b) malnourished but not retarded, c) malnourished and retarded, or d) retarded but not presently malnourished.
4. **Weight for height for age:** This combination of measurements, arranged in tabular form, indicates categories of stunting and wasting.
5. **Arm Circumference:** In children between the ages of 1-5 years, the mid upper arm circumference does not vary much except as a consequence of nutrition. Over 13.5 cm. is considered normal; 12.5 cm - 13.5 cm is considered mild to moderate malnutrition; below 12.5 cm is severe malnutrition.

Pros, Cons, Other Issues:

1. **Weight for age:** PROS: Good indication of present status. When plotted on Morley's "Road to Health" chart, dynamic visual representation of child's progress is a good educational tool for mother. CONS: Requires scales. If not started early, determining correct age can present a problem.
2. **Height for age:** PROS: Indicates chronic malnutrition. CONS: Need for correct age can throw off accuracy when comparing with standard tables.
3. **Weight for height:** PROS: Eliminates need to know age. Gives an estimate of present or very recent nutritional status. CONS: Needs to be compared with standards.
4. **Weight for height for age:** PROS: Provides index of body build. CONS: Requires proper scales, standard tables, trained personnel.
5. **Arm circumference:** PROS: Very easy measurement, requiring little training; simple strip can be homemade. Age independent (roughly 1-5 age group). Suitable for rapid survey of present nutritional status in community. CONS: Not as useful as "Road to Health" chart for individual child.

Participatory Applications:

The Road to Health chart is now being used around the world in many programs where children under five years of age are weighed once a month. While gathered for weighing, mothers can participate in health and nutrition education classes. Village volunteers often do the weighing and teaching. The chart is good visual aid for helping a mother realize the need for good nutrition, sanitation, etc.

Cumulative measurements provide data on current nutritional status of the community. Over time, these measurements serve as an evaluation tool to indicate change in nutritional status. Village volunteers, even school children, can take the measurements. Community health committees can understand the results and determine effectiveness of the program.

For More Information:

Jelliffe, D.B. *The Assessment of the Nutritional Status of the Community*. Geneva: World Health Organization, 1966.

Latham, M.C. *Human Nutrition in Tropical Africa*. Rome: Food and Agriculture Organization, 1979.

Morley, D. & M. Woodland. *See How They Grow*. London: MacMillan Press, 1979.

Waterlow, J.C. "Classification and Definition of Protein-calorie Malnutrition." *British Medical Journal*, Vol. 3, 1972, pp. 566-569.

World Health Organization. "Rapid Village Nutrition Survey Technique." Brazzaville: WHO, 1977.

Useful Tools: Observation

Definition:

"Seeing" and "listening" are the key words in defining observation. As an evaluation tool, observation means going to view the results of a project (a new well; erosion) or participating in a slice of project activities. Observation can be obtrusive (everyone knows when the evaluator is there) or unobtrusive (people are not told the real purpose of a visit). It can also be directed (structured by a list of questions, guidelines, etc.) or undirected (open-ended). Because observation is fairly simple and often a natural part of field evaluation approaches, it is often overlooked as a legitimate evaluation method.

How It's Used:

Observation for evaluation has its roots in one of the principal research methods of anthropology, "participant observation." The anthropologist actually lives with a community, watches, listens, and shares in daily activities; keeps extensive field notes; and draws conclusions about common patterns and themes. An anthropologist may focus on the culture of an entire community or on a specific aspect, such as parent-child relationships.

For project evaluation, the same general sequence of activities occurs but with two major exceptions. First, the evaluator(s) usually face time constraints related to the length of observation. Second, the observation is typically more a shared process in which a team of evaluators observes and jointly compiles their insights.

Before beginning an observation, it is important to agree on time and focus: How much time is adequate and available to spend at a particular site? What will be observed — will the observation be open-ended or guided by a specific framework? When these decisions are made, a practice session in observing may be helpful for less experienced team members. Next, the actual field observation takes place. Finally, the team meets to discuss their impressions and to draw conclusions. Sufficient time needs to be reserved for this critical last step.

coop; visiting a number of homes to observe changes in sanitation procedures or purchase of consumer goods; attending a meeting to observe leadership and interaction patterns; spending a day at a health clinic to observe staff functioning; living in a village for a week — before and after a project — to observe any changes. Many more possibilities can be added to this list.

Pros, Cons, Other Issues:

PROS:

- Easy to do, requires minimal preparation.
- Tends to be holistic, taking many factors and influences into account.
- Particularly with open-ended observation, effective in identifying unintended as well as intended project outcomes.

CONS:

- Depends heavily on perceptiveness of observers and their own biases.
- People may change their behavior if they know they are being observed.

Participatory Applications:

The major considerations for using observation in a participatory way are who is involved and what roles they play. As a means of focusing the widest range of "lenses" on whatever is being observed, both community members and outsiders should be included on the evaluation team. Ideally, this team would jointly carry out all the steps in the observation process, from deciding what to observe to interpreting the significance of what is observed.

To involve even more community members, the team could present their conclusions and any recommendations in a community meeting (see "Community Meeting" description). This would enable community members to contribute to analyzing and charting the course of project activities, thus reinforcing the sense of community ownership.

Since observation is a subjective tool, broad participation ensures that a range of perspectives will be represented and increases the likelihood of accurate analysis.

For More Information:

Schatzman, Leonard and Strauss, Anselm L. *Field Research: Strategies for a Natural Sociology*. Clifton: Prentice-Hall, 1973.

Vella, Jane. "Listening." In *Learning to Listen*. Amherst: Center for International Education, 1979. Hills South, Univ. of Mass. 01003.

Williams, Thomas Rhys. *Field Methods in the Study of Culture*. New York: Holt, Rinehart and Winston, 1967.

Useful Tools: Photography

Definition:

Photography can vividly document project outcomes, project processes and activities, project impact on participants and their communities. Photographs — still or moving — may be visual vignettes, portraits, or stories from people's environments and lives. Photographs are like mirrors of reality. Unlike many other evaluation tools, good photographs carry emotional as well as intellectual messages and may reveal aspects of a project not evoked by structured interviews or questionnaires.

Photography for evaluation encompasses a wide variety of formats: still photographs of people, places, and things; collages; albums; photostories or comic books; socio-drama (still or moving); films; videotapes; and slide presentations.

Basically, any of these forms of photography can be used either to document aspects of project (e.g., "before" and "after," meetings, training programs, etc.) or to stimulate analysis related to interpreting project problems and impact.

The use of photos for analysis has been developed most fully by Brazilian educator Paulo Freire. Freire suggests that a visual image is a "code" for certain key issues and realities faced by participants. Through a questioning process stimulated by the photograph, participants gain insights into their situations and how they might deal with them. For the purposes of evaluation, this process can involve participants in solving specific project problems (such as management difficulties) or in determining ways a project can be more effective in dealing with a community problem (such as lack of water). The following questions can guide the photographic analysis:

- What do you see happening here?
- Why does it happen?
- Does this happen in your situation?
- If it does, what problems does it cause?
- What can we together do about it?

Regardless of how the photos are used, an issue of utmost importance is the photo's "truthfulness." Truthfulness is really a function of individual viewpoint and interpretation. Thus it should be clear who has taken or chosen a photo, and efforts should be made to represent differing views (staff, participants, other community members, etc.).

Pros, Cons, Other Issues:

PROS:

- Presents a "slice" of participants' real environment.
- Evokes wide range of reactions.

CONS:

- Equipment and supplies may be costly for resources available.
- Cultural constraints or political censorship may limit what can be photographed and by whom.

Participatory Applications:

Since photography provides true-to-life images of project participants' realities and does not require literacy, it is especially well-suited for use by them.

Participants can be involved in actually taking pictures as well as interpreting them. Some initial and follow-up training is likely to be necessary in using cameras and other equipment.

Then a plan can be developed for using photography over the life of a project. For example, photos may be taken at certain intervals and key photos discussed. Or, participants may decide to keep an album of project activities and events. In communities where participants have actually utilized photographic technology themselves, participants have gotten deeply involved in project activities and seem to have increased their problem-solving abilities. Using a camera can give a villager a new sense of power and help him/her to see old realities in new ways.

If photographs are taken by project staff or an outside evaluator, participants still have an important role to play in deciding which photographs present the most accurate depiction of the project or community and in analyzing the photos' meanings. Structured group discussions provide the best format for involving participants in these processes.

Useful Tools: Problem Stories

Definition:

In terms of project evaluation, problem stories are narrative accounts of past, present, and future situations that are used as a means to identify perceptions of project activities impact, and as catalysts for discussion and analysis.

By using fictional characters, stories objectively or externalize problem situations. This often enables participants to be more honest in sharing their views and to gain a full understanding of the different points of view about a particular problem.

How It's Used:

Problem stories can be prepared by an outside evaluator to present to a group or participants themselves (as individuals or groups). Stories can be written or taped.

As a measure of perception of project activities, problem stories can be used in a number of ways. Participants can be given a prepared story that depicts an event similar to a particular project event. Or, participants can be given a certain theme, such as "project leadership" or "cooperation," and make up their own stories. Also, participants might create stories about an "ideal" project and then contrast them with actual project activities.

To measure project impact, problem stories can provide effective pre-and post-tests. This can be done in two ways. First, participants can be asked to prepare a story on family or community life, both before and after a project. Second, participants can be presented with a problem situation at the beginning and end of a project. In both cases, comparisons can be made to determine what changes have occurred in the environment and in the participant.

Regardless of who prepares the story and the purpose for which it is used, group discussion is an important part of the evaluation process. Stories stimulate analysis and ideas that usually are applicable to real life situations. Stories prepared by participants may generate some useful data, but subsequent discussion is likely to generate even richer data. In addition, discussion can also be guided toward problem-solving and action-planning.

Using problem stories basically involves these steps: presentation of one or more stories to a group of no more than ten members (such as a project steering committee); discussion/analysis of the story (causes of the problem, what can be done about it, etc.); generalizing to the real life situation; and planning concrete actions to be taken.

Pros, Cons, Other Issues:

- PROS:**
- Creative, insightful.
 - Adaptable for both literate and pre-literate groups.
 - Concrete; the story characters connect participants to their real life situations.
 - Usable as a pre/post test measure.
- CONS:**
- Stories can be open to many interpretations.
 - Stories typically contain conflicts (personal conflicts, conflict of interests); when generalized to real-life, these may be difficult in some cases to resolve.

The evaluator using problem stories needs to have a sense of imagination and should be a skilled discussion leader.

ing participants in creating as well as analyzing. Having participants write or tape record their own stories is more time-consuming and less manageable than having a story on hand to which they can react. However, participant-created stories have several important advantages: they are accurate in depicting real and priority issues, they encompass diverse views, and they are more involving. All participants need not prepare stories, and the story author does not need to be revealed.

Another interesting participatory application is group story creation. In this case, creating and analyzing occur to some extent concurrently as participants discuss what to include and what not to include in their story.

Problem stories are really word photos of participants' reality, and they usually find much on which to comment. With this method, even shy or reticent participants will often be drawn into the discussion.

For More Information:

World Education. *AIM: A Creative Approach to Teaching Adults*. Boston: World Education, Inc., 210 Lincoln St. Mass. 02111.

Useful Tools: Questionnaire

Definition:

A questionnaire is a set of printed questions organized in a systematic way for the purpose of eliciting information from respondents. It is usually assumed to be a self-reporting mechanism, although questionnaires are frequently used in personal or telephone interviews. In the case of the latter, the questionnaires are referred to as "interview schedules." The questions may be open-ended (i.e., people respond in their own words), fixed-choice (i.e., people select a response from several alternatives), or projective (i.e., respondents pose solutions to problem situations).

How It's Used:

The first step in developing a questionnaire is deciding what information is needed for the evaluation. Once the parameters have been determined, a format must be selected for gathering this information. Some information is better gathered using open-ended questions while fixed-choice questions are more appropriate for others. The questions should be arranged in logical sequence, beginning with the easiest and least threatening.

Once a draft questionnaire has been developed, it should be pre-tested on a population similar to the one in which the study will be carried out. This will identify ambiguous questions, sensitive areas that should not be included in the questionnaire, and changes in the sequence of the questions.

The process of testing the questionnaire and rewriting the questions usually needs to be done several times before the final product is printed and used in the evaluation. If the information will be analyzed by computer, it is frequently helpful to develop a coding scheme for this purpose, as well.

If the questionnaire is administered to the respondents by interviewers, it is important to have some training sessions in which the interviewers can practice asking the questions in a systematic way.

- PROS:**
- Relatively inexpensive to administer since they can be completed by the interviewer being present.
 - The questions are standardized so each person receiving a copy is asked the same questions in the same way.
 - Questionnaires allow for more privacy, particularly if distributed by mail.
 - Well-designed questionnaires are easy to tabulate.

- CONS:**
- Questionnaires have been over-used; people are tired of filling them out.
 - Nonliterates cannot use questionnaires without the assistance of another person.
 - Low rate of response.
 - Little opportunity to verify what people have said; many may not be telling the truth.

Participatory Applications:

Questionnaires are usually not considered to be very participatory. This can be changed by providing people in the group whose opinions are being elicited with the opportunity to help create the questionnaire. If the questionnaire is being administered in an interview setting, members of the group can also serve as interviewers and thereby increase their involvement. A more frequently used participatory technique is to present participants with the information that was gathered. Their opinions about what people said in the survey is an important part of what can be learned through this technique.

More Information:

Darson, Scarvia B.; Ball, Samuel; Murphy, Richard T. & Associates. "Questionnaires" — *Encyclopedia of Educational Evaluation*. San Francisco: Jossey-Bass Publishers, 1975. Excellent overview of evaluation concepts, including this one.

Useful Tools: Scales

Definition:

Scales encompass a variety of methods for rating, ranking, and categorizing reactions to what is being evaluated. Each instrument or tool includes a set of traits or descriptors that are to be arranged along a continuum of best to worst, most to least, etc. Most scales use written descriptors, but pictorial scales or simple verbal reactions can also be effective.

Some commonly used scales include checklists, rank orders, Q-sorts (cards containing descriptors to be sorted into a quasi-normal distribution), forced choice, ratings (often using a line divided into categories such as "always," "sometimes," "never"), and short reaction forms (e.g., "what I liked best"/"what I liked least.")

How It's Used:

PVOs interested in scales can utilize either already existing instruments (see sample) or "home-made" instruments. In general, it may be difficult to find scales appropriate for PVO projects, so constructing project-specific scales may be the best bet. Here are four typical scale formats: 1) classified: each statement or descriptor is rated according to a set of classifiers, such as "always," "sometimes," "never"; 2) descriptive: statements or descriptors are presented as a checklist or in groupings, of four or five, and those applicable are checked (usually, a forced choice must be made); 3) graphic: same as "classified" except that the set of classifiers are presented along a straight line continuum; and 4) defined group: statements or descriptors are arranged so that a specific proportion falls into assigned categories (in Q-sorts, specific numbers of cards must be arranged under each category heading; a parallel procedure could be used on a written form).

ject and to judge the project or aspects of it using the criteria presented. Ratings can be individuals in separate locations (such as in their homes), individuals meeting in a common location (a community center), or groups. For groups, completing a scale involves reaching agreement among members on the ratings to be given. This process takes time but has other advantages (see "participatory applications").

The results of most scales can be compiled numerically, although with some scales, such as the Q-sort, compilation is a more complex process.

Pros, Cons, Other Issues:

- PROS:**
- Clear, specific, focus.
 - Data easily recorded and compiled.
 - Eases comparison between/amongst projects.
 - Can deal with both quantitative or qualitative areas.
 - Requires minimum of time and effort.

- CONS:**
- May be difficult to find/construct an appropriate tool.
 - Generally, requires literacy skills.
 - Inconsistency from rator to rater, because individuals interpret statements differently.
 - Forced choice may be too limiting, present too narrow results.

In developing statements and descriptions to be included in a scale, it is important to be as specific as possible. Considerable detail, including examples, promotes more consistent understanding of the traits amongst the raters. For instance, along with the statement, "I

have improved my leadership abilities," include some examples of effective leadership behavior.

Participatory Applications:

Scales are most typically developed by "expert" evaluators, administered by evaluators taken by individual community members, and compiled by the evaluators. By involving community members in each of these four steps, however, scales become an effective participatory tool.

Community members can make a valuable contribution to the construction of a scale by contributing their ideas of the traits to include. Group brainstorming sessions can be held based on a goal or task analysis format to provide some structure.

If the scale is to be taken by individuals, community members can also be involved in administration. Much fuller participation occurs, though, if a group works on completing the scale together. Needless to say, this process generates much discussion, analysis, even debate. Thus, the rating or evaluation activity becomes a means to share different opinions on project strengths and weaknesses and to agree on future directions. The process actually includes the two steps of compiling the scale and taking the scale. In contrast to the individual approach to using scales, the group approach enables community members to reflect, analyze, and chart a course of action together; it promotes their greater community control over project decisions.

When group rating may not seem appropriate or feasible for some reason, community members can still be involved in compiling results. For instance, a community evaluation team might jointly record the scale responses and then present the outcomes at a community meeting.

Useful Tools: Unobtrusive Measures

Definition:

The use of unobtrusive measures involves gathering information about a community situation without the knowledge or consent of the people in that setting. The information usually obtained inconspicuously, may include physical traces, archives and personal observations.

How It's Used:

Unobtrusive measures are used to gather information without disturbing people. Researchers have demonstrated that people react differently when they realize someone is gathering data regarding their behavior. The task, therefore, is to gather this information inconspicuously.

Observing physical traces involves examining behavioral evidence. For example, instead of asking people whether they use latrines, one could count the number of village latrines with paths that are overgrown with grass. Similarly, the wear and tear on a library book will reflect the extent of its use.

The records kept in a society are also a good source of information. For example, morbidity and mortality rates should reflect whether a community health program has resulted in changed behavior. Diaries, letters, personal logs and agency records can also tell the evaluator about community life and the effect of local programs.

Systematically recorded observations can also provide important information for evaluation purposes. Tape recorders, still cameras, television and movie projectors can be used instead of human observers.

Pros, Cons, Other Issues:

PROS:

- Information already exists, and can be collected economically.
- Behavior of people in the community is not affected by the process of gathering information.

CONS:

- Easy to misinterpret physical evidence.
- Existing records are notoriously poor in many countries.

A secretive approach raises serious ethical problems. Research reports based on information gathered without the knowledge or consent of those involved may embarrass or even endanger organizations or communities being studied.

Participatory Applications:

Although the use of unobtrusive measures was designed primarily to help outside observers learn about the life of a community without causing people to change their behavior, participation in the process is still possible. People in a community may be invited to look at their own circumstances, sharing in the search for appropriate evaluative information. Alternatively, if this information is gathered by outside observers, the conclusions may be presented to community groups in a context within which they are able to discuss the findings and address the implications.

For More Information:

Anderson, Scarvia B.; Ball, Samuel; Murphy, Richard T. and Associates. "Unobtrusive Measures." *Encyclopedia of Educational Evaluation*. San Francisco: Jossey-Bass Publishers, 1975. An excellent overview of evaluation concepts, including this one.

Webb, Eugene.; Campbell, David T.; Schwartz, Richard D.; and Sechrest, Lee. *Unobtrusive Measures: Nonreactive Research in the Social Sciences*. Chicago: Rand McNally & Co., 1972. The classic book on the use of unobtrusive measures.

11