APPROACHES TO EVALUATION

A REPORT OF A WORKSHOP
ON IMPACT EVALUATION

* * *

Hilltop House Seminar Center
Harpers Ferry, West Virginia
October 20-23, 1981

American Council of Voluntary Agencies for Foreign Service, Inc.
200 Park Avenue South, New York, N.Y. 10003

Approaches to Evaluation

A Workshop on Impact Evaluation

TABLE OF CONTENTS

INTRODUCTION

This second workshop in the "Approaches to Evaluation" series marks the midpoint of the project. Both workshops have involved a diverse group of private voluntary organizations' (PVO's) staff in a common search for responses to the challenge field evaluation raises to their work in the developing world. After this workshop it is becoming apparent that the primary thesis this project is building uses as a cornerstone the often underestimated and underutilized capacity PVO's have to evaluate as part of their on-going programming. Undoubtedly, there is a cost involved, but if PVO's look at evaluation as a practice methodologically within their grasp, this cost is not the obstacle often perceived. When the benefits of evaluation suggested in many of these workshop discussions are added to the analysis, then.a compelling argument emerges that systematic in-house evaluation used to improve programs and inform constituences is a resource that PVO's increasingly need to exploit.

This report focuses on the facet of evaluation identified as impact. As part of the project's process, a small task force of participants prepared a synthesis of the first workshop that focused on monitoring. This paper "Monitoring - A Synthesis" was presented for comment at the impact workshop, and is contained in this report as part of Appendix B. The paper is important to this report not only as a summary of the first workshop, but also to draw basic distinctions between monitoring and impact. The same type of synthesis paper is planned for the impact workshop.

Together, these workshops brought out most of the issues PVO's deal with in doing field evaluation. The ideas expressed and the concrete cases broached offer methodological guidelines particularly suited to PVO's. The culmination of the process, then, will occur in the third workshop when the focus will be on how to use the product of field evaluation to formulate policy. Ultimately, it is this organic institutional growth that will keep PVO's a vital link between the poor they serve and the more fortunate whose best human instincts they represent.

A workshop of this type is not possible without the unselfish cooperation of many people. First we need to recognize the contribution of the resource people who gave their time to offer our audience their insights. Philip H. Coombs, Vice Chairman of the International Council for Educational Development and editor of Meeting the Basic Needs of the Rural Poor: The Integrated Community-Based Approach; Frederick L. Bates, Professor of Sociology at the University of Georgia; and Robert L. Bruce, Professor of Extension Education at the New York State College of Agriculture and Life Sciences in Cornell University deserve our gratitude for their specific presentations and participation throughout the entire workshop. Carol Michaels O'Laughlin, field representative of the Inter-American Foundation for the Andean region, also joined us the last day to make a valuable contribution to the panel.

Besides these resource people from organizations outside the PVO community, special appreciation is due to Jairo Arboleda, Director of Training for Save the Children, who moderated the entire workshop, Kris Merschrod, a

graduate student in sociology at Cornell University, who coordinated the problem-solving clinic; James Noel, a consultant, who helped in the clinic and as a contributor to the panel on the last day, and World Education, which contributed some of its own staff time to organize the Review of Basic Skills that preceded the workshop. All the members of the Evaluation Steering Committee took time from their busy schedules to help plan the workshop. The Committee members who attended the workshop, Elaine Edgcomb, until recently of Catholic Relief Services, David Herrell of Christian Children's Fund, Ray Rignall of CARE and Peter Van Brunt of Save the Children, moderated small groups and helped to make the workshop run as smoothly as it did.

Even running the risk of redundancy, it would be a mistake not to highlight the participation of all the workshop participants. People took time to prepare and present papers, case studies and challenges which go beyond the normal call of duty in workshops. Any success this project has will be due to this type of initiative.

Finally, we cannot overdo the recognition of those agencies that contributed financially and in-kind to make our project function. They include CARE, Catholic Relief Services, Christian Children's Fund, Church World Service, Foster Parents Plan International, Heifer Project International, Lutheran World Relief, Meals for Millions/Freedom from Hunger Foundation, PACT, Save the Children, United Israel Appeal and World Relief Corporation. These contributions and the costs borne by all agencies sending participants constitute two-thirds of the project's total cost. The remaining costs are largely covered by an Agency for International Development grant through the office of Private and Voluntary Cooperation.

Daniel Santo Pietro
Project Coordinator

December 2, 1981
New York, New York

APPROACHES TO EVALUATION

Second in a series: A WORKSHOP ON IMPACT EVALUATION

DATES: October 20-23, 1981
Arrival: 6 p.m. Tuesday, October 20
Departure: 2 p.m. Friday, October 23
(Optional Review: Begins 8:30 a.m., Tuesday, October 20)

PLACE: Hilltop House Hotel, Harpers Ferry, West Virginia
(one hour from Washington, D.C.)

COST: $180.00 per participant includes double occupancy room for three nights and nine meals, and all workshop material.

Attending the review on Tuesday will cost an additional $40-$60 depending on arrival time. (See registration form.)

AUDIENCE: PVO staff whose current responsibility specifically includes planning and evaluation of development activities. The workshop is intended most to benefit staff who have field experience and can contribute to the discussions planned.

The review session on Tuesday is planned for those participants who have not conducted field evaluations and desire an overview of the basic concepts and tools involved. This session will be limited to 30 participants.

ORGANIZED BY: American Council of Voluntary Agencies for Foreign Service

APPROACHES TO EVALUATION is a collaborative project of private voluntary organizations to assist them in improving their methodologies and in building the skills necessary to evaluate development work overseas. This workshop is the second in a series that focuses on three facets of evaluation: monitoring, impact and policy.

The topic "impact evaluation" deals with changes in the quality of local community members' lives as a result of a project. Impact evaluation is conducted at fixed intervals during a project's life, such as mid-term and conclusion. Ideally, this evaluation will enable interested parties to reflect on the dynamics of project development and empirically assess whether project objectives are being achieved. Impact evaluation should help in determining whether projects promote positive changes in community members' lives. It also provides a pause for all concerned to reflect on project initiatives and results. Such evaluations should assess a project's significance and how activities might be improved.

Workshop Objectives: This workshop will offer a diverse set of activities, in pursuit of three basic objectives that are described below:

A. *To provide a framework which places into perspective the elements of impact evaluation and the important issues participants need to deal with within their organizations:*

1. Introductory Session — This activity will occur on Tuesday evening to help focus on the objectives of the workshop and the overall project.
2. Review of the Basics of Impact Evaluation (Optional/Tuesday 8:30 a.m.) — This one-day session will be planned and implemented by World Education. As a PVO participating in this project, their extensive experience in field evaluation provides an ideal resource for this session.

   This session will include lectures, hands-on exercises and small group discussions that encompass building an evaluation PERT-chart, establishing objectives, identifying indicators, setting a sample, training staff, designing survey instruments, collecting, monitoring and analyzing data. Intended to increase sensitivity to the issues inherent in impact evaluation, the review is not structured to provide proficiency in all areas covered.
3. Presentation of a Model for Impact Evaluation — Philip H. Coombs, of the International Council for Educational Development, will conduct this session aimed at developing a framework and rationale for evaluation appropriate for the PVO community. He is the editor of the recently published book *Meeting the Basic Needs of the Rural Poor: The Integrated Community-Based Approach*, which is useful as a background source for this topic.

B. *To stimulate a professional interchange among PVO practitioners concerning practices and ideas for more effective evaluation:*

1. State of the Art Symposium — Selected participants will present case studies and papers concerning their agencies' experience in impact evaluation. Several presentations in small groups will be made simultaneously lasting one hour each, including discussion.
2. Problem-Solving Clinic — Participants will bring current evaluation challenges for discussion in small groups. Each small group will have a discussion leader and resource person, and bring together participants with similar problems.

(continued on back page)

3. Special Interest Discussions — An opportunity for participants to pursue topics that are not covered in the workshop agenda or those they wish to explore more fully. Reports on interim activities since the first workshop will be given. Discussion papers submitted by participants will also serve as resources for these discussions.

C. *To formulate specific suggestions for the PVO community on how to develop evaluation systems that contribute to the formulation of policy:*

1. As a final activity, we hope to synthesize the experience of the workshop by focusing on the organizational question of how we learn from evaluation. A panel discussion followed by small group work will seek to formulate suggestions relating to this objective. We will use this input to guide us in our next workshop and follow-up activities for the project.

Workshop Organization: During the workshop, there will be various presentations by several resource persons outside the PVO community. In addition to Mr. Coombs, Frederick L. Bates, professor of sociology at the University of Georgia, and Sara Steele, professor, University of Wisconsin-Extension, will participate. However, the workshop structure is intended to encourage maximum participation by all those attending the workshop. Each agency will contribute to the workshop in at least one of the following ways:

1. Submission of a case study that describes an agency effort to conduct impact evaluation. Stress should be placed on the methodology, both positive and negative results, and how the evaluation was used.
2. Submission of a discussion paper that proposes ideas or analyzes agency experience relating to impact evaluation.

   Participants presenting case studies (Item #1 above) and discussion papers should send a one to three typewritten page summary to the ACVAFS no later than October 9 so they can be duplicated before the workshop. These participants should be prepared to make presentations based on their submissions during the workshop.
3. Contribution of a published study that describes an agency's efforts to undertake impact evaluation. We are particularly interested in studies that point out useful bibliographical references. The participant should send a copy of the paper to ACVAFS, and provide sufficient copies for distribution at the workshop.
4. Presentation of a current evaluation challenge of common interest to other PVO's in the clinic discussion groups. The participant presenting the challenge should prepare a one-page summary for distribution to the small groups (maximum 20) and send a copy to ACVAFS.

Following the workshop, APPROACHES TO EVALUATION will prepare a report containing much of the written material and an analysis of the workshop. (The report on our first workshop on Monitoring is available upon request.)

Registration: The registration form should be returned as soon as possible to guarantee a place since accommodations are limited. Priority will be given to those participants whose agencies were represented in the first workshop.

The cost must be paid in full and is refundable less a 20% charge up to a week before the workshop. In early October, a packet of materials will be sent to all those registered. Harpers Ferry is easily accessible from all directions by road and is one hour by AMTRAK (B&O Railroad) from Union Station, Washington, DC. Trains depart from Washington for Harpers Ferry only in the afternoon on weekdays.

For further information please contact Daniel Santo Pietro, Project Coordinator or Dao Spencer, Assistant Executive Director, ACVAFS, 200 Park Avenue South, New York, NY 10003. Telephone: (212) 777-8210.

EVALUATION STEERING COMMITTEE
CURRENT MEMBERSHIP

Elaine Edgcomb, *Chairperson*, Catholic Relief Services
Joseph Sprunger, *Vice Chairperson*, Lutheran World Relief
Blanche Case, United Israel Appeal
David Herrell, Christian Children's Fund
Richard Redder, Meals for Millions/Freedom from Hunger Foundation
Raymond Rignall, CARE
Armin Schmidt, Heifer Project International
Peter Van Brunt, Save the Children Foundation

I. Workshop Process

From the outset the "Approaches to Evaluation" project envisioned a series of workshops focusing on the different facets of evaluation identified in the paper "Evaluation in the PVO Community". Although the paper defined each facet - monitoring, impact and policy - it quickly became evident that this plan depended greatly on a building process. The results of our first workshop would largely shape the planning for the second. The twofold difficulty this procedure engendered was the time constraint of planning from one workshop to the next and the need to avoid redundancy for each participant.

The workshop on monitoring provided immediate feedback, which proved invaluable. For instance, although the project never envisioned training participants in how to perform field evaluations, the monitoring workshop surfaced a strong desire among some participants to complement a broader discussion of the issues agencies confront in doing evaluation with at least a review of the basic skills one needs for evaluation in the field. The solution was to provide an optional session preceding the workshop proper. Fortunately, it was possible to draw upon a PVO participating in the project, World Education, to organize this session and apply its extensive experience with field evaluation. The primary advantage of this approach was that it provided an opportunity to test the potential of the PVO community to use its own expertise to address collectively its need to train staff in the basics of field evaluation.

Another suggestion from our first workshop pointed out the importance of an initial focus that would allow the entire workshop to share in the definition of the topic and identify key issues without having to dwell too long in theoretical discussions. This role required some one with a broad experience in development work and an affinity for the PVO's peculiar approach. In this case, our solution was to design a morning of broad discussion that could generate an analytical framework, largely questions, for participants to keep in mind during the rest of the workshop.

A third, and perhaps most important feedback, was the willingness and desire of the participants to contribute to the content of the workshop. Using case studies as a tool for learning how to deal with evaluation received a strong endorsement from the monitoring workshop, but its value requires the involvement of knowledgeable participants to present them. The suggestion that everyone be invited to contribute from their experience encouraged us to use the vehicles of a "state-of-the-art symposium" and "problem-solving clinic" to gain maximum advantage from using case studies.

What stands out the most concerning the planning of this second workshop is how participatory its conception and planning was, which in the end resulted in a highly participatory implementation.

The actual process of the workshop can best be described in terms of the primary components that related to each objective.

<u>Objective One: Provide a framework which places into perspective the elements and issues of impact evaluation.</u>

For sixteen participants, the workshop began on Tuesday morning. The review of basic skills was organized by World Education using their own staff and a consultant. The purpose of the session was to provide those participants an opportunity to review the specific concepts and tools involved in field evaluation on a step-by-step basis. The theory was that participants could both satisfy their need for nuts and bolts with which to build their framework and use more effectively the material offered them in the other sessions of the workshop.

This session began to build a framework by involving the participants in setting objectives for the day, based on their own needs. They explored the fundamental questions of who, what, why, when and how of evaluation. In the afternoon, working in two small groups, the participants undertook hands-on exercises of designing evaluation plans for model projects. The detailed report on the work of this group is contained in appendix A.

The workshop for the full number of participants, about forty-five, began on Tuesday evening. Although nearly forty percent of the workshop's participants had attended the monitoring workshop, it was apparent that this workshop needed to be placed within the context of the overall "approaches to evaluation" project. Elaine Edgcomb, until recently chairperson of the steering committee, and Daniel Santo Pietro, project coordinator, provided the historical development, overall goals and activities of the project. Using the discussion paper - "Monitoring - A Synthesis" as a reference, the session stressed the distinction between monitoring and realizing impact evaluation, particularly contrasting the continuous immediate feedback inherent in the former and the longer-term periodic nature of the latter facet of evaluation. Jairo Arboleda, the workshop moderator, then reviewed the specific objectives and agenda of the impact workshop.

The major task of the workshop relating to this objective began on Wednesday morning with Mr. Philip Coombs' presentation. His specific task was to stimulate ideas that could help the participants construct an analytical framework to guide PVO's in undertaking impact evaluations. Drawing on the International Council on Educational Development's experience with numerous case studies of development efforts, he offered ten questions and his comments on each as a skeleton for a framework.

The process used followed Mr. Coomb's one hour presentation with brief clarifying questions. Then the plenary divided into four groups to formulate reactions from participants. Each group raised questions that amplified the initial framework. Considerations and constraints for using the framework were also recorded and reported back to the plenary. Mr. Coombs then used a half-hour to respond to issues that obviously were of general concern to the groups. The session ended with no pat recipe, but fulfilled our purpose of focusing the workshop on a framework that expressed common concerns.

Objective Two: Stimulate a professional interchange among PVO practitioners concerning practices and ideas for effective impact evaluation.

After lunch on Wednesday, the workshop turned to a symposium format in order to discuss the state of the art, principally among PVO's. Three participants presented systems their agencies had developed which provided a basis for self-evaluation, five presented a particular case study where their agency had conducted an impact evaluation and, by special invitation, Professor Frederick Bates provided a counterpoint by discussing a highly structured research project he is concluding which evaluated external aid to Guatemala after the 1976 earthquake.

Except for Prof. Bates' presentation, the other presenters spoke two and three simultaneously. Participants selected the sessions they wanted to attend based on the symposium papers they received beforehand. (See appendix C). A Steering Committee member moderated each group discussion, which generally involved a presentation of 30 minutes with 20 minutes for discussion. Since the purpose of the discussions was to create free and open interchange, no task was assigned other than to ask participants to test the framework questions on these concrete cases. No written record was required from each group.

On Thursday morning, the workshop continued to foster the same spirit of interchange through the problem solving clinic. Twelve participants agreed ahead of time to come prepared to present a particular challenge they were working on to a small group headed by a resource person or persons named by the workshop. Each presenter brought a one page summary of the project, country program or agency-wide system that constituted the challenge.

On Tuesday and Wednesday each presenter discussed the challenge with the clinic coordinator, Kris Merschrod, who then worked with the resource people available, to divide up the cases among them. Philip Coombs, Prof. Robert Bruce, Prof. Frederick Bates and Jim Noel, and Kris Merschrod and Merrill Ewert led the four groups. After hearing brief descriptions of the challenges, the rest of the participants selected the sessions they wanted to participate in as they did for the symposium.

Once again the emphasis was on free discussion. Each presenter took ten to fifteen minutes to complement his written summary. The role of the resource people involved raising key questions from the framework not addressed by the presenter, suggesting some possible solutions and catalyzing the rest of the group to seek solutions from their own experiences during one hour of discussion for each case. After the clinic each presenter prepared a brief summary of the most useful ideas suggested by the group. At the suggestion of the participants, the workshop provided time for a brief report from each resource person concerning their appraisal of the work of the clinic. Both the summary challenges and solutions suggested are contained in appendix D.

After a break early Thursday afternoon to appreciate Harpers Ferry's historical and natural beauty, the workshop turned to special interest discussions. On the previous Tuesday night the moderator had asked the participants to keep in mind topics that would emerge during the workshop and generate an interest for further discussions. Two such discussion groups that formed during the monitoring workshop met in October in preparation for this workshop and each produced a discussion paper which are contained in appendix B.

Suzanne Kindervatter and Dao Spencer reported on the Participatory Techniques and Inter-Agency Linkages work groups respectively, asking participants to join them to further refine the ideas in the papers. Besides these two groups, participants formed a third group led by Kris Merschrod and Charles Killian to pursue a specific how-to question - creating indicators and scales for measuring change in community attitude and behavior. No reporting was required except for a brief announcement in plenary of any follow-up ideas the groups wanted to pursue.

On Friday morning, this workshop began to build a bridge to the third workshop that will focus on field evaluation in the formulation of policy. A panel consisting of Prof. Robert Bruce, who has extensive evaluation experience in cooperative extension in the United States, Carol Michaels-O'Laughlin, an experienced field representative who was instrumental to various Inter-American Foundation evaluation efforts and Jim Noel, a consultant with extensive planning and evaluation experience with various PVO's, made presentations of twenty minutes each. Each panelist contributed personal experiences of how they saw field evaluation contributing to the formulation of policy and the lessons they learned from their varied perspectives.

The panel and brief discussion that followed whetted the appetite of participants for group discussions around two questions: a) considering lessons offered by the panel, what questions or issues around this theme should be pursued in the next workshop focusing on policy, and b) can you suggest probable action to be undertaken individually by your agency or in association with other organizations that could assist the PVO community address this theme?

The groups reported their discussions to plenary. Most suggestions related to the next workshop (see Chapter V.) and provided an invaluable input for the planning of this phase of our project.

The workshop concluded with a verbal evaluation. All opinions on the various sessions were recorded, including where there were differing views voiced on a particular point. Chapter VI of this report summarizes participants' viewpoints on the process and content of the workshop.

II. An Analytic Framework for Impact Evaluation

A stated objective of the workshop was to provide each participant with a framework that he or she could use as a tool to contribute to an evaluation system within his or her own organizational context. In essence, the entire workshop revolved around establishing such a framework. The primary impetus, however, came from Philip Coombs' presentation and the discussion that followed.

He built the framework around ten key questions. In the ensuing group discussions, many other supporting questions emerged that sharpened those key questions further. Throughout the workshop, insights emerged from the different sessions that offered important considerations as well as real constraints for the framework. This section of the report, then, is an attempt to synthesize many contributions to form an analytic framework.

Before spelling out the framework, there are several pre-conditions Mr. Coombs emphasized for using it.

1. Dispel the mystique of evaluation, and the myth that only an "evaluation specialist" can do it. It can be done by any analytically minded person with good practical experience and a broad, objective outlook. There are many such people in voluntary organizations. This is not to say that experienced evaluation experts cannot be helpful, particularly at the design stage and in reviewing the findings. But look out for the type that engages in "methodological overkill", and whose approach is so narrow and quantitative that it gives a very incomplete and lopsided picture.

2. Hard quantitative data can be very useful, but they are usually hard to come by in the real world of rural development. When ICED recently conducted a series of rural case studies in Asia, we found only two instances where base line data and quantitative indicators were available. Even at best, quantitative data tell only a part of the story. Some of the most important parts are esentially qualitative and must be discovered through observation, asking the right questions, and listening carefully to the answers.

3. The simplistic "logic" of many conventional evaluation schemes is anchored in the technocratic "project" concept, which has grown increasingly sophisticated, demanding and rigid over the years, and further out of touch with reality. Refined technocratic "project plans" frequently inhibit creativity, spontaneity and the ability to make mid-course corrections and to seize unpredictable "targets of opportunity" that arise. Evaluations should look for the unexpected, not simply the "planned" outcomes.

4. Close attention should also be paid to costs, to future feasibility of continuing the activity and replicating it on a broad scale, and to practical lessons it teaches (both positive and negative) that can be useful to other projects. Every project should contain at least a tentative "contingency plan for success." This will help avoid projects that soon wither and die after their external support is terminated.

5. Evaluations should not be confused with "management audits" that simply check on where the money has gone and how well the project stuck to its original "work plan". An evaluation is basically a learning process on how to do things better in the future. When viewed in this light, evaluations become far less threatening to all concerned.

6. Standardized evaluation "models" should be avoided. No single model can possibly fit all types of activities and situations.

The last point highlights the purpose of an analytical framework. Evaluation should be tailor-made, but the guideposts are similar. The framework constructed from the workshop is an attempt to use this approach. The ten key questions presented by Mr. Coombs are divided into four categories:

- Planning Evaluation
- Methodology of Impact Evaluation design and data gathering
- Assessment of Data
- Implications for Policy

For each category there are key questions, supporting questions, considerations and constraints. The framework derives its key questions and part of its content from Philip Coombs' presentation during the Approaches to Evaluation workshop on impact evaluation. Supporting questions and the enrichment of its content represent the contribution of the workshop participants.

* PLANNING EVALUATION *

Key Questions

1. What is the purpose of the evaluation and its intended audience?

2. What are the objectives and main features of the activity to be evaluated?

Supporting Questions

- Can the evaluation be structured to meet the needs of all audiences, i.e. community, implementing PVO and donor?

- Does the evaluation plan reconcile the philosophical views and aims of the PVO and its donors with the views and objectives of the community and host government?

- Where a community process of organization is a primary concern, can we negotiate with donors to modify their demands for product oriented evaluation?

- Can the PVO reconcile its own fund-raising concerns with critical programmatic evaluations?

Considerations

Evaluation has three basic purposes: improve performance, accountability and public relations. In all cases, an effective evaluation must provide a learning experience for the PVO. A primary concern is also to include the community as doer and audience of evaluation. Too rigid an approach to planning original objectives and consequently evaluation, can stifle project implementation. The impact of narrow 'rifle shot' project approaches are less difficult to evaluate than broader-based actions, but generally are less meaningful. In any event, ideally each project and program will include its own evaluation plan.

Constraints

In almost every circumstance, effective evaluation requires an allocation of time and money to the specific task. Donor interests tend to focus on the relatively short term tangible benefits of their investment, which makes 'softer' process concerns less important to them though the latter have greater long term importance to communities. Evaluation requires the consent and cooperation of all parties involved. Where a PVO's program involves a multitude of individual, often small, projects, some categorization of projects is necessary to develop reasonably comparable practical approaches to measuring impact.

* METHODOLOGY OF IMPACT EVALUATION *

Design and Data-Gathering

Key Questions

3. When should evaluation be initiated?

4. Who should conduct it and who should participate?

5. What specific kinds of impacts should be looked for?

6. What kinds of evidence should be sought?

7. What general approach should be taken and what specific methods used?

Supporting Questions

- What are the implications of the time required for evaluation results for short-term project decisions vs. longer term learning opportunities?

- Can field staff remove themselves from personal involvement enough to provide objective evaluation?

- To what extent is it possible to separate the impact of a particular project from overall socio-economic trends?

- What minimum precision of data is necessary to make decisions concerning the program or project?

- How does the cost of measurement relate to the benefit the effort will produce?

- What specific instruments and indicators can best measure the impact of the program or project?

- Does the evaluation design and indicators compensate for the need to allow for flexibility and adaptability of projects to changing needs?

- Can the evaluation tools be designed to meet the need to measure change in multi-regional or multi-ethnic contexts?

- Where impact is non-quantifiable, are there proxies we can use that allow us to estimate the real impact?

Considerations

In every case the design is as much an art as a science. The questions asked often dictate the results. In this sense, the "perspicacity" of the evaluator is the key to evaluating performance.

A PVO should undertake an impact evaluation after a project's initial shakedown is over but before its implementation is solidified. It is preferable that an evaluator has a broad outlook and can take into account many often unintended results in diverse areas (e.g. social organization, economic and cultural practices).

Any evaluation design will have to be tailor-made for a specific program. It should gather both soft and hard data. Since commonly the changes PVO's are most interested in promoting will only be distorted by quantifying them, it is essential to understand the use of proxies in measuring changes. It is almost universally important for PVO's to measure process changes - community organization, self-esteem, etc. - of their actions as it is to measure tangible results.

There are always opportunities for some degree of community participation in evaluation. The development, hence evaluation, process should build on this participation. Logically, the community should be involved in monitoring if a participatory impact evaluation is to be achieved. Communities often need additional preparation to be able to participate in evaluation. A capability to evaluate should be part of all community management training with self-reliance as a goal. The community's involvement in any evaluation effort should serve to make them more capable of replanning their own programs.

Constraints

Employing the cumulative theory of impact evaluation in its ideal form is not possible in practice. Commonly, baselines, if they exist, are rough estimates and data is rarely gathered evenly. Precision of measurement is simply too expensive to make it worthwhile for PVO's to undertake.

A real obstacle to self evaluation is the perceived threat of evaluation to field staff as well as to executive level decision makers. Until sufficient dialogue can take place among different levels of organization, self-evaluation possibilities will remain limited.

Most traditional evaluation tools, such as surveys, can easily bias community participation and the gathering of difficult to quantify data, whereas experienced observers working systematically can often supply much of the data required. PVO's tend to underestimate their own in-house capability largely because staff feel they lack time and possibly self-confidence to undertake evaluation.

Although desirable, community participation is limited by the level of its organization. Since evaluation is an important tool in determining when a community is capable of more complex programs, it cannot be equally participatory in all cases. It is necessary to have a concept of levels of community organization in order to determine what participation is possible.

* ASSESSMENT OF DATA*

Key Questions

8. Once the "raw" evidence has been collected, how should it be analyzed and conclusions drawn?

9. How and to whom should the findings and conclusions be desseminated?

Supporting Questions

- How can we build in an assessment of positive and negative side effects not anticipated in our planning?

- What assessment can be done at each level of the program (community, field workers, PVO Headquarters) and what amount of data does each level need?

- What type of community involvement is required for an effective assessment to occur at that level?

Considerations

Assessment needs to take into account the peculiar organizational framework of the PVO and the diverse audiences it serves. The essence of evaluation is decision making and not data gathering, so the question of whose decisions one is most interested in influencing is crucial to determining how assessment is done.

Starting with community interests, PVO's have an obvious responsibility to feed back to them information that can make them more effective decision-makers. The most direct means of achieving this goal is to involve them in the assessment of raw data.

The greatest challenge to PVO assessment of impact is aggregating what are often many small project actions in various locations. Evaluation models although not perfect may be a necessity to accomplish this task. Also case studies conducted on a rotating basis can serve the same purpose.

Constraints

Donor expectations are a strong influence on PVO decision-making. Donor organizational contexts which often differ substantially from PVO's determine the requirements they make for evaluation results. Also evaluation as decision-making requires a commitment at all levels of PVO management to allocate time and funds to the process.

Techniques to involve the community, particularly in the assessment of data, are notably limited. Unless the community can bring together a workeable representation of interest groups, it will be difficult to conduct a collective analysis of evaluation results to make decisions that will benefit all segments of the community.

No realistic evaluation of programs is possible in a vacuum. It is difficult for decision makers to comprehend all the political and economic factors that may influence a particular development effort. Where communications among all levels of an organization are limited, evaluation is impaired.

* IMPLICATIONS FOR PROGRAM POLICY *

Key Question

10. How can the results best be put to practical use?

Supporting Questions

- How can the results of evaluation be meaningfully integrated into PVO policy decision-making?
- How can the learning that evaluation produces be shared with communities who are both the subjects and supporters of PVO programs as well as other development organizations?
- What practical actions can PVO's take collectively to put evaluation to use?

Considerations

Sharing of learning from evaluation among all participants in the development process is an essential goal. The responses garnered from communities through evaluation should influence PVO policy making and donor funding practices. Conversely, donors and PVO's should make available what they learn to the communities they work with and other fellow organizations working in development. PVO's should increasingly consider workshops involving their field staff, indigenous PVOs and other development agencies as a means of sharing learning.

PVOs may find that the statistical products of evaluation are of little value to share, but a comparison of methods and lessons learned could be most rewarding. It would be useful to develop typologies of what works around particular objectives, such as providing potable water or reducing malnutrition. Also PVO's may consider using evaluation as a tool for diagnosing development problems on a broader level not relating to particular programs.

A logical extension of the evaluation process would be educational programs for constituency groups drawing on the lessons learned for its content.

<u>Constraints</u>

PVO's have a tradition of working independently. Often there is a competitiveness for the same funding or a duplication of efforts, which can create barriers to sharing and collaborative activities.

The effort required to share information is costly. There are no easily available instruments for promoting such sharing. Using evaluation to develop a constructive critique of their own role and that of the United States in international development, is a challenge PVO's have difficulty in addressing. Similarly, approaches to public education are varied and dispersed.

In conclusion, the analytic framework produced by the workshop highlights the issues of greatest concern to a significant cross-section of PVO staff. The spirit of the framework emphasizes the potential all PBO's have for self-evaluation. Its value is principally that of a tool for each participant to use within his or her organization to think through their approach to evaluation. Finally, it points the way to collective action among PVO's.

III. PVO State of the Art of Impact Evaluation

An important product of this workshop was the sharing of experiences among peers. As mentioned in the oral evaluation of the workshop, it is an invaluable support to see that others are grappling with similar problems in the complex field of evaluation. Even more reassuring is to find that the success and failure others have undergone offer insights for the solution of one's own problems. We need not repeat the same mistakes nor reinvent the wheel.

Both workshops in this series used case studies as the principal tool for interchange among participants. In this workshop, participants were offered two types of opportunities to contribute their experience. One was through presentation of actual efforts to do impact evaluation and the other through current challenges. Together these contributions sketch an interesting picture of the state of the art of impact evaluation among PVO's.

The nine papers presented as background for the symposium are included in appendix C. The papers deal with the following subjects:

An Impact Study of External Aid in Guatemala after the 1976 Earthquake and its lessons for cross-culturally relevant measuring instruments

AID Impact Evaluation Methodology, using Tunisia water projects study as a case example

Case Study - A participatory evaluation of a peasant regional organization in Honduras

MAP International's project tracking system and its use in assessing impact of small development projects

The World Neighbor System used to evaluate the progress of its program, illustrated by various specific examples

Technoserve's Social Impact Analysis Vehicles for Small-Scale Enterprise Development

Case Study - Meals for Millions/FFH's Impact evaluation studies of a model nutrition education project in Wonseong County, Korea

Case Study - AFSC's Evaluation of the Tin Aicha nomad resettlement project in Mali

Case Study - Impact of Foster Parents Plan's Program in the Philippines

All these papers present different perspectives on impact evaluation as it affects the PVO community. Prof. Bates' study of external aid to Guatemala is an unusual perspective in that it represents a highly structured and costly scientific attempt to measure impact of a large scale program that PVO's were instrumental in implementing. Although not valid as a model for PVO's to emulate, it does contain important methodological lessons as well as evaluation conclusions valuable to PVO programming. The AID paper represents the efforts of that agency to develop a methodology of impact evaluation, which, as the case indicates, has important implications for PVO's.

The remaining six papers all exemplify PVO efforts at self-evaluation. Varying in structure and approach, they exhibit a useful cross-section of the PVO community's work in this area.

The challenges presented for the problem-solving clinic round out further the picture of PVO's state of the art. Four of the challenges presented deal with institutional concerns in establishing agency-wide evaluation systems. Two raise questions concerning evaluation of multi-country programs that have specific sectoral objectives. The last six focus on specific PVO projects that express the diversity of their program, and hence, of their evaluation challenges. These challenges and possible solutions discussed in small groups are included in appendix D.

Although both the symposium and problem-solving clinic offer rich possibilities of analysis, this report does not fully accomplish this task. Some of the important points discussed during the workshop, especially after the clinic, are incorporated into the analytical framework presented in this report. Approaches to Evaluation also intends to organize a one-day session to produce a synthesis paper similar to the one prepared on monitoring, which can broach this task with greater reflection.

IV. Special Interests

The time allocated Thursday evening for these discussions allowed participants to establish tasks of their own choosing. No obligation existed for reporting to plenary, except to announce plans for further action. Participants divided themselves into three groups, whose discussions are summarized below.

Participatory Techniques: This group continued the discussions started in the workshop on monitoring, and developed further at an interim session organized on October 6. Based on these discussions, Suzanne Kindervatter prepared the discussion paper, "Some Thoughts on Participatory Evaluation", for this workshop. The group chose to approach the topic by exchanging several concrete experiences where participation was a key issue. Then, the group developed a free and open discussion on the meaning of participation, and most importantly, what does our experience tell us about techniques that PVO's can incorporate into their approaches to evaluation.

In substance, the group agreed on a few basic points. As the discussion paper suggests, participation in all facets of development work is a generally accepted goal among PVO's, but the practice lags behind the desire. However, if we are concerned to include in our evaluation efforts a qualitative measurement of change, then we must use some standards. It makes infinitely better sense that these standards be those of the community rather than our own.

In regard to techniques for participatory evaluation, the group agreed there is a paucity of written information. One can argue that there is only one technique available, which is organizing a significant segment of the community to come together for collective analysis. However, even this one technique merits substantially more study to learn what works and what does not.

One resolve stemming from this discussion was that participants would return to their organizations and seek to document at least one evaluation experience from the field involving participatory techniques, which also analyzes the result. Suzanne Kindervatter will compile these brief case studies and then, using this resource, Approaches to Evaluation will cooperate in supporting an initiative to encourage their use in the PVO community.

Inter-Agency Linkages: The discussion paper drafted by Dao Spencer resulted from a work session held on October 16, just before the workshop. There were four basic areas for action suggested:

1. Encourage agencies to inventory their own information needs for evaluation purposes.

2. Gather information on evaluation systems of PVO's for reference in TAICH's library.

3. Inventory evaluation skills within the PVO community.

4. Explore practical means of how PVO's can gain access to public data bases.

The group discussion at this workshop concentrated mainly on the last point. Participants agreed the information problem is of significant concern not only for evaluation, but for diverse agency functions. However, the experience of a few PVO's with data bases, such as VITA, should be considered first before proceeding further. Regarding the other points, Approaches to Evaluation will seek practical means to implement these suggestions in cooperation with TAICH.

Creating Scales and Indicators: This group preferred to tackle a specific "how to" question that arose during various discussions earlier in the workshop. How can one measure changes in attitudes and behavior as a result of a community-based program. The group worked on devising a list of measurable practices that could then be put on a scale.

Kris Merschrod and Charles Killian, drawing on their expertise in sociology, led the discussion to demonstrate some practical possibilities of using social science methods without sophisticated technology.

V. Implication for Formulation of Policy

As a bridge to the next step of the Approaches to Evaluation workshop series, this workshop took time to look ahead. First, three panelists discussed their personal perspectives of what experience has taught them about how evaluation contributes to the formulation of policy. Prof. Robert Bruce drew upon his long experience with cooperative extension in the United States, Carol Michaels as a field representative of the Inter-American Foundation, and Jim Noel from his planning and evaluation work with numerous PVO's. These varied perspectives helped identify some lessons that are worth generalizing as an introduction to the topic of policy decision-making.

For the purposes of this report, the rich input of this panel is divided into three broad statements:

1. Commitment, participation and systematic efforts are the three concepts that make evaluation an effective tool for policy formulation.

Management creates the opportunity when it commits time and resources to evaluation within the organization. Evaluation is most likely to influence policy when there are no artificial barriers created between internal program activities and the evaluation process. The ideal system results when staff at each level of programming is involved in the different phases of evaluation, and management nurtures a pervasive atmosphere where everyone thinks evaluatively.

In order to influence policy, evaluation must aggregate information on a systematic basis. Keeping in mind that any measurement of impact is an estimate which then becomes the basis for evaluation, the approach should not be more technical than the decision requires. The tools can be as simple as the same monitoring questions asked periodically, but ultimately issues not just projects become the focus of evaluation.

2. Evaluation is not the generation of data. It is decision-making.

The decision making audience is a key guide to planning evaluation. Trying to influence too many diverse decision-makers with the same approach to evaluation is counter-productive. It is preferable to identify the specific decision-makers that will use evaluation at different levels and plan for the needs of each group. To be cost effective, obviously the evaluation activities should produce only the information required for the decisions.

3. Evaluation affects policy when it places PVO programs into context.

No sound decisions can be made in a vacuum. PVO's particularly need to be aware of many factors that sustain the poverty of the population they work with. The effects of PVO programs in this global context are as important to policy as the success or failure of particular programs. The ultimate influence on policy formulation occurs when evaluation is linked with efforts to involve constituents in a learning process.

With these thoughts of the link between evaluation and policy in mind, four small groups undertook the final task of the workshop. To complete the process originally planned for the "Approaches to Evaluation" project, the third workshop will focus on policy evaluation. Each group proposed their ideas for the organization of the workshop, which are summarized below:

Objectives: All the groups stressed a 'how to' approach for setting objectives. The fundamental question is how to mesh the concepts of field evaluation developed in the first two workshops with a complex policy-making apparatus where field evaluation is one of many contributing factors to decisions. There is a need to define how field evaluation can have a maximum use and value to these decisions. There is also the question of how to learn from evaluation, both as individual organizations and as a community, in order to improve our programs and address issues of common concern. Finally, another objective would be to identify strategies for applying what they learn.

Issues: The groups suggested a variety of issues they felt were essential to discuss in the workshop,

- strategic planning as a useful tool
- management training to influence policy
- delegating resources for evaluation
- the role of the donor in evaluation
- alternatives to structuring in-house evaluation
- aggregating what we already know from evaluation
- "policies" for evaluation
- techniques of participatory evaluation
- evaluation as a tool for funding

Unanimously, the groups agreed that case studies should be a primary way of addressing many of these issues. The workshop should include presentations of examples of diverse experiences in formulating polcies, both from the viewpoint of implementors and funders. A panel of executive decision makers and/or other presentations to make explicit the criteria and factors that influence decision-making should precede the topic of specific contribution of field evaluation.

Participants: All the groups agreed that the approach of encouraging every participant to contribute to the content of the workshop be continued. Considering the subject matter, it is essential that a mix of decision-makers from different levels (e.g. program staff, resource development staff, executive decision-makers and even board policy makers) participate. The executive decision-making perspective is particularly important to any definition of how field evaluation can have a maximum use and value to the formulation of policy.

In terms of invited resource people most participants appreciated the way they contributed to the first two workshops. Ideally, they should be catalysts for everyone's thinking and willing to participate in the full workshop process. For the workshop on policy the group made specific suggestions which included the following:

- to emphasize the rationale for evaluation, as an instrument for accountability and policy making
- to present the case for evaluation from the perspective of the Third World
- to help make explicit criteria PVO's use for decision-making and possible strategies for planning and evaluation in that context.

A couple of the groups emphasized that the most important resource will be participants from the PVO's, particularly executives who are willing to share experiences in formulating policies. In that sense, the evaluation steering committee should make as personal an effort as possible to attract appropriate participants, concentrating on those PVO's whose staff have attended the previous workshops.

As a concluding note, one group raised some issues that may go beyond the scope of the policy workshop, but are important to keep in mind:

- How do we extend the learning process of evaluation to our constituency through development education?
- How can we best take advantage of Third World expertise in our evaluation efforts?
- Can we share workshop experiences such as these with indigenous PVO's?
- Is it possible to create from this workshop series ongoing task groups to come up with practical products for the PVO community?

VI. Evaluation of the Workshop

Following the precedent established in the workshop on monitoring, the formal evaluation of this workshop was kept simple and direct. By simply asking participants to voice their immediate impressions, it was possible to have a lively and frank interchange which yielded valuable information.

The comments included the following significant points:

1. Stated objectives were achieved satisfactorily. The third objective to formulate suggestions for the PVO community did not quite jell, but rather was transferred to the next workshop.

2. The process created many positive results:

   - a structure that practiced the benefits of participation and took advantage of the lessons learned from the first workshop

- an environment of sharing among peers allowed for free interchange
- variety of opportunity for each participant to satisfy particular interests
- all discussions stayed at a level relevant to participant needs
- resource people played an excellent catalytic role.

3. In regard to process, some suggestions for improvement included:

   - sessions could have allowed for more informal conversations, perhaps stopping earlier each day
   - although choice and interaction was good, some opportunity to cluster PVO's by operational style and program type is useful, especially when discussing the how-to of evaluation
   - more attention was needed to recording the sessions for the record
   - some participants felt that more challenges should have been included, perhaps by providing less time for each. Other participants countered that they felt more time than the hour allotted was required to give closure to the discussion of each challenge.

4. The content of the various sessions generally produced useful information:

   - the analytic framework was valuable, particularly the opportunity to modify what seemed like artificial distinctions
   - considering their content, the problem-solving clinic might have better preceded the symposium, although other participants preferred the arrangement used
   - special interest discussions were valuable in demonstrating mutual help opportunities among participants
   - resource people deserve "kudos" for their fantastic contributions to each session
   - one content area that needed more attention was a wider perspective on the role of PVO's in the current world situation, (e.g. North-South dialogue, etc.)

5. The participants rated the workshop site as excellent. They praised the Thursday afternoon break which allowed them to appreciate the environs of Harpers Ferry. One improvement suggested was to have a better place for informal gatherings.

Perhaps the most valuable evaluation of the impact workshop was the enthusiastic backing most participants gave to encouraging involvement of their executive decision-makers in the next workshop on policy evaluation. The challenge to the project organizers is evident.

APPENDIX A

World Education Report
on
Review of Basic Skills

REPORT ON ONE-DAY WORKSHOP
"REVIEW OF BASIC SKILLS FOR IMPACT EVALUATION"

The one-day workshop herein described was held as a pre-workshop seminar for the ACVAFS-sponsored three-day Workshop on Impact Evaluation, held at Harper's Ferry, West Virginia, October 20-23, 1981. The need for a one-day, applied seminar reviewing basic evaluation skills appropriate for PVO agency staff was identified as part of the ACVAFS evaluation of earlier workshops carried out as part of the Council's series on Approaches to Evaluation.

To implement the basic skills workshop ACVAFS requested World Education to provide technical staff and facilitators who would assist the workshop participants in experiencing a "hands-on" approach to evaluation of field projects. A number of planning sessions were held prior to the Harper's Ferry Conference to ensure that the one-day workshop design would be functional, and would effectively integrate with the more substantive three-day conference on impact evaluation.

Workshop Design

The Approaches to Evaluation series of the ACVAFS has recognized the importance of a participatory framework for design of field project evaluations. It was a commitment of World Education staff and the planning committee of ACVAFS to ensure that the one-day skills workshop was participatory and functional.

The design for the one-day skills review was structured to involve participants directly in determining the following workshop focus:

I. Introductions and Statements of Individual Need for Evaluation Skills.

Exercise: One-on-one interviews were conducted between participants, who then introduced each other and the needs felt by their partner. The following needs were identified:

1. WHAT WE HOPE TO GAIN

   a. Making impact evaluation practical, do-able
   b. Synthesis of theory and practice
   c. Hands on experience with evaluation instruments
   d. Participatory techniques of evaluation
   e. Process and outcome indicators
   f. Relation between findings of evaluation and goals/problems
   g. Agency effectiveness of presence, program and mission
   h. Team approach to evaluation
   i. How to encourage participation in evaluation at all levels
   j. Shared experiences
   k. Definition of impact evaluation
   l. Reporting systems
   m. ABC's of evaluation
   n. Baseline instrument development
   o. Secondary sources of evaluation data
   p. Building in evaluation from beginning

q. Measuring intangible effects of programs
r. Organizational relationships of evaluation implementation
s. Information control
t. Locus of evaluation
u. Utilization of evaluation results
v. Conflict between "consumers' of evaluation, conflicting demands.

II. Establishing Objectives for the Day:

<u>Exercise</u>: From the above list of needs and concerns, recognized as too broad to address in one day, the group participated in identifying priority needs that could be stated as objectives for the day. The following objectives were established:

-To share project-related evaluation experiences from the various agencies participating

-To identify and review participatory approaches and techniques to project evaluation

-To consider evaluation as an integral component of total program design

-To review practical, do-able evaluation techniques applicable to field projects

-To experience hands-on evaluation exercises, within the limits of available time.

III. Setting an Evaluation Framework:

<u>Exercise</u>: Mini-lectures, with group discussion, were presented to establish a framework for considering the components of field project evaluation. The issues discussed included the following:

A. DEFINITIONS:

<u>To Evaluate</u> = To determine or fix the value of; to examine and judge (Webster)

<u>Evaluation</u> = The act of measuring the outcomes of planned activities, and judging their significance in relation to a previously determined purpose and specific objectives.

<u>Participatory Evaluation</u> = Evaluation which involves in the measuring and judging, those people who bear the direct consequences of a project's success or failure.

The REAL definition of Evaluation = The art of measuring project outcomes, and judging their significance, in a way which most closely confirms the expectations of project participants, while avoiding the disillusionment of project donors. This is done by employing instruments which give the impression of objectivity and generate data whose accuracy cannot be easily challenged, while leading to the completion of reports for all interested parties in the shortest possible time and at the least possible cost.

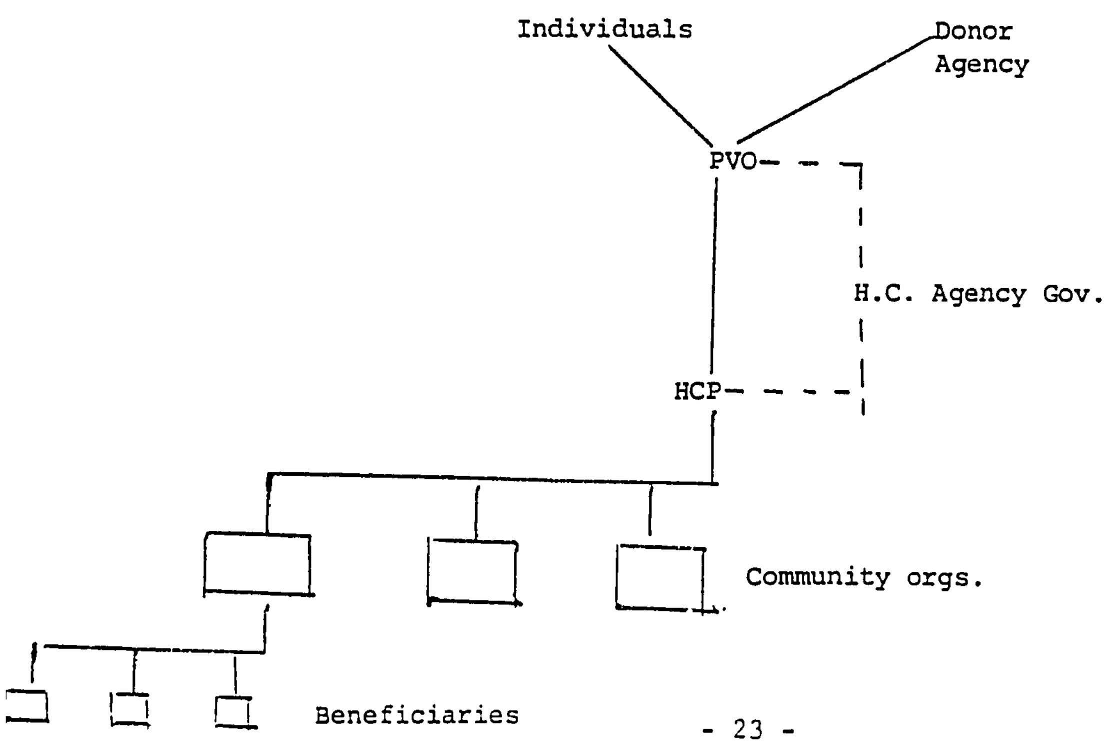
B. UNITS OF EVALUATION:

a. activity (short-term, immediate) outcomes
b. impact (long-term, eventual) outcomes
c. community-level projects
d. community organization
e. activity sectors (health, ag. etc.)
f. individuals
g. changes in behavior

There are different levels.

PARTICIPANTS (Potential)

WHO



C. RATIONALE OF EVALUATION:

WHY

1. To improve and expand program design and management.
2. To maintain and increase funding (meeting donor education and other requirements, expectations)
3. To enhance local participation.
4. To judge performance in terms of sustained impact (vs. activities) and objectives.
5. To improve performance.
6. To further knowledge, state of the art.

WHEN

1. At beginning (as part of project planning).
2. At key stages - midpoint, end
3. At funding junctures
4. After end of pilot project
5. After OPG cycles
6. When beneficiaries agree to or want to evaluate
7. After completion of a natural cycle - agri. year, etc.
8. On a continuum - record keeping.

D. A LOGICAL FRAMEWORK:

	Objectively verifiable indicators	Users Outside	Insides
Purpose			
Objective			
Outputs Project Components	report system Y_1 Y_2 Y_3		
Inputs $$$$$	accounting system		

E. STEPS IN PLANNING EVALUATION (PERT):

*1. When to Plan?
*2. What are project purposes (goals), objectives?
  indicators
  criteria
  additional questions
  unintended (negative) outcomes
*3. SMALL - What information is Needed?
  Who provides
  Who collects
  How collected
  When collected
  What needed to collect
*4. Design Instruments

*5. Gather information
  train
  (test)
  (revise)
  collect
*6. Analyze Information
*7. Interpret findings
*8. Report
  discuss
  write
  disseminate
  revise
9. Incorporate findings/revisions into next cycle

* Participatory Activities

IV. Case Study "Xanadu"

Exercise: As a means to create a hands-on situation, a case study (Request For Proposal-RFP) was presented which required following and completing the steps (E, above) in planning a project evaluation. Two small groups were arranged to enhance participation and to provide a comparison to approaches to evaluating "CDI of Xanadu." The two small groups came together at key planning stages to compare approaches and progress in the evaluation exercise.

Case: RFP for Community Development Inc.
Country: Xanadu   Funding: $100,000 for 1 year
Purpose: A pilot project in one rural district to achieve the following, through an integrated community development program:

-improved agricultural production;
-expanded small-scale rural enterprises;
-increase participation of women in community activities;
- (Group determine)
- (Group determine)

Exercise tasks: Refine purposes
Define objectives
Identify indicators; measurability, criteria/standards

Group 1 -

Objectives:

1. To increase farm production of rice yield by 5% on average.
2. Community storage improvements: to improve income; lower post harvest loss from 20% of production to 15%.
3. Increase community livestock; from 1 chicken to 3 chickens per family. (to improve nutrition and increase income)
4. Ongoing needs assessment (for longer term BB funding) Survey of community needs thru community meetings.

Purposes:

Improve the standard of living.
Increase community participation in 6 villages in one rural district.

Indicators and criteria:

Measure change in annual yield
Increased acquisition of community defined valuables

Instruments

Observation
Records (CDI, Government, Community)
Community Knowledge
Community memory
Interviews
Community meetings

Group 2 -

Purpose:

To increase capacity of CDI to carry out needs assessment, develop projects/activiti based on these needs, and to enlist broad-base participation of the target populati to address these needs:

Objectives:

1. to determine CDI's current capacity to assess community needs
2. to evaluate CDI's capacity to carry out integrated projects
3. to developCDI's in-house ability to provide participatory staff training (which will be maintained over time by the agency)
4. to develop CDI's capacity to design multi-year plans, and to management-implementation of the plan
5. to increase the capability of CDI/community groups/participants to identify and utilize local existing resources. (and to gain access to untapped resources, i.e. national etc.)
6. to initiate a minimun of three community based integrated (multi-sector/discipli projects meeting needs assessment.

Indicators

-assessment capacity of staff
-skills (group facilitative, participatory)
-village contact
-sectoral knowledge

Indicators

-community perception of CDI
-process of developing projects
-staff background (S-E), training
-management supervision and incentive

Instruments-
(kind of information needed)

*obs. of GPS/indiv. *interviews *logs/personal records/policies	STAFF
*obser. of staff/sup interaction *interviews personal records/policies	SUPERVISORS
*obs of Groups *interviews logs of visits	COMMUNITY
*Develop cooperatively/TRG	SAMPLE OF DIFFERENT STRATA

INDICATORS

3 Projects : x level of activity, x number of beneficiaries: x% representation
three groups formed in x sectors
x number of field staff trained
administrative/legal/political requirements met
technical inputs secured/budget
project objectives and plans established
monitoring system in place /accounting
evaluation designed and begun

Information Needed	Who	Instrument
community perceptions of projects	community benefic.	interviews, observation, self-reports, group records
comm. participation in monit/evaluation		

Information Needed	Who	Instrument
control of info. and materials and funds	comm. beneficiaries staff	observation, records, interviews
community percep. of staff training	comm/beneficiaries	interviews/minutes meetings

CDI/Community groups capacity to use resources

Indicator:

Resources= human
technical
financial
institutional
natural

increase in community investment (labor, materials etc)
increase in awareness of resources
increase in demands on services
increase in use of local materials, resources

-effect on increasing utilization in community
-unintended negative outcomes
-attitudes (future) toward mobilization

Info	Who	Instrument
Community perceptions		interviews

V. Evaluation of the One-Day Workshop:

At the end of the day, participants evaluated the workshop. Participants and workshop facilitators were asked to comment on the following:

1) Of the five objectives for the day (see II, above), which were adequately treated during the day and which were not?

2) Of the various activities during the day (i.e., mini-lectures, discussions, group work, printed resources), which were most or least helpful?

3) Rank the following dimensions of the workshop on a scale from 1 to 5 (5 being the highest score): treatment of impact evaluation, participatory approach to evaluation, functional, hands-on approach to evaluation, relevance to PVO field projects, other;

4) What suggestions and recommendations can you offer for the integration of discussions and issues raised during the day into the up-coming 3-day workshop on impact evaluation?

Written comments prepared by participants were reviewed by the workshop facilitators. Of the five objectives for the day, all participants felt that the identification and review of participatory approaches to evaluation, and the discussion of evaluation as an integral component of program design had been adequately treated. 63% found the hands-on evaluation exercises to be satisfactory. A similar number indicated that time constraints had limited the ability of participants to share project-related evaluation experiences and to adequately discuss practical evaluation techniques.

In response to question 2), the vast majority of participants indicated that the mini-lectures, discussions and group work had been most helpful. Other beneficial elements of the day included the emphasis on a team approach to problem-solving, the overall organization of the workshop, and the people attending. Most participants had not yet reviewed the printed materials handed out and could therefore not offer comments. Ranking of the five dimensions of the workshop consistently fell within the average to above average (3 - 4) range.

While specific suggestions and recommendations were few, in general participants looked forward to the opportunity to share project-related evaluation experiences and continue to discuss specific evaluation methodologies, instruments and tools relevant to the PVO community.

VI. Recommendations:

World Education recommends that similar workshops be encouraged emphasizing a hands-on, participatory approach to evaluation. It is suggested that such workshops be extended to 2 days. Topics and possible forums could include discussions and presentations of practical, participatory techniques for data gathering and analysis, problem-solving clinics as well as workshops focussing on special-interest issues raised by conference participants.

Russ A. Mahan
Alison Ellis
World Education Inc.
November 2, 1981

APPENDIX B

Discussion Papers:

- Monitoring - A Snythesis
- Some Thoughts on Participatory Evaluation
- Inter-Agency Linkages

DISCUSSION PAPER: MONITORING - A SYNTHESIS

I. Introduction

The first workshop, sponsored under the Approaches to Evaluation Project of the American Council of Voluntary Agencies for Foreign Service,considered the topic "Monitoring in the PVO Community." During those sessions which took place from May 27-29, 1981 at Stony Point, New York, a large number of questions, reflections, and new ideas were discussed by the participants in an effort to obtain a more profound understanding of what monitoring could mean for PVO practitioners, and how it could be best integrated into current project activities. Unfortunately, it was not possible to bring much of this thinking together in a coherent fashion during the workshop period,although a group of participants felt it was both desirable and possible to do so.

To that end, on September 22, a task force meeting was convened at the ACVAFS office in New York with eight participants in attendance. Six represented agencies which had been part of the Stony Point deliberations. One was the project coordinator and the other a facilitator who had also participated in the workshop. The group included members of the four major workgroups that had carried the weight of the discussions at the May meeting, and drew upon the workshop report as principle reference material. Elaine Edgcomb, Chairperson of the Evaluation Steering Committee, was chosen as reporter for the group.

The group saw as its task the construction of a synthesis of PVO views on monitoring which would reflect the best thinking from the workshop, as well as add to it where necessary to provide a fuller statement on the subject. The discussions proceeded from a definition of monitoring to a consideration of its characteristics, the benefits to be derived from it for PVO and project participants, and finally, a number of implications for participation, information-sharing, and impact and policy level evaluations.

II. Definition

Monitoring is defined as a systematic process, which occurs within the context of program or project implementation, and which has as its aim the provision of information on progress. That information has several intended uses: (1) to assist decision-making, especially in the short-term, for increased project effectiveness; (2) to ensure accountability to all levels within the project hierarchy -- from local community to donor -- especially on financial matters; and (3) to enable judgments to be made on personal and institutional performances. The potential users of the information generated include the PVO (both the on-site project team and the headquarters based management), the community groups directly participating in the project, indigenous PVOs involved in project implementation, and the external donors. With this number of interested parties and the differing priorities which each places on the purposes for monitoring, it is easy to see how the process can be strongly tension-provoking. Its role in supervision and oversight can often inhibit the creation of an atmosphere conducive to open examination and correction. Nevertheless, in ideal circumstances, the several levels of review and purpose can mesh into a continuum in which all parties' needs are served, and it is this ideal which should be the aim in PVO projects despite the difficulties inherent in the effort.

III. Monitoring and Participation

Of paramount importance to PVO's and to their indigenous counterpart agencies is the involvement of the community-level participants in all aspects of the development process. The type of monitoring system chosen by a PVO could enhance that participation, and thereby strengthen not only specific project activities but also develop community skills applicable to other situations as well. Further, it could lay the groundwork for better, more participatory impact evaluations in the medium to longer term. To achieve this, the system must have three principle characteristics:

(1) Its construction must be based, as much as possible, on the acceptance, input, and collaboration of the community with whom the PVO seeks to establish "joint ownership" over this and other project aspects.

(2) Information-sharing must be a hallmark of the system. A range of approaches currently exists among PVO practitioners, and includes the following:

(a) No information generated by the PVO monitoring system is provided to the community. The PVO retains all information, sharing it only as necessary with donors.

(b) Monitoring information is occasionally given to community groups, often when the group makes a request or when the PVO believes that the information might generate positive action on the community's part.

(c) Information is regularly provided to the community to ensure that it is informed of the status of the development activity.

(d) The PVO assists the community to develop its own skills in monitoring and to utilize the feedback effectively to improve its own process of development.

(e) The community specifies the kinds of information it has decided to collect. The PVO is then "contracted" by the community to assist in the development of a monitoring system.

Workshop participants had concluded that most PVO's were probably utilizing an approach similar to (a) or (b) while the ideal may well be (d) or (e) in order to assist communities to take charge of their own development activities.

(3) In the definition of monitoring as a systematic process, stress needs to be laid on the term process. For monitoring truly to be participatory, it must be considered more than just a straight-forward management function in a linear planning, implementation, and evaluation system. Rather, it must be viewed more as a recurring opportunity for reflection, dialogue and joint decision-making with community members, where greater flexibility in changing program terms is built in. Greater emphasis must be laid on the collaborative style in which the review is to occur than on the scientific precision of the outcomes. What seems to be sacrificed in exactitude can be more than compensated for by the open and profound sharing which occurs between PVO and project participants when real partnership is sought. And, greater truths than statistics can ever tell may be the product.

IV. Characteristics

Besides the elements required to make a monitoring system a tool for participation, PVO systems should have other characteristics if they are to be compatible with agency operating styles. The following are of special note:

(1) The system should be based on a clear understanding of the expectations of all parties to the project -- donors, indigenous co-operating agencies,community-level participants and PVO staff, both field and headquarters. At the same time, it should seek to generate only essential information so as not to waste scarce resources. Often, conflicts will occur between PVO's and donors over what information is essential, as well as how often it is to be collected, and with whom it should be shared. These are all areas for negotiation, but the rule of thumb should be that "essential" information is what the PVO managers and the community consider so, and other material takes lesser priority.

(2) The system can be simple or complex depending upon the type of project, but in all cases it should be developed at the time of project design and budgeted in terms of both time and cost.

(3) It depends on the existence of sufficient base-line data against which progress can be measured. The monitoring process should not focus on all the areas for which data were initially gathered, but only for those specific indicators which would highlight where re-direction is required, and which would provide keys to impact evaluation, which such is undertaken.

(4) The system must be designed to provide quick feedback, be easy to manage, and low in cost. Often, the use of experienced observers is one way to gain much insight into problems without great expense or complication.

(5) The tools utilized should be one that would not be counter-productive to participation, but which could enhance community involvement. Farmer-recorded diaries and checklists, and town hall-type meetings are examples of these techniques.

V. Benefits of Monitoring

Monitoring, when well-done, provides a number of important benefits for both PVO's and the communities they serve. For PVO's, it can be used to develop a more professional relationship with indigenous counterparts, due to the greater clarify an explicit monitoring system can provide. Indigenous counterparts also will accrue the same benefits as the USPVO including:

- the development of a program memory which can assist policy formulation and staff training, as well as the refinement of organizational processes and systems

- a more efficient and effective allocation of resources through better analysis of cost-benefit relationships for both goods and services

- the creation of an information base for impact and policy-level evaluations

- the ability to demonstrate to donors that progress can be identified when it occurs

- as a byproduct, the possibility of sharing significant experiences within and among PVO's.

Local communities also benefit in similar ways:

- The development of a history or memory of project experiences can aid in future planning and training of local leaders.

- Real learning regarding cost-benefit relationships can assist communities in the allocation of both internal and external resources.

The recording of experience makes sharing with other communities possible.

In addition, communities

- learn techniques to assess the effectiveness of their activities better

- improve their planning and organizational skills

- become more self-reliant in analysis and decision making

- obtain greater control over development processes through better information control.

VI. Implications for Impact and Policy Evaluation

Certain implications for impact and policy-level evaluations naturally arise from these considerations on monitoring. It became readily apparent that if USPVO's and their indigenous counterparts undertake monitoring processes with high local involvement and ownership, then the effectiveness and relevance of impact evaluations will be significantly greater. Conversely, if monitoring is not done with high local participation, then it becomes exceedingly difficult to undertake participatory impact evaluation.

Additionally, the use of outside evaluators should be seriously considered since they can limit (or pre-empt) local participation in impact evaluation unless special measures are taken. Any outside input must be carefully set within the existing project atmosphere and made part of the ongoing process. This point must be made clear to donors in the initial negotiations in order to avoid the introduction of disturbing elements at later stages in a project.

Impact evaluations should focus both on measurable benefits as well as the qualitative outcomes that should derive from community participation in project management and monitoring. These include decision-making, analytic and planning skills, attitudinal and organizational changes which, while difficult to track, are often the most significant benefits from doing projects in a participatory way.

In terms of policy evaluation and formulation, it was seen that good monitoring could have an important albeit subtle effect in this area through an insidious "trickle-up" approach. The accumulation of operational decisions which emerge in response to monitoring data could result in de facto policy changes even when clear-cut executive changes might be constrained by agency-donor or agency-constituency relationships.

More directly, agency policymakers need to be aware of certain issues related to the development of systems appropriate to their needs and those of the communities they serve. The first is the question of information collection: what is essential and for whom? This was discussed earlier, but it is important to underscore here the role agency policymakers have in establishing principles for information collection which can serve as the basis for negotiation with project donors.

A related information concern is the need to respect community privacy. Too often, in our quest to develop professional projects and open relationships with community beneficiaries, we overlook the need for discretion, especially in sensitive political situations. In order to foster a trust relationship with local peoples, we may have to forego certain information which, while it might give us a more complete picture of what is happening in a project area, could be misused in other hands. PVO policymakers need to enunciate clear guidelines on this point, and stand in defense of local participants with external parties.

Another issue related to donors is the frequent requirement for outside evaluators. While it is understandable that large donors need good evaluations to assist them in their own decision-making processes, these evaluations are often a hindrance to the type of relationships PVO's are trying to create at the local level. These requirements should be carefully scrutinized at the outset of agency-donor negotiations, and agency policies established which will protect the community development process.

Finally, constituency education could be a key to influencing donors to support project processes such as those outlined here. PVO policymakers need to consider how the introduction of these operational approaches can be assisted by fostering a better understanding among donors of what participatory development is about.

* * *

APPROACHES TO EVALUATION

Second in a series: A WORKSHOP ON IMPACT EVALUATION

SOME THOUGHTS ON PARTICIPATORY EVALUATION

INTRODUCTION

Certain features that many if not most PVOs share--low-cost operating style, relatively small size, and grass-roots orientation--make a concern with "participation" in PVO evaluation systems a natural emphasis. In the workshop on "Monitoring in the PVO Community" held at Stony Point, New York in May 1981, a group of PVO representatives with a priority interest in participatory evaluation began discussion on the meaning of participatory systems and techniques, on approaches currently used by PVOs, and on what seems to work or not to work. Based on this demonstration of interest, the ACVAFS included "participatory techniques" as one of the three preparatory workshops prior to the "Workshop on Impact Evaluation" in Harper's Ferry. The meeting was held in October at the Overseas Education Fund in Washington, D.C..

The ideas in this brief are a compilation of the information and thoughts exchanged in both Stony Point and Washington. Though a question and answer format is used to give clear focus to the topics considered, the answers provided are not definitive. Rather than an end point, they are a starting point from which individual PVOs and the PVO community as a whole can reach greater clarification, and possibly consensus, on participation in evaluation.

WHY PARTICIPATORY EVALUATION?

There seem to be two general schools of thought on why participatory evaluation warrants special attention amongst PVOs. One perspective says that a participatory approach to PVO programming and evaluation is practical; projects will be more effective if community-level participants are actively involved in all aspects including evaluation. The other perspective maintains that participation is not just a means of development, but actually part and parcel of what development is about, of gaining skills for self-reliance. Therefore, developing participatory approaches to evaluation is critical.

A number of PVO representatives who participated in the October preparatory workshop stated it this way: "A participatory approach enables participants to have a part in the ownership of the process and the product--it promotes development activities themselves and the leadership needed to sustain them." A parallel idea comes from the "Participation Programme" of the UN Research Institute for Social Development (UNRISD) in Geneva:

> The central issue of popular participation has to do with power--exercised by some people over other people and by some classes over other classes. . .the struggle for people's participation implies an attempted redistribution of both control of resources and other forms of power in favor of those who live by their own productive labour. (From "Ideas and Action," FFHC/Action for Development, No. 134, 1980/2. p. 4.)

If participation is so basic to PVO thinking, some have asked why participatory evaluation needs to be a discrete area for consideration. Part of the need arises from an apparent gap between PVO thinking and PVO action. The ACVAFS discussion paper on "Monitoring--A Synthesis" presents five levels of possible community-level participation in evaluation, ranging from virtually no participation ("No information generated by the PVO monitoring is provided to the community") to complete control (the community determines what it wants and contracts PVO assistance). According to the paper, Stony Point workshop participants concluded that on a continuum, the ideal would be approaches more toward the community control end, but that few PVOs at present have such monitoring systems. Thus, PVOs need to share experiences to help one another discover ways in which their ideals can be realized.

The focus on participatory evaluation amongst PVOs can also make an impact on the field of evaluation in general. In 1977, the "Participatory Research Project" was established by the International Council for Adult Education in Toronto. Since then, the Project has been successful in challenging certain ideas about traditional research, demonstrating effective alternatives, and linking individuals and organizations with common concerns. The potential for PVOs to create new approaches to evaluation through their field activities is rich. By rigorously examining and sharing these efforts, PVOs can pioneer needed alternatives to traditional approaches to evaluation.

WHAT IS PARTICIPATORY EVALUATION?

At the October preparatory workshop, participants divided into three groups, each taking a stab at answering the question that heads this section. The ideas of the three groups are combined in the following definition.

Participatory Evaluation is: An information system that functions throughout the life of a project and that emphasizes a degree of control exercised by community-level participants, in collaboration with others directly involved in the development activity (indigenous organization, US PVO, donors), over data collection, data analysis, and decision-making relating to project design, implementation and outcome.

WHAT ARE SOME IMPORTANT CHARACTERISTICS AND CHALLENGES FOR PARTICIPATORY EVALUATION?

The points listed in this section deal with putting the idea of participatory evaluation into action. They cover some of the specifics of "who", "what", "when", and "how", and are designed to aid PVOs in developing their own participatory approaches and in anticipating obstacles that can inhibit the successful use of these approaches in the field.

1. "Outsiders" (e.g. US PVOs, donors) need a firm belief in the ability of community-level people to contribute and an appreciation of their ideas, knowledge, and skills. An institutional commitment to participation is critical. Ideally, community-level participation should occur in project design and planning as well as in evaluation. Objectives agreed upon at the outset can serve as a touchstone for the evaluation process.

2. Members of the particular community involved in a development activity should choose the community-level group participants to be involved in the evaluation process.

3. Special training in data collection and processing may be necessary for community-level participants to enable them to be actively involved in the evaluation activities.

4. The data to be collected should be of direct use to the community-level participants. Evaluation techniques should be devised which enable community-level participants to be the first users of the information generated (e.g., simple charts kept by community members to track increases in agricultural production).

5. The emphasis on community-level participation is included for baseline, monitoring, and impact evaluation. At each of these stages, community-level participants are involved in: designing the approach

and instruments; collecting data; analyzing data; determining how the information will be used and disseminated; and making decisions about project plans and revisions.

6. All the approaches and techniques utilized emphasize shared control and shared ownership.

7. Determining the kinds of information needed in a project and for whom it is provided involves a process of negotiation and at times conflict resolution. Representatives of the different groups involved in a development activity should discuss their differing needs and be willing to make compromises, particularly in deference to community-level interests.

8. Methods for data collection and analysis need to be "appropriate" in terms of the culture and abilities of the community-level participants. Generally, methods should be simple and present data in an easily usable form. Workshops, town hall style meetings and group discussions can be effective for generating feedback and collectively determining action.

9. The focus of the evaluation is both the process and the product. In addition, both quantitative and qualitative data are considered important.

10. An evaluation consultant from outside the community can play an important role in challenging the perceptions of those involved in the development activity. However, this person serves as an "evaluation co-ordinator," rather than an "evaluator" in the traditional sense.

11. PVOs face certain challenges in using participatory approaches to evaluation, including:

*more <u>time</u> is needed than in traditional approaches (for both community-level participants and and PVOs)

*members of different groups participating in the evaluation may have <u>different levels of skills</u>

*a limited selection of <u>simple instruments</u> for data collection exist, particularly those requiring no literacy skills

*a high degree of <u>trust</u> amongst those participating in the evaluation is important

*contract requirements may make <u>community-level decision-making and control</u> difficult or impossible *participatory evaluation approaches can be more expensive than traditional approaches

*the structures of certain projects lend themselves more easily to participatory evaluation than do those of others

*donors may not accept the validity of a participatory approach nor the qualitative data generated.

12. (Add your own ideas!)

REPORT ON INTER-AGENCY LINKAGE WORKING GROUP

October 16, 1981

One of the special interest groups that met during the monitoring workshop was concerned with the problem of information management. As information or data is the key element in monitoring and evaluation, the questions of what kinds of data are needed, who collect them, how are they collected and stored etc. were raised. One agency representative described the overwhelming amount of reports that fall onto his desk from the field, national counterpart agencies, as well as international ones. He has to digest this information to produce reports to local associations, the board, donors and others. He thought perhaps other agencies may have similar problems and wondered whether computers might be a solution. Because of lack of time, and in order to create further interchanges among voluntary agencies on this subject, the group suggested that a follow-up session be organized to explore the matter and to involve TAICH because of the nature of the subject.

The working group on inter-agency linkage met last friday. The resource person was Muriel Regan, staff librarian of the Rockefeller Foundation and partner in Gossage and Regan Associates. The session was devoted to addressing two main questions:

- how an agency can improve its information system for monitoring and evaluation purposes
- how the voluntary agencies as a community can enhance their collective information system through sharing of existing skills and through joint activities.

The group started the discussion with the premise that: each agency has some kind of information system. However, as Muriel Regan put it-

There is information that one has but one does not need
There is information that one needs but one cannot find.
There is information that one finds but one does not want, and
There is information one wants but it costs too much!

The first step toward information management each agency must take is to undertake an inventory of its own needs which should include an assessment of current needs and a projection of future needs (eg. for funding, accountability, P.R., greater needs of experts...). In making such an inventory, the following questions should be asked:

What information is needed (for monitoring, evaluation)?
What information is available(in house, from shared information with other agencies, from public data banks)?
What is/are the use(s) of the information gathered? (decision making, resource allocation, reporting,education, project development)?
Who is gathering the information, how is it gathered?
Who is organizing the information?
Who is storing it and where?
How to translate the information into monitoring and impact evaluation?
Will automation help make the information more usable?

With regard to the question of automation, the agency should look at the quantity of information it is handling, how timely the information it has, or how quickly it can get hold of, and how often it needs the information (every week, once a year?)

In answer to the second question: what the voluntary agency as a community can do regarding information management:

.It can identify the skills within the community (TAICH might help in this endeavor by being the recipient and curator of information collected).
.It can share designs of report forms used in monitoring and impact evaluation; it was suggested that the Evaluation Steering Committee design guidelines to assess forms for an agency use.
.It can also share experience in the uses of commercial data bases.

If access to public data bases for evaluation exercises is considered, the agencies should keep in mind that they can obtain the following kinds of information from them:

.project development literature by sector, by technologies employed, who is doing what where
.more precise identification of a particular problem or question
.different kinds of ststistics such as census figures, social indicators, income ststistics, etc.
.donor support available (foundations)
.availability of resource people (IADS personnel)

Benefits of public data bases:

.it does not get tired or bored
.information is timely, more up to date
.more comprehensive
.more efficient and easier access

Problems:

.expensive
.question of privacy
.abstract form

RECOMMENDATIONS of this workshop:

To enhance agencies information systems for monitoring and evaluation the group suggests that:

- agencies share their instruments used in monitoring and evaluation by making TAICH the repository for these instruments/forms

- the Evaluation Steering Committee or a working group draw up a list of questions for an agency to ask when it considers using one of the instruments/forms, manuals which would be appropriate to its needs

- recognizing the utility of data banks, TAICH be the clearinghouse for agencies' access to them on a cost-sharing basis, thus providing the agencies with the opportunity to enhance existing information systems.

APPENDIX C

Symposium Papers

SYMPOSIUM PAPER

Title: An Impact Study of External Aid in Guatemala after the 1976 Earthquake and its lessons for cross-culturally relevant measuring instruments

Presenter: Prof. Frederick L. Bates
Department of Sociology
University of Georgia

Synopsis: Under the auspices of the National Science Foundation, Professor Bates is completing a five year study of the impact of external aid stimulated by the earthquake, on the rural population in Guatemala. This experience has inspired the design of validated instruments that PVO's could use to gather relevant data cross-culturally, employing non-specialist workers.

* * *

THE NEED FOR CROSS-CULTURALLY RELEVANT MEASURING INSTRUMENTS

Today's world is an extremely complex and interrelated system. This system is comprised of a few highly modernized or developed nations and a larger number of less developed or low income countries. For the most part, these countries are located in Asia (except Japan), Africa, and Latin America (except Argentina, and sometimes the additional exceptions of Chile, Paraguay, and Uraguay). Millions of people throughout the world, but particularly in these low income countries, are hungry, malnourished, and constantly battling against disease. In addition, many others are also illiterate, undereducated, and without any means of securing stable employment. Many of these people eke out a living through subsistence farming, barely able to feed themselves and their families. What underlies all of these problems is a larger problem not easily amenable to solution. That problem is the overwhelming poverty that exists in these low income countries.

Further exacerbating the already difficult situation in many of these areas are periodic disasters, both natural and man-made. These disasters not only destroy hundreds of lives, but leave many more homeless and without food. The problems are compounded by the fact that these calamities also disrupt the patterns of day-to-day life and devastate what means of livelihood many of these people possess. Attempting to meet the needs of these people are the many private voluntary organizations (PVO's) whose purpose is to deliver humanitarian aid and to conduct development programs to improve life in the lesser developed countries around the world.

While the PVO's and various government and U.N. programs are extremely conscientious in attempting to deliver assistance in the most effective manner to the greatest number of people, systematic evaluation of their efforts has not generally been carried out. Often very little data is collected prior to, during, or after a project. The situation may be characterized by the almost total lack of pre-existing, locally generated data. Where such data is generated locally by the PVO's themselves, it is often the result of specially commissioned studies with very narrowly defined objectives and goals. Such studies may offer considerable benefit and are usually justifiable in their own right, yet they have a number of drawbacks which we are hopeful of alleviating.

First of all, such specially commissioned studies frequently involve several short on-site visits by consultants who lack the resources to collect extensive data systematically. Their findings are more like professional opinions than results. Secondly, these studies, being specially commissioned, usually employ different researchers or consultants for each project. This leads to different kinds of data being collected, different strategies and techniques being employed, and often different perspectives or orientations towards development guiding their interpretations. Agencies are, therefore, left with uneven results which are not directly comparable from one area to another or from one program to the next.

While these drawbacks, and others, challenge the exclusive reliance on specially commissioned evaluation studies, some of the alternatives currently being employed have more serious shortcomings. For example, while macro-socioeconomic data at a gross national or regional level (such as per-capita income or infant mortality rates) are sometimes used to justify a project, this kind of data is often of little or no use in identifying specific communities or neighborhoods as target populations, let alone the households most in need or most able to realize the benefits of a development or disaster relief program. There is the additional problem that even the largest and best financed of programs can barely affect national statistics such as GNP or mortality rates in a short time. Reliance on gross national statistics leaves no direct indications (even where changes are registered) that PVO efforts were involved in producing change. In short, while much macro data may be useful in the justification of a program, it is inappropriate for the planning, implementation, and evaluation of projects. To any showing impatience for signs of improvement, such data are usually a dead end.

In other cases where local data is obtained from special studies, it is often only impressionistic in nature and practically always is collected in a different form, using different techniques in each separate incident. Because of their impressionistic nature, the data are subject to the biases of the personnel involved in collecting them. As a result of these facts, data collected from impressionistic, specially commissioned studies by expert consultants is often of questionable comparative value, especially to program managers and those at the general headquarters level.

Undoubtedly, if voluntary agencies are to gauge the accomplishments of their programs, they must have the data from field personnel which can facilitate program planning and evaluation. Not only should the data allow for planning and evaluation, but for the restructuring, re-orienting, shifting or dropping of programs which are not producing the results which the agency desires. Also, the information which is supplied to agency planners should yield data that points to other possible needs, perhaps unanticipated by the agencies.

In order for agencies to accomplish successful program planning and evaluation research, they must be provided with reliable diagnostic tools which can be implemented easily by personnel in the field and which lend themselves to providing baseline data against which to measure change and progress towards the achievement of program goals. The availability of such instruments would also render specially commissioned consultants more valuable, since it would provide a data base from which they can work.

The objective of the research proposed in this paper is to develop a standardized, cross-culturally relevant and methodologically valid instrument for measuring household level socioeconomic well-being. This measure is intended for use by voluntary agencies as a means of evaluating program effectiveness and planning. It is particularly appropriate where programs are directed towards the improvement of domestic life-styles or household development at the lower end of the socioeconomic scale.

INDEX OF DOMESTIC DEVELOPMENT

The general measure being discussed will be called an "Index of Domestic Development." This larger index will consist of several component parts which shall be developed separately. The initial research project will be directed towards creating the first sub-part of a larger measure of domestic development. This first sub-unit will be constructed as an "Index of Domestic Assets" and will measure the type and cost of capital equipment utilized by a household in maintaining its lifestyle.

In a very general sense, most of the programs initiated by voluntary agencies are directed toward improving the socioeconomic well-being of domestic life for the people within a specific area. This is true for programs as specific as those directed at maternal and child health and nutrition and for those broadly directed toward the development of an entire community. While the nations in which these development activities take place represent a diversity of cultures, the household groups around the world in underdeveloped countries share a common condition of having their domestic socioeconomic development restrained.

The level of domestic development of households may be viewed as a function of two factors. First, every household, no matter what the society or what the level of socioeconomic status, utilizes physical objects to perform the various domestic functions necessary to maintaining itself as a viable unit. For example, they all use some kind of facilities, tools or implements to prepare and store food, to furnish water, to dispose of human waste, to provide shelter, etc. These physical facilities utilized to perform household roles and functions represent the household's "domestic assets." As such they form one dimension of domestic development since some households will employ relatively primitive facilities to perform domestic functions as compared to others.

The second dimension of domestic development relates to the actual consumption of goods, services, energy, etc., which characterizes the domestic unit as it utilizes these physical domestic assets. The amount and type of food they consume, the amount and type of energy they use and the amount and type of other consumable as opposed to capital goods utilized on a daily or weekly basis by the household unit also measure the level of domestic development. Some households display low consumption levels of virtually all kinds of goods and services while others consume at a lavish rate.

Obviously the kinds of domestic assets a household owns and the amount and type of goods and services they consume are closely related. To illustrate, the type and amount of energy consumption is related to how food is cooked or how the house is lighted or how perishable food is stored. More important is the fact that the kind of domestic assets employed by a family is a very good indicator of their social and economic well-being relative to other members of their society and for that matter, relative to people from other societies to which they are compared. The health and nutritional status of a family is also closely correlated with the kinds of domestic assets they control. People who have very low levels of domestic assets, which means that they live under the most primitive conditions, are also very likely to have unsatisfactory health and nutritional situations, to have very low incomes, to lack education, to be illiterate, and to be habitually under employed.

Because of these facts, an index of domestic assets is a convenient and relatively simple way to measure a set of conditions important to the welfare of the household unit. Obviously the level of consumption by household members is similarly an indicator of these same conditions.

PLAN FOR SCALE DEVELOPMENT

These two components, assets and consumption, taken together provide an index of domestic development. We propose to develop these indices separately, focusing on the index of domestic assets in the initial research project. This index would measure the costs of capital equipment utilized by the household in maintaining its lifestyle.

John C. Belcher, in several articles appearing in various journals, proposed a functional approach to measuring level of living as a means of creating a cross-culturally useful measure of socioeconomic status at the household level. He reasoned that domestic life around the world requires that certain functions be performed in any household. He argued that alternatives can be found for the way these functions are performed within a given society or between different societies and that these alternatives can be placed on a scale of "technological efficiency." For example, all households face the problem of storing perishable food. If one were to examine how people in any society store perishable food, he would discover that there are many functional alternatives. For example, some households have no specialized food storage facilities whatsoever. Others employ clay pots, baskets, cloth or leather pouches. Others use specialized pieces of furniture such as cabinets and still others use ice boxes. Finally, the richest use gas or electric refrigerators. These various food storage facilities represent part of the household's domestic assets. They constitute the capital equipment used in performing a function and therefore represent an asset used in maintaining a lifestyle. Belcher proposed that these physical assets used in performing household functions can be ranged on a scale measuring their technological efficiency or perhaps their technological complexity.

Thus, with respect to food storage, the items of capital equipment employed by different households could be ranged along a scale as follows.

Technological Level		Food Storage Facility
High	5	Refrigerator
	4	Ice box or ice chest
Medium	3	Wooden cabinet, spring house, cellar
	2	Baskets, jars, pots, boxes, pouches, storage pit
Low	1	No storage facility

He proposed a scale comprised of 14 items designed in a manner similar to that shown above for food storage. The functional areas employed by Belcher were as follows.

		Score
Function 1.	Shelter: construction of exterior walls	
	Brick, concrete block masonry, painted frame	5
	Asbestos or asphalt siding	4
	Unpainted frame	3
	Scrap wood, Coca-cola signs	2
	Grass, leaves, none	1
Function 2.	Shelter: construction of living room floor	
	Finished hardwood, tile, terrazo	5
	Finished or painted softwood, bare concrete	4
	Unfinished hardwoods or softwood with tongue and groove	3
	Wood with cracks	2
	Earth	1
Function 3.	Shelter: construction of roof	
	Concrete, tile, good shingles	5
	Corrugated or sheet metal, warped shingles	4
	Roll roofing, thatch	3
	Straw, Coca-cola sign	2
	None, roof with large holes	1

Function 4.	Storage of water	
	Automatic: house piped	5
	Cistern	4
	Clay barrel designed solely for water storage	3
	Large clay jar	2
	Buckets, tin pails	1
Function 5.	Transportation of water to home	
	Automatic, faucet in home	5
	Hand pump, faucet in yard	4
	Bucket with pulley in yard	3
	Bucket from well or stream in own yard	2
	Carry over 100 yards	1
Function 6.	Lighting	
	Electric fixture, lamps	5
	Electric bare bulb	4
	Carbide or gasoline lantern	3
	Kerosene lamp	2
	Candle, open fireplace	1
Function 7.	Preservation of perishable food	
	Electric or gas refrigerator	5
	Ice box	4
	Spring house, cellar	3
	Window box, clay jar	2
	None	1
Function 8.	Eating: place settings of flatware	
	Over two per person--(set of knife, fork, and spoon)	5
	One to 1.9 per person	4
	One utensil or more per person, but less than one place setting per person	3
	Partial for entire household--fewer utensils than people	2
	None--use hands	1
Function 9.	Disposal of human wastes	
	Flush toilets	5
	Modern pit toilet	4
	Privy	3
	Trench and stick in fence corner	2
	None	1
Function 10.	Transportation	
	Owned or leased automobile; in some situations, a motor boat or airplane	5
	Motorcycle or other small motorized vehicle	4
	Horse with wagon or buggy	3
	Bicycle, horse or mule	2
	Foot only, or public facilities	1

Function 11.	Cooking food: equipment	
	Electric or gas range	5
	Hot plate, kerosene or oil stove	4
	Manufactured wood stove	3
	Clay stove, mud table, hibachi	2
	Three rocks, bare ground	1
Function 12.	Fuel for cooking	
	Electricity or gas	5
	Oil	4
	Wood or charcoal	3
	Small sticks, scrap wood	2
	Weeds, leaves, dung	1
Function 13.	Cleaning floors of home	
	Vacuum cleaner	5
	Electric broom or sweeper	4
	Purchased dust mop and/or good grade broom	3
	Native broom or mop	2
	None	1
Function 14.	Washing dishes	
	Automatic dishwasher	5
	Sink with drain	4
	Dishpan (no sink)	3
	Multipurpose pan: kettle or washpan	2
	Wash in stream or at pump	1

The Belcher scale for level of living scores items as follows. Each item such as food storage contains five functional alternatives. The lowest is scored "1" and the highest "5." The total scale consists of the sum of the 14 individual item scores. A person receiving a score of "1" on each item would receive the lowest possible level of living rating of 14 and it would be known from the scale that this individual had the most primitive lifestyle. The household with the highest level of living would receive a score of 70.

In order to create the Index of Domestic Assets described earlier, a modification of the Belcher scale will be made. This modification is based on experience gained in utilizing the Belcher technique in the Guatemalan

Earthquake Study to measure the effects of the 1976 earthquake and of the reconstruction process. First modification of the Belcher scale will be based on data collected from at least ten different countries representing different cultural areas, and different levels of development. Belcher has already tested his scale in the Dominican Republic, Puerto Rico and rural Georgia. It has also been used by others in other locations.

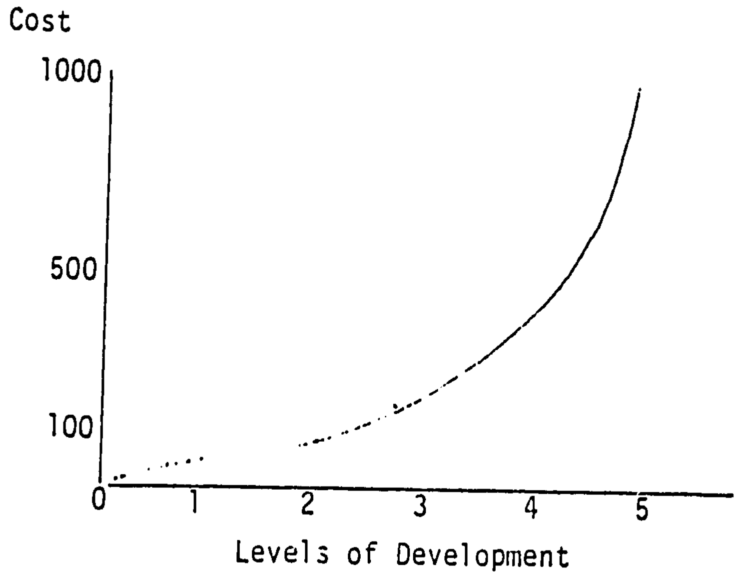
As a basis for arriving at a more widely cross-culturally applicable scale, it is necessary to obtain data from a wider variety of cultural situations. The data would be collected by use of questionnaires to be completed by the field personnel of voluntary agencies operating programs in these countries. The objective of the initial stage of data collection will be to determine what kind of household equipment is used to perform a set of household functions believed to be found in every society. Some of the functions employed by Belcher will be dropped and others added to conform to a new scoring method to be described below.

From these first stage data a set of interview items will be created which employ contents applicable to the whole range of cultural situations found in the ten societies. This is like saying that the objective of the first stage of data collection is to find out the variety of possible ways that food is stored in every society being surveyed and then to list these storage techniques as points on a scale measuring the level of food storage assets found in a given household.

The most important modification of the Belcher scale involves the way in which the scale itself is scored. The work in Guatemala has led to the conclusion that the items on the Belcher scale should not be weighted in an arithmetic progression from one to five but should be weighted on a logarithmic or geometric scale that more accurately reflects the difference in development level implied by the items. The reasoning is as follows. The bottom items on the Belcher scale for each functional area actually cost very little measured in money value or in terms of the labor necessary to manufacture them. In contrast, the items at the top of the scale may cost hundred or even thousands of times as much. For example, in Guatemala a clay pot for use in storing food costs about one dollar, but a refrigerator costs seven or eight hundred dollars.

During the course of the Guatemalan Earthquake Project, cost data were obtained on many of the items from the Belcher scale and it was discovered that the relative cost of the various functional alternatives shown in his individual items results in a characteristic scale which comes very close to a logarithmic progression. That is, the items scored as 1, 2, 3, 4, and 5 on the Belcher scale, when weighted according to money cost, come closer to the progression .1, 1, 10, 100, 1000. This is like saying that the various levels of household development reflected by the scale increase in cost by a geometric ratio. The cost of establishing a household at the lower end of the scale (that is, the cost of buying all of the household equipment necessary to carrying out the normal household functions) is perhaps 1000 times less than at the upper end.

Immediately it can be seen that a theory of how the development process occurs in stages suggests itself. Development may, for present purposes at least, be defined as improving the domestic lifestyles of people in underdeveloped countries so that their human needs are satisfied to a higher degree at a lower human cost. Let us assume that a scale such as that suggested above could be developed and that the scale reflects the cost of the household assets necessary to maintain life at a given level. This scale could, in other words, be thought of as representing levels of development using the Belcher conception of technological efficiency. Suppose it is assumed that five levels of development can be arbitrarily delineated. These levels of development and the costs associated with them could be graphed as follows.



From this graph it can be seen that the cost of moving from development level 1 to development level 2 is relatively small as compared to that of moving from level 4 to level 5.

In the lesser developed societies, most individual households will fall at development level 1 and will have very primitive household assets which they employ in maintaining their domestic lifestyle. The actual cost of moving them up the scale to level 2 will be relatively modest as compared to what will be required to move a household from level 4 to level 5. Small improvements made in household assets will result in a relatively large advancement in household development at this stage. Since the level of household assets is closely associated with various dimensions of quality of life (for example, health, nutrition, infant mortality, the amount of hard physical labor required to maintain life, etc.), these small improvements in assets (measured in terms of their money costs) will pay high dividends in improvement in life satisfaction.

Development agencies conducting programs to improve life in such countries, should be able to measure improvements which are leading to higher levels of development using this scale. Furthermore, these improvements should be relative to the "class" structure of the society. That is, it will be possible to compare how the poor are doing relative to those who are better off since the scale will measure the entire range of household situations in the society.

For example, if the poor progress from level 1 to level 2 while at the same time richer members of the society advance from level 4 to level 5, it will be known that the gap is actually widening between the upper and lower end of the scale. This will be true because it will cost perhaps 500 times as much to move from level 4 to level 5 as between levels 1 and 2.

In order to develop the cross-culturally valid scale, once items are obtained by an initial survey of ten countries, price data on individual items will be sought in order to calibrate the scale in terms of cost of a given set of assets. The objective will be to establish cost figures, which on an average basis represent the amount of scalar distance between the five levels of development for each item. In other words, the multiplier necessary to graduate the scale in terms of cost will be determined on the basis of actual price data. In its finished form the scale will not reflect actual cost but only the ratio between the costs of various items. For example, on the food storage items shown above the Belcher ratios are determined by the progression 1, 2, 3, 4, 5. It is anticipated on the basis of the Guatemalan experience that the average ratios of costs in under developed countries will be based more on the progression .1, 1, 10, 100, 1000 or whatever function is derived from the average cost reflected by field data.

The final stage in the research outlined here will be to employ the scale designed on the basis of the above activities in a survey of households in the ten countries to test its final form and to obtain data on how people who live at various economic levels measure on the scale.

SYMPOSIUM PAPER

Title: AID Impact Evaluation Methodology, using the Tunisia water projects study as a case example

Presenter: Ross Edgar Bigelow
Chief, Operations Division
Latin America/Africa
Office of Private and Voluntary Cooperation
Agency for International Development

Synopsis: AID has conducted a series of impact studies using a similar methodology. The presenter headed a team of AID, CARE and consultant personnel to implement this particular evaluation. In a brief period the team visited a sampling of various project sites. The team then prepared its own assessments, which became part of the cumulative findings of the series for use by AID and the larger development community.

* * *

METHODOLOGY

The evaluation team consisted of six Americans. Two members represented A.I.D. in Washington: the team leader/geographer, from the Office of Private and Voluntary Cooperation; and a lawyer from General Counsel. The team anthropologist, who was fluent in Arabic, was hired under contract in Tunisia. CARE/New York was invited to provide a team participant since it was the project implementation agency; it made available a CARE/Haiti program and wells specialist. In Tunisia, A.I.D. and CARE arranged for additional Arabic speakers: an ex-Peace Corps Volunteer wells specialist, now with CARE/Tunisia; and a Peace Corps Volunteer microbiologist.

In line with the methodology prescribed by the A.I.D. impact evaluation series, this study was done in the field for a period of about three weeks and focused on completed projects that had been supported by A.I.D. The A.I.D. Washington and CARE/Haiti team members participated in a three-day workshop in Washington prior to the field work. Also, an evaluation guidance committee was formed, composed of representatives from various offices of A.I.D. in Washington, CARE and the Peace Corps. The committee met several times before the field work to help the team formulate the evaluation design and questions and after to critically review various drafts of the evaluation report.

The first three days were spent in Tunis to:

--refine the evaluation design and orient the team;
--confirm or arrange logistical support for the field work;
--discuss the evaluation with officials of the ministries of Public Health and Agriculture (Génie Rural);
--brief officials of CARE, Peace Corps and A.I.D./Tunisia;
--prepare and duplicate the data collection form/questionnaire; and
--to select the project areas to be visited.

The evaluation focused on the two older project areas of Bizerte and El Kef, but also included Kairouan because of its very different system of motorized pumps over deep wells. Siliana was given less attention only because of time constraints. Site selection was made by project area from CARE lists of all 325 completed sites.

The sample sites were selected randomly, stratified by type of water point (well or spring) and by geographical distribution among districts within each project area. See the attached table showing sample site selection. The sample included 31 project sites and four non-project sites where observations were made by the team. Interviews were conducted at 30 project sites and four non-project sites. The team had little difficulty finding interviewees at or near all water points, except at one spring used during the summer season where there was no one to be found. Interviews were conducted in Arabic, sometimes in groups and sometimes individually, and included both men and women.

An attempt was made to interview the men and women separately, so that the women would speak more freely; this effort was successful at most sites.

The data were recorded by site on a data collection form which included site observations, questions and answers of beneficiaries, and notes on the sites taken in discussions with officials. (See the data collection form and raw data collations attached to this appendix.) At the end of each site visit all interviewers and other team members would get together to recapitulate information collected on the site through observation and interviews. At times the team divided into two groups to do site visits and interviews of officials at separate locations. Officials at the local and provincial levels were also contacted and interviewed in the field.

The impact of the projects on water potability could not be measured precisely since reliable baseline data did not exist and time and resources did not allow the team to test the water at the sample sites. The MOPH records were used as a surrogate. The evaluation team, however, believes that these MOPH data provide only a rough index to water potability. Quantitative analysis of the data was not possible because the records are presented in qualitative not quantitative terms, i.e., "clean" or "unclean," and the reliability of the data could not be confirmed.

Two weeks were spent in the field. During this period the team met twice in somewhat more reflective sessions to review the progress of the field work, determine whether the questions were being answered adequately, collate data and plan further activities. The team found it very helpful to reconsider the various elements of the project design which had been stated in logical framework terms early in the evaluation process. These field reviews helped the team to keep on track with the work.

The final four days were spent in Tunis to:

--review and collate all data;
--brainstorm and assess lessons learned by the team;
--debrief officials of CARE, Peace Corps and A.I.D./Tunisia; and
--prepare a first draft of the report.

Lessons Learned

1. The impact evaluation series provides an excellent learning opportunity for personnel in A.I.D. An important training function is performed, as intended, even for A.I.D. staff with much experience in development, evaluation research, academics or the field. An agency employee should welcome an opportunity to participate in an impact study.

2. Those who learn most from an evaluation are the evaluators. The Agency and its staff grow from direct participation in the evaluation process. The series also can help to create within A.I.D. a greater constituency for evaluation.

3. The temptation to lengthen the period of field work beyond three weeks should be resisted. The opportunity costs to A.I.D. staff's offices, not to mention the team members, can be considerable. However, the lead-time between team selection and departure for the field should be greater, so that the actual evaluation work can begin as soon as possible after the team arrives in-country. An evaluation guidance committee, like the one used for this study, can increase the efficiency of the team both in these early stages and later in reviewing drafts of the report.

4. A.I.D. should try to recruit new personnel with expertise in language, research skills, and technical specialties, useful to doing the impact evaluations. To the extent that hiring constraints permit, the talent bank of the Agency should be broadened.

5. The majority of A.I.D. staff who have participated in the series are based in Washington. Field staff should be given greater opportunities.

6. Where projects have been implemented by private and voluntary organizations and other intermediaries, the implementing agency should be invited to participate in the evaluation--to learn with A.I.D. as it were. The personnel of the intermediary must be objective, in the same way we expect A.I.D. team members to be objective.

SYMPOSIUM PAPER

Title: The World Neighbor System used to evaluate the progress of its program, illustrated by various specific examples

Presenter: Jim Rugh
Area Representative for West Africa
World Neighbors

Synopsis: World Nighbors has developed an approach to evaluation emphasizing a high degree of participation at the community level. The system involves specific tools for gathering data.

* * *

APPROACHES TO EVALUATION

CASE STUDY: Methods used by World Neighbors for evaluation of each assisted program

A. The Evaluation Process at the Local Level

The process of evaluation begins with the promoters working with families in the communities to which they have been assigned. To use agricultural programs as an illustration, evaluation is a continuous process of getting feedback on results (positive and negative) from small farmers' experimental plots. This is necessary because the promoters and farmers need to learn together which practices are technically appropriate and socially applicable.

At the end of each experiment or harvest period, promoters report results to the program director. These are reviewed by the program director together with the World Neighbors Area Representative and, in consultation with promoters, necessary adjustments are made in the supporting objectives (program activities).

At the end of each year, results obtained during the year are evaluated against the objectives established at the beginning of the year. These results are again discussed with the small farmers in each participating community, to get further feedback on results of the technology, sociological implications or effects, and an assessment of progress toward the long-term goals. On the basis of this feedback, recommendations are formulated for establishing the next year's objectives.

Basically, evaluation is a matter of carrying out one of our slogans-- "Ask the people!" Is the technology working? What good results did it have? What bad effects did it cause? Was it good for all, or just for some? How could it be improved? Then, the people's answers to these questions are compiled by the promoters and extensionists, and incorporated into future program plans.

B. Reporting Objectives and Results

For over seven years now World Neighbors has incorporated a standarized form, called the "Program Profile", which contains condensed information on each of the over 60 local programs it works with, including the goals and specific annual objectives set by the participants in each program. At the end of each year, the progress made towards those objectives is reported on a third page.

Attached is one sample of the use of this program profile form, this one reporting on the World Neighbors-assisted Saboba Family Health Project in north-east Ghana.

The ability to write objectives in nice "Management by Objectives" (MBO) form varies from one program leader to another. World Neighbors Area Representatives do assist in the training of program leaders in MBO, but leave the choice of objectives to the participants in each program. The process is what is important -- local program leaders involving extension staff and beneficiaries in making plans for the next year and measuring their own progress towards the achievement of their objectives by the end of that year. It is therefore not only useful to note the successes in meeting objectives but also to note the progress made from year to year in increasing the participation of the intended beneficiaries in setting objecti\ and in refining those objectives to be more realistic, measurable and significant.

A new program often has objectives which are lofty, general and, especially when reviewed at the end of the year, vague and difficult to measure. Many also tend to state objectives in terms of what activities the program personnel intend to undertake, rather than in terms of results expected at the village level. Program personnel find it useful not only for the sponsoring agency but also for themselves, if they can learn to be more specific in setting objectives, and in measuring their progress towards meeting them. It gives one a sense of accomplishment if objective criteria show that measurable progress is being made at the village level . . . and helps re-direct program activities if the results are not what was intended.

C. Financial Control

World Neighbors usually assists a project over a three to seven year period (aiming at self-support). Decisions are made on a year-to-year basis concerning the parts of the local project budget World Neighbors will finance. Though an annual budget is agreed upon, payments are scheduled on a quarterly basis. Payments can be held back if there is a significant change in the project which would affect the accomplishment of the objectives, or if quarterly progress and financial reports are not received. This provides more of an incentive for local program leaders to continue working and reporting on progress toward the agreed objectives, than does a one-time lump-sum grant.

D. Measuring Results

Stating qualitative objectives in measurable terms is not easy. There is still much to be learned in the area of quantifying the kind of things many rural development programs are working toward, such "an improvement in the quality of life". Though Morris' Physical Quality of Life Index (PQLI) is useful in comparing one country with another, it does not serve well at the local level. Even indices such as yield or net income are not easy to obtain where farmers have not learned to measure or are reticent to report. And where they can be reported, there can be a "yes, but" rejoinder, pointing out that although the farmer is making more money, his children do not appear to be any healthier.

The nutritional status of children is really a "down-stream" measurement of the success of a program ... it is affected by many factors, including food production, improved health care, better nutrition and consciousness on the part of parents of the needs of their children. And the simplest measurement of the nutritional status of children between the ages of 1-5 is the upper arm circumference (see David Morley, See How They Grow).

The Saboba Family Health Project, among others, uses the arm-band measurement to evaluate its effect on the people (children) in the villages it reaches. Project staff take these measurements twice a year: in July (the pre-harvest "hungry season") and February (after the harvest is in). The results are significant and encouraging. Due to nutrition and health education (no imported food hand-outs), the rate of malnutrition as measured by the arm circumferences was reduced last year from 31.8% (62 of 195 children measured) to 16.2% (35 of 216 children measured). Both of those statistics were taken during the "hungry season" in 12 villages, which had only been added to the program in July, 1979. By February, 1981 (after the harvest) it was down to 13.0%. Of course, the rainfall and other effects on the harvest can affect this. But this decline in malnutrition has been decreased consistently over four years in other villages; and the rates in control villages remain significantly higher than those of the villages reached by the program.

The point of this Case Study is not to advocate arm-band measurements as the panacea for the needs of all programs to quantify results. It is rather to indicate that the process itself is of great importance, and that it is possible to find measurements which local program people can take themselves and which can be used as indications (to themselves as well as to interested outsiders) of the progress and significance of their efforts.

Submitted by Jim Rugh

WORLD NEIGHBORS
PROGRAM PROFILE

Fiscal Year 1980-81

*Total Program Budget $ 10,000 ±

WN Participation $ 7,929

GENERAL

Country: Ghana

Date of initiation of WN participation: 7/77

Name of Program: SABOBA FAMILY HEALTH PROJECT
(as stated on Budget)

Local sponsoring organization (Name and address): Ti-Tirtoh Farmers' Society
P.O.Box 3, Saboba, N.R., Ghana

Other agencies assisting this program: Catholic Diocese of Tamale, Christian Mothers' Organization of Ghana

Geographical areas reached: 24 villages within a 15 mile radius around Saboba

Size of population reached by program: 400 women directly (est. 4,000 + indirectly)

PERSONNEL:

(add second page if necessary)

Name	Job Title	Nationality	Full-time WN/Salary	Full-time Other/Salary*	Part-time WN/Salary	Part-time Other/Salary*	Assisted Leader**	Volunteer Leader**
Ms. Denice Williams	Organizer	American	1					
Mr. George Benjab	Assistant	Ghanaian	1					
Mr. Ubindam Barmundo Rockson	"	"	1					
24 village women	Leaders	"						24
24 village women	Assistant Leaders	"						24

CAPSULE DESCRIPTION OF CURRENT PROGRAM, INDICATING WN PARTICIPATION:

The Saboba Family Health Project, along with the near-by family health projects at Yendi and Tatale, is showing that health and nutritional standards can be improved in villages through the training of village women. Working through women's groups, the project staff show how the diets of children (and adults) can be made more nutritious by making better use of locally available foods. Annual surveys in the villages covered have revealed a dramatic decrease in the percentage of malnurished children. The women are also learning to sew, plant vegetables and fruit trees, raise rabbits, manage their own basic pharmacies, and in other ways improve the quality of their lives by working together, even in this very undeveloped area.

The Project Organizer and one assistant visit each of the 24 villages every other week. The other assistant visits each village the alternate week: two villages per day, six days per week. This intensive, continual contact with the women's groups is paying off.

*Refers to budget for specific program described on this form – not necessarily total budget of sponsoring organization.

****DEFINITIONS:**

1. Other/Salary – A paid worker whose salary is furnished by local or other international agency.
2. Assisted Leader – Same as volunteer leader, but may receive reimbursement for transportation, food, lodging, program materials, etc.
3. Volunteer Leader - A person who actively and regularly assists (over and above his or her main occupation) in the promotion of this year's program activities but who receives no remuneration from this program.

Revised 1/77

(over

PROGRAM GOALS AND OBJECTIVES

1. Basic problem (s) to be solved:

   Lack of knowledge and organization to make the best use of available resources.

2. Long term goals (established for solving the basic problems identified in No. 1 above):

   Education of village women in the following: a) improved nutrition using available foodstuffs; b) prevention of common illnesses and better treatment of the sick; c) improved hygine - personal and environmental; d) gardening and animal raising projec to increase the availability of foods rich in protein, vitamins and minerals; and e) ability to do hand sewing in order that each child has a shirt to wear on cold morning

3. Measurable objectives for this year for program being assisted by WN (include dates for accomplishment):

   a. Strengthen the womens' groups in each of the 24 villages reached by the program by encouraging them to meet regularly and by teaching (especially the leaders) improved nutrition, prevention of diseases, improved hygine, gardening and animal raising, sewing, etc.

   b. Through this educational program further reduce the rate of malnutrition (as measured by the arm band circumference) among the children under five years of age from 30% to 20% during the "hungry season" (July 1981) [compared to 50% before the project began].

   c. Involve local midwives in the program by periodically meeting with them and training them how to improve their techniques of delivery in the villages.

4. Supporting objectives (instead of "activities": this will enable us to list the specific steps planned to achieve the objectives in No. 3 above):

   a. The project organizer and one assistant will continue visiting 12 villages one week an 12 other villages the next week; the other assistant will continue visiting villages in a nate weeks so that each of the 24 villages is visited once a week.

   b. Cooperation with the medical clinics at Saboba and Wapuli will continue to be strengthened.

   c. Obtain arm-band and other health and nutritional status measurements after the harvest (January-February) and during the hungry season (July).

PROGRESS ON STATED OBJECTIVES
(to be completed at end of program year)

Date of this report 10/6/81

SABOBA FAMILY HEALTH PROJECT, Ghana

Period covered: July, 1980 (month, year) to June, 1981 (month, year)

Progress and/or changes on each measurable objective noted on page two, No. 3:

a. Excerpts from report covering period of July 1977 - July 1981:
   - The work in the existing 24 villages is making sufficient progress to attempt now to form 12 new groups and to reduce the weekly meetings in the existing villages to bi-monthly visits.
   - Each woman is registered and a record kept of the pregnancies and death of any children. All children under 5 years of age are weighed monthly. Basic medicines are administere to treat such ailments such as cough, fever, headache and diahhrea. Anti-malarial tablets (pryrimethamine) is given once a month, and worm tablets (piperazine) are given 3 times a year. Vitamins are given to malnourished children. Special attention is given to orphans.
   - Pregnant women are sold bandages, razor blades, and small pieces of soap (when available Iron, folic acid and daraprim are sold to the pregnant women.
   - Each group leader is given medicine to use only in case of emergencies.
   - Sewing materials are sold to the women, who are learning basic stitches.
   - Each woman in the class is given a mango seedling and papaya seeds to plant. Tomato, okra, pumpkin, eggplant and cucumber seeds are also distributed. Each group leader was given a leucena seedling last year, and will be given a guava seedling this year.
   - A plain cloth was sold to all women where guinea worm is a problem, to use as a filter for drinking water.
   - Over 1000 women have been registered over the past four years. There has been a weekly attendance of about 250 women. The average group consists of between 15 - 20 women. At times as many as 35 women may attend a class.

b. Malnutrition (as measured by the arm band circumference) among children between 1 - 5 years of age was reduced from 35.4% in July, 1979, to 16.2% in July, 1980, in the villages where work was begun that year. In the villages where work has been carried on since 1977, malnutrition was further reduced from 26.3% to 22.4% from one "hungry season" to the next. In February, 1981 (after the harvest) it was down to 14.6%.

c. Traditional midwives have been identified and advised not only on basic hygienic methods of delivery, but also upon what advice to give to pregnant women and to those who have just delivered.

Progress and/or changes in supporting objectives noted on page two, No. 4:

Supporting objectives:

a. As stated in the objectives, 24 villages were visited each week by members of the team: the project organizer and one assistant visited 12 villages one week and 12 other villages the next week; the other assistant visited the villages on alternate weeks, so that each of these 24 villages was visited once a week on a regular basis.
b. The Saboba Family Health Project compliments the services available at the clinics at Saboba and Wapuli, relying on them as much as possible.
c. Arm-band measurements were taken in July and February.

(Use back of this page for other comments.)

SYMPOSIUM PAPER

Title: Case Study - A participatory evaluation of a peasant regional organization in Honduras

Presenter: Kris Merschrod
Department of Rural Sociology
Cornell University

Synopsis: The presenter participated in an evaluation of five non-governmental organizations, who wanted to assess their program for coordination purposes. This case describes how small farmer organizations can become the implementors of their own evaluation to assess their needs and plan solutions.

* * *

Title: Participation in Evaluation at a Regional Level

Location: Honduras

I. Program Description

This paper describes an effort on the part of a group of peasant leaders, at the regional level, to conduct an evaluation of five non-governmental, rural service organizations for the purpose of coordinating the activities and promotion of the five organizations. Part of the evaluation objective was to establish, at the regional and community levels, the capacity to critically and constructively review programs. In brief, the objective was to increase local participation in program evaluation, review and planning.

In 1974 a representative of a group of peasant organizations came to the Institute seeking assistance concerning a study they wished to do. The leaders of the peasant organizations (radio schools, housewives' clubs, consumer cooperatives, peasant leagues, and an agricultural extension program) wished to "evaluate" their programs so that they could improve them to meet the needs of the members at the community level. All of these programs were private, that is, non-governmental. Support came from the church and other agencies abroad rather than locally. As a matter of fact there was a great deal of local opposition to these organizations from bureaucratic and landed elites.

The degree of opposition was such that some of the agronomists in the extension program wore guns to protect themselves from the hired gunmen of the landlords, and the consumer cooperative trucks were shot up on the road at times by people who did not appreciate the competition they created. In brief, the Department was not, and still is not, a friendly environment for participatory organizations, but that is the context for the work reported herein.

The leaders of the region who requested assistance for the evaluation were, for the most part, people who had participated in some of the programs as members and then had taken over leadership positions. The desire to coordinate their efforts at the regional level was an important step organizationally because these organizations were linked only vertically to the national level; there was no horizontal coordination. As a result, the activities of these organizations were coordinated with national projects rather than specific projects for regional needs.

II. Monitoring Process

Creating a Context

It was decided that I should go to the region to assist them with the evaluation that they wanted to do. I saw this regional evaluation as the first step in a feedback system for information flow from the members in the communities to the regional level which could be used for regional program coordination and design. At the same time, there were personnel and financial limitations in the HSE as well as time constraints. A sampling technique was out of the question because many of the seventy communities involved would probably want community-specific information as well as general regional characteristics for program guides.

Above these rather technical organizational and design questions was the more substantive question of just what did these organizations have as goals and what did they think were the means for attaining them? Given the informality of the organizations at the regional level, one would suspect that their vision of purpose might be different from the national level programs which had publicly stated goals. Thus, a review of documents was out of the question as a means to determining their goals and means beforehand, although familiarity with the national level programs was useful background information.

It appeared that the best tactic would be to use a modified town meeting approach. In this model one is invited by community members to assist in community problem solving. An assembly of interested parties is called and a structured brainstorming session takes place to identify problems, resources available and alternative actions which may lead to a program design or even directly to a solution.

In summary, my strategy was to sit down with the leaders and promoters of these programs and to discuss their programs with them -- goals, means to goals, why the concern for evaluation, etc. At the same time, we would assess the human resources available to conduct a community level survey based upon group discussions in each community if that seemed appropriate to them and in accordance with the reason for the evaluation. As part of a possible agenda for the first of a series of weeklong meetings I included: 1) discussion of program goals, means to these goals, characteristics of each program; 2) concrete questions which would be indicators of an abstract concept which might be a program goal; 3) ideas on how a questionnaire can be used as a data management instrument and as a group discussion guide; 4) some approaches to data manipulation; 5) the conduct of group interviews; and 6) time frame for the actual evaluation.

Upon arrival at the center for the initial session with the local leaders, I found that their perception of my role in the evaluation was quite simple and straightforward: I was to bring them a questionaire and tell them where to administer it. Later I would gather up the information to be processed at the institute. They expected a report as soon as possible with suggestions as to what should be done to improve and coordinate the programs. It seemed that because I had come from an institute known to them, and because one of them had met with me for a half an hour when asking me to work with them, legitimacy had been established, and they were willing to "turn themselves over to me". The possible misuses of the data to come from our study that appeared so obvious to me were of no concern to them at all. When working with organizations such as these, one is actually working with information which can affect the lives of not only regional leaders but also community members working with them. That is their lives can be affected not just in the "socio-economic impact" terms of Title XII of the Foreign Assistance Act, but also in terms of brutal military and paramilitary repression.

Accordingly, I felt it necessary to encourage a greater awareness of the implications of information gathering. I explained who I was and where I had come from, why all of the information that they planned to gather had to remain in their possession and should not be carried off to the capital for analysis, what types of information should not be recorded, why I did not want to know some "facts" or carry off copies of information. My role was only to help them set up an information system and to show them how to manage the information and to help them design programs. They readily agreed with this role and were taken back by their own innocence. This whole area of confidentiality and professional ethics is extremely important when working with any organization, especially now that a major theme in the donor community is direct participation. As participation becomes greater and greater in turbulent environments, there will be tension between the central offices of organizations and the local level, just as there will be an increase in the tension between the marginal population and those who wish to keep them there. It thus becomes even more important to keep much local information at the local level.

The next major stage in the sessions became the discussion of questionnaires, a process which took up a good deal of time. Although their tendency was to expect me to have questionnaires fully prepared, I explained that my role was only to share experiences from other studies as to the form that questionnaires can take so that it is easy for those interviewing and those being interviewed to discuss and record information. The idea that the initial questions should be factual information about the community to "warm up" the group for further discussions was discussed as a means to identifying the members of the group which needed to be brought into the conversation. After all, the idea of the questionnaire was more than information recoding; it was to be used as an instrument in the community, just as our conversations were in the sessions, to bring about an analysis of their situations and to raise their consciousness at the community level. True, the formal objective of the evaluation was to consolidate information, but just as the programs being analysed were aimed at local initiative and participation, so too could the evaluation process. And just as the regional leaders were attempting to coordinate their activities and programs ia information systems, so, too, by facilitating discussion within the community, it would be possible to improve the verbal communication between members and leaders on the same issues. Thus we broadened the purpose of the evaulation - it was not to be an exercise produced by outsiders who would produce a final report at a later date, but an interactive process with immediate feedback at the community and regional levels.

We went over the problem of objectivity on the part of the interviewers, and the problem of leading questions and remarks so that the team of interviewers would be aware of the consequences of the discussions to be held concerning the organizations and the work being done in the communities. The conclusion was that each section of the questionnaire would be completed and used as an introduction to discussion. One should be aware that in the context of the regional team there was an ideological commitment to the concept of self criticism. Furthermore, because it was a form of self-evaluation those involved did not have to be concerned that someone "above" them in a bureaucracy would be studying the findings which could be used "against" them. As for the sensitizing that would accompany the group discussion approach, it would be helpful rather than harmful (as might be the case in some survey designs) because one of our basic goals was to stimulate awareness and a critical analysis at the community level. In short, the evaluation process was to be part of the social formation process of the five programs being evaluated. In each community, leaders of the five organizations would form a committee for further discussion of community problems, conditions, and the part that the organizations could play in the solutions to community problems. The regional leaders wanted the communities to make demands upon their programs and to suggest alternatives as well as specific problems to be solved.

Once these preliminary plans for the scope and objectives of the evaluation were agreed upon we began the task of the questionnaire. The first suggestion from the group was to divide into groups according to organizational affiliation so that those who were most familiar with each organization's program would be working on the de- nition of their goals and the description of their means. They felt that this would be the most expedient approach. But because one of the goals of the evaluation was to coordinate activities between organizations and programs it was suggested that we work through each program as a group so that the members from each organization would begin to know the other program in detail. It would be an exchange of vocabulary and definition as well as purpose.

We began the discussions with the peasant leagues, and they proudly stated that the overall goal of the organization and the programs was Liberacion Campesina (peasant liberation). There were nods of agreement all around the circle in which we sat. Needless to say we were beginning at the abstract level. From here we discussed how we could ask a question to a community group such as, "Has the peasantry of this community become more liberated since the league formed here?" Immediately everyone agreed that the definition needed working on and that, perhaps, by going over the activities of the leagues and the programs which were being promoted, we could identify questions which would help fill out the meaning of liberation.

The housewives' club came forth with Liberacion Feminina (Women's Liberation) and the men chuckled over it. The conditions of the meeting at that moment were perfect for the discussion of women's liberation because one of the male members had stepped out for cigarettes and upon return he went around the circle offering cigarettes to men only! The session paused as they sometimes do when coffee or cigarettes are offered at meetings, but this pause was broken by women saying "Ah, what about us?" The poor fellow who had gone out for the cigarettes had missed the definitional statement about women's liberation (equality, etc.), but this action abruptly brought the meaning into practice and down from the theoretical level. He went for more cigarettes. It was in this way that we operationalized the broad, abstract goals of the programs and came upon indicators for the questionnaire. At the same time, the members of the organizations began to gain a deeper understanding of the problems of the other organizations and to see how they could be coordinated ideologically.

By the end of the first week a compact questionnaire had been designed. It was decided that all of the communities would be included in the evaluation. Because we had designed the questionnaire as a group, that is, not broken up into groups by organization to produce separate questionnaires, any member of the group could go to a community to conduct the interview/discussion. In this way the approximately 20 leaders at the regional level could easily cover the seventy communities in the evaluation. It also meant that all of the regional leaders would have heard the statement of members and leaders of all of the organizations in at least some of the communities. They felt that in four weeks all of the interviews could be done and so that two months later, just prior to the end of the year, I should return to assist with the tabulation and analysis. This fit into the national framework of year-end reviews of the organizations and this region would have a concise and studied position paper to present at the planning sessions for the coming year.

Assessing Information

Upon return at the end of the year it was found that they had carried out the study as planned. A few communities had not been covered, but a few which had not been on the initial list were later identified and brought into the study. Upon final typing of the questionnaire they had discovered omissions and questions that did not seem adequate and they had changed them accordingly. These changes indicated that they were thoughtfully working on the task at hand and that they had maintained a critical attitude toward group work. There was no mystery behind "evaluation technology".

In the tabulation process we used simple frequencies at first to compare responses across organizations and to see what the regional strengths and weaknesses were. We were also able to identify communities with specific problems and make note of them for the coming year's promotional activities. The tabulation stage, which is often processed by machine, or personnel not involved with analysis, also became a session for analysis. We were able to discuss conditions in specific communities because the person who had conducted the interview/discussion was there to relate more details. Also, where there was more than one organization in a given community, the regional team had at least one member who had been working with that community and a more thorough analysis could be carried out.

Refining Objectives

One of the specific concerns of the organizations was leadership in the communities. We wished to identify the communities which needed leadership training programs to broaden the responsibilities within communities and to make them less dependent upon a few people. One problem with few leaders in a community is that the leaders complain of the burden uopn them. The interviews were to ascertain the number of leaders in each community and simply note the ratio of leaders to organizations, but the regional group insisted upon noting the names of all leaders and their organization on the first page of the questionnaire. They felt that this was very important information for future work with the communities. It was also very risky information to have in one central location. I tried to strike a compromise with them to the effect that after the first round of tabulations the information would be reduced to a ratio and the first page burned, but in subsequent visits the information was always intact. At any rate we had the information for leadership training programs for the following year. The incident points out that the urge to hold onto every bit of information is not limited even where such information can be risky for the security of an organization.

Another concern was with which types of organizations should be promoted in which communities in the coming year. I had a related hypothesis that cooperatives worked better in communities with many organizations than in communities with few organizations. In order to test this hypothesis and address the concern, we began by preparing frequency distributions of the number of organizations in each of the communities and the number of communities with each type of organization. We then used a large sheet of newsprint to put the ordered (cross-tabulated) frequency distribution (scalogram) on the wall. The step-like appearance of the distribution was ample to demonstrate that the organization did indeed have a unidimensional growth pattern. That is, there was a clear order as to when each type of organization appeared in the community. This aided the promoter in deciding which organizations should be promoted next. We then discussed what the date meant. For example, why were some communities more active than others? What substitutes did some communities have for the organizations? Answers to these questions also explained some of the outliers to the scalogram's step-like pattern.

The next step in testing my hypothesis was to ask team members to describe how well the cooperatives were working and to classify them with a "good" or "bad" rating. After circling the good cooperatives on the scalogram, a line was drawn between the good and bad cooperatives. Above the line were the communities with many organizations and below were communities with few organizations. The hypothesis was graphically and intuitively supported by this method which did not use any statistical techniques for which more formal training (beyond the level of the members) was required.

The promotional work for the following year was to focus on filling in the scale and moving communities up the scale, with the promoters coordinating the effort. The idea was that as the promoter of organizations below a given scale step found that there was an expressed need for a higher level organization, that promoter would contact the promoter of the next organization on the scale and together they would go over the background of the community and introduce the new promoter to the community. In this way there would be less haphazard promotion and more coordination. Plus, the organizations would be able to pass on information to each other concerning particular aspects of given communities. This would save the scarce resources (human and material) usually spent in random promotional activities.

Prior to my second planning visit the following year the regional team telegrammed to advise me that the meeting would be postponed a week or so because most of the team was going to be involved in a nationwide hunger march upon the capital city. Thus, I was not there when a local coalition of landlords, local bureaucrats and a bribed major with his troops stormed the center in which the organization had their meetings. In all, fifteen people were killed, including the regional coordinator of the radio schools, the leader of the consumer cooperatives, the watchhouseman, promoters of the peasant leagues, peasants, a couple of priests and several bystanders. The army burned all printed material found at the center, and fortunately, all the key names that had been saved went up in smoke. The fear engendered in the communities by this incident lasted for years, as the organizations slowly began to rebuild. Those who survived from the regional team and who managed to return were the basis for an assessment of the local conditions. In the communities there remained those who had begun the community discussions; they could continue to assess their needs and plan solutions.

III. Lessons Learned

There are at least two major lessons to be drawn from this experience. The first is that local communities can conduct effective program evaluation, even when all the "evaluators" have no formal training. If properly organized, in fact, the participants can arrive at much more insightful assessments of program effectiveness than any formally-trained outside team of professionals.

The second lesson is that participation does not come easily. When grass roots organizations form and begin to inquire into the conditions that maintain the status quo, however innocuous their inquiries may seem, it must be expected that those who have benefited from that status quo will react, sometimes violently.

Adapted from an article prepared by KRIS MERSCHROD of the Department of Rural Sociology at Cornell University. The experience described occurred while he worked with IISE (Instituto de Investigaciones Socio-Economicos)

SYMPOSIUM PAPER

Title: MAP International's project tracking system and its use in assessing impact of small development projects

Presenter: Merrill Ewert
Director, Nonformal Education
MAP International

Synopsis: MAP's system provides a systematic way to track a number of small development projects simultaneously. The system emphasizes community participation and involves a specific series of data-gathering instruments implemented in the field as part of a process of dialogue between PVO and the community.

* * *

Project Tracking System

Development assistance often takes the form of project activity. As projects are implemented, it is important to keep track of what is happening. The Project Tracking System provides a systematic way to track a number of development projects simultaneously, uniformly and analytically. The process will aid mid-course attunement of projects, provide information for accountability and facilitate organizational learning from project activity.

Focus

The Project Tracking System focuses on small development projects implemented at the community level by local organizations.

Assumptions

The Project Tracking System is designed on the following assumptions.

1. Development at the community level has to do with people becoming more able and active in doing something about their own needs.

2. Development is learning. Change within people is more important than change outside people.

3. Learning is a function of reflection which leads to action which then stimulates more reflection. Project activities should rise out of community reflection, not external imposition.

4. Development learning begins long before project activities are initiated.

Critical Indicators

Project success--achieving pre-stated objectives--is not the best indicator of development. Better indicators are:

1. Clusters of self-initiated activities.

2. Local people making development decisions for themselves.

3. Local responsibility and management and decreasing dependence on external personnel and financial resources.

4. Local resource commitment, i.e. money, savings, land, labor, etc.

MAP International
P. O. Box 50
Wheaton, IL 60187

Overview

The Project Tracking System is composed of the following:

1. A series of forms which (a) highlight critical issues, (b) record information in a uniform fashion and (c) serve as tools to stimulate dialogue and evaluative thinking.

2. Dialogue between a development facilitator and local project leaders.

3. A schedule to regularize evaluation activities, information-collection and recording, and reporting.

4. Project files kept individually for each project containing the series of forms plus other relevant material.

The tracking process begins in the field.

First contact. When a project idea is first presented to the development agency, a First Contact Form (FCF) is completed and the project is rated using the Codes form (a six page form.) A project file is established to hold the documents.

Project investigation. Later, preferably at the project site, the field representative will inquire more fully into the project. A Project Investigation Form (PIF) will be completed and the project rated a second time using the same Codes form used at the first contact.

Planning. The project is formalized using a Program Design Frame (PDF). Budget projections and sources are outlined on the Budget Outline and Disbursement Schedule. Once again, the project is rated using the Codes form.

Review. Every six months the field representative will meet with local leaders to review the project and discuss project modifications. The Codes form will be used to guide the dialogue and the project will be rated on that form at each review session. The field representative and project leaders will discuss and interpret changes in rating scores on the Codes form. By this time the project has been rated three or four times and some change (or non-change) should be noticeable. Review sessions should produce dialogue as well as data.

Reporting. A Completion Report will be written at the end of every project. Projects will be listed on the Project Clusters form to show how communities move beyond an initial project to deal with other needs. The Project Clusters form will be photocopied twice a year and sent to headquarters. The Codes scores for each project will be logged onto a Projects Composit form and sent to headquarters every six months.

Project Tracking documents will be sent to headquarters every six months from all field representatives where they will be processed centrally.

Project Log. Headquarters will keep a comprehensive list of projects for each region on the *Project Log*.

File. Two files will be established for each project to house tracking documents--one in the regional office and one at headquarters.

Schedule. Headquarters will establish a schedule and trigger the tracking cycle by sending reminder notices as needed.

Summary. Information from the Projects Composit will be summarized at headquarters on a *Project Development Chart* for each project. Copies of Project Cluster forms from each region will be retained in one place for review and report-writing.

Reporting. A written report will be prepared annually by headquarters staff for presentation to the board, staff and donors.

APPROACHES TO EVALUATION

Second in a series:
A WORKSHOP ON IMPACT EVALUATION

SYMPOSIUM PAPER

Title: Technoserve's Social Impact Analysis Vehicles for Small-Scale Enterprise Development

Presenter: Jim Herne
Program Officer - Africa Division
Technoserve

Synopsis: Technoserve has developed an approach to measuring social impact of its programs which assist small-scale enterprise. It has concentrated on three basic tools: social profile, social survey/analysis and case studies.

* * *

SOCIAL IMPACT ANALYSIS VEHICLES AND THEIR RELATION TO TECHNOSERVE DEVELOPMENT PROCESS

Three types of approaches to social data gathering are proposed: Indicative Social Profile, Social Survey/Analysis, and Case Study. Their place in the Technoserve project review process will be discussed.

A. Indicative Social Profile (see Appendix B)

An "Indicative Social Profile" is desirable to gather social data for the "PPR" and Termination Report, (and a possible post-project follow-up visit) for all "major" projects, unless Management has decided that a more extensive Social Survey is to be undertaken or special circumstances dictate its postponement.

At the "PPR" stage it is difficult, if not impossible, to carry out full-fledged social analysis of a project. Nor is it advisable to commit the substantial resources needed to generate extensive socio-economic data at this stage of the evolution of a project. Yet, Technoserve project selection prcedures require that adequate social information be available to field officers and the Management Committee to enable them to make a decision on whether to carry out a full project study.

At the end of a project it is also difficult to carry out full-fledged social analysis if no basis for comparison has been compiled previously. Yet, some estimation of the social benefits of the project is needed to give an overall picture of the scope and effectiveness of Technoserve intervention.

In the absence of an extensive Social Survey and to meet the need for social data on the project at the initiation and conclusion of a major project, an "Indicative Social Profile" of the project will be required. This profile will include:

1. a historical background of the project including its objectives.
2. a broad statement of the social and economic characteristics of the membership.
3. a statement of the social significance of the project.

The profile should, as far as possible, set the project within its social setting by utilizing as much of the already existing data on the region or country as possible. Indicative data is only suggestive and is not required to be scientifically rigorous, nor is the methodology of collecting it subject to the strict canons of sociological research. However, it should be accurate and sensible. Interviewing key informants plus a statement describing the social and economic setting of the project would suffice.

Indicative social profiles should be prepared by the Technoserve project manager/advisor or in the case of a PPR, by the country program staff assigned to the project. Project staff should receive guidance on method and content when necessary from the country impact specialist. Cost may require some transfer of expertise across countries. However, it must be fully recognized that this may result in less objective data as cultural bias and values will also be transferred. Field officers are not researchers. They should, nonetheless, be keen observers. They need to have a social "feel" for the project sponsors by visiting their homes, recording with their eyes, not note-books, what they see and estimating the social status of the project sponsors. A visit to a household by a keen observer may reveal more about the socio-economic situation of the household by the kind of household goods the observer sees than by complex social research.

Further elaboration of the possible content and methodology of the Indicative Social Profile are attached as Appendix B.

B. <u>Social Survey/Analysis: (Base-Line Survey - Appendix C)</u>

In order to gain a better understanding of the social impact of Technoserve's work we will at times go beyond the initial indicative profile required at the start of all major projects to more detailed analysis. Such analysis would be used at two (or possible three) stages: at the beginning of full-time Technoserve assistance under contract (Base-Line Social Survey), possibly at mid-term in a long-term project (Mid-Term Social Survey), and at the end (as part of the Termination Report). At first a base-line survey is conducted and then subsequent surveys/analyses are based on and related to it.

The purpose of socio-economic base-line analysis of a project is to:

(a) Determine the social characteristics of a project at the point of Technoserve intervention where
(b) such a determination acts as the comparative yardstick for measuring the impact of the Technoserve intervention on these characteristics at a future point, where that point may be mid-term, end-of-project or post project and
(c) specify the institutional environment in which the project operates and focusing on existing constraints and supports.

The baseline survey analysis consists of the collection of social and institutional data pertaining to the project, data which describes the socio-economic charteristics of a project and its membership prior to the provision of Technoserve assistance.

Similar data is collected and analyzed during or after the Technoserve contribution and the two (or more) sets of data compared and contrasted gauging the extent to which the assistance has altered the pre-Technoserve social character of the project and its environment.

Thus, a base-line analysis yields much useful and detailed information on the pre-existing social situation of a project.

However, it is only the first stage in a two or multi-stage analysis and can only realize its full potential if and when comparative data on the other stages is collected and analyzed. The usefulness of the base-line analysis as the basis for measuring and documenting change should be apparent. Equally apparent is the need to collect and analyze comparative data either during the life of Technoserve assistance or at its end.

Unlike the indicative Social Profile, base-line survey/analysis must be scientifically rigorous where rigour is determined by a rational/scientific methodology (utilizing statistical methods) in the selection of the socio-economic data collected and analyzed. Such a methodology should be carefully designed to avoid spurious correlations and focus simply on an identification and measurement of the changes in the social situation of the participant membership and in the institutional infrastructure within which the project exists arising from Technoserve assistance.

Base-line social analyses of projects are expensive. More so since they require at least a second stage to generate comparative data. Yet, with the exception of the more expensive Case Study approach discussed below, they are the only scientifically rigorous approaches for convincingly documenting and measuring Technoserve's social impact. Of course, the design of the base-line survey as well as the nature of the project, can significantly influence costs. It is not necessary or possible to carry out base-line social surveys of all Technoserve assisted projects. Technoserve management will decide where such analyses are most appropriate guided by the magnitude and duration of the company's assistance and the social significance of the project for the target population and/or sector. It is possible to group related projects together and then conduct a base-line study on one project from the set. But, and this should be noted, it shall be impossible to carry out scientifically rigorous end-of-project social impact analyses without project base-line analyses. When a base-line survey is made a commitment to perform an end of project survey/analysis is also made, unless extraordinary circumstances prevent its conduct.

The decision on which projects to do the social surveys will be made by the Regional V.P. in consultation with the relevant CPD and impact analyst and the President, with final refusal resting with the CPD.

As with the social profile, the survey will be conducted by trained host country national impact analysts who report to the CPD, or an interim substitute designated by the V.P. in consultation with the relevant CPD.

C. Case Study (Appendix D)

While base-line, end-of-project analyses allow us to measure the changes occuring in specified indicators in a project at different points in the project's development, they still fall short of providing a complete historical story of social impact. They are skeletons without flesh and blood; without life.

It often happens, too, that Technoserve provides assistance to similar projects - Technoserve assistance to savings and credit societies in Kenya is a ready example. Use of base-line and end-of-project analyses in every such case can only add to masses of similar data without appreciably increasing our knowledge of impact. It then becomes advisable and appropriate to select one of the projects for an exhaustive, in-depth historical survey as an illustration of what could be assumed to be taking place in projects.

A case study is a wide-ranging historical study which employs the various forms of survey described above to provide as complete and total a picture of the project and its socio-economic effects as possible. Properly designed it constitutes "the project in its setting" where its importance lies not in the specific case examined but in the light it sheds on the sector in which the projects are located. To this extent it allows the researchers to focus more on the wider institutional and environmental constraints and their effects than is possible under any other form of social analysis. Further, a case study, allows the researcher to draw on a wide range of relevant data, not necessarily arising from the project, and to make generalizations and inferences. However, its core revolves around using data on the project to illustrate the wider phenomenon and to raise wider development issues.

Further, a case study cannot focus only on socio-economic effects, rather it must describe exhaustively the nature and kind of Technoserve management and technical contribution in comparison with what existed prior to Technoserve and examine the effects of the contribution on both the specific project and its institutional infrastructure.

Case studies are complex and expensive. They will require specialized Technoserve staff and possibly assistance from outside research assistants. In all situations Technoserve will be in charge of the case study process. In addition, the full cooperation of project participants is crucial to the conduct of such a study.

As with the rest of the social impact analysis vehicles, the decision to conduct a case study rests with the V.P. in consultation with the President while allowing the relevant CPD the right to veto such a decision if local conditions do not favour the effort. It is possible that supplemental resources may be necessary to carry out such a study, whereupon proposals will be channelled through the normal approval process at the corporate level.

APPROACHES TO EVALUATION

Second in a series:
A WORKSHOP ON
IMPACT EVALUATION

SYMPOSIUM PAPER

Title: Case Study - Impact evaluation studies of a model nutrition education project in Wonseong County, Korea

Presenter: Kathryn W. Shack
Associate Program Director for
Nutrition Planning
Meals for Millions/Freedom from Hunger Foundation

Synopsis: MFM/FFH did a series of annual evaluations from 1978-81 including comprehensive nutrition surveys implemented in collaboration with the government and university, to determine the program's impact on the county s 13,000 rural population.

*　　*　　*

I. PROJECT GOAL AND OBJECTIVES

A. Goal: The goal of this three-year project is to improve the nutritional status of Korea's rural population by demonstrating a school-community based education outreach system.

B. Objectives: The project has two major objectives.

1. First to provide nutrition education to the total population (approximately 64,000) of Wonseong County in Korea. This will be accomplished through a network of training programs and consciousness raising campaigns.

2. The second major objective is to raise the awareness of the national government about the importance of nutrition and the effectiveness of this program in particular. It is hoped that this demonstration project will serve as a model to the national government.

The first objective will be accomplished by training the following groups or individuals to provide nutrition information:

a. Female primary school teachers (64) - teach primary school students. There are approximately 5,000 primary school children who will be taught once a week during a free day already allotted for special education.

b. Village social workers (51) - teach individual families and at group meetings, e.g., Mothers' clubs.

c. The local Homeland Reserve Forces also receive nutrition education because the male head of the household decides how the family's money is spent and what crops are planted.

d Saemaul Leaders (250) - meet with individual families and larger groups.

e. The County Nutrition Officer will receive intensive training throughout the life of the project so he or she can coordinate the entire county training program at the end of the project's training period (3 years).

To assist in the above training, two manuals and accompanying workbooks will be developed. One manual will assist in training the elementary school teachers, and stress very basic nutrition education information and methods to teach school children. The other manual will stress village level training and include simple health, family planning, sanitation, home gardening, home food processing, home food storage, and nutrition information. Visual aids will be developed and collected throughout the life of the project.

Local television will be used along with very simple printed materials, an annual county fair and school contests will be held to raise the consciousness of the general population regarding the importance of good nutrition.

The second objective will be accomplished by a concerted effort on the part of MFM/FFH's Asia Program Director and MFM/FFH's Nutrition Education Project Director. This model of a Nutrition Educational System once implemented and proved to be successful will be submitted to the Economic Planning Board (EPB) with a specific request that it be included in the next five-year National Economic Development Plan, amalgamating the nutrition education efforts of the following ministries:

a. Ministry of Healtn and Social Affairs
b. Ministry of Agriculture & Fisheries (Office of Rural Development)
c. Ministry of Education

II. MONITORING AND EVALUATION

Project evaluations are conducted for several reasons, but we believe the most meaningful evaluations are those which serve as both educational tools for the target population and as a feedback system for the project's managers. We, therefore, have designed a series of monitoring and evaluation systems that function throughout the life of the project and interrelate with each other to benefit the target population as well as the managers.

Wonseong County consists of 13,500 families or 64,000 people. All of these people comprise the target population for this project. The most vulnerable groups in any population are the preschool age (0-6 years) child, and the pregnant and lactating women; therefore, we have chosen to focus on these two groups as a mirror of the nutritional status of the family. The most vulnerable groups will be surveyed at regular intervals throughout the life of the project.

Nutrition surveys conducted in the rural areas of Korea indicate that the following nutrients are the most deficient: good quality protein, vitamin A, vitamin C (seasonally), riboflavin, and calcium. A well-balanced weaning diet is also lacking and nutritional anemias are common. Because of the above nutritional problems, this project's monitoring system centers around the measurement of the consumption of beans, green and yellow vegetables, fruits, small dried fish and a well-balanced weaning diet. The consumption of these foods will be measured every year. The project's monitoring system involves approximately 20,000 preschool age children and 2,500 pregnant and lactating women. Each social worker will be responsible for about 10 families (chosen randomly) or approximately 75 preschool children and nine pregnant and lactating women - a total of 2,340 people will be surveyed.

The following is an outline of the system to be followed by each social worker:

<u>Once every 3 months</u>:

Every tenth house is visited to record the height, weight, age and arm circumference of every preschool age child. (The height and weights of the pregnant women are also recorded.)

<u>Once every 12 months</u>:

Every home mentioned above is involved in a 24-hour dietary recall on every preschool child and pregnant or lactating woman. To facilitate this survey, the family is issued a set of standardized dishes. The survey stresses quantities and analyzes amounts of beans, green and yellow vegetables, fruits, whole dried fish and weaning diets consumed.

In addition to the monitoring conducted by the social workers:

<u>Once every other 12 months</u>:

The Department of Nutrition & Biochemistry of Korea University, College of Medicine, will evaluate the nutritional status of the entire family. A pilot survey was conducted in July of 1976 and a baseline survey will be conducted in July of 1978 before the nutrition education program starts its training. This survey will include a village in a neighboring area as a control.

Another evaluation and monitoring tool for the project is the MFM/FFH Nutrition Education Advisory Committee. This committee will meet every three months starting in March 1978 to assess the progress of the project.

III. LESSONS LEARNED RELEVANT TO MONITORING & EVALUATION

The importance of:

A. Using evaluation data as tools for education, and sharing evaluations with the target population.

B. Training project staff to conduct evaluations and then use the evaluations to adjust the project.

C. Selecting an outside body to monitor the project's progress - in this case, the Advisory Committee.

D. Having an outside evaluation conducted towards the end of the project.

SYMPOSIUM PAPER

Title: Case Study - Evaluation of the Tin Aicha nomad resettlement project in Mali

Presenter: Patricia Hunt
Coordinator·Africa Program
American Friends Service Committee

Synopsis: AFSC conducted an evaluation of their program to assist nomads stemming from the Sahelian drought in 1974. Four evaluators, most from the region, did field evaluations over several years, which consequently served for AFSC to draw up key lessons for its future program planning.

* * *

American Friends Service Committee

1501 Cherry Street, Philadelphia, Pennsylvania 19102 • Phone (215) 241-7000

Stephen G. Cary
Chairperson

Asia A. Bennett
Executive Secretary

Colin W. Bell
Executive Secretary Emeritus

EXTRACT FROM THE AFSC TIN AICHA REPORT

In response to the suffering caused by the Sahelian drought of 1968-1974, the American Friends Service Committee and the Government of Mali cooperated in a rehabilitation project for nomad families along the shores of Lake Faguibine. Beginning in 1974, the AFSC provided a resident representative and project funds, while the government secured arable land, emergency food and medical supplies, and provided Malian technical staff. By 1975, more than 200 families--1,000 people--had chosen to settle in Tin Aicha. A full report of Tin Aicha will be published in August 1981. The last chapter, "Assessment and Conclusions," has been drafted, and is attached for your interest.

The Malian Government, the residents of Tin Aicha, and the AFSC all considered the project an experiment. In order to help measure the results of the experiment, the AFSC asked two local nomad leaders to assess the results. Mr. Ambery Ag Rhissa, director of schools for the region, spent the summer of 1977 interviewing Tin Aicha residents and recording their views. Mr. Oumarow Ag Mohammed Ibrahim, school director for Tin Aicha, assessed the later stage of the project in 1980. These evaluations are included in Part One of the Assessment and Conclusions attached. This section also summarizes the impressions of the two AFSC representatives: Eva Mysliwiec, who served from 1974 to 1977; and Steve Morrissey, who served from 1977 to 1980.

Part Two of the Assessment and Conclusions is drawn from discussions held by the Africa Committee which sets program policy, and Philadelphia staff. The Tin Aicha reports and evaluations were reviewed, and a number of "Lessons and Conclusions (for Planners)" were noted.

The AFSC records this experience in the expectation that the lessons learned will guide planners of other AFSC programs. It is hoped that these lessons will also prove useful to others who are considering ways to cooperate in development projects.

May, 1981

ASSESSMENT AND CONCLUSIONS

PART ONE

Evaluation in the Field

All four field evaluators agree that Tin Aicha has offered participants a framework from which to make conscious choices, and resources to support those choices. It has enabled a group of nomad drought refugees to regain their dignity and the respect of others, to establish an identity without compromising their cultural values, and to acquire the skills to become self-sufficient. All evaluators agree with the report of the UN, which stated, "Development can only arise from the heart of each society. It is based on what the human group possesses--its natural environment, its cultural heritage, and the creativity of the men and women who make it up."

The village of Tin Aicha has adopted a farming-herding mix that has generated an undeniable improvement in the economy. Improved health services, agriculture, production, and education have resulted from the contributions and expertise of the project staff and of the villagers. Village initiative has spurred cohesiveness and stability: a mosque, on-going adult education, a youth group. "Part of the process of developing Tin Aicha," said Eva Mysliwiec, "included learning to recognize and deal with stereotypes and racism, building trust and respect, accepting responsibility by shifting power from an administrative level to a village level, and gradually opening minds through communication and dialogue."

Tin Aicha's administrative services, school, and dispensary have made the village a center for all of North Faguibine, nomadic and sedentary, so that the project has had an impact beyond the population of the village.

"We think that faith in success," said Ambery, "is one of the first conditions of success." Certainly the Tin Aichans had that first condition. Even through setbacks, their faith that one day the village would be a success was maintained.

Although all four field evaluators, the nomads, and the Mali Government, considered the project to be an overall success, each is able to point to some failures. One of the major shortcomings of the project was seen to be the initial choice of livestock. Others were the methods of purchasing and distributing the livestock, and the low involvement of the nomads in the very early decision-making processes. "The voice of the population was little heard in project design," Steve Morrissey said, "although project implementation did absorb local opinion." The village felt frustrated in the face of practices that they felt to be mistaken, but they would not express these feelings, as this would have been inappropriate, they thought, in light of their great good fortune in receiving the benefits of the project.

Another disadvantage was Tin Aicha's placement: on insufficient land, and isolated from local and district government centers. Tin Aicha farmers said, "The land which we were given would have been sufficient if it had been chosen in fertile areas. But, in fact, the most productive part of the land, the part with the most alluvial soil, is still under water. The same is not true in other areas which we know well along the shores of Lake Faguibine."

Introduction of some changes may have been too rapid, such as the introduction of new agricultural techniques to people for whom farming itself was a new experience. Project objectives often assumed that Tin Aicha had a typical nomad population, and it does not. Tin Aicha's first residents came from a relief camp, where feelings of dependency and then abandonment were common. "The people live in a different psychological environment," said Ambery. "Others treat them as the 'disaster-struck,' which reminds them of their economic insufficiencies and their days in the welfare camps, where they felt like beggars. Tin Aichans note, however, that 'those who call us refugees do not hesitate to accept our hospitality when they pass by our village.'"

Livestock

As stated, one of the first problems the project encountered was the initial purchase of livestock. In part, this could have been avoided by closer consultation with the recipients of the livestock very early in the project design. "If they had asked our advice, and told us we could not have goats, we would have asked for donkeys for transport instead of ewes," a herdsman said. Not only were sheep in general poorly suited to the harsh environment, but merino sheep, which were selected at first, were considered particularly ill-suited to the rigors of desert life.

The choice of animals purchased remains "a debatable point," said Ibrahim. A sheep costs twice as much as a goat, drinks more water, eats more, and is more susceptible to disease than a goat, which can live under almost any conditions. The argument that goats contribute to desertification by eating what little shrubbery is available has also been challenged. The fact that sheep bring more money in when they are sold made little difference to a people which sells its animals only rarely, and not when it can be avoided.

The quality of cattle purchased has also been criticized. Initial purchases included aged and dry cows, and the error was compounded when calves bought to replace them could not reproduce for up to three years, forcing some families to sell them for badly-needed cash before they could benefit from any offspring.

As these problems have been pointed out, and as local input has increased, many of the problems have been corrected or overcome. Families granted three cows and three sheep now have twelve cows and fourteen sheep; other families have traded their livestock for donkeys, which they use to transport gum arabic for trade.

Land

Though the land is unfortunately not fertile enough fully to support the families to whom it is allotted, the people are still more attached to their land than to anything else. "The greatest punishment conceivable is the forfeit of one's land," Ibrahim said. The nomads, who previously considered farming to be demeaning and who put down their tools, pretending to be just passing through, when outsiders came into sight, soon reached the point where working the fields was, if not a source of pride, then at least not a source of shame. Members of the community worked a demonstration plot started by an agricultural extension agent, and proceeds from the produce grown in the plot were used to buy agricultural equipment.

Rice and sorghum are Tin Aicha's staple crops. Corn, beans, melons, sweet potatoes and vegetables are also growing; a few farmers plant cotton and peanuts. Production is mostly for family consumption, although the height of the sorghum and rice harvests brings merchants from fifty miles around.

The School

The school has a lunch program, which offers one meal a day during the school year. The canteen staff's aim is to get the children used to a varied diet which the villages will be able to maintain at the end of outside financing of the project. Partly through the U.N. World Food Program, which has sent seeds and equipment, the school has set up a garden in which children can learn modern agricultural methods.

The teachers say they would like somewhat better housing and wish that matters could be arranged to allow the school to open on schedule instead of one or two months after the beginning of the school year. The teachers also say the projected annual enrollment does not fit the reality of the village population--the village alone cannot continue to supply the school with enough students, so that opening the school to children from outside Tin Aicha has been considered.

The Tin Aicha school has now been in operation for six years, each year bringing the opening of new class, so that students can now attend up to the sixth grade. All of the 160 students are nomad children. The fact that the school is located in the village and administered by Tamashek teachers increases parental support for the school in a society that is suspicious of and sometimes hostile to education as "the source of laziness and uselessness," as Ibrahim describes the common sentiment.

Both teachers and students have been praised by the government education service. Parents of sixth graders now favor creation of a middle school that would not remove their children from the village, as attendance at middle school has required in the past. This, too, is an encouraging sign of increased trust in the benefits of education.

Health

According to the chief nurse of the dispensary, the health of the villagers is generally good. Mothers bring their children to the nurse and he says this is a good sign: people are beginning to trust the medical practices of the outside as well as those of their own culture. The most frequent illnesses are bronchitis, malaria, and conjunctivitis, all well-known to nomads. "The effectiveness of the treatments that are administered is slowly but surely dissipating people's widespread suspicion of modern medicine," says Ambery. One suggestion by the village population is to have a midwife well-versed in traditional as well as modern medicine.

According to Ibrahim, "the dispensary now has new quarters, a solid building with various treatment rooms. The population wishes for nothing further than the continued restocking of this dispensary in medicines."

The Question of Settlement

Despite the areas cited earlier where there was or is room for improvement, the success of Tin Aicha as a project in refugee relief and self-sufficiency is conceded by all evaluators. As Ambery put it, "The citizens of Tin Aicha make no mistake about the advantages they have drawn or will draw from the project. Their faith in its success is clear and unalloyed."

The project's degree of achievement in nomad settlement, or "sedentarization," is open to somewhat more debate, and depends to a large extent on the definitions of sedentary and nomadic. Nomads have traditionally had a home base, from which they wander great distances for long periods of time, but to which they always return. Eva Mysliwiec said in 1977 that "it is still not clear whether the nomads will continue to accept Tin Aicha as a viable alternative lifestyle, nor is it so important. It has certainly never been the AFSC's objective." In 1981, it seems clear that most Tin Aichans have accepted their present lifestyle as a viable one, but they would not characterize it as sedentary. According to Steve Morrissey, "(Sedentarization) is a concept attractive to the government, which speaks of Tin Aicha as a sedentarization project. It is a concept culturally objectionable to nomads. Tin Aichans have balanced farming and herding, movement and settlement, as their economic needs and their labor resources allow. The government calls their success 'sedentarization,' and the nomads do not."

Ibrahim speaks of the need to recognize that Tin Aichans are "subject to the same needs as other Faguibine populations," which require fairly frequent movement. The same needs, however, which render year-round residence for all members of the village impossible also ensure that half the population will be in Tin Aicha at any one time, a percentage that compares well with other local villages.

Ambery suggests that the criticism brought by the people against the project was itself proof of the project's solid foundations. Because the people seem resolved to settle down, they insist on bringing attention to points of the project "where the saddle chafes." Ambery regards the project as proof that it is indeed possible to "settle" nomadic people if they are given the responsibility to become, as Ambery puts it, "authors of their own development."

PART TWO

Lessons for AFSC Program Planning

1. Openings for AFSC programs have often been created by earlier programs that never included such future openings in their goals. Major accomplishments by the AFSC have frequently depended upon actions taken in the course of shorter-term, less extensive projects. Such past actions and personal contacts allowed the AFSC to help establish a program in Mali for example, at a time when Mali was extremely reluctant to accept any help from outside organizations.

The AFSC's entry into Mali was facilitated by contacts made in the course of international conference programs in Europe and West Africa, which had included more than a dozen Malian participants over a span of fifteen years. In addition, an AFSC population education program had held two conferences in Mali. By 1973, some former seminar participants held important government posts, including the head of the Ministry of Production, who had visited AFSC headquarters in Philadelphia.

The level of trust that government authorities in Mali had for the AFSC was further increased when Dr. George Povey, the AFSC representative, carried emergency medicines to the drought area in 1973. Although he took many photographs of malnourished people, he did not publish them. (Other photographers had, causing criticism of the government for alleged mismanagement of relief efforts.) Instead, George Povey gave the photos to the Minister of Health, privately, for his own information.

Although the AFSC expended a great deal of effort in developing background knowledge and information in Mali, it had to be willing to proceed with a certain degree of naivete and faith. Even vital information emerged late in the project. Information about patterns of land ownership in Mali, for example, became known only after the land was settled and the project was well underway.

> Lesson 1. A long-term development project requires detailed background knowledge of the area and project site, and the development of mutual trust with national and local leaders and communities. Cultivation of such knowledge and trust requires continuing effort, which can be abetted by experience gained from a variety of projects in diverse cultures and areas of the world.

2. Although the Sahelian drought of the early 1970's itself was a natural phenomenon, and the disaster which followed appeared to be a straightforward drought-famine, it was in fact at least partly human-caused. Droughts in West Africa occur regularly, and over the years the nomads, and all Sahelian peoples, have evolved methods of surviving them. Development patterns of recent years have made these traditional coping mechanisms much less effective, however, and as a result this latest drought caused unprecedented famine and death.

Rainfall was adequate in the 1950s and 1960s. Also during that time, new agricultural technology--drilled and cemented wells, and animal vaccination--reached the Sahel. Under these favorable circumstances, animal herds increased rapidly. This effect was enhanced by the value systems of the nomadic people, among whom large herds mean security, prestige, and political power. The increase in animal populations led to overgrazing and decrease in vegetation (increase in deforestation). The human population also increased.

In addition, the most fertile land in the region was being used to grow cash crops for export, pushing subsistence farmers to more marginal lands. This in turn pushed nomads even farther north toward the Sahara, and many found it necessary to spend the entire year on pastures which were formerly used only during the wet season. The symbiotic relationship between sedentary farmers and nomadic herdsmen was disrupted, and little attention was given to whether the land occupied by the nomads could support their herds. When the drought came, the region could no longer support the large human and animal population, and the nomads' traditional escape route, to the south, was blocked by new farms and their fences.

The AFSC attempts to address human suffering by seeking to improve the social structures which human beings use to cope with a crisis, as well as to identify possible technical solutions to meet their needs.

<u>Lesson 2. Rehabilitation of a population following a crisis that includes natural disaster must take into account the human factors exacerbating the crisis, to avoid its repetition.</u>

3. A simple, urgent need was AFSC's point of entry in Mali. George Povey's discovery of a population that sought long-term program results similar to AFSC goals (local initiative and opportunity for their own development), would not have occurred if the AFSC had not had a pressing concern to respond directly to the immediate needs of victims of the Sahelian drought.

While the Philadelphia office played an important role in general planning and in outlining longer-term program interests, the accomplishment of the aims of the project in Mali also depended in part upon a fortuitious mix of circumstances and personalities.

In Mali, a key person in project design and execution was a regional commandant who saw the Tin Aicha project as a humane solution to the desparate plight of the nomad refugees still in camps in his region. The AFSC had confidence in this person, based partly on the trust George Povey had in him, and agreed to assist him and the project in ways that might strengthen the refugees' potential for self-sufficiency. Long before the AFSC assigned field staff to the project, the regional commandant knew some of the ways in which the refugees could be helped. AFSC trust in the judgment of the Malian Government at another level was highlighted by the fact that a project fund established by the AFSC was controlled by the government's designated interministerial committee for the project in the capital.

Lesson 3. The design of a development project should arise from experience in the field. The AFSC could not have planned Tin Aicha from Philadelphia before its inception.

4. In the village it was clear that normal decision-making structures were not functioning at first because of the great ethnic disparity in the group. Also, the group's knowledge of some important aspects of this new life--agriculture, for instance--was extremely limited. Thus, while field staff were sensitive to the need for decisions to be made by the nomads, they also had to live with the apparent paradox of sometimes establishing rules for the nomads to follow.

One rule was that fields left untended for three months would be forfeited; otherwise, project staff believed nomads who were used to traveling for months at a time, and unused to farming, could have neglected a primary source of food and lost the self-sufficiency the project was designed to give them. Another was that families had to work their own fields, rather than hire sharecroppers; in the judgment of project staff, this was a practical necessity for the short-term, while the nomads adapted to farming and a semi-sedentary life. It also reflected an AFSC bias against such a division of labor, especially since it would undoubtedly follow traditional tribal and class lines. Recently, the sharecropping system has come back into limited use, although the stigma once attached by nomads to farming is beginning to fade.

The correctness, in the AFSC's view, of its central concern--for people's involvement in decisions regarding their own future--was underscored by a failure in that regard in the very beginning of the project, when the lack of input by the nomads on a subject with which they were very familiar--livestock--led to expensive mistakes by project planners.

The selection of sheep as appropriate animals for those who could not afford cattle was based on the government's premise that goats, the other option, contributed to desertification by eating what little shrubbery and foliage there was in the Sahel. Nomad residents of Tin Aicha, who knew perfectly well that sheep would not survive the harsh environment, were not consulted, and they were reluctant to complain in light of their perceived good fortune in receiving any animals at all. Most of the sheep purchased for Tin Aicha did in fact die before leaving any offspring. The selection of cattle also left much to be desired, according to the nomads. Many that were purchased were dry, or too old to calve, and many of the heifers later bought to redress this were too young to produce calves for three years after purchase--not in time to repay the livestock loan as stipulated in the project rules.

Lesson 4. In a development project the population must be allowed and encouraged to make its own decisions, once its decision-making structures are established and adequate information is available to it. Indigenous authorities must also be respected and supported.

5. The nomads, the government, and the AFSC viewed sedentarization in different terms in Tin Aicha. To the nomads, sedentarization was not the issue;

Tin Aicha represented a chance to reconstitute their herds, and acquire a fertile land base. It was not a project that would require them to develop new culture and values or give up those they held. The government of Mali, like other governments, considered settlement of nomads as necessary in order to integrate them into the political and economic structure of the nation. The AFSC saw value in the provision of agricultural land for the nomads, in order to have a food source to complement herding. The AFSC also viewed Tin Aicha as an experiment to allow the nomads to test an alternative lifestyle in light of new economic and ecological realities.

In the project, therefore, the aims of the various parties were different, but they were largely parallel or congruent. Although it was important for each party to define its aims and approach, this was especially important for the AFSC, as the complete outsider: It made for openness and trust, and ensured that the government and the nomads would not be taken by surprise by an AFSC "hidden agenda" later in the project.

Lesson 5. Goals for development projects will probably always be different for the different participants involved; even so, overlapping or generally consistent objectives can result in a successful project; for the outsider, openness and consistency in regard to motivation and aims is a strength for the project as a whole.

6. There was sincere desire on all sides to promote self-reliance through the Tin Aicha project; yet substantial AFSC and government support was essential to the success and permanence of the project. Technical skill and material assistance contributed by project staff demonstrated a commitment to the project which heightened the confidence of the residents. Practical assistance also helped to ensure the village's survival.

Because the nomads who settled at Tin Aicha were initially desperate, assistance was required for all of their food, housing, health, and educational needs during the early phase of the project. The AFSC provided substantial amounts of money, a resident representative, and administrative support which extended for five years. Of particular importance were the mobility, objectivity, and advocacy of the AFSC representative, whose role as an informed trustworthy intermediary is believed to have been indispensable to the project. The government provided equally indispensable resident educational and technical staff, food and medical supplies, and high-level supervision though the latter two were considerably diminished in the last two years of the project.

Eventually, as Tin Aicha's resources increased, residents rightly came to expect government services as a village entitlement. At that point, technical support and education were no longer gifts, or viewed as such, but were services received on the same basis as they were by other villages. Tin Aicha began to see itself as a permanent entity.

Lesson 6. A totally destitute population cannot become self-sustaining without massive intervention, even at the risk of perpetuating excessive dependence. A delicate balance must be struck between self-reliance and adequate levels of technical and material assistance over time.

7. Tin Aicha was established with the support and guidance of an interministerial committee based in the capital, Bamako. This support at the national level was essential to start the project, but it soon became evident that such high-level attention could not normally be given to so small a subdivision and that day-to-day support was required from local administrative and technical staff in the Sixth Region. The shift from national to regional supervision was fully accomplished when the first phase of the project was complete and two villages were established; then the interministerial committee was laid down. This shift coincided with the rotation of AFSC personnel, but not through specific design.

During the second and final phase of AFSC association with the project, a concerted effort was made by both AFSC and village leaders to strengthen Tin Aicha's village council and to establish direct ties between it and local (arrondissement) and regional (cercle) officials. In 1980, when elections were held, some Tin Aicha residents were elected to local and regional offices. Such political involvement is unusual for nomads, and the full implications may not be apparent for many years to come.

The Tin Aicha village council is now seeking official status for Tin Aicha as a nomad village, which will pay taxes locally. (Up to this time, all residents paid taxes to their former clan leaders.) As the territory of an official village, the land of Tin Aicha will remain under the jurisdiction of the village council.

<u>Lesson 7. To have a chance for permanent survival, an integrated development project for a given population requires eventual integration into local structures, after the pattern of other such settlements.</u>

8. Tin Aicha was started as a pilot project. The government and the AFSC hoped that it could be duplicated in other parts of Mali if successful. Considering the scarcity of additional fertile land, however, duplication has proved impossible, and costs also make replicability questionable in any case. Also, the Tin Aicha population was available for the project only as a group with absolutely no alternatives after losing everything in a severe and prolonged disaster; only another disaster could make such a population available again.

Aspects of the program can serve and have served as models, however. Other nomads, not only in Mali but also in neighboring Niger and other Sahelian states, have looked at Tin Aicha carefully, and with some approval. They have seen that their way of life can be modified without necessarily destroying their pastoral, nomadic cultural values. They have seen that farming can be undertaken without loss of dignity or independence, and that formal education need not mean the loss of family and clan values or prolonged separation from children. They have come to see some value in official government systems and the services they can provide such as health, education, agricultural assistance and veterinary medicine. The other nomads have seen that settlement in the Tin Aicha mode need not be onerous or a denial of their traditional lifestyle.

Because of Tin Aicha, the AFSC has been asked by both the government and nomad leaders to join in small, diverse projects in Mali to find ways of increasing options and strengthening self-reliance for nomadic peoples. Tin Aicha's lessons will be valuable in establishing these new projects.

Lesson 8. A project that cannot be precisely duplicated may still contain valuable replicable aspects and have a significant multiplier effect.

9. The first settlers of Tin Aicha were among the last refugees in their refugee camp in Goundam. Others who had any options or resources whatsoever had already left. The first Tin Aichans were among the poorest, most malnourished, ill-clothed, and unhealthy refugees created by the Sahelian drought. They were totally destitute, with no animals and no extended family on the outside to help them.

In addition, their leadership structures were broken. They were peoples of different races, languages, and cultures, and felt like beggars because their only chance for life seemed to be to accept charity. Racial tensions ran high. Yet the settlers of Tin Aicha were able to rise above desperate circumstances, cultural and ethnic diversity, and total disorganization to forge a new life, in a new village, with new leaders, in harmony with their old traditions.

Lesson 9. Even the most desperate of dispossessed people retain extraordinary strength, adaptability and ingenuity. Outside assistance must be designed in full awareness of that fact and be provided in ways that call it forth rather than impede its realization.

The AFSC is aware that the Tin Aicha experiment is still in progress, and that its appearance of relative success must be judged over a greater span of time. It would be important that the current evaluation be followed up in perhaps five year's time with another evaluation. This evaluation should especially study the social and economic patterns that have emerged in the population, assess whether there has been a reversion to previous caste and class structures. Other important subjects for evaluation would include the division of labor, patterns of education, literacy, and numeracy, and the political standing of the village and its people. Perhaps only after such an evaluation will the true impact of the Tin Aicha experiment be fully measured.

SYMPOSIUM PAPER

Title: Case Study - Impact of PLAN Program in the Philippines

Presenter: Anthony DiBella
Assistant Program Director
for Education and Research
Foster Parents Plan International

Synopsis: FPP International did a comprehensive study of its Family and Community Development Program in order to determine the usefulness of its program methodology in the FFP country programs.

* * *

SUMMARY OF CASE STUDY PRESENTATION TO AMERICAN COUNCIL IMPACT EVALUATION WORKSHOP

During the last several years PLAN has incorporated goal-setting in its program operations. To be approved, each project proposal must contain specific goals and objectives. PLAN's new project design system has emphasized this focus and facilitated staff reorientation.

Program staff have also been interested in applying goal-setting concepts to the development of client families and communities. PLAN's traditional program approach of providing direct financial assistance to families without formalizing their development goals has been questioned. Field Directors have expressed great interest in orienting services to families using a goal-setting strategy. The concern is to provide families a framework within which PLAN's assistance can be directed.

Several years ago a particular program named the Family and Community Development Program (FCDP) was established to integrate various elements of goal-setting for PLAN clients and communities. Although some aspects of goal-setting and the FCDP have been adopted in other PLAN field posts, the program in the Philippines is an historical outgrowth of the original program design. Initially, PLAN Philippines maintained a large urban program in Metropolitan Manila. When the decision to decentralize was made, staff followed the FCDP design to set up programs in rural locations. During the tenure of three Field Directors the FCDP has expanded into more than seventy-five locations serving over 20,000 clients.

Since many PLAN Field Directors are interested in using either the entire program or selected aspects of it, International Headquarters decided to conduct a study of the FCDP. The underlying concern was that we should try to learn from the experiences of FCDP program already operating to determine their value and relevance to other field locations. Since the program of PLAN Philippines is the largest and oldest FCDP currently existing, it was determined that the study would be conducted there.

In 1980 field research was conducted in eight program locations. A structured case study method was designed to direct a team of four researchers in the collection of family and project data. Besides collecting specific data on family and community projects, each field worker was also required to conduct open-ended interviews with families and representatives from community groups.

Impact was assessed through the delineation of several key indices of project outcome and family status. This included family income, project results, and project utility. Initial analyses indicated that, while short-term projects had been completed and successful, they did not necessarily contribute to long-term program goals. The cause of some difficulty in the analysis was the lack of a program goal well-defined in terms which were easily understood and relative to the cultural context in which the program was operating.

Besides assessing the relative impact of the program, efforts were also made to determine various elements of process. These included various questions regarding how and why the program operated as it did. Consequently, a number of psychological and motivational characteristics of participating families and staff, and their adjustment to program procedures was noted.

In 1981, additional data have been collected which are currently being analyzed and will soon be presented in a follow-up report.

Although critical of the FCDP the report received favorable review due to the clarity of its presentation and its investigation of dilemmas facing both clients and staff in the operation of meaningful programs.

APPENDIX D

Summary
of
Clinic Challenges

APPROPRIATE TECHNOLOGY INTERNATIONAL

CHALLENGE

GOAL: To increase the access of lower-income populations in developing countries to technologies (both hard and soft) which are appropriate to their needs.

A.T. International does this through strengthening both the linkages between and the capacity within institutions which are working to tie effective demand for AT at the community level to sources of AT in developing and developed countries.

EVALUATION PROBLEM: How to evaluate the impact of grants provided by a young, often experimental, Washington based organization which owns no projects but seeks to strengthen the operational capacity of indigenous development-related institutions whose programs utilize the processes of appropriate technology.

POSSIBLE SOLUTION: Integrate (bring together) those who know field situation best and learn from them - provide opportunities to discuss and share learning in depth.

Bring together institutional partners (grantees) to assist in the articulation of ATI's organizational focus by trying to cluster projects which represent similar approaches to the method of "entry".

Utilize case studies to get at processes and institutional linkages which may get passed by straight evaluation. The case study demonstrates those services provided in short run as well as long term institutional strengthening .

Articulate the strong body of criteria developed for grantee selection which exists (in program people) through practice, trial and error and build them into evaluations.

Categorize grants by typology and key evaluation to differing sets of questions.

CHRISTIAN CHILDREN'S FUND

CHALLENGE

GOALS: (1) to be able to measure longitudinal impact of the agency's assistance on the development and life-course of individual children maintained in the program. (That is, to look at individual children after they have become adults and determine that having been a sponsored child and enjoying program benefits had a measurable effect upon them). (2) to be able to measure latitudinal impact of the agency's assistance on the assisted community's capacity to care for, appropriately educate, and economically integrate its youngest generation within national and cultural facilities, or it could measure the gains in literacy, employability, nutritional status, economic productivity, or the decrease in disease, infant mortality, drop-out rate, or similar indicators.

EVALUATION PROBLEMS and POSSIBLE SOLUTIONS:

(1) Comparability: With 1,050 projects in as many different communities, is there any point in trying to design a degree of comparability into impact evaluation plans, project by project? Or will each evaluation be relevant only to a limited number of projects depending on the nature of the program goals in each community?

(A) It might be useful to try to categorize our community based ("family helper") projects by types, depending on their relative program emphasis. (For instance, those that rely heavily on cash assistance; those that provide basic health care; those that offer day care for pre-schoolers; etc.). Then selective impact could be measured, both within and between categories. It will be especially useful if comparisons could be made within country and culture rather than between countries.

(2) Scope: Should an agency such as ours try to design impact evaluation into all its project plans? Or should we select just a few - each with its own special characteristics - and see what applicability they have for other projects later on, thus building our impact evaluation system slowly?

(B) The latter.

(3) Participation: How do we assure the effective participation and interest of the community members from the beginning in the impact evaluation design for projects where we are heavily dependent upon third party or counterpart organizations (governmental, church-mission, etc.) from the outset in providing administrative services and supervision?

(C) There was no particular help offered on this question.

(4) Finance: Since we assume that neither the sponsor (donor) nor the recipient are interested in seeing more than 20 percent of the funds available go to overhead, how can impact evaluation be set up at low cost, maximum efficiency, and be obvious to both parties that it "pays its own way" in assuring effectiveness?

(D) Good impact evaluation does not need to be expensive, if it is designed into the program and utilizes the talent and insight of existing staff and participants at all levels. Refine four or five of the agency's basic goals first, then identify the indicators you will look at, at specified time intervals, to see if they are being accomplished in a selected number of projects.

(5) Operational Support: What would be the best way(s), organizationally, for child sponsorship agencies to organize the needed support for impact evaluation at the various levels (project, national office, international office)?

(E) Basically there are three types of impact evaluation applicable to our organization and the suggested locus of responsibility for them within the agency structure is as follows:

(a) The annual assessment of impact of each project relative to the agency's country program plan. This should be done in connection with a check on the project's accountability of resource inputs - the "monitoring" evaluation - and is most efficiently and properly carried out by the field office. This is what CCF has now,(always subject, of course to revisions and improvements).

(b) The beneficiaries own evaluation of their goal attainment. The program quality can be enhanced by field office and project staff (with headquarters help) giving more attention to consciousness-raising among the project participants toward their rightful role in local project impact assessment and local project program design modifications based on it. Thus they will learn better to use CCF help to attain their own goals.

(c) Selected impact evaluation - focusing on certain categories of projects, or upon program components found in many projects - can have major value in helping headquarters staff and board identify needed program policy changes on types of support and training to offer on a broad scale. Staffing and initiative for this type of evaluation is best centered at the headquarters, but can certainly also be encouraged from the field. Also, you can use (contrast with) local expertise even if you do not rely on your local staff for carrying out all the work of the evaluation.

(6) Other Suggestions: Because our over-all goal - ("Assisting needy children to become healthy, contributing members of their society") is so broad and inclusive, it would be well not to get locked into one or two evaluative methodologies. Comparative studies confirming the circumstances of children who received CCF help with those who did not would be useful but probably not very feasible, because of the difficulty of working with control groups. Longitudinal comparisons would be excellent if there were no immediate demand for a report. The periodic "child progress report" for sponsors might be re-designed in such a way that it could also provide a data source for longitudinal study.

FOREIGN MISSION BOARD: SOUTHERN BAPTIST CONVENTION

CHALLENGE

GOAL: In 1980, a poultry project for the development of laying hens was begun in a rural community of northern Haiti, with an immediate goal of replacing hens lost to Hurricane Allen. The project was then expanded into a community development project.

EVALUATION PROBLEM: How can the total effect of the project upon the community's market, cashflow and protein consumption be evaluated?

POSSIBLE SOLUTION: This project is being carried out through a national church-selection of participants and training sessions all within the church context, although non-church people are equally eligible to participate. The church also represents a sample of approximately 15% of the community, therefore evaluation of the members of this "captive" group are quite representative.

Church members, directed by the project director can be involved in the evaluation to effect the following:

Base line:

1. Pre-project upper arm circumference measurements - nutrition indicator.

2. Adopted Belcher Quality of Life inventory.

During Project:

Production accounting for non-literate farmers indicating eggs sold to:

1. Neighbors or community market.
2. Cooperation for consumption in city
3. No one; consumed at home.

"Post" project - after one year:

Repeat arm band measurements.

Repeat Belcher Quality of Life inventory.

Having farmers and non-farmers within the sample permits a fair indication of the projects qualify of life impact. Evaluation costs are minimized by using large, committed local groups, i.e., the church.

THE FOUNDATION FOR THE PEOPLES OF THE SOUTH PACIFIC

CHALLENGE

GOAL: The aim of the Women's Interests Project as stated in the original proposal is "To increase the active involvement of women in the social and economic development of the nation through local community projects in Health, nutrition and clothing construction." The objectives include a specific number of village women benefiting from better nutrition and general health, from the availability of inexpensive, locally-made clothing, and from the practice of improved agricultural methods and diversified crops each of the two years. The methodology includes training workshops focusing on nutrition, family planning, sanitation and income-generating skills (i.e. gardening and sewing); follow-up visits to clubs; and assistance to clubs in establishing income-generating activities.

EVALUATION PROBLEM: The problem posed was essentially one of identifying a process and indicators for socioeconomic impact of the Women's Interests Project in Solomon Islands which operates under the constraints of a) multiple ethnic/tribal groups (including languages), b) difficult logistics, i.e. geography and transportation/communication services, and c) limited staff aiming at a large target group.

POSSIBLE SOLUTIONS:

A. Clarifying what the evaluation's purpose is. For this project, the most immediate use would be to make any programmatic changes at the field level. Other uses are for feedback to headquarters for decision-making not done in the field (e.g. regarding continuation of the project) and for lessons that can be applied to other projects supported by the organization.

B. Given the purpose and the operational constraints, the most appropriate and feasible process suggested was a participatory process. This is in line with the organization's philosophy as well. It suggested that to ensure a truly participatory evaluation, it would probably be necessary to -

   1. Provide training for the project field workers to carry out participatory evaluation (self-evaluation) with the target population, women's clubs. This could

involve a centralized training workshop focusing on -

a) Clarification of the rationale/purpose/uses of evaluation. It is a tool.
b) Familiarization with key concepts/items of evaluation.
c) How to stimulate and facilitate the participatory evaluation process in the community.
d) Identification of indicators, including social, economic and organizational growth indicators.
e) The importance of providing feedback to the communities about the composite results of the project evaluation.

2. The process could be applied during the course of the normal club visitation schedule, but because of practical constraints, it may prove necessary in this instance to focus on a sampling. Two possible methods are -

    a) Sampling of a few clubs per island or province.
    b) Sampling of a few clubs per major tribe/ethnic group.

3. Selection of a sampling may be done according to the triage system. Samplings could also be rotated in this way.

    a) Those that are likely to succeed with or without assistance.
    b) Those that need assistance and have a reasonable chance of benefiting from it.
    c) Those that are likely to fail with or without assistance.

C. Indicators will have to be limited as well as appropriate to all societal/linguistic groups involved to be manageable. Suggested was a modified and simplified Beltcher Scale for economic, social and organizational data.

GOODWILL INDUSTRIES OF AMERICA

CHALLENGE

GOAL: To train 24 disabled mendicants in Dakar, Senegal in shoe repair, to enable them to earn a living with no further need to beg.

EVALUATION PROBLEM: Why haven't earnings been higher?
Is better income insured by access to higher technology?
How can cost per trainee be reduced?
How can government be encouraged to do market studies before choosing other craft areas in which to train disabled people?

POSSIBLE SOLUTION:

- conduct field interviews with program participants with a comparable group of beggars, to identify differences in the two groups,

- end-of-project status indicates that positive results can be achieved with disabled people in Dakar. Major project problems seem to be of an economic nature, i.e., is shoe repair the best productive activity?

- more information on project participants is needed to decide on what to do next; interviews, diaries kept by the participants, slide stories on their lives,

- find someone in Dakar with the authority of a scholar, to "nail down" the positive aspects of this project,

- find an economist to do a diagnostic study of an economically feasible/profitable activity to do next,

- link with other institutions that need people to train; link with an over-all, integrated project,

- once market study information is obtained, share it with potential trainees so that they are involved in choosing the training area, thus become more likely to stick with training, and to actively seek to solve on-going problems that arise during training.

HELEN KELLER INTERNATIONAL

CHALLENGE

GOAL: The Rehabilitation of the Rural Blind Project is fundamentally designed as a community-based program for the delivery of rehabilitation services to blind adults living in rural areas within five selected regions of the Philippines. According to the three year project plan, a total of five teams of 15 field workers and one field supervisor complete a specially designed and staged one year training program in blind rehabilitation. After each team has completed their training, individual workers provide direct services to blind persons within their own homes and communities. The primary goals of the project are first, to identify blind and other handicapped persons living in the five selected rural areas, and secondly, to provide appropriate training to blind persons in order to integrate them into active family and community life.

The project is being coordinated and developed through the Government of the Philippines (GOP), Ministry of Social Services and Development. Therefore, additional goals of the project are to further develop and strengthen the GOP's capacity to provide rehabilitation training and overall services to blind persons in rural areas, to identify other handicapped persons, and to expand previously established rural development objectives on a nation-wide basis.

EVALUATION PROBLEM:

1. Is the training given to the workers effective in meeting the needs of the rural blind population?

2. Are workers finding the population to be served?

3. Are the rehabilitation services being provided necessary?

4. Has the Project been effective in developing and expanding the capabilities and expertise of the GOP to provide rehabilitation services to blind persons in rural areas?

POSSIBLE SOLUTION: The Clinic group was very helpful in addressing the question presented at the session. Through the presentation of the field case, specific problems and questions were more clearly defined and expressed. One suggestion concerned the development of a tool/measure to evaluate desired attitude changes for individuals and communities served by the rehabilitation field worker. A second suggestion was to use a case study approach to present behavioral and community changes. Finally, several approaches to sampling individuals and communities served were offered. An expanded awareness of the availability and possible usefulness of a number of indicators as a part of evaluation or to complete the evaluation process, provided useful information.

INTERNATIONAL VOLUNTARY SERVICES

CHALLENGE

GOAL: To organize ten rural communities in a newly colonized area into agricultural cooperatives, and later into a central organization (Sub-Central) based on the guidelines and success of a Central de Cooperativa in the area.

EVALUATION PROBLEM: How to effectively involve the new communities and the Central de Cooperativas in evaluation through the life of the project so that information can be used to the benefit of these two groups;

- Evaluation information should serve 1) the new communities as a management tool and 2) the Central de Cooperativas as a learning experience for evaluating their new role as provider of technical assistance. How will they be able to determine what the project"s impact has been?

- Evaluation should serve IVS in determining effectiveness of IVS participation with an eye to continually decreasing dependence, but not cutting support before warranted. How to measure the IVS difference.

POSSIBLE SOLUTION: The purpose of the problem solving workshop was to help identify methods/tools for participatory evaluation and to help build these evaluation components into the project from the outset. The evaluation should directly involve:

1. Established base group cooperatives and their central organization.

2. The newly settled communities who would be the main beneficiaries of the new project.

The group offered the following suggestions:

1. The established group seems to have a well functioning analysis/ critical reflection process. This should be encouraged and continued to assist them in providing technical assistance and evaluating their new role as technical assistance providers, i.e. their new experiential tract.

2. Flow of communications/information/experience exchange/technical

assistance between the established groups and the newly formed groups is key to the project and evaluation systems.

3. To encourage participation in both the project and the evaluation (from the start); others have found that week-end seminars with the established groups and the newly settled groups may be of help.

4. The IVS volunteer should accompany established cooperative members to the new communities where they can jointly discuss problems and experiences and analyze plans.

5. Quantitative data collection can be obtained through cooperative meeting notes, loan applications to the cooperative, etc. This quantitative data can be helpful at some time in the future to establish changes that have taken place.

6. Inter-community exchange is the key, proposal application should be submitted from joint group discussion, i.e., using proposal application as a tool for analysis.

MARYKNOLL SISTERS

CHALLENGE

GOAL:

1) to broaden base of evaluation for local decisions including

- acceptance of concept by people in field
- improved skills in producing and using data

2) to better data for policy determination

EVALUATION PROBLEM: The problem is how to quantify the unquantifiable. Most of our aims and objectives deal with qualitative, intangible things. We do not want to nor should we, eliminate our intangible objectives because they are the best we have got.

POSSIBLE SOLUTION: The need and difficulty is to develop proxy variables/indicators that give approximate evidence of what is happening. The danger is that we might confuse the proxy with the objective and aim for the proxy and forget the objective. The best and most realistic indicators will be developed at the local level. Let them decide what will indicate that something is happening in certain areas. This will allow for the variability of situations.

As far as acceptance of evaluation goes, we must admit that this is an attitudinal change problem. It is very difficult for individuals to risk their ego. Helping staff to handle their nervousness regarding evaluation is important. One way to gain acceptance is to show that evaluation provides useful data.

SAVE THE CHILDREN

CHALLENGE

GOAL: 1) Design of an evaluation structure at the community level for gathering information about specific projects and 2) the management of evaluation information at different levels of the organization.

EVALUATION PROBLEM: This challenge involves monitoring and impact type evaluation within a community development organization with large programs (containing numerous projects in various sectors) in approximately 30 countries:

Presently: The planning and implementation of project activity is carried out at the community level through community committees with the guidance of field area coordinators (under the supervision of field office directors.) Information is sent to the home office on project plans approved by the field office and project expenses as they occur so that financial monitoring occurs both at the home office and the field office level.

ORGANIZATIONAL STRUCTURE

- Home Office
- Field Office Director
- Field Area Coordinators
- Community Committees
- Community Groups and Subgroups

The problem in evaluation of project activity involves how to gather information at the community level, at what intervals, who should receive the information and how to manage it all. (Although annual evaluation of all projects is not particularly useful information at the home office level, there is a management responsibility to know that some evaluation mechanism is in place at the field level.)

POSSIBLE SOLUTION: The solution involves determining what kind of evaluation information is needed (on a regular basis) at the various levels of the organization according to what purpose the information will be used:

1) At the community level a simple monitoring system might be established in which 2-3 dimensions of projects are examined with the assistance of the field area coordinator. Projects might be evaluated as a "cluster" of those activities in which the community is involved. The practice of program monitoring by the community may increase community capacity to run its own affairs through the recognition of progress or obstacles in project implementation (leading to improved planning capability.)

2) Field area coordinators might then summarize project activity within sectors (agriculture, health, small industry, etc.) with the help of

Field Office Directors. The ability to organize this information may help develop leadership capacity at the field coordinator level for recognition of progress and problems within sectoral programs.

The above information (1 and 2) on community process and progress in project activity would assist the Field Office Director in making informed decisions on budget allocations for those projects going on from year to year, and for those communities submitting new projects.

3) The Field Office Directors might then summarize their country programs by field areas with information on sector progress and community process provided in the above reports. This summary report might be sent to the home office on an annual, or semi-annual, basis to provide country information for management purposes, donor reports, and public relations.

The information received at the home office through the summary reporting system should be supplemented with more in-depth case studies of selected programs, (to be determined as to whether these are on a country basis, project sector and/or a community basis,) performed with the help of outside evaluators.

These case studies would include examination of how community committees are set up and the extent of training and skills development in organizational process at the community level, as well as changes in socio-economic conditions brought about by project activity and the impact of lessons learned through the involvement with the projects. What we need here is a sense of what is really going on with real people in a real place.

This information would be useful not only to the field office, but also to other regions within the organization as we expand our learning about the various applications of community development methodology in diverse settings.

SEVENTH-DAY ADVENTIST WORLD SERVICE

CHALLENGE

GOAL: SAWS received a grant to do community health education and agricultural extension work in the environs of health care and educational institutions in sixteen countries.

These institutions have been invited to submit proposals to SAWS outlining what the health problems of their communities are, how they propose to address these problems and generally outline a program for meeting the needs of the community over a three year period.

EVALUATION PROBLEM: The problem is that SAWS must do one evaluation report of the 16-country program for the donor agency. How can one evaluation report be made to cover health probjects in sixteen countries as scattered as Africa, Latin America and the Pacific.

What kind of evaluation should SAWS require of the institutions and/or country offices in recipient countries.

POSSIBLE SOLUTION: The uniqueness of the program necessitates two levels of evaluation:

Level I -- Each country projects to have its own comprehensive evaluation system encompassing all aspects of each of its programs for submission to SAWS/Central

Level II -- SAWS/Central evaluation format to include:

a. Categorization of countries according to projects.

b. Identify areas of major importance in the projects and evaluate these.

c. Find a commonality in all the projects i.e. indicators that can be standardized for all projects and are measurable, and evaluate these.

WORLD RELIEF CORPORATION

CHALLENGE

GOAL: How to evaluate a rural agricultural project in Bangladesh- specifically attitude change- without benefit of baseline data and/or initial objectives, in order to demonstrate to others the positive impact the project has had over the past ten years for the purpose of encouraging replication.

EVALUATION PROBLEM:

1. Difficulty of differentiating between demonstrating to others the value of replicating the project and the feasibility of doing so.

2. Difficulty in discerning what factors to attribute to the project and those that are attributable to other causes.

POSSIBLE SOLUTION:

1. Compare/contrast the project group to their peers. Choose those that are of similar socio-economic status as indicated by:
    a. land holdings
    b. membership in other co-op organizations
    c. class level

2. Seek hard evidence of attitude change:
    a. level of debt incurred/interest rate
    b. percentage of children entering school vs. percentage of children completing/continuing schooling
    c. political participation awareness (as possible)
    d. willing continued participation in programs
    e. compare attitudes of members of other co-ops
    f. percentage of acreage in:
        - hyv rice
        - vegetables as opposed to government pushed cash crops
    g. degree of cooperation between cooperative members

h. faith/trust in other cooperative members
i. how people spend their day, specifically women, have attitudes been changed enough so that the women's chores are being eased
j. stability of population, particularly young people, are they fleeing to urban areas or staying around
k. compare to peers using culturally modified Bekher scale, nutritional measurements, harvest records etc.

POSSIBLE SOLUTION: Attitude changes can be measured at varying degrees of complexity, without benefit of baseline data if a good control group exists for comparison.

WORLD VISION INTERNATIONAL

CHALLENGE

GOAL: To prepare a report or reports on an impact evaluation exercise for a variety of audiences both within and outside World Vision.

EVALUATION PROBLEM: The original plan was to conduct an evaluation on the Northwest project in Colombia -- a community development and church growth project administered by the Presbytery of the Northwest of the Colombian Presbyterian Church, funded by World Vision for the last five years. The aim was to learn 1) the extent to which the original goals of the project had been achieved, 2) as much as possible about the impact of the project on the lives of the people and 3) the most constructive ways to gauge that impact. Preparation for the evaluation was inadequate, and most of the time was spent instead in training the participants in pre-evaluation (needs assessment), planning, implementations and evaluation. Some valuable lessons were learned in many areas, and much information was gathered. The problem was how to report it out appropriately.

POSSIBLE SOLUTION:

- Professor Bruce suggested first of all that the report at the project level was already in the heads of those who had participated in the training and evaluation.
- Other reports should be prepared in accordance with the type of decisions each of the audiences needs to make: 1) program management decisions, 2) resource allocation decisions or 3) evaluation procedure decisions.
- Another way to distinguish information needs of audiences is between: 1) those people who will alter behavior because of reports, 2) those who will adopt or adapt from what you have done.
- Reporting approaches could be charted in the following manner:

	Must Decide/do	Need to Know About	Useful Inf.	Useful Format
WV/Board of Directors				
WV Field Office/Bogota				
Area Supervisor				
Project Director				
Project Participants				
WV Regional Office				
"The World" i.e. related agencies				

- Information and recommendations stemming from the project evaluation need to be geared to the different objectives of these different target audiences.

* APPROACHES TO EVALUATION *

A Workshop on Impact Evaluation
Harpers Ferry, W. Virginia, October 20-23,1981

List of Participants

*Cheryl Allam
Maryknoll Sisters
Maryknoll Sisters Center
Maryknoll, NY 10545

Jairo Arboleda
Save the Children
48 Wilton Road
Westport, CT 06880

Frederick L. Bates
Professor,Dept. of Sociology
Baldwin Hall
University of Georgia
Athens, GA 30602

*Philip Baur
World Relief Corporation
Box WRC
Wheaton, IL 60187

Ross Edgar Bigelow
Office of Private and
Voluntary Cooperation
Agency for International Development
Room 246, SA-8
Washington, DC 20523

Timothy T. Brendle
Foreign Mission Board
Southern Baptist Convention
P.O. Box 6597
Richmond, VA 23230

Robert Bruce
Professor, Dept. of Continuing
Education
Cornell University
Ithaca, NY 14853

Elizabeth Cecelski
Volunteers in Technical Assistance
3706 Rhode Island Avenue
Mt. Rainier, MD 20822

Heather A. Clark
International Voluntary
Services
1717 Massachusetts Avenue N.W.
Washington, DC 20009

Philip H. Coombs
Vice Chairman, International
Council for Development
Education
P.O. Box 217
Essex, CT 06426

Anthony J. DiBella
Foster Parents Plan
P.O. Box 400
Warwick, RI 02887

*Mary Margaret Dragoun
Save the Children
54 Wilton Road
Westport, CT 06880

*Jim Ekstrom
Sister Cities International
1625 Eye Street N.W.
Washington, DC 20006

Elaine Edgcomb
Consultant
2134 Ludlow Street
Rahway, NJ 07065

* Alison Ellis
World Education
251 Park Avenue South
New York, NY 10010

D. Merrill Ewert
MAP International
P.O. Box 50
Wheaton, IL 60187

*Rita Gibbons
PACT
777 United Nations Plaza
New York, NY 10017

Judy Gilmore, FVA/PMS
Agency for International Development
Department of State
Washington, DC 20523

*John Hatch
Rural Development Services
301 W. 53rd Street #23J
New York, NY 10019

Fred L. Hawkins
Foreign Mission Board
Southern Baptist Convention
P.O. Box 6597
Richmond, VA 23230

James Herne
Technoserve
11 Belden Avenue
Norwalk, CT 06851

David J. Herrell
Christian Childrens Fund
P.O. Box 26511
Richmond, VA 23261

Patricia D. Hunt
American Friends Service Committee
1501 Cherry Street
Philadelphia, PA 19102

Charles D. Killian
Department of Sociology
Baldwin Hall
University of Georgia
Athens, GA 30602

Suzanne Kindervatter
Overseas Education Fund
2101 L Street N.W.
Washington, DC 20037

*Russ A. Mahan
World Education
251 Park Avenue South
New York, NY 10010

*Jeanne McCormack
World Education
251 Park Avenue South
New York, NY 10010

Mary G. McMurtry
Foundation for the Peoples of the South Pacific
200 West 57th Street
New York, NY 10019

Kris Merschrod
123 Warren Road
Ithaca, NY 14850

Carol Michaels-O'Laughlin
Inter-American Foundation
1515 Wilson Blvd.
Rosslyn, VA 22909

Ivy S. Nebblett
Seventh-day Adventist World Service
6840 Eastern Avenue
Washington, DC 20012

Milton E. Nebblett
Seventh-day Adventist World Service
6840 Eastern Avenue
Washington, DC 20012

James Noel
Consultant
81-11 45th Avenue Apt. 2J
Elmhurst, NY 11373

Phyllis Olsen
Institute for International Development
360 Maple Avenue
Vienna, VA 22180

*Brenda Langdon Phillips
Save the Children
54 Wilton Road
Westport, CT 06880

Marta S. deQuinonez
Christian Children's Fund
203 E. Cary Street
Richmond, VA 23219

Laurie A. Richards
Appropriate Technology International
1724 Massachusetts Avenue N.W.
Washington, DC 20036

*Raymond Rignall
CARE
660 First Avenue
New York, NY 10016

*Sandra A. Rivers
Family Planning International
810 Seventh Avenue
New York, NY 10019

*Susan Roche
Goodwill Industries of America
9200 Wisconsin Avenue
Bethesda, MD 20014

Jim Rugh
World Neighbors
5116 N. Portland Avenue
Oklahoma City, OK 73112

Jon Sanders
Appropriate Technology Intl.
1724 Massachusetts Avenue
Washington, DC 20036

*Daniel Santo Pietro
American Council of Voluntary
Agencies for Foreign Service
200 Park Avenue South
New York, NY 10003

Kathryn W. Shack
Meals for Millions/Freedom from
Hunger Foundation
Box 680
Little Rock, AR 72203

Carla Schnell
Workshop Secretary
48 Wilton Road
Westport, CT 06880

*Dao N. Spencer
American Council of Voluntary
Agencies for Foreign Service
200 Park Avenue South
New York, NY 10003

*Ronald F. Texley
Helen Keller International
15 West 16th Street
New York, NY 10011

*Peter Van Brunt
Save the Children
48 Wilton Road
Westport, CT 06880

Bill Warnock
World Vision International
919 W. Huntington Drive
Monrovia, CA 91016

* Participated in Review of
Basics of Impact Evaluation
Tuesday, October 20