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Appendix III-F part 2: Training Materials

Certificate Program in Program Evaluation
English language text

Final Report to
the United States Agency for International Development
of the Private Voluntary Organizations Initiatives for the Newly Independent States Project
World Learning Inc.
1992 - 1997



World Learning

**CERTIFICATE PROGRAM IN
PROJECT EVALUATION**

TRAINING SESSION 3

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Management Systems International (MSI)
Training Participants

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Mary (Molly) Hageboeck (MSI)
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World Learning PVO/NIS Project

Financed by:

US Agency for International Development (USAID)
The Civic Initiatives Project

MOSCOW, MAY 12 - 18, 1997

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Notes on Your Evaluation Experience

Please take a few minutes to make some notes about your general impressions of your evaluation experience.

1. What did you like best about working on the evaluation you carried out?
 2. What did you not like -- or like the least?
 3. What was the hardest -- most difficult -- step in the evaluation process for you? What made that step or aspect of the evaluation difficult?
- 5

4. What are two or three things you would want to do differently if you could start all over and improve on the evaluation you carried out?

World Learning/Human Soul/MSI Evaluation Training Participants List

May 12-18, 1997, Moscow, The Second Working Session

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WORLD LEARNING-MSI NGO Evaluation Certificate Training course

**Phase II and Final Participant Evaluation Form
May 18, 1997
Moscow**

I. Objectives

This form ask for your assessment of the value, strengths and weaknesses of the evaluation data collection and report writing field exercise, and the final classroom session completed May 18, 1997.

The objective of the field exercise was to give participants an opportunity to use the class room provided concepts, approaches and data collection and analysis tools in a "real world" experience.

The objectives of the final class room sessions were to give participants:

1. a good sense of where opportunities lie for further development and application of their skills in designing, conducting and reporting on evaluations.
2. certificates that recognize their completion of this course
3. clear plans -- individually and collectively for
 - Improving their skills as buyers, suppliers and users of program and project evaluations
 - Expanding their knowledge of evaluation methods and techniques, and how to use them appropriately
 - Broadening their network of contacts with individuals and organizations, in Russia and elsewhere, that share an interest in evaluation, and in staying informed about new developments in the field.

II. Field evaluation exercise

1. ***Please assess the value of the field exercise in developing your evaluation skills***
 - a. exceptionally useful
 - b. useful
 - c. marginally useful
 - d. a waste of time
2. ***Please indicate your agreement or disagreement with the following statements:***
 - a. *The field exercise was useful, but not necessary to the development of my skills*
agree
disagree

b. *The field exercise was essential to developing my skills*

agree disagree

Comment:

c. *I was able to apply concepts and tools introduced in Phase I in the conduct of the field exercise.*

agree disagree

Comment

d. *The field exercise was useful, but not worth the time and expense*

agree disagree

Comment

e. *Given the constraints of time, money, and our level of skill development, the field exercise was too demanding and unrealistic to be useful.*

agree disagree

Comment

f. *Without the field exercise this course would have been much less useful*

agree disagree

Comment

g. *Working in a team was interesting, but I could do a better job by myself.*

agree disagree

Comment:

h. *Although team approach presents problems, it is the best way to conduct an evaluation.*

agree disagree

Comment:

3. If you were to replicate the field exercise, what specific improvements would you make:

a. *During the classroom preparation phase (be specific)*

b. *During the field work*

c. *In the critique and follow up phase*

III. Final Class room sessions

A major emphasis during this session was on Report Presentation and Critiques

1. *How useful were the instructor's critiques of your team's report*

very useful

useful

marginally useful

waste of time

2. *Was the instructor's critique of your report fair and courteous?*

Completely

Mostly

Partially

Not at all

3. *If given the opportunity, would you and your team wish to prepare a new version of report?*

Complete rewrite

Redo some sections

Minor changes are needed

It is basically fine as it is.

4. *Are there some parts of the evaluation process where more classroom or guided field experience would be very helpful: (Circle the answer which best fits your situation.)*

a. *Evaluation Design:*

I need more classroom

I needed more field experience

Both

I'm sufficiently competent

| | | | | |
|----|---|------------|------|-----------|
| b. | <i>Scope of Work Preparation:</i> | | | |
| | More classroom | More field | Both | Competent |
| c. | <i>Preparing questionnaires</i> | | | |
| | More classroom | More field | Both | Competent |
| d. | <i>Conducting interviews :</i> | | | |
| | More classroom | More field | Both | Competent |
| e. | <i>Analyzing and Presenting quantitative data</i> | | | |
| | More classroom | More field | Both | Competent |
| f. | <i>Assessing organization development, management and financial/cost effectiveness issues</i> | | | |
| | More classroom | More field | Both | Competent |
| g. | <i>Reaching well supported conclusions and recommendations:</i> | | | |
| | More classroom | More field | Both | Competent |
| h. | <i>Writing clear and persuasive Reports</i> | | | |
| | More classroom | More field | Both | Competent |

5. Now that you have completed the entire World Learning - MSI course, how would you rate your professional competence as an evaluator. (Circle the letter besides the statement which best describes your situation)

Group 1

- a. Fully competent to conduct all aspects of evaluation design, data collection and analysis, and report writing and presentation.
- b. Fully competent to design and manage an evaluation using a team of experts with complementary skills.
- c. Competent to be an equal partner on a professional evaluation team within my area of specialization
- d. Competent to work with professional evaluators in a supporting role, but need more experience.
- e. Need more classroom and field training exercises and experience before I am willing to seek work as a professional evaluator.
- f. I have decided that the field of professional evaluation is not an area of expertise and professional employment I wish to develop.

Group 2

a. Competent to determine whether an evaluation report is up to professional standards, but not prepared to label myself as a professional evaluator.

b. Competent to use evaluation findings in my work.

6. The Second major objective of Phase II Classroom Session was to help develop a collective effort to promote professional evaluation activities in Russia.

a. Do you feel that the time is right to develop some kind of evaluation association in Russia?

Yes No Maybe

b. Do you and your colleagues enrolled in this World Learning - MSI Russian evaluation class have any comparative advantage in taking an initiative to establish a Russian evaluation association (or movement)?

Yes No As much as any group Not Sure

c. Were the Phase II Classroom Sessions which presented the other countries experience in developing a Professional Evaluation Association to the Russian effort useful?

Yes Somewhat No Don't know

d. A number of documents about the American Evaluation Association were distributed and discussed, including by-laws, standards, membership announcements. Were these documents helpful in your efforts to develop a Russian Association?

Yes Somewhat No Don't know

Comment (other documents needed?) _____

7. A third objective of Phase II was to introduce you to the opportunities to become established as a profit (or not for profit) business to provide evaluation services for a variety of clients.

a. How useful were the class discussions on developing an evaluation business?

Very useful Useful Marginally Useful Eliminate

b. Suggestion for Improvement: (please be specific)

8. What is your expectation about becoming an evaluation professional, either as an individual or in a company over the next six months?

- a. I fully expect to earn money in evaluation work within six months
- b. There is a possibility I will earn money
- c. I may do so if the opportunity arises
- d. It is unlikely that I will be doing evaluation work as a professional money making activity.

9. Participation in this course has given me many new contacts which will be helpful in my effort to become a professional evaluator.

agree somewhat agree disagree don't know

IV. Summary questions

1. Looking back on the entire course, please indicate your assessment:

- a. Best training program I have ever experienced
- b. Among the Best
- c. Certainly useful, but considerable room for improvement
- d. Marginally useful
- e. A waste of time and money

2. In the mid term evaluation, participants made several requests for improvement, such as more examples, stronger critiques, more materials. In general, how responsive were the trainers to your requests

- a. Completely Responsive
- b. Very Responsive
- c. Marginally Responsive
- d. Not Responsive

3. Now that you have completed all phases of the course, in your opinion, what parts need more emphasis and time, and what parts could have been shorter.

Please be specific:

More emphasis: _____

Less emphasis _____

4. In the last phase, USAID officers and Moscow government representatives who use evaluation results were introduced to the class. Would it be useful to do more of this, including representatives from other organizations (e.g., World Bank, Foundations, other parts of the Russian Government)?

- a. Very useful
- b. Useful
- c. Marginally useful
- d. Not very useful

5. If this course could be repeated in Russia for others interested in becoming professional evaluators, what would be your recommendation to other colleagues? "I would

- a. definitely recommend they take the course.
- b. probably recommend they take the course
- c. recommend that they look into it, and decide for themselves
- d. recommend against taking the course

6. In your opinion, if another World Learning evaluation course were offered next year, would it be possible to find Russian evaluation experts to teach the course?

- a. Could be taught completely by Russian experts
- b. A combination of Russian and American experts would be best
- c. Most of the expert teachers should be Americans
- d. It is too early to expect Russian experts to have the necessary expertise to teach the course.

7. Overall, how would you rate World Learning's management and administrative support for the entire course?

- a. Outstanding
- b. Very Good

c. Acceptable

d. Poor

Please make specific suggestions for improvement:

8. Overall, how would you rate the instructors performance?

a. excellent

b. good

c. fair

d. poor

What specific suggestions do you have for us to help us improve our performance as evaluation trainers?

For Molly Hageboeck:

For Richard Blue:

Certificate Program in Evaluation

Evaluation Synthesis Assignment

An evaluation synthesis is a study in which evaluations themselves are the data sources. Participants in the course have completed a total of 7 out of 8 planned evaluations. Individuals in the course who were not able to work on a practical evaluation have the option of working alone or together to complete this evaluation synthesis as an alternative means of earning their certificate.

Participants electing to prepare an evaluation synthesis must complete this assignment and turn it in to World Learning/Moscow by May 22, 1997 so that it can be translated into English and reviewed by Dr. Blue before his departure from Russia.

The Assignment:

Using the seven completed evaluations as data sources, participants undertaking this assignment are asked to address the following evaluation questions for World Learning?

A. Project Designs

What can be determined from the evaluation reports about the quality of the designs for the projects World Learning funded? Were partner organizations able to implement these designs, or were significant modifications required? If there were problems with these designs, what do the evaluations suggest were the causes of these problems? Are there common patterns among projects?

B. Beneficiaries

To what extent did projects reach the beneficiaries they planned to reach with the services they planned to provide to those beneficiaries? What evidence did the evaluations present about the effectiveness of services provided through these projects? If there have been problems serving beneficiaries, what have they been? Are there common patterns among projects?

C. Partnerships

What can be determined from the evaluation reports about the quality of the partnerships through which projects were undertaken. To what degree were both partners active participants who contributed to whatever success the project had? With what frequency did the American or the Russian partner(s) seem to carry the who project -- with only nominal participation by the other partner. What

evidence is there to suggest that partnerships will continue beyond the life of the projects on which they jointly worked? What patterns of strengths and weaknesses in partnerships did the evaluation identify?

D. Sustainability

What can be determined from the evaluation reports about the sustainability of the projects World Learning funded? The synthesis should separately examine data provided by the evaluations on financial sustainability and on other aspects of sustainability, e.g., organizational commitment, leadership, etc. If projects have had problems becoming sustainable, what have these problems been? Are there any common patterns among projects?

Evaluation Synthesis Report(s)

As with a regular evaluation report, the evaluation synthesis report(s) prepared for Dr. Blue should identify the reports objectives, explain its methodology, and clearly present the study's findings, conclusions and recommendations.

Numbers are not, by themselves, facts.

Facts are not, by themselves, information.

Factual, quantitative information is essential for virtually any good evaluation.

The evaluator's task is to develop and *apply* the factual, quantitative information.

Цифры сами по себе еще не факты.

Факты сами по себе - не информация.

Фактическая, численная информация жизненно важна при проведении любого серьезного анализа.

Задача аналитика состоит в нахождении и правильном применении подходящих численных методов.

**Comparisons
are at the core of the evaluative
process.**

**В основе любого анализа лежит
сопоставление.**

Evaluation is research

But.....

Research is not evaluation.

Анализ - это всегда исследование,

Но.....

Не наоборот!

Assessments, not recommendations, are the most important products of an evaluation.

An assessment which is not developed and explained in writing is worthless.

Clear writing is an essential skill for evaluation.

Самым важным результатом любого анализа является не конкретные рекомендации, а оценки.

Оценка, которая не проанализирована досконально ясно и не представлена в письменной форме, бесполезна.

Особенно важным фактором при анализе является способность четко излагать свои мысли в письменной форме.

The person who learns the most from an evaluation is the evaluator.

The evaluation challenge is to communicate at least some of that learning to the reader of the report.

Наибольшую пользу из исследования извлекает сам аналитик.

Одной из самых сложных задач, стоящих перед исследователем, является необходимость донести до аудитории хотя бы часть информации, полученной в результате исследования.

A finding is not a conclusion.

A conclusion is not a recommendation.

Найденный факт - еще не результат.

Результат - это еще не окончательная рекомендация.

Evaluation clients generally ask one or more of three questions:

- 1. Is it working?**
- 2. Is it cost-effective?**
- 3. Is it having an impact?**

Each of these questions is loaded.

Any client who asks all three and has only a small budget puts an evaluator in big trouble.

Is it cost-effective?

- This also indicates a formative or process evaluation.**
- The reason clients often ask this question is that they intend to replicate the most cost-effective approaches elsewhere.**
- The “comparison” aspect is often unspoken but virtually always present.**

Baselines are two-dimensional: cost and effect.

Заказчики исследований обычно задают один из трех следующих вопросов:

- 1. Как проходит анализ?**
- 2. Оправдывает ли он затраты?**
- 3. Каков возможный результат?**

Каждый из этих вопросов несет в себе большую смысловую нагрузку.

Если для клиента важны все три аспекта, но средств, выделенных им на исследование недостаточно, исследователю придется тяжело.

Экономично ли это?

- Это также подразумевает “формативную” или постоянную оценку.**
- Причина, по которой клиенты часто задают этот вопрос, такова, что они намереваются использовать наиболее экономичные подходы в других сферах.**
- Фактор “сравнения” часто не затрагивается, но явно присутствует всегда.**

Основные линии - двумерные: стоимость и эффект.

Is it working?

-- This indicates a formative or process evaluation.

-- The "baseline" must often be developed in discussions with the client.

Possible "baselines": Contract or grant terms (delivery of product, completion of actions in a timeframe, etc.)

In terms of achieving results in a timeframe -- exactly which results

In terms of following an expected dynamic -- people responding to the program as expected, incomes increasing as expected

In comparison with a different process or intervention -- implicit "as well as the old method", "better than the previous approach"

Как проходит исследование?

- Это подразумевает "формативную" и постоянную оценку.
- "Основные принципы" часто должны быть определены посредством бесед с клиентом.

Возможные "основные принципы": Условия контракта или гранта (представление результатов, определенные временные рамки, завершение деятельности и т.д.).

Временные рамки достижения результатов -- точное определение результатов.

Соответствие прогнозируемой динамике -- соответствие планируемой реакции людей на программу в соответствии с прогнозами повышения доходов.

В сравнении с другими способами или методами воздействия подразумевает реакции: "соответствие старому способу" и "лучше прежних подходов".

Is it having impact? Or, has it had impact?

- This is often, but not always, a summative question.**
- An impact evaluation cannot be done before impact has occurred.**
- The trick is sorting out: intended impact, unintended effects, "normal" change.**

ЕСТЬ, о БЫЛ ли результат?

- Часто, хоть и не всегда, это есть резюмирующий вопрос.**
- Оценка результатов не возможна до получения собственно самих результатов.**
- Проблема состоит в четком разграничении следующих явлений: планируемое воздействие, непредвиденный результат, "естественный процесс перемен".**

Section 2

Evaluation Report - Group 1:
Katya Greshnova, Lena Zhemkova, Oleg Kazakov.

“NGO Alliance to Develop Small Businesses.
Opportunity International and Opportunity for All”

Section 3

Evaluation Report - Group 2:
Alexander Borovykh and Svetlana Koryukina

“YMCA Humanitarian Initiatives in the NIS”

WORLD LEARNING
CERTIFICATE TRAINING COURSE IN PROJECT EVALUATION

NGO EVALUATION

YMCA HUMANITARIAN DEVELOPMENT INITIATIVE IN
THE NEWLY INDEPENDENT STATES (NIS)

Post-Project Evaluation Report

Prepared by:

Alexander Borovykh
Svetlana Koryukina

Moscow 1997

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Overview

The report summarizes the results of the YMCA project evaluation in Russia. The evaluation was performed by Group #2 two years after the project was closed down.

General goal of YMCA programs: fostering moral and physical health, respect for human values, uniting people for joint social activities. Among various projects are sports and educational programs, teenagers' clubs, prevention of drug and alcohol abuse, anti-smoking campaign, family parties, summer camps, support for the handicapped, youth exchanges and others -depending on national and local peculiarities.

The expected results of the project were (according to the application for funding):

- 1. Strengthening and expanding Russian associations for the development of socially meaningful programs.
- 2. Program design and administration and leadership models, which could be used by Russian Associations for development purposes. Special attention will be paid to development of skills.

EVALUATION GOALS

- 1. Evaluate the influence of the project on the development of associations in Russia
- 2. Evaluate Associations' influence in the community
- 3. Partnership: problems and success

Recommendations prepared by the group members:

- 1. Perform a comprehensive evaluation of the needs of Russian associations
- 2. Prepare a detailed plan for the training of leaders and volunteers.
- 3. Draft individual plans for securing funding and fundraising activities.
- 4. Compile and publish a manual containing positive examples of partnerships, YMCA programs, and opinions of program participants.
- 5. Launch a pilot project for introduction of interaction mechanisms.
- 6. Create an information network.

- 7. Continue strengthening partnership relations between YMCA-USA and YMCA-Russia with participation of the European and World YMCA Alliances.

PROJECT SUMMARY

The evaluators found it necessary to provide a few facts about the history of the YMCA (Young Men Christian Association) movement. The understanding of the YMCA philosophy as well as the situation when it was initiated allow for a better understanding of the project impact and evaluation.

2.1 The history of YMCA

YMCA was founded in 1844 by George Williams (England). YMCA organizations have been established in over 100 countries of the world involving 80 million people.

Recently YMCA organizations were re-established in China, Ethiopia, Zaire, Poland, Bulgaria, Ukraine, Georgia, Armenia, Estonia, and Latvia. This movement is being revived in Russia too - Bryansk, Kaluga, Syktyvkar, Omsk, St. Petersburg, Novosibirsk, Yaroslavl, and Moscow.

YMCAs do not limit themselves to the interests of a social group, they appear and work everywhere, where people need it, respond to their needs with a program, seek new ways of development and new forms of activity.

Goals of YMCA programs: fostering moral and physical health, respect for human values, uniting people for joint social activities. Among various projects are sports and educational programs, teenagers' clubs, prevention of drug and alcohol abuse, anti-smoking campaign, family parties, summer camps, support for the handicapped, youth exchanges and others - depending on national and local contexts.

All YMCAs are independent associations. They pay monthly fees to the National Council, follow the YMCA mission and the principle of openness for all the people. These are the only requirements. It is up to the local associations to choose the scope and pattern of new programs, recruit and train new employees, define the work style and administrative methods. Each YMCA is unique and independent from other national associations. The role of the National Council is not to manage but coordinate the efforts of associations and provide relevant information.

YMCA in the United States

YMCA is the largest non-government public organization in the United States, which unites individuals for work for the benefit of society. More than 13 million men, women and children of all ages participate in YMCA programs and use various social services.

The National Council is located in Chicago, with regional offices in California, Pennsylvania, Georgia, Ohio, Minnesota, and Oregon.

Volunteers and employees of almost a thousand associations implement programs at 1391 locations and 243 summer camps which belong to local associations. It is a common practice to rent various facilities, swimming pools, gyms, parks, playgrounds and the like.

The new YMCA approach - "family team" - is based on the idea of strengthening the family through programs where all its members participate, irrespective of their age or physical condition. For many years parents prefer that their children spend spare time at YMCA facilities. Every 6th child in the USA attends its activities.

YMCA in Russia

In 1898 YMCA was established in Russia. A US citizen, James Stocks, became acquainted with the Prince of Oldenburg from Russia and was introduced to the Empress Alexandra Fedorovna. Thanks to her generous financial donations Stocks sent a representative to Russia who was expected to study the situation and opportunities for future YMCA operations in Russia. A group of YMCA enthusiasts drafted a project and presented it to the Government of Russia. The Mayak ("Lighthouse") project envisaged the development of programs for adults, children, and families in St. Petersburg. In 1919 the Soviet Government banned YMCA activities in the USSR as hostile.

During the years of perestroika, the relations between the USSR and the USA changed. Hundreds of children and adults could meet each other and make friends. Several groups from the United States and Canada visited the USSR as part of the program "Growing state mentality", which was managed by Dr. Nikolai Goncharov. He brought back more materials about YMCA, their mission, philosophy and programs. People in Russia and the NIS grew interested in those ideas. International department of YMCA-USA approved comprehensive assistance to revival and development of YMCA in Russia and other republics.

Project Concept

Main stages of YMCA Project in Russia (prepared on the basis of the proposal submitted to World Learning)

Project in 1992-1995

Applicant: International Department, YMCA-USA

Project Goal: Organization and development of local YMCA in the NIS (Yaroslavl, Moscow, Ivanovo, and Novosibirsk) implementing social programs in the community, health care, sport, art and development programs.

| | |
|----------------------|-------------|
| Total project costs: | \$1,000,000 |
| Requested funding: | \$750,000 |
| Available funding: | \$250,000 |

The main emphasis was expected to be laid on:

1. Strengthening and expanding Russian associations for the development of socially meaningful programs.
2. Program design and administration and leadership models, which could be used by Russian associations for development purposes. Special attention to be paid to development of skills.

Independent associations in the NIS capable of growth and expansion of their activities will be created through training of leaders and setting up partnership relations.

Summary of project activities in 1992-1995

Methodology:

- Training
- Training evaluations
- Technical assistance to local associations

Proposed local association programs:

assistance to the old-aged and handicapped, disease prevention, work with young mothers, financial planning in families, advanced training, business development, self-financing for associations.

Visiting trainers came from the United States and the European Alliance. Interactive training, a proven method used in Eastern Europe, was expected to provide necessary skills and give an impetus to board development and YMCA-style leadership.

Training was concentrated on the following:

- basics of program planning
- program development

Two stages of reaching goals:

1. Selected trainers-volunteers were trained in the United States
2. The model was supposed to be implemented through local training:
 - through the development of the Board of Directors,
 - work with volunteers,
 - administrative work,
 - fundraising,
 - public relations,
 - programming for various social groups.

A greater emphasis was laid on evaluation of all activities (two evaluation methods).

The evaluation was performed locally by groups of volunteers, who estimated

- community needs and
- their own programming capabilities.

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Reports were forwarded to local coordinators, then to project coordinators at YMCA-USA and the European YMCA Alliance.

A team of experts visited every local YMCA to evaluate the effectiveness of their operations and compile an evaluation report (monitoring). The other function of the team was to provide a flow of information between Russian associations.

Planned project activities:

Project timeline: autumn 1992 - autumn 1994

Post-project preparations,

- programming,
- recruiting personnel,
- setting up a system of communications.
1st Moscow Conference with participation of YMCA- USA and YMCA-NIS.
- discussing project goals,
- local implementation plans, and
- the process of needs assessment and monitoring

- need evaluation,
- identifying people for training,

- planning of training on the basis of identified needs,
- modeling workshops in Central and Eastern Europe in 1992,
- workshop (Moscow region) on conflict resolution, ecology, health and sexual education, community centers, young people in rural areas, professional training centers, handicapped, programming, recruitment and motivation of volunteers, training techniques, business, etc. American, Canadian, and European YMCA trainers participated in the workshop, all materials were prepared with the local context in mind and replication possibilities.
- trainers visited local associations and provided assistance as required.

Monitoring the results and implementation:

- technical assistance to local groups,
- evaluation of training effectiveness,
- recruiting candidates for training in the United States,
- analysis of monitoring reports,
- preparation for training in the United States,
- demands of the local context,
- training in the United States focused on development of leadership skills, management, training techniques and others (acquisition of profound knowledge and skills by the leaders of local associations).

Internal evaluation and monitoring

- correcting programs if needs are changing,

Long-term exchange of volunteers for the purpose of their professional growth.

- selection of candidates,
- travel to YMCA - USA,
- introductory course at Cleveland,
- identifying a partner association in the United States,

- routine project evaluation,
- 2nd Moscow Conference,
- 3rd team of experts traveled to the NIS

- 2nd training in Russia,
- preparation for extended training,
- extended training,

- trip to Silver Bay (advanced training in the United States),

3rd Moscow Conference

- creation of a coordinating group for YMCA development in Russia over the post-project period.

Expected Results

As it had been stipulated in the proposal, the expected results were:

1. Strengthening and expanding Russian associations for the development of socially meaningful programs.
2. Program design and administration and leadership models, which could be used by Russian associations for development purposes. Special attention will be paid to development of skills.

Evaluation

This evaluation was necessary for the following reasons:

- analysis of NGO development in Russia,
- overview of USAID-funded projects,
- identifying reasons for success or failure of partnership projects in the framework of World Learning program "PVO in the NIS",
- development of practical recommendations for individual NGOs or NGO movements in terms of their sustainability.

The evaluation was performed on request of World Learning, a US NGO, which carried out general supervision of the PVO/NIS project. The YMCA project was one of the 46 partnerships within the program, which was funded by the US Agency for International Development.

Evaluation Goals

The evaluation was not targeted at the analysis of the project itself, since the funding formally ended in 1995. World Learning received a final report on project impact. In addition, an intermediate evaluation was completed, as the contract required one.

Long-term influence of the project should be also assessed, as well as the present situation with the Russian YMCA, which would enable to produce recommendations for future development.

Evaluation Tasks

1. Determine the project impact on YMCA development in Russia

- comparison of expected and obtained results,
- do conditions for YMCA development exist in Russia?
- determine the criteria for organizational development of Russian YMCA,
- were sustainable associations created in Russia.

2. YMCA impact on communities

- identification of active programs,
- description of local program characteristics,
- determine the importance of YMCA programs for local communities,
- identification of side effects,
- effectiveness of training programs.

3. Partnerships: problems and success

- partnership relations between Russian associations,
- partnership at the NIS/Russia level: National Council of Russian YMCA,
- partnership of Russian and American YMCA,
- partnership of Russian and European YMCA,
- prospective partnerships.

EVALUATION PLANNING

1. Studying project tasks

During the initial acquaintance with the project a chart of involved parties was compiled to be used for determination of those who should be involved in the evaluation process.

The method of building up a network of interactions was used to compile the chart. *The goal of the method* is to reflect the interaction of elements in the project problem pattern.

The sequence of actions:

- 1) Define the notions of "involved parties" and "interaction" so that other experts might identify the same configuration of elements and relationships.
- 2) Use the pattern of interactions to determine interrelated pairs of elements.
- 3) Draw a chart where involved parties and their relationships are presented.(See the chart in the Appendix).

In order to determine the hierarchy of goals and tasks of the project the team of experts compiled a chart "Project structure: hierarchy of tasks". The chart demonstrates the sequence of steps to achieve the tasks as well as stage-by-stage accomplishment of the main project goal. It was expected that an analysis would be performed to determine if project tasks were properly formulated. For this purpose the method of system transformation was chosen:

The goal of the method is to find ways of system transformation to eliminate its drawbacks.

The sequence of actions:

1. Identify drawbacks of the existing system
2. Determine the nature of these drawbacks
3. Determine the new types of system components capable of eliminating the drawbacks
4. Determine the sequence of changes

See the chart "Project structure: hierarchy of tasks" in the appendix.

Evaluation Methodology

Initially it was planned that the evaluation would be performed, data will be collected and analyzed according to the following scheme:

| Subject | Data Collection | Data Analysis |
|---|---|---|
| Foreign YMCA Russian YMCA Russian Association | Questionnaire Questionnaire, interview Meetings, interviews | Content analysis (by key words and structure) |
| Partnership | Questionnaire, interview | Is this typical? |
| Program services: program topics number of programs number of clients program periods | Questionnaire Observations | Frequency distribution Percentage distribution and other types of qualitative and quantitative analysis |
| Circulation of program models | Meeting | Correlation |
| Enhancing organizational capabilities | Interview | Description of typical phenomena |

However, during the evaluation it became clear that the main task of the project was to create a "network", not programming for individual associations, although the whole project was building around partnerships between Russian and American, and later - European associations. That is why the team members made the decision to consider interactions between blocks (or "involve parties") and avoid concentration on individual associations. In addition, certain temporary and financial problems did not allow for interviewing all partnership associations.

The following methods were chosen:

- Review and analysis of documentation
 - reports,
 - information bulletins,
 - participants' opinions,
 - minutes of workshops and conferences)
- Interviews with:
 - leaders of Russian associations,
 - representative of the European Alliance,
 - representative of the International Department of YMCA-USA
- Observation:
 - visits to Russian associations,
 - meetings program participants

| Stages | 1 week | 2 weeks | 3 weeks | 4 weeks |
|---|--------------|-------------------|--------------|-----------|
| 1. Planning - studying tasks - choosing methods | XXXX XXXX | | | |
| 2. Preparation - development and testing of instruments - training for local personnel | XX XX | XXXX XX | | |
| 3. Data collection - meetings - collection of materials - interviews with partner associations | XX | XXX XX XXXX | | |
| 4. Data analysis - statistical analysis - content analysis | | | XXXX XXXX | |
| 5. Report - draft - final version | | | XX X | XX XXX |

The team members used the criteria formulated on the basis of the Manual for NGO Performance Evaluation prepared by World Learning, this allowed us to determine the level of organizational development of Russian associations and stick to a uniform interview structure. It is important to note that team members did not seek to impose the American model. Associations can be at various levels of development in each of the functional spheres. In terms of leadership development a Russian association can be at the stage of expanding its activity and in terms of resources - at the initial stage. This is quite natural, such a process lets the association identify priorities for the transition to the next stage. The determination of the needs in accordance with these criteria helped the team members to concentrate on the necessary or sufficient steps to improve the efficiency of Russian associations.

1. Leadership and Planning

- mission, goals, and tasks;
- strategic planning;
- leadership bodies and decision making procedures;
- systems of information management and administration;
- programming and management;
- clients participation in operational planning.

2. Human Resources

- the role of employees in NGOs, delegation of duties;
- organization of the work process, team work;
- remuneration system;
- system of recruiting and work with volunteers;
- conflict resolution.

3. Financial Management

- planning of project financial resources;
- systematic accounting;

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- system of financial management;
 - fund-raising mechanisms, several sources of funding;

4. Relevant Experience

- information on NGO services;
- dissemination of experience;
- mechanisms of attracting clients to program planning;
- logistics.

5. External Environment

- legal status of NGOs;
- communication and contacts with clients;
- cooperation with government bodies;
- cooperation with the public, NGO image;
- relations with other NGOs;
- relations with commercial structures;
- relations with mass media.

EVALUATION RESULTS: FACTS, CONCLUSIONS, RECOMMENDATIONS

Interviews helped to determine that by 1992 (when the project started) there were 3 associations in Russia. Two of them were supported by the United States (one in St. Petersburg and one in Moscow) and the third one existed independently. The report provides information only about the very first conference, as it was the start of YMCA activities in Russia.

The first conference resulted in establishing more partnerships. The conference was attended by trainers from the United States, Europe, and one from Russia. Representatives of American associations which were interested in establishing partnerships participated too. There were two representatives of the YMCA European Alliance, representatives from Armenia, Georgia, Russia, and Ukraine. Russian participants learned about the conference by word of mouth, ads, etc.

The agenda of the Conference included the following topics:

- what is YMCA;
- leadership development;
- program development.

The main result of the Conference was the establishment of partnership relations, which were built on the basis of mutual compatibility. Similarity of programs was not the dominating principle. **One of the main difficulties** for continuing work in accordance with YMCA principles was a number of people without genuine interest in developing YMCAs among the reps of Russian associations.

It is necessary to note that YMCA had certain contacts with the former Komsomol and Pioneer organizations. Thus projects were often initiated with use of skills and experience borrowed from those organizations. Partnership was established directly. A peculiarity of the partnerships was the lack of long-term programs, and the whole process was mostly the exchange of personnel, ideas, and experience. American partners did not impose their experience, but helped adapt them to local situations.

The main problem at this stage was a need of a leader who might work for a long period of time. The evaluation showed that by 1997 there only two leaders still functioning, while in 1992 there were five of them.

The project work was built on the basis of YMCA provisions on long-term partnerships which were not restricted to the framework of a project. American partners demonstrated the interest in maintaining relationships with Russian colleagues. A meeting with participation of the European Alliance and Russian associations was held in January 1996 in Sarasota. This allowed for the exchange of ideas, discussions of problems and perspectives. Presently there are agreements on joint activity between the following partners:

Westfield - Moscow: exchange of childcare programs, training on operational planning and financial management, assistance to the Russian partner in securing a grant.

Tennessee Cluster - Bryansk: programs for young people, financial assistance to the Russian partner (salaries), schoolchildren exchange in summer camps.

Philadelphia - Yaroslavl: joint fundraising, training on financial management, financial assistance to the Russian partner.

Hartford - Novosibirsk: information exchange, cultural exchange, cooperation within the program "young people and management".

All in all there are 23 active partnerships between YMCA - USA and Russian associations. The list is attached.

Other inter-Russia relationships were also established. Russian YMCAs became involved in cooperation in the project of a newspaper "YMCA - Vesti". The idea was prompted by Russian associations in order to eliminate the information shortage.

A joint summer camp program was developed (Moscow, St. Petersburg, Kaluga, and Vladimir). There is an agreement between Moscow, Yaroslavl, and St. Petersburg about summer programs which have been implemented for two years after the project was closed down. Russian associations cooperate with government bodies: YMCA-Yaroslavl and the Youth Committee, YMCA-Bryansk and public order bodies (work with drug users). These are examples of the accomplishment of one of YMCA goals - **creation of sustainable partnership relations.**

Great attention was paid to training and creation of a special YMCA atmosphere. Training concentrated on local experts involved in the process. Russian partners did not receive any funding in cash, but they did receive equipment, training, and traveled to the United States. However, the training for Russian trainers was hindered by the lack of a clear-cut long-term training program. In 1994 nine US trainers and only one Russian trainer participated in a joint training in St. Petersburg. Five joint conferences were held: one in 1992, one in 1993, two in 1994, and one in 1995.

Initial Conclusions

The evaluation experts came to a unanimous conclusion that all expected activities were carried out, results were achieved, and in general the project was a success. The appendices contain participants' opinions. However, certain changes took place during the project, that happened due to insufficient preliminary preparations. A position of Regional Director (representative of YMCA-USA in Russia) was introduced for the purpose of improving information exchange and quality of effort coordination. This decision improved cost efficiency and quality of partnership relations. In the end of the project the position of Director of Development was added for the purpose of maintaining a proper level of communication between American, European, and Russian partners and coordinating YMCA movement in Russia. He still functions as coordinator of YMCA operations in Russia, organizes training and fundraising activity.

POST-PROJECT ACTIVITY OF RUSSIAN YMCA AND PARTNERSHIP RELATIONS

The report provides a few examples of Russian YMCA activity after the project was closed down.

Bryansk

YMCA-Bryansk continues working on the following programs: establishing a fitness center, teaching arts and carpentry to young people, assistance to a local hospital. They plan to initiate a new program of swimming lessons for children. The leader of YMCA-Bryansk left his other job and now devotes all his time to YMCA. In 1996 two volunteer groups from Nashville and Chattanooga worked in Bryansk. The American partner will deliver equipment for the fitness center via Federal Express service.

Moscow

Poklonnaya Gora

Programs of this association include work with preschool and schoolchildren, teaching Russian crafts to children, organization of a military and historical club, care for stray animals, summer camps and issuing an information bulletin. Programs are implemented in cooperation with American and English partners. The goal of this association is to achieve stable development in four years. The Russian association applied to World Learning with a request to evaluate a series of grant applications which would support the long-term organizational development.

Moscow 1

Programs:

youth camp, "Russki Dom", "Zavtra v shkolu" (teaching reading, arithmetics and English), Family Club ("Semeiny Klub"), studying the history of Moscow.

New programs:

Theatre for children, crafts school

The main difficulty - shortage of funds.

Novosibirsk

Active programs include children exchange between Russian and American partners. Summer camps (120 children in 1996). Supervisors for the summer camps were trained in October 1996. Training the leadership of the Russian partner is in full swing, in 1996 the American partner donated a computer and some funds for a number of small projects.

Vladimir

The establishment of partnerships and programming did not go without a hitch. The partnership of YMCA-Sarasota and YMCA-Vladimir was terminated through the fault of the Russian partner. The implementation of the preschool tuition in Vladimir did not correspond to the philosophy and policies of YMCA movement. After a series of negotiations and visits of the Regional Director a decision was made to terminate the partnership. The American partner considers this was an important experience. Right now they are busy establishing a partnership with the Ukrainian YMCA ("Krasny Lutch").

At a certain stage of the project it became obvious that there is a need to create a national organization for coordination of efforts, representation and fundraising at the international level. Several meetings for discussing the draft provisions of a union did not result in anything positive due to the fact that several leaders of Russian associations wanted to head the whole movement. In autumn 1996 Russian associations adopted the Agreement (Constitution). All associations but three of them became members of the Union. Below are excerpts from the Agreement about the foundation of the National Union of YMCA in Russia.

2. Subject of Agreement

The parties agree to unite their efforts for the purpose of effective use of resources and opportunities, interaction, dissemination of information and experience, joint programming, legal support and implementation of high ethic principles, based on Christian and human values including the following:....

- 2.2. Collect and exchange opportunities and information for the purpose of effective implementation of tasks formulated in the Agreement.
 - 2.3. Create favorable conditions for implementation of non-profit projects.
 - 2.4. Provide recommendations and advise to each other about possible partners, companies, contacts with legal bodies and individuals, which the parties may find appropriate for joint activity.
 - 2.5. Exchange information about optimum organizational development.
 - 2.6. Participate in joint programs, hold workshops and conferences, surveys, create information databases, issue joint informative and analytical publications.
- See the complete text of the Agreement in the Appendices.

The evaluation team found that the creation of the Union was an important step in YMCA development. However, members of the Coordination Council should not limit themselves to the programs of their own associations, but be actively involved in the organizational development of the whole Union, improve their professional level by participating in workshops of the NGO community. It is necessary to search and exchange information on a permanent basis.

Goals and Perspectives of YMCA development in Russia in 1997

For the purpose of expanding the activity, started in 1992-1995, the YMCA tasks include:

- Further support for the National Coordination Council in the drafting of development plans, definition of criteria for adoption of new members, fundraising and training.
- Involvement of new foreign partners
- Organization of training and evaluation of needs for individual associations
- Continuing work with the European Alliance for partnership development
- Securing funds for future programs
- Creation of a uniform telecommunication system which would include Russian organizations and their European and American partners.

Examples of Partnership Development in 1997

Other partners' plans include:

- **Charlotte-Moscow:** increasing the participation of the American partner, making a three-year strategic plan for development.

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- **Hartford-Novosibirsk:** concentration on design and implementation of new programs, financial development, search for new partners.
 - **Philadelphia-Yaroslavl:** creation and development of the Board, fitness center
 - **Lancing-St. Petersburg:** specification of partnership goals, financial independence, developing contacts with the external environment.

CONCLUSIONS

- One of the problems for project implementation, especially at its initial stage, was poor knowledge of American partners of the situation in Russia. The applicants did not understand the needs of their Russian partners for training and technical support. Another problem was posed by a large number of people with ingenuine interests in developing Russian Associations.
- A lot was expected from paying attention to individual leaders (their training and promotion). Sometimes this led to interpersonal conflicts. During and after the project the search for a leader who might work for a long period of time was problematic. The evaluation showed that by 1997 there only two leaders still functioning, while in 1992 there 5 of them.
- While carrying out the evaluation, the experts found a lot of commitment among the YMCA participants and leaders. It was a pleasure to find high moral qualities in Russian YMCA leaders, who acted as truly devoted individuals.
- The positive aspects of the partnership were marked by both American and Russian associations:
 - cultural exchange,
 - variety of programs,
 - orientation to long-term partnership relations.

One interviewee said "Americans should be brought to Russian to share new ideas and get inspiration. Those who came here once, always want to return".

- Financial support on the part of foreign partners developed parasitic attitudes in Russian partners. Reliance on the partner's assistance and lack of professional knowledge on fundraising gave rise to serious financial problems. This affects the quality and scope of services. The professional level of employees is low. A representative of YMCA-USA: "In America, founders join the Board, in Russia they become directors continuing working as volunteers".
- Financial stability of individual associations has not been achieved, thus an early emphasis was laid on mutual financial relations and obligations. This may cause interorganizational conflicts, especially at the initial stage of development, violation of the principle of equal partnership and establishment of the "elite".
- During the post-project period Russian associations did not pay enough attention to organizational development. Program activity at the initial stage slowed down due to lack of organizational development.

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- During and after the project a lot of work was done to develop the information network between associations. This stimulated the creation of the National Union and will further strengthen the movement both at national and international levels.

RECOMMENDATIONS

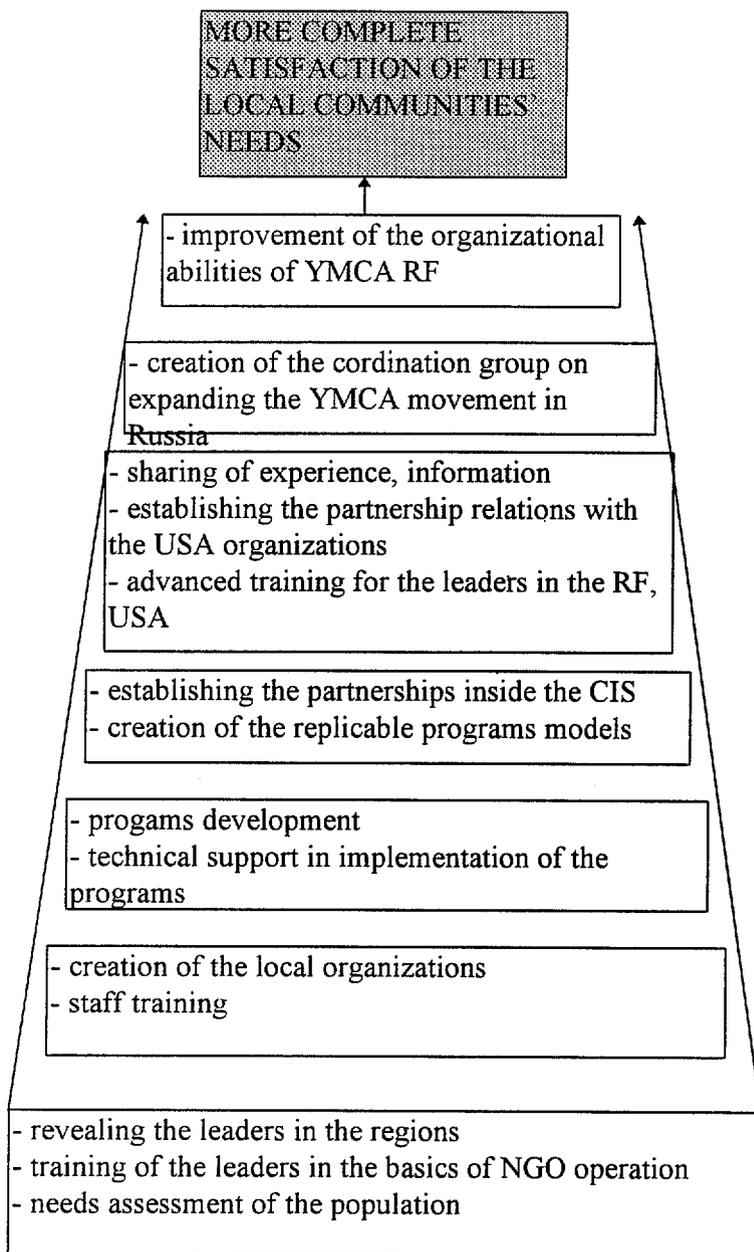
1. Perform a comprehensive evaluation of the needs of Russian Associations with help of professionals (training programs of Counterpart, World Learning, etc.). Attract American partners to the process, if possible. Study and analyze the results and make a chart of priorities for Russian Associations.
2. Develop a detailed plan for training of leaders and employees on the basis of the above chart. The training programs should be practical and include workshops on organizational development. The goal is to develop skills.
3. Develop a plan for securing funds and fundraising for each association with the account of the local situation. Both leaders and employees must participate as well as facilitators from the European Alliance and YMCA-USA. The plan should have provisions for individuals responsible for the operations and their motivation mechanisms.
4. Compile and publish a manual describing the positive experience of partners' relations, YMCA programs, participants' opinions. This may be another grant application. The project should be implemented by the National Union.
5. Foreign partners should require a proposals before donating funds in cash or in kind. This will teach Russian associations to write grant proposals and basics of program design.
6. The National Union should develop a pilot project on introduction of the mechanism of interaction between the members of the Union with the account of their organizational development levels and possibilities for financial participation in program design.
7. For the purpose of eliminating the shortage of information resources the information network of interaction should be created. The system should include possibilities of obtaining information from the NGO world in general, provide access to information sources abroad. It is necessary to inform all Russian Associations about the availability of information in acting resource centers and computer networks.
8. Continue work on further strengthening of partnerships between YMCA-USA and YMCA-Russia with participation of the European and World YMCA Alliances.

APPENDICES

1. TEAM MEMBERS
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3. CHART - PROJECT STRUCTURE: HIERARCHY OF TASKS
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10. AGREEMENT ON THE NATIONAL UNION OF RUSSIAN ASSOCIATIONS

Group 2. S. Koryukina, L. Goncharova, A. Borovykh

HIERARCHY OF THE PROJECT'S OBJECTIVES



Section 4

Evaluation Report - Group 3:
William Drapushko, Maria Zaks, Vladimir Yakimets

“Support of Indigenous Health Care NGOs: Public
Health Policy and Other Health Care Priorities in
Russia” CECHE/HEF/ADP

Evaluation Training Program for Russian Experts

EVALUATION

of a completed donor-funded partnership (PVO/NIS) project implemented by Central European Center for Health and Environment" in cooperation with Russian NGOs

**SUPPORT FOR NATIONAL HEALTH CARE NGOS: PUBLIC HEALTH
POLICY AND OTHER PRIORITIES FOR RUSSIA**

presented for a final training workshop of the Project Evaluation Training Program for Russian Experts, organized by World Learning with participation of Management Systems International, a US consulting company.

The present paper was prepared for training purposes by

William Drapushko
Maria Zaks
Vladimir Yakimets

and cannot be used for any other purpose

May 12-18, 1997
Moscow

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A. Executive Summary

The project is a unique attempt to create a network of sustainable NGOs in the sphere of public health. For this purpose a Russian-American partnership of NGOs was established. Effective training on management and organizational development was carried out for Russian NGO staff. Also, a number of HEF and ADP employees participated in profound training at five leading US NGOs.

An in-depth plan of the project activity was developed and priorities for Russian NGOs were identified.

Necessary hardware and software were purchased.

Information bulletins on public health critical issues are issued on a regular basis.

Key Russian partners - HEF and ADP - are now considered advanced and stable NGOs, this was confirmed by a series of new grants after the project was closed down. Total new funds exceeded the previous grant three times. However, other opportunities for fundraising have been ignored.

The NGOs constantly use telecommunications systems. The Russian Public Health Association (RPHA) with over 40 affiliates was founded. A large-scale forum for anti-alcohol campaign was held. Various government bodies have been provided with practical recommendations.

1. PROJECT GOALS AND OBJECTIVES. PROJECT TIMELINE

As it is described in [1, 2, 4] the main reasons for the catastrophic situation with public health in Russia are a very polluted environment and an inefficient health care system, characterized by lack of disease prevention measures, obsolete equipment and isolation of practicing physicians from state-of-the-art technological, medical, and scientific achievements.

Alongside with alcohol abuse, smoking, poor nutrition, lack of physical exercise, and use of unsafe water and food, this situation is caused by lack of dynamic, decentralized infrastructure policy in public health.

Based on the US experience where PVOs play an important role in lobbying reforms, expansion of the non-government sector through a growing variety of services, and fight for key elements of public programs the designers of the project believe that its major goal was to create and strengthen a network of Russian NGOs.

Therefore, it was decided to establish a Russian-American NGO partnership in the sphere of public health.

A list of 10 NGOs (five from Russia and five from the United States) is given in [2, 4]. It was expected that Russia will be presented by:

- HEF, Moscow, and 6 affiliates in Yaroslavl, Lipetsk, Kirovo-Tchepetsk, Murmansk, Petrozavodsk, and Novosibirsk.
- the Association of Physicians of the Don, ADP, Rostov
- the Union of Consumers of St. Petersburg,
- the Foundation of the Handicapped, Nizhny Novgorod,
- Cerebral palsy and encephalitis association, Tomsk.

However, the last two organizations were not involved in the project. HEF and ADP became the leading Russian organizations. Partner relations were established with St. Petersburg Consumer Union. Another five American NGOs selected by CECHE participated in the project.

Initially the **goals of the partnership** were defined as follows:

- Enhancing the organizational and administrative potential of the selected Russian NGOs;
- Conducting professional training for the members of the above NGOs and providing technical assistance to them;
- Strengthening and expanding cooperation among Russian NGOs.

The project also intended to develop an association of public health NGOs.

The final goal was formulated as follows:

Guarantee sustainable functioning Russian NGOs with increased potential.

Such a statement may sound amazing. All categories of the Russian population (120 million people) were considered as project beneficiaries. It was expected that they will be affected by various project activities during the two project years. This goal was not achieved mostly because of its declaratory nature.

See the table for the two-level list of major goals for the donor-funded project for 1994-1995. The list was generated on the basis of the project reports.

Table 1. Major project goals

Sustainable development of main Russian partners

- Training on NGO management, fundraising, planning
- Specialized (medical) training
- Training in US PVOs
- Establishing partner relations with US PVOs

Creation of an interactive network of Russian NGOs

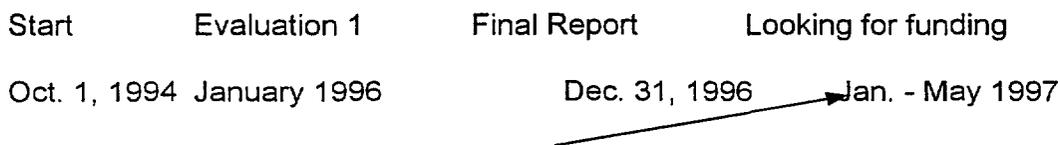
- Creation of the Russian public health association
- Improvement of communications
- Creation of a WEB-page

Development and implementation of public health policies, including:

- Initiation and lobbying of draft laws
- Implementation of an anti-alcohol program
- Use of mass media in the interests of public health
- Implementation of an anti-smoking campaign
- Bulletins for medical workers and NGO volunteers
- Publication of a series of reports ("Health for all - all for health")

Project Timeline

The project was initially scheduled for the period of October 1, 1994 to December 1, 1996, so at the time of this evaluation the project had been phased out. CECHE requested additional funding and time to continue the project during the first six months of 1997. A proposal was drafted [3]. World Learning was only able to grant a 3-month no-cost extension, as we were informed by Donna Barry, World Learning, Moscow Office. HEF is now sourcing out funding from other organizations. Below is the project timeline:



the period when the present evaluation was carried out.

2. PROJECT PARTICIPANTS

2.1 Central European Center for Health and Environment (CECHE)

The Central European Center for Health and Environment (CECHE) is a US private non-profit organization (501(c)(3)). It was founded in 1990 and the headquarters are located in Washington.

Its mission is to support democratic changes in Central Europe and the former Soviet Union by means of initiating, coordinating and advising on public health improvement and decreasing the negative effect of polluted environment. For this purpose partner relations between US and European experts have been established. They work on the implementation of public sector reforms and private sector development in the following four spheres:

- environment and public health;
- reforms at municipal level;
- professional training;
- public education.

CECHE contribute to the project their experience and knowledge in the first and the third areas. Find more information about CECHE in [6-8].

2.2 PVO partners in the United States

The main US partners for the project were the following organizations which were selected by CECHE:

1. S.I. Newhouse School of Public Communications, Syracuse Univ., N. Y.
2. Child Development Center, Georgetown Univ. Washington, D. C.
3. American Institute of Cancer Research, Washington, D. C.
4. Center for Science in the Public Interest, Washington, D. C.
5. World Federation of Public Health Associations, Washington, D. C.

These organizations are known both in the United States and abroad. They have the necessary personnel, equipment, methods and experience for providing support for newly established public health organizations. This is important for specialized training on public health topics, NGO organizational development, fundraising, contacts with mass media, etc. More information about these partner organizations in the United States (contact information, training topics) are available in [1, 2, 4, 8].

2.3 NGO partners in Russia

The Russian partners were:

1. HEF (Health and Environment Foundation) with 6 affiliates (Yaroslavl, Petrozavodsk, Novosibirsk, Lipetsk, Kirovo-Tchepetsk, Murmansk)
2. ADP (Association of Physicians of the Don) with 8 affiliates (Rostov-on-Don, Azov, Novoshakhtinsk, Aksai, Bagaevskaya, Shakhty, Tselina, Novochoerkassk)

3. Association of Physicians of Russia with 40 affiliates
4. St. Petersburg Consumer Union

Below is a brief description of the first two, which became the main partners.

HEF was initiated in 1992 and officially registered in 1993 after all necessary documents were prepared. HEF is an independent, non-profit, non-government organization.

Its mission is to protect and improve the public health in Russia by means of improving social and natural living conditions, environmental protection and fighting negative tendencies affecting human health. Famous physicians are members of its Board of Directors. HEF functions systematically and purposefully. Six affiliates have been established in various regions of Russia. More information on HEF's organizational structure, principles of development and management, its goals and projects implemented before the project that we evaluated are provided in [4, 5, 8, 10].

Before October 1, 1994 HEF activity was funded from various sources:

- a McArthur's Foundation grant (\$50,000) for the compilation of the first Russian atlas "Health and Environment";
- donations from the International Foundation for Mercy and Health and Association of Physicians of Russia for the registration and obtaining a license for publications on public health in Russia.

From the beginning, HEF established a wide circle of contacts and relationships with various Russian and foreign NGOs.

The Association of Physicians of the Don (ADP) was registered in January 1994 as a non-government public association of physicians of the Rostov Region. Heads of the largest hospitals of the region and activists of ADP are members of its Board of Directors.

The mission of ADP is to develop the medical sciences and practices to improve public health, represent professional interests of medical workers in various government and public organizations. The structure of the association, management and funding peculiarities, major projects and programs are described in [4, 5, 8, 10].

Appendix 2 contains the description of missions and organizational structures for both key partners of the evaluated project - HEF and ADP.

3. PROJECT EVALUATION AND MAJOR ISSUES - CHART

The organizations interested in the evaluation results:

- Representatives of World Learning in Moscow and Washington;
- Representatives of CECHE headquarters;
- Representatives of USAID;
- Representatives of HEF in Moscow;
- Representatives of ADP in Rostov.

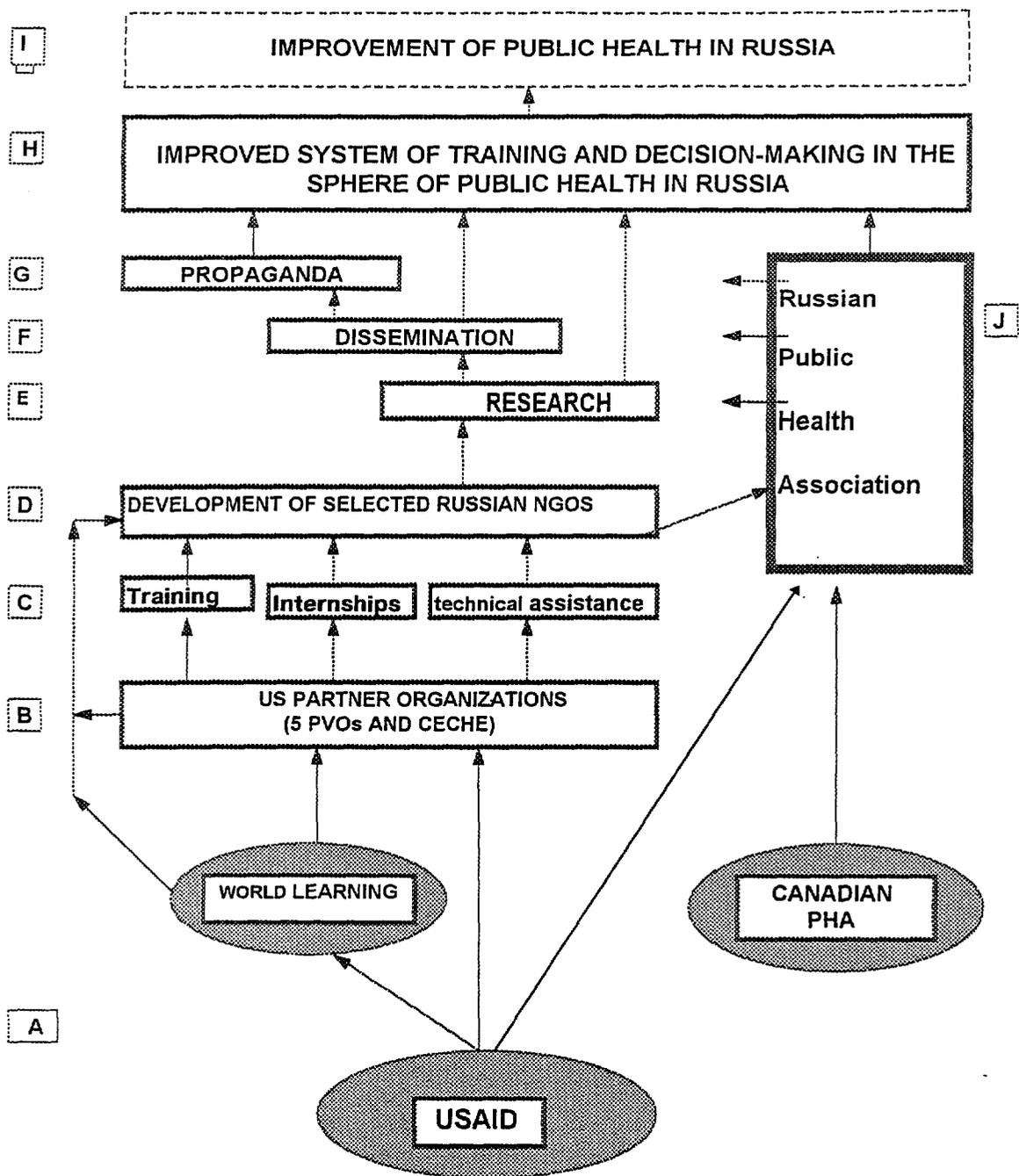


Fig. 1. EVALUATION SCHEME AND POTENTIAL FOR ITS DEVELOPMENT

The documents listed in Appendix 1 were thoroughly studied during the evaluation of the project. A meeting with HEF personnel in Moscow was organized. HEF President Mr. Demin demonstrated the recent materials, he was also interested in the results of evaluation. A few telephone interviews with other officials took place, e.g. with a HEF representative Mr. Zhirov and Donna Barry, Project Coordinator, World Learning. They specified a few issues that were not clearly formulated before.

To make the understanding of the project and its impact more systematic we made up a flow chart demonstrating the project impact (Fig. 1): the main participants, interaction between them, the hierarchy of project goals, main partner activities and structure of NGO operations in Russia.

The chart allowed us to formulate the following evaluation-related questions:
was the performance efficient?
did the activity correspond to the goals?
were the work plans well-prepared and systematic?
was there any progress in terms of sustainability, stability, cost-efficiency?
and others. The groups of such questions in the chart are denoted by A to J.

Key evaluation-related questions are grouped below.

A. Evaluation - donors and mediators

- 1) Was the expected effect accomplished?
- 2) Are achievements comparable with investments?
- 3) Was the post-grant NGO development satisfactory?

B. Partner relations with US organizations

- 1) What was the role of US NGO partners in the establishment and development of public health in Russia? Was it a genuine partnership?
- 2) What American experts participated in the project? What was their participation like? Was their contribution adequate to the costs of the training of Russian NGO staff?

C. Effectiveness of the Professional and Administrative Training for NGO Staff. Sufficiency of Technical Assistance.

- 1) What was the impact of the training on:
 - telecommunications;
 - English;
 - organization of conferences;
 - fundraising;
 - management;
 - profound professional training in the United States;
 - lobbying;
 - work with mass media;
 - human resources management;
 - strategic planning.

2) Do NGOs have enough equipment and materials for independent activity?
What kind of technical assistance did Russian NGO receive?

D. Evaluation of the increased organizational and administrative potential of Russian NGO project participants.

- 1) Did the Russians NGOs, which will be the basis of the future NGO community, manage to use the "starting" investment of the two-year grant to learn to earn money for themselves and support of new community members? What part of the "starting" capital was invested in development potential?
- 2) What part of the funding did NGO use for creating a basis for self-financing after the project was over and what part of the current NGO budget is used for that purpose?
- 3) Were training activities effective? Did the NGO staff acquire the experience in project strategy?
- 4) How can the progress of NGO staff in management be evaluated?

E. Evaluation of urgency, novelty, and depth of the research

- 1) How can the quality and novelty of the research be estimated?
- 2) What was the novelty of results and approaches?
- 3) What is the role of the research results in the framework of major projects?
- 4) How was project progress evaluated by its participants and those who were interested in results?
- 5) How are the results of the research used?

F. Dissemination of knowledge and results

Is the dissemination process organized effectively? How, where and who uses the results of the project research? Who, how often and how receives the results of the work done?

G. Public health care: propaganda and activity

What events, campaigns and meetings for the propaganda of public health achievements were most effective? Did they influence those who make decisions? Was the concern for social problems increased in the public? In the government? Among scientists?

What is the major difference between NGO results and traditional achievements of state medicine in anti-alcohol and anti-smoking campaigns? What is the novelty of their information materials and propaganda? Have any briefings or press-conferences been held to release research results? Are they regular and effective?

H. Evaluation of the impact on decision-making system in public health

- 1) What was the difference between project activities and traditional forms of information services offered to the population by the Ministry of Health?
- 2) How do foreign public health experts evaluate the impact of NGO programs? Does their evaluation coincide with NGO self-evaluation?
- 3) Did any new laws, draft laws, amendments to laws appear or were any proposals submitted to the executive bodies on new regulatory mechanisms and control over each of the main programs of Russian NGOs (anti-alcohol, anti-smoking, etc.)

I. Evaluation of goals and the degree of their accomplishment.

- 1) Was the idea of reforms in public health adequate and acceptable in the present-day situation in Russia? (Strengthening NGOs while there are no funding sources in the country, similar to US foundations or USAID)
- 2) Did everyone in Russia have access to the materials and media campaigns? Were they effective?

J. Progress in the creation of an NGO coalition

- 1) Was the Russian Association of public health registered?
- 2) Is this an active organization? Does its organizational structure correspond to its charter and intentions?
- 3) How does the mission of the RPHA correspond to the tasks and goals of the donor-funded project?
- 4) What is the role of communications in the development of partner relations? Do the RPHA members effectively use the telecommunication equipment?
- 5) How did the project influence the establishment of partnerships between RPHA members?

4. EVALUATION OF PROJECT ACTIVITIES

We have chosen the descriptive pattern of evaluation after analyzing all available documents. For this purpose we used the results of interviews with Russian project participants and evaluation methodology studied at the first training sessions. In this case our task was to formulate questions so that actual results could be compared with the expected ones after project tasks, goals, processes and organizational decisions were structured and systematized.

The main questions formulated in the previous section were grouped into five categories:

Category 1. Degree of feasibility of main donors' and stakeholders' intentions. All questions from group A.

Category 2. Unique and genuine partner relations between Russian NGOs (beneficiaries) and foreign NGOs, and between Russian NGOs that joined the coalition. Questions (B, C, and D) and (J).

Category 3. Efficiency and stability of Russian NGO development, as well as a network of such NGOs. Questions E, F, G and J (those concerning RPHA results for individual programs).

Category 4. Degree of influence on the existing decision-making system in public health. Questions H as well as E, F, G and J.

Category 5. Feasibility and degree of accomplishment of initially declared goals. Questions I.

A. Evaluation - Donors and Stakeholders

1) Was the expected effect accomplished?

A few factors determine whether expectations were justified or not:

- was the choice of Russian partners correct appropriate for this project?
- Was the grant planning and grant management on the part of the major grantee adequate?
- Were all major partners enjoying equal rights?

Although the main partner under the project were comparatively "young" (CECHE established in 1990, HEF - in 1993, and ADP - in 1994), they profited by the rich experience of World Learning and five US PVOs and drafted an acceptable plan of public health reform in Russia.

The **essence of the plan** was **technical assistance** and **methodology support** for potentially powerful Russian NGOs. The assistance was provided by means of a **professional evaluation of**

- (1) degree of their organizational development,**
- (2) needs, and**
- (3) priorities.**

The evaluation was followed by :

- (a) economically feasible schedule of training;**
- (b) purchase and delivery of carefully selected equipment;**
- (c) profound practical training of key Russian staff in appropriate skills and knowledge with US PVOs.**

The above scheme turned out to be very successful and efficient, it allowed them to enhance selected Russian NGOs as well as avoiding possible common mistakes in the process of development.

Undoubtedly, the impact expected by USAID, the main donor of the project, was accomplished. This will be described in detail in Sections 4.3 through 4.8.

Table 2. BUDGET COSTS

| Line item | For the period of Oct. 1, 1994 to Dec. 31, 1996; USD | % |
|---|--|------------|
| Salaries for US PVOs, CECHE-Moscow, Berlin and Washington | 283,343 | 42 |
| Purchase and use of equipment, payment to consultants | 164,567 | 24.4 |
| Transportation, tickets, per diems | 111,671 | 16.5 |
| Communications | 53,076 | 7.9 |
| Other direct costs (rent, supplies) | 41,215 | 6.1 |
| Evaluation | 1,730 | 0.2 |
| Audit | 19,863 | 2.9 |
| Total | 674,805 | 100 |

Note:

The total costs of \$674,805 are broken down as follows:

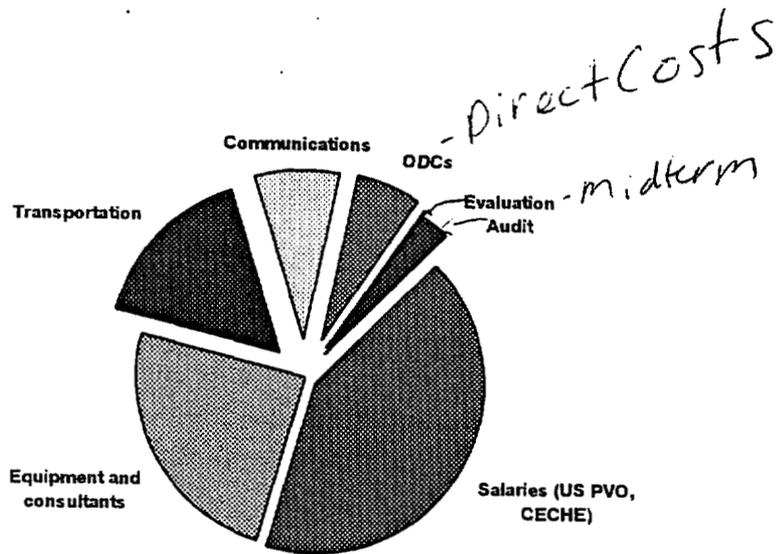
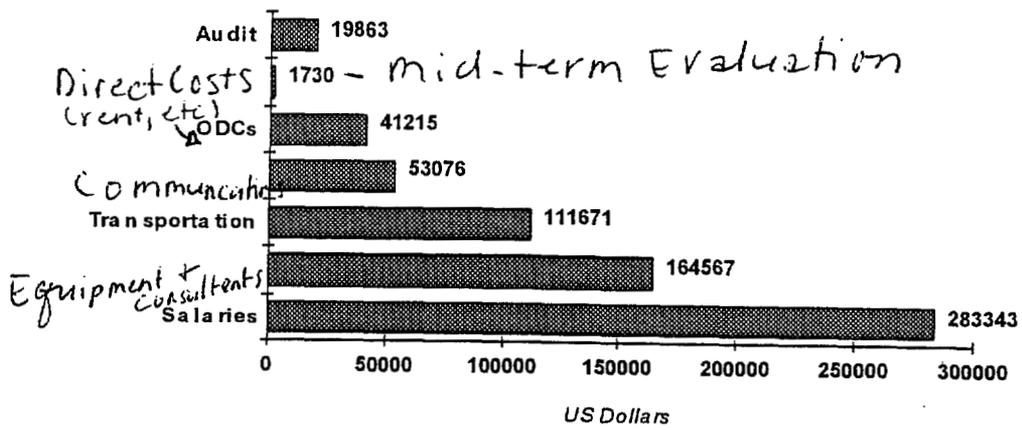
| | | | |
|-----------------------------------|-----------|-----------|---|
| 1) USAID (through World Learning) | \$400,000 | in cash | 59,3% |
| 2) CECHE | \$251,975 | | around 37% |
| | including | \$118,869 | equipment, consultants |
| | i.e. | \$155,936 | in cash 62% of total CECHE contribution |
| | including | \$44,882 | salaries |
| | | \$58,286 | transportation |
| | | \$14,298 | communications |
| | | \$13,635 | Other |
| | total | \$131,101 | |

Main Russian partners received:

\$50,025 and equipment (PC, printer, copy machine and software) to HEF

\$\$ + Equipment (PC, printer, copy machine and software) to ADP

FIG.2. BUDGET COSTS
(1994-1996)



2. Are achievements comparable with donations?

The answer to this question has never been easy. After any project is closed down, both participants and supervisors can see what could have been done better. It is no exaggeration to say that no genius can offer a super operational plan for a crisis economy. Nevertheless, it is worth trying to compare the scope of achievement with the amount of donations. Let's first see Table 2 and Figure 2.

The line items of the project budget are shown in Table 2. The total costs of \$674,805 are very impressive for the present-day situation in Russia. Using the exchange rate of \$1 = Rbl6,000, the total cost amounts to over 400 billion rubles for two years or over 17 billion rubles per month. This amount is equivalent to a monthly minimum wages for 200 Russian citizens over a two-year period. Isn't this a lot of money? In conditions of chronic delays of salary payment, mass unemployment, etc., funds could be channeled to other things, e.g. a well-equipped clinic for alcoholics (one of the main topics of the project), or all necessary materials for a dozen of clinics in rural areas of Russia.

To avoid such disputable statements one must first remember what the main results of the project were (both cash and immaterial):

- - over 200 people acquired the basic skills and knowledge on the following: telecommunications, English, organizing conferences, fund-raising, lobbying, mass media, human resources management, strategic planning;
- - four key members of HEF and ADP joined five US PVOs for profound training on critical public health issues;
- - both HEF and ADP received computer, photocopy, and communications equipment, necessary for their operation and publication of bulletins and books;
- - both HEF and ADP started publishing their bulletins on a regular basis and circulating them in the regions among those who make decisions in the public health sphere;
- - HEF organized the training and publication of a series of books "Health for all - all for health", some of them are unique papers on public health problems and their solutions;
- - A non-traditional anti-alcohol forum was organized;
- - the Russian Public Health Association was founded.

These achievements prove that they are comparable with the donations, not only because the training costs were relatively high: the acquired knowledge

and skills laid the basis for a more efficient solution of public health problems, which are critical for the whole nation.

No need to worry that a major part of the budget went to salaries for CECHE and US PVO staff, consultants' fees, and equipment. If not for the training efforts of the foreign partners, a number of the above achievements would not have been possible, and what is even more important - the potential of Russian NGOs would not have been used. When analyzing the documents for the evaluation, one notices that not only were the Russian NGOs included to the full potential, but they are still working on and producing realistic and positive benefits.

3. Is the post-grant development of NGOs satisfactory?

Many donors want their grantees to structure their work in such a way that would enable them to develop successfully even after the grant is over. So we give a positive answer to this question. It is enough to say that even before the end of the project, HEF prepared a number of grant applications and received:

- - \$69,375 from the Canadian PHA for the establishment and management of the RPHA;
- - \$43,000 from the USAID to organize and hold the anti-alcohol forum;
- - \$20,000 from the Program for Civil Initiative Support for the publication of a series of reports; and
- - a grant from World Learning to cover the cost of their circulation.

The ADP success is also impressive:

- - \$30,000 from Abt Associates to publish bulletins and create a database;
- - \$10,000 from Azov Administration to create an educational video center for teenagers;
- - \$3,000 from AIDS Infoshare International to make a video on use of contraceptives and STDs.

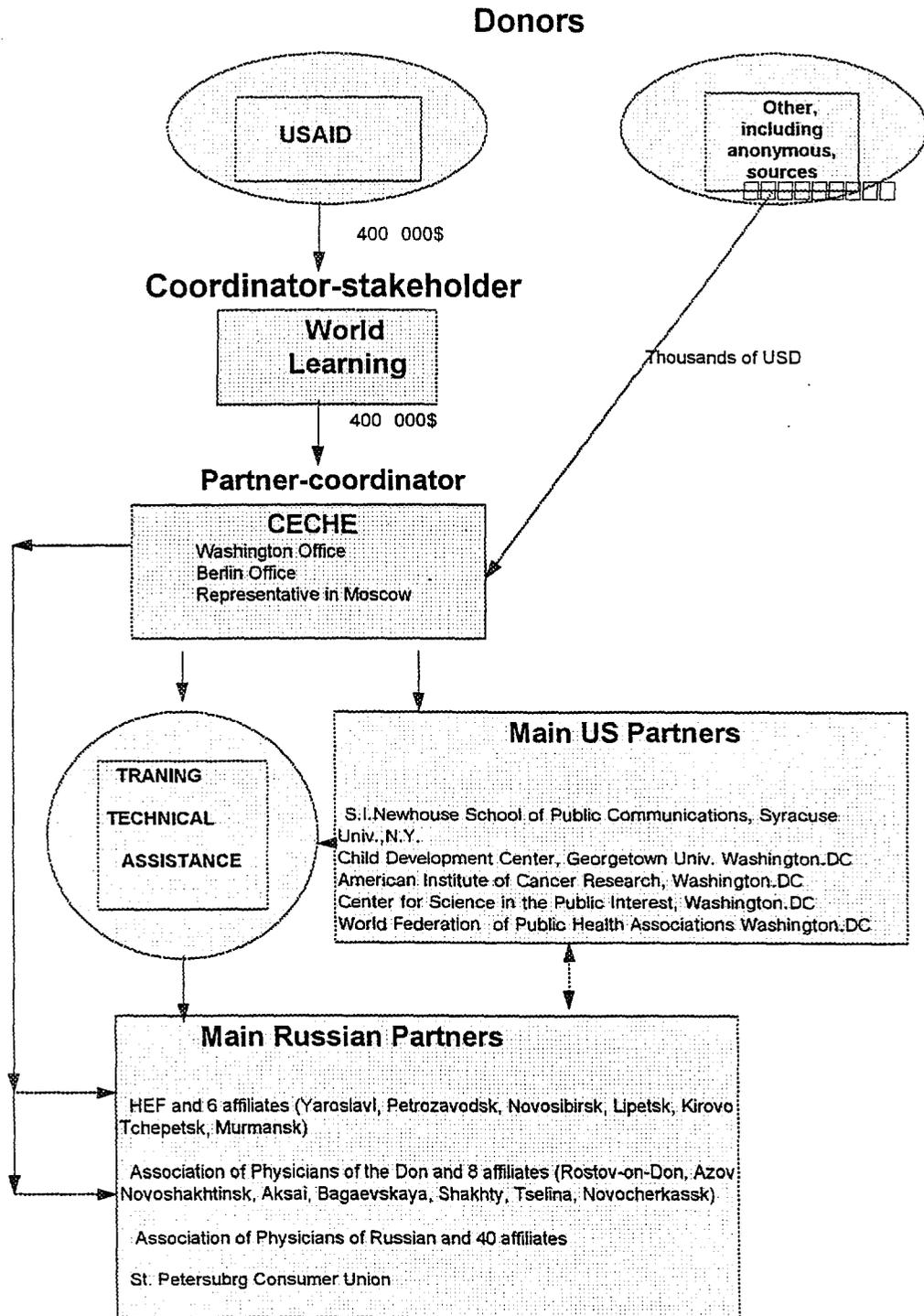
The ideas and approaches generated in the project, as well as the grants listed above allow these organizations and the RPHA to continue their operations in 1997 at the same scale and with the same intensity.

4.2. Partner relations with US organizations

1) What was the role of US partner PVOs in the establishment and development of public health in Russia? Was the partnership genuine?

First - The partnership of Russian NGOs and US PVOs in the form of joint training and practical training in the United States, was temporary and very important, but their interests did not always coincide. These were the relations of the teacher and the pupil. The interaction between the partners became much more intensive when they started drafting plans - together.

Fig. 3. Main partners, sponsors and relationships



Here their efforts doubled and tripled. However, the paternal attitude of CECHE to the Russian partners, especially in the area of financial management, destroyed partnership illusions. The Russian NGOs were not fully involved in this part of the project. The inequality distorted the idea of the Russian-American partnership, and - in our opinion - did not let Russian NGOs fully learn the know-how of financial management (for which we are very sympathetic to the Russian NGOs). This may negatively affect their activity after the grant is over.

The positive aspect of the partnership was that Russian NGOs received "references" from their American colleagues for joining various international structures. Thus, the creation of the RPHA was supported by the counterpart organization in Canada. Later the RPHA joined several international associations.

Secondly - Strong interaction between NGOs appeared, which stimulated the creation of the RPHA. About 50 regional organizations joined it. The results of RPHA activity (e.g. Anti-alcohol Forum) demonstrated that it was a fruitful partnership, especially when the Forum was financed by both USAID and Canadian PHA.

2) What American experts participated in the project? What was their participation like? Was their contribution adequate to the costs of the training of Russian NGO staff?

The list of main partners (Russian NGOs and US PVOs) is shown in Fig. 3., you can also see how their interaction was organized. Three ADP and one HEF representatives participated in the US practical training (internships). Also the following foreign specialists took part in the training:

Dr. Fiona Chew, Professor, S. I. Newhouse School of Public Communications, Syracuse University, N. Y.

Nancy Striffler, Director, Child Development Center, Georgetown University, Washington, D. C.

Marylenn Gentry, President, John Louch, and Professor Colin Campbell, American Institute of Cancer Research, Washington, D. C.

Dr. Michael Jacobson, Director, Center for Science in the Public Interest, Washington, D. C.

Diana Kuntz, Executive Secretary, World Federation of Public Health Associations, Washington, D. C.

Dr. Sushma Palmer, Chairman, CECHE.

The above specialists as well as other scientists (about 40 people) offered their services free of charge.

They provided an in-depth insight in the following topics:

Standards of medical service (evaluation of quality of medical services in the United States, evaluations' influence on payment for medical services, types of norms of medical services, medical technology, regulatory organizations, norms in medical insurance, drawbacks in health care, etc.)

Patients' rights (laws, regulating the rights; organizations which guarantee patients' rights, medical associations responsible for the policies and monitoring of observance of patients rights, protection for medical personnel against incompetency accusations, certification of physicians)

Public health and disease prevention policies (US government policies, control in the sphere of public health, development and implementation of prevention norms)

Role and status of NGOs (sources of funding, methodology and lobbying, participation in electoral campaigns)

Public education and mass media (funding for educational programs, social marketing)

This is an impressive list. Familiarization with these tendencies was very helpful, especially for the transition economy existing in Russia these days.

4.3. Effectiveness of the Professional and Administrative Training for NGO Staff. Sufficiency of Technical Assistance.

1) What was the impact of the training on:

- **telecommunications;**
- **English;**
- **organization of conferences;**
- **fundraising;**
- **management;**
- **profound professional training in the United States;**
- **lobbying;**
- **work with mass media;**
- **human resources management;**
- **strategic planning.**

Undoubtedly, the training had a positive effect on the NGO activities. Below are two examples.

Fundraising. In the previous sections we have already noted that NGOs became very active in the field of fundraising. To be precise - in the field of grantmaking. Unfortunately, they became addicted to grants and ignore other numerous ways of securing resources for their work. However, while applying for grants they have learned the long and difficult way of preparing professional proposals. The \$69,375 that HEF received from the Canadian PHA for the establishment of the RPHA, \$43,000 from USAID for the organization of the Anti-alcohol Forum, \$20,000 from the Program for Civil Initiative Support for the publication of a series of reports; - a grant from World Learning to cover the cost of their circulation prove that the training on proposal writing was effective.

Organization of conferences, human resources management and administration.

Obviously, the acquired knowledge significantly affected the organization of conferences by HEF and other RPHA members. The RPHA Council initiated the project "All-Russian Forum for the Public Health policies "Alcohol and Health" (Forum), September 1, 1996 - May 1, 1997.

A new unique scheme for a discussion of socially important problems was elaborated. It enabled a wide range of experts in different locations to participate in developing a collective opinion. Uniting them in a huge audience provided for comprehensive consideration of the problem.

The scheme of the forum: twelve conferences were organized, all the participants were provided with materials for preliminary consideration, then a final conference was held, where they discussed summary reports on all twelve conferences. All the participants received draft final versions and requests for opinions. An opinion is similar to vote. The final document is updated as the opinions come in. By March 1997 all opinions will be collected and registered. A book with Forum materials will be compiled and published.

Such a scheme saves a lot of money, the final conference was attended by select representatives, while many others were able to participate in the discussion. The total cost of the Forum was about \$40,000, including the publication of the final documents. The book will have the circulation of 3,000 copies. It will be also translated into English.

Probably, a patent can be obtained for such a scheme.

2) Do the NGOs have enough equipment and materials for independent activity? What kind of technical assistance did Russian NGO receive?

If a NGO representative says that the available equipment is quite sufficient, we would not believe him. Life continues and hardware and software, as well as telecommunications and photocopy equipment change quickly. It is understandable that organizations want to have the most sophisticated equipment.

In addition, the tendencies of NGO operations are changing and improving. New tasks are added. When the representatives we interviewed said that they would like to purchase more equipment, that did not mean that the available equipment was not enough. On the contrary, computers, software, fax machines, printers and modems supplied by CECHE and delivered to HEF, ADP and St. Petersburg Consumer Union, created a sufficient technical basis for the project implementation. While examining the speed and competence of how quickly they compile, edit and circulate their bulletins, one can make the conclusion that the technical assistance provided was sufficient. Appendix 3 shows the list of equipment and materials received by Russian NGOs.

4.4. Evaluation of the increased organizational and administrative potential of Russian NGO project participants.

1) Did Russian NGOs, which will be the basis of the future NGO community, manage to use the "starting" investment of the two-year grant to learn to earn money for themselves and support new community members? What part of the "starting" capital was invested in development potential?

The above analysis proves that both NGOs - HEF and ADP, which were the nucleus of the project, reached a level of sustainability. In fact they are self-reliant and stable.

The funds secured after the project was closed down are almost four times more than the funds they both received from various sources in 1994-1996 and amounted to \$180,000. It is important that a part of those funds is used for the support of new members of the RPHA community, providing for their effective interaction. Undoubtedly, all the donated funds and equipment were invested in the their development potential.

However, the addiction to use of grants is an alarming tendency. Plans are not oriented to other sources, such as the social order. At the same time one of the organizations working with HEF is the initiator of the federal draft law on state social order.

The RPHA, created during the implementation of the project, is a powerful resource, dozens of organizations and hundreds of experts from various regions of Russia are cooperating in its framework.

2) What part of the funding did the NGOs use for creating a basis for self-financing after the project was over and what part of the current NGO budget is used for that purpose?

This is a vital question for other organizations, too. Unfortunately, most Russian NGOs do not pay enough attention to creating the basis for self-financing. NGO leaders are usually occupied with preparing proposals. Many NGOs do not do any systematic and complex fundraising. Mr. Demin, the president of HEF agreed that there is room for improvement in his organization. In fact, the expense part of the budget does not provide for any fundraising activity.

Mr. Demin expressed high interest in establishing a complex system of fundraising, similar to US PVOs and some of the advanced Russian NGOs.

3) Were training activities effective? Did the NGO staff acquire experience and knowledge in the project?

Both key NGOs are on the way of using a project strategy for their development.

During the past two years, they have developed a series of projects which are now at different stages of implementation:

- Creation and development of the RPHA;
- Publication of reports on public health policies;
- Center for Anti-Alcohol Policy;
- School for Health;
- Information bulletin "Health for All";
- All-Russia Forum :Alcohol and Health;
- Information bulletin "The Voice of the Don Physicians";
- Anti-alcohol policies for the Don region.

The progress of both NGOs proves that this strategy is important for Russia.

4) How can the progress of NGO staff in management be evaluated?

During the visit to the HEF office we witnessed how the organization is operating. HEF has its own database of partners in Russia and abroad. The documents on project implementation are properly systematized. Bulletins and reports are compiled and edited under strict supervision.

If they lacked those management skills, they wouldn't have organized and conducted such a large-scale Forum.

The staff has advanced skills of planning, organization, supervision and reporting.

4.5. Evaluation of importance, novelty, and depth of the research

- 1) How can the quality and novelty of the research be estimated?**
- 2) What was the novelty of results and approaches?**
- 3) What is the role of research results in the framework of the projects' other objectives (smoking prevention, alcoholism prevention, etc..)?**
- 4) How was project progress evaluated by its participants and those who were interested in results?**
- 5) How are the results of the research used?**

After we familiarized ourselves with the results of some of the projects, it became clear that it would take a long time to receive answers to all these questions. In addition, as none of us were experts in these fields, to be able to provide an objective evaluation we needed to find outside experts.

Therefore, we decided to limit ourselves to an interesting example, related to the anti-alcohol project.

1) The status of the problem. The alcohol problem had gone through several stages by the time the project began. The Gorbachev anti-alcohol campaign was followed by the increased consumption of alcohol (over 15 liters per person annually). Experts believe that this is one of the reasons for the decrease of life expectancy in Russia.

NGOs were not able to affect the situation as there were no NGOs before perestroika, later there was no external funding. And by definition, NGOs do not have any internal resources.

At the same time there were sufficient professional scientific cadre which worked on the problem and understood its significance. Their efforts were ignored. Later the activity of the RPHA concentrated public opinion on the problem, it was an impetus to the creation of a system, which would allow for a solution.

2. The originality of the program. The anti-alcohol program of the RPHA, unlike others, was generated in a medical framework, its goals and tasks are wider. The authors used a comprehensive approach and attracted various experts and services (sociologists, representatives of the Ministry of Health and the Ministry of Economy, regional administration, etc.), this covers all the links of the chain. The HEF policy allows for a look at all aspects of the problem and act comprehensively, including legal initiatives. This is clear from the Recommendations of the Forum, which can be a manual for all the structures protecting against alcohol-abuse.

3) Quality of results. The recognition of the RPHA in Russia (at the government, NGO, and scientific level, too) and abroad may serve as an indicator of the quality of the results of its activity. For the first time after the Gorbachev campaign was over, the catastrophic situation which disrupted the security of the country, was again discussed in Russia and brought to the attention of even the Duma. The RPHA became internationally famous and participated in the WHO European conference in Paris in December 1995, and joined a number of international organizations as an authorized representative of Russia.

4) The number of participants (organizations and individuals), their characteristics. This program attracted lots and lots of participants. This number is not limited to 5,000 persons who could join the RPHA by now, but a greater number of people who were involved in the implementation of the RPHA ideas: medical workers, members of the Federal Council committees, speaking in favor of a dealcoholization of the country and using the RPHA materials, and other NGOs of the network which is now being created; foreign donor organizations (including a US Government representative - USAID - which financed the Forum). According to official statistics, 46 regional affiliates are establishing a circle of allies (local administrations, etc.) in all the regions of Russia (Chechnya is no exception).

5) The main result. The main result of the anti-alcohol campaign was the involvement and consolidation of experts and common people, which was proved by the Forum. The Forum managed to involve even those that have opposite views on the problem. There is also a leader - HEF.

Statistics. There were 7 or 8 people working at the initial stage of the project, 46 regional affiliates were created, 5 or 6 were equipped, over 100 reports were delivered at scientific conferences, over 1000 people participated in the discussion of the Forum materials.

4.6. Dissemination of knowledge and results

Is the process of dissemination organized effectively? How, where and who uses the results of the project research? Who, how often and how receives the results of the work done?

Materials generated during the project are circulated in different ways. Some of them have a limited audience, e. g. HEF and ADP information bulletins, they are published in limited quantities. The bulletins are circulated mostly among the RPHA participants and a few other experts. Sometimes publications are delayed.

Reports (series "Health for all - all for health" also have a limited audience. Their circulation is 1,000 copies. The publication is delayed for number of reasons.

Materials on RPHA activities were circulated by e-mail, bulletins, and media publications. They were also directly forwarded to the participants of the RPHA conferences and workshops. Immediate distribution of materials for the conferences and other RPHA activities, including seminars, as well as at other public health forums assisted in widely distributing their materials. Influential people and representatives of government structures played a positive role in the distribution of printed material and information.

Sometimes, especially after conferences or new publications, press-conferences were organized. A "happier fate" awaits the publication of the materials from the Forum activities - "Alcohol and Health". For example the information on the final conference of the Forum was forwarded by direct mail or fax to all the concerned organizations and individuals, i. e. main government structures, RPHA members and foreign and Russian partners.

Ninety copies of the report were forwarded to health structures (through the Ministry of Health). The ministry then circulated the materials to its subordinate bodies in the regions. Summary materials of the Forum will be published in Russian and in English.

4.7. Public health care: propaganda and events

What events, campaigns and meetings for the propaganda of public health achievements were most effective? Did they influence those who make decisions? Was concern for social problems increased? In the government? Among scientists?

What is the major difference between NGO results and traditional achievement of state medicine in anti-alcohol and anti-smoking campaigns?

What is the novelty of information materials and propaganda? Are any briefings or press-conferences held to inform of research results? Are they regular and effective?

The most significant events of the anti-alcohol campaign were:

- - All Russian conference with international participation (November 14-15, 1995);
- - Publication of a book by Nemtsov, which is now used as a basic one in universities studying alcohol-related problems. This is one of the most effective ways of propaganda;
- - Regional conferences "Alcohol and drug abuse in the Arctic Region, Arkhangelsk, November 26-28, 1996;
- -All-Russian Forum for the public anti-alcohol policies "Alcohol and Health", September 1, 1996 - May 5, 1997, including twelve conferences and an All-Russian conference "Alcohol and Health" (December 17, 1996);
- - Joining a number of influential foreign anti-alcohol organization and securing funds from foreign donor organizations.

4.8. Evaluation of the impact on decision-making system in public health

1) What was the difference between project activity and traditional forms of information services offered to the population by the Ministry of Health?

2) How do foreign public health experts evaluate the impact of NGO programs? Does their evaluation coincide with NGO self-evaluation?

3) Did any new laws, draft laws, amendments to laws appear or were any proposals submitted to the executive bodies on new regulatory mechanisms and control over each of the main programs of Russian NGOs (anti-alcohol, anti-smoking, etc.)

Since many members of the RPHA, HEF and ADP are employed by state institutions - and some of them occupy top positions there - their interaction with the Ministry of Health and its specialized organizations is going well. The deputies of the State Duma and the Federal Council as well as representatives of a few ministries participated in the project. In addition, mass media was extensively represented at the Forum.

Among the recommendations adopted at the Forum were ideas about the drafting a federal law on anti-alcohol measures, laws on social rehabilitation of chronic alcoholics, on social preventive measures, on drug trafficking. It was proposed to create a Russian Federation Foundation for protection of public health against alcohol, organize an All-Russian conference with participation of NGOs and state government bodies in 1998, and submit an annual report to the President.

In fact the Forum methodology was developed. The Forum is considered to be a new system of a scientific exchange by organizing conferences united by an idea or a concept. This goes beyond the project framework.

- - methods of exchanging scientific materials between the Forum participants were developed;
- - it was planned to start working on the creation of a center for studying children intoxication;

- - international relations were established; membership in International and European associations and received an invitation to hold a congress in the year 2000
- - contacts with compatible International NGOs are maintained (Swedish-Russian Project, etc.);
- - scientific circles are informed on the RPHA events and join the Association as direct members;
- - a bulletin is published and it is planned to publish summary materials of the Forum.

Since there is no center for coordinating anti-alcohol efforts in the Russian Federation, the RPHA must perform these functions. Interaction with the Gore-Chernomyrdin Commission and USAID was established.

Direct contact with the state government structures will provide for state order and external grants for the implementation of the Forum ideas.

4. 9. Evaluation of goals and the degree of their accomplishment.

1) Was the idea of reforms in public health adequate and acceptable in the present-day situation in Russia? (Strengthening NGOs while there are no funding sources in the country, similar to US foundations or USAID)

A number of project provisions that became the main prerequisites for its funding are beyond the project scope and are not directly related to the obtained results.

An example of such a provision is given in [1, 2]. A strong coalition of NGOs which may radically improve the public health situation, diversify NGO services and support key elements of public health programs. This is a disputable statement, because the system of NGOs in Russia is not sponsored through organizations similar to non-government foundations which sponsor through private foundations and the government (e.g. through USAID).

However, the first steps in the framework of the project are important. The stabilization of HEF and ADP, creation of the RPHA prove that NGOs can do a lot.

2) Were the campaigns and project materials addressed to the whole population of the Russian Federation? Were they effective?

Although the TV and other media informed about the project, this goal remained declaratory. The population is poorly informed of the project results, there are materials including [13], interviews of over 400 people from various regions.

4.10. Progress in the NGO coalition-building process

1) Was the Russian Public Health Association registered?

- 2) Is this an active organization? Does its organizational structure correspond to its charter and intentions?
- 3) How does the mission of the RPHA correspond to the tasks and goals of the donor-funded project?
- 4) What is the role of communications in the development of partner relations? Do the RPHA member effectively use the telecommunication equipment?
- 5) How did the project influence the establishment of partner relations between RPHA members?

Before the foundation of the RPHA there was no organization in Russia that could provide global coordination for all public health efforts. So the idea of the RPHA developed in the project and supported by the Canadian RPHA was very fruitful.

The organization is registered, its affiliates appeared in more than 40 regions. The affiliates must be registered and equipped. Unfortunately, the level of the telecommunications equipment available in the affiliates is very low.

The RPHA Council was organized and has very strong and authoritative members. If the RPHA continues to positively develop, it may become the main coordinator in the area of public health. The 1st step is the creation of the Center for Anti-alcohol and Anti-smoking and anti-drugs Policies.

The organization of the RPHA membership is another task. There are two types of membership - individual and collective. It is expected that within three years there will be about 5,000 new members.

It is planned to issue a series of publications (booklets) with RPHA summary reports which are in limited circulation.

A program of training with awarding certificates is being developed. It is planned to organize training workshops on topics such as narcology, and one will soon be held in Archangelsk. Highly qualified professionals will conduct the workshops. The participants will be awarded RPHA certificates.

The Forum identified the urgency of alcohol and drug abuse and smoking among children.

- An in-depth survey will be performed in one Moscow school, an office working
- the RPHA plan on approaching local governments with the suggestion of organizing a special medical service which will work on the connected problems of healthy lifestyles and human rights
- training for doctors will be conducted.

5. ORGANIZATION OF THE EVALUATION PROCESS

The organization of the evaluation process is shown in Table 3. It contains information on the subject of data collection, the list of main questions, ways of obtaining data and methods of analysis.

In addition a Gantt chart was created. When creating the table the team members proceeded from the assumption that a full-scale evaluation of the project will be performed and it will include studying documents, interviewing NGOs staff, telephone interviews with World Learning and HEF representatives in Moscow.

GANTT CHART

| Stages | Weeks | | | |
|--|-----------|---------|---------------|------------------|
| | 1st | 2nd | 3rd | 4th |
| 1. Planning: understanding the goals and tasks of the evaluation; choosing methods | xxx | | | |
| 2. Preparation initial study of the documents, compiling the questionnaire | xxx xx | x | | |
| 3. Data collection In-depth survey of the documents interviews with World Learning, interviews with HEF interviews with ADP study of project publications study press articles | xx | xx x | x xx xx | x xx |
| 4. Analysis of the data comparing data obtained from various interviews, comparing interview materials and documents | | | | xxx xxx |
| 5. Report Preliminary report discussion final report | | | xx | xxx x xxxx |

Table 3

| Subject of Data Collection | List of Main Questions | Methods of Data Collection | Methods of Analysis |
|---|--|--|---|
| 1) Training | 1) Total number, 2) number of participants by NGO, 3) Costs per person, 4) Quality: number of certificates, number of new trainers | Documents, discussions, financial documents, interviews, evaluation questionnaires (not enough time for questionnaires) | Quantitative - charts, tables |
| 2) Practical training (Internships) | 1) number, 2) acquired technologies | Documents, quarterly bulletins | Studying the results |
| 3) Technical assistance | 1) amount of equipment, 2) costs, 3) consultancy and use | Programming and financial documents | Quantitative |
| 4) Sustainability of NGO - Fundraising - Technical equipment - Self-financing | 1) number of proposals in the post grant period, 2) grants share in the budget, 3) other sources - share of grant equipment - commercial projects and income | Documents, interviews | Quantitative, comparative |
| 5) Stable program implementation | 1) scheduled publications, 2) stable and effective mailings, 3) number of secondary training sessions, 4) updates of web-pages, 5) center for anti-alcohol policy, 6) anti-alcohol program (the Don area, conferences and materials) | 1) documents, mail lists, 2) telephone interviews, 3) selective telephone interviews, 4) observation, 5) documents, interviews, 6) questionnaire, phone (APD leaders, Azov administration, trainers) | 1-3) Statistical analysis, 4-5) Description, 6) Content analysis, comparative (comparison with the government ones) |
| Russian PHA | 1) Work plan, 2) methods and effectiveness | Documents, interviews, selective telephone interviews | Descriptive, quantitative |
| NGO Network | 1) network interactions, 2) external influence of the network | Documents, interviews | Descriptive |
| Cooperation with foreign partners | Grants for joint programs | Documents, interviews | Descriptive |

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[Although there are minor coding and format problems that resulted from the translation of the original code into ASCII, these should not interfere with the use of this file to gain an understanding of the content of the law.]

One Hundred Third Congress

of the

United States of America

Begun and held at the City of Washington on Tuesday,
the fifth day of January, one thousand nine hundred and
ninety-three

An Act

To provide for the establishment of strategic planning and performance measurement in the Federal Government, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

SECTION 1. SHORT TITLE.

This Act may be cited as the "Government Performance and Results Act of 1993".

SEC. 2. FINDINGS AND PURPOSES.

(a) Findings.—The Congress finds that—

(1) waste and inefficiency in Federal programs undermine the confidence of the American people in the Government and reduces the Federal Government's ability to address adequately vital public needs;

(2) Federal managers are seriously disadvantaged in their efforts to improve program efficiency and effectiveness, because of insufficient articulation of program goals and inadequate information on program performance; and

(3) congressional policymaking, spending decisions and program oversight are seriously handicapped by insufficient attention to program performance and results.

(b) Purposes.—The purposes of this Act are to—

(1) improve the confidence of the American people in the capability of the Federal Government, by systematically holding Federal agencies accountable for achieving program results;

(2) initiate program performance reform with a series of pilot projects in setting program goals, measuring program performance against those goals, and reporting publicly on their progress;

(3) improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality, and customer satisfaction;

(4) help Federal managers improve service delivery, by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality;

(5) improve congressional decisionmaking by providing more objective information on achieving statutory objectives, and on the relative effectiveness and efficiency of Federal programs and spending; and

(6) improve internal management of the Federal Government.

SEC. 3. STRATEGIC PLANNING.

Chapter 3 of title 5, United States Code, is amended by adding after section 305 the following new section:

''Sec. 306. Strategic plans

''(a) No later than September 30, 1997, the head of each agency shall submit to the Director of the Office of Management and Budget and to the Congress a strategic plan for program activities. Such plan shall contain-

''(1) a comprehensive mission statement covering the major functions and operations of the agency;

''(2) general goals and objectives, including outcome-related goals and objectives, for the major functions and operations of the agency;

''(3) a description of how the goals and objectives are to be achieved, including a description of the operational processes, skills and technology, and the human, capital, information, and other resources required to meet those goals and objectives;

''(4) a description of how the performance goals included in the plan required by section 1115(a) of title 31 shall be related to the general goals and objectives in the strategic plan;

“(5) an identification of those key factors external to the agency and beyond its control that could significantly affect the achievement of the general goals and objectives; and

“(6) a description of the program evaluations used in establishing or revising general goals and objectives, with a schedule for future program evaluations.

“(b) The strategic plan shall cover a period of not less than five years forward from the fiscal year in which it is submitted, and shall be updated and revised at least every three years.

“(c) The performance plan required by section 1115 of title 31 shall be consistent with the agency’s strategic plan. A performance plan may not be submitted for a fiscal year not covered by a current strategic plan under this section.

“(d) When developing a strategic plan, the agency shall consult with the Congress, and shall solicit and consider the views and suggestions of those entities potentially affected by or interested in such a plan.

“(e) The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of strategic plans under this section shall be performed only by Federal employees.

“(f) For purposes of this section the term ‘agency’ means an Executive agency defined under section 105, but does not include the Central Intelligence Agency, the General Accounting Office, the Panama Canal Commission, the United States Postal Service, and the Postal Rate Commission.”

SEC. 4. ANNUAL PERFORMANCE PLANS AND REPORTS.

(a) Budget Contents and Submission to Congress.—Section 1105(a) of title 31, United States Code, is amended by adding at the end thereof the following new paragraph:

“(29) beginning with fiscal year 1999, a Federal Government performance plan for the overall budget as provided for under section 1115.”

(b) Performance Plans and Reports.—Chapter 11 of title 31, United States Code, is amended by adding after section 1114 the following new sections:

“Sec. 1115. Performance plans

“(a) In carrying out the provisions of section 1105(a)(29), the Director of the Office of Management and Budget shall require each agency to prepare an annual performance plan covering each program activity set forth in the budget of such agency. Such

plan shall-

((1) establish performance goals to define the level of performance to be achieved by a program activity;

((2) express such goals in an objective, quantifiable, and measurable form unless authorized to be in an alternative form under subsection (b);

((3) briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;

((4) establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity;

((5) provide a basis for comparing actual program results with the established performance goals; and

((6) describe the means to be used to verify and validate measured values.

((b) If an agency, in consultation with the Director of the Office of Management and Budget, determines that it is not feasible to express the performance goals for a particular program activity in an objective, quantifiable, and measurable form, the Director of the Office of Management and Budget may authorize an alternative form. Such alternative form shall-

((1) include separate descriptive statements of-

((A) (i) a minimally effective program, and

((ii) a successful program, or

((B) such alternative as authorized by the Director of the Office of Management and Budget,

with sufficient precision and in such terms that would allow for an accurate, independent determination of whether the program activity's performance meets the criteria of the description; or

((2) state why it is infeasible or impractical to express a performance goal in any form for the program activity.

((c) For the purpose of complying with this section, an agency may aggregate, disaggregate, or consolidate program activities, except that any aggregation or consolidation may not omit or minimize the significance of any program activity constituting a major function or operation for the agency.

((d) An agency may submit with its annual performance plan an appendix covering any portion of the plan that-

''(1) is specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy; and

''(2) is properly classified pursuant to such Executive order.

''(e) The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of performance plans under this section shall be performed only by Federal employees.

''(f) For purposes of this section and sections 1116 through 1119, and sections 9703 and 9704 the term-

''(1) 'agency' has the same meaning as such term is defined under section 306(f) of title 5;

''(2) 'outcome measure' means an assessment of the results of a program activity compared to its intended purpose;

''(3) 'output measure' means the tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner;

''(4) 'performance goal' means a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate;

''(5) 'performance indicator' means a particular value or characteristic used to measure output or outcome;

''(6) 'program activity' means a specific activity or project as listed in the program and financing schedules of the annual budget of the United States Government; and

''(7) 'program evaluation' means an assessment, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives.

''Sec. 1116. Program performance reports

''(a) No later than March 31, 2000, and no later than March 31 of each year thereafter, the head of each agency shall prepare and submit to the President and the Congress, a report on program performance for the previous fiscal year.

''(b) (1) Each program performance report shall set forth the performance indicators established in the agency performance plan under section 1115, along with the actual program performance achieved compared with the performance goals expressed in the plan for that fiscal year.

“(2) If performance goals are specified in an alternative form under section 1115(b), the results of such program shall be described in relation to such specifications, including whether the performance failed to meet the criteria of a minimally effective or successful program.

“(c) The report for fiscal year 2000 shall include actual results for the preceding fiscal year, the report for fiscal year 2001 shall include actual results for the two preceding fiscal years, and the report for fiscal year 2002 and all subsequent reports shall include actual results for the three preceding fiscal years.

“(d) Each report shall-

“(1) review the success of achieving the performance goals of the fiscal year;

“(2) evaluate the performance plan for the current fiscal year relative to the performance achieved toward the performance goals in the fiscal year covered by the report;

“(3) explain and describe, where a performance goal has not been met (including when a program activity's performance is determined not to have met the criteria of a successful program activity under section 1115(b)(1)(A)(ii) or a corresponding level of achievement if another alternative form is used)-

“(A) why the goal was not met;

“(B) those plans and schedules for achieving the established performance goal; and

“(C) if the performance goal is impractical or infeasible, why that is the case and what action is recommended;

“(4) describe the use and assess the effectiveness in achieving performance goals of any waiver under section 9703 of this title; and

“(5) include the summary findings of those program evaluations completed during the fiscal year covered by the report.

“(e) An agency head may include all program performance information required annually under this section in an annual financial statement required under section 3515 if any such statement is submitted to the Congress no later than March 31 of the applicable fiscal year.

“(f) The functions and activities of this section shall be considered to be inherently Governmental functions. The drafting of program performance reports under this section shall be performed only by Federal employees.

''Sec. 1117. Exemption

''The Director of the Office of Management and Budget may exempt from the requirements of sections 1115 and 1116 of this title and section 306 of title 5, any agency with annual outlays of \$20,000,000 or less.''

SEC. 5. MANAGERIAL ACCOUNTABILITY AND FLEXIBILITY.

(a) Managerial Accountability and Flexibility.—Chapter 97 of title 31, United States Code, is amended by adding after section 9702, the following new section:

''Sec. 9703. Managerial accountability and flexibility

''(a) Beginning with fiscal year 1999, the performance plans required under section 1115 may include proposals to waive administrative procedural requirements and controls, including specification of personnel staffing levels, limitations on compensation or remuneration, and prohibitions or restrictions on funding transfers among budget object classification 20 and subclassifications 11, 12, 31, and 32 of each annual budget submitted under section 1105, in return for specific individual or organization accountability to achieve a performance goal. In preparing and submitting the performance plan under section 1105(a)(29), the Director of the Office of Management and Budget shall review and may approve any proposed waivers. A waiver shall take effect at the beginning of the fiscal year for which the waiver is approved.

''(b) Any such proposal under subsection (a) shall describe the anticipated effects on performance resulting from greater managerial or organizational flexibility, discretion, and authority, and shall quantify the expected improvements in performance resulting from any waiver. The expected improvements shall be compared to current actual performance, and to the projected level of performance that would be achieved independent of any waiver.

''(c) Any proposal waiving limitations on compensation or remuneration shall precisely express the monetary change in compensation or remuneration amounts, such as bonuses or awards, that shall result from meeting, exceeding, or failing to meet performance goals.

''(d) Any proposed waiver of procedural requirements or controls imposed by an agency (other than the proposing agency or the Office of Management and Budget) may not be included in a performance plan unless it is endorsed by the agency that established the requirement, and the endorsement included in the proposing agency's performance plan.

''(e) A waiver shall be in effect for one or two years as specified by the Director of the Office of Management and Budget

in approving the waiver. A waiver may be renewed for a subsequent year. After a waiver has been in effect for three consecutive years, the performance plan prepared under section 1115 may propose that a waiver, other than a waiver of limitations on compensation or remuneration, be made permanent.

“(f) For purposes of this section, the definitions under section 1115(f) shall apply.”.

SEC. 6. PILOT PROJECTS.

(a) Performance Plans and Reports.—Chapter 11 of title 31, United States Code, is amended by inserting after section 1117 (as added by section 4 of this Act) the following new section:

“Sec. 1118. Pilot projects for performance goals

“(a) The Director of the Office of Management and Budget, after consultation with the head of each agency, shall designate not less than ten agencies as pilot projects in performance measurement for fiscal years 1994, 1995, and 1996. The selected agencies shall reflect a representative range of Government functions and capabilities in measuring and reporting program performance.

“(b) Pilot projects in the designated agencies shall undertake the preparation of performance plans under section 1115, and program performance reports under section 1116, other than section 1116(c), for one or more of the major functions and operations of the agency. A strategic plan shall be used when preparing agency performance plans during one or more years of the pilot period.

“(c) No later than May 1, 1997, the Director of the Office of Management and Budget shall submit a report to the President and to the Congress which shall—

“(1) assess the benefits, costs, and usefulness of the plans and reports prepared by the pilot agencies in meeting the purposes of the Government Performance and Results Act of 1993;

“(2) identify any significant difficulties experienced by the pilot agencies in preparing plans and reports; and

“(3) set forth any recommended changes in the requirements of the provisions of Government Performance and Results Act of 1993, section 306 of title 5, sections 1105, 1115, 1116, 1117, 1119 and 9703 of this title, and this section.”.

(b) Managerial Accountability and Flexibility.—Chapter 97 of title 31, United States Code, is amended by inserting after section 9703 (as added by section 5 of this Act) the following new section:

''Sec. 9704. Pilot projects for managerial accountability and flexibility

''(a) The Director of the Office of Management and Budget shall designate not less than five agencies as pilot projects in managerial accountability and flexibility for fiscal years 1995 and 1996. Such agencies shall be selected from those designated as pilot projects under section 1118 and shall reflect a representative range of Government functions and capabilities in measuring and reporting program performance.

''(b) Pilot projects in the designated agencies shall include proposed waivers in accordance with section 9703 for one or more of the major functions and operations of the agency.

''(c) The Director of the Office of Management and Budget shall include in the report to the President and to the Congress required under section 1118(c)-

''(1) an assessment of the benefits, costs, and usefulness of increasing managerial and organizational flexibility, discretion, and authority in exchange for improved performance through a waiver; and

''(2) an identification of any significant difficulties experienced by the pilot agencies in preparing proposed waivers.

''(d) For purposes of this section the definitions under section 1115(f) shall apply.''

(c) Performance Budgeting.-Chapter 11 of title 31, United States Code, is amended by inserting after section 1118 (as added by section 6 of this Act) the following new section:

''Sec. 1119. Pilot projects for performance budgeting

''(a) The Director of the Office of Management and Budget, after consultation with the head of each agency shall designate not less than five agencies as pilot projects in performance budgeting for fiscal years 1998 and 1999. At least three of the agencies shall be selected from those designated as pilot projects under section 1118, and shall also reflect a representative range of Government functions and capabilities in measuring and reporting program performance.

''(b) Pilot projects in the designated agencies shall cover the preparation of performance budgets. Such budgets shall present, for one or more of the major functions and operations of the agency, the varying levels of performance, including outcome-related performance, that would result from different budgeted amounts.

''(c) The Director of the Office of Management and Budget shall include, as an alternative budget presentation in the

budget submitted under section 1105 for fiscal year 1999, the performance budgets of the designated agencies for this fiscal year.

“(d) No later than March 31, 2001, the Director of the Office of Management and Budget shall transmit a report to the President and to the Congress on the performance budgeting pilot projects which shall-

“(1) assess the feasibility and advisability of including a performance budget as part of the annual budget submitted under section 1105;

“(2) describe any difficulties encountered by the pilot agencies in preparing a performance budget;

“(3) recommend whether legislation requiring performance budgets should be proposed and the general provisions of any legislation; and

“(4) set forth any recommended changes in the other requirements of the Government Performance and Results Act of 1993, section 306 of title 5, sections 1105, 1115, 1116, 1117, and 9703 of this title, and this section.

“(e) After receipt of the report required under subsection (d), the Congress may specify that a performance budget be submitted as part of the annual budget submitted under section 1105.”

SEC. 7. UNITED STATES POSTAL SERVICE.

Part III of title 39, United States Code, is amended by adding at the end thereof the following new chapter:

“CHAPTER 28-STRATEGIC PLANNING AND PERFORMANCE MANAGEMENT

“Sec.

“2801. Definitions.

“2802. Strategic plans.

“2803. Performance plans.

“2804. Program performance reports.

“2805. Inherently Governmental functions.

“Sec. 2801. Definitions

“For purposes of this chapter the term-

“(1) ‘outcome measure’ refers to an assessment of the

than five years forward from the fiscal year in which it is submitted, and shall be updated and revised at least every three years.

“(c) The performance plan required under section 2803 shall be consistent with the Postal Service’s strategic plan. A performance plan may not be submitted for a fiscal year not covered by a current strategic plan under this section.

“(d) When developing a strategic plan, the Postal Service shall solicit and consider the views and suggestions of those entities potentially affected by or interested in such a plan, and shall advise the Congress of the contents of the plan.

“Sec. 2803. Performance plans

“(a) The Postal Service shall prepare an annual performance plan covering each program activity set forth in the Postal Service budget, which shall be included in the comprehensive statement presented under section 2401(g) of this title. Such plan shall-

“(1) establish performance goals to define the level of performance to be achieved by a program activity;

“(2) express such goals in an objective, quantifiable, and measurable form unless an alternative form is used under subsection (b);

“(3) briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;

“(4) establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity;

“(5) provide a basis for comparing actual program results with the established performance goals; and

“(6) describe the means to be used to verify and validate measured values.

“(b) If the Postal Service determines that it is not feasible to express the performance goals for a particular program activity in an objective, quantifiable, and measurable form, the Postal Service may use an alternative form. Such alternative form shall-

“(1) include separate descriptive statements of-

“(A) a minimally effective program, and

“(B) a successful program,

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results of a program activity compared to its intended purpose;

''(2) 'output measure' refers to the tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner;

''(3) 'performance goal' means a target level of performance expressed as a tangible, measurable objective, against which actual achievement shall be compared, including a goal expressed as a quantitative standard, value, or rate;

''(4) 'performance indicator' refers to a particular value or characteristic used to measure output or outcome;

''(5) 'program activity' means a specific activity related to the mission of the Postal Service; and

''(6) 'program evaluation' means an assessment, through objective measurement and systematic analysis, of the manner and extent to which Postal Service programs achieve intended objectives.

''Sec. 2802. Strategic plans

''(a) No later than September 30, 1997, the Postal Service shall submit to the President and the Congress a strategic plan for its program activities. Such plan shall contain-

''(1) a comprehensive mission statement covering the major functions and operations of the Postal Service;

''(2) general goals and objectives, including outcome-related goals and objectives, for the major functions and operations of the Postal Service;

''(3) a description of how the goals and objectives are to be achieved, including a description of the operational processes, skills and technology, and the human, capital, information, and other resources required to meet those goals and objectives;

''(4) a description of how the performance goals included in the plan required under section 2803 shall be related to the general goals and objectives in the strategic plan;

''(5) an identification of those key factors external to the Postal Service and beyond its control that could significantly affect the achievement of the general goals and objectives; and

''(6) a description of the program evaluations used in establishing or revising general goals and objectives, with a schedule for future program evaluations.

''(b) The strategic plan shall cover a period of not less

than five years forward from the fiscal year in which it is submitted, and shall be updated and revised at least every three years.

“(c) The performance plan required under section 2803 shall be consistent with the Postal Service’s strategic plan. A performance plan may not be submitted for a fiscal year not covered by a current strategic plan under this section.

“(d) When developing a strategic plan, the Postal Service shall solicit and consider the views and suggestions of those entities potentially affected by or interested in such a plan, and shall advise the Congress of the contents of the plan.

“Sec. 2803. Performance plans

“(a) The Postal Service shall prepare an annual performance plan covering each program activity set forth in the Postal Service budget, which shall be included in the comprehensive statement presented under section 2401(g) of this title. Such plan shall-

“(1) establish performance goals to define the level of performance to be achieved by a program activity;

“(2) express such goals in an objective, quantifiable, and measurable form unless an alternative form is used under subsection (b);

“(3) briefly describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals;

“(4) establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity;

“(5) provide a basis for comparing actual program results with the established performance goals; and

“(6) describe the means to be used to verify and validate measured values.

“(b) If the Postal Service determines that it is not feasible to express the performance goals for a particular program activity in an objective, quantifiable, and measurable form, the Postal Service may use an alternative form. Such alternative form shall-

“(1) include separate descriptive statements of-

“(A) a minimally effective program, and

“(B) a successful program,

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with sufficient precision and in such terms that would allow for an accurate, independent determination of whether the program activity's performance meets the criteria of either description; or

“(2) state why it is infeasible or impractical to express a performance goal in any form for the program activity.

“(c) In preparing a comprehensive and informative plan under this section, the Postal Service may aggregate, disaggregate, or consolidate program activities, except that any aggregation or consolidation may not omit or minimize the significance of any program activity constituting a major function or operation.

“(d) The Postal Service may prepare a non-public annex to its plan covering program activities or parts of program activities relating to-

“(1) the avoidance of interference with criminal prosecution; or

“(2) matters otherwise exempt from public disclosure under section 410(c) of this title.

“Sec. 2804. Program performance reports

“(a) The Postal Service shall prepare a report on program performance for each fiscal year, which shall be included in the annual comprehensive statement presented under section 2401(g) of this title.

“(b) (1) The program performance report shall set forth the performance indicators established in the Postal Service performance plan, along with the actual program performance achieved compared with the performance goals expressed in the plan for that fiscal year.

“(2) If performance goals are specified by descriptive statements of a minimally effective program activity and a successful program activity, the results of such program shall be described in relationship to those categories, including whether the performance failed to meet the criteria of either category.

“(c) The report for fiscal year 2000 shall include actual results for the preceding fiscal year, the report for fiscal year 2001 shall include actual results for the two preceding fiscal years, and the report for fiscal year 2002 and all subsequent reports shall include actual results for the three preceding fiscal years.

“(d) Each report shall-

“(1) review the success of achieving the performance goals

of the fiscal year;

“(2) evaluate the performance plan for the current fiscal year relative to the performance achieved towards the performance goals in the fiscal year covered by the report;

“(3) explain and describe, where a performance goal has not been met (including when a program activity’s performance is determined not to have met the criteria of a successful program activity under section 2803(b)(2))-

“(A) why the goal was not met;

“(B) those plans and schedules for achieving the established performance goal; and

“(C) if the performance goal is impractical or infeasible, why that is the case and what action is recommended; and

“(4) include the summary findings of those program evaluations completed during the fiscal year covered by the report.

“Sec. 2805. Inherently Governmental functions

“The functions and activities of this chapter shall be considered to be inherently Governmental functions. The drafting of strategic plans, performance plans, and program performance reports under this section shall be performed only by employees of the Postal Service.”

SEC. 8. CONGRESSIONAL OVERSIGHT AND LEGISLATION.

(a) In General.—Nothing in this Act shall be construed as limiting the ability of Congress to establish, amend, suspend, or annul a performance goal. Any such action shall have the effect of superseding that goal in the plan submitted under section 1105(a)(29) of title 31, United States Code.

(b) GAO Report.—No later than June 1, 1997, the Comptroller General of the United States shall report to Congress on the implementation of this Act, including the prospects for compliance by Federal agencies beyond those participating as pilot projects under sections 1118 and 9704 of title 31, United States Code.

SEC. 9. TRAINING.

The Office of Personnel Management shall, in consultation with the Director of the Office of Management and Budget and the Comptroller General of the United States, develop a strategic planning and performance measurement training component for its management training program and otherwise provide managers with an orientation on the development and use of strategic planning

and program performance measurement.

SEC. 10. APPLICATION OF ACT.

No provision or amendment made by this Act may be construed as-

(1) creating any right, privilege, benefit, or entitlement for any person who is not an officer or employee of the United States acting in such capacity, and no person who is not an officer or employee of the United States acting in such capacity shall have standing to file any civil action in a court of the United States to enforce any provision or amendment made by this Act; or

(2) superseding any statutory requirement, including any requirement under section 553 of title 5, United States Code.

SEC. 11. TECHNICAL AND CONFORMING AMENDMENTS.

(a) Amendment to Title 5, United States Code.-The table of sections for chapter 3 of title 5, United States Code, is amended by adding after the item relating to section 305 the following:

''306. Strategic plans.''

(b) Amendments to Title 31, United States Code.-

(1) Amendment to chapter 11.-The table of sections for chapter 11 of title 31, United States Code, is amended by adding after the item relating to section 1114 the following:

''1115. Performance plans.

''1116. Program performance reports.

''1117. Exemptions.

''1118. Pilot projects for performance goals.

''1119. Pilot projects for performance budgeting.''

(2) Amendment to chapter 97.-The table of sections for chapter 97 of title 31, United States Code, is amended by adding after the item relating to section 9702 the following:

''9703. Managerial accountability and flexibility.

''9704. Pilot projects for managerial accountability and flexibility.''

(c) Amendment to Title 39, United States Code.-The table of chapters for part III of title 39, United States Code, is amended by adding at the end thereof the following new item:

'28. Strategic planning and performance management 2801''.

Speaker of the House of Representatives.

Vice President of the United States and
President of the Senate.

Section 5

Evaluation Report - Group 6:
Elena Galkina and Marina Nikitina

“From Heart to Heart” PPNNE/The Yaroslavl Center
for the Formation of Sexual Culture

Section 6

Evaluation Report - Group 7:
Ilya Kostenchuk, Ludmilla Kabanova, Elena Belyaeva

“Developing an Environmental Information Network in
the CIS” ISAR/SEU

WORLD LEARNING

**A PROGRAM ON PREPARING RUSSIAN EXPERTS IN THE FIELD OF
NGO PROJECT EVALUATION**

EVALUATION REPORT

**“DEVELOPING AN ENVIRONMENTAL INFORMATION
MONITORING NETWORK IN THE CIS”**

ISAR / SOCIO-ECOLOGICAL UNION (SEU)

EVALUATORS:

Kostenchuk Ilya,
Kabanova Lyudmila,
Belyaeva Elena.

Moscow-Nizhny Novgorod

1997

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ATTACHMENTS:

1. List of the documents reviewed;
2. List of interviewees;
3. Materials representing the CIC products. (not included in English version)

EXECUTIVE SUMMARY

This report includes an evaluation of the project "Developing an Environmental Information Monitoring Network in the CIS" WL funding for this project ended 2 years ago. The evaluation was carried out by the consultants of Group # 7.

The main task of the project was providing support to SEU's CIC and their programs; they also intended to support two "green" newspapers.

The main conclusion based on the results of the evaluation can be phrased as follows; "The importance of the CIC and its efforts for the ecological movement in CIS shows that through the WL grant the partnership not only achieved its goals, but surpassed all expectations.

Structure of the report:

The report consists of two parts: Introduction and The Main Part. The first four sections are dedicated to an analysis of the research and conclusions. The fifth section contains recommendations based on the evaluation results. The attachments contain a list of the documents reviewed, data on the research results, and materials of the organization which was evaluated (CIC).

The consultants are sincerely thankful to all the CIC and ISAR employees who took part in the research.

INFORMATION ON THE ISAR/SEU PROJECT

NAME: "Developing an Environmental Information Monitoring Network in the CIS"

DONOR: the project was completed under the framework of the PVO/NIS Project implemented by World Learning and financed by USAID.

GRANT # NIS 2022-00-11.

EXECUTIVES: ISAR and Socio-Ecological Union.

DATES: August, 1992 - February, 1996.

VALUE: the amount requested -450.000 USD; the amount received - **200.000 USD**

GEOGRAPHY: CIS republics.

A BRIEF DESCRIPTION OF THE PROJECT

ISAR (the ex- Institute Of Soviet-American Relations) was founded in 1983 as an USA-Soviet Union information exchange center. Historical reference: - In 1990 ISAR began working with the Socio-Ecological Union (SEU), which already had developed an extensive network of cooperation with other NGOs working in the field of environment protection. Together they further developed an informational electronic network consisting of 33 stations in 13 of 15 republics. Moreover, International Informational Centers (International Clearinghouses) were opened in Moscow and Washington to simplify the cooperation between NGOs and exchange of information in the field of the environment protection.

The goal of the project was to establish sustainable contacts with different non-governmental groups working with environment protection and coordinate their work, as well as to extend and strengthen the relationship within SEU sub-divisions (with SEU being the biggest non-governmental environmental organization in CIS) and strengthen the status of the Coordination and information center (CIC) founded in 1987 as an SEU sub-division.

The Project had three main directions:

1. Provide direct organizational support for strengthening CIC and its new Information Agencies in the field of environment protection.

Informational agencies of the center working in the field of the environment protection and the SEU informational agency were publishing the SEA environmental bulletin. According to the project, it was planned to increase the number of the SEA bulletins sent out weekly by mail from 50 (beginning of the project) to 2.000 to members of different groups and newspapers all over the CIS. In addition, it was planned to support a monthly overview of the bulletin in English. From the second year of the project the proposal includes expenses for video information on environmental disasters and long-term problems.

2. Extension of the ISAR/ SEU electronic environmental network to 20 groups.

The goal of the network of cooperation was to strengthen and widen the network of information exchange between all the participating groups. Adding 10 environmental groups in the CIS annually was planned. Each of these groups would receive a PC, a printer, a modem and money for covering internal expenses on communication. ISAR and the center held trainings for new members of the informational network, the same way they did for the current members.

The main goal was to create 100 "on-line" stations by the end of 1993 including ISAR, CIC and other Western partners.

3. Providing assistance to "GREEN" newspapers in NIZHNY NOVGOROD and KRASNOYARSK.

Supporting "green" newspapers in two very polluted cities of Russia: "Bereginya"-in Nizhny Novgorod and "Environmental Herald" in Krasnoyarsk was a pilot project. Both editorial offices were to be provided with all the necessary equipment, printing-house expenses and personnel salaries.

Reasons and goals for the EVALUATION (p. 7)

The evaluation was completed at the request of the Moscow office of World Learning, an American non-profit organization (stakeholder).

The task of the aforementioned evaluation did not include an evaluation of the project itself, as it was closed in 1994. There is final report of the project by ISAR. In addition, there was an intermediate report of the project completed in December 1993.

The goal of this "post factum" evaluation is the **evaluation of the project results evaluation**. This was the first project carried out across the CIS and it was aimed at strengthening the CIC.

Due to project completion, the stakeholder was interested in the current status of the Center and the fate of the programs supported within the project.

The stakeholder formulated the questions for evaluation as follows:

CIC as an organization

Structure

- Judicial status?
- Organizational status?
- Management structure?
- Number of employees?
- Cooperation with other NGOs (including non-environmental)?

Financial situation

- Current financial stability of the center? How is it being provided?
- Sources of financing?
- Does it (center) have financial support from Russian sources?
- Does it (center) provide services for fees?
- What are the difficulties in providing services for fees?

Further development of the programs supported by the project

- What is the effect of the project results after the financing ended?
- Current status of the newspapers?
- Current programs and activity of the center?
- Number and variety of the service provided after the financing ended?

Partnership Model

- Basis for the SEU/ISAR relationship?
- How did the partners complement and help one another?

How do the participants in the project view WL activity in the project?

- Is the center satisfied with cooperation with WL (what else is needed, what could be improved; what was superfluous or insufficient)?
- WL role from the partners' point of view?
- Was there enough information and support provided by WL?
- What, from the point of view of the partners, did WL support include?

RESEARCH METHODOLOGY (p. 9)

While choosing the methods for evaluation, the evaluators proceeded from the analysis of questions for the evaluation, time and financial resources.

As a result, two main methods were chosen for collecting information:

analysis of documents and interviews. 11 people total were interviewed. One person was interviewed by E-mail. This was due to the fact that he lives in Krasnoyarsk. The other 10 people were questioned by means of semi-structured interviews.

Contents of the documents and results of the interviews were analyzed in accordance with the questions for evaluation.

Section 1.

CIC as an organization (p. 10)

Management and organizational structure of the CIC

11 people work in the CIC on a regular basis. Another 2-3 people are contractors.

The CIC is not an independent organization but an active part of the SEU.

Organizational structure:

The executive body is represented by 2 levels: CIC director and the center employees.

There are no structural subdivisions, but we can find groups (duties) united by common kinds of activities and projects commands:

- Information service (5 persons)
- Press-group (3 persons)
- Administrative group (3 persons)

Management Structure

The CIC management Structure currently looks as follows:

The CIC director is elected at a CIC conference; before holding one, he (she) gives an account of activity of the center.

The director of the center is the manager for all other employees. An informal hierarchy in the center exists as well in the form of heads of the projects, who have the right to voice their opinions, but not vote, when management decisions are made.

No job descriptions exist. Nevertheless, every employee knows his (her) duties well. None of the employees is restricted to only fulfilling his/her own functions. The employees can unite on their own to carry out different projects. The way that employees follow management orders for new projects can be described by the phrase: "A director suggests a project, and employees either do it or explain why they cannot". One of the employees' concepts of the management system in the center is that there are no managers, but leaders.

Currently, the leaders see some problems in the organization's functioning, which are: "The amorphousness of the CIC prevents it from developing according to goals"; "How can we stay a social movement without sliding into a level of only

professional expertise?"; "What is the proper mechanism for making management decisions?"

Before coming to conclusions on the effectiveness of the current structure and its management system, it's necessary to examine the context of CIC functioning, and CIC's place in the SEU structure.

The SEU is a confederate union and has no vertical management structure. The organizations that are part of it, are financially and organizationally independent. Because members of the SEU can independently in choose the directions, forms and methods of their activities, it is impossible to tactically and operatively plan the activities of the union, and obviously, that is why this planning is absent. Management decisions of the executive organs are only recommendations for the movement members. Information is the main element uniting SEU members. "The main principle keeping the union intact is to provide all members with compete, up-to-date information from reliable sources. (SEU by-laws, section 4.1)

CIC is a working organ of the SEU, therefore it a part of the union and is subject to the peculiarities of its confederated structure. This is intensified by the fact, that, the center is responsible for all the SEU *representative functions*, and as such its system of relationships should correspond to the main principles of the way the union functions. *This influence can be considered as one of the reasons for the absence of a formal management structure in the CIC and for the presence of recommendations rather than orders in the Center's management decisions.*

The main function of the Center is collecting useful information and presenting it to interested people and organizations, and SEU members. As the Union is a confederated structure united by one very wide direction without a tactical plan, criteria as to what sort of specific information should be collected and distributed is absent. Most likely this explains the amorphousness some of the employees feel. The only principle of work with information in such conditions is to collect any information directly or indirectly related to environmental protection movement and present it to anybody who might need it. *Therefore the only purpose for the Center employees will be improving means of collecting information and its distribution.*

Activity aimed at developing the means t collect and distribute information is neutral in relation to the environmental and other movements. Increasing the quality and volume of such an activity will inevitably lead to the situation when *the Center's products will expand outside the field of the environmental movement.* This is exactly what happened with the "Sources of Financing" data base. The idea of the resourceful approach soaring in the CIC also confirms this tendency, as its main idea lays in uniting resources of all NGOs.

One of the main responsibilities of the CIC is creating an informational infrastructure for the environmental movement. This implies the necessity of constantly developing

the informational system as well as creating new forms and means of distributing the information. As far as information is the main uniting factor for the SEU then the CIC, is the instrument for assuring SEU's vitality. "Information is SEU's blood" (from an interview). This means that the CIC is not just a mechanism of providing information streams, but an innovative enterprise. Innovative activity cannot stand tight restrictions and limitations, but needs freedom to unite creative minds and intellectual resources. This is another possible reason for the existing structure and style of relationships within the CIC.

The informational activity of the Center started at zero and had no analogous examples in Russia. That is why it developed, to a great extent, spontaneously, while responding to the needs of the Union. As a result, until now the directions of organizational activity and employee responsibilities "in the CIC developed according to functional traditions which are obviously working well because the CIC has existed for 10 long years". This type of development explains the fact, that while lacking jobs descriptions, the Center employees know their duties in the organization very well. This describes a system that is not completely understood, and so, cannot be adapted to other situations..

CONCLUSIONS (p 14)

- The present structure and management style of the CIC are due to the history of its development, the peculiarities of the SEU structure, and the innovative nature of the Center employees activities.
- The further development of the CIC and increasing the quality of its services will require a higher level of professionalism from its employees, differentiating their activities, and increasing the level of management in the organization. This includes the necessity of somehow creating an organizational structure, creating a planning system and changing the system of decision making.
- Creating a structure and management system need not run counter to CIC's innovative character.
- Planning CIC's activities can take place only in the field of improving and developing the means of collecting and distributing information.
- Differentiating and structuring CIC's activities demands the division of the representative and other functions, or even separating the representative functions from the center.
- Formalizing job descriptions will require a closer study of the activity of every employee.
- It is likely that the CIC products will continue expanding outside the environmental movement.

Financial Stability of the Center (p. 15)

The financial stability of the center is considered by the evaluators as a combination of three elements:

- Ability to cover current expenses with current income;
- Ability to cover future expenses with future (planned) income;
- Ability to cover unforeseen expenses.

Financing for the CIC is almost completely (up to 95 %) provided by grants. Currently the main financing is provided by two grants: MOTT Foundation (35.000 USD) and MacArthur Foundation (29.100 USD).

An insignificant amount of money is being raised by providing occasional services (printing service, holding trainings).

This situation causes the condition when planned income can be considered only in the framework of grants received, beyond which the financial condition of the organization is absolutely uncertain. Related to this, the financial stability of CIC can be determined as conditionally-stable at the current time, where the main condition is the presence of grants to help the environmental movement, and success while competing for the next grant.

CIC and SEU management have tried different ways to increase the sources of financing. Moving to a fee-for-service basis causes doubts with the employees for the following reasons:

- The main volume of services deals with informational support for the environmental movement and turning them (services) into paid ones contradicts the main CIC function.
- Products to sell should be high quality, and they don't believe they have reached that level yet.
- A great part of CIC production, being socially important, doesn't have a customer ready to pay for its services.

There was an attempt to organize a fundraising service within the CIC for the SEU members but it failed. Some organizations and SEU members tried to find new sponsors, but this also failed.

A new source of possible funding is currently in formation. A new NREC regional center is being created. This is a foundation that will be distributing grants to environmental organizations in Russia. The foundation will be subsidized by TACIS.

SEU would be a sub-contractor within the project. If it happens, the financial stability of the center will increase greatly.

Conclusions

- Currently there is only one source of financing for the CIC, that is grant support.
- Financial stability of the center depends on success of participating in competitions for grants and the presence of international financial support for the Russian environmental movement.
- Looking for new sources of financing is spontaneous, there is no strategic approach.

Section 2.

CIC development after the financing for the project ended Further development of the programs, supported by the project.

To evaluate CIC program development, it is necessary to look at the direct results of the project in September 1994 (ISAR report for the 8th quarter of the project when financing stopped).

1. CIC received new equipment: a facsimile machine, a copier, modern PCs, modems, an office was rented downtown, new employees were hired.
2. In September 1994 the number of the network users reached 170 addresses all over ex-USSR.
3. At that time CIC was publishing two bulletins: SEA in hard copy and its electronic version; "Live Net Info"-by E-mail.
4. When the financing ended, the "Environmental Herald" of Krasnoyarsk terminated its existence as a newspaper, so the editorial office switched over to issuing thematic brochures and flyers. "Bereginiya" of Nizhny Novgorod became a monthly issue for a wider audience.

Development of the current project results

1. CIC has an office with the most modern equipment, including its own Internet server.

2. More than 350 subscribers from far abroad and CIS republics are in the electronic network. About 125 of non-governmental environmental organizations are active in the network. There are also many individual users.
3. SEA bulletin has suspended activity and been transformed into a number of specialized electronic bulletins (for example, on nuclear issues / chemical weapons etc.). "Live Net Info" still exists and has not only environmental but other non-governmental organizations among its subscribers.
4. When the financing was cut, "Bereginya" received financial support from the regional environmental foundation.
5. CIC offers new range of services:
 - *Eco-summary* - a weekly newsletter containing environmental news in the headlines and annotations. The entire texts can be obtained from the CIC press-center. It is sent out by facsimile and e-mail.
 - *Informational server "What's New"* - a list of all the available materials with a brief annotation, allowing users to choose information they need, and then receive the whole document. It is distributed by e-mail weekly.
 - *WWW Ecoline server* - was created with direct assistance of CIC in April 1996. This is the first source of information on the environment in Russian, available through the Internet.
 - *CIC press-service*. Main functions are: processing information for users and organizing press-conferences.
 - CIS employees created and have been carrying out "Environmental knowledge basic elements" teaching course for the State University journalism department.
 - Together with Ecoline, a unique "Sources of financing" data base was created. It is the most complete Russian-language version of an informational - searching system. Copies of the database are distributed through diskettes, hard copies, a telephone information/visit service and the Ecoline server.

Conclusions:

- When the original funding stopped, the CIC successfully continued developing programs and achieving goals established during the project.
- At the current time the number and quality of services have grown considerably.

CURRENT STATUS OF THE NEWSPAPERS SUPPORTED WITHIN THE PROJECT (p. 20)

Part of the project was supporting two regional newspapers-"Bereginya" of Nizhny Novgorod and "Environmental Herald" of Krasnoyarsk. These two were chosen based on their reputations and experience. It was planned to replicate the program.

"BEREGINYA"

"Bereginya" was created in November 1992 as a "green" newspaper of the Volga region. The founders included the eco-center "Dront", one of the biggest Russian environmental organizations and "Green World" environmental union. Initially it existed as an attachment to the "Nizhegorodskaya Yarmarka" newspaper. Having no printing base of its own, Bereginya was in a very poor state. The newspaper was issued only three times a year, thanks to the chief editor of "Nizhegorodskaya Yarmarka". The readers of the newspaper at that time were professional ecologists, teachers and students. It was a special edition for those who knew the subject. The circulation of the newspaper then as well as now was 10.000 copies.

Since this was the first grant the paper received, the "Dront" staff and the newspaper editor, who are still in the same positions, remember the project very well. The WL grant allowed the newspaper to drastically strengthen its position. 8.000 USD were received. The grant was spent on personnel salaries as well as the rent, new office furniture, and printing-house expenses. Also, new equipment was bought: 386 PCs, a laser printer and a scanner were obtained. They are still in use in the organization and were proudly shown to the WL expert during one of the visits.

Owing to the WL support the newspaper comes out on a regular basis, and currently it is a monthly. Obtaining its own printing base has allowed them to achieve self-sufficiency and publish the newspaper independently.

Currently "Bereginya" is alive and popular with people. Financing is provided mostly by the regional Environmental funds which are received from the fees paid by organizations and enterprises. There has been only one little grant and sometimes insignificant amounts of money from the budget. Self-financing of the newspaper in the editor's opinion, is hardly likely. Most of the circulation is distributed free by subscription, through general distributors, at different seminars and conferences on environment, sent to the local administration offices, regional institutions.

The newspaper has changed its orientation, became more popular with the people and more available to its usual readers-teachers, school-pupils, local authorities. The geography of distributing the newspaper widened. Now it can be bought in 120 cities of 9 countries of the world.

The most successful events the newspaper took part in are:

- campaign on prevention of elevating the level of the power station in Cheboksary;
- providing support for "Help The River" program;
- creating the Agency of Environmental Information in Volga river region (1996). The agency publishes its monthly "AEIV-INFO" bulletin that is also distributed by means of e-mail.

"Environmental Herald" ("EH") (p 22)

"EH" was founded on the October 14, 1989 and was published as so called "self-edition" (Samizdat) 2-3 times quarterly with 5-10 thousand copies in circulation. It was the first newspaper on environment in the NIS. Means of distribution were the same as "Bereginya" had: subscription, free distribution, etc. The newspaper was available to any reader worried by the problem of utilization of nuclear fuel waste (NFW) - the main disaster in the Krasnoyarsk region. So the primary mission was to draw public attention to the problem.

"EH" didn't have a printing base of its own or a stable source of financing. Nevertheless, for the period from 1989 till January 1992 14 issues of the newspaper and one brochure were published owing to the heroic efforts of the editors. From January - September 1992 the newspaper was not published at all due to the absence of finances.

The WL grant allowed them to renew publishing the newspaper on a regular basis. An editorial - publishing house of the Krasnoyarsk regional environmental movement (KREM) was founded, thanks to the equipment received at that time.

Since 1994 "EH" has not been published in the form it was, due to the absence of finances. An editorial center of the KREM, issuing thematic brochures was founded at the "EH" base. They prepared and issued the following:

1. 1994 - two handbooks of the presentations (both in English and Russian) and two collections of papers from the 2nd International environmental conference on radioactivity threat called "After the cold war: disarmament, conversion and safety" (both in English and Russian).
2. 1995 - a book "Mining - Chemical plant. Problems and Reality" was published. (Authors: Mikheel V., Khizhnyak V.; 1.000 copies, A-4 size).

3. 1996 - a collection of presentations and a collection of reports from the 3rd International environmental conference on radioactivity "Nuclear fuel waste. Problems and reality". The first book: A-4 size, 225 pages, 200 copies; the second book: A-4 size, 215 pages, 150 copies; in addition they issued flyers and booklets dedicated to the problem of nuclear fuel waste.

Currently they are collecting materials to publish a book "Mining - Chemical Plant. A View from the Outside".

Among the most successful acts of the organization that deal with the newspaper, the following were mentioned:

- publishing newspaper before the grant;
- drawing the attention of the public to the facts of radioactive pollution in the Krasnoyarsk region, as a result of nuclear poisoning activity of the Krasnoyarsk Mining Chemical Plant situated in Krasnoyarsk - 26. Mostly owing to the newspaper activity in 1992, two nuclear reactors were stopped.
- As a result of the "actions" held by the "EH", more than 30.000 signatures of protest against erecting a nuclear RT-2 plant were collected. Building RT-2 was stopped due to these actions.

Conclusions (p. 24)

- The grant substantially affected both papers' survival: "EH", the grant played a huge role in the formation of KREMI; the grant allowed "Bereginya" to become independent and published regularly.
- Financial stability (self-financing of the papers), planned in the framework of the project has not been achieved. This is tied to the fact that it deals with a specific product such as environmental (ecological) information, the field where it is too hard to find a rich customer. The main goals of publishing these papers were educational ("Bereginya") and to sound warning bells in "EH"'s case.
- When choosing the publications to support under the project, the whole picture of both newspapers origins were not studied carefully. "EH" had not been published at that period for several months, and after the grant stopped simply could not survive in the form it existed. "EH"'s narrow specialization didn't need such a big printing form as newspaper. It seems, for the editorial office it was worth concentrating on printing flyers, thematic up-to-date bulletins and brochures. That was the conclusion, the heads of the organizations finally came to after the financing in the framework of the project closed.

- "Bereginya" adapted itself to the conditions around, becoming more popular, earning more readers without changing its intentions. Support from the founders and a stable level the newspaper found itself at owing to the grant, helped it find a constant sponsor.

Section 3 (p. 25)

World Learning's Role in the Project

CIC and ISAR employees noted that during the project period, WL's role was good natured and business-like. WL didn't intrude with the work or exert pressure, and the organizations were working in the atmosphere of complete trust. WL employees were attentive, and helped a lot when asked.

WL held training seminars for the participants of the project. Three CIC members participated in those seminars. Training sessions on financial management and Public Education through the Media were very useful for them. They note as a positive moment, that "though the western model was represented it was adapted to the real Russian conditions. There was a lot of practical information. Many useful contacts were acquired".

At the seminar on human resources management there was a team of trainers that the CIC members didn't like as there was no contact with the audience. The high quality of materials given out at the seminars were noted.

Conclusions

- The project participants positively rate WL's role in the project .
- Project management provided by WL was quite professional, necessary help was given.
- Assistance in raising the qualifications for the participants of the training seminars was very practical and helpful.

Section 4 (p, 26)
Partnership Model

During interviews the managers and members of both organizations mentioned that the relations between these two organizations are "most remarkable", there is a reciprocal understanding and support.

SEU and ISAR had met before starting to work together in March 1991 at the first environmental conference in Russia. This project was jointly created. In order to make important decisions during the course of the project, a Council that had representatives from both organizations was formed. "Group discussions and decision making" were cited as important aspects of providing successful control over the project by the majority of the interviewed.

Close personal relationships between CIC and ISAR members was another important aspect of the partnership. "Success of a partnership completely depends on personalities. We had absolute understanding with Mary Carpenter. She saw both our successes and blunders. She explained everything very well to Washington. It was a pleasure to work with her".

Members of both organizations mentioned the benefits from the project:

ISAR

- "... We became acquainted with social environmental movement in the ex - USSR, as we traveled a lot."
- "... I met many new contracts which helped me think up new ideas. It let me launch new programs."
- "... ISAR is thankful for the fact that we chose the right partner to work with (SEU) and found a wonderful niche in Moscow."
- "... mostly owing to ISAR contacts from the project, it (ISAR) became a "foundation" ("Democracy seeds" program, where ISAR distributed grants). Its status was enhanced.

SEU CIC:

- "... gained experience in the project management and financing."
- "... began to understand what the system of "American transparency"
- "... widened international connections and found new sources of financing."

After the project was over, the cooperation between those organizations didn't finish. SEU CIC members sent their applications for the "Democracy seeds" program to ISAR.

ISAR receives all the newsletters from the CIC electronic network. "This is important for the Moscow ISAR office. Using the network also provides them with the opportunity to access necessary contact information.

These two organizations are often considered to be one, because their business and personal contacts are so close. Their current plans include a combined project on creating a network of coordination centers in regions, collecting data on environmental organizations and working on the project on uniting two electronic data bases (SEU and ISAR) into one.

Conclusions (p. 27)

- Due to the mutual cooperation during the project, the organizations had additional opportunities for development.
- Preliminary cooperation was an important element of successful partnership.
- Choosing the aforementioned organizations as partners within the project was fully justified and very successful
- Democratic decision making on important questions in joint project is the basis for a successful partnership.
- Having good personal relations between members of organizations is an important condition for fruitful work in a partnership.

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Section 5 (p 29)
RECOMMENDATIONS

ORGANIZATIONAL SUPPORT.

1. Before giving a grant to support an organization it makes sense to look at their strategic plans and organizational structure.
2. If one of the goals of a project is for an organization to become self-financing it is important to analyze its strategic goals.
3. 3.As a condition for projects, midterm evaluation of organizational structure and its methods of achieving strategic goals should be completed.
4. More attention should be paid to training subgrantees in strategic planning, composing business-plans, seeking new sources of financing.

SUPPORT FOR PRINTING MATERIALS.

1. When choosing a publications to support, it is necessary to examine the reason for its existence; In every case it is necessary to take local needs and conditions into consideration.
2. It is important to analyze the adequacy of the form of printing materials (newspaper, magazine, bulletin, etc.) in connection with the problems it is intended to solve.

PARTNERSHIP MODEL.

1. It is necessary to consider before a project starts, either availability of good personal contacts between the participants, or probability of their origin.; holding special training sessions to form a united team composed of potential partners' employees will be great.
2. When choosing partners, it is desirable to look at the possibilities of cooperation after the project is over. A successful partnership model is a long-term one.

WL's ROLE IN THE PROJECT

1. To hold seminars and conferences more often, as WL is a very experienced organization.
2. To choose trainers carefully when preparing seminars and conferences.

ATTACHMENTS:

- 1. List of the documents reviewed**
- 2. List of the interviewees**
- 3. Materials representing the CIC productions.**

LIST OF REVIEWED DOCUMENTS

1. Application for grant.
2. mid-term evaluation.
3. Final report.
4. SEU by-laws.
5. SEU and CIC promotional products.
6. SEU questionnaire.
7. Reports on the project "Informational arrangements for the environmental movement in New Independent Countries" (copy)
8. "How to organize social environmental analysis" (Khotuleva M.V., Cherp O.M.; Vinichenko V.N., Moscow, 1996)
9. "Democracy Seeds" (Moscow, 1996)
10. "Bereginya" newspaper №12 (1996), № 3 (1997)
11. "Basis of the knowledge in the field of environment", textbook (Moscow, 1995)

LIST OF INTERVIEWEES

- | | |
|--------------------------|--|
| 1. Zabelin Svyatoslav | SEU manager |
| 2. Fyodorov Alexander | CIC director |
| 3. Georgievsky Alexander | CIC employee |
| 4. Kolesnikova Viktoria | CIC employee |
| 5. Gorneva Valentina | CIC employee |
| 6. Rubinchik Lyubov | CIC director (1991-1996) |
| 7. Mikheev Vladimir | "Environmental Herald" newspaper ex-editor |
| 8. Selivanovskaya T. | "Bereginya" newspaper editor |
| 9. Pchelina Tatyana | Bereginya" newspaper editor |
| 10. Kayumov Askhat | "Dront" environmental center |
| 11. Pisnyachevsky Nikita | ISAR employee |

Section 7

Evaluation Report - Group 8:
Yelena Belonogova, Vera Demicheva, Andrei Ilyin

“Rural Outreach to Russia” Magee Womancare
International/Saviour’s Hospital for Peace and Charity

**Project evaluation
Magee Womancare International's
Rural outreach to Russia**

Prepared by the expert group:

**Yelena Belonogova
Vera Demicheva
Andrei Ilyin**

April 20, 1997

Evaluation of the project Magee Womancare International's Rural Outreach to Russia

1. Executive summary.

Magee Womancare International and its partner "Spaso-Perovski Hospital of Peace and Charity" have successfully implemented the project "Rural Outreach to Russia", under which training for medical professionals was conducted on methodology, used by the international association "ASPO-Lamaze", as well as creation of a network of training centers in various regions of the Russian Federation. The established network is sustainable and it's possible to say that it will continue to develop.

In the present report we describe the activities, carried out by Magee Womancare International and "Spaso-Perovski hospital of Peace and Charity" as well as by the training centers, created in the course of the project. During the data collection special attention was paid to the activities of the project's participants after its official completion. The analysis of their activities enabled us to make conclusions about the degree of stability of the training centers.

The first part of the report contains the project information, the second part - description of Moscow and regional training centers, the third part contains main conclusions and recommendations, and the last part - a brief description of the evaluation process.

2. Introduction.

The project "Rural Outreach to Russia" was funded in the framework of the World Learning PVO/NIS Project. The reasons for developing this project were the inadmissibly high rate of complications during child-birth, perinatal mortality, as well as insufficient efforts of the state health care authorities to address these problems.

One factor affecting the high rate of complications during delivery is insufficient knowledge of maternity hospital medical staff about modern methodology of preparing future mothers for child-birth. This is why the project made plans to conduct training for 48 professional medical workers (two people from 24 regions of the Russian Federation) on ASPO-Lamaze methods, which have been used for a long time and quite successfully in the USA.

It was planned that the trained medical specialists would disseminate their knowledge among medical staff of maternity hospitals in their own regions. The assumption was that these specialists would create training centers with NGO status their regions.

3. Results of the project.

During the course of the project 52 professionals from 24 regions were selected and trained: 49 of these 52 also attended additional certification conferences planned in the project design, and 3 professionals were trained outside of the program. All trained professionals have confirmed that they have mastered the methodology by passing examinations, and receiving certificates stating their skills.

Training centers were created in all 24 regions, and a majority of them have officially registered as NGOs.

One of the unexpected results of the project was the admission of 6 trained professionals to the international association ASPO-Lamaze.

According to the data received from the regional centers it is possible to come to the conclusion that the rate of complications during child-birth has decreased when the above mentioned methodology was used.

The data from the report of Irina Bystrova, the representative of the training center "Woman and family", Tver:

| Type of complication | Among the trained | Control group |
|---------------------------|-------------------|---------------|
| Anhydrous interval | 6 hours | 8 hours |
| Primary uterine inertia | 2.5% | 7.5% |
| Secondary urinary inertia | 5% | 7.5% |
| Cesarean section | 2.5% | 5% |
| Perinatal mortality | - | 9.8% |

According to the data from Barnaul training center

| | Average in the region | Among the trained |
|-------------------------|-----------------------|-------------------|
| Number of complications | 93% | 10% |
| Perinatal mortality | 22 per 1000 | None |

The ASPO-Lamaze methodology was adapted according to Russian conditions in a number of training centers in the following areas:

- unification of the groups of trainees with pregnancies of different terms;
- drawing in pediatricians to work with the trainees;
- home nursing and monitoring of the children born when ASPO-Lamaze methodology was applied;
- individual classes with the pregnant women;
- medical monitoring after child-birth;
- working in the departments of pregnancy pathology.

Many training centers use such materials as training videos, which allows to improve the training effectiveness.

The regional training centers have developed non-traditional approaches to working with future mothers. For example, in the Vladimir training center the staff has established collaboration with representatives from the local Culture and Education vocational

school, and they in their turn conduct the classes for the center's clients using the elements of folklore culture.

In certain regional centers the clientele is drawn in through the references of the mothers of newborns, who have to stay in the departments of pregnancy pathology in the maternity hospitals. Also the relatives of the pregnant women are drawn in to participate in the partnership of child-birth (future grandmothers, future grandfathers, uncles and aunts).

Notwithstanding that the project has been completed, the activity of the centers not only remained the same, but in the majority of the centers has increased (in 6 of 9 studied centers). The number of clients has also gone up (in 8 of 9 centers).

Almost all the centers have developed mechanisms to evaluate client satisfaction with the methodology applied (according to the data of 5 centers - 100% of clients are satisfied with the quality of services, in 2 - 98%, in other two - 85% and 60%).

ASPO-Lamaze methodology meets the recognition among the health care specialists who haven't been trained under the project, though familiar with the results. The representatives from seven of nine centers gave a positive response to the question "Whether the methodology was disseminated among the specialists in the region?". The most active dissemination was conducted by the Barnaul training center: 39 representatives of various health care facilities of the Altai Krai were trained.

Some of the respondents from the regional organizations have taken part in NGO development workshops conducted by World Learning. They think very positively about the impact of these workshops on their own activities. Natalya Sereda who works in Barnaul training center, says: "These workshops are very useful, especially the ones on fundraising, strategic planning and work with mass-media."

It's worth mentioning that the operation of the organizations trained on WL workshops is more successful. For example, Barnaul training center efficiently applies the skills and knowledge acquired through these workshops, it uses them for the organizational development. The center is actively interacting with the state, commercial, public organizations.

One of the project's results was the emergence of horizontal linkages among the training centers: during the course of project implementation they were constantly sharing the acquired knowledge and developed methodological materials. The leaders of the centers communicate through the phone, exchange the letters, make visits to each other.

The following table illustrates the connections, established among several centers:

| Location of the center | Collaborating centers |
|------------------------|--|
| Barnaul | Izhevsk Tomsk Novokuznetsk |
| Yaroslavl | Tver Uglich Kostroma Michurinsk Petrozavodsk Nizhniy Novgorod |

It is easy to notice that the most active collaboration exists among the centers, located in the same region (Siberia, Central Russia).

The creation of the Association of Training Centers is in its final stage. By the assumption of Moscow center "Woman and family", that coordinates the registration process, the Association will include 15 regional centers that have NGO status.

4. Conclusions and recommendations.

1. The main goal of the evaluation was to define the degree of sustainability of the training centers that have NGO status. Out of 24 centers created through the course of the project, the Moscow center representatives said that only 15 of them have created NGOs. Because of incorrect contact information provided by the Moscow center we managed to get information from only 9 of them.

When the question was asked about their status, five of the centers responded that they were the part of the state structure, three - that they were registered as public organizations (NGOs), and one of them called itself the institution of additional education. Only six out of nine training centers are actively collaborating with other public organizations in their regions.

Based on these facts it's possible to make the following conclusion: the representatives of the regional centers do not consider themselves to be a part of the Third sector.

The representatives of all the training centers need basic information about the specifics for the Third sector (legal status, specifics of taxation and accounting).

2. Eight out of nine centers work with volunteers. Three centers described their work with volunteers as sporadic, and five centers - as systematic. However, it wasn't easy to get this information: in individual interviews several representatives of the centers gave a negative answer for this question. But after additional explanations about the concept of volunteers it was found out, that in reality they work with volunteers.

Such a valuable asset as volunteers' input, which is necessary for the sustainability of any NGO, is not utilized sufficiently.

3. Eight out of nine organizations mentioned difficulties with acquiring financial and other resources.

The conclusion: the organizations do not possess sufficient knowledge and skills on fundraising, on how to write proposals, on how to work with sponsors.

Recommendations: To conduct training seminars on successful and stable NGO development for the leaders of the regional center (strategic planning, fundraising, work with volunteers, legal provision, public relations). The supporting factor for our recommendation is the fact that those organizations which had participated in the NGO development seminars conducted by WL (4 out of 9) do demonstrate more successful operation of their centers.

4. When conducting the evaluation we ran across certain difficulties related to the lack of quick and reliable communication means with the regional centers (only 2 out of 9 use e-mail and fax). Furthermore, a certain amount of contact information provided for us by Moscow training center appeared to be incorrect.

Conclusion: it is almost impossible to have an effective information exchange among the centers, the coordination of their activities is complicated.

Recommendations: to develop the communication systems, primarily email; it seems that there's a need to develop a mechanism for constant updating of address and contact information.

5. We found that the system of data collection about results of the regional centers (for example, the data on complications, mortality) is imperfect in the majority of the centers.

Conclusion: it is difficult to compare the data on complications and mortality with the average statistic data of the region. This leads to such a situation when the centers lack an effective tool to work with potential clients.

Recommendations: to more widely disseminate the methods and data analysis of medical statistics (for example, those used in Barnaul training center). This will allow them to work more efficiently with sponsors (drawing in the financial and other resources) and with the state structures (participation in the state programs, and acquisition of finances through the mechanism of social order), and to disseminate the methodology (drawing in professional health care specialists and new clients).

6. We collected a certain amount of information that characterizes the operation of the training centers related to the network structure:

- some centers mention weak connection with Moscow center;
- after the last planned project conference, general activity focused on promoting information exchange among the centers has decreased;
- there is active communication among the regional centers;
- the leaders of several centers have mentioned the difficulties in obtaining materials, received from the Western partners, from Moscow;
- The Moscow center recommends the following mechanism of developing and sharing new methodologies: all new developments should be sent to Moscow and only after their testing will they be disseminated to the regions;
- representatives of several centers believe it would make sense to create regional associations instead of creating an Association with the center in Moscow.

Conclusion: the model of interaction between Moscow center and regional ones, that existed during the project development and implementation, is outdated and does not respond to the existing situation. The regional centers have accumulated a unique experience and have achieved a high degree of independence.

Recommendation: to develop the mechanism of interaction between the centers, which will provide a higher degree of their independence from the Moscow center and will enable them to interact directly with one another and foreign partners.

5. Description of the evaluation process.

When conducting the evaluation we carried out the following:

1. Consultation with the stakeholders to determine the objectives for evaluation.
2. Visits to Moscow center.
3. Interviews with the staff of Moscow center.
4. Analysis of the reports of the regional centers, provided by the staff of Moscow center.
5. Studying the database on medical statistics (Moscow center).
6. Preparation and sending out the questionnaires.
7. Interviews with the representatives of the regional training centers.
8. Processing of the information collected, preparation of the evaluation report.

During the consultations with the representatives of the client (World Learning - Tom Kelly, Donna Barry) we have found out that the main interest of the client is to understand, to what extent the project was successful from the point of view of creation the NGO network. Taking this objective into account we have planned and conducted this evaluation.

The list of Appendices

1. Questionnaire for the regional centers.
2. The report of Irina Bystrova, the leader of the training center "Woman and family", Tver, from the presentation of the project which was conducted in USAID on April 17-18, 1997 in Moscow.
3. Registration chart for the clients of the Center "Woman and family". Moscow.
4. Questionnaire for the clients of the Center "Woman and family", Moscow.
5. The second issue of the newsletter "Woman and family", Moscow, spring of 1996.
 6. The list of the cities that have the centers questioned during the evaluation.

Appendix 1. Questionnaire for the regional centers

Dear colleagues!

Currently World Learning and USAID are conducting an evaluation of the project Magee-Partnership, during the course of which your training center was created. The goal of this evaluation is to perform an analysis of the activities carried out through the course of the project, and to develop the recommendations which will assist all the participants of the project, including your center, to improve the effectiveness of the center's operation.

We would like to ask you to provide the information about your activities through filling out this Questionnaire. We were trying to make this Questionnaire as simple as possible. Unfortunately, regardless of our efforts, it will take some time for you to answer all the questions. We think that it will take from 20 minutes to 1 hour to fill the Questionnaire out, depending in what condition your documents are.

The quality of the evaluation, as well as the quality of recommendations provided for the interested organizations, depends on how complete and exact your answers will be.

The completed questionnaires you can send by fax (095)251-76-17 or via email: clearh@glas.apc.org with the sign "for A.M.Ilyin".

We would like to receive the completed questionnaire as soon as possible, preferably before April 17.

We thank you in advance for your collaboration!

Sincerely,
World Learning expert Andrei Ilyin.

Questionnaire:

1. What is the legal status of your center:

- registered as a public organization
- part of a state structure
- other (describe)

If your center is registered as a NGO, please describe its structure (board of directors, board of trustees, number of members, anything else you deem important):

2. What structures do you collaborate with in the course of your activities?

- other public organizations
- state organizations
- commercial organizations

What type of collaboration do you have with each of them?

3. Do you collaborate with the other training centers, created through the course of the project? yes no

If "yes" then what type of collaboration do you have?

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Do you plan to participate in the work of the Association of the training centers being created?

4. Describe the budget of you organization (in percentage for each source of funding):

| Source of financing | 1996 (before the project completed) | 1996 (after the project completed) | 1997 (planned) |
|-----------------------------------|-------------------------------------|------------------------------------|----------------|
| Grants of the foreign foundations | | | |
| State targeted funding | | | |
| Funds through the social order | | | |
| Private donations | | | |
| Membership fees | | | |
| Services for charge | | | |
| Other | | | |
| Total amount | | | |

5. What type of work do you have with volunteers:

- there's no work with them
- sporadic
- systematic

Other:

6. How have the activities of your organization change during the time since the completion of the project Magee-Partnership?

Activity: decreased increased did not change

Number of clients: decreased increased did not change

7. Are there any differences in your center's operation compared to the model offered for replication?

8. What difficulties, related to management of your organization, have appeared during the course of the project implementation and after its completion?

- management-related
- difficulties in acquiring financial and other resources
- attracting the new clients

Other:

9. In there were any unexpected results during the course of project implementation, please describe them:

10. Has the methodology been passed on to physicians who didn't participate in the project? yes no

If "yes", how many physicians were trained?

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ATTACHMENT 6

Cities of the Centers who returned questionnaires

- 1. Moscow**
- 2. Murmansk**
- 3. Tver**
- 4. Barnaul**
- 5. Smolensk**
- 6. Nizhni Novgorod**
- 7. Volgograd**
- 8. Yaroslavl**
- 9. Izhevsk**

COMPASSION IN RUSSIA

Project Impact Evaluation

(V. Bushuyev, O. Zykov, N. Khananashvili)

1. Project Information

The project "Compassion in Russia" received a grant which was implemented by the center "Compassion" and International Rescue Committee (IRC). The project was functioning before the grant was received. The total funding received from the IRC was \$200,000.

During the pre-grant period "Compassion" took care of 600 beneficiaries. The clients were members of the association of people, who had suffered from ungrounded political repressions (the Memorial Society). The region under the project was the city of Moscow. The general number of beneficiaries in this category, which need nurses and medical assistance, as well as treatment at hospitals, is about 6,000 people. The number of clients serviced by the project increased to 2,400 within the project period. Total serviced - 2,400. Nurse and medical assistance was offered to 207 patients by over 160 employees, which were recruited by "Compassion" for the implementation of the World Learning grant.

The project was closed down December 31, 1996.

2. Project evaluation activities - Description

The project evaluation continued for four weeks.

To evaluate the performance under the project, financed by World Learning, the experts did the following:

1. Interviewed the project beneficiaries.

1.1. Compiled mini-questionnaires for the beneficiaries

The list of questions:

- a) Full name, date of birth
- b) How long have you received medical assistance?
- c) (This question can be answered by the clients or, if they suffer from bad memory, by a "Compassion" representative.)
- d) What kind of assistance did you receive? How often?
- e) Were you satisfied with the quality of assistance and medical aid?
- f) Do you think that you will need such an assistance in the future? (A detailed answer is desirable.)
- g) Can you provide any comments about the assistance?
- h) What can be changed or improved in terms of provided services and their quality?

1.2. Identifying the audience for telephone interviews.

A group of beneficiaries (single and in need of assistance), direct victims of illegal political repressions in the 30s - 50s, was chosen for the interviews. All the

beneficiaries live in Moscow. According to the "Compassion" database, the group consisted of 207 people.

1.3. The telephone interviews were arranged by means a random sample in combination with "external" and "internal" interviews. The essence of this approach is the division of the interviewed to two equal groups. One group was interviewed by a representative of the evaluation team (expert), the other - by a "Compassion" representative. This allowed for additional comparison of interview results with the account of various sources, requesting information.

The interviewers did not restrict their interviews to a specific Moscow district, the territorial approach would not have allowed for an evaluation of the level of assistance irrespective of the client's location.

Twenty people were interviewed (the list of the interviewees and typical answers are attached, see Attachment 1)

The representation of the sample is about 10%.

The obtained data confirmed that:

- a) clients were willing to answer the questions;
- b) the work of doctors, social workers, and volunteers was rated highly by the clients;
- c) the beneficiaries are in serious need of continuous assistance of the doctors, social workers, nurses, and volunteers;
- d) the data, received by "internal" interviews, was equivalent to the data obtained by "external" interviewers.

2. Methodology and system materials used by "Compassion" during the project and developed by its closedown.

2.1. "Compassion" prepared the following methodology materials (see Attachment 2):

- a) the list of services (types of services and duration of work), offered in the scope of the project nurse component;
- b) reporting documentation ("Compassion" physicians and volunteers).

2.2. Also available are concept papers (see Attachment 2):

- a) a model of a center for post-stress geriatric rehabilitation;
- b) a concept of an alternative government service for assisting people with disabilities and the elderly;
- c) a typical scheme of interaction between government and non-government medical and social structures (a real-life example is used - Khamovniki municipal district, Moscow).

3. Conclusions

An analysis of the project's effectiveness was performed on the basis of the presented materials and information. The results of the analysis allow for the following conclusions:

1. The project was implemented successfully. Besides nurses' assistance, the medical and social workers and volunteers serviced up to 500 calls a month (primary advice, monitoring, volunteers' visits, medical services, hospitalization).
2. A sustainable structure, which continues the work initially funded through the grant, even after the grant ended (almost 50% of the services, provided in the framework of the project; up to 70 nurses and over 30 volunteers). This was another contribution to the development and expansion of the volunteer movement in Russia.
3. Stable feedback ("clients - medical and social workers - "Compassion") was achieved.
4. A computer database on the project beneficiaries was created.
5. New methodology and concept papers were offered, this proves the project sustainability and organizational capabilities of those who worked in the framework of the project.
6. Inefficiency of the system of external relations of the Center gives rise to certain fluctuations of the scope of the services offered and the number of clients serviced (reduction of the scope of services after the grant is over).
7. Employees doing the nurse work belong to two different age groups (before 25 and after 40). The communication ties between the two was not sufficient.

4. Recommendations

1. Financial issues. Identification of external sources of funding for continuing the work under the project should be accelerated.
The following guidelines can be considered:
 - I. Establishing closer contact with the Government of Moscow for bids for the above medical, nurse and social services.
 - II. Attracting city and municipal budget funds for the implementation of social programs (in cooperation with the Government of Moscow and local government bodies).
 - III. Developing a external relations service within the Center (to expand activities on fund-raising).
2. Methodology
 - I. Completion and systematization of methods and concept papers.
 - II. Further work on the client database (expanding parameters for the implementation of the search).
 - III. Organization of internal training (workshops, etc.) for different age groups of "Compassion" employees. Exchange of experience and methods. Psychological training.
3. Administrative issues. It is necessary to make the project autonomous as follows:

- I. Full-time project director who has exclusive rights for the distribution of operational funds.
- II. Full-time highly qualified employees.
- III. Creation of a system of continuous training of the employees working with the project beneficiaries and other geriatric clients.
- IV. Development of the concept and program for the experts and employees of the project.
- V. Availability of an individual work plan (job descriptions), associated with the general program and plans of the Center, for each employee and expert.

4. Organizational issues. Establishing contacts with the third sector organizations, involved in similar activities.

5. Summary

The study of the materials provided by the "Compassion" center to the team for the evaluation confirms the urgency of the project. The following should be noted:

1. The importance of the generalization and distribution of the experience, methods and concepts developed by the organization implementing the project.
2. The idea of a model geriatric rehabilitation center, as well as the establishment of regional and inter-regional geriatric centers, deserve careful consideration. The centers are expected to implement both existing goals and goals related to the concept of an alternative government service.
3. The above project is regarded as a vital and stable one. However, it needs continued external funding.

Section 8

Sample Evaluation Reports

1. Evaluation of the Peace Corps/USAID Small Project Assistance Program
2. AFGRAD Program Final Evaluation Report
3. Morocco: Food Aid and Nutrition Education

**Evaluation of the Peace Corps/USAID
Small Projects Assistance Program (SPA)**

1995

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PROJECT IDENTIFICATION SHEET

1. Country: Worldwide
2. Project Title: USAID/Peace Corps Small Project Assistance Program Evaluation
3. Project Number: AEP-0085-I-00-3001-00
4. Project Dates: February, 1991 to June, 1995 (Current PASA)
5. Project Funding: Annual Increments of roughly \$2.5 million per year
6. Mode of Implementation: Other Agency
7. Project Designers: USAID and Peace Corps
8. Responsible Mission Officials:
 - a. Mission Director(s): N/A
 - b. Project Officer(s): Arnold Baker
9. Previous Evaluations: April 1985, March 1989

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Project Description

The USAID-Peace Corps Small Project Assistance (SPA) Program was initiated in 1983 to support low-cost, high-impact projects developed by communities and Volunteers working together at the village level. It is part of a broader effort to enhance field collaboration between USAID and the Peace Corps and to capitalize on the strengths both organizations bring to the development process.

The SPA program consists of two elements: a grant element which funds individual SPA projects in communities overseas, and a technical assistance element which funds, among other things, training for Volunteers and their host country counterparts in project design and management. For 1994, the SPA program's budget for grant funded projects was \$2,166,746. Another \$429,343 was authorized for the technical assistance component of the program.

On a worldwide basis, study data indicates that the average cost of a SPA project is approximately \$6,500. The SPA program's contribution to such projects averages out at about \$2,500, or roughly 40% of the total cost. On a regional basis, study data and Peace Corps' own annual reports show that average cost vary from region to region, as well as over time. Projects carried out in the Europe, Central Asia and the Mediterranean (ECAM) consistently have a higher average cost than projects in other regions, as the following table indicates.

| Region | 1992 | | 1993 | |
|----------------|--------------------|-------------------|--------------------|-------------------|
| | Number of Projects | Average SPA Grant | Number of Projects | Average SPA Grant |
| Africa | 355 | \$2,589 | 323 | \$2,499 |
| Asia-Pacific | 93 | 2,545 | 81 | 1,692 |
| ECAM | 16 | 5,189 | 59 | 4,106 |
| Inter-American | 109 | 3,218 | 172 | 2,684 |
| All Regions | 573 | 3,385 | 635 | 2,745 |

Source: Peace Corps Small Projects Assistance Program Activities Reports for 1992 and 1993.

In 1992, the middle of the three years examined by the evaluation, 9% of all Volunteers, on a worldwide basis, were involved in SPA projects. Roughly half of the Volunteers who worked on SPA project were men, and half were women. On a regional basis, differences existed with respect to the percentage of Volunteers undertaking SPA projects:

In the Africa region (AFR), 14% of the 2,612 Volunteers were involved in SPA projects;

In the Asia-Pacific (AP) region, 10% of the 962 Volunteers in the region undertook SPA projects;

In the ECAM region, 3% of the region's 630 Volunteers were involved in SPA projects, and

In the Inter-American (IA) region, 5% of all Volunteers developed SPA projects.

With respect to sectors, Volunteers designate their SPA projects as fitting in one of seven sectors when they prepare SPA proposals. The seven sectors from which they choose are listed on the SPA programs Initial Activity Agreement (IAA) form as: agriculture, health, income generation, small business development, environment, water/sanitation, and education. Geographic bureaus which differ with respect to the actual number of projects undertaken, as the preceding table indicates, also differ in terms of the percentage of their projects that were coded as belonging to one of these seven sectors, or groups as show below.

Percentages of projects, as reported below and throughout this report, are based on 208 project-level surveys that were received from Peace Corps offices and were weighted to properly represent the SPA project populations of various countries, as described in Appendix B.

| Sector | Region | | | |
|----------------------------|--------|------|------|-----|
| | AFR | AP | ECAM | IA |
| Agriculture | 22% | 19% | --- | 11% |
| Health | 22% | 36% | 16% | 33% |
| Income Generation | 17% | 10% | 11% | 31% |
| Small Business Development | 3% | --- | 11% | 5% |
| Environment | 2% | --- | 19% | 6% |
| Water/Sanitation | 16% | 22% | 14% | 12% |
| Education | 18% | 13% | 29% | 2% |
| TOTAL | 100% | 100% | 100% | 1 |

Evaluation Scope of Work

1. Assess the extent to which the SPA Program is supporting sustainable participatory development projects and technical assistance at the grassroots level.
 - a) What do USAID Mission staff consider the overall impact of the SPA Program?
 - b) What do Peace Corps staff consider the overall impact of the program?
 - c) What have been the overall benefits at the community level in the countries the team visits?
 - d) To what extent does the SPA Program strengthen the relationship between USAID and the Peace Corps?
2. Assess the extent to which the current SPA Program guidelines and criteria relate to both agencies development goals.
 - a) How does the SPA program relate to USAID's strategic objectives?
 - b) Should the SPA criteria be revised to reflect those new objectives?
 - c) Are the criteria still valid for Peace Corps programs?
3. Examine the scope, effectiveness and sustainability of projects funded with SPA funds.
 - a) To what extent are the current SPA project criteria being met?
 - b) To what extent are SPA projects achieving their individually stated objectives?
 - c) To what extent are projects being sustained?
 - d) Do outcomes other than those stated in the SPA Individual Activity Agreement result from SPA projects?
 - e) Should the SPA guidelines restrict the purchase of materials (e.g., computers) with SPA grant funds?

4. Examine the scope, impact and level of capacity building taking place through the SPA Technical Assistance and grant funds.
 - a) To what extent does Technical Assistance funding support SPA projects?
 - b) To what extent do SPA Technical Assistance and grants provide capacity building for indigenous NGOs?
 - c) To what extent does the SPA Program contribute to the USAID objectives of grassroots capacity building?
5. Examine the cost effectiveness and management efficiency of the current collaborative funding mechanism at Peace Corps headquarters.
 - a) To what extent does the new central funding mechanism improve the administration of the SPA program? Should changes be made to improve administrative efficiency?
 - b) What is the impact of the current funding cycle on administration and reporting and accounting requirements?
 - c) What role should the Peace Corps' regional management staff play with regard to the annual SPA request and submission process?
 - d) How will USAID mission closings effect the SPA Program?
6. Examine SPA programming and approval mechanisms at the field level.
 - a) Are project review and approval mechanisms working effectively?
 - b) What is the level of involvement of USAID staff?
 - c) Is the current SPA project tracking system adequate?
 - d) What changes, if any, are recommended to improve the administrative and programming efficiency of the SPA Program?

Evaluation Methods

The methodology used in this study was developed through a collaborative process in which USAID and Peace Corps staff, as well as the full MSI evaluation team, were involved.

Data for this study were collected in Washington and overseas using a variety of instruments and methods, including:

A review of information contained in Peace Corps/Washington's SPA files;

Program-level survey instruments that were sent to 61 Peace Corps offices and returned by 49 (80%) of those offices as well as project-level survey instruments which were sent to these offices covering a random sample of 279 SPA projects from the 1991-1993 period. Of these project-level surveys, 208 (75%) were returned.

Parallel survey instruments which were sent to selected USAID Missions and returned by 16 of these missions;

Site visits, which were made to nine countries¹, and included detailed interviews at a total of 23 project sites in those nine countries: and

Interviews were carried out with Peace Corps/Washington and USAID/Washington staff whose focus included regional issues, program management, and finance.

Data analysis involved two distinct processes:

A statistical analysis of those elements of the study's survey instruments which could be quantified, using SPSS, a well-known statistical analysis program, and

Content or pattern analysis, which was used to analyze all of the study's interview data as well as narrative answers to questions in the study's survey instruments.

A more complete discussion of the evaluation's methodology, particularly as regards its survey research procedures, is presented in Appendix B.

In addition to these methods of analyzing and displaying study data, the evaluation team developed profiles of individual SPA projects and took photographs that help to illustrate the

¹ Paraguay, Uruguay and the Dominican Republic; Poland; Fiji and Tonga; Niger; Guinea and Swaziland.

way in which SPA projects affect the communities in which they are undertaken. All of these sources of information were blended together to frame the study's answers to the questions the evaluation sought to address.

SPA Evaluation Final Report

Executive Summary

The USAID-Peace Corps Small Project Assistance (SPA) Program was initiated in 1983 as a quick funding mechanism to support low-cost, high-impact projects developed by communities and Peace Corps Volunteers working together at the local level. The SPA Program is funded by USAID through a Participating Agency Service Agreement (PASA) with the Peace Corps. The PASA makes funds available for grants for individual small projects and for technical assistance, which is used to train Volunteers and their host country counterparts in project design and management and other skills. The SPA Program is part of a broader effort to enhance field collaboration between USAID and the Peace Corps to capitalize on the strengths both agencies bring to the development process.

The evaluation discussed in this report is the third major evaluation undertaken of the SPA Program. Its objective was to assess the development benefits of the SPA Program, identifying the program's strengths as well as its weaknesses. Particular attention was paid to program support for participatory development at the "grassroots" level; the extent to which the SPA Program criteria and guidelines are applied and reflect the goals of USAID and the Peace Corps; and the effectiveness and sustainability of SPA projects. The evaluation also examined the management efficiency of the funding arrangements and the effectiveness of program management in the field. Data for the evaluation were collected through surveys sent to 61 Peace Corps offices and selected USAID Missions. These surveys inquired about management practices as well as about the performance of a random sample of 279 SPA projects initiated between 1991 and 1993. In addition, field visits were made to nine countries and 23 project sites.

Evaluation Findings

SPA projects were found to have addressed a wide range of community objectives worldwide. On a regional basis, roughly 56% of all SPA projects were carried out in Africa; another 23% were undertaken in Latin America. The remainder were distributed throughout Asia, the Near East, and Eastern and Central Europe. On a sectoral basis, 26% of the SPA projects examined focused on health and related problems; 22% focused on agriculture, and 21% focused on income generation and small business development. The remainder addressed environmental issues or opportunities for improving water and sanitation systems or education.

This evaluation highlighted the relevance of facilitating community development through Peace Corps Volunteers and small grants. Projects similar to those examined in this study have a strong likelihood for success in other communities where interested Peace Corps Volunteers and active community members can participate in their design and implementation.

The evaluation's major findings and conclusions were:

- Few development programs can claim as high a rate of achievement for their projects as was found for the SPA program, not only in this evaluation but also in the 1989 evaluation which covered the previous five-year period.
- A substantive review of SPA project objectives indicates that activities undertaken by this program are consistent with USAID's sustainable development goals that focus on broad-based economic growth, health and population, and the environment.
- Across a ten-year period, SPA projects have consistently performed as planned. For the years covered by this evaluation, 92% of all SPA projects achieved at least some of their stated objectives.
 - On a sectoral basis, health, education, environmental, and small business projects were found to be somewhat more likely to have achieved their objectives than were projects that focused on agriculture or on water and sanitation issues.
 - Relatively large projects, i.e., those to which SPA contributed \$5,000 to \$10,000 were more successful than relatively small projects to which SPA contributed \$1,000 or less.
- Approximately 80% of all SPA projects are reportedly being sustained, i.e., they are continuing to provide benefits to the communities in which they were undertaken.
- SPA projects not only produce visible results, but also strengthen a community's sense of empowerment and self-sufficiency. Training in project design and management is one of the SPA Program features that is helping to strengthen local capacity, both of individuals and organizations. There is evidence that individuals trained through SPA projects passed their skills on to others. Additionally, the program has facilitated both the strengthening of existing organizations and the creation of new ones.

From a management perspective:

- The costs of the SPA Program are low on a per project basis, with the average SPA contribution about \$2,500. SPA funds represent only a portion of a project's total cost, which is on average, around \$6,500. A 40% contribution from the SPA program is thus leveraging 60% of the resources needed for a project from the community itself or from other sources.
- The SPA Program appears to have done an exceptionally good job, for a highly decentralized program, of meeting reasonably conservative standards of

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accountability. The systems that are used to administer the SPA Program in the field work well, albeit with significant country-to-country differences.

— On the financial management side, however, funding gaps during the program year, which have emerged as a function of the way in which the program is financed, are having a negative effect on program operations and on Volunteer credibility.

— SPA program criteria are generally being respected as are limitations on the use of SPA Program funds. On the other hand,

- A criterion that requires projects to have a secondary focus, apart from the Volunteer's primary assignment, is not always followed. Peace Corps staff and others generally believe that projects that complement a primary assignment are appropriate.
- Peace Corps staff and others also believe that the SPA Program's prohibition on the purchase of computers, as opposed to other materials, is outmoded.

Recommendations

Recommendations for improving the SPA Program focus primarily on management:

— Eliminate funding gaps during the program year. Options for doing so include shifting to a forward funding approach that would apply USAID funds from one fiscal year to SPA projects initiated in the following year.

— Reduce the amount of time it takes for funds to flow to SPA projects following the approval of project proposals.

— Rationalize, update, and simplify the criteria and guidance materials that are used to administer the SPA program. Condense the SPA Guidance and SPA Handbook into one user-friendly document.

— Expand access to, and improve the quality of, SPA program orientation sessions and training programs that help Volunteers and their counterparts to develop project design and management skills.

— Improve SPA project monitoring and evaluation, primarily through a set of simple steps that Volunteers and their counterparts themselves can take to obtain information on project performance and impact.

**Examples of the Use of Pattern Analysis to Organize Answers
to "Open-Ended" Questionnaires Used in The SPA Evaluation**

Question I.10.b In your judgement, how does participation in the program affect the volunteer experience? Are volunteers who use the SPA program better able to carry out their assignments than volunteers who do not use this program? Are there any particularly positive or negative consequences of the SPA program from the perspective of the overall volunteer experience?

There were 43 responses to this question.

Of the 43 responses, a number of respondents offered multiple answers to the question. The total number of responses to this question is 48. The percentages below reflect a field of 48 responses.

44% reported that a volunteers' participation in SPA enhanced and enriched their Peace Corps experience because of being able to see a project through from beginning to end that involved very little funding but which had a dramatic impact on the community.

17% responded that working on SPA projects facilitated the volunteers' integration into the community and enhanced the language and capabilities of the volunteer.

15% responded that the impact of SPA on the volunteer and whether or not it affected their primary assignment, depended on the volunteer and his/her outlook on development. In general, however, the more active and "successful" volunteers are the ones most likely to use SPA.

13% responded that SPA was beneficial to the volunteers because it gave them experience in writing proposals and project management and enhanced their financial management and administrative acumen - which makes for more effective development work.

6% reported that there was a downside to SPA in that it created dependency of foreign assistance and could result in a volunteer being valued solely for his/her monetary contributions to the community.

4% reported that SPA helped broaden the volunteer's experience by exposing her/him to a different community and work experience.

1% reported that SPA did not affect the volunteers' experience at all.

Question I.11.a If you are aware of any instances, in the past two years, in which SPA projects have had an impact beyond the specific community in which they were undertaken, e.g., instances of replication or indications of a "spread effect," i.e., the diffusion of an idea or technique, please identify and describe them.

There were 28 responses to this question.

Of the 28 responses, some respondents provided more than one example. The total number of examples was 41. Please note that the percentages below are based on the total number of examples.

24% reported a "spread effect" of water projects - e.g., well and cistern construction or handpumps.

10% reported the replication of resource centers/libraries.

8% reported latrine replications in neighboring villages.

8% reported community garden replication in neighboring areas.

8% reported the replication of health education/education structures.

5% reported replication of community market infrastructure projects.

5% reported replication of tree nursery projects.

5% reported the replication of tie-dye shirt production projects.

5% reported the replication of animal-raising projects.

5% reported the replication of computer-aided projects (!!!)

5% reported the replication of environmental education/awareness programs.

2% reported the replication of a sewing project.

2% reported the replication of woodless house construction.

2% reported the replication of soil conservation techniques.

2% reported the replication of a Women in Business workshop.

2% reported the replication of an "improved stoves" project.

2% reported the replication of a wooden silo project.

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PROJECT IDENTIFICATION DATA SHEET

1. Country: Africa-wide
2. Project Title: African Graduate Fellowship Project
3. Project Number: 698-0455
4. Project Dates:
 - a. First Project Agreement: 3/63
 - b. Final Obligation Date: FY -- (planned/actual) 9/30/96
 - c. Current Project Assistance Completion Date: 9/30/96
5. Project Funding: (amounts obligated to date in dollars or dollar equivalents from the following sources)
 - a. A.I.D. Bilateral Funding (grant and/or loan): \$105,480,253
 - b. Other Major Donors/US Universities: \$20,000,000
 - c. Total Funding: \$125,480,253
 - d. Host Country Counterpart Funds: Round-trip travel and/or salary of participants
6. Mode of Implementation: (host country or AID direct contractor - include name of contractor) Direct contract with African American Institute
7. Project Designers: (organizational names of those involved in the design of the project, e.g., the Government of Sri Lanka, USAID/Sri Lanka, and the International Science and Technology Institute (ISTI).
African American Institute, Council of Graduate Schools, and USAID Africa Bureau
8. Responsible Mission Officials: (for the life of the project)
Theodore Clarke, Paul Knepp, Norman Green, Judy Shampain, Paul Struharik
9. Previous Evaluation(s): Evaluation of AFGRAD III, Creative Associates, 1988;
Evaluation of AFGRAD I & II, Jasperdine Kobes, 1984

Project Description

1. Background and Objectives

In 1963, in response to Africa's need for highly-trained professionals to play leadership roles in the continent's newly-independent governments, the U.S. Agency for International Development (USAID) initiated the African Graduate Fellowship Project (AFGRAD). In partnership with the African-American Institute (AAI), American graduate and professional schools, and African governments, USAID sponsored this effort as a means of training future African leaders, as well as accelerating economic and social development throughout Africa. The project provides fellowships to qualified Africans for undergraduate, graduate, and postgraduate training on university campuses in the United States.

AFGRAD's primary purpose has been to contribute to meeting human resource development needs in Africa by providing high-caliber university training to qualified Africans in public and private entities considered essential for development. Upon their completion of training, the Fellows are expected to exert a positive influence on their organizations, as well as transfer their skills to others so that the benefits of AFGRAD training will be further multiplied.

As a regional program, AFGRAD serves a role in those country programs with long-term goals, as well as in countries that require short-term capacity-building in critical sectors of nation-building. In general, mission guidelines for the AFGRAD program have been presented in broad terms to address key development priorities. Despite the absence of a systematic strategy linking AFGRAD training objectives to country programs in some USAID missions, a significant number of AFGRAD returnees play important roles as change agents in their respective countries.

C. Scope of the AFGRAD Training Project

1. Characteristics of AFGRAD Alumni

Training Targets. More than 2,500 Africans, representing 45 countries, have been sponsored for training since 1963 during the project's three phases (AFGRAD I, II and III). Of these, 2,516 Africans have completed their AFGRAD programs as of September 1992. Chart 1 below reflects the distribution of AFGRAD alumni over the life of the project (*See Table I.1, Annex 8*). Accordingly, more than half of all alumni (51.4 percent) were sponsored during AFGRAD I (1963-1976), followed by 28.3 percent under AFGRAD II (1977-1984), and 20.3 percent under AFGRAD III (1985-1992).

Male/Female Ratio. Although the number of female alumni is only 14.1 percent of the total alumni population, there has been a marked increase in the percentage of females trained under the project over time. The data show that females constituted 24.5 percent of the alumni population under AFGRAD III. This trend can be expected to continue given the priority placed on this by USAID and the ATLAS project.

Sector of Employment. Consistent with the intent of the project to strengthen the civil service, research institutions and universities in participating countries, the majority of

candidates under AFGRAD are nominated by educational and government entities. (See Table I.3, Annex 8) Candidates have been recruited in smaller numbers from international organizations, non-governmental organizations, and from the private sector. The evaluation data will show further below (see Section III - Alumni Career Patterns), however, that an increasing number of alumni are working in the private sector and in other non-governmental agencies (e.g., international organizations, donor projects, NGO's).

2. Type of Training

Training Objective. Almost all of the awards made under AFGRAD have been for degree programs, of which the majority have been master's degrees (59.1 percent) and doctorates (31.5 percent). Bachelor's degrees represent 6.5 percent of the awards. In addition, 2.9 percent of the awards have involved non-degree programs for postdoctoral study and research (POSTAF). The number of total AFGRAD awards is greater than the number of alumni since approximately 100 alumni received two awards, either for successive degrees or at other times in their careers.

Major Field of Study. The fields of study undertaken by AFGRAD alumni represent a wide array of specializations (See Table I.4, Annex 8). When grouped by major discipline, the largest proportions of alumni are concentrated in the following fields of study, all major sectors for African development: agriculture and animal science, business administration and economics, engineering, education and health.

3. Alumni Program Completion and Repatriation Rates

Most of the AFGRAD Fellows achieved their degree training objectives (92 percent), and the great majority returned to their home countries after completing their AFGRAD programs, including those who stayed on for follow-on training (i.e., practical training or other study programs). The total repatriation rate over the life of the project for those who successfully completed their programs is 88.1 percent. **Given the political and economic instability in a large number of countries, this rate is considered excellent by knowledgeable human resource development analysts.**

The non-return rate (11.9 percent) involves alumni in a small number of countries, including Uganda and Ghana. Since these two countries were among the study team's site visits, this issue is discussed further in Section III: Re-Entry Status.

Major FOS Breakdown on Total and Sample Alumni Population

| Field of Study | Total Alumni % | Sample Alumni % |
|-------------------|----------------|-----------------|
| Ag/Animal Science | 12.4 | 14.3 |
| Engineering | 15.4 | 14.2 |
| Economics | 14.9 | 11.7 |
| Education | 9.1 | 12.0 |
| Business | 11.3 | 13.3 |
| Health | 6.5 | 6.0 |
| Biology | 7.2 | 9.0 |
| Other | 23.2 | 19.1 |
| TOTAL | 100 | 100 |

Alumni Program Completion and Repatriation Rates

| REPATRIATION DATA | TOTAL | ALUMNI |
|--|-------|--------|
| | # | % |
| RETURNED HOME | 1619 | 64% |
| Stayed in U.S. for PRACTICAL TRAINING | 398 | 16% |
| Went to Other Country for PRACTICAL TRAINING | 3 | 0% |
| Stayed in U.S. for Further STUDY | 207 | 8% |
| Went to a Foreign Country for STUDY | 21 | 1% |
| Stayed in U.S. for ANOTHER REASON (employment) | 176 | 7% |
| Went to a Foreign Country for ANOTHER REASON | 39 | 2% |
| Unknown | 53 | 2% |
| Total Alumni | 2516 | 100.0% |

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Evaluation Scope of Work

MSI will conduct a second follow-up study of AFGRAD alumni that will analyze the effect of the AFGRAD participant training program on African development in participant countries under AFGRAD II and III. The study will focus on those participants who have completed the program since 1980, and will include an update of the results of an earlier study of the program (1963-1980).

MSI will focus on the following aspects of the training program:

Review USAID priorities in human resource development as reflected in the relevant cooperative agreements between AAI and USAID;

Examine, along sectoral lines, the broad policy themes of leadership, institution building, development of the private sector and increased participation of women that have been the cornerstones of USAID's support for training programs in Africa over the past 25 years;

The relationship between selected USAID mission strategies (as reflected in the CDSS) and the nature of the training offered through AFGRAD to participants from those selected countries;

Patterns and changes that have taken place in long-term and short-term graduate education within the academic community over the course of the AFGRAD - program with special input from the Deans' Committee;

Comparison of career patterns of AFGRAD alumni since the program began as reflected in AAI's database;

The relationship between the training offered to participants and the resultant use made of that training as reflected in the career patterns in order to determine what trends, if any, can be identified in the African job market;

Conduct a limited post-training survey, using selected countries, to determine how AFGRAD participants regard the usefulness of the training with respect to their career development; and

Review critically the training offered in one selected country, within one sector, and its effect on institution building within that country.

The terms of the assignment are to:

- analyze the database prepared by AAI on each participant;
- update and modify the AAI questionnaire to be given to each participant;
- field test the questionnaire with a selected group of AFGRAD participants from the previous study in cooperation with AFGRAD Field Representatives;
- design a series of interview questions to be asked of selected participants;
- carry out a series of interviews, in selected countries in Africa, with a representative group of AFGRAD alumni;
- review, modify and update data from the previous AFGRAD study, as appropriate;
- review with AFGRAD staff existing monitoring and evaluation instruments and help develop new instruments when necessary; and
- provide a written report at the end of the study, providing both qualitative and quantitative information on the effectiveness of the AFGRAD project.

Evaluation Methodology

1. Approach

The study began with a review of AAI files, computer databases, and other relevant documentation, as well as a review of interview and report data from a previous AFGRAD follow-up study carried out in 1983. Information derived from these activities, coupled with interviews with AAI and USAID staff and discussions with the Deans' Committee, formed the basis for the research design. The study's approach and research methods combined qualitative evaluation techniques with the collection of comprehensive quantitative data from 42 AFGRAD countries over an 18-month period. A detailed questionnaire was developed and sent to AFGRAD participants who had completed their programs by September 1992, and for whom addresses were available and to whom questionnaires could be delivered. To corroborate and illustrate the survey data, a series of focus-group and individual interviews was conducted in four selected countries: Ghana, Madagascar, Mali and Uganda. While the written questionnaire was intended to be an objective and descriptive tool for measuring patterns and trends in selected aspects of the AFGRAD training experience, the field component was subjective and exploratory in interpreting these trends and patterns. It was felt that reliance on questionnaires alone would not do justice to the actual results in evidence. Resources limited the number of countries to be visited.

The research design was pre-tested in Tanzania and Togo and revised accordingly prior to its implementation. AAI Field Representatives, USAID training staff, other U.S. government representatives, and MSI staff played a key role in the data collection activities (i.e., distribution and retrieval of questionnaires), as well as in the organization of the field studies.

2. The Written Questionnaire

The written questionnaire was developed in relation to the format and content of the alumni questionnaire used in the 1983 AFGRAD follow-up study. Where there was overlap between the questionnaires, efforts were made to retain similarly-constructed questions to facilitate eventual data comparison between the two studies (*see Annex 2 for a copy of the questionnaire*). The major research areas covered by the written questionnaire include:

- Alumni's job history and career development;
- Training utilization and innovative behavior in alumni's work environment;
- Alumni's professional development and networking activities; and
- Training dissemination (i.e., "multiplier effect") among alumni's colleagues, subordinates and students within their respective employing organizations.

The AFGRAD/ATLAS Dean's Committee vetted the questionnaire and its contents reflect their suggestions. In order to comprehensively address the evaluation's key research questions listed above, the data collected from the written questionnaire were complemented by data derived from qualitative methods (oral interviews, focus groups, case studies) used during the field studies.

3. The Field Studies

Site Selection. The purpose of the field studies was to explore the research questions not addressed through the written questionnaire, to corroborate the written survey data, and to examine some of the issues raised in the written survey in more depth. After a review of basic alumni data, four AFGRAD countries (Ghana, Madagascar, Mali and Uganda) were selected for the field interviews, based on the availability of opportunities in these countries to maximize research results. These included the following criteria:

- Number and accessibility of alumni,
- Presence of an AAI Field Representative or USAID Training Officer,
- Position of alumni in selected organizations and/or sectors, and
- Extent of USAID's program activity and focus on human resource development in each country.

The field component was based on issue-oriented qualitative assessments through a combination of focus group sessions and individual interviews, alumni tracer studies, and case studies of selected sectors.

Focus Groups and Individual Interviews. Focus groups were used to provide a deeper understanding of alumni perceptions and attitudes regarding the impact of their AFGRAD training experience. The size of the focus groups was limited (five to seven alumni), discussion lasted no more than two hours, and the groups' composition was oriented around

discrete characteristics of that country's AFGRAD population (e.g., field of study, type of degree, employment sector, occupational category, gender, etc.).

Through careful moderation, discussion was narrowly focused on different topics which were probed for deeper insights into issues, problems, and cultural contexts. One of two major themes was covered in each focus group: (1) the impact of AFGRAD training on the alumni's professional development, or (2) the alumni's contributions to their organizational or institutional development. Topics covered in the focus groups were linked to the key research questions and included the following:

- Networking/Sectoral Development
- U.S. Training Applicability and Utilization
- Private Sector Development
- AFGRAD Training and Leadership Development
- U.S. Training and Behavioral and Attitudinal Change
- Relationship of AFGRAD Training to African Development Problems

Individual interviews were also conducted with alumni who could not participate in the focus groups. In addition, other key informants were interviewed for their views on the contributions of AFGRAD alumni, including supervisors of work units which contained clusters of alumni and/or others trained overseas, key leaders in selected fields, and USAID training office personnel.

Selected Case Studies. Several case studies were carried out to examine the contributions of AFGRAD alumni to institutional and sector development. The case studies employed open-ended interviews and focus groups with AFGRAD alumni, as well as key informant interviews to provide differing views on selected issues from various structural perspectives (i.e., within the professional community, the organizational unit, or the individual sector). In addition to examining alumni working in the private sector, case studies were conducted on the higher education sector in Ghana, the financial sector in Uganda, and the livestock sector in Mali. (See *Case Studies, Annex 3*)

Alumni Tracer Studies. The last part of the field visit involved tracer studies of individuals representing the following AFGRAD experiences: females, an alumni leader, private sector representatives, and alumni who did not complete their AFGRAD programs. The tracer studies consisted of "life history" oral interviews with selected alumni, which were utilized to assess the perceived impact of AFGRAD training on his or her life. Through a session of guided questions, the informant related the sequence of events, persons, and opportunities which brought him or her to the present time. (See *Tracer Studies, Annex 4*)

A list of individuals interviewed during the field visits appears in Annex 5.

D. The Survey Sample

1. Sample Selection

The sample for the written survey was drawn from the total number of AFGRAD alumni over the life of the project who had completed their programs by September 1992 (N=2,516 alumni). The selection of the sample was further defined by the availability of information on alumni's

location and job status. Based on alumni data in the September 1991 AAI Alumni Directory, which had been updated just prior to this evaluation, reliable information on location and job status was found for 1,741 alumni in 45 participating countries. Because of the political situation in Sudan, Somalia and Zaire at the time of the study, it was not possible to distribute questionnaires to 107 AFGRAD alumni in these three countries; however, questionnaires were sent to participants from those areas who now live in other countries.

Questionnaires were distributed and collected in each of the remaining 42 AFGRAD countries through a combination of direct mailing and delivery by AAI Field Representatives, MSI staff and/or U.S. government contacts. Chart 8 below reflects the number of questionnaires distributed in relation to the total alumni population, and the number of questionnaires returned. Accordingly, 1,634 questionnaires were distributed, of which 617 were returned and analyzed for this report, which reflects a 38 percent response rate.

2. Sample Representativeness

While the survey sample represents 38 percent of those alumni surveyed (i.e., 1,634), it represents 25 percent of the total AFGRAD alumni population who had completed their AFGRAD training by September 1992. In order to determine how representative this sample is of the total alumni population, a comparative analysis was undertaken on selected characteristics of alumni and their training programs. These included alumni's employment sector, training objective, field of study, gender and age distribution, and project phase. Indeed, the results of this exercise (*See Annex 7, Sample Representativeness on Selected Variables*) validate the survey sample, which suggests that the survey findings generally reflect the experiences of AFGRAD alumni.

AFGRAD Evaluation Final Report

EXECUTIVE SUMMARY

Management Systems International (MSI) was subcontracted by the African-American Institute (AAI) to conduct an impact evaluation of the African Graduate Fellowship Project (AFGRAD), a project funded by the U.S. Agency for International Development (USAID) and, in its early years, by other donors. AAI has administered the project for USAID since 1963. Partners in the project include African governments, which nominate the candidates and where possible pay for their transportation, and U.S. graduate and professional schools, which provide tuition scholarships. The U.S. schools' participation is coordinated by the Executive Committee of Graduate Deans (Deans' Committee), an active standing committee of the Council of Graduate Schools (CGS). This committee has historically been committed to higher education for Africans and plays a key role in recommending qualified candidates for fellowship awards. The efforts of the Deans' Committee have helped to sustain the project since its inception. During its three phases (AFGRAD I, II and III), almost 3,000 scholarships have been awarded to citizens from 45 African countries.

The purpose of the AFGRAD project is to provide high-caliber university education to Africans who will assume critical positions in universities, governmental and parastatal institutions, and the private sector, through which they can contribute to the development of their countries. AFGRAD alumni are expected to exert a positive influence on the institutions which employ them and to transfer their technical capabilities to others so that the benefits of AFGRAD training will be further multiplied. USAID's goals in supporting the project are to :

- meet the needs of participating African countries for highly-trained nationals capable of contributing to economic and social development;

- train future leaders for specific positions in the public, academic and private sectors considered essential for development; and

- enhance the professional, technical and administrative capacity of host country institutions by providing university and postgraduate training to selected individuals.

This evaluation focuses on the effect of the U.S. academic training provided under AFGRAD on the alumni's professional development and on their respective sponsoring institutions. The conclusions of this study specifically address the appropriateness of AFGRAD training to alumni's professional and institutional goals, the application and utilization of the new knowledge and skills acquired from AFGRAD training in alumni's jobs, and the impact alumni have had as a result of their training experience on their work units, organizations and communities, as well as on overall African development.

Designed as a follow-up to an earlier study conducted by AAI in 1983, this evaluation provides new and more comprehensive information on alumni's career trends and training utilization patterns. Building on the research design employed in the 1983 follow-up study, MSI's methodological approach combines qualitative evaluation techniques, used during a field

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component, with the collection of comprehensive quantitative survey data over an 18-month period. A structured questionnaire was designed to address ten key research questions, and was developed in collaboration with AAI staff and Field Representatives, the Deans' Committee, and staff of USAID's Africa Bureau. Using current information on alumni's location, 1,634 questionnaires were distributed in 42 countries. AAI Field Representatives, MSI staff and USAID Training Officers, among others, helped distribute and collect the written questionnaires and organize the field visits. A total of 617 questionnaires were collected and analyzed for this report, representing a response rate of 38 percent. Evaluation specialists consider this an excellent response rate for a study of this kind.

While the written questionnaire was intended to be an objective and descriptive tool for measuring patterns and trends in selected aspects of the AFGRAD training experience, the field interview component was subjective and exploratory in interpreting these trends and patterns. The field work included site visits to four AFGRAD countries: Ghana, Madagascar, Mali and Uganda. Through a combination of focus groups, individual interviews, sector case studies and tracer studies, the field studies sought to corroborate, with anecdotal data, information obtained from the questionnaires and to explore selected issues in more depth.

MAJOR CONCLUSIONS

Characteristics of Alumni and Their Programs

Alumni's program completion and repatriation rates are exemplary, since over 90 percent of all alumni completed their training objectives and more than 80 percent returned to Africa after their programs to resume their professional careers.

Training under AFGRAD has been largely targeted at the graduate level (master's degrees and PhDs), with smaller numbers of undergraduate and postgraduate awards.

Fields of study vary across countries and over time, but include major concentrations in education, agriculture and animal science, engineering, economics and business administration, and health. All areas are vital to African capacity building.

The great majority of AFGRAD alumni was sponsored by educational and governmental institutions, with smaller numbers from private business and other non-governmental entities.

Career Trends

Change and development have been the hallmark of AFGRAD alumni. A majority of alumni have made multiple job changes since their training, mostly reflecting promotions to positions of increased responsibility and authority. This upward professional mobility is a major contributing factor to capacity building in their respective countries.

The majority of alumni continue to contribute to the education sector, particularly higher education. While the percentage of alumni in the government sector has been declining over the years, the number of alumni working in the private sector and in other non-governmental entities has increased dramatically. This represents an Africa-wide trend away from public sector employment.

AFGRAD alumni are increasingly carrying out more policy-making and management duties in their jobs, which corresponds to the increase in their responsibility and professional growth since their training. This constitutes a significant contribution to African leadership.

Despite a high rate of job change, especially in cases involving a shift in occupation or employment sector, most alumni continue to work in the professional field in which they specialized under AFGRAD. This indicates a strong alumni commitment to capacity building in the sector they come from.

AFGRAD Impact on Professional Development

Most alumni felt that their AFGRAD experience had a very positive effect on their career and professional development since their return.

AFGRAD training has contributed significantly to alumni's enhanced capabilities at both a personal and professional level. Increased self-confidence, a broadened outlook, increased self-reliance, and more flexibility were important changes in attitude experienced by many alumni. The most prominent changes in workstyle involved improved problem-solving skills, better organizational and management skills, and greater team work.

Most alumni received a salary increase within one year after their return from training -- attributed by many to their AFGRAD experience. Yet, many alumni do not feel adequately compensated for their increased qualifications, due largely to a lack of resources in their respective organizations.

The recognition of alumni's training was a problem for alumni in some francophone countries where U.S. degrees are not accorded the same status as French degrees. This problem resulted in lower salaries and positions of lesser influence, particularly for alumni in the government and education sectors.

Leadership Development

As a result of their enhanced professional skills and expertise, many AFGRAD alumni have moved into key leadership positions in their respective countries. AFGRAD alumni include prime ministers, ambassadors, representatives to international organizations, government ministers, university registrars and department heads, and teachers and researchers. Many alumni also hold executive positions in professional and civic organizations, and many have demonstrated leadership as owners or directors of successful private enterprises.

The impact of this "leader promotion" function is crucial to the overall success of the training effort.

AFGRAD Impact at the Organizational Level

AFGRAD training was judged very appropriate to alumni's jobs and organizational needs in terms of its applicability to local conditions and its continuing relevance to alumni's job assignments. Despite frequent job changes for many alumni, training relevance levels remain high.

Alumni have undertaken new initiatives in their jobs as a result of their training, including program and policy development, workshop design and implementation, administrative changes, and use of new techniques or methods. Examples of these types of new initiatives were provided in the field interviews.

Alumni supervisors and colleagues are receptive to the new ideas introduced by AFGRAD alumni in the workplace. Alumni continue to face severe workplace constraints resulting from limited resources, which prevent them from fully applying their newly acquired knowledge and skills. These declines in institutional infrastructure and resources are a major factor in Africa today.

Despite some constraints, alumni are actively applying their knowledge and skills in carrying out their jobs. Skills highlighted as most valuable include research and analytical skills, management and planning skills, and specific technical skills.

AFGRAD Impact on Institutional and Sector Development

The greatest impact of the project on institutional development is found in the education sector. AFGRAD alumni have helped to change the way that students are taught throughout Africa even though they may not be the majority at any single institution.

Many examples were provided in the field studies of contributions by individual AFGRAD alumni to institutional and sectoral development. For example, alumni in different countries have introduced American financial analysis techniques and computer technology to completely revamp financial management systems in support of structural adjustment programs.

Private Sector Development

Over time, AFGRAD alumni have increasingly moved out of the education and government sectors into the private sector. This trend corresponds to the downsizing of government in most African countries and economic reforms which are encouraging private sector expansion. The contribution of new leaders and trained professionals to the private sector is an increasing and positive trend.

AFGRAD Alumni Contribute to Sustainability

Many AFGRAD alumni are actively sharing their knowledge and skills from training, and are introducing changes and innovations in their respective jobs. The spread effect from alumni working in the education sector is clearly one of AFGRAD's greatest contributions: alumni are revising university teaching systems, developing curricula and new courses, and are advising and guiding students every day. Tens of thousands of students are benefitting from the expertise of AFGRAD alumni. Several generations have benefitted from their expertise already and will continue to do so.

Alumni are also actively engaged in research and publication activities, which serve to disseminate their ideas among a wider audience. Alumni maintain active networks in their professional fields, largely through membership in professional associations, as well as through community-based organizations. This factor contributes to the spread of innovation on the continent.

Many alumni also maintain ties with AFGRAD through professional and social contact with fellow AFGRAD alumni, or with others trained in the United States. This contact serves to reinforce the knowledge and skills they acquired and promotes dialogue on important research and education issues.

Participation of Women in AFGRAD

The number of females sponsored by AFGRAD has grown significantly over the life of the project to the present level of 25 percent of the total alumni population for Phase III. Since the largest proportion of female alumni was sponsored under the most recent AFGRAD Phase, female alumni have not been back at work long enough to report as much professional growth and promotion into leadership roles as their male counterparts. This is expected to change over time as they seek and obtain more recognition.

Women in Africa sometimes face more constraints and impediments in their careers and are consequently somewhat less satisfied with their careers than men. While women reported lower satisfaction with their salary levels and career advancement than men, the differences were not as large as might have been anticipated given constraints at lower levels in the education systems which impede women's access to education.

Despite major resource constraints all over Africa, AFGRAD alumni are making a difference in key African institutions, both public and private. They are introducing new techniques and skills, training others and introducing changes and innovations in their jobs, which has contributed to the growth and development of their respective organizations and institutions. Their positive attitudes towards their learning experiences in AFGRAD carry over into the ways they approach their growing responsibilities and form an important source of leadership as their institutions struggle to survive and grow.

MOROCCO: FOOD AID AND NUTRITION EDUCATION

PROJECT IMPACT EVALUATION

August 1980

PROJECT DATA SHEET

Operational Program Grant to Catholic Relief Services (AID/NESA-G-1169)

Began: April 1975

Terminated: December 1978

Amount: \$453,000

Government sponsor: Ministry of Social Affairs

A.I.D. project numbers: 608-0123, 608-0141

Beneficiaries

Mothers: 150,000

Children: 300,000 (0-5 years of age)

Total: 450,000

Social Education Centers

Total number of centers: 300

Mothers per center: 500

Monitrices per center: 3

Provincial supervisors: 26

Food Distribution (take-home feeding program)

Monthly ration: 3.75 kilograms composed of 2.3 kilograms of soyfortified flour, 450 grams of soybean oil, and 1 kilogram of wheat soy blend

Total ration: 45 kilograms annually per recipient

Rations per family: 3

Frequency of distribution: monthly

Total kilocalories in individual daily ration: 526

Total protein in individual daily ration: 16 grams

Nutrition Education

Frequency of classes: monthly

Content of classes: nutrition, health, sanitation, hygiene, food demonstrations

Training of monitrices: one month per year at Marrakech

Costs

Mother's fees: 2 Dirhams (\$.54) monthly

Ministry of Social Affairs' contribution: \$4.7 million yearly

Total value of PL 480 Title II food: \$8,431,020 annually (December, 1979, prices)

Total cost per beneficiary: \$34.47 per year

EVALUATION METHODOLOGY

The evaluation team consisted of four members, all AID/Washington staff: the team leader, an evaluation officer from the Bureau of Private and Development Cooperation; a public health nutritionist and a public health physician from the Near East Bureau; and a communication researcher from the Office of Education, Development Support Bureau. This team was supplemented for specific in-country tasks by a Moroccan sociologist and research assistant, a representative of the Ministry of Social Affairs, and an economist and two health/nutrition officers from USAID/ Rabat.

The team had two major research questions: (1) did the nutrition education and food supplementation program have an impact on the intended beneficiaries' nutritional status, practices, and knowledge; and (2) what role did the 1975 Operational Program Grant to Catholic Relief Services play in producing these results?

Information related to the nutritional status of children in the program was obtained from a previous Catholic Relief Services' study and from program records at Marrakech and at the social education centers visited. Methods of data collection and analysis for the nutrition status studies are summarized below

Nutrition Impact Surveys

With the assistance of an extremely well-organized system of recording and summarizing monthly weights of children in the Morocco food and nutrition education program, the A.I.D. evaluation team undertook two surveys during its three-week trip to Morocco. These surveys used existing weight [or age data from the Ministry of Social Affairs/Catholic Relief Services record system. No original data was collected. In addition to these surveys, the team conducted a secondary analysis of two CRS surveys which measured weights and heights of children before and after the nutrition education program. In the first section of this Appendix the results of these surveys are presented and compared in order to assess the nutritional impact of the program. Sections II, III and IV are more detailed discussions of results and methodologies in each of the surveys. It is hoped that these methodologies will be useful for evaluations of similar nutrition programs.

A.I.D. Team Survey (Number 1) - Program Centers

The purpose of this survey was threefold: (1) to obtain a large sample of children who had benefitted from the CRS program, including both food supplements and nutrition education; (2) to obtain information on a monthly basis to determine if there were seasonal differences in malnutrition in order to verify the CRS Survey results; and (3) to determine whether the centers used in the CRS survey were representative of other centers in the program. The monthly provincial monitoring reports, compiled for each of the centers, provide a data source covering the entire country. The summary data include the number of children weighed (X) and the total number of children falling into one of three categories: greater than 100 percent of the reference median (P); between 80 and 100 percent (N); and less than 80 percent (S). These three categories correspond to above, between and below the two lines on the Moroccan growth chart.

The system provides a simplified method of transferring nutritional status information from growth charts to ledgers and monthly reports. It is an efficient way of analyzing large numbers and should be of interest to those designing national surveillance systems.

From the reports for the year 1978 we selected 46 centers. These represented a 20 percent sample of all provinces except Rabat whose monthly reports were unavailable in Marrakech. We randomly selected the first center in the first province and then systematically selected every fifth center. If a CRS baseline center was selected, we substituted the next center below this on the list.

For each center we recorded the X, N, P, and S values by month (January through December of 1978). These data covered all children in the program in 1978 aged 0 to 5 years. Since the monthly summaries did not provide an age breakdown and the center records which had age information were located throughout the country were unable to obtain ages in this survey. Information on 198,215 entries was obtained of which 10 percent fell into the S or malnourished category.

It should be noted that the 198,215 entries also include new children entering into the program. In a subsequent analysis we determined that new entrants averaged 13 percent of total program children in 1978. Thus, we can assume that approximately 13 percent of the 198,215 entries are new children. Since new children were found to be more malnourished, the figure of 10 percent malnourished program children may well be slightly lower.

III. A.I.D. Team Survey (Number 2) Newly Enrolled Children

The purpose of this survey was twofold: (1) to obtain a type of control group for purposes of assessing program impact; and (2) to obtain information on important program characteristics, such as age breakdown of children, regional variation and program turnover rates. The selection of these centers has been described in Appendix A, Evaluation Methodology.

The ledgers kept in each center provide information on children's birth dates, weight for each month of attendance, verification of food distribution to the mother and whether payment was made. From the ten center ledgers for 1978, we selected all new children entering the program during that year. We recorded their sex, birth date (month and year), weight for the month of entry into the program, and the month they entered the program. From this information we calculated by hand the child's age and percentage of a reference median (Boston weight for age standards) for that age. We used these standards and the Jelliffe classification so that these data could be compared with the CRS Survey which was also classified in this manner.¹ We chose 1978 so that we could compare these children to both the CRS survey children and the children for whom weight data were collected in our own random sample of program centers (Survey 1). During the data collection we worked closely with the center monitrices to assure that the children's weights we were recording were indeed new entrants to the program and not simply second children of mothers who had already been in the program.

¹ Jelliffe, D.B., The Assessment of the Nutritional Status of the Community, World Health Organization, Geneva, 1966.

The information on new children represents the best control data available, i.e. mothers and children who have received neither food nor education. They are not a perfect control group which would consist of a random sample of non-participating families from the same areas of the CRS centers. Our control group is composed of newly registered mothers and children, hence any self-selection characteristics they bring with them.

We collected information on 657 new children. Table III presents the age specific data which was summarized in Section I. For comparative purposes we used a cut-off point of less than 80 percent of the reference median to represent malnourished children (Categories III, IV and V). We did so because results in the larger random sample (Survey 1) were reported only by S, not by actual weights or more precise percentages of standard. We recognize that 80 percent of the standard is slightly higher than the usual cut off of 75 percent which is the upper limit of second degree malnutrition. It is entirely possible that some of the children falling between 60 and 80 percent of the standard have adequate weight for height. Thus, their low weight for age may reflect a stunting or shortness of stature. While stunting is indicative of a longer-term chronic malnutrition, its public health significance has a lower priority than wasting (low weight for height). Since heights are not measured in the centers, we were unable to determine if this was the case. Despite this limitation of weight for age as an indicator of nutritional status and particularly the use of 80 percent as a cut-off point, we believe it is adequate for the comparative purposes of this study. Where possible we have also used 70 percent as a cut-off point in comparisons with the CRS data.

The percentage of malnourished children for both age groups combined is 32 percent. Seventy-three percent of new children are less than 2 ½ years old, and there is only a slight difference between the two age groups with younger children slightly less malnourished (32 percent versus 34 percent in the older children). When we examined the male/female sex ratio we discovered an equal representation of 50 percent of each sex. Among the ten centers malnutrition varied from 16 percent to 59 percent with an average of 32 percent. Only two of the ten centers were substantially below the average of 32 percent and none of the centers had a rate of malnutrition as low as that found in Survey 1 (10 percent). Among the ten centers the percentage of new children entering the program ranged from 4-23 percent, with an average of 13 percent.

IV. CRS Survey - 1975 Baseline and 1978 Follow-UP Surveys (Numbers 3 and 4)

CRS initiated a baseline and follow-up survey in 1975 and 1978 respectively. The purpose of the survey was to assess the nutritional impact of the nutrition education program which began in most centers by the spring of 1976. Twenty-six centers, representing approximately a 10 percent sample of all centers, were selected from the seven socio-economic regions of Morocco. At least three centers per region were chosen to reflect variation within the region (level of development and geography). More than three were selected if regions were more culturally heterogenous or if they generally had less access to water and food resources. In addition to these criteria, centers were also selected for their accessibility (time, transportation, and personnel) and for their known reliability of record keeping in order to assure the validity of survey results.

A total of 1,626 children aged 0-5 years were weighed and measured for height in July, August, October and November of 1975. Approximately 2 ½ years later in April and May of 1978, the

younger siblings, now aged 2 1/2-5 years, were measured for weight and height. The study design is interesting because it traces the nutritional progress of the same children through approximately 25 years of nutrition education and feeding and because it uses a new approach for obtaining a type of control group - siblings of the same age in a different phase of the program. A more detailed account of the total survey methodology and results can be found in the CRS evaluation report, "Nutrition Education Program," AID/NESA-G-1169. Prior to 1975 the centers were only distributing food with limited advice to mothers on its preparation. The vast majority of the 26 centers had been operating for approximately 1 1/2 to 2 years prior to 1975. Thus, the study design would appear to allow for the testing of the contributory effect of nutrition education. (Limitations to this design will be discussed later.)

The results of the CRS survey which were summarized in Section I are presented in Table IV by age groupings and Jelliffe classification. The discussion of results is limited to weight for age data since height for age and weight for height ratios were not summarized.

A comparison of the 2 1/2 to 5 year old children in 1978 (exposed to the full program of food and education) to their older siblings in 1975 (exposed to food only) shows that the percentage of malnourished (Categories III, IV and V) is only 16 percent in the program children in contrast to 34 percent in the control group (2 1/2-5 year olds in 1975). Using a χ^2 test this difference is significant at the $p < .001$ level. If we look at categories IV and V which represent less than 70 percent of the reference median, the percentages are 3.4 percent in the program children versus 8.4 percent in the control group. Thus, children benefitting from the full program were significantly less malnourished than those who had benefitted from only the food supplement. Severe malnutrition was virtually eliminated with only one child falling in Category V or less than 60 percent of the reference median. Although not shown here, CRS presented the results by six-month age intervals. From this we determined that the reduction in malnutrition was more dramatic in the older age groups of children in 1978. While the effect was more pronounced in these 4 to 5 year olds, there were still important differences in the 2 1/2-4 year old groups so that the overall nutritional impact is not entirely explained by these older children.

In addition to reducing malnutrition, the program appears to have improved and maintained the nutritional status of those well off to begin with. In Category I the percent of younger children in 1975, who experienced the program and were then measured again in 1978, stayed the same (43.3 percent) compared to 43.5 percent. In Category II, the percentage of children increased from 24.2 to 40.1 percent.

The Catholic Relief Services' study and the 25 interviews conducted by the evaluation team in mothers' homes provided the information for assessing changes in mothers' knowledge and practices. In addition, interviews with a variety of community leaders (list included in Appendix D) as well as the interviews with program personnel contributed to understanding the nature of program impact on knowledge and practices.

The nature of the program's operation and quality was gleaned from a series of in-depth interviews with program personnel at all levels (list included in Appendix D), program documentation, a site visit to the Nutrition Institute at Marrakech, and site visits to 15 social

education centers. Mothers' classes, the weighing of infants, and food distribution procedures were observed at the centers.

Provinces for the site visits were selected by team, USAID, and Ministry consensus to include a wide range of geographic and economic conditions and to develop a feasible itinerary. Provinces in the north, south, west and center of Morocco were visited. Eleven centers were chosen randomly from within provinces; four additional centers were visited because of their convenience of access or for interview schedule pretesting. The function of random selection in this study was to minimize selection bias and not to obtain a representative sample of the program.

The evaluation team as well as the Moroccan sociologist, research assistant, and ministry representative travelled throughout Morocco as a unit in two vehicles, dividing within provinces, so that each center was visited by at least one team member (usually two) and one or more Moroccan associates.

Before traveling to Morocco, the team reviewed major project papers and evaluations, Catholic Relief Services' studies, and Ministry of Social Affairs' reports and spoke to individuals who were involved with a variety of development activities in Morocco. A draft protocol for conducting in-depth interviews with program personnel and a tentative interview schedule for use with mothers were devised. Documentation review continued during the three-week period in Morocco. The protocol for program personnel evolved throughout the trip, changing according to interviewee role, setting, and team interview experience. The mothers' interview schedule was revised and pretested at Rabat; revised, pretested and revised again at Marrakech before being used at the study center locations. Its form remained relatively stable to allow for comparative analysis. The team felt that the interview instruments were adequate for the case study orientation of the data collection; for another study requiring more refined instruments, the two-week site visit itself would have constituted a pretest.

Two kinds of mothers were interviewed: mothers in the program for more than one year ("program" mothers) and mothers in the program for less than three months or with no exposure to the program (comparison mothers). Program mothers were selected randomly from the roster of registered mothers scheduled to attend the center on the day of the team visit; comparison mothers were those in the same group or another group with least experience (always less than three months) in the program. On three occasions a comparison mother was selected from outside the program. Two to four mothers from each randomly selected center were interviewed for a total of 25.

The team wanted to obtain first-hand impressions of the background of the women attending the centers and to learn their views on how the program functioned and its importance to them. It was also hoped that a trend differentiating program and comparison mothers would emerge regarding knowledge and professed practices related to health and nutritional well-being. The team would thus have case study confirmation of the CRS behavioral indicators suggesting that mothers attending centers significantly changed their behavior. Since the CRS study had not been conducted at randomly selected centers, this verification was felt to be important. The large

CRS study and our study would represent a convergence of indicators, each limited by a different set of methodological constraints.

Interviews were conducted in the home in Arabic or Berber by a Moroccan professional, usually with one evaluation team member, a center representative, and a relative or neighbor in attendance. Responses were written in French by the interviewer or evaluation team member; both initiated probes for further information. Mothers were open and hospitable. No discernable problem was caused by the number or sex of the visitors, although all interview teams included at least one woman. The interview appeared to be perceived as a welcome social event. Interview results were coded and tabulated by team members.

During initial visits to the center classes, the dynamic style of instruction positively impressed team members. A method of systematic observation was devised and applied to mothers' classes at four centers to characterize more precisely this interaction. One team member kept track of every question or response from a mother by numbering the comments sequentially and recording the number on a sociogram at the mother's position in the classroom. Group responses were also tabulated. The results are shown in the following table:

CLASSROOM INTERACTIONS

| No. Mothers in Class | Mother Comment | Group Responses | Time of Class | Interactions Per Minute ¹ | No. Mothers Commenting ² |
|----------------------|----------------|-----------------|---------------|--------------------------------------|-------------------------------------|
| 25 | 112 | not counted | 40 minutes | 2.8 | 21 |
| 18* | 59 | 34 | 35 minutes | 2.7 | 13 |
| 18* | 56 | 56 | 25 minutes | 4.4 | 16 |
| 22* | 54 | 20 | 20 minutes | 3.7 | 15 |

¹ Mean interactions per minute: 3.4

² Overall percent of mothers commenting: 79%

*Several of the remaining members of the group of 25 were occupied with other aspects of our visit and did not attend class.

Early in our trip it became clear that centers were always in an urban or village center setting, usually within a short walk of other civic and service facilities. No center was, as it were, an isolated outpost servicing only the most scattered pocr. The team, therefore, felt it important to obtain some data on how far people travelled to come to the centers. At each of six centers, six of the 20 groups of mothers were randomly selected. The address for each mother in the selected groups was reviewed by a team member and a monitrice in order to estimate distance from the center, as shown below:

DISTANCE TRAVELED TO CENTERS

| Center | <5 km | 5-15 km | >15 km |
|------------------------------------|-------|---------|--------|
| Izammauren/Had Rouadi (n = 148) | 28% | 57% | 15%* |
| Beni Boufrah (n = 150) | 73% | 27% | - |
| Ain Leuh (n = 152) | 89% | 9% | 2% |
| Sidi Slimane (n = 147) | 95% | 3% | 2% |
| Taakit (n = 138) | 88% | 12% | - |
| Azrou (n = 150) | 98% | 2% | - |

*13 mothers came from between 16-25 km; 9 came from between 30-45 km.

At each site, we discussed the center and its reputation with several community leaders. Their statements, often made in a formal setting, would not have been very reliable regarding whether the center was "good" or "bad" as such; rather, the kinds of things they selected to say about the center--their particular emphases--provided insight into how the center is perceived by the community. In general, the leaders we selected were individuals in some role of responsibility dealing with mothers and children in health, formal education, and diverse nonformal education activities. Contact was made with professionals at a primary school, mosque school, pre-school religious school, orphanage, health center, dispensary, hospital, women's center, sewing class, weaving class, women's cooperative and other sources for a variety of professional and community-based impressions about the social education centers.

After returning to Rabat, the team devoted three days to reviewing data and formulating descriptive summaries and conclusions. Briefings were given to the Ministry of Social Affairs, Catholic Relief Services, and USAID/Rabat. The team also appeared on the February 29, 11:00 p.m. national news with the Minister of Social Affairs.

EXECUTIVE SUMMARY

Although Morocco has a high per capita GNP relative to most developing countries, its income distribution pattern is skewed, and its health and nutrition status is deficient. Forty percent of Moroccan households are considered poor by U.N. standards, with incomes below \$260 per capita. Infant mortality rates are up to 170 per thousand in rural areas, and over five percent of preschool children are severely malnourished. The existing health system reaches only a small percentage of the poor and malnourished while other efforts in this area have been insufficient and uncoordinated.

In 1975, AID approved a \$450,000 grant to Catholic Relief Services (CRS), a private and voluntary organization, to introduce nutrition education into its 250 social education centers which were distributing PL 480 Title II food. As a result of the grant, a nutrition institute was established in Marrakech to train a cadre of supervisors and teachers for the provincial and local levels. Four Moroccans attended a three-year degree program at the Tunisian National Nutrition Institute in order to assume the teaching responsibilities at Marrakech. A curriculum was developed which combined practical lessons in nutrition, sanitation, personal hygiene and the treatment of childhood diseases.

The impact evaluation took place in February 1980, fourteen months after the termination of the grant in December 1978. The team found a well organized and high quality system which had expanded to 300 centers since the program's transfer to the Ministry of Social Affairs in early 1979. The Government of Morocco contributed some \$4.7 million last year for the operation of the program. The local costs of the centers and the teachers' wages were financed by the mothers themselves. The total annual recurrent cost per beneficiary was \$34.47, which is roughly comparable to other feeding programs throughout the world.

On the basis of an existing survey and our own studies, the team concluded that the social education centers had positively influenced the nutritional levels of Moroccan children. Children in the program were less malnourished; those children who were better off on entering the program maintained or improved their nutritional status. According to one analysis, the program resulted in a 69 percent reduction in moderate and severe malnutrition. Other data and our own small study of mothers' nutrition knowledge and practices showed that the education component contributed substantially to the reduction of malnutrition. This impact could be even more powerful if the program were more efficiently targeted on severely malnourished children and if collaboration with the Ministry of Health were further improved. The quantity of food distributed was also an important consideration: the relatively large ration size in the Moroccan program - 45 kilograms per recipient per year and three rations per family - may have helped to compensate for the inevitable sharing of commodities within families.

The food served as an important income subsidy of \$73 annually for each Moroccan family participating in the program, or as much as 24 percent of the per capita incomes of these families. The mothers we visited were all at poverty level with limited education and minimal earning capacity. Our informal study of 25 of these mothers indicated that there was a meaningful difference in the nutrition and health knowledge and practices of mothers attending the program for more than one year compared with those who were newly enrolled. These findings

corroborated CRS' more extensive survey data. The qualifications of the teachers, the organization of the nutrition education classes, and the diffusion effects of the centers accounted for the results. The program was a key factor in providing an opportunity for women to share in the benefits of a broader community life.

Food acts as an incentive for mothers to come to the center as well as a nutritional and income supplement. The program cannot escape this reliance on PL 480 Title II food commodities over the short term. Given current financial commitments and its balance of payments problems, Morocco can barely import enough food for its own consumption needs, let alone food donation programs. Nor is it possible to shift to local foods at the present time due to declining per capita domestic cereal production. Even if local foods were available, the costs are 54 percent higher than the U.S. acquisition price for PL 480 Title II commodities plus ocean freight. In the longer term, a reallocation of resources towards the dryland farming sector, higher producer prices and more widespread access to credit could encourage greater local production, thus reducing dependence on PL 480 food. In the absence of local substitutes or foreign exchange to finance increased imports, a critical question is whether and how food aid can be phased out and still preserve the same impressive accomplishments.

The CRS project is an example of how development assistance, in this case nutrition education, can be combined with food aid in creative and cost effective ways. It has demonstrated that PL 480 Title II programs can be documented and shown to have a substantial impact on development. Other factors of success include the delicate balance of strong central management and local initiative, the requirement that mothers pay for their participation in the program, and the continuity of on-the-scene leadership.

Lessons Learned:

- In order to avoid dependency on PL 480 Title II foods over the long term, the phase-out of these commodities should be planned in conjunction with local food availabilities from the earliest stages of the project design. This would include a review of the country's economic and agricultural policies which relate to food production or foreign exchange earnings.
- Project designers should actively consider new ways of integrating development assistance activities, such as nutrition education, with PL 480 Title II programs. For a very small amount of money, it is possible to add key components which are crucial to achieving project results.
- A unified and centralized record keeping and management system should be instituted in feeding programs so that progress can be properly monitored and impact fully documented. The additional resources and effort required are well worth it.
- To encourage local participation and initiative, teachers in the food distribution centers should be recruited from the same community and from a similar socio-economic background as the program attendees.
- To improve targeting on the most vulnerable groups, it is essential that scarce food resources be allocated on the basis of nutritional status as well as income level. The ration size must be large

enough to compensate for the effects of family sharing, which seems to be inevitable among the poor. Food supplements should be accompanied by education and other health and sanitation improvements to maximize nutritional impact on preschool children.

- In those instances where an independent organization is to be set up to administer PL 480 maternal/child health programs, difficulties will arise unless cooperative relationships are established with other relevant ministries. Coordination with the Ministry of Health is especially important to ensure that the existing health infrastructure is adequately utilized.

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Section 9

Materials for Creating an Evaluation Association

Creating an Evaluation Association

Evaluation is a professional discipline, but unlike medicine or law, there is no specific degree which uniquely prepares people to conduct evaluations. For this reason, individuals who work in this field have, in other countries, found it useful to establish organizations which help them establish who are their colleagues in the field, as well as provide them with opportunities for exchanging information and enhancing their professional skills in this area. In the United States, the main organization of this type is the American Evaluation Association. Individuals join this organization through a simple membership procedure. Membership benefits include a subscription to a journal published by the AEA, a membership directory and an invitation to participate in the AEA's annual conference. Each year this conference presents a wide array of paper and discussion sessions that serve as an important forum for continuing education in this field. (Current information about AEA activities, board members, etc., can be accessed on www.eval.org.) Similar organizations exist in Canada and in Europe.

In Russia, the formation of such an organization can benefit from work already undertaken by existing evaluation associations elsewhere. Once a national organization is formed in Russia, members may want to develop an ongoing relationship with their counterparts elsewhere. For example, the AEA in the U.S. and the Canadian Evaluation Society are currently investigating the idea of reciprocal membership arrangements.

An important feature of existing evaluation associations in other countries is the breadth of their membership. Rather than limiting membership to people who conduct evaluations, these organizations have encouraged people with varied evaluation interests to join. As a result, the AEA and its other national counterparts, tend to have government and foundation personnel (who purchase evaluation studies), professors, and students as regular members (and as board members) along with professional evaluators. This rich mix of talent results in exciting exchanges -- and even clashes -- of ideas at conferences and in association journals. Given the benefits it brings, a Russian evaluation association may find it useful to seek a broad-base of members.

The following pages present a set of documents which should be useful to those who are interested in forming a Russian Evaluation Society or Association. Included are:

- A copy of the AEA by-laws
- A copy of the AEA membership form
- A copy of the AEA's "Guiding Principles" for evaluators, and
- A summary of the contents of "The Program Evaluation Standards" a document that has received the AEA's endorsement

AMERICAN EVALUATION ASSOCIATION
BY-LAWS
(Revised December 1992)

ARTICLE I: NAME

The name of this corporation is the American Evaluation Association, hereafter referred to as the Association.

ARTICLE II: PURPOSES

Section 1. Purposes. The purposes of this Association are to:

(a) Promote scientific and educational purposes, as those terms are used in Section 501(c)(3) of the Internal Revenue Service Code, in connection with the science and practice of evaluation in both the public and private sectors of society.

(b) Improve evaluation theory, practice and methods; increase evaluation use; promote evaluation as a profession; and support the contribution of evaluation to the generation of theory and knowledge about effective human action.

(c) Engage in a diversity of activities and enter into, perform, and carry out contracts of any kind necessary or convenient to, or incidental to, the accomplishment of any one or more of the nonprofit purposes of the Association.

Section 2. Non-Profit Character. The Association is a not for profit organization organized exclusively for charitable and educational purposes. No Board member, officer, agent or employee shall at any time receive or be entitled to receive any compensation or pecuniary profit from the operation of the Association or upon its liquidation or dissolution, except for reasonable compensation for services actually rendered to the Association in effecting one or more of its objectives or purposes, or as a director or indirect beneficiary of its said non-profit purposes.

Section 3. Grants and Gifts. The Association, through the Board of Directors, may accept gifts and grants of a general nature or for specific purposes; however, such acceptance shall be free of any restriction that would either limit the Association in carrying out its functions and objectives or cause the Association to lose its tax-exempt status.

ARTICLE III: MEMBERSHIP

Section 1. Eligibility. Any individuals interested in the purposes of the Association shall be eligible for membership. Members are defined as those who have completed an application form, received acknowledgment of membership from the Association, and paid the currently stipulated membership dues.

Section 2. Application for Membership. An individual desiring to join this Association may ask for consideration by making a written application to the Secretary-Treasurer, including the appropriate fee. Should the Secretary-Treasurer, for any reason reject an application for membership, that applicant shall have the right to appeal to the Board of Directors by means of a written statement.

Section 3. Resignation. Any member may resign by submitting a written resignation either at a meeting of the Board, or by mailing the resignation to the Secretary-Treasurer, and thereupon such resignation shall become effective forthwith without need of any acceptance, unless otherwise specified therein.

Section 4. Rights. All members shall have the right to vote for officers and on other official matters of the Association defined in the by-Laws, to hold office if duly elected, to receive all notifications pertaining to the official business of the Association and to receive membership publications.

Section 5. Dues. The annual membership dues and assessments shall be determined by the Board of Directors.

ARTICLE IV: ANNUAL MEETING

Section 1. Place and Time. Annual meetings of the membership shall be held at a time and place designated by the Board of Directors. At least one annual business meeting shall be held within each calendar year, but not later than December 20.

Section 2. Notice of Meetings. At least thirty (30) days in advance thereof the Association shall notify each member of the annual meeting.

Section 3. Annual Meeting Format. The annual meeting shall be a professional and business meeting. The business meeting activities shall include but are not limited to: A report of the status of the Association by the President, a financial report by the Secretary-Treasurer, status reports from committees, and items of new business invited from the floor.

Section 4. Quorum. Those members present at the business meetings of the membership shall constitute the quorum.

Section 5. Voting. Each member present shall have one vote in business meetings. Only advisory votes shall be permitted on any business raised at the Annual Meeting. Should any proposal be made that would be binding in any way on the Association, an advisory vote shall be taken and the results forwarded to the Board of Directors for further action.

ARTICLE V: GOVERNANCE STRUCTURE

Section 1. Board of Directors. The business of the Association shall be governed by a 16 member Board of Directors, the Officers of the Association, nine of whom are elected by the membership and seven appointed by the elected members. All officers of the Association must be members in good standing. The nine elected members shall include six at-large members, as well as the President, President-elect, and the immediate Past President. These nine, plus the appointed Secretary-Treasurer, shall constitute the voting members of the Board, each having one vote. The other six appointed members are ex-officio, non-voting members as follows: the Annual Meeting Conference Chair; the Topical Interest Group Coordinator; the Membership Services Coordinator; the Membership Recruitment and Retention Coordinator; the editor of *EVALUATION PRACTICE*; and the editor of *NEW DIRECTIONS FOR PROGRAM EVALUATION*.

Section 2. Governing Powers and Duties. The Board of Directors shall have all the powers and duties necessary or appropriate for the administration of the affairs of this Association and may perform all such acts and things as are not directed to be exercised and done by members by law, by the Articles of Incorporation, or by these By-Laws.

The duties of the Board of Directors shall include:

- (a) Approving a budget for each year, authorizing expenditures, and coordinating all necessary business between annual meetings.
- (b) Establishing and overseeing the operation of Standing and Special Committees of the Association.
- (c) Establishing procedures for awards or other recognition of outstanding contributions made to the field of evaluation.
- (d) Authorizing any matters to be submitted to a vote of the general membership of the Association including election of Board members and the President-elect. The Board shall receive and consider petitions from the membership for matters to be submitted to a vote of the general membership of the Association; any such petition signed by the lesser of five percent of the most recently published membership directory or 100 members makes submission of the issue to the membership mandatory upon the Board.
- (e) Authorizing the formation or affiliation of any subsidiary organizations not in conflict with the Articles of Incorporation or the By-Laws, and considered to be appropriate to the operation and purpose of the Association. Provisions for the formation and operation of such groups, including Topical Interest Groups, shall be the responsibility of the Board of Directors.

Local Affiliates are organizations that are interested in being associated with AEA for the mutual benefit of their memberships. Such benefits may include access to membership lists,

sharing of information, and modest support from AEA in organizing a local affiliate group. Local Affiliates are separated entities from AEA. Local Affiliates elect separate officers, operate under their own by-laws, maintain their own financial records, and, if tax exempt, have separate 510-C-3 status. AEA exercises no control over decisions made by Local Affiliates and takes no responsibility for their actions. Groups must apply to the AEA Board of Directors to be designated as an AEA Local Affiliate.

Section 3. Election, Appointment and Terms of Office. Terms of office shall begin January 1 after election and correspond to the calendar year, ending December 31 of the final term year. The Board members at large will serve three year terms. The President, President-elect, and the Past President will each serve one year in their respective offices; the President-elect shall automatically succeed to the Presidency in the following year, and the President shall automatically succeed to the office of Past President.

The seven appointed positions (Secretary-Treasurer; editor of *EVALUATION PRACTICE*; editor of *NEW DIRECTIONS FOR PROGRAM EVALUATION*; Annual Meeting Conference Chair; Membership Services Coordinator; Membership Recruitment and Retention Coordinator; and TIG Coordinator) shall be appointed for three year terms by two-thirds vote of the elected members of the Board. Terms are renewable following an announcement in *EVALUATION PRACTICE* and an open search process permitting applications and nominations for each position with at least 60 days to apply following the published announcement. This process shall begin no later than the first quarter of the third year of each term, with attention to a careful and deliberate transition. Appointments for the two editorships and the TIG coordinator shall be staggered so that, subject to unexpected vacancies, no more than one of these positions would normally be filled in any single year. The terms for Secretary-Treasurer; Membership Services Coordinator, and annual Meeting Conference chair shall also be staggered so that, subject to unexpected vacancies, no more than one of these positions would normally be filled in any single year. Votes on appointed positions will be by secret ballot. During board discussion of appointments, the person or persons under discussion should not be present.

The procedure for election and appointment of Board members shall be as set forth in Article VI, Section 2.

Section 4. Vacancies. Vacancies in the Board of Directors caused by any reason shall be filled in the following manner:

(a) If the President does not serve out a full term for any reason, the President-elect shall immediately succeed to the Presidency for the remainder of the unexpired term as well as for the following calendar year. If the office of President-elect becomes vacant, it shall remain so until the January 1 following the next general election at which time the membership will elect a new President and new President-elect. If the offices of President and President-elect become vacant within the same year, the Board of Directors shall elect a member of the Association to serve as Acting President until the January 1 following the next general election. If the office of Past President becomes vacant it shall remain so.

(b) If any position of the at-large member-becomes vacant, the Topical Interest Groups Coordinator shall become a voting member until a replacement Board member can be elected during the normal membership election for that year, at which time the newly elected replacement Board member shall immediately assume office as soon as the Secretary-Treasurer determines the results of the election.

(c) Any elected Board positions that are vacant or having acting incumbents shall be added to the ballot for the next general election to select permanent Board members to fill the unexpired term.

(d) If any of the appointed positions becomes vacant, the President shall appoint a temporary replacement to complete the vacant term subject to a two-thirds vote of approval by the Board.

(e) In other unusual circumstances the Board of Directors shall determine how to fill vacancies.

Section 5. Removal of Board Members. A motion to remove any Board member for cause must be circulated to all Board members in writing thirty days prior to a vote on removal. During this thirty day period, the Board member in question has the right to respond in writing to the removal motion. A secret ballot vote of eligible voting members shall then be taken. The Board member in question does not vote on his or her own removal. Two-thirds of eligible voting members (i.e., 6 votes) are necessary to remove the member in question. Upon removal of a Board member, the position will be filled in accordance with vacancy provisions as stated in Article V, Section 4.

Section 6. Compensation. Compensation shall not be paid to Board members for their services in their capacity as Board members, nor pursuant to any other contractual arrangements. However, Board members may be reimbursed for actual expenses incurred by them in the performance of their duties, as approved by a majority of the Board.

Section 7. Regular Meeting. The Board of Directors shall meet at least twice each year. One of these Board meetings shall be held in conjunction with the annual meeting.

Section 8. Special Meetings. Special meetings of the Board of Directors may be called by the President or by at least five other Board members, on at least four weeks notice, if practical, to each Board member stating the time, place, and purpose of the meeting.

Section 9. Quorum. At all meetings of the Board of Directors, a majority of the voting members shall constitute a quorum for the transaction of business, and the acts of the majority of the Board members present at a meeting at which the quorum is present shall be the acts of the Board, except where a larger number is required by law, Articles of Incorporation, or these By-Laws. If, at any meeting of the board, there is less than a quorum present, the majority of those present may adjourn the meeting from time to time. At any such adjourned meeting, any

business that might have been transacted at the meeting as originally called may be transacted at the next session without further notice.

Section 10. Open Meetings All meetings of the Board of Directors shall be open to the membership except for those times when the Board will discuss matters involving personal privacy. A majority vote of the voting Board members present shall be sufficient to hold a closed meeting.

Section 11. Parliamentary Procedure. Meetings of the Board and the membership will normally be conducted using informal, but businesslike procedures. At any time a procedural conflict arises, the provision of the most recent edition of *Robert's Rules of Order* shall be used to resolve the conflict.

Section 12. For conduct of routine business of the Association between meetings and to meet any emergencies that might arise of such nature that a four week delay in scheduling a meeting of the entire Board would be intolerable, the President, the Past-President, the President-elect, and the Secretary-Treasurer shall be considered the Executive Committee of the Board and shall be empowered to act on its behalf. All actions taken by the Executive Committee shall be reported in writing to the board, immediately in the case of emergency actions of importance and prior to the next scheduled meeting of the Board for routine items.

ARTICLE VI: OFFICERS

Section 1. Designations and Qualifications. The principal officers of the Association shall be a President, a President-elect, a Past President, and a Secretary-Treasurer. The Board of Directors may appoint an Assistant Secretary, an Assistant Treasurer, and such other officers as, in their judgment, may be necessary. All officers must be members of the Association.

Section 2. Election and Terms of Office.

(a) Yearly, the committee on Nominations and Elections (see Article VIII) shall secure two nominations for each expiring elected-office of the Association and shall, with the authorization of the Board of Directors, submit the slate of nominees to the membership for vote by mail ballot. The Committee will solicit nominations from the members, consult with the Board of Directors, and choose candidates that reflect the diversity and characteristics of the Association's membership. The submission of the slate to the members will occur no later than July 1st of each year. Additional nominations may be presented by the membership for inclusion in the election provided each such nomination is presented to the Committee in the form of a petition signed by at least 25 of the current members not later than the announced due date for submission of nominations each year. If the foregoing provisions are met, the person(s) so nominated shall be included on the ballot.

(b) The membership will be instructed to return the ballot to the Secretary-Treasurer or to such individual as is designated by the Board of Directors, postmarked or hand-delivered no later than the date specified on the ballot. The Secretary-Treasurer shall in turn be responsible for

verifying the ballots, protecting the security of the ballots, obtaining the independent corroboration of the ballot counts, and reporting the results to the Board of Directors and to the membership.

(c) The candidate for each office receiving the largest number of votes shall be considered elected. In case of a tie, the Board of Directors shall select the officer from the tied candidates by majority vote or, in the case of a tie on the Board, by lot.

(d) The term of office for the Board members at large shall be three (3) years. The term of office for the President-elect, President, and Past President shall be one year for each respective office and succession to office shall be as set forth in Article V, Section 3.

Section 3. Removal and Vacancies. Removal of officers shall be in the manner as prescribed in Article V, Section 5. The filling of vacancies shall be in the manner as prescribed in Article V, Section 4.

Section 4. President. The President shall be the chief executive officer of the Association and shall preside at all business meetings, serve as Chair of the Board of Directors, and have general responsibility for the conduct of the affairs of the Association. The President is an ex-officio member of all committees, commission and sections of the Association.

The President shall have all the general powers and duties that are usually vested in the office of the president of a corporation, including the power to appoint committees from time to time, as he or she may deem appropriate to assist in the conduct of the affairs of the Association.

Section 5. President-elect. In the absence, or disability, of the President, the President-elect will perform the duties and exercise the powers of the President. The President-elect will also perform such other duties as prescribed by the Board of Directors or the President.

Section 6. Secretary-Treasurer. The Secretary-Treasurer shall give appropriate assistance to the President and various committee chairs in the arrangements for the meetings and other functions, and maintain an up-to-date membership roll. The Secretary-Treasurer shall be member ex-officio of all committees.

The Secretary-Treasurer shall hold the Association's funds, collect the annual dues from the members, consult with the Executive Committee and prepare the yearly budget for consideration and approval by the Board of Directors, account for the receipt and expenditures of all monies, and keep the other officers informed of the financial condition of the Association at their request. The Secretary-Treasurer shall make disbursements, shall upon request of the Board of Directors provide for examinations of financial reports and records by an auditing firm or a Certified Public Accountant, and shall prepare an annual financial statement for publication to all members. Upon authorization by the Board of Directors, the Secretary-Treasurer may deposit the funds of the Association in insured financial institutions to earn interest payments.

The Secretary-Treasurer shall take minutes and keep a file of the proceedings at business and Board of Directors meetings, as well as copies of the financial reports and official publications of the Association and shall supervise the issuance to the membership of all notifications pertaining to the official business of the Association.

Section 7. Past President. The Past President shall serve as general advisor on the affairs of the Association.

ARTICLE VII. FISCAL MANAGEMENT

Section 1. Fiscal Year. Unless otherwise specified, the fiscal year of the Association shall begin on the first day of January of every year. The commencement date of the fiscal year herein established shall be subject to change by the Board of Directors, with the prior written approval of the appropriate government agencies.

Section 2. Books and Accounts. Books and accounts of the Association shall be kept under the direction of the Secretary-Treasurer of the Association.

Section 3. Execution of Association Documents. With the prior authorization of the Board of Directors, all notes and contracts shall be executed on behalf of the Association by either the President or the Secretary-Treasurer.

Section 4. Fidelity Bonds. The Board of Directors may require that all officers and employees of the Association having custody or control of Association funds furnish adequate fidelity bonds. The premium on such bonds shall be paid by the Association.

Section 5. Indemnity. Each officer, Board member, or employee of the Association shall be indemnified by the Association against expenses reasonably incurred by him/her in connection with any action, suit or proceeding to which he/she may be made a party by reason of his/her being or having been an officer, trustee, or employee of the Association.

Section 6. Financial Signatories. For all bank accounts established for the Association, there must be at least two signatories, the Secretary-Treasurer and at least one other Board member.

ARTICLE VIII: COMMITTEES

Section 1. Executive Committee. The President, Past President, President-elect, and Secretary-Treasurer compose the Executive committee, which conducts the day-to-day business of the Association and oversees the budget.

Section 2. Standing Committees. Standing committees shall be limited to committees on Awards, on Ethics and on Nominations and Elections. Task Forces may be formed for special purposes as deemed necessary by the Board.

Section 3. Committee Membership and Terms of Office. Committee appointments shall be for three years and shall be renewable. Each committee shall have three appointed members. The President-elect will, at the beginning of her or his term, appoint a member to each committee to replace the person whose term is expiring. In addition, a Board member will serve on each committee. said appointments to be made each year by the President at the beginning of his or her term.

The President shall annually appoint the Chair of each committee to serve a one year renewable term corresponding to the President's term.

Committee chairs may add members to committees, with approval of the Board, for purposes of carrying out the work of the committee. Each committee chair, at the time of the annual meeting, shall prepare a written report to the Board and membership on the committee's accomplishments, to be summarized in *EVALUATION PRACTICE*.

Section 4. Any Task Force formed by the Board must receive a written charge, and such resources as may be required for completion of its task must be considered and approved in advance by the Board.

Section 5. Diversity. It is the policy of the American Evaluation Association to actively seek diversity on the Board and all committees through attention to the following criteria:

- gender balance
- minority representation
- disciplinary heterogeneity
- practitioner/academic balance
- geographical heterogeneity
- heterogeneity of areas of application

Section 6. Special Leadership Positions. The Association shall have the following special leadership positions in addition to the Board Members: Annual Meeting Local Arrangements Chair and Program Chair; and Long-Range Planning Coordinator.

The Annual Meeting Local Arrangements Chair and Program Chair serve a one year term and are appointed by the President to serve a term corresponding to the President's term. Any of these positions can be co-Chair positions at the discretion of the President. The Long-Range Planning coordinator shall be appointed for a term specified by the Board of Directors.

ARTICLE IX: AMENDMENTS

These By-Laws may be amended upon written affirmation of two-thirds (2/3) of the members voting on the proposed change. Amendments may be proposed by the Board of Directors or by petition to the Board of Directors by members of the Association numbering fifteen percent (15%) of the number of members listed in the most recent membership directory, and they shall be submitted to the entire membership for vote no later than the next general elections. Such amendments, following affirmation, shall become effective the next January 1st.

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* This file is an application form for membership in the *
 * American Evaluation Association (AEA). To use this form *
 * print it out, enter the information, and send the completed *
 * form and appropriate annual dues to: *
 * *
 * Rita O'Sullivan *
 * osullivr@steffi.uncg.edu *
 * American Evaluation Association *
 * School of Education *
 * University of North Carolina at Greensboro *
 * Greensboro, NC 27412-5001 *
 * Telephone/Fax (910)334-4095 *
 * *
 * * * * *

Name _____

Address _____

City _____ State _____ Zip _____

Non-USA Country _____

Telephone (____) _____ Gender M _____ F _____

E-Mail _____

Highest degree (circle only one): Year of highest degree: _____

01-Doctorate 03-Masters 04-Bachelors
05-Other(specify) _____

Type of organization in which you are currently employed (circle one):

| | |
|----------------------------|--------------------------|
| 01-College/University | 06-Private Business |
| 04-Federal Agency | 02-School System |
| 05-Local Agency | 03-State Agency |
| 07-Non-profit organization | 08-Other (specify) _____ |

Primary discipline (circle only one):

| | |
|-----------------|------------------------------------|
| 01-Agriculture | 07-Organizational Development |
| 02-Anthropology | 08-Philosophy |
| 03-Business | 09-Political Science |
| 04-Economics | 10-Psychology |
| 05-Education | 11-Research or Statistical Methods |
| 14-Evaluation | 12-Sociology |
| 06-History | 13-Other (specify) _____ |

Major responsibility in present position (circle only one):

| | |
|--------------------------------|--------------------------|
| 06-Consulting | 02-Research |
| 03-Evaluation | 01-Student |
| 05-Management & Administration | 04-Teaching |
| | 07-Other (specify) _____ |

Ethnic background: _____
(Responding to this item is optional, but we believe it is important to know the ethnic background of our members in order to achieve a representative organization.)

03-American Indian/other Native American

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- 02-Asian
- 01-Black or African-American
- 05-Caucasian (other than Hispanic)
- 04-Hispanic
- 06-Other (please specify) _____

Topical Interest Groups--TIGs (circle no more than five):

- | | |
|------------------------------------|---|
| 08-Alcohol, Drug Abuse/Mental Hlth | 23-Needs Assessment |
| 22-Assessment in Higher Education | 02-Non-Profits & Foundations |
| 13-Business and Industry | 26-Program Theory & Theory Driven |
| 16-Eval Managers/Supervisors | 03-Qualitative Methods |
| 17-Extension Education Eval (EEE) | 24-Quantitative Methods |
| 07-Health Evaluation | 09-Social Services Evaluation |
| 14-Independent Consulting | 20-Special Needs Populations |
| 15-International & Cross-cultural | 25-State and Local Government |
| 05-Job Training | 12-Teaching of Evaluation |
| 18-Computer Use in Evaluation | 27-Theories of Evaluation |
| 19-Minority Issues | 01-Utilizing Evaluation |
| 28-Cluster Evaluation | 30-Collaborative, Participating, & Empowerment Evaluation |
| 32-Crime & Justice | 34-Research Tech & Development |
| 33-Distance Evaluation | 29-Product Evaluation |
| 31-Feminist Issues | |

Type of membership (circle only one): 01-Regular 03-Joint with CES
02-Student 04-Institutional

Membership is \$60.00 per year (U.S. currency) for regular membership, \$40 for student membership, \$40.00 for CES members, and \$125.00 for institutional membership. Annual dues include subscriptions to "New Directions for Program Evaluation" and "Evaluation Practice."

Please make checks or money orders payable, in U.S. currency, to the American Evaluation Association.

If paying by Visa/Mastercard a \$3.00 service charge will be added.

() Visa () Mastercard

Card Number: _____

Expiration Date: _____

Form: AEANET001 (Revised 04/08/96)

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Guiding Principles for Evaluators

A Report from the AEA Task Force on Guiding Principles for Evaluators
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Members of the Task Force

Dianna Newman, University of Albany/SUNY
Mary Ann Scheirer, Private Practice
William Shadish, Memphis State University (Chair)
Chris Wye, National Academy of Public Administration

I. Introduction

A. Background: In 1986, the Evaluation Network (ENet) and the Evaluation Research Society (ERS) merged to create the American Evaluation Association. ERS had previously adopted a set of standards for program evaluation (published in *New Directions for Program Evaluation* in 1982); and both organizations had lent support to work of other organizations about evaluation guidelines. However, none of these standards or guidelines were officially adopted by AEA, nor were any other ethics, standards, or guiding principles put into place. Over the ensuing years, the need for such guiding principles has been discussed by both the AEA Board and the AEA membership. Under the presidency of David Cordray in 1992, the AEA Board appointed a temporary committee chaired by Peter Rossi to examine whether AEA should address this matter in more detail. That committee issued a report to the AEA Board on November 4, 1992, recommending that AEA should pursue this matter further. The Board followed that recommendation, and on that date created a Task Force to develop a draft of guiding principles for evaluators. The AEA Board specifically instructed the Task Force to develop general guiding principles, rather than specific standards of practice. This report summarizes the Task Forces response to the charge.

B. Process: Task Force members reviewed relevant documents from other professional societies, and then independently prepared and circulated drafts of material for use in this report. Initial and subsequent drafts (compiled by the Task Force chair) were discussed during conference calls, with revisions occurring after each call. Progress reports were presented at every AEA board meeting during 1993. In addition, a draft of the guidelines was mailed to all AEA members in September 1993 requesting feedback; and three symposia at the 1993 AEA annual conference were used to discuss and obtain further feedback. The Task Force considered all this feedback in a December 1993 conference call, and prepared a final draft in January 1994. This draft was presented and approved for membership vote at the January 1994. This draft was presented and approved for membership vote at the January 1994 AEA board meeting.

C. Resulting Principles: Given the diversity of interests and employment settings represented on the Task Force, it is noteworthy that Task Force members reached substantial agreement about the following five principles. The order of these principles does not imply priority among them; priority will vary by situation and evaluator role.

1. Systematic Inquiry: Evaluators conduct systematic, data-based inquiries about whatever is being evaluated.
2. Competence: Evaluators provide competent performance to stakeholders.
3. Integrity/Honesty: Evaluators ensure the honest and integrity of the entire evaluation process.
4. Respect for People: Evaluators respect the security, dignity and self-worth of the respondents, program participants, clients, and other stakeholders with whom they interact.
5. Responsibilities for General and Public Welfare: Evaluators articulate and take into account the diversity of interests and values that may be related to the general and public welfare.
6. These five principles are elaborated in Section III of this document.

D. Recommendation for Continued Work: The Task Force also recommends that the AEA Board establish and support a mechanism for the continued development and dissemination of these Guiding Principles.

II. Preface: Assumptions Concerning Development of Principles

- A. Evaluation is a profession composed of persons with varying interests, potentially encompassing but not limited to the evaluation of programs, products, personnel, policy, performance, proposals, technology, research, theory, and even of evaluation itself. These principles are broadly intended to cover all kinds of evaluation.
- B. Based on differences in training, experience, and work settings, the profession of evaluation encompasses diverse perceptions about the primary purpose of evaluation. These include but are not limited to the following: bettering products, personnel, programs, organizations, governments, consumers and the public interest; contributing to informed decision making and more enlightened change; precipitating needed change; empowering all stakeholders by collecting data from them and engaging them in the evaluation process; and experiencing the excitement of new insights. Despite that diversity, the common ground is that evaluators aspire to construct and provide the best possible information that might bear on the value of whatever is being evaluated. The principles are intended to foster that primary aim.
- C. The intention of the Task Force was to articulate a set of principles that should guide the professional practice of evaluators, and that should inform evaluation clients and the general public about the principles they can expect to be upheld by professional evaluators. Of course, no statement of principles can anticipate all situations that

arise in the practice of evaluation. However, principles are not just guidelines for reaction when something goes wrong or when a dilemma is found. Rather, principles should proactively guide the behaviors of professionals in everyday practice.

- D. The purpose of documenting guiding principles is to foster continuing development of the profession of evaluation, and the socialization of its members. The principles are meant to stimulate discussion and to provide a language of dialogue about the proper practice and application of evaluation among members of the profession, sponsors of evaluation, and others interested in evaluation.
- E. The five principles proposed in this document are not independent, but overlap in many ways. Conversely, sometimes these principles will conflict, so that evaluators will have to choose among them. At such times evaluators must use their own values and knowledge of the setting to determine the appropriate response. Whenever a course of action is unclear, evaluators should solicit the advice of fellow evaluators about how to resolve the problem before deciding how to proceed.
- F. These principles are intended to replace any previous work on standards, principles, or ethics adopted by ERS or ENet, the two predecessor organizations to AEA. These principles are the official position of AEA on these matters.
- G. Each principle is illustrated by a number of statements to amplify the meaning of the overarching principle, and to provide guidance for its application. These statements are illustrations. They are not meant to include all possible applications of that principle, nor to be viewed as rules that provide the basis for sanctioning violators.
- H. The principles are not intended to be or to replace standards supported by evaluators or by the other disciplines in which evaluators participate. Specifically, AEA supports the effort to develop standards for educational evaluation by the Joint Committee on Standards for Educational Evaluation, of which AEA is a cosponsor.
- I. These principles were developed in the context of western cultures, particularly the United States, and so may reflect the experiences of that context. The relevance of these principles may vary across other cultures, and across subcultures within the United States.
- J. These principles are part of an evolving process of self-examination by the profession, and should be revisited on a regular basis. Mechanisms might include officially-sponsored reviews of principles at annual meetings, and other forums for harvesting experience with the principles and their application. On a regular basis, but at least every five years from the date they initially take effect, these principles ought to be examined for possible review and revision. In order to maintain association-wide awareness and relevance, all AEA members are encouraged to participate in this process.

III. The Principles

A. Systematic Inquiry: Evaluators conduct systematic, data-based inquiries about whatever is being evaluated.

1. Evaluators should adhere to the highest appropriate technical standards in conducting their work, whether that work is quantitative or qualitative in nature, so as to increase the accuracy and credibility of the evaluative information they produce.
2. Evaluators should explore with the client the shortcomings and strengths both of the various evaluation questions it might be productive to ask, and the various approaches that might be used for answering those questions.
3. When presenting their work, evaluators should communicate their methods and approaches accurately and in sufficient detail to allow others to understand, interpret and critique their work. They should make clear the limitations of an evaluation and its results. Evaluators should discuss in a contextually appropriate way those values, assumptions, theories, methods, results, and analyses that significantly affect the interpretation of the evaluative findings. These statements apply to all aspects of the evaluation, from its initial conceptualization to the eventual use of findings.

B. Competence: Evaluators provide competent performance to stakeholders.

1. Evaluators should possess (or, here and elsewhere as appropriate, ensure that the evaluation team possesses) the education, abilities, skills and experience appropriate to undertake the tasks proposed in the evaluation.
2. Evaluators should practice within the limits of their professional training and competence, and should decline to conduct evaluations that fall substantially outside those limits. When declining the commission or request is not feasible or appropriate, evaluators should make clear any significant limitations on the evaluation that might result. Evaluators should make every effort to gain the competence directly or through the assistance of others who possess the required expertise.
3. Evaluators should continually seek to maintain and improve their competencies, in order to provide the highest level of performance in their evaluations. This continuing professional development might include formal coursework and workshops, self-study, evaluations of one's own practice, and working with other evaluators to learn from their skills and expertise.

C. Integrity/Honesty: Evaluators ensure the honesty and integrity of the entire evaluation process.

1. Evaluators should negotiate honestly with clients and relevant stakeholders concerning the costs, tasks to be undertaken, limitations of methodology, scope of results likely to be obtained, and uses of data resulting from a specific evaluation. It is primarily the evaluator's responsibility to initiate discussion and clarification of these matters, not the client's.
2. Evaluators should record all changes made in the originally negotiated project plans, and the reasons why the changes were made. If those changes would significantly affect the scope and likely results of the evaluation, the evaluator should inform the client and other important stakeholders in a timely fashion (barring good reason to the contrary, before proceeding with further work) of the changes and their likely impact.
3. Evaluators should seek to determine, and where appropriate be explicit about, their own, their clients', and other stakeholders' interests concerning the conduct and outcomes of an evaluation (including financial, political and career interests).
4. Evaluators should disclose any roles or relationships they have concerning whatever is being evaluated that might pose a significant conflict of interest with their role as an evaluator. Any such conflict should be mentioned in reports of the evaluation results.
5. Evaluators should not misrepresent their procedures, data or findings. Within reasonable limits, they should attempt to prevent or correct any substantial misuses of their work by others.
6. If evaluators determine that certain procedures or activities seem likely to produce misleading evaluative information or conclusions, they have the responsibility to communicate their concerns, and the reasons for them, to the client (the one who funds or requests the evaluation). If discussions with the client do not resolve these concerns, so that a misleading evaluation is then implemented, the evaluator may legitimately decline to conduct the evaluation if that is feasible and appropriate. If not, the evaluator should consult colleagues or relevant stakeholders about other proper ways to proceed (options might include, but are not limited to, discussions at a higher level, a dissenting cover letter or appendix, or refusal to sign the final document).
7. Barring compelling reason to the contrary, evaluators should disclose all sources of financial support for an evaluation, and the source of the request for the evaluation.

D. Respect for People: Evaluators respect the security, dignity and self-worth of the respondents, program participants, clients, and other stakeholders with whom they interact.

1. Where applicable, evaluators must abide by current professional ethics and standards regarding risks, harms, and burdens that might be engendered to those participating in the evaluation; regarding informed consent for participation in evaluation; and regarding informing participants about the scope and limits of confidentiality. Examples of such standards include federal regulations about protection of human subjects, or the ethical principles of such associations as the American Anthropological Association, the American Educational Research Association, or the American Psychological Association. Although this principle is not intended to extend the applicability of such ethics and standards beyond their current scope, evaluators should abide by them where it is feasible and desirable to do so.

2. Because justified negative or critical conclusions from an evaluation must be explicitly stated, evaluations sometimes produce results that harm client or stakeholder interests. Under this circumstance, evaluators should seek to maximize the benefits and reduce any unnecessary harms that might occur, provided this will not compromise the integrity of the evaluation findings. Evaluators should carefully judge when the benefits from doing the evaluation or in performing certain evaluation procedures should be foregone because of the risks or harms. Where possible, these issues should be anticipated during the negotiation of the evaluation.

3. Knowing that evaluations often will negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its results in a way that clearly respects the stakeholders' dignity and self-worth.

4. Where feasible, evaluators should attempt to foster the social equity of the evaluation, so that those who give to the evaluation can receive some benefits in return. For example, evaluators should seek to ensure that those who bear the burdens of contributing data and incurring any risks are doing so willingly, and that they have full knowledge of, and maximum feasible opportunity to obtain any benefits that may be produced from the evaluation. When it would not endanger the integrity of the evaluation, respondents or program participants should be informed if and how they can receive services to which they are otherwise entitled without participating in the evaluation.

5. Evaluators have the responsibility to identify and respect differences among participants, such as differences in their culture, religion, gender, disability, age, sexual orientation and ethnicity, and to be mindful of potential implications of these differences when planning, conducting, analyzing, and reporting their evaluations.

E. Responsibilities for General and Public Welfare: Evaluators articulate and take into account the diversity of interests and values that may be related to the general and public welfare.

1. When planning and reporting evaluations, evaluators should consider including important perspectives and interests of the full range of stakeholders in the object being evaluated. Evaluators should carefully consider the justification when omitting important value perspectives or the views of important groups.
2. Evaluators should consider not only the immediate operations and outcomes of whatever is being evaluated, but also the broad assumptions, implications and potential side effects of it.
3. Freedom of information is essential in a democracy. Hence, barring compelling reason to the contrary, evaluators should allow all relevant stakeholders to have access to evaluative information, and should actively disseminate that information to stakeholders if resources allow. If different evaluation results are communicated in forms that are tailored to the interests of different stakeholders, those communications should ensure that each stakeholder group is aware of the existence of the other communications. Communications that are tailored to a given stakeholder should always include all important results that may bear on interests of that stakeholder. In all cases, evaluators should strive to present results as clearly and simply as accuracy allows so that clients and other stakeholders can easily understand the evaluation process and results.
4. Evaluators should maintain a balance between client needs and other needs. Evaluators necessarily have a special relationship with the client who funds or requests the evaluation. By virtue of that relationship, evaluators must strive to meet legitimate client needs whenever it is feasible and appropriate to do so. However, that relationship can also place evaluators in difficult dilemmas when client interests conflict with other interests, or when client interests conflict with the obligation of evaluators for systematic inquiry, competence, integrity, and respect for people. In these cases, evaluators should explicitly identify and discuss the conflicts with the client and relevant stakeholders, resolve them when possible, determine whether continued work on the evaluation is advisable if the conflicts cannot be resolved, and make clear any significant limitations on the evaluation that might result if the conflict is not resolved.
5. Evaluators have obligations that encompass the public interest and good. These obligations are especially important when evaluators are supported by publicly generated funds; but clear threats to the public good should never be ignored in any evaluation. Because the public interest and good are rarely the same as the interests of any particular group (including those of the client or funding agency), evaluators will usually have to go beyond an analysis of particular stakeholder interests when considering the welfare of society as a whole.

The Program Evaluation Standards

The Program Evaluation Standards are the product of the Joint Committee on Standards for Education Evaluation. The Joint Committee, which began its work in 1975, is composed of representatives from three organizations: The American Educational Research Association, the American Psychological Association and the National Council on Measurement in Education. While originally prepared for the field of education these "standards" have been accepted as having broader applicability. They are endorsed by the American Evaluation Association.

The term "standard" is defined by the Joint Committee as: a principle mutually agreed to by people engaged in the professional practice of evaluation, that, if met, will enhance the quality and fairness of an evaluation."

The evaluation standards the Joint Committee developed are organized into four clusters: utility standards, feasibility standards, propriety standards and accuracy standards. The key characteristics of each of these clusters is summarized below:

- **Utility standards**

"Utility standards guide evaluations so that they will be informative, timely and influential. They require evaluators to acquaint themselves with their audiences, define the audiences clearly, ascertain the audiences' information needs, plan evaluations that respond to those needs, and report the relevant information in clearly and in a timely fashion."

- **Feasibility Standards**

"Feasibility standards recognize that evaluations usually are conducted in a natural, as opposed to a laboratory, setting and consume valuable resources. Therefore evaluation designs must be operable in field settings, and evaluations must not consume more resources, materials, personnel, or time than necessary to address the evaluation questions."

- **Propriety Standards**

"Propriety standards reflect the fact that evaluations affect many people in a variety of ways. These standards are intended to facilitate protection of the rights of individuals affected by an evaluation. They promote sensitivity to and warn against unlawful, unscrupulous, unethical, and inept actions by those who conduct evaluations."

- **Accuracy Standards**

"Accuracy standards determine whether an evaluation has produced sound information. The evaluation of a program must be comprehensive; that is, the evaluation should have considered as many of the program's identifiable features as practical and should have gathered data on those particular features judged important for assessing the program's worth or merit. Moreover, the information must be technically adequate, and the judgments rendered must be linked logically to the data."

Source: Joint Committee on Standards, The Program Evaluation Standards, 2nd Edition. (Thousand Oaks, CA: Sage Publications, 1994)

The Program Evaluation Standards

Summary of the Standards

Utility Standards

The utility standards are intended to ensure that an evaluation will serve the information needs of intended users.

U1 Stakeholder Identification--Persons involved in or affected by the evaluation should be identified, so that their needs can be addressed.

U2 Evaluator Credibility--The persons conducting the evaluation should be both trustworthy and competent to perform the evaluation, so that the evaluation findings achieve maximum credibility and acceptance.

U3 Information Scope and Selection--Information collected should be broadly selected to address pertinent questions about the program and be responsive to the needs and interests of clients and other specified stakeholders.

U4 Values Identification--The perspectives, procedures, and rationale used to interpret the findings should be carefully described, so that the bases for value judgments are clear.

U5 Report Clarity--Evaluation reports should clearly describe the program being evaluated, including its context, and the purposes, procedures, and findings of the evaluation, so that essential information is provided and easily understood.

U6 Report Timeliness and Dissemination--Significant interim findings and evaluation reports should be disseminated to intended users, so that they can be used in a timely fashion.

U7 Evaluation Impact--Evaluations should be planned, conducted, and reported in ways that encourage follow-through by stakeholders, so that the likelihood that the evaluation will be used is increased.

Feasibility Standards

The feasibility standards are intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal.

F1 Practical Procedures--The evaluation procedures should be practical, to keep disruption to a minimum while needed information is obtained.

F2 Political Viability--The evaluation should be planned and conducted with anticipation of the different positions of various interest groups, so that their cooperation may be obtained, and so that possible attempts by any of these groups to curtail evaluation operations or to bias or misapply the results can be averted or counteracted.

F3 Cost Effectiveness--The evaluation should be efficient and produce information of sufficient value, so that the resources expended can be justified.

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Propriety Standards

The propriety standards are intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results.

P1 Service Orientation--Evaluations should be designed to assist organizations to address and effectively serve the needs of the full range of targeted participants.

P2 Formal Agreements--Obligations of the formal parties to an evaluation (what is to be done, how, by whom, when) should be agreed to in writing, so that these parties are obligated to adhere to all conditions of the agreement or formally to renegotiate it.

P3 Rights of Human Subjects--Evaluations should be designed and conducted to respect and protect the rights and welfare of human subjects.

P4 Human Interactions--Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed.

P5 Complete and Fair Assessment--The evaluation should be complete and fair in its examination and recording of strengths and weaknesses of the program being evaluated, so that strengths can be built upon and problem areas addressed.

P6 Disclosure of Findings--The formal parties to an evaluation should ensure that the full set of evaluation findings along with pertinent limitations are made accessible to the persons affected by the evaluation, and any others with expressed legal rights to receive the results.

P7 Conflict of Interest--Conflict of interest should be dealt with openly and honestly, so that it does not compromise the evaluation processes and results.

P8 Fiscal Responsibility--The evaluator's allocation and expenditure of resources should reflect sound accountability procedures and otherwise be prudent and ethically responsible, so that expenditures are accounted for and appropriate.

Accuracy Standards

The accuracy standards are intended to ensure that an evaluation will reveal and convey technically adequate information about the features that determine worth or merit of the program being evaluated.

A1 Program Documentation--The program being evaluated should be described and documented clearly and accurately, so that the program is clearly identified.

A2 Context Analysis--The context in which the program exists should be examined in enough detail, so that its likely influences on the program can be identified.

A3 Described Purposes and Procedures--The purposes and procedures of the evaluation should be monitored and described in enough detail, so that they can be identified and assessed.

A4 Defensible Information Sources--The sources of information used in a program evaluation should be described in enough detail, so that the adequacy of the information can be assessed.

A5 Valid Information--The information gathering procedures should be chosen or developed and then implemented so that they will assure that the interpretation arrived at is valid for the intended use.

A6 Reliable Information--The information gathering procedures should be chosen or developed and then implemented so that they will assure that the information obtained is sufficiently reliable for the intended use.

A7 Systematic Information--The information collected, processed, and reported in an evaluation should be systematically reviewed and any errors found should be corrected.

A8 Analysis of Quantitative Information--Quantitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.

A9 Analysis of Qualitative Information--Qualitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.

A10 Justified Conclusions--The conclusions reached in an evaluation should be explicitly justified, so that stakeholders can assess them.

A11 Impartial Reporting--Reporting procedures should guard against distortion caused by personal feelings and biases of any party to the evaluation, so that evaluation reports fairly reflect the evaluation findings.

A12 Metaevaluation--The evaluation itself should be formatively and summatively evaluated against these and other pertinent standards, so that its conduct is appropriately guided and, on completion, stakeholders can closely examine its strengths and weaknesses.

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Purposes and Operations of an Evaluation Association

At the present time, there are five major evaluation associations in operation, world-wide:

- o The American Evaluation Association
- o The Canadian Evaluation Society
- o The European Evaluation Society
- o The Australasian Evaluation Society
- o The Central-American Evaluation Association

These are simple organizations. Their primary purpose is to link together individuals from many different types of organizations -- universities, non-profit organizations, government, and private for-profit firms -- who share a common interest in the subject, and methods, of program and project evaluation.

By and large, these associations or societies run on volunteer labor. Association officers are voted upon annual in the American AEA. Because they serve for free, most members are happy to be an officer for one year, and then let someone else take over.

All members have the right to nominate and vote upon officers. Membership involves completing a simple form and paying a fee each year. Individuals can join as members. So can organizations. Membership entitles people to receive all of the organizations mailings, e.g., a list of members, any newsletter or journal the association publishes, and officer nomination and voting forms.

The benefits of the association to members are:

- o The list of other members
- o The newsletter they receive
 - o The Annual Conference where they meet old and new colleagues and hear discussions and lectures on topics that interest them.

All members receive an invitation to the association's Annual Conference. There is a separate fee for attending the conference, and individuals who attend must also pay for their hotel rooms and food. The Annual Conference of an evaluation association usually has a theme, chosen by that year's President.

The substantive part of the conference is organized by a program committee, which puts out a call for papers on the general topic that has been selected. People who respond to this call may propose to simply present a paper, or they might want to organize a whole panel discussion. The program committee reviews all proposals, makes decisions about which to accept and prepares a conference schedule. The conference usually lasts for a few days, e.g., in the U.S. it is usually a period that runs from Wednesday evening, through Thursday, Friday and Saturday

morning. When an association is just getting started there may be only one set of sessions, lasting perhaps a day and a half. As it grows, there may be simultaneous sessions, spread over more days. Currently an annual meeting of the U.S. association offers about 5 or 6 choices of sessions during every time slot of the conference -- but this is after about 20 years. Logistical arrangements for the conference, e.g., booking a site and sending out reservation forms, are made by the organization's secretary, who is also a volunteer.

In 1995, the five evaluation associations/societies that exist around the world met jointly for the 1st time at an Annual Conference in Vancouver, Canada.

Generally speaking, evaluation associations and societies do not have any other functions. The cost of running them is minimal. Fee payments and expenses are recorded using simple systems and an annual financial report is prepared for the President and for accountability purposes.

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Setting Up an Evaluation Association

Some Questions

Are you alone in thinking about this?

Has anyone else in Russia had this idea and begun working on it?

If there are other people working on this kind of a project, how might you find them?

If you found them -- would you join your effort with theirs? Under what conditions?

If you are the first to think of setting up an evaluation association in Russia -- who should you draw into this project with you? What skills and experience should members have? Or is an interest and a desire to learn sufficient? What kinds of people does an "ideal" membership roster contain?

Non-profit and for profit organizations?

Government? Local and national?

Professors? Students?

Just from Moscow? From all over Russia?

How will you make your efforts known and recruit more members?

How can you use an association to increase your knowledge and understanding of evaluation techniques, skills, applications, and ethics?

Who will be your teachers?

What can you teach each other?

When and in what forum can you study and learn?

What linkages should you establish with other evaluation associations -- in Europe? In the U.S.? Elsewhere?

Working groups on an Association establishment

1. ORGANIZATIONAL

Belonogova, Kazakov, Drapushko, Khananashvili, Yakimets, Borovykh

2. RESOURCE

Greshnova, Kabanova, Zhemkova

3. INFORMATIONAL

Ilyin, Galkina, Demicheva, Belonogova, Zaks, Korukina, Nikitina, Bodungen, Yukin, Kabanova

4. PR/LOBBING

Drapushko, Belyaeva, Khananashvili, Zykov

5. PROGRAM

Greshnova, Borobykh, Zhemkova, Kazakov, Bodungen

An Association spheres of activity (brain-storming materials)

Numbers in brackets are priority scores (1=lowest)

- 1.(21) Informational services
- 2.(21) Data Base on experts
- 3.(6) "Club" function: place of gathering of evaluation fans
- 4.(16) Records archive
- 5.(18) Promotion of an evaluation idea
- 6.(15) Informational newsletter for an Association members
- 7.(12) Development of evaluation standards (protection of members)
- 8.(2) Conference on sharing of evaluation experience
- 9.(19) Is Association needed?
- 10.(7) Representative functions in governmental structures
- 11.(14) Standards of experts' activities
- 12.(7) Advertising campaign for bringing in evaluation "buyers"
- 13.(8) Bringing in new members
- 14.(12) To open the conference on e-mail
- 15.(20) Library establishment
- 16.(14) Develop contacts with evaluation Associations in other countries
- 17.(17) Defining of organizational structure
- 18.(17) Personnel selection
- 19.(9) Ethical code
- 20.(10) Mechanisms of legal protection
- 21.(18) Development of home-page
22. Development of evaluators club traditions
- 23.(1) Establishment of "honor court"
- 24.(20) Develop grant proposal
- 25.(17) Develop documents portfolio on contracts
- 26.(21) Data base on stockholders
- 27.(15) Organize 4 workshops within the year

- 28.(16) Meeting with ex-president of American Evaluation Association
- 29.(5) Data base on conflicts/precedents (through buyers list)
- 30.(6) Association widening
- 31.(5) Legal activity on evaluation
- 32.(1) Training
- 33.(12) Find office space
- 34.(2) Association membership cards
- 35.(2) Marketing research in nearest countries
- 36.(16) Searching for funding sources
- 37.(18) Develop working plan
- 38.(18) Define priorities
39. System of certification
- 40.(19) Development mechanism of evaluation data/information gathering and dissemination
41. 5 evaluation within the year
42. Prize for evaluation quality
- 43.(14) Membership criteria
- 44.(3) Translation of books on evaluation - 1 book per year
- 45.(11) Association registration

Objectives, functions of the Association

- ADVOCACY
- PROTECTION
- STANDARD
- TECHNICAL
- ETHICAL
- MARKET DEVELOPMENT
- PROFESSIONAL PROMOTION
- INFORMATION SHARING
- TRAINING + PROFESSIONAL DEVELOPMENT
- PUBLIC AWARENESS

Constraints

1. ARE WE PROFESSIONALS?
2. WHO ARE WE?
3. WHAT DO WE WANT?
4. WHO ARE OUR CLIENTS?
5. WHO IS DEALING WITH THIS NOW?
6. WHY DO WE NEED AN ASSOCIATION?

Section 10

Training Materials

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Evaluation, Inc.

The Business Side of Evaluation

It takes more than evaluation skills to succeed as an evaluator. You must also understand how to win evaluation assignments and contracts.

A. Who Buys Evaluation Skills?

In most countries, there are three main "buyers" of evaluation skills:

Governments -- this includes not only national governments but also local government. It also includes foreign donors, both on a national and multinational basis. Many of these organizations have internal requirements that force them to seek external evaluations of their programs and projects.

Foundations -- this includes foundations based in a country as well as foundations from other countries that are carrying out projects and programs outside their country of origin.

Organizations that are in the business of selling evaluation skills -- this includes both local organizations (firms, non-profits, universities, etc.) as well as organizations from other countries. Organizations that "sell" evaluations are constantly scanning the horizon for new talent to market. Normally they search for individuals, but many such organizations are also willing to enter into arrangements with smaller organizations who will work with them as sub-contractors or sub-grantees.

B. Packaging Your Evaluation Skills

Generally speaking, there are two ways to enter the evaluation business:

As an individual -- in which case you are selling only your own skills and experience at some "daily rate." People who enter the evaluation business as individuals often start this way because:

- their commitment -- or availability -- is limited, i.e., they have another source of employment that takes up most of their time, or they have not decided for sure whether they want to be in this business over the long term;

-- they have not found a firm to which they want to attach themselves, or they simply prefer working alone -- they do not want the responsibility of starting and running a firm -- either by themselves or with several partners, or

-- they have not yet amassed the capital or experience needed to start a firm or non-profit organization in this field.

An individual packages his/her skills primarily in the form of a resume. A business card is a secondary form of packaging, but it is not a necessity.

As an organization (a firm or non-profit organization) -- in which case you are selling not only your skills -- but also the skills of other individuals you represent -- and whatever can be defined as the collective experience and skills of the organization you have created. People who start firms or non-profit organizations -- alone or with several partners -- often do so because:

-- They see advantages, e.g., tax advantages, competitive advantages, the possibility of profit, etc., in operating as an organization which they do not believe are available to individuals.

-- They prefer working with other people to working alone, or they see themselves and their partners as having complimentary skills. The organizational unit they can form will be stronger than any of the individuals in it.

-- They see a strong potential for growth and feel that they can generate more business than they can do by themselves.

Organizations package their skills in several ways:

-- **An organizational identity: a name, a logo, an address,** and anything that is needed to denote their official status (e.g., in the U.S. a non-profit organization seeks tax exempt status (501c3) when it performs charitable work.) -- **on letterhead and on business cards** carried by those who work for the organization either in a full time or part-time capacity and have opportunities to market the organization's services.

-- A written summary of the organization's purpose, philosophy and experience, i.e., **a brochure.**

-- **Resumes** of individuals who are available through the organization. (These are usually made available only after initial conversations about involving the organization in some activity.)

C. **Marketing Your Evaluation Skills**

Marketing is advertising. What it involves is whatever it takes to make your availability, skills and experience known to potential buyers of those skills. Marketing is also research. It means that you must use every opportunity -- every contact -- to learn whatever can be learned about when and how potential clients buy evaluations services.

Making Your Availability Known

This involves approaching potential clients --- governments, foundations and other organizations. Potential clients can be approached through the mail, by telephone, or in person. Contacts within these organizations are often sequential. You meet one person and **try to learn** from that person **who in their organization is closest to the action when it comes to buying evaluation services.** Until you reach the right person(s) -- your resume or brochure may simply gather dust.

When you do locate the right person, you need to provide them with more than just your summary of your (or your organization's) skills and experience. You need to **give them a good reason for hiring you rather than some other individual or organization.** There are lots of reasons --- you are cheaper than others, you have a unique capacity, you are already knowledgeable about their work -- find one that is both true and compelling and keep repeating it in every communication. Never lie or promise something you cannot produce.

Market Research

Advertising yourself is only half the job. You should learn something you do not know from every contact with a potential client.

-- How do they choose providers of evaluation services?

The answer may be through competitive bids on a piece of work, or it may be based simply on interviews and a review of resumes and references. *When you learn which -- ask the next question?*

-- How do they let potential providers know when they need assistance?

Some advertise opportunities to bid in newspapers or over the Internet. Others keep lists of potential bidders and announce only to those on the list. *When you learn which -- ask the next question?*

-- How do I get on your bidders list, or how do I access your announcements?

Some notify everyone who has expressed an interest. Others pre-screen such lists -- through reference checks, or by asking everyone to summarize their qualifications for a particular evaluation. Others simply tell you their website, e.g., www.gov.usaid. *When you know that answer -- ask the next question?*

-- Do you have any evaluations coming up in the foreseeable future for which I (or my organization) might be particularly well suited?

Sometimes you get nothing. Sometimes you get a useful answer, e.g., "Well we do expect to evaluate our health care projects in Russia sometime this year." *That's not very specific -- but it gives you something to start researching further. Where can you find a list or summary of their health projects? What kinds of people might you need to win these contracts -- and what can you do to line them up early?*

D. Winning the Job

Almost all government entities and foundations ask for a proposal. Almost everybody asks for proposals from more than one individual or organization. **Expect to compete for the evaluation jobs you get.**

When you market yourself as an individual, you will be asked for your resume and about what it will cost to hire you. You may also be asked questions about how you would carry out the work. If you are dealing directly with a government entity or a foundation, you may also be asked to supply a list of reference. If you are talking with a firm about a job it is bidding on, you may be asked to help prepare their proposal.

When you market yourself as a firm or non-profit, you will often be asked to submit a formal written proposal in response to a Requests for Proposals (RFPs) issued by your potential client.

Formal RFPs often ask you for two separate responses: a technical proposal and a business proposal. Some organizations that buy evaluation services ask you to put these two responses in different envelopes. They do not necessarily want the people who read technical proposals to have cost information. Some organizations only consider costs after they have decided which technical proposals meet their basic qualifications.

Technical Proposals

In one way or another, most requests for a technical proposal ask about:

- Your understanding of the task and approach to carrying it out. (An RFP usually contains a Scope of Work to which your proposal must respond.)
- The people who will do the work if you win -- their resumes.
 - Your organization's experience in carrying out this kind of work, including a list of references who know the organization's past work.

Most organizations tell you in the RFP how to organize your technical proposal (e.g., how many pages, in what sections, single space or double, etc.) Many RFPs also say how they will score your technical proposal (e.g., technical approach = 40; personnel = 30, and organizational experience = 30.) Follow these guidelines exactly and divide the pages and your proposal effort according to how things will be scored!

Business Proposals

The first one is the worst one! Neither individuals nor organizations are very good at putting business proposals together the first few times -- they simply don't have enough information or practice.

Business proposals can be submitted in different ways -- depending upon the specific contract and client.

Some jobs -- usually small ones -- can be bid on a "fixed price" basis. This is the way organizations buy "things" (e.g., chairs, etc.), but some organizations will also buy "reports" in the same way. When your bid is a "fixed price" bid, you do not have to provide all of the details about the number of hours people will spend, their daily pay rates, etc. You need to estimate those costs, but your proposal simply gives the price of the "report" you promise to produce. If you produce it in fewer days than expected, you make money. If it takes longer than expected, you lose money. The buyer doesn't give you more -- the buyer agreed to a "fixed price" for the product.

In bidding on "cost plus fixed fee" (CPFF) contracts you have to submit a lot of detailed information on costs that are not usually required in a "fixed price" arrangement. But don't get the idea that any set of costs will be reimbursed -- CPFF really means "fixed costs and fixed fee." This is the standard approach to large contracts for services.

Climbing the Learning Curve -- Together

The only way to stay current in a technical field -- any technical field -- is to read. The classes in this course and the materials provided are only the beginning. There is a world of literature on evaluation from which each of you can draw. You have only just begun to absorb the range and depth of tools that are available to you.

One way to climb higher on the "learning curve" is to work together. You can buy more good books collectively -- over time -- than any one of you would be likely to buy alone.

Books in English have to be translated -- but not necessarily word for word. Ask the English speakers among you to take turns reviewing what you buy and e-mailing or sending reviews to each other. It isn't hard. Put in enough information to help others understand whether they will benefit from reading a particular volume -- or whether it is worth having one or more chapters translated for everyone. Two examples of the kind of reviews you can write for yourselves are attached.

When the Russian evaluation community begins to grow, develop a newsletter, and publish your book reviews there. Try taking the very best books you find to Russian publishers and encourage them to translate and reprint them locally.

Books need a home. Work together to set up a library -- and find a place to house what you buy -- it doesn't need to be your own library. Consider working with a university to build a collection on evaluation that you and everyone else can share.

Once you set up a library -- you can also begin to add your own work to it. The evaluations you conduct over the years, will serve as teaching materials for those who follow.

**Monitoring and Evaluating Social Programs in Developing Countries
A Handbook for Policymakers, Managers and Researchers**

Joseph Valadez and Michael Bamberger (Editors)

The Economic Development Institute (EDI) of the World Bank, 1994

Ten years in the making, this book compiles the lessons and describes the range of methods used over several decades of evaluations undertaken by the World Bank and by the numerous governments around the world that have established national level units for the purpose of evaluating government programs.

For demonstrating the world-wide application of evaluation concepts, this is an exceptional volume. Anyone who views evaluation as the province of a few Western countries quickly comes to understand how widely these tools are being applied. Theory and the dusty roads of Bangladesh come together and what emerges are numerous applications and innovations that build on a solid foundation of theory. The volume teaches as well as discusses the methods it highlights.

While taking in the special and often complex problems faced by evaluators who work in developing countries, its methodological advice is up-to-date and of widely usable. Approaches for modeling cause and effect and conducting evaluations range from the project level to the national level. Sustainability issues, the assessment of differential impacts by gender, cost-effectiveness and other current topics in evaluation are treated as are diagnostic and impact studies, rapid appraisal methods and quasi-experimental designs. Real evaluations are examined and case applications of particular methods are described. Useful lists of when and when not to use specific methods or examine particular questions are scattered throughout this volume.

Recommendations for further reading are provided in every section. The bibliographic range displayed is wide, deep and truly international.

Evaluation for the 21st Century: A Handbook

Eleanor Chelimsky and William R. Shadish (Editors)

Sage Publications, 1997

Indicative of the way in which the world is becoming smaller and more accessible, evaluators from around the world met, in November, 1995, in Vancouver, Canada, for a joint International Evaluation Conference, marking the "first time that five evaluation associations and more than 1,600 evaluators from 66 countries and five continents had come together."¹

With over 25 years of experience in project and program evaluation on which to build, contributors to this volume draw out the lessons they have learned, identify current evaluation purposes and issues, describe new methodologies, discuss the merits of multimethod evaluations, and speculate about the future.

Purposes for evaluation today are seen as including (a) accountability; (b) the acquisition of knowledge, and (c) strengthening institutions that run programs and projects, according to Chelimsky, and at times those purposes lead evaluations in varying directions, some of which are quite different from what many evaluators anticipated when they began doing this work in the 1960s and 1970s.

Evaluations undertaken from an accountability perspective are not necessarily used to improve on-going programs, but may affect policies and future programs. They tend to require that the evaluator be from outside the organization. Evaluator independence is a pre-requisite and objectivity must be high. With evaluations undertaken to increase knowledge objectivity and independence are also important. Utilization is neither critical or all that likely. Clients may ignore findings they do not like, but with proper dissemination such evaluations tend to affect future policies of others, even if not in the organization that was evaluated. Evaluations undertaken to strengthen organizations are quite a different matter. Evaluator works close to the client, an objectivity may not remain high. Utilization is a primary goal, and the evaluator may function as an advocate of change, i.e., a "critical friend" of the subject he is evaluating.

Early on, notes Thomas Cook of Northwestern University, evaluations were largely quantitative. Today, every evaluator must know and be able to use a mix of quantitative and qualitative methods, often in the same evaluation. Real knowledge, Cook notes, comes increasingly from the

¹ From the prologue, by Eleanor Chelimsky. The five evaluation associations that jointly sponsored this conference, in which there were "363 panels, workshops and other sessions (each with a number of presenters)" were the American Evaluation Association, the Australasian Evaluation Society, the Canadian Evaluation Society, the Central-American Evaluation Association, and the European Evaluation Society.

synthesis of many evaluations in a field rather than from a single study, while at the same time the expectations that evaluations will lead to profound changes in programs and policies is perhaps lower today than it was 25 years ago. Cook sees a need to build bridges between evaluation and other disciplines as we move into the next century -- interactions with public administration and management specialists, as well as economists and sectoral specialists are key links to be strengthened. At the same time, he cautions, evaluators should not themselves become so specialized that the field collapses into splinter groups that no longer communicate and integrate what they are learning about programs and methods.

Performance measurement (i.e., the periodic monitoring of performance indicators for a large number of programs), argue Joseph Wholey of the U.S. and Caroline Mawhood of the U.K., is giving a number of countries a new and perhaps better way to track program and project accomplishments -- particularly in the public sector, freeing evaluation to focus on questions of causality and for diagnostic purposes. Both authors note the link between performance monitoring and budgeting that is being established, and say it is here to stay.

Multimethod evaluations are highlighted by Lois-ellen Datta and others as the wave of the future. She and others show how case studies and longitudinal data on large populations are being analyzed together. Mansoor Kazi presents evolving improvements in case study methods while Robert Orwin describes the wide range of uses to which interrupted times series data are being put across a variety of sectors and specialized fields. For example, he shows how inferences from time series data on wheat production in Mexico, with the timing of the introduction of new varieties noted, are strengthened when comparable data from Argentina and Chile are plotted as "controls."

Robert Stake and Michael Scriven -- old friends of anyone who has studied evaluation theory -- continue, in this volume, to consider questions about truth and objectivity in evaluation, and not surprisingly, disagree on a number of points about evaluation, these issues, and the future.

Score Sheet for Evaluation Strengths and Weaknesses

Evaluation Scored: _____

| Item or Question | Yes | No | Notes |
|--|-----|----|-------|
| Did the evaluation follow the generic outline provided in class, i.e., project description and objectives, evaluation objectives and methods, findings, conclusions and recommendations -- in the order given in that outline? | | | |
| Was the report written in clear, understandable language? | | | |
| Were all important terms defined or were there key terms or phrases which needed to be defined but were not? | | | |
| Did the cover page identify the project? | | | |
| Did the cover page -- or some other early page -- identify the authors? | | | |
| Was any description of the evaluation team's credentials for this work provided? | | | |
| Was there a Table of Contents? | | | |
| Was a list of annexes or tables provided? | | | |
| Was an Executive Summary included? | | | |
| Did the ExSum summarize all key aspects of the evaluation? | | | |
| Was the evaluation scope of work provided, e.g., as an annex? | | | |
| Was a brief summary of key facts about the project presented? | | | |
| Was a narrative description of the project provided? | | | |
| Were any changes in the project design described? | | | |
| Were the projects objectives listed? | | | |
| Were the objectives/questions for the evaluation included? | | | |
| Did the report indicate where the evaluation questions came from? | | | |
| Did the report indicate that the evaluation team sought evaluation questions from stakeholders other than the primary client? | | | |
| Was there a list of Annexes or Tables, etc. | | | |
| Were the data collection methods used in the evaluation described? | | | |
| Were the data analysis methods described? | | | |
| Was the description of methods complete? | | | |
| Did the evaluation methods section provide information on any problems the evaluators had in applying their methods? | | | |
| Were data collection instruments (e.g., questionnaires) included, as text or as annexes? | | | |
| Were data (findings) presented on all aspects of the | | | |

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| project which the evaluation was expected to address? | | | |
| Were the findings presented clearly? | | | |
| Did the findings that were presented address all of the questions or topics the evaluation was expected to cover? | | | |
| If data was provided on beneficiaries, did it come directly from interviews/observations of beneficiaries? | | | |
| Was the "raw data" adequately analyzed -- or simply presented for the reader to analyze? | | | |
| Were graphs and charts created to to summarize or interpret data? | | | |
| Were charts, tables and graphs integrated into the report in a useful way? | | | |
| Were conclusions clearly separated from findings? | | | |
| Was there sufficient evidence provided to support each conclusions, or were thre conclusions presented without any or sufficient data ? | | | |
| Were there any findings which implied conclusions, about which conclusions were not provided? | | | |
| Were conclusions reached on all important evaluation questions or topics? | | | |
| Were broad, cross-cutting conclusions drawn about the project? | | | |
| Were the conclusions -- particularly any broad conclusions about the project -- consistent with the evaluation's findings, i.e., neither more negative nor more positive than the data the evaluation provided? | | | |
| Were recommendations provided? | | | |
| Was it clear to whom the recommendations were directed? | | | |
| Were the recommendations adequately supported by findings and conclusions? | | | |
| Were explicit recommendations provided in every area where the evaluation seemed to suggest that something needed to be done? | | | |
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MAY 14, 1997
MOSCOW

TO: RUSSIAN EVALUATION CLASS
FROM: RICHARD BLUE, MSI SENIOR ASSOCIATE
SUBJECT: ORGANIZING EVALUATION REPORTS

HERE IS THE REPORT PREPARATION GUIDANCE I OFFERED YOU FOR CONSIDERATION IN CLASS TODAY.

TO BE USEFUL, YOUR REPORT MUST BE READ. TO BE READ, IT MUST BE CLEAR, DIRECT, AND CONCISE.

WRITE YOUR REPORT SO THAT IT MAY BE READ BY THREE TYPES OF PERSONS:

1. THE PROJECT STAKEHOLDERS
2. SENIOR TECHNICAL MANAGERS RESPONSIBLE FOR THE PROJECT'S FUNDING
3. THE SENIOR MOST POLICY OFFICER RESPONSIBLE FOR THE PROGRAM UNDER WHICH THE PROJECT WAS FUNDED.

EACH READER WILL DEVOTE MORE OR LESS TIME TO THE REPORT. YOU MUST GIVE ENOUGH EVIDENCE AND TECHNICAL ANALYSIS TO SATISFY LAYERS 1 AND 2, AND BE CONCISE AND GENERAL ENOUGH TO SATISFY LAYER 3.

THE FOLLOWING STRUCTURE IS SUGGESTED:

I. Introductory Material

1. FACE SHEET with essential of project information
2. Executive Summary
3. Methods/data collection approaches used to conduct the evaluation
4. Any other material directly relevant to understanding the Report

II. Main Body of Report

1. The Evaluation Report tells a true story about a conscious effort to correct a perceived problem through organized and purposive effort. The Report is an assessment of whether the effort worked, why it worked (or not) and what might be done next . . . The report can be presented in different ways. Most reports will include the following:

- a. description:
- b. analysis
- c. findings
- d. conclusions
- e. recommendations

The written report is a summary version of the evaluator's understanding and evidentiary judgements about the worth of the events which took place. The steps listed above can be applied to the entire project, and to each particular element of the project.

2. The Report will address the following topics:

a. The **PROBLEM STATEMENT**. Every project is an intervention to solve or better manage a particular social, economic or a political problem. Problems range from teenage pregnancy to hyperinflation. A project paper must specify the "problem" before applying a solution. The accuracy of the problem statement is critical to the project's success.

b. The **OBJECTIVES**. What the intervention(project) wants to achieve. Objectives are the changed conditions which will modify or solve the Problem.

c. The **STRATEGY**. Every project follows a strategy or general model about how to proceed. The strategy organizes the activities of the project. This is the place to start telling the **STORY** of the project. The story will contain the facts, analysis, findings and conclusions about the project.

d. The **ACTIVITIES**. Activities are the instruments by which the project designers and implementers hope to achieve the goals. They can be many or few, complex or simple, continuous or episodic. Activities are what the project does, not what it accomplishes.

Two general questions must be addressed: Were the activities undertaken as planned, and, how effective and efficient was the management of the activities.

e. The **RESULTS**. Here the evaluator must gather evidence to assess whether the money, time, organization, and activities produced results. Did anything change?

Was the change what was predicted in the objectiv statement? How cost effective were the changes?

f. **SUSTAIN ABILITY.** Most evaluations address this issue. Will the project produce sustainable results after the initial project funding is finished. Here is also a good place to discuss **IMPACT**, if that is required in your scope of work.

g. **SPREAD/REPLICABILITY.** Projects are spatially and organizationally limited social experiments in social change, which, if successful, will spread or be replicated throughout the society. The evaluator is frequently asked to assess whether the project's model will spread or be replicated elsewhere.

3. There are many ways to organize an evaluation report. The topic outline presented above is one way. The reader expects to find new information, analysis and conclusions about each aspect of the project, as well as about the project as a whole. Your assessment of each of the elements will form the basis of a comprehensive report. In most project reports, the task is to find a causal "thread" from beginning to end which ties the planning, budgeting, implementation, achievements and failures, strengths and weaknesses into an organized statement.

If the description, analysis, findings and conclusions section are well done, persuasive recommendations will follow.

World Learning/MSI Certificate Course in Evaluation

Participant Evaluation Reports: A "Checklist" Assessment of their Strengths and Weaknesses

During the course of Phase II of this program, seven participant teams made oral presentations on the evaluations they had completed between March 15th and the beginning of the classroom portion of Phase II. As the oral reviews of these evaluations provided by the course instructors indicates, there are many ways to review an evaluation. Evaluations can be reviewed against a fixed set of expectations about what a good report will contain. They can also be reviewed from a client perspective, e.g., "does the evaluation give me (the client) a basis for making a decision about continued funding?", or "does the evaluation make relevant comparisons and provide a useful analysis, e.g., of actual results compared to project plans?"

This summary of strengths and weaknesses is relatively mechanical in nature -- as compared to the detailed, and evaluation specific oral reviews given by the course instructors. It used a "checklist" approach against which all seven evaluations were "scored." (The checklist that was used is attached.) While the picture this approach presents is incomplete, it does serve to highlight several areas where all participants can improve upon their work the next time they participate in an evaluation.

Organization of the Evaluation Reports

- o 4 out of 7 followed the evaluation report outline provided in Phase I fairly closely. (It should be noted that this outline is not the only way to structure an evaluation. The outline provided in Phase I parallels fairly closely the outline provided in USAID's Evaluation Handbook.)
- o The other 3 reports talked about evaluation methods before describing the project they were evaluating and its objectives. This reversal is hard on the reader. Evaluation questions and methods need to be presented in their context, i.e., in relation to the project that is being evaluated.
- o Even when evaluations followed the general outline provided in Phase II, few (3) presented their findings in a very systematic order, e.g., the same order in which they had presented the evaluation questions they would try to answer -- and using the same wording in section titles -- so that the reader could easily understand which findings relate to which evaluation questions.

Table of Contents and Other Introductory Items

- o 6 reports had cover pages that identified the project and the authors; one did not use a cover page but did provide this information. None of the evaluations commented upon the skills of the team. We had not asked for this. Nevertheless,

it is a good idea in an evaluation report to briefly identify the key, relevant skills of team members.

- o 5 reports provided a Table of Contents and 5 provided a list of annexes or appendices.

- o Most reports would have benefitted from a clearer system for numbering sections and subsections, e.g.:

C. Evaluation Findings

1. Project Results

- a. Strengthening Local NGOs
- b. Services for NGO Program Beneficiaries

2. Project Sustainability

- a. Status of the U.S. - Russian Partnership
- b. Financial Viability of the Local NGO Program

- o One evaluation report included some introductory statements that were not really suitable for a professional evaluation report, i.e., musings by the authors on their experience.

Executive Summaries

- o 6 reports provided an Executive Summary

- o Of these only 2 really summarized all of the main elements of the report (i.e., project description and objectives, evaluation objectives and methods; findings, conclusions and recommendations.) Evaluators need to remember that sometimes all a high level manager will read is the Executive Summary -- and only if it is short, e.g., usually no more than 3 pages -- just 1 if possible.

Descriptions of the Projects That Were Evaluated

- o 4 of the 7 evaluations included a "fact sheet" that highlighted the main points about a project.

- o All 7 provided a narrative description of the projects they evaluated.

- o All 7 stated the objectives of the project. Some did this more clearly than

others.

- o 3 projects identified changes in the project design that had been made during implementation.

- The Opportunity International evaluation's table on changes was the clearest description of this sort.

Evaluation Purposes/Objectives and Questions

- o 4 out of 7 evaluations included the evaluation questions that were addressed. The three that did not had listed such questions in their evaluation designs (in March), but failed to bring them forward into their reports. As a result the reader had little idea of whether these three evaluations covered everything they were suppose to cover.

- o 3 evaluations put their work into a clear context, e.g., "this is a post-project evaluation of a project that ended 2 years ago." or "there were two other evaluations of this project."

- o 2 of the 7 provided clear statements about the source of the evaluation questions, in both cases this was the primary client (World Learning)

- o In none of the evaluation did we read of an organized effort to identify the evaluation questions of interest to stakeholders other than World Learning.

- The CECHE evaluation report was unusual in that it identified stakeholders who were interested in the evaluation, but it did not clearly or specifically link these stakeholders to evaluation questions.

Evaluation Methods

- o All 7 evaluations included some description of their data collection methods, but none can be said to have provided complete descriptions. Most failed to explain fully how the sites or interviewees were selected.

- The closest to a complete description of an interviewee selection process was provided for data collection procedures used for beneficiary interviews in the Compassion evaluation.

- o Conversely, "most" (over 1/2) included the questionnaires they used, which was a positive step. (We were not able to make an exact count, since some were not in the English versions but were included in the Russian versions.)

- o None of the evaluation reports provided a systematic description of the analysis methods to be used to makes sense of the data that was collected. Some

reports did analyze data and it was evident that they had, but they did not include a description of their analysis methods in the methods section.

Evaluation Findings

- o It is clear that 2 of the 7 evaluations presented findings on all of the evaluation questions they tried to answer. 2 provided findings on some but not all questions. As to the other 3 evaluations, we cannot tell -- since these evaluations did not include a list of evaluation questions.

- o Statements of those evaluation findings which were presented were reasonably clear in 5 of the 7 evaluations. In the remaining two, it was very hard to tell what was a finding and what was a conclusions. The two elements were presented together -- fused -- rather than offered in a clear and distinct way.

- o However, 3 of the 7 evaluations that did present clear findings were faulted for not presenting enough data. One of these was relatively complete in its findings on two topics and weak on the other two. 2 other evaluations were weak on the presentation of findings across all evaluation topics or questions.

- o Of the 7 evaluations, only 3 presented beneficiary data -- where beneficiary means individuals who benefit from project services. Of these 3, 2 presented primary data that they had collected and 1 presented secondary data received from project sites.

- o At least 2 evaluations appear to have conducted too limited a number of interviews. These reports had almost no data to present and tended to rely too heavily on their own opinions in preparing their reports.

- o 4 of the 7 evaluations undertook some sort of data analysis process. That is they transformed "raw data" into something else in a way that was obvious to the reader. The remaining three came closer to simply presenting their data and letting the reader do the analysis.

- o 3 of the 7 evaluation reports made good use of graphs and charts to summarize their findings, and 2 of these integrated these materials into their presentation. But only one of the sets of graphics prepared adequately identified the size of the population for which percentages were provided.
 - The Heart to Heart evaluation provides the best example of the integration of graphics into a presentation.

Conclusions

- o Conclusions were adequately separated from findings in 4 evaluations. In

two; they were mixed together. One set of conclusions was not provided either in English or before the oral presentation, and was thus not counted in this analysis.

- o 4 evaluations reached conclusions on all of their evaluation questions. For the remaining 3 we simply can't tell, since the evaluation questions were never listed.

- o Conclusions were adequately supported by findings presented in the report in 3 evaluations. In two more, some needed supporting facts were simply missing. In two others, the conclusions reached did not seem to agree with the evaluation's findings -- they were significantly more positive than the presentation of facts justified.

- o 4 evaluations provided the reader with broad conclusions that cut across and went beyond specific evaluation questions. Two others failed to reach these kind of cross-cutting conclusions and were faulted orally for taking too narrow a perspective.

- o Although participants did not have the benefit of knowing the "Emmy (Simmons) Test" for a good evaluation, i.e., *it makes relevant comparisons*, until after they had completed their evaluation reports, at least 2 of the 7 evaluations did this.

- One evaluation compared beneficiary responsiveness to different types of services provided by a single program. This evaluation also asked respondents about whether the program had changed their views.

- Another evaluation explicitly (albeit only partially) made quantitative comparisons of an NGO's work before, during and after the project period funded by World Learning.

Recommendations

- o 6 evaluations provided recommendations. For one we did not receive recommendations either in English or before the oral presentations were made.

- o In 4 evaluations, it was reasonably clear to whom the evaluation recommendations were directed. In 2 others, the intended recipient of at least some recommendations was unclear.

- o Evaluation recommendations seemed to be adequately supported by findings and conclusions in 3 reports. In two, "leaps" were noted, i.e., recommendations that seemed to jump well beyond anything suggested by the evaluation's findings and conclusions.

- o 4 of the evaluations made recommendations in all of the areas where the

potential for action was clear in the report. Two other evaluations missed opportunities in this regard. In one case, recommendations were made to World Learning, but none were provided for project itself. In another, some situations that had been noted in the evaluation's findings and conclusions were simply ignored when it came to recommendations.