

MONITORING, EVALUATION AND LEARNING FOR

FRAGILE STATES AND PEACEBUILDING PROGRAMS

Practical Tools for Improving Program
Performance and Results



SOCIAL IMPACT

of the population. The 1990s saw a 20% increase in the number of people aged 65 and over, with a 30% increase in the number of people aged 75 and over (Department of Health 1999). The increase in the number of people aged 65 and over is projected to continue, with the number of people aged 65 and over expected to rise from 10.5 million in 1999 to 12.5 million in 2011 (Department of Health 1999).

There is a need to understand the experience of older people with chronic illness, and to identify the factors that influence their experience. This paper reports on the findings of a study that explored the experience of older people with chronic illness, and the factors that influence their experience. The study was conducted in a general practice in the south of England. The study was a qualitative study, and the data were analysed using grounded theory (Glaser and Strauss 1967). The study was conducted in a general practice in the south of England. The study was a qualitative study, and the data were analysed using grounded theory (Glaser and Strauss 1967).

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Rolf Sartorius, President | Christopher Carver, Program Manager
SOCIAL IMPACT

DEVELOPED WITH SUPPORT FROM USAID'S OFFICE OF TRANSITION INITIATIVES AND
USAID'S CAPABLE PARTNERS PROGRAM

vi	Acknowledgements
vii	Acronyms
ix	Preface

Part I: Introduction

1	1. Purpose and Overview
	Overview
	Emerging “best practices”
	What do we need to monitor and evaluate?
3	2. How to Use this Guide
4	3. Seven Steps for Completing Your Performance Management Plan
	Step 1: Clarify objectives
	Step 2: Identify and adapt performance indicators
	-Characteristics of strong indicators
	-Select indicators
6	Step 3: Choose M&E tools and methods
7	Step 4: Assign clear roles and responsibilities for ME&L
7	Step 5: Adapt and pre-test ME&L tools and methods
7	Step 6: Plan to analyze data and use results
7	Step 7: Try it out!

Part II: Illustrative Indicators for FSP

9	How to Use Illustrative Indicators in this Section
10	1. Conflict Mitigation and Management
12	2. Media and Outreach
13	3. Advocacy
15	4. Transparency in Local Governance
17	5. Reintegration of Ex-combatants
18	6. Protection of Human Rights
19	7. Civilian Control over Military
20	8. Stronger Civil Society

Part III: ME&L Tools for FSP Programs

23	How to Use ME&L Tools and Methods Section
26	Tool 1: Action Evaluation
30	Tool 2: Advocacy Index
34	Tool 3: Appreciative Inquiry
40	Tool 4: Case Studies
48	Tool 5: Capacity Enhancement Needs Assessment (CENA)
62	Tool 6: Client Satisfaction Surveys
68	Tool 7: Direct Observation
72	Tool 8: Focus Groups
78	Tool 9: Four Levels of Training Evaluation
82	Tool 10: Key Informant Interviews
86	Tool 11: Conflict Mapping
94	Tool 12: Media Content Analysis
98	Tool 13: Media Outreach Measure
109	Tool 14: Mini Surveys
116	Tool 15: Organizational Capacity Assessment Tool
112	Tool 16: Social Capital Assessment Tool (SOCAT)
134	Tool 17: Story Telling

Additional ME&L Tools

138	Tool 18: Results Statement Worksheet
140	Tool 19: Indicators Worksheet
142	Tool 20: Evaluation Planning Worksheet
144	Tool 21: Sample TOR for Mid-term Evaluation
148	Tool 22: Sample TOR for Final Evaluation
150	Tool 23: ME&L System Checklist
156	Tool 24: Sampling Basics

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AE	Action Evaluation
AI	Appreciative inquiry
CBU	Confidence-building initiative
CDD	Community-driven development
CENA	Capacity enhancement needs assessment
CSO	Civil society organization
CBO	Community-based organization
FSP	Fragile states and peacebuilding
LG	Local government
MCAT	Media content analysis tool
ME&L	Monitoring, evaluation and learning
NGO	Non-governmental organization
OCAT	Organizational capacity assessment tool
OTI	Office of Transition Initiatives
PME&L	Participatory monitoring, evaluation and learning
PMP	Performance management plan
SOCAT	Social capital assessment tool
TDS-SL	Talking Drum Studio—Sierra Leone
USAID	United States Agency for International Development



The economic, social and security implications of fragile states are a critical concern for the international community. Fragile states face severe poverty and development challenges, and they share features of weak governance, failing public institutions, instability or open conflict and weak civil society. People living in fragile states are more likely to die early or suffer from chronic illnesses; and they are less likely to receive a basic education or essential health services.

International aid can make a real difference in addressing problems, if not sources, of fragility. When well targeted, managed and coordinated, a key conundrum of fragile states work is how to manage aid for results in environments that are socially, politically and economically volatile.

An important part of that challenge is how to design and manage assistance programs with realistic development outcomes, and then how to rapidly and systematically learn from experience so that we can adapt responses to address weaknesses, emerging threats and windows of opportunity.

Many organizations working around the world in fragile states and with peacebuilding and conflict management are facing similar challenges in finding practical approaches for monitoring, evaluation and learning (ME&L) to improve program performance and to increase accountability to local people and other important stakeholders.

ME&L in fragile states needs to be swift, safe and highly practical for making management decisions in volatile and often unsafe and difficult-to-access field environments. ME&L must not threaten the safety of participants or of evaluators. We need to access information in countries and regions where existing data and capacity for ME&L are limited.

Managers of fragile state and peacebuilding programs need to monitor their programs and their rapidly changing program environments closely. That way, they can make timely decisions to modify objectives and activities for maximum positive impact. ME&L in these contexts—and especially participatory ME&L—has good potential to benefit not only international funding organizations, but also local organizations and communities by enhancing local learning and by building collaborative capacities to help mend torn social fabrics.

ME&L in fragile states and for peacebuilding is a new technical area in the field of program evaluation. But there has been a great deal of recent innovation to develop practical approaches and to capture learning from programs so that they have greater potential to improve peoples' lives.

This guide consolidates a number of ME&L approaches that have been newly developed or contextualized for fragile states and peacebuilding programs. A range of qualitative, quantitative and participatory approaches are included as well as tools for strengthening ME&L systems at the project or organization level.

The approaches have come from bilateral and multilateral donors, local and international NGOs, consultants, and university groups from around the globe who were consulted in putting this guide together. Experience suggests that when organizations begin to adapt and use these approaches more systematically they become more successful in improving peoples' lives in fragile states and conflict prone areas.

Part 1
INTRODUCTION

1. Purpose and Overview

The purpose of this guide is to increase the effectiveness of fragile states and peacebuilding (FSP) programs supported by international donors, international and local NGOs, civil society groups and consulting firms through better and more systematic approaches to ME&L. Stronger ME&L also enables agencies and communities to learn more about what works well and what can be improved in their programs, how to consolidate good practices, document and share their successes and lessons learned, and what they can do to become more accountable to their stakeholders, including the groups they serve.

This guide is designed for use by all the same groups who carry out evaluations of FSP programs. The guide is also a tool for organizations building organizational capacity in ME&L.

OVERVIEW

The guide is organized into three main parts. Part I provides basic concepts and general guidance on developing and launching practical monitoring systems for FSP programs. This part should be used with project design tools such as the Logical Framework and Results Frameworks that are already well known to many organizations. For groups not familiar with these tools, appropriate references are provided in the Bibliography.

Part II contains a set of illustrative objectives and indicators for FSP programs drawn from a sampling of such programs around the world. This section provides a basic starting point for conceptualizing indicators to monitor and manage program results. Each of the illustrative indicators includes a definition and unit of measurement, a few words on the relevance of the indicator, and specific ME&L tools that can be used in combination with the indicator to monitor and evaluate performance.

Part III features a toolkit of 24 ME&L tools each tied to the illustrative indicators in Part II. These tools may also be used independently to design and conduct FSP evaluations. With its Summary Table of ME&L tools on page 22, part III is also

designed to serve as a quick reference to find the ME&L tools most appropriate to any evaluation tasks at hand.

Each tool listed here includes:

- Brief description of the tool and what it measures
- Advantages and disadvantages
- Costs
- Skills required
- Time required
- Step-by-Step directions for using the tool
- Sample of the tool
- Key resources

EMERGING “BEST PRACTICES”

FSP programs may cover a broad range of objectives. For example, these may range from local governance and legislative reform, to confidence building, advocacy, protection of human rights, media strengthening and reintegration of ex-combatants. This situation requires a similarly broad range of ME&L tools that will be practical (“practical” is defined as cost-effective and relatively easy-and-quick-to-use) in very challenging, politically volatile and rapidly changing environments.

ME&L Challenges in FSP

- Lack of access to information due to conflict and politicized nature of information in volatile environments
- Life-threatening security environments limiting access to certain areas or groups
- Flexible and changing program objectives requiring equally flexible approaches to ME&L
- Pressure to act quickly sometimes limiting ME&L establishment ME&L systems, especially in more volatile environments
- Difficulty linking program level results with increased peace and political stability

Over the past 10 years there has been a good deal of innovation and learning about performance monitoring and evaluation in FSP, with many examples of ME&L “good practices” emerging from around the world. For example, two cutting-edge approaches are: *Cognitive Social Capital Assessment Tool* which measures trust within and between communities; and *Appreciative Inquiry* which surfaces deep learning among program participants. This guide aims to capture and share a number of such innovations and “good practices” with the broader community of organizations working to support FSP.

Organizations working in peacebuilding are keenly aware of the need for ME&L approaches and tools to assess programs with “soft” objectives like building trust, confidence and security in conflict environments. A common perception in this community is that evaluation approaches designed for traditional development programs are not appropriate for such objectives. Instead, highly “context specific” approaches are required so as to take into account the needs, interests, social, political and economic context and indicators of success that are meaningful to the local groups on whom these interventions center.

Some of the most promising innovations have occurred where participatory ME&L (or PME&L) approaches has been adapted and modified for FSP. Participatory ME&L emphasizes collaborative analysis, action-learning and empowerment. These approaches are often well-suited to FSP objectives. To be most useful however, PME&L tools also must be adapted to specific contexts and conflict situations.

Although the guide is based on a wide range of experiences from NGOs, bilateral and multilateral donors from around the world, it can offer only a snapshot of promising ME&L approaches in a rapidly changing field. There is need for continued innovation and self-reflection among organizations using these approaches. With that we’ll continue to learn more about how these programs--and the organizations supporting them--can become most effective in reducing conflict and improving peoples’ lives in fragile states.

As with all toolkits of this kind, it is important to encourage experimentation, risk taking, involvement of local groups in ME&L and a view towards always improving. You can often overcome pitfalls along the way with commitment to using ME&L as a strategic management and real-time learning tool.

WHAT DO WE NEED TO MONITOR AND EVALUATE?

We know why ME&L is important. If used well, it leads to better programs, deeper learning and increased accountability, whether to funders or the affected people and communities. ME&L is critical to good management in organizations and it is integral to strategic thinking, planning and action.

Monitoring refers to managers’ routine, on-going use of primarily quantitative data to assess how programs are progressing toward planned targets, activities and objectives—for example the number of community member trained in conflict management skills, or the number of human rights violations reported in the media. Monitoring can cover a number of important performance issues including:

- Changes in the program environment
 - New tensions
 - New opportunities, such as progress in peace accords
 - Other changes in the local or regional political, economic, social and environmental setting that may affect program performance
 - Changes in US foreign policy interests and objectives
- Program progress
 - Progress in activities and outputs against planned milestones
 - Geographic coverage of the program
 - Outreach to specific client and beneficiary groups such as youth, women, the disabled, war victims, ex-combatants, etc.
 - Scope of media activities
 - Training and training outcomes

Monitoring is an internal activity and an essential part of good, day-to-day management. Monitoring draws on data within program's management system. The major function of monitoring is answering the implementation question "Are we doing the program right?" *Evaluation* on the other hand, asks broader management questions about "Are we doing the right program" and "How can we do it better?" *Formative evaluations* are conducted during the life of a program with a focus on improvement. In contrast, *summative evaluations* take place towards the end of the program and are used to judge its overall merit, worth or effectiveness.

Another way to think of evaluation is as a periodic assessment of the relevance, performance, efficiency and impact of a program in the context of its dynamic objectives. Evaluation should make use of monitoring data but evaluation is usually more analytic and more comprehensive (in the sense that it looks for unanticipated as well as anticipated program effects, be they positive or negative) and it often involves comparisons from outside the program—in time, area or population.

Some typical evaluation questions for FSP programs might include:

- Is the program relevant to the country's transition needs and institutional priorities?
- Is the program achieving its objectives and outcomes? Which objectives are and are not being achieved, and why?
- Are all subgroups in the target population benefiting from the project? Are any groups being excluded?
- What is the institutional impact on host-country institutions?
- To what extent does the program pave the way for longer-term, peace, social development and political change in the country?
- How likely is it that the benefits will be sustained after funding ends?

Many of these questions do not require a high degree of statistical precision, but they do require reliable answers. This means that the data

brought to bear on the questions have to be "good enough" to inform management decision-making so that programs can be improved and thus have a greater likelihood of accomplishing their objectives.

2. How to Use This Guide

The ME&L guide will make the greatest contribution toward better quality programs if it is used throughout each stage of your program's life cycle. The guide can be used to help strengthen your organization's strategic plan, to sharpen and strengthen program and project designs, and to strengthen implementation through better ME&L.

Use the guide while developing your strategic plan. The guide can add value to strategic thinking, planning and decision-making. It can help conceptualize your country strategic plan, and especially formulation of strategic objectives and how to measure them.

Use the guide to strengthen your program and project designs. Use Part II to help sharpen your objectives and definition of higher-level outcomes. As you analyze these and identify and select indicators you are better able to assess the realism of your program/project and its intended outcomes.

Use the guide to develop your performance monitoring plan (PMP). The PMP defines the essential ingredients for a practical ME&L system to support management of your program/project:

- Key performance indicators for each of the objectives/results
- Baseline and target values for the indicators
- Data collection tools and methods for the indicators
- Clear roles and responsibilities for data collection, analysis and reporting
- Plans for mid-term and final evaluations
- A timeline for important ME&L activities
- ME&L capacity building needs for your team and/or local and other organizations involved
- A budget for ME&L activities

Use the guide while implementing your monitoring plan. Use the step-by-step advice in Part III to guide collection, analysis, reporting and use of monitoring information.

Use the guide when preparing for mid-term and final evaluations. The guide can help you identify potential evaluation tools and methods for a mid-term or final evaluation. Share the guide with consultants or outside groups who may be assisting the evaluation.

Share the guide with other organizations involved in FSP. Effective and enduring results of FSP programs often depend on a unified front among organizations working on complementary activities in a particular country or region. In the long run, program effectiveness will also depend on the ability of partner organizations to monitor and evaluate their efforts, too.

3. Seven Steps for Completing Your Performance Management Plan (PMP)

The following steps are designed to assist you in further developing, refining, launching and testing a PMP for your program/project.

Step 1: Clarify objectives. The key to strong objectives is relevance, realism and results-orientation or the “three Rs”. “Relevance” means the objectives clearly reflect the needs and interests of specific stakeholder groups and also that they are appropriate to the cultural, social, economic and political environment. “Realism” means that the objectives are achievable given the time frame and resources your program puts towards the problems or opportunities in-country. “Results-oriented” means that objectives are stated as completed actions in the future using strong action verbs with clearly defined actors. It also means that the results are measurable. Clear objectives also explicitly mention the target/beneficiary group and geographic location for the intervention.

Here’s a simple example: “Rural communities in Kono District reintegrate their child soldiers.”

Use Tool 20 in Part III of this manual for strengthening your program and project objectives.

Step 2: Identify and adapt performance indicators. Performance indicators measure how well a program is achieving its objectives. Whereas objectives identify what we hope to accomplish, indicators tell us specifically what to measure to determine whether we are in fact accomplishing what we hoped. Indicators are often quantitative measures but they can also be qualitative.

The identification and adaptation of performance indicators is the heart of designing a practical PMP. This is also one of the most technically demanding aspects of program design. The illustrative indicators provided in the guide are meant to provoke your thinking about potential indicators for measuring objectives. However, a candidate indicator needs to be modified and pre-tested before adapting it for a program.

Following are some tips for identifying, selecting and adapting key performance indicators:

Characteristics of strong indicators. Strong indicators should be:

- **DIRECT.** A direct indicator closely tracks the result it is intended to measure. However, sometimes indicators may be proxies (i.e., indirect measures) if a direct indicator is unavailable or unfeasible to collect.

Objective

Citizens’ expand knowledge of their civil rights

Direct indicator

% survey respondents able to identify 3 or more key civil rights

Proxy indicator

Number of civil rights cases brought to court by citizens

- **OBJECTIVE.** Indicators must be unambiguous and operationally precise about what is being measured and what data are being collected and how. The indicator is also uni-dimensional, meaning that it measures one dimension of change at a time.

<i>Objective</i> Civilian exercise increased control over military
<i>Imprecise indicator</i> Number of meetings on military and security issues
<i>More precise indicator</i> Number of publicly advertised meetings on security issues as a result of the program

- **PRACTICAL.** This means that up-to-date indicator data can be made available when required for decision-making and be obtained at reasonable cost. With FSP programs the timeliness and practicality of data collection are critical issues.
- **ATTRIBUTABLE.** Indicators must measure changes that are clearly and reasonably attributable to your program. Attribution exists when there is a clear link between your objectives and the results being measured. A simple way to assess attribution: "If there had been no activity, would the measured change have been different?"
- **ADEQUATE.** Taken as a group, an indicator and its companions should comprise the minimum set necessary to measure progress towards the desired objective. Often, a combination of quantitative and qualitative indicators will provide a better picture of program performance. Fewer indicators are always better but this is particularly true in conflict and other environments where it is difficult to collect data.
- **DISAGGREGATED.** Indicators are disaggregated when they are broken down into meaningful subgroups. This helps to measure

the varying response of subgroups to interventions. For many programs it is often critical to disaggregate indicators by sex, ethnicity, religion, age or geographic location.

<i>Program objective</i> Citizens' expand knowledge of their civil rights
<i>Poorly disaggregated indicator</i> % survey respondents able to identify 3 or more key civil rights
<i>Disaggregated indicator</i> % survey respondents over age 18 (male/female) able to identify 3 or more civil rights in Luanda and Benguela districts

Defining program/project indicators is just as important as the content of the indicators selected. By involving local groups and local people in discussions about indicators, you can better adapt indicators that will be relevant and meaningful to the people who are supposed to benefit from your programs! For example, what local people define as signifying greater confidence or increased trust might be quite different than those defined by NGO staff.

Select indicators

Here are some basic process steps for developing indicators.

1. *Involve local people in indicator selection.* The heart of the matter is defining success in terms that are realistic and meaningful beneficiaries. You can get good ideas for indicators by asking local people "How would we know if we are successful?"
2. *Make a list of candidate indicators.* Based on the suggestions from beneficiaries and on your scoping of illustrative indicators in this guide and elsewhere, develop a list of candidate indicators to measure key program objectives.
3. *Assess candidate indicators.* Narrow down your list of candidate indicators by testing

them against the criteria for strong indicators above (Tool No. 20). You will also need to look at corresponding ME&L tools to select the most practical indicators.

4. *Select the best indicators.* From your narrowed list of candidate indicators, select the very best ones. Remember—less is always better!
5. *Enter the selected indicators in the PMP.* Once you have settled on indicators write them into your PMP.
6. *Check for alignment.* If your objectives and indicators do not align with your organization's strategy you might question whether your strategy or your program design needs to be modified.
7. *Set indicator targets.* This entails establishing certain values for indicators by certain points in time so you can monitor and manage project performance over time. This step is challenging since it requires estimating the amount and velocity of change attributable to your program in a highly volatile environment. In setting targets you should refer to baseline information (if available) and also to ME&L data from previous but similar programs in the same country or situation. As you implement the program you may need to revise the targets.

Step 3: Choose ME&L tools and methods. You will also need to consider whether ME&L tools and methods are available and appropriate for the indicators you are considering. Examine the trade-offs among the accuracy, practicality and cost of particular ME&L methods, where several methods exist for any given indicator. Of course, using one tool or method to collect data on related indicators will be more cost-effective.

Issues to take into account include:

- **DO NO HARM.** The implementation of ME&L tools/methods selected should in no way jeopardize the safety or well-being of local people. For example, a data-collection meth-

od that does not protect the confidentiality of victims of violence might lead to further harm.

- **FIELD ACCESS.** Tool selection and design must consider field conditions, such as access to conflict-prone areas, literacy levels, and weather, which may affect data collection.
- **CREDIBILITY OF METHODS TO DECISION-MAKERS.** Some indicators and related ME&L tools may be more credible to some decision-makers than to others. For example, one manager might find quantitative information (as from surveys) to be more credible and useful for management decision-making, whereas another may find qualitative information (such as case studies or story telling) most useful. Know your key ME&L users and data preferences.
- **EMPOWERING LOCAL GROUPS.** PME&L tools and methods, and especially those with a more participatory focus such as Appreciative Inquiry and Action Evaluation, have added potential to empower local groups, instill confidence and promote shared decision-making and collaborative action. These tools may go far to reinforce certain program objectives. On the other hand, they may require expert facilitation skills and related resources to be used effectively.
- **TIME, ACCURACY AND RESOURCE TRADE-OFFS.** ME&L tools typically vary in these regards. A confidence-building program may require a simple survey of program participants' attitudes and behaviors related to confidence and willingness to collaborate. On the other hand, several focus groups may be all that is needed for management decision-making. Generally, more participatory methods might take longer but they also tend to generate greater local commitment and action. Likewise, a larger sample survey might provide additional accuracy, and the ability to generalize findings, but it would also take a good deal more time and cost twice as much as the first option.

Step 4: Assign clear roles and responsibilities for ME&L. Dedicated staff are needed to coordinate and perform ME&L functions. At the same time roles and responsibilities need to be assigned for each step of the ME&L process—data collection, analysis, reporting and active learning. There also needs to be line items in project budgets to support ME&L. You need to carefully consider the skill profile of ME&L staff, consultants or firms that you intend to hire. If ME&L capacity building, participatory M&E or specific quantitative methods are part of the plan then these skills need to be identified and carefully outlined in the Terms of Reference for the ME&L positions. A full-time ME&L position on the implementation team is advantageous in terms of potential scope, coverage, continuous learning and responsiveness of ME&L activities. Hiring consultants or an outside firm provides additional capacity for carrying out more technically demanding ME&L tasks; however, ME&L costs will increase and you will need to bring outside groups up to speed on your organization’s approach.

Step 5: Adapt and pre-test ME&L tools and methods. Once you have selected ME&L tools and methods you will have to adapt them to your specific program requirements. This means you need to modify and pre-test your interview guides, simple surveys, questionnaires and participatory evaluation processes to fit your particular needs, time constraints, staffing and staff skills, budget and other requirements. You will also need to determine data collection needs and sample sizes for baseline data collection and on-going monitoring. (See Tool No. 24 on sampling for further information.)

Step 6: Plan to analyze data and use results. Planning for how you will analyze, present and disseminate ME&L data makes it more likely that it will be used for project decision-making. This step entails planning for: who will analyze the data; how they will be analyzed and how often; how data will be stored; how they will be presented, discussed and used by your team and other interested groups; and how ME&L information will be shared with key stakeholders such as community representatives, funders or local government officials.

Step 7: Try it out! This step involves writing-up your monitoring plan, testing it out, refining it and implementing it on an ongoing basis. The plan should not be static—it needs to help managers make decisions about whether and how to change activities and objectives; and then it needs to be revised accordingly.

At this stage, ensure that project staff and partners have sufficient training to undertake their ME&L tasks. In this step you will also undertake any baseline data collection activities, refine ME&L tools as necessary and review and refine reporting forms and formats to make sure they avoid duplication of information and eliminate collection of any unnecessary information.

When data and analysis begin to become available, project managers, staff and partners should meet to discuss results and develop follow-up actions to feed into management decisions. After testing the monitoring plan for several months your organization and partners should meet for a half-day to discuss how the system has been working and how it can be improved.

Involve Local Staff in ME&L

By involving local staff and community members in ME&L they become better equipped to manage peacebuilding and transition activities. Working closely with monitoring experts, local staff and community members can gain critical skills for assessing progress and improving results. This can be part of the legacy that donors and NGOs can leave behind.

Part 2

ILLUSTRATIVE
INDICATORS
FOR FSP

How to Use the Illustrative Indicators in this Section

This section provides sample indicators for some objectives typical of FSP. *Output* indicators measure the immediate deliverables. For example, “200 community leaders acquire conflict resolution skills in a 30-hour training program.” *Outcome* indicators refer to measures of higher-level objectives or results that are attributable to a program. For example, “Community leaders use new conflict management skills to resolve community disputes” or “Increased social cohesion and trust in targeted communities.”

The sample indicators can serve as rough models for thinking about how to measure and manage various kinds of project objectives. Remember, the most important aspect of selecting indicators is to

ground them in local understandings of progress and success. This means you must include local stakeholders in indicator discussions.

The following lists of indicators are not exhaustive. Rather, they are a set of reference points as you focus in on ME&L and program design. It is essential to adapt indicators and to develop completely new ones that better reflect locally defined and realistic benchmarks for program performance.

As you select and develop indicators, also look at their corresponding data collection tools and methods in Part III and critically weigh the advantages and disadvantages of each one. This method will make for better-informed choices about which methods are best for your program. Finally note that the indicators listed presume that you have already checked that they can be attributed to your program.

CONFLICT MITIGATION AND MANAGEMENT

Peacebuilding programs may employ a range of strategies to mitigate and manage violent conflict. Where political accords have not yet been concluded, sponsoring organizations may facilitate negotiations between the principle parties. Engaging local communities in the reconciliation process, and providing them with “safe spaces” where rival groups can work together on shared concerns, is a core feature of some programs because such engagement strengthens the foundations for peace.

Objective: Increased Tolerance and Reconciliation

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. Increased social cohesion, trust and tolerance in targeted communities	Unit: individuals, households or organizations. The most practical unit is probably individuals. Disaggregate by sex, ethnicity, religion, age, locale, etc.	Social capital assessment tool (SOCAT); Capacity enhancement needs assessment (CENA); Focus groups; Direct observation; Mini surveys	16 5 8 7 14
2. Progress against indicators of reduced conflict/tension defined by community groups in program supported areas	Unit: TBD through participatory planning process with program supported communities	Action evaluation; Appreciative inquiry; Story telling; Conflict mapping	1 3 17 11
3. Reduced incidence of violent conflict reported by media or by watchdog groups in targeted communities	Sponsoring organizations need to define what kinds of conflict and which media outlets. Disaggregate victims by sex, ethnicity, age, etc.	Media content analysis tool; Reports from watchdog groups	12
4. Increase in the # of community projects where parties to the previous conflict cooperate	Sponsoring organizations and grant recipients need to mutually define “cooperate”. Disaggregate “parties” by location, ethnicity, etc	Mini survey; Focus group; Appreciative inquiry;	14 8 3
5. Increase in the # and % of targeted communities that have assimilated returnees	Sponsoring organizations need to define “assimilated” and disaggregate returnees by sex, ethnicity, etc.	Key informant interviews; Focus groups; Story telling; Direct observation	10 8 17 7

Objective: Increased Tolerance and Reconciliation

<i>Output Indicator</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	
1. # and % of targeted groups trained in peaceful conflict resolution methods as a result of program activities	Indicator should set standards for content and duration of training (3-day workshop for example) and should be disaggregated by gender, ethnic group, location, etc	Four levels of training evaluation; Focus groups with trainees six months after completion of training	9
			8

Program Objective: Increased Public Participation in Peace Processes

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
See outcome indicators 1-3 above			
4. # of peace marches, rallies, protests organized by citizens and CSOs with support from sponsoring organization	Unit: # of grants targeted for this purpose; # of planned peace activities; estimated # of participants in activities	Project records and grant reports; Key informant interviews	11
<i>Output Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of program sponsored public outreach campaigns encouraging public participation in peace process	# of grants supporting peace-oriented publicity outreach activities; rough estimate of # individuals reached by messages	Project records and grant reports; Key informant interviews	10

MEDIA AND OUTREACH

Media activities are particularly well-suited to transition and fragile state programs because they convey messages of peace and democracy to large numbers of people quickly. Independent and balanced sources of news are powerful tool not only for shaping expectations and transforming political culture, but also for magnifying the impact of other programming. Assistance in this area might include development of media infrastructure, broadcasting messages of tolerance and training journalists.

Program Objective: Increased Credibility and Impact of Media Channels

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of targeted media outlets that have high credibility and impact ratings	Disaggregated by type of media channel and geographic reach	Media outreach measure	13
2. changes in media coverage, placement and tone of selected topics of interest to sponsoring organization	Sponsoring organization needs to define topics of interest, types and geographic scope of media outlets that it is interested in	Media content analysis tool	12
3. Increase in quantity of news sources/media outlets (radio stations, newspapers, etc)	Unit: new media outlets started with direct/indirect program support	Key informant interviews with media representatives and knowledgeable citizens in target areas	10
4. Increase in the # and % of people listening to a particular show, reading a particular paper (as compared to before program support)	Unit: # and % of target population disaggregated by age, sex, ethnicity listening to specific shows.	Mini surveys	14
5. Increase in the # of non-state- run news sources	Unit: non-state media outlets	Key informant interviews with media representatives and knowledgeable citizens in target areas	10

ADVOCACY

Some organizations working in fragile and transition states seek to build the capacity of civil society organizations (CSOs) to advocate on key social issues and to increase citizen participation in advocacy. Activities include advocacy training and technical assistance for CSOs as well as operational capacity building for advocacy groups in subjects such as financial management, proposal development and strategic planning and management.

Objective: Increased CSO Capacity to Advocate Key Issues

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of policy initiatives in which CSOs participate	Sponsoring organization needs to define what constitutes an initiative	Mini surveys with a sampling of target CSOs	14
2. # of target CSOs showing improvement on advocacy index	Score derived for each target CSO based on improvement in advocacy skills	Advocacy index using simple survey or key informant interviews with sampling of target CSOs	2
<i>Output Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # CSOs/individuals who receive advocacy training	Content and duration of training should be specified	Project records; Level 1 in Four levels of training evaluation	9
2. # of individuals who express satisfaction with advocacy training	Satisfaction is frequently measured on a 5-point scale and can be used to assess satisfaction with specific topics	Level 2 in Four levels of training evaluation	9
3. # of CSOs who develop practical advocacy action plans during training	The quality of advocacy action plans can be assessed using a simple checklist	Level 3 in Four levels of training evaluation	9

ADVOCACY

Objective: Increased Political Participation of Marginalized Groups in Advocacy

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of groups representing marginalized constituencies working to affect government policy	Sponsoring organization will need to clearly specify which marginalized groups are targeted. They will also need to set some parameters regarding the amount and quality of advocacy	Mini survey or Key informant interviews of the marginalized groups identified to see if they undertake political advocacy	14 10
<i>Output Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of representatives of marginalized groups receiving advocacy training	Indicator should be sex-disaggregated and possibly by other parameters such as location, income, etc.	Four levels of training evaluation (see Output Indicators just above)	9

TRANSPARENCY IN LOCAL GOVERNANCE

Some fragile states programs work to foster greater transparency, responsiveness and accountability of local government (LG) officials and to expand the role of citizens in public decision-making. Program activities might include sponsoring town hall gatherings and community meetings, developing representative community councils, facilitating collaborative project development and implementation and ensuring that communities are fairly represented in terms of age, sex, ethnicity, religion and political affiliation.

Objective: Increased Transparency, Responsiveness and Accountability in Local Governance

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. Improvement in CENA score measuring degree of collaboration among local government, CSOs and CBOs	Scaled measure of collaboration among actors in targeted areas.	Capacity enhancement needs assessment (CENA);	5
2. Increase in the # and % of citizens in targeted local government units who feel that local government is competently addressing their priority concerns	# and % of target population disaggregated by sex, ethnicity or other important divisions	Mini survey of citizen attitudes and perceptions in targeted locales	14
3. Increase in the # and % citizens attending and participating in local town meetings to discuss issues of common interest and priorities	% of target population disaggregated by sex, ethnic group, locale, etc	Direct observation at town meetings in targeted locales	7

TRANSPARENCY IN LOCAL GOVERNANCE

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Objective: Increased Transparency, Responsiveness and Accountability in Local Governance

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of ex-combatants reintegrated into communities	Ex-combatant groups should be disaggregated by age, gender, locale, etc	Community surveys	14
2. # and % of ex-combatants and their families able to maintain or improve standard of living commensurate with their communities	Ex-combatants groups need to be disaggregated by age, sex, locale, family size, etc.	Focus groups with demobilized soldiers. Separate focus groups with families and community members.	8
<i>Output Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of demobilization training exercises carried out by sponsoring organization	Measurement should include content and duration of training; # and breakdown of participants by ethnic group, sex, age, and community of origin	Project records; Key informant interviews; Focus groups with veterans and their families.	10 8
2. #, type and value of reintegration packages delivered on time to each ex-combatant family through program activities	Content of reintegration packages and timeliness need to be defined; recipients to be disaggregated	Project records; Key informant interviews; Focus groups; Mini surveys with ex-combatants & families	10 8 14

REINTIGRATION OF EX-COMBATANTS

Some sponsoring organizations may work to provide reintegration assistance to former fighters and combatants who want to demobilize. Ex-combatants receive training to reenter civilian life, as well as safety net payments and access to grant funds for starting business. Youth reintegration training can provide a non-formal education network for young ex-combatants developing new skills and attitudes to lead to more productive lives.

Objective: Soldiers/Combatants/Youth Reintegrated into Civilian Life

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of ex-combatants reintegrated into communities	Ex-combatant groups should be disaggregated by age, gender, locale, etc	Community surveys	14
2. # and % of ex-combatants and their families able to maintain or improve standard of living commensurate with their communities	Ex-combatants groups need to be disaggregated by age, sex, locale, family size, etc.	Focus groups with demobilized soldiers. Separate focus groups with families and community members.	8
<i>Output Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of demobilization training exercises carried out by sponsoring organization	Measurement should include content and duration of training; # and breakdown of participants by ethnic group, sex, age, and community of origin	Project records; Key informant interviews; Focus groups with veterans and their families.	10 8
2. #, type and value of reintegration packages delivered on time to each ex-combatant family through program activities	Content of reintegration packages and timeliness need to be defined; recipients to be disaggregated	Project records; Key informant interviews; Focus groups; Mini surveys with ex-combatants & families	10 8 14

PROTECTION OF HUMAN RIGHTS

To promote national reconciliation, sponsoring organizations may support activities designed to increase understanding of human rights, expand investigation and discussion of past war crimes and include minorities in political decision-making. Organizations may also provide technical assistance to Truth and Reconciliation Commissions and other bodies to strengthen their capacities to investigate human rights abuses.

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # and type of human rights violations	# and kinds of human rights violations reported in local media, or by local watch groups. Violations should be disaggregated by sex, ethnicity, location	Media content analysis tool; Focus groups; or Key informant interviews	12 8 11
<i>Output Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. # of trained human rights monitors deployed	Sponsoring organization needs to define type and duration of training and deployment	Project records; Key informant interviews	10
2. # and membership of human rights advocacy groups in areas with program activities	# of advocacy groups that identify human rights as part of their charter or mandate	Key informant interviews; Mini survey with local advocacy groups/NGOs	10
3. Creation of a functioning human rights commission, human rights courts, or ombudsmen	Sponsoring organization needs to define "functioning": --legal authority to investigate --actively investigating cases, etc	Key informant interviews with commission members	10
4. % increase in # of citizens who know how to access the legal system	Disaggregate by sex, ethnicity group. Unit: % correct to 5-10 basic questions about accessing legal system	Mini survey	14
6. Increase in # of public defenders	Definition: attorneys the state pays to defend the poor. Unit: No. defenders per 100,000 pop	Court records; Client satisfaction surveys to assess quality of services.	6

CIVILIAN CONTROL OVER MILITARY

Some sponsoring organizations build civilian capacity for oversight of the military and promote understanding of their respective roles. Their activities may ensure that civil servants, parliamentarians, and civil society develop the appropriate skills and understanding of security policy-making and democratic control of uniformed services. Some organizations might also work with civilian organizations to design military reform proposals.

Objective: Increased Civilian Control over the Military

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. % population in program areas that believe military is responsive to civilian concerns	% civilian population responding to 5-10 questions on military responsiveness. Disaggregate by age, sex, ethnicity, etc	Mini surveys, Focus groups	14 8
<i>Output Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. Increase in # of public meetings on military and security issues and civilian military issues	Need to define what kind of meeting topics /content are desired	Key informant interviews with civilian and military representatives	10
2. Increase in the # of balanced TV and radio broadcasts and newspaper articles discussing military and security issues	Sponsoring organization needs to define what trends in civilian-military relations it is seeking to track	Media content analysis tool	12
3. Increase in the # of mechanisms (such as citizen participation in forming and reviewing security rules and regulations, complaint boards, public hearings) for control over security matters	Two Units: 1) citizen participation in existing accountability mechanisms and 2) formation of new mechanisms	Key informant interviews with civilian and military representatives	15

STRONGER CIVIL SOCIETY

Some sponsoring organizations seek to increase civil society's participation in political transitions and promote the development of peaceful and democratic societies. Typical activities might include support for organizations and community groups engaged in voter and civic education, election monitoring, political reconciliation, human rights, advocacy training and good governance. Other activities might include material and technical support to national and local civil society groups undertaking innovative peace projects.

Objective: Expanded Civil Society

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
1. Creation of legal mechanism to support civic organizations	# legal frameworks and other mechanisms for the formation, functioning, and protection of civic organizations	Key informant interviews with civic organization leaders	10
2. Increase in the # of civic organizations	# of registered civic organizations in program supported areas.	Key informant interviews with civic organization members	10
3. Increase in the # and % of citizens who are members of civic organizations	# of citizens as formal members of civic organizations; % of citizens out of total pop in targeted areas who are CSO members	Key informant interviews with civic organization leaders; organization membership rosters	10
4. Increase in the # and % of civic groups representing marginalized or disadvantaged citizens	Sponsoring organization needs to specify which marginalized groups are targeted.	Key informant interviews with members of civic organization and disadvantaged groups	10

Program Objective: Increased Effectiveness of Civil Society Organizations

<i>Outcome Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
# of targeted CSOs demonstrating improvements in organizational self-assessments or capacity ratings	Sponsoring organization needs to specify which aspects of organizational effectiveness are targeted, e.g. service delivery, advocacy, leadership, financial sustainability, etc	Organizational capacity assessment tool (OCAT); Appreciative inquiry	15
			3
<i>Output Indicators</i>	<i>Definition and Unit of Measurement</i>	<i>Data Collection Methods</i>	<i>Tool #</i>
# and kinds of organizations that receive capacity building support from sponsoring organization	Sponsoring organization need to define what types of capacity building activities are provided	Project records; Four levels of training evaluation (depending on interventions)	9
Increase in the # of advocacy campaigns conducted by CSOs	Sponsoring organization needs to define what kinds of advocacy campaigns are important.	Advocacy index; Key informant interviews; Mini surveys of targeted CSOs	2
			10 14
Increase in the # of CSOs publishing bulletins (newsletters, reports) or that initiate media reports on their activities	Sponsoring organizations needs to define what kinds of published content are most important. The indicator should also set standards for frequency of reporting	Review of target CSO documents; Key informant interviews with target CSO leaders and media representatives	10

Part 3
ME&L TOOLS FOR
FSP PROGRAMS

How to use the ME&L tools and methods section

Table A below provides an overview of ME&L tools described in this section. These have been proven effective in field use by organizations working in fragile states. Each tool is keyed to specific program indicators in Part II. The tables of illustrative indicators in Part II can help you identify the most appropriate ME&L tools. Or you might simply scan Table A to spot promising tools to help evaluate your programs.

Once you identify some promising tools for your project, read the summary for each one, to see what it measures, its advantages, disadvantages, and the time, skills and cost required to use it. You should also refer to Part I, "Choose ME&L Tools and Methods" to help you decide whether the tool you are considering is the most appropriate one for your application.

Once you have identified one, or more tools, consider whether to combine them. For example, if you choose Tool 14: Mini Surveys you might combine it with Tool 24: Sampling Basics to get the best result. Likewise, think about how to modify and adapt tools to fit your specific needs.

Once you have selected, modified and adapted tools for your project make sure to translate, *back-translate* and pre-test them in the field before attempting to use them more widely.

Lastly, before you go further with data collection, ask the management question: 'If we had the data, how would we actually use them for management decision-making, learning or accountability purposes?' *If you can't easily answer this question, then you probably shouldn't collect those data!*

Table A: Overview of ME&L Tools for Fragile States and Peacebuilding Programs

No.	<i>Name of Tool / Method</i>	<i>What it Measures-- As a Result of Program Activities</i>	<i>pg</i>
1	Action Evaluation	Performance of peacebuilding programs against locally-defined indicators of success	26
2	Advocacy Index	Advocacy capacity and results of program supported advocacy activities	30
3	Appreciative Inquiry	Community strengths, best practices and hopes for a preferred future	34
4	Case Study Tool	Outcomes of peacebuilding and fragile states programs from in-depth participant perspective	40
5	Capacity Enhancement Needs Assessment (CENA)	Scope and degree of collaboration among local governments, CBOs and NGOs	48
6	Client Satisfaction Surveys	Client satisfaction with quality of program or locally provided services	62
7	Direct Observation	Participant response to program interventions in their natural setting	68
8	Focus Groups	Participant perceptions, reactions and behavior changes	72
9	Four Levels of Training Evaluation	Uptake and application of newly acquired training, knowledge, skills and behaviors	78
10	Key Informant Interviews	Respondent knowledge, attitudes, perceptions vis-à-vis issues of interest to sponsoring agencies	82
11	Conflict Mapping	Changes in conflict patterns in the community	86
12	Media Content Analysis Tool	Changes in media coverage of selected topics over time	94
13	Media Outreach Measure	Credibility and impact of media outlets supported by program activities	98
14	Mini Surveys	Changes in client attitudes, perceptions or behavior as a result of program activities	104
15	Organizational Capacity Assessment Tool (OCAT)	Changes in NGO/CBO capacity	116
16	Social Capital Assessment Tool	Changes in trust, confidence, collaboration among individuals in targeted communities	112
17	Story Telling	Participant's in-depth experiences in their communities and results of programs	134

Other M&E Tools

<i>No.</i>	<i>Name of Tool/ Method</i>	<i>What it Measures-- As a Result of Program Activities</i>	<i>pg</i>
18	Results Statement Worksheet	Strengthens project/program objectives	138
19	Indicators Worksheet	Strengthens project/program indicators	140
20	Evaluation Planning Worksheet	Strengthens evaluation design	142
21	Sample TOR for Mid-term Evaluation	Template for writing strong TOR	144
22	Sample TOR for Final Evaluation	Template for writing strong TOR	148
23	ME&L System Checklist	Strengthens design of ME&L systems	150
24	Sampling Basics	Overview of practical sampling strategies	156

Tool 1: Action Evaluation

OVERVIEW

Action Evaluation (AE) is a participatory project design and management process that sponsoring organizations can use to plan, implement and evaluate locally owned and driven peacebuilding activities. The approach, developed by the Aria Group, has been used in over 60 conflict management projects around the world. AE provides local groups with a systematic approach to build consensus on a common vision, objectives and standards of success for a potential project and then to track progress towards projects objectives through a process of assessment and action to improve the results.

WHAT IS IT?

AE is a three-tiered process for helping multiple individuals and groups collaboratively set and implement a value-driven agenda for change. Based on action research, conflict resolution and organizational learning theory, AE combines consensus building with action to guide change in complex environments. An effective and systematic social change and participatory planning process, AE focuses on participants' goals, values and ideas for action. Participants envision and foster lasting change by building consensus at three levels:

1. Individual – Potential participants first articulate their individual goals, values and action ideas for a project by responding to a hard copy or web-based questionnaire about WHAT they envision, WHY they care, and HOW they think the change can happen.
2. Group – Through facilitated meetings, committed participants then reach consensus with members of their own group about their shared, intra-group goals.
3. System - Finally, group representatives reach consensus on inter-group or system-wide goals and action plans. Then they establish action change teams to design and implement agreed upon projects or changes collaboratively.

WHAT CAN WE USE IT FOR?

AE is one of many approaches that sponsoring agencies can use to involve communities in collaboratively defining, promoting and assessing the success of their programs. In the process, the participation and ownership of individuals and groups to play an active role in supporting peacebuilding initiatives is enhanced.

AE is particularly effective when groups are dispersed and not communicating or coordinating well across their differences. AE can be used at the organizational, community, and the provincial level depending on the scope and depth of the desired programming.

ADVANTAGES

- User-friendly and flexible approach used for many conflict management projects
- Builds capacity of local groups in participatory planning and management.
- Fosters collaboration and participation, enables groups to constructively engage conflict, and gives voice to those traditionally left out of decision-making.
- Builds local ownership of projects and puts on-going evaluation and project improvement in the hands of project participants
- Can provide systematic written documentation of goals, values, stories and results for project management and reporting purposes.

DISADVANTAGES

- Can be time consuming especially for larger projects.
- Likewise for projects that tackle root causes or fundamental conflict issues, plural meetings will be needed.
- Requires good facilitation skills, cultural awareness, sensitivity to the stakeholder groups and an ability to engage conflict.
- Requires active participation and engagement by the sponsoring organization and the targeted communities.
- Requires participant literacy for the questionnaire; otherwise, interviews are a more costly means.
- Must be done from project start. Cannot be added-on after a project/grant is launched.

COST

The cost AE greatly depends on the size and scope of the project. Costs include AE training for staff from the sponsoring organization, and some ongoing support and coaching as necessary. Training of trainers and building the capacity of partner organizations to internalize the AE process can reduce costs over the long run.

SKILLS REQUIRED

These include group facilitation skills, experience in qualitative data analysis and cultural sensitivity.

TIME REQUIRED

The time required to complete an AE process depends heavily on the scope and depth of the project. Also, it is largely based on whether the participant data is collected by surveys, interviews or on-line questionnaires. Once the qualitative data is collected, the analysis is relatively quick and easy. A time estimate might include one-two weeks of facilitator support during the participatory planning phase and then a few days of follow-up support to facilitate groups in the assessment phase.

STEP-BY-STEP APPROACH

Before AE begins, an analysis of the desired depth, scope and impact of the project is needed as well as an understanding of the demographics, key stakeholders and political situation in the post-conflict community. Beyond Step 0, Steps 1 through 4 require about 4 hours each.

STEP 0: DATA COLLECTION

AE begins by gathering individual data from respondents regarding their goals, values and ideas for action through surveys, interviews or an online questionnaire. Before the data are gathered, project managers must decide on: the What, Why and How questions; the groups being targeted for interviews; and the best way to elicit these groups' involvement.

As part of the questionnaire, respondents' are asked to fill out a number of demographic fields, including name, address, position, identity group, etc and whether or not they are interested in participating in a feedback session. Each of these questions is designed for the specifics of a project. Once respondents' demographics have been supplied, they are asked to answer the following questions:

- WHAT are your goals for (this project, your organization, your community, etc)?
- WHY do you care about these goals?
- HOW do you think these goals can be best accomplished?

This "what, why, how" inquiry is the core of the AE questionnaire, which must be customized for each project. Data can be collected manually through a simple survey or via interviews. They can also be collected through special on-line software that can be translated into any language.

STEP 1: INDIVIDUAL GOAL ANALYSIS

Once gathered, data are then analyzed by stakeholder groups and prepared for discussion in a series of individual meetings. First, the action evaluator reads all participants' goals and looks for common themes throughout. For example, if several people in the group want to create a re-development plan to make their community more secure, then the facilitator tags this as, "Make Village a Safer Place" and puts all similar goals under this category. Four to five tags will usually be created for each group. Individual goals that do not fit into a group category will be placed in a unique/contrasting category. The shared goals identified by the facilitator are given back to participants at the feedback session, with their correlating individual goals listed underneath.

STEP 2: INTRA-GROUP FEEDBACK SESSION

During this step individuals meet with others larger identity/stakeholder group. As many people as want can participate in this session. There are up to ten participants at a table, and each table has a designated local facilitator and note-taker. At this face-to-face meeting, the action evaluator leads a discussion about why individuals care about their goals, i.e., what stories, experiences, beliefs underlie these goals. Note-takers record the ensuing discussion in a notebook or on a computer.

Everyone has an opportunity to speak. If someone is uncomfortable s/he can simply read the "why" statements s/he filled out on the questionnaire. During the stories, the local facilitators look for one or two words that embody what a person is saying and lists it above his/her stories. These are called "passion points".

Next, participants negotiate a platform of shared goals using the tags created by the action evaluator. Each shared goal is flip-charted in front of the group. Participants are encouraged to add, delete and change the statement until there is a goal everyone can agree on. Then the new goal is voted on. This process is done for all 4 to 5 goals generated during the previous step. The product of this facilitated value discussion and goal negotiation process is a consensus platform of goals and a set of shared values for that stakeholder group.

If the group is large, representatives from each table are chosen to participate in the next intergroup session. If the group is small, everyone can do so. Typically the second meeting is scheduled within a few days of the first.

STEP 3: PROJECT LEVEL ANALYSIS

After the intra-group feedback session, data are re-organized according to the goal consensus reached by stakeholder groups. These consensus goals constitute the project-level unit of analysis from which the action can extract consensual themes.

Again, this evaluator formulates 4 to 5 statements that summarize themes. The evaluator follows the same process as before. The main difference is that the aim now to reach consensus on overarching goals across a wider number of stakeholder groups. The latter goals are compiled with the shared goals from the previous meeting, to be handed out to participants at the next meeting.

STEP 4: INTERGROUP MEETING

Next, a community-wide meeting is convened. Here, the individuals chosen from each of the stakeholder groups in the inter group meetings come together to negotiate a new platform of what goals shall be prioritized by the entire organization, project or community.

The shared goals coalesced by the action evaluator are flip-charted and each goal and is voted on. Once all the goals are agreed upon, the group discusses how to put the plan into action.

STEP 5: ACTION PLANNING

At this point, Change Teams¹³ are organized around each goal. Each team is charged with developing operational plans to accomplish its assigned these goal. Several tools are available for such action-planning, including scorecards, logframes and action planning templates. The action planning template allows the group to list their action items, passion points, success criteria (indicators), resources needed, next steps, who is responsible, who else needs to be consulted, a time frame for all the foregoing, and finally, the way in which the proposed actions fulfill people's values.

STEP 6: ONGOING MONITORING AND EVALUATION

AE brings change teams back together in workshops to assess progress on their shared goals and objectives and periodic action plans. Typical evaluation questions include: How well are we fulfilling what we are deeply committed to here? Have we accomplished the action goals we have set out to do? In that process of have we made this village more secure? If not, why?

The AE process empowers groups to constantly monitor and reflect on their accomplishments and why accomplishing these goals is important to them individually and as a community. Groups ask themselves, "Since our last meeting what have we learned, how have we fulfilled our goals/values, how not? How do we rethink what we are doing to make sure that we are accomplishing our aims, as measured by our outcome indicators?" This process of evaluation is dynamic, and groups typically revise goals and indicators as they learn and advance in their change process.

RESOURCES

<http://www.ariagroup.com>

<http://aepro.org>

<http://www.beyondintractability.org>

¹³ The change team can be a small, indigenous organization, various organizations working in the same community or organizations teamed with community participants and the sponsoring organization.

The Stara Zagora Multi-Ethnic Commissions

BACKGROUND

The AE process was used in the creation of multi-ethnic commissions in several Bulgarian towns. The one we are highlighting are those of Stara Zagora's. The project was sponsored by CDRA, who had been working in Bulgaria for several years applying conflict resolution principles and techniques to build cross-cultural cooperation between the ethnically Bulgarian majority and several minority groups, including Roma (Gypsies) and Turks. Funded by the Pew Charitable Trusts and Soros, the project was originally conceived as training in mediation, facilitation, and dispute resolution. But CDRA later decided that AE would be the most effective means of forming the multi-ethnic commissions.

This case involved three stakeholder groups: (1) the sponsors, CDRA; (2) Conveners, a group of Bulgarians associated with Soros; and 3) people from the Stara Zagora Commission coming from a variety of professions and ethnic groups.

The people recruited for the Commission shared a number of goals. Most revolved around helping minorities and the poor (e.g., to find jobs, improve their education and healthcare, cultivate their young people) and overcoming discrimination against and isolation of minorities. A majority of the stated motivations concerned the plight of Roma, and roughly half of the participants were Roma. The conveners also stated goals related to improving interethnic relations: increasing tolerance and understanding, resolving intercultural conflicts and integrating minorities into the broader society.

INTER-GROUP DATA ANALYSIS

What: The three groups fell along a spectrum of goals for the commission. At one end was charitable assistance to minorities. At the other was building a culture of dialogue and democracy.

Two or more groups shared a number of goals in between. Some create fora, structures, or models for local problem solving and intercultural understanding. Others wanted to enhance intercultural understanding and prevent or resolve ethnic conflict. Some stakeholders shared goals of reducing discrimination against minorities. However, when the two ends of the spectrum were compared, from promoting democratic dialogue and enhancing interethnic relations to providing direct aid to poor minorities, the contrast was considerable.

So, a newly-articulated mission struck a balance between integration and acceptance of minorities and, via such, concern for the well-being of Bulgarian society as a whole.

How: There were numerous shared responses to the "how" question across groups. Each group wanted to institutionalize and strengthen the commission. The sponsors and conveners wanted to bring people of various ethnic groups into contact. The conveners and participants wanted to collaborate with other NGOs, local government and other institutions. The conveners and participants wanted to aid children in several ways (such as helping them stay in school), and use experts inside or outside the commission to achieve their goals.

CONCLUSION

As a result of the AE process, all participants articulated a manageable number of projects (reviving Roma crafts, cataloguing truant children, and preventing drug use in schools) on which they will focus their efforts, and with which they agree to focus mutual efforts. Since the Commissions themselves are formed of members of different ethnic groups, they foster inter-ethnic problem-solving and active cooperation. As a learning organization, Stara Zagora constantly evaluates its progress and revises its activities based on the needs/demands of the ever-evolving and pluralistic Bulgarian community.

Tool 2: Advocacy Index

OVERVIEW

The Advocacy Index helps sponsoring organizations to understand advocacy capacity-building needs and to measure the effectiveness of such efforts among citizens, CSOs or CBOs. The Index assesses a group's capacity to: (1) identify timely advocacy issues, (2) mobilize advocacy resources, (3) formulate advocacy strategies and action plans, (4) develop advocacy networks, (5) implement advocacy campaigns, and (6) follow-up on the campaigns. Of course it is first necessary, in program design to define whose needs and interests are to be included and how differential impacts and conflicting interests are to be addressed?

WHAT CAN WE USE IT FOR?

The Advocacy Index can be used to as both a baseline assessment and performance monitoring tool to measure the existence, growth and/or effectiveness of: an empowered (informed and active) citizenry; a strengthened civil society; and a policy campaign. In addition, the index helps quantify largely subjective assessments about advocacy work. It can also measure results of advocacy capacity building efforts. To be even more rapid, selected questions from the index can be used as part of a mini survey.

ADVANTAGES

- Can assess and compare advocacy capacity of multiple organizations
- Provides numeric ratings and quantifiable results from subjective assessments because it allows raters to think comparatively about the items—which ones are we doing well on, and which ones not. Then items are scored accordingly.¹³
- If applied in a participatory way, this can help organizations better understand and define their priorities for advocacy capacity building
- Flexible, i.e., you can use the whole instrument or shorter versions of it

¹³ Use of comparative judgments is one reason why it is good to have observers do the rating when possible, so they can see the variations among CSOs, for example, and rate them comparatively

DISADVANTAGES

- Difficult to compare different types of advocacy interventions.
- Difficult to attribute advocacy activity to intended outcomes unless tracked at different stages and levels.
- Differences in advocacy efforts and indirect types of impacts make standardized guidelines for measurable indicators and assignment of attribution extremely problematic.

COST

Can range from low to medium, depending on the number of indicators, the depth of information sought, and the number of CSOs monitored and evaluated. Analytic comparisons among and between different CSOs will naturally increase costs.

SKILLS REQUIRED

Group and facilitation process skills if used semi-formally in an organizational context with a group of CSO members. Basic survey-design and interviewing skills if used as a mini survey. In all case, analytic skills.

TIME REQUIRED

For use of full instrument in group setting, one-half to one day per organization. One hour per organization if used in a mini survey format. Considerable additional time needed for analysis and report writing.

STEP-BY-STEP APPROACH

The Advocacy Index can be adapted for several formats including mini surveys, focus groups or participatory planning workshops within an advocacy organization. Each format requires a slightly different approach.

STEP 1: PLAN THE ASSESSMENT

Define the purpose of the advocacy assessment. Is it for baseline assessment and planning purposes or is it to assess the efforts to build CSO capacity? Accordingly, decide which organizations will be assessed. If your organization has supported many (over 20) CSOs it may want to sample only some of them using a purposeful sampling (see Tool 24 on Sampling). If you have supported less than 20

of them consider using the index with all organizations. Also, decide which elements of advocacy capacity you are most interested in assessing—timeliness of advocacy issues, resource mobilization, formulation of advocacy strategies/action plans, network development, implementation of advocacy campaigns, follow-up on campaigns, etc. Then decide what format is best for applying the index.

STEP 4: SCORE THE INDEX

Once you have collected the data you will need to score the index and feed back findings to the targeted organizations. The index is intended to be scored concerning one or more advocacy issues for a CSO. For example, given a focus on advocacy for human rights, how effectively did the CSO perform each advocacy component? The bullets following each component are given as examples

Table 2.1. Formats for Applying the Advocacy Index

<i>Format</i>	<i>Advantages</i>	<i>Disadvantages</i>
Simple survey	Most rapid and low-cost option for a large number of CSOs	May lack depth, and participants may learn little from assessment
Focus group	Added depth and cross checking on capacity building needs/results	If the group involves several CSOs, may not lead to specific actions required for individual organizations
Participatory planning workshop	Leads to deeper understanding of advocacy capacity needs/results and commitment to strengthening efforts	More time and resource intensive

STEP 2: ADAPT AND TEST THE INDEX QUESTIONS

Decide which components of advocacy capacity and which specific questions are most relevant to your information needs and that of the CSOs you are working with. Delete or refine existing questions and add new questions to fit your needs. But try to use as few questions as possible. Translate the questions into local languages and then test them out with a few CSO members. Adjust and refine the questions as needed so that they are clear and unambiguous.

STEP 3: COLLECT THE DATA

Follow through on data collection using the format you have selected. You can refer to the tools on Simple Surveys and Focus Groups or Appreciative Inquiry for specific ideas on how to use the Index in each format

of the types of evidence to think about when scoring that component. Not all elements are likely to be relevant to every situation. The total score needs to be accompanied by a narrative explaining progress or strengths and weaknesses. Each of the index components/questions is rated on a scale such as the following:

None, not at all 1 2 3 4 5 Extensively

The scores for each component/question are added to form overall score on the Advocacy Index, which will range from 7 to 35 (given 7 components, as at present).

STEP 5: WRITE-UP THE RESULTS

Write-up the findings from using the Advocacy Index to include in your evaluation report. If you are using the index for planning purposes be sure to feed the results into your program design or grant-making activities.

EXAMPLE OF THE TOOL

Components of the CSO Advocacy Index (scored for one or more issues):

Score:

___1) CSO identifies an issue that is timely, with the following possible elements:

- Issue is of vital concern to the group's constituents
- Issue is critically important to the current or future well-being of the CSO and/or its clients, but its importance is not yet broadly understood
- New opportunities for effective action exist
- At least a few key decision-makers are receptive to the issue

___2) CSO collects information about the issue, with the following elements and examples:

- Relevant government agencies and their respective roles vis-à-vis the issue are identified at national and local levels; their knowledge and positions are investigated
- General public input (including women and minorities) on the issue via public meetings, focus groups, etc. is solicited
- Similarly, representative input is collected on the issue via surveys
- Existing information on the issue is collected, such as for summaries or positions papers
- Policy analyses—such as the legal, political, social justice, or health aspects of the issue—are conducted

___3) CSO formulates a policy position on the issue, with the following elements and characteristics:

- Policy formulation is done in a participatory (and gender-sensitive) manner

- Policy being advocated exists in writing, with formats and levels of detail that are appropriate for various audiences and policy makers
- Policy position is clearly and convincingly articulated
- Rationale for policy is coherent, persuasive, and uses information collected in component 2 above
- Presentation of policy position uses attractive and effective graphics and illustrations

___4) CSO obtains and/or allocates resources (especially time and money) for advocacy on the issue, with the following elements and examples:

- Contributions are collected from members, interested citizens, and/or other organizations (businesses, foundations, religious groups, etc.)
- Financial or other resources are assigned to the issue from within the CSO
- Volunteer time to advocate for the issue is obtained and well-managed
- International agencies with interests in the issue area are identified, along with their procedures for applying for financial support determined
- (Other resources?)

___5) CSO builds coalitions and networks to promote cooperative action on the issue, with the following elements and examples:

- Other groups and individuals with interests in the issue are persuaded to help
- A coalition is formed (defined as any type of joint working group)
- An existing or new coalition or network is activated, such as by making informal contacts,

holding joint meetings, identifying common interests, sharing resources, etc.

- Joint or coordinated actions are planned (see #6 and #7 below)

___6) CSO takes actions to influence policy or other aspects of the issue, with the following elements and examples:

- News releases are generated or public meetings held
- Members/citizens are encouraged to take appropriate actions, such as writing letters to legislators
- Active lobbying is conducted for the policy position, such as by testifying in hearings, personally visiting legislators, etc.
- Model legislation is drafted and circulated to legislators
- Policy relevant position papers and recommendations are disseminated

___7) CSO takes follow-up actions, after a policy decision is made, to foster implementation and/or to maintain public interest, with the following elements and examples:

- Implementation of a newly passed law or policy is monitored, such as by tracking: the disbursement of authorized government funds; publication and dissemination of implementing regulations; implementation in field sites; member feedback on how well the law/policy is working, etc.

- Staff or volunteer time and resources are allocated to the issue or policy for monitoring
- [If desired policy was not passed] At least a minimal level of advocacy methods is maintained in order to take advantage of next opportunity for pressing the issue, perhaps with a reformulated approach or different specifics
- [If desired policy was not passed] Public awareness and interest in issue are monitored, to look for examples, incidents, opportunities to create or renew a sense of urgency on the issue

RESOURCES

USAID Center for Democracy and Governance (1998) Handbook of Democracy and Governance Program Indicators: Appendix C. USAID, Washington, DC.

Tool 3: Appreciative Inquiry

OVERVIEW

Appreciative Inquiry (AI) enables sponsoring organizations to plan and evaluate programs using a participatory approach that builds local capacity to manage positive social change. Unlike problem-based approaches AI is assets-based. It helps groups focus on what has worked particularly well in the past with regard to resolving conflict, building community confidence, promoting human rights, strengthening media, or other topics that sponsoring organizations and local groups deem important. During the past several years AI has been used to design and evaluate FSP projects and programs around the world and to strengthen local organizations working in fragile states.

WHAT IS IT?

AI is one of several “positive” approaches (as versus “problem”) analyzing, designing and then implementing social change initiatives. It has excellent potential for FSP programs. Positive approaches work towards change in relationships, organizations, communities and other human systems. Developed primarily in the field of business organizational development and training, positive approaches have several common characteristics:

- They focus groups and group analysis on positive potential and what has worked particularly well in the past for the purpose of more effectively mobilizing such positive experiences and outcomes in the future.
- They emphasize story telling as a means of discovering common values and conveying “local” wisdom, knowledge and meaning.
- Likewise for “indigenous” resources for change—those strengths, capacities, resources, practices and experiences that are present even in a war-torn or otherwise divided organizations and communities.
- The intent is to motivate and mobilize for action

WHAT CAN WE USE IT FOR?

To improve the effectiveness of FSP programs, AI can be used for one or more of the following design and evaluation purposes:

- *Identify and plan new interventions* with targeted communities, organizations or individual grantees;
- *Evaluate and improve existing programs* at the community, organizational or individual grantee levels. AI is especially appropriate for mid-term evaluations where learning and program improvement potential are greatest.
- *Build and strengthen partnerships or networks among program supported organizations*—for example partnerships between community organizations, NGOs and local government.
- *Strengthen collaborative leadership capacities* of NGO, CBO or local government leaders.

As an evaluation approach AI is participatory, qualitative and action-oriented. It builds mutual understanding of common values, a shared vision, and new ways of organizing and collaborative action for a better future for the target organizations, communities or partnerships. After a group completes initial activity planning a new activity it can use AI retrospectively to assess how it accomplished desired goals in the past. As an evaluation approach AI is best used when:

- Previous evaluation efforts have failed
- There is fear or skepticism of evaluation
- Varied stakeholder groups know little about each other or the larger program being evaluated
- The operating environment is hostile or volatile
- Relationships among groups have deteriorated and there is a sense of hopelessness
- Dialogue is critical to moving an organization forward

ADVANTAGES

- AI directly reinforces program objectives to build capacity and to empower local groups by inculcating skills in participatory planning, management and evaluation.
- AI is relatively rapid taking 1-3 days per group. Alternatively, it can be used with several groups at one time.
- Staff from sponsoring organizations can quickly be trained to use AI with communities and grantees.

- AI amplifies local resources, knowledge and practices in addressing pressing issues. This generates added commitment to action and potential for sustainable solutions
- AI is highly flexible and intuitive, applicable in a wide range of program settings and objectives. It is not overly reductionist or technical like many other evaluation approaches.

DISADVANTAGES

- AI evaluation results are usually not quantifiable. This may limit AI's usefulness where quantitative data are required.
- Its use for final evaluations may be less credible to certain stakeholders, unless blended with some external evidence.
- A basic knowledge of AI is required to facilitate the planning or evaluation process in an inclusive manner.
- There may be issues of "elite capture" or bias if participants are not carefully selected or if the planning/evaluation process is not well-managed.
- Results from AI evaluations can not be generalized to other programs.

COST

Like any participatory methods, there are costs to participants. Costs involve staff time for planning and conducting AI workshops and securing meeting places and sometimes meals, transportation and lodging for workshop participants. Workshops can range in size from 15-150 participants and costs will vary accordingly. Budget should also be included to translate discussions and flip charts that are produced by participants during the workshop

SKILLS REQUIRED

Group facilitation skills are a basic requirement for effective AI. Ideally, some staff from the sponsoring agency should have completed an AI training workshop lasting several days. Alternately, the sponsoring agency can recruit an AI facilitator from the region or internationally through the AI Commons (see Resources Section). An external facilitator can work closely with the sponsoring agency through several rounds of AI exercises until the agency gains requisite skills.

TIME REQUIRED

Depending on the number and scope of issues for inquiry, AI workshops can last from 1-4 days. Preparation time for workshop planning, recruiting participants, logistics and developing AI interview questions generally takes about 1-3 days or more.

STEP-BY-STEP APPROACH

STEP 1: PLANNING FOR AI

AI is typically used for planning new projects and programs our focus is on. But you can also use AI for a mid-term evaluation, to improve project performance, or for a final evaluation to determine the most important benefits/results and how they were achieved. Planning involves two main steps that go hand-in-hand: focusing the inquiry (evaluation) and selecting the people to be involved.

Focusing the evaluation questions involves internal discussions with the sponsoring agency staff and externally with some program participants. AI-based evaluations are designed to elicit and promote deep learning among participants about what has worked particularly well with program-supported activities and how to further strengthen them. Good AI topics and questions are those that members of the organization, community, or other groups really want to learn about and create more of in their lives and in their communities. They can also be problems or other issues that are reframed and stated in a positive way. Topics for inquiry might include:

- What have been some of our greatest successes in working with the sponsoring organization and how can we build on these experiences to further strengthen community trust and cohesion?
- What have been some of our most successful experiences in working to (build peace, reintegrate ex-combatants, strengthen partnerships with local government or promote effective media campaigns, promote human rights, etc.) through program support and how can we scale-up our successes?

After positive evaluation topics have been identified an interview guide is developed. The guide consists of four to eight very well considered positive, open-ended questions to be used by participants in the AI evaluation workshop.

Selecting participants for the appreciative evaluation process requires scoping the various groups, individuals and organizations affected by the program and then determining the ones that should be brought together in a participatory learning and action process. The sponsoring organization might concentrate on a particular organization, community, group or cluster of grant recipients.

AI processes can include as few as ten to as many as several thousand participants. Participants should be selected to represent the various stakeholders groups affected by the program while paying attention to balanced representation according to gender, ethnicity, religious beliefs and political affiliation. If there are specific cleavages in the community or the sponsoring organization, the evaluation process provides a safe opportunity to bring these groups together. As an approach for transforming social arrangements or systems AI works best by involving many stakeholders in the system.

STEP 2: DISCOVERY PHASE

The primary task in this phase is uncovering positive capacity within the group being supported. Discovery includes questions such as: “What have we learned from our project?”; “What have been our most successful and rewarding collaborative experiences working on this project?”; “What resources and competencies do we bring for future projects of this kind?” and “What are our hopes for the future as we work to promote peace/reconciliation in our community?” Specific activities of the Discovery Phase include:

- Setting the task focus—the sponsoring organization provides a brief introduction to the group on the context and purpose of the meeting
- Appreciative interviews—all participants engage in one-on-one interviews organized around the topics of the meeting
- Who are we at our best—small groups recollect interview highlights and best practices
- Synthesis—large group process to illustrate combined strengths, resources, capabilities,

competencies, relationships and positive hopes for the future.

Logistics. Depending on the circumstance the sponsoring group organizes the AI workshop in a community, workplace, or neutral setting. In FSP work the interviews can often take place between improbably pairs, for example, between Muslims and Christians, between youth and elders or between members of different factions. If the level of distrust is too high for improbable pairs, then work is done separately with each group until there is sufficient trust to bring groups together. This phase and each of the subsequent phases in the AI evaluation process typically takes one-half to one day.

STEP 3: DREAM PHASE

This phase asks people to actively envision and boldly enact their ideal shared future (e.g., a time when things are just as they wish they could be or a time when they, their organization or their community are contributing to a better world). As people share what they learned in their interviews and listen to each other, ideals weave together with actual experiences and this energizes and moves people to action.

Using open-ended questions, a facilitator brings the group through a *guided visualization* to elicit hopes and dreams around a given topic. For example a facilitator might say: “We are in the year 2015 and you have just awakened from a long sleep. As you awake and look around you see that your community is as you have always dreamed it might be. What is happening in your community? How are people getting along? What are you most proud of in what you see?” You can then ask participants to take a few minutes to write down their dreams. Specific activities in the Dream Phase include:

- Sharing of dreams—small groups discuss dreams collected during the interview process or through the guided visualization
- Enlivening the dreams—small groups discuss specific tangible examples of their dreams and develop creative, metaphorical presentations
- Creating a shared vision—representatives from small groups synthesize and present a shared vision for the large group

STEP 4: DESIGN PHASE

In this phase participants focus on designing a practical set of collaborative strategies or in some cases a new organization aimed at accomplishing their shared vision. An example of a shared vision statement is “The people in Tirana community have a rehabilitated primary school where Muslim and Christian children can go to school in peace and harmony.” Such a statement will take action to fulfill. As such, it represents the groups’ commitment to move in that direction.

Sponsoring agencies can also use these design statements to identify potential new project activities and to develop improvement strategies and performance criteria for activities already underway. Specific activities during this phase include:

- *Create compelling new strategies*—large group identifies practical and compelling strategies, or a new organizational structure, to accomplish the vision
- Select high-impact designs—large group draws on interviews and dreams to select the most promising strategies
- *Identify new projects*—the sponsoring agencies identify new project ideas and solicits new proposals
- *Identify performance improvement strategies*—groups identify improvement strategies for activities already underway
- *Identify performance criteria*—small groups identify success criteria for new or on-going projects

STEP 5: DELIVERY PHASE

This phase is invitation to action inspired by the previous work on Discover, Dream, and Design. This is the place where participants focus on developing specific actions required to implement their strategies. In this phase the facilitator invites personal and group initiative and self-organizing. Specific activities include:

- *Generate possible actions*—small groups brainstorm possible actions and share with the large group
- *Select inspired actions*—individuals publicly declare their intention for action and specify cooperation and support needed
- *Form task groups*—self organizing groups

meet to plan next steps for cooperation and task achievement

- *Close*—large group reflects on key learning from the participatory evaluation and planning process

STEP 6: PREPARE AN EVALUATION REPORT

Although the AI evaluation approach is participant rather than sponsoring agency-centered, it still affords sponsoring agencies an opportunity to extract a tremendous amount of information for an evaluation report. To prepare this report, the sponsoring agency summarizes and synthesizes some of the key outputs from each of the workshop sessions. This requires that the main output from each of the workshop sessions be captured on flip charts and translated into English for report writing purposes. The workshop outputs can be combined with other data, such as simple surveys or focus groups. The sponsoring agency would capture the following key elements from the AI process for its write-up:

- *Best practices, successes and organizational learning* catalyzed by program support identified by participants in the Discovery phase
- *Shared visions* for improved future—or progress toward a previously identified vision—from the Dream phase
- *Collaborative strategies* for improving on-going projects and identify potential new projects from the Design stage.
- *Summarize action plans* for project improvement from the Deliver stage
- *Summarize key learning* from the AI evaluation experience

RESOURCES

New Directions for Evaluation, Number 100, Winter 2003: Using Appreciative Inquiry in Evaluation, Jossey-Bass, San Francisco.

Sampson, C. et al (2003). Positive Approaches to Peacebuilding: A Resource for Innovators, PACT Publications, Washington, DC.

Appreciative Inquiry Commons: www.appreciativeinquiry.cwru.edu

Box 3.1.

Evaluating an Organization Supporting Victims of Violence

The Family Rehabilitation Center (FRC) in Sri Lanka is a NGO established to provide island-wide care for those affected by armed conflict. Its main objective is to identify and meet the psychological and medical needs of victims of torture and their immediate families. FRC also supports activities to prevent torture. FRC works with the Danish Research Center for Torture Victims (RCT) and a mid-term evaluation was planned as part of the collaboration. An AI process was used to plan, focus and conduct the evaluation. During Discovery phase meetings, FRC staff, board members and outside stakeholders explored moments when FRC was most effective and at its very best. The group also discussed when support from FRC had been at its best and wishes for FRC's future. During the Dream phase the group created a shared vision for the future of FRC based on stories from the Discovery phase. Based on these two steps FRC then designed strategies and action plans to accomplish its renewed vision and to build on its collaboration with RCT. Based on the evaluation process the evaluators then produced an evaluation report, complemented by other performance information, and including recommendations grounded in the groups' experience. According to follow-up interviews staff said they believed ownership over the evaluation results, output has increased and staff feel a greater sense of belonging to FRC and stronger commitment to its mission.

Sample AI questions from FRC mid-term evaluation

FRC Staff

- When did the staff, board and others believe that FRC was at its best?
- What excites you most about working for FRC?
- When had the support from RCT been at its best?
- What was most appreciated about the partnership with RCT?
- Tell us about a time when clients responded very positively to FRC's work?
- What are the wishes you have for FRC?
- Tell us about situations where you (FRC) have been most successful in preventing torture and violence
- Talk about a situation when all staff capacity in FRC was involved in successfully moving a case

Outside stakeholders

- What was it about the service provided by FRC that the clients and/or the government most appreciated?
- Tell us how FRC positively contributes to the work of your organization
- Tell us of a situation when you collaborated successfully with FRC
- What are the wishes you have for the future work of FRC?

Box 3.2

Creating a Culture of Peace in Postwar El Salvador

The Usulután province of El Salvador was pivotal in the country's civil war. After the war, the area lacked infrastructure and state support for thousands of families who settled in the region. A group of villages formed a grassroots organization, La Coordinadora, to prevent disasters and promote sustainable development. In 1998 they declared themselves a local Zone of Peace and established the Culture of Peace Program (CPP) to overcome rampant violence and teach peace. Rather than adopt a foreign conflict resolution model, CPP selected international consultants with an elicitive approach to create an indigenous process. The CPP process involves a core group of peasant leaders who facilitate dialogue and reflection circles as a means of educating villages, resolving conflict and promoting democratic processes. The consultants promoted an inclusive, whole system approach, active nonviolence, a positive vision of the future and a participatory program design process. Although slow, the effort avoided dependency on outsiders and is transforming communities into a zone of peace.

Tool 4: Case Studies

OVERVIEW

Case study is a well-known qualitative approach in program evaluation. In the context of FSP intervention, including ethnic conflicts, case study is a useful approach in understanding the process, results and outcomes of program interventions.

WHAT IS IT?

Case study is less a tool than an approach to gathering comprehensive, systematic, and in-depth information about a case of interest. Case study is especially useful where the situation is complex and there are many variables that cannot be controlled for. For FSP programs, case study provides a focused, in-depth assessment of the baseline situation and the causal relationships between the intervention and specific outcomes or impacts.

WHAT CAN WE USE IT FOR?

The case study approach is excellent for the measurement of the impact of specific interventions on a certain group or a situation. Case studies are generally used when you need to understand a particular group (e.g., child soldiers), a particular problem (e.g., ethnic conflict) or a unique situation (e.g., successful reintegration of ex-combatants).

A key attribute of the case study approach is that it highlights why decisions were taken, how decisions were made, how decisions were implemented and finally, with what results. Case studies can also illuminate the unintended negative effects of FSP interventions. Because of its depth, the case study approach can be a strong complement to surveys that emphasize breadth.

ADVANTAGES

- Allows for in-depth analysis
- Helps to establish causal relationships between interventions and their outcomes or impacts
- Incorporates various research techniques which strengthens the credibility of results
- Tends to provide strong evidence to support causal relations between specific interventions and specific outcomes and/or impacts

DISADVANTAGES

- Focuses on only one causal relationship, leaving out other potential relationships
- Difficult to generalize to other situations
- Cannot establish a causal link between specific interventions and specific positive changes, though it can establish correlations between specific interventions and specific positive changes

COST

Case study may involve travel to where the impact of certain interventions may be measured. It also involves the cost of using a computer as well as printing materials used for conducting interviews, focus groups, and other research methods.

SKILLS REQUIRED

Familiarity with various qualitative research methods such as interviews, focus groups and observations.

TIME REQUIRED

The time required varies considerable based on the situation. However, in most cases, conducting a case study requires significant time for interviews, observations, focus groups, etc. Generally, a minimum of at least 2 to 3 days are required to gather case study data, and 1 to 2 days for analysis and report writing.

STEP-BY-STEP DIRECTIONS

STEP 1: IDENTIFY THE SITUATION

Identify a situation with the following elements: (1) specific issues of certain individuals or groups; (2) implementation of several activities (e.g., interventions) to address these issues; and (3) response to the issue (e.g., result, outcome or impact). The evaluator's job is to establish the causal relationship between the activities and the response.

For example, suppose that the residents of a certain neighborhood in Liberia were concerned about the spread of infectious diseases due to lack of, or insufficient, efforts to conduct basic sanitary cleaning of the streets. In this case we have a *specific need or issue of certain individual(s) or group(s)*. Let us also assume that the residents in that neighborhood, frustrated with the lack of response from government officials, and concerned about the increase in the number of infections among them, contacted a media outlet known for its active involvement with community issues. The media outlet investigates the issues by sending one of their staff to the neighborhood where s/he observed the unsanitary conditions. Then the media outlet airs interviews with residents whose children have been infected by diseases, and describes to the listeners the magnitude of the unsanitary conditions according to the observations made earlier by their staff member. Then, the media outlet contacts the proper government officials to inquire about the efforts made to alleviate the neighborhood's suffering. All these activities by the media outlet (observations of the condition in the neighborhood, interviews with residents, and contacts with government officials) are examples of *allocation of several programs or activities to address these issues*. Finally, let us assume that in the few days following the media outlet's efforts, sanitation workers appear in the neighborhood where massive cleaning efforts took place, and consequently the incidents of infectious diseases begin to decrease. These effects (the cleaning of the neighborhood and the decrease in incidents of infectious diseases) are examples of positive response to the need or issue.

A situation such as the one above lends itself for the use of Case Study in order to assess how much did the media outlet's work on the issue caused, contributed, or affected, the positive response and healthy consequences to the neighborhood. The next question is: how to conduct the case study?

STEP 2: DESIGN THE CASE STUDY

Each case study should be tailored in order to investigate each of the three elements mentioned above (e.g., the needs/issues, activities, and response). The methods or techniques used to investigate each of the three elements and their relationship vary according to the nature of each situation. They will also vary according to the effectiveness of each technique in collecting the most reliable and valid information. The chosen technique should also take into account the safety of the researcher and the target group. It should also be chosen for its safety. More than one technique could be used for each element. Some of the techniques that can be used are: observation; interviews; surveys; focus groups; reviewing pictures or official records; content research; storytelling and others.

STEP 3: DESIGN THE RESEARCH INSTRUMENTS

After selecting the most appropriate techniques for each element, the researcher then develops the corresponding instruments. Each technique has its own set of instruments and attempts to establish: (1) the situation before any action was taken; (2) what actions were taken and with what purpose; (3) how those actions changed the situation; and (4) to what extent those specific actions caused a specific outcome. The instrument for the third element is determined once information for the first two is gathered.

STEP 4: IMPLEMENT THE RESEARCH TECHNIQUES

The researcher should implement the techniques and apply the instruments for each of the three elements. The researcher must start with the techniques that will investigate the first element (the needs or issues).

Keeping with the example used above, the researcher will want to collect information about the first element: *specific need or issue of certain individual(s) or group(s)*. In this case it was the unsanitary conditions in the neighborhood. If the situation has been corrected as a result of the government's reaction, then the researcher could not conduct observations because the negative situation does not exist any more. So in this case the researcher will have to rely on other sources of information to recall how the situation was. The purpose here would be to collect as accurate a picture as possible. Reviewing pictures or official records describing the unsanitary conditions would be one method of gathering this picture. In this case, the researcher or the staff member will document records that are relevant to the situation or the issues. For example, pictures of unsanitary water sources, or hospital records of neighborhood residents admitted for infectious diseases related to the unsanitary conditions.

But the pictures and records may only capture the physical presence of these conditions. They could not necessarily capture the suffering of the people who became ill, or whose children were infected. Therefore, the researcher may want to implement another technique in order to capture that aspect of the situation. For example, the researcher may conduct interviews or focus groups with residents who were infected or whose children fell ill due to the unsanitary conditions.

Once the researcher collected information on the first element, s/he will be ready to investigate the second element: allocation of several programs or activities to address these issues.

Using the example above, the researcher may want to conduct more than one type of research to investigate what activities or programs were conducted. In this example, s/he may conduct first an interview with the media outlet's staff member who conducted most of the work on the issue. S/he may also review recorded information such as recorded interviews, or recorded contacts with the government.

The following are sample questions that may be used in interviewing a member of the media outlet:

1. How s/he learned about the situation or the issue?
2. How did the media outlet decide to intervene?
3. What actual actions were taken (both media and non-media actions)?
4. What was the purpose of these actions?
5. What were the effects of these actions?
6. If there was a positive response to the situation or issue, could it be contributed to the media outlet's work? If yes, how can this be proven?

Finally, the researcher or the staff member reviews the information gathered according to the first two elements, and develops a research strategy to address the third element: *positive response to the need or issue*. The purpose here is twofold: to assess the remedy of the situation; and to assess the causal/contribution relationship between actions and positive response.

Again, there is no one research method that will address this element. The choice of method(s) will vary according to the nature of the situation. In the example above, one method to be used would be to conduct interviews with government officials who intervened to remedy the situation. The interview questions would include:

1. What were the issues or the problem?
2. What did the media outlet do to address the situation?
3. How did the media outlet's actions impact you or your organization?
4. What actions did you or your organization take to remedy the situation?
5. How much were your actions motivated or influenced by the media outlet's covering or handling of the situation?
6. How do you describe the situation now?
7. How would the situation be today if the media outlet's staff did not cover it or handle it in the way they did?

Note that the questions address the actual remedy, and also shed focused light on how much did the media outlet's work affect the remedial actions; thus, establishing causality/contribution between the media outlet's intervention and the remedy of the situation.

In addition to interviewing government officials, the researcher could also conduct similar interviews, or focus groups, with neighborhood residents to assess their reactions to the government actions, their satisfaction with the remedy, and how much they attribute this remedy to the media outlet's intervention. In addition, hospital records could be reviewed, after the situation was remedied, to assess the decrease in infection cases compared to the hospital records which were reviewed in relation to the first element. Finally, the researcher may conduct observations of the neighborhood over a period of time to ensure that the symptoms of the problem have improved. But note that the observations or the hospital records will only provide information on the remedy of the situation, but will not provide information on the media outlet's contribution to bringing about the remedy. This is why it is important in this respect to conduct the interviews or focus groups with residents and government officials in order to establish the causality/contribution of the media outlet's intervention to the remedy.

STEP 5: WRITE THE CASE STUDY REPORT

Step 5: Write the case study report

Case study reports often begin with an introduction and summary of key issues. The next section details specific needs or issues facing certain individuals or groups, using rich qualitative description and quotes. The rationale for the intervention is explained in this section. The second section focuses on the nature, scope and details of the intervention. The third section focuses on the group or individuals response to the interventions again using rich qualitative descriptions. An appendix should cite raw data sources supporting the body of the report.

RESOURCE

Yin, R. Case Study Research Design and Methods. Sage, 1994. CA

SAMPLE CASE STUDY: SIERRA GOLDEN KIDS PROGRAM¹³

This example comes from Search for Common Ground's Talking Drum Studio-Sierra Leone (TDS-SL), in which four case studies were identified. One case related to the effectiveness of the Golden Kids program in addressing the needs of street children, and also its impact on the life of one ex-child combatant.

This case study of Golden Kids is about an ex-child soldier called Swanky. The boy was 9 years old when he was captured by the RUF and the AFRC rebels. He fought for the rebels for 3 years. TDS found Swanky in one of the interim care centers. To the surprise of all, he is now one of the best producers and presenters on the Golden Kids news. He participated in a conference held in Cairo, sponsored by UNICEF, on children who were affected by war and children rights. Swanky's testimony and presentation of his story at the conference, was very powerful. TDS-SL endeavored to find his parents in Kono, but he is currently sojourning in Freetown under the care of TDS staff, and is going to school.

Not only did Swanky benefit from TDS-SL's care for him. Through TDS-SL, and the Golden Kids program, he has been able to touch the lives of so many children, and to send to them a strong message for peace and reintegration. After all, he himself was a rebel fighter; he knows what they have been through. This gives him much credibility in approaching and convincing other children to become a positive force in the society. The impact of Swanky's and the Golden Kids' work was assessed in the Don Bosco Institute, where many children confirmed the positive message they have been receiving, and the transformative effects of these messages on their lives. These results came as no surprise to the evaluators, as other data from the audience survey and from key informant interviews confirmed the wide positive effects of TDS-SL children programs, especially in the area of trauma healing.

¹³ This example is extracted from: Abdalla, Amr; Shepler, Susan, et al. Research and Evaluation Report of Conflict Resolution, Human Rights and HIV/AIDS Programs Conducted by Search for Common Ground in Sierra Leone. A Research and Evaluation Report to Search for Common Ground. Washington, D.C. March 2002

a. Case Study Techniques

In this study, the evaluator, Suleiman Hussein, interviewed Swanky himself, to tell about his previous experience in the war with the rebels, as well as the most horrible story he came across during the war, and how he got connected to the TDS. He also interviewed Ken, the person in charge of the Golden Kids programs in TDS-SL, to talk about the nature and input of his job. He also paid a visit to a child training and rehabilitation center called Don Bosco where he interviewed the Director of the camp named Bo John. The purpose of his interview was to know TDS-SL's impact on their work in general and, the impact of Golden Kids programs on their children specially.

b. Interview with Swanky:

The Evaluator met Swanky in the office of Ken after he had already been informed that the evaluator wanted to meet him. He was confident and relaxed. When asked about how did he come about to be a Golden Kid, he explained that:

"In 1997 Government soldiers and rebels captured me to fight with them. I was 9 years old. They trained me, and I fought for them for 3 years. When UNAMSIL came the rebels freed us. UNICEF took us to Freetown; that was year 2000. I was in child protection organization in Freetown called Family Homes Movement, One day Mr. Gibril from TDS came and interviewed us. After the interview he realized that I was an intelligent boy. We were a group of children taken from different camps. We were given five days workshop training to become child journalists."

When asked about what kind of risks he was going through before joining the Golden Kids, Swanky explained:

"Rebels took me from my parents in Kono in the East and send me to the North. They took me to everywhere they go; some times they bully me and abuse me. I was not going to school, they were always taking us to go and fight with the Government soldiers. I was very fast to learn the tactics of the war, if you are not strong, you will die and they abandon you and go. Many of my friends died and we left them and go. After I came

back from the war I was very stranded and confused in the child protection camp. I did not know what to do until TDS connected with me. The most difficult day was when the rebels took me and my best friend, called Mohammed, with them to go and fight. On our way to the battlefield we fell ambushed with ECOMOG soldiers. When the firing started, they shot my friend in front of me. And when he was dying, he screamed and he mentioned my name T-BOY - this name was given to me by the rebel commanders-when I saw him in this situation, I had nothing to do other than to take his weapon from him, and covered him with my T-shirt. I did so because I didn't want the enemy to take that weapon, that day the fighting was very serious, this friend that I missed was at the same age of me and a close friend of mine, I still remember him."

The impact of TDS-SL on Swanky's life has been tremendous. He explained that TDS has a very big impact on him, because TDS, "Takes care of me by giving me the opportunity to go to school, takes care of all necessary expenditures includes health, clothes, every thing that I need. To me, education is very important, because in Sierra Leone, if you don't go to school you cannot do any thing. TDS has changed my life completely, because now I am in class six." Swanky also described his specific activities with TDS. He stated:

"I am an interviewer for TDS, my main position is a reporter. Sometimes they take me to interview other kids in the various child camps. While interviewing them I ask them about their previous experience with the rebels; they are always happy to meet me, as well as tell me more about their experience, because they want their voices to be added to, and heard in the TDS programs."

Speaking about the impact of the program on kids, he said that he went to so many ex-child combatants' centers, where he met his old friends who were in the jungle with him. They asked him a lot of questions about how he became a Golden Kid, especially when he went to Lungi ex-child combatant's camp. All the kids there wanted to be like him, "Because they saw me in good shape and condition."

Swanky suggested that TDS-SL should try to give wide opportunity to more kids to voice their problems. However, he also acknowledged that before TDS-SL came, kids could not say anything, nobody heard them, and they had no means for speaking out their problems.

c. Interview with Ken, TDS-SL Staff Member in Charge of Golden Kids Program

Ken explained that Golden Kids program is for kids' advocacy through the radio programs. Children are given the opportunity to voice out their problems. Before this program, children were hardly heard. That was why the program tried to get to children wherever they are—in the camps, streets, schools and ex-child combatant care centers. TDS-SL staff trains the children, and teaches them skills of journalism. Once trained, they go to schools and camps to interview the kids, record their problems and air them through the various radio stations. Initially the program was just fifteen minutes, and now is extending. Golden Kids also goes to areas other than Freetown, like Kenema, Bo, Port Loko, and Makeni. They train children there and also record their problems and bring the cassettes down to Freetown, and air them.

Describing how TDS-SL got to know Swanky, Ken said:

"It was Gibril who got connected with Swanky in one of the child's camps. When he realized he was very intelligent after interviewing him, we took him to several camps where he met his friends. The kids were impressed about him because he is a smart boy. He obeys laws, especially with the school teachers. Some children in the school do escape the classes, wander around, but he always stays behind. He is very good at interviewing people; the first time we took him with us he mastered everything. Now I just give him the background of the interviews, then he would do them himself; he handles everything very well. We allow him to interview managers, and other top personnel. The feedback is always that the boy is smart."

Talking about the impact of Golden Kids on other children, Ken stated that they go to up- country and talk to the parents of the kids, and try to re-unite them. The kids are respected by their parents and in their communities. This is because of the training that TDS-SL has been giving to the kids. Many people want their kids come to TDS-SL programs, and the kids also want to come because they always want their voice to be heard in the studio. The fact is that the parents seldom handle the kids very well, because they have no time to do that themselves. But whenever TDS-SL trains them and sends them back, their communities respect them.

d. Interview of the Director in Charge of the Don Bosco Camp.

When asked to describe the mission and activities of the Don Bosco, the director stated:

“There is Don Bosco centers in 140 countries around the world. Rev. Father John Thomson established ours in Freetown, in January 14 1998. It is catholic oriented organization, from a congregation called Silesian. It focuses on youth work to develop their mind, especially the disadvantaged youth. One of its aspects is to spread Christian faith, but it includes all categories of children. The other aspect of development is to educate the children, especially the street children. We have displeased children, ex-child combatants. Don Bosco was established at the time when all the childcare organizations folded their properties and left. Our main activities are to rehabilitate the minds of children, give them education and provide them vocational training.”

Describing TDS-SL’s work with children, the director said:

“We started working with them in the same year our organization was established. When TDS came to meet children, the first boy they trained to do video filming was Mohammed Krumah from Don Bosco. He represented Don Bosco in Commonwealth Children Summit in South Africa; he is currently in South Africa. TDS has children programs; they use media to ask children to leave street and go to the camps. They also

send children to Don Bosco. They work with us with good intention. Whenever we have our programs we ask their help and they come and do everything for us for free of charge and they don’t take anything from us. Every December we have our national party; TDS is very much attendant in those events.”

When asked about TDS-SL’s specific impact on his organization’s work, he said that TDS does many activities with the Don Bosco- they campaign for peace building; their children programs send a positive impact on the Don Bosco children, especially, the Golden Kids programs. They are always efficient. Those programs help tremendously with the Don Bosco’s programs of rehabilitation. When asked if the children in his institute listen to the Golden Kids, he affirmed that know the program very well and they listen to it.

e. Interviews with Children in the Don Bosco.

In the Don Bosco camp the evaluator met 4 young ex-child combatants. The first one among them was Ibrahim Conte, 15 years old who came to holding his small radio. The evaluator asked him if he listens to Golden Kids program. He answered, “Yes, I always listen to the program and tell my friends who are still in the streets to come to the camp because being on the streets is not good for their future. The program asks us to do that. I myself was one of those who listened to it and because of that I am here.”

The next ex- child combatant was Allasan Turay, 13 years old, who told the evaluator that he listened to the Golden Kids program. He said, “I don’t have my own radio, but I listen with my friend whenever it is time for the program. The evaluator asked him if he knew Swanky; he said, “Yes, I know him, and I listen to his voice in the radio.” The evaluator asked him about the benefits from the program. He said, “I came here to learn because of this program. Before that, I did not know who would look after me to do what I want to do until I listened to this program.”

The third ex- child combatant was Abubakar Koroma, 14. The evaluator asked him if he listens to the Golden Kids program. He said, “Yes, I listen to it but not every day, because I don’t have my own

radio; I am planning to buy one.” When asked about what the program tells him, he said that “It tells us to leave street and go to the camps, where we will be able to re- unite with our families.”

The fourth ex-child combatant was Sulemana Sesay, 14. When asked about what he knew about Golden Kids program, he said, “I listen to the program from time to time. It tells us not to remain going around on the streets; we should go to the childcare centers to get free education.”

f. Conclusions

The interviews with Swanky, Ken, the Don Bosco director and the four children, all showed the positive effects of the Golden Kids program both on the life of Swanky and on the lives of children on the street. The impact on Swanky’s life has been tremendous. He was transformed from being a child combatant, perhaps with no destiny other than that of his friend Mohammed, or the fate of the so many street children. TDS-SL’s efforts with Swanky extended beyond simply training him to

be a radio journalist. TDS-SL staff obviously have embraced that child, and helped him in many ways. This is an example of supporting TDS-SL’s media work, with other non-media activities to help even one child.

On the level of the society, Golden Kids has touched the lives of so many children in that country. All kids indicated that they have been actively listening to Golden Kids. They were very clear about its message. And because of Golden Kids many of them are now in safe hands with an organization such as the Don Bosco, where they have a shelter, are receiving care and training that will help them become good citizens of Sierra Leone.

Tool 5: Capacity Enhancement Needs Assessment

OVERVIEW

Capacity enhancement needs assessment (CENA), developed and used by the World Bank, is a participatory assessment designed to evaluate existing capacity within key community and local government stakeholder groups, identify capacity gaps and weaknesses, and recommend possible remedies. CENA is especially adept at identifying the existing level of capacity among the poor and socially excluded groups and to identify the social, political and economic barriers to participation for these groups. Sponsoring organizations can use CENA for collecting baseline data on targeted communities, for strategic planning purposes to identify possible areas for program support, and as a means for assessing impact after a program has ended.

WHAT IS IT?

CENA is one example of an index measurement tool that can be tailored to meet the needs ME&L needs of broad array of FSP programs with a focus on local government, anti-corruption and community capacity building.

WHAT CAN WE USE IT FOR?

CENA measures local stakeholder perceptions of:

- Extent of collaboration between NGOs, CBOs and local governments
- Community participation
- Extent of equality/inequality in communities
- Training and skill level of NGO/CBO staff for carry-out community based activities
- Level of community participation in formal, informal and traditional community organizations
- Corruption in local government
- Capacity and leadership in local government

ADVANTAGES

- Flexible and adaptable for various kinds of FSP program contexts. Can be used as a full-blown capacity assessment tool or to assess specific aspects of local capacity.
- Provides rich qualitative data with a “quantitative edge” for both baseline assessment and performance monitoring purposes.

- Is rapid and low-cost, especially when combined with focus groups, key informant interviews or other rapid appraisal techniques
- Can provide an important input into the design and targeting of new programs

DISADVANTAGES

- Some capacity changes that are measured by CENA make take several years to become apparent
- Results need to be calculated using an Excel, Access, or SPSS software program—some local organizations may not have this capacity
- Requires substantial staff or consultant time for data entry and analysis
- The larger the sample, the more time it takes to conduct CENA

COST

Costs include the sponsoring organization’s staff time to design and manage CENA activities and costs associated with hiring and managing local enumerators to assist in data collection. Some sponsoring organizations may simply want to hire a local research organization or NGO to support all aspects of CENA including adapting the CENA index, collecting and inputting data and analyzing results.

SKILLS REQUIRED

Skills required include: index design skills to modify, adapt and pilot test the CENA index; focus group and key informant interviewing skills to provide qualitative data to round out (or provide context) for the interpretation of the CENA scores; and basic data analysis skills for analyzing CENA results across communities.

TIME REQUIRED

The CENA index can be adapted to require a short amount of time once the target communities and broad issues of concern have been identified. The CENA interviews and data collection can take place over a several week period. A few more weeks are required for data analysis, review of findings and report writing. Total time required is approximately 4-6 weeks.

Tajikistan, one of the poorest countries in the world, is coming out of a decade of civil war and economic decline, resulting in fragmented communities and ineffectual local government. The CENA was used in six communities of Tajikistan in 2003 to help identify programming options for the World Bank's cross-cutting Community Driven Development (CDD) strategy. A local research group was hired and trained to adapt the CENA to the local context and to complete the CENA exercise. Through focus groups, key informant interviews and participatory appraisal methods, the team gathered rich qualitative data about each community. The findings revealed that: there were low levels of dialogue between communities and other stakeholders, especially between communities and NGOs; existence of CBOs did not necessarily reflect involvement of community members; perceptions of corruption among local government officials was high; perceived inequalities in each community differed, but in all communities there was consensus that there was little ethnic inequality. These findings, and related programming options developed during use of the CENA in Tajikistan, Nigeria and Ghana, have been used to design and improve Bank projects.

STEP-BY-STEP DIRECTIONS

CENA uses a combination of data collection methods including facilitated group discussions, participatory action workshops, formal/informal interviews with key stakeholders and secondary data sources and document reviews. A short report from each pre-selected community and a synthesis of all the community reports is the main product.

STEP 1: PREPARATION AND SITE SELECTION

You will need to focus the CENA tool by identifying and adapting key issues and questions for the assessment. Then you need to translate and pilot test the assessment questions used in key informant and focus group interviews. Next, you need to select a set of communities for applying the CENA. Teams of 2-3 facilitators will do a rapid assessment in each community. Ideally, the teams will involve a sponsoring agency staff member and a local researcher or NGO representative. Each of the teams can conduct the assessment in two-three communities spending roughly 4-5 days in each locale.

STEP 2: CHOOSE STAKEHOLDERS FOR INTERVIEWS

Make sure your interviewees represent the various stakeholder groups—community members, local government officials, civil society, and national government (or those individuals who may have direct experience with the government). Also, when choosing community members for interviews or focus group discussion it is necessary to include

a variety of age groups, men and women, poor and non-poor, and different ethnic groups that reflect the demographics of the community.

When you choose individuals to interview, use the following criteria:

- They must be willing to be interviewed;
- They must be willing to speak openly and frankly;
- They must be able to express themselves fully and easily; and
- They must have at least 1 to 3 hours of available time.

In each community a minimum of 16 interviews should be completed. The results of these interviews and focus group discussions will be compiled and analyzed by the team, which will also complete together the Capacity Index on each community.

STEP 3: CONDUCT INDIVIDUAL INTERVIEWS

At each site, the three-member team will conduct a total of 16 interviews with representative stakeholders. Selection of the community interviewees should include different age groups, gender, and ethnicity, and should reflect the basic demographics of the community. In practice, these may turn out to be household interviews, since often other people will be present in the house when you interview an individual. Each interview should last about 2-3 hours.

STEP 4: CONDUCTING FOCUS GROUPS

Three focus groups should be conducted at each site. Each session should last approximately 2-3 hours.

FGD 1: Non-poor, mixed age and gender

FGD 2: Poor, mixed age and gender

FGD 3: Special group: Pick a group that stands out as different from the rest of the community. This group can be mixed poor/non-poor.

STEP 5: PREPARE WRITE-UPS

The assessment should result in at least 16 narrative interview reports from each community and three FGD reports from each community. There will be one Community Summary required that will summarize the findings from each community. The team then fills out the Capacity Index together.

- FGD and Interview Reports: Detailed description and analysis of each FGD discussion and of each interview. Each report should be 3-5 single-spaced pages.

- Community Summary: A 5 to 8 page summary of analysis from each community that describes and analyzes patterns and trends, compares and contrasts with other communities. If used as a needs assessment the summary also provides program-ming options for the sponsoring agency. If used as a performance monitoring tool the summary captures community-level results/changes that are reasonably attributable to program activities.

- Capacity Index Matrix: This will be completed for each community. The scores should be tabulated and charted.

RESOURCE

McNeil, Mary and Kathleen Kuehnast. December 2004. Assessing Capacity for Community-based Development: A Pilot Study in Tajikistan. World Bank Institute. Washington, D.C.

Capacity Index: Scoring Matrix

Stakeholder: Community

1. Community Structure

Version 2 (10.16). Revised 9/12/03

<i>Indicator</i>	<i>Description</i>	<i>Score 1</i>	<i>Score 2</i>	<i>Score 3</i>	<i>Score 4</i>	<i>Data Source</i>
1. Existence and functionality of community organization	What is the level of community participation in formal, informal and traditional community organizations?					
1.1 Traditional organizations	How many traditional organizations?	None	Less than two traditional organizations	Three to five traditional organizations	More than five traditional organizations	Rapid Assessment
1.2 Involvement in traditional organizations	What percentage of community members belongs to more than one traditional organization?	None or less than 10%	10%-30%	30%-65%	More than 65%	Rapid Assessment
1.3 Informal organizations	How many informal organizations exist?	None	Less than two informal organizations	Three to five informal organizations	More than five informal organizations	Rapid Assessment
1.4 Involvement in informal organizations	What percentage of community members belongs to more than one informal organization?	None or less than 10%	10%-30%	30%-65%	More than 65%	Rapid Assessment
1.5 Formal organizations	How many formal organizations exist?	None	Less than two formal organizations	Three to five formal organizations	More than five formal organizations	Rapid Assessment
1.6 Involvement in formal organizations	What percentage of community members belongs to more than one formal organization?	None or less than 10%	10%-30%	30%-65%	More than 65%	Rapid Assessment

2. Linkage with local governments	What is the nature and quality of relations between community and local governments?					
2.1 Awareness of local governments activities	What percentage of community members know about local government activities?	None or less than 10%	10%-30%	30%-65%	More than 65%	Rapid Assessment
2.3 Dialogue between local government and community members	What percentage of the community members interact with local government on community development issues?	There is no meaningful dialogue between community members and NGO and CSO	Local government seeks to dialogue with a small sub-set of communities only.	Local government dialogues with a relatively broad range of community members	Mechanisms are in place to facilitate systematic dialogue between local governments and community members	Rapid Assessment
3. Linkage with national government	What is the nature and quality of relations between community and national governments?					
3.1 Awareness of national government's activities	What percentage of people know about the activities of national government?	None or less than 10%	10%-30%	30%-65%	More than 65%	Rapid Assessment
4. Linkage with NGO and other civil society organizations	What is the level of awareness about NGO and civil society organizations in the community?					
4.1 Awareness of NGOs and other civil society organizations	What percentage of people know about NGOs and other civil society organizations?	None or less than 10%	10%-30%	30%-65%	More than 65%	Rapid Assessment
4.2 Dialogue between NGO and other Civil Society Organizations (CSO) and community members	What percentage of the community members interact with NGO and CSO?	There is no meaningful dialogue between community members and NGO and CSO	NGO and CSO seek to dialogue with a small sub-set of communities only	NGO and CSO dialogue with a relatively broad range of community members	Mechanisms are in place to facilitate systematic dialogue between NGO/CSO and community members	Rapid Assessment

5. Access to information		How do most people get information?				
5.1a Information on community activities	What is the most frequently used media for getting information on community activities?	None or less than 10% of the community members get information from radio/ television/ newspapers	10%- 30% of the community members get information from radio/ television/ newspapers	30%- 65% of the community members get information from radio/ television/ newspapers	More than 65% of the community members get information from radio/ television/ newspapers	Rapid Assessment
5.1b Information on community activities	What is the most frequently used media for getting information on community activities?	None or less than 10% of the community members get information from community billboards/ gossip	10%- 30% of the community members get information from community billboards/ gossip	30%- 65% of the community members get information from community billboards/ gossip	More than 65% of the community members get information from community billboards/ gossip	Rapid Assessment
5.2a Information on national activities	What is the most frequently used media for getting information on national activities?	None or less than 10% of the community members get information from radio/ television/ newspapers	10%- 30% of the community members get information from radio/ television/ newspapers	30%- 65% of the community members get information from radio/ television/ newspapers	More than 65% of the community members get information from radio/ television/ newspapers	Rapid Assessment
5.2b Information on national activities	What is the most frequently used media for getting information on national activities?	None or less than 10% of the community members get information from community billboards/ gossip	10%- 30% of the community members get information from community billboards/ gossip	30%- 65% of the community members get information from community billboards/ gossip	More than 65% of the community members get information from community billboards/ gossip	Rapid Assessment

Capacity Index: Scoring Matrix

Stakeholder: Community

2. Community actors and their environment

Version 2 (10.16). Revised 9/12

<i>Indicator</i>	<i>Description</i>	<i>Score 1</i>	<i>Score 2</i>	<i>Score 3</i>	<i>Score 4</i>	<i>Data Source</i>
1. Leadership experience in the community	What is the extent of leadership experience in the community?					
1.1 Local leaders response to community needs	How effectively do local leaders respond to community needs?	Local leaders are totally out of touch with community needs	Leaders recognize issues but do not take up community concerns	Leaders seek to take up crucial concerns of the community but lack capacity to do so.	Leaders are very effective in taking crucial concerns to the community	Rapid Assessment
1.2 Public trust	To what degree are leaders trusted by communities?	A small minority of the members (<25%) has trust in local leaders.	A greater minority of community members (25-50%) has trust in local leaders	A small majority of community members (50-75%) has trust in local leaders	A large majority of community members (>75%) has trust in civil society actors	Rapid Assessment
2. Accountability of community leaders to their constituents	To what extent are the community leaders accountable to their constituents?					
2.1 Awareness of the public activities of the community leaders	What is the level of communication between community leaders and community members?	There is very little communication	There is limited communication	There is moderate level of communication	There is significant level of communication	Rapid Assessment

3. Social diversity and gender balance	What is the degree of social diversity and gender balance in the community?					
3.1 Inclusion of women in community activities	Do women get equal opportunities to participate in community activities?	Women are excluded from community activities	Women are largely absent from community activities	Women are somewhat involved but are overall under-represented in community activities	Women are equitably represented in community activities	Rapid Assessment
3.2. Inclusion of poor and minorities in community activities	Do the poor and minorities get equal opportunities to participate in community activities?	Poor and minorities are excluded from community activities	Poor and minorities are largely absent from community activities	Poor and minorities are under-represented in community activities	Poor and minorities are equitably represented in community activities	Rapid Assessment
4. Ability to mobilize financial and in-kind resources	What is the ability of the community to mobilize financial and in-kind resources?					
4.1 Community's experience in mobilizing financial and in-kind resources.	Are there examples of community mobilization of financial and in-kind resources?	There are no examples of communities to mobilize resources	Preliminary efforts have been made by community but only a small fraction of community was involved and impact is extremely limited	Some mechanisms for community resource mobilization are in place but only some members of community are involved and impact is limited	Mechanism for resource mobilization are in place and function quite effectively	Rapid Assessment

Capacity Index: Scoring Matrix

Stakeholder: Community

3. Community Access

Version 2 (10.16). Revised 9/12

<i>Indicator</i>	<i>Description</i>	<i>Score 1</i>	<i>Score 2</i>	<i>Score 3</i>	<i>Score 4</i>	<i>Rapid Assessment</i>
1. Equality in the community	What is the extent of equality in the community?					
Fairness in the distribution of land	What percentage of the community is satisfied with the distribution of Land	None or less than 10%	10%-30%	30%-65%	More than 65%	
Fairness in the distribution of Humanitarian Aid	What percentage of the community is satisfied with the distribution of Humanitarian Aid	None or less than 10%	10%-30%	30%-65%	More than 65%	
Social equality	What percentage of the community believes there is social equality in the community	None or less than 10%	10%-30%	30%-65%	More than 65%	
Gender equality	What percentage of the community believes there is gender equality in the community	None or less than 10%	10%-30%	30%-65%	More than 65%	
Ethnic equality	What percentage of the community believes there is ethnic equality in the community	None or less than 10%	10%-30%	30%-65%	More than 65%	

2. Employment in the community	What is the rate of employment in the community? (Official and estimated unofficial rates)					
2.1 Rate of employment and sections of society that are officially (and unofficially) employed	What percentage of the community are employed?	None or less than 10%	10%-30%	30%-65%	More than 65%	
	Are women and youth employed?	None or less than 10%	10%-30%	30%-65%	More than 65%	
3. Access to basic services	Does the community have access to basic services?					
3.1 Basic services present in the community	What percentages of the community have access to basic services-water?	None or less than 10%	10%-30%	30%-65%	More than 65%	
	What percentages of the community have access to basic services-electricity?	None or less than 10%	10%-30%	30%-65%	More than 65%	
	What percentages of the community have access to basic services-gas?	None or less than 10%	10%-30%	30%-65%	More than 65%	
4. Access to education and health services	Does the community have access to education and health services?					
4.1 Education and Health Services present in the community	What percentages of the community have access to education?	None or less than 10%	10%-30%	30%-65%	More than 65%	

	What percentages of the community have access to health services?	None or less than 10%	10%-30%	30%-65%	More than 65%	
5. Income from illegal sources	Does the community derive income from illegal sources?					
5.1 Illegal sources of income	What percentages of the community derive income from illegal sources?	More than 65%	30%-65%	10%-30%	Less than 10%	
6. Corruption	What is the perception of corruption at the community, local government and national government levels? (Define corruption in local terms.)					
6.1 Corruption at the level of community, local government and national government	What percentage of the community members are considered corrupt?	More than 65%	30%-65%	10%-30%	Less than 10%	

Capacity Index: Scoring Matrix⁴

Stakeholder: Community

4. Community Social Capital

Version 2 (10.16). Revised 9/12

<i>Indicator</i>	<i>Description</i>	<i>Score 1</i>	<i>Score 2</i>	<i>Score 3</i>	<i>Score 4</i>	<i>Rapid Assessment</i>
1. Social Capital	What is the evidence of the presence of social capital among community members?					
1.1 Community's trust in informal/traditional organizations	What percentage of community members trust the informal/traditional organizations?	None or less than 10%	10%-30%	30%-65%	More than 65%	
1.2 Community's trust in each other	What percentage of community members trust each other?	None or less than 10%	10%-30%	30%-65%	More than 65%	

⁴ Based upon the design of the CIVICUS tool, see Finn Heinrich Volkhart, (2004) CIVICUS Civil Society Index: Assessing and Strengthening Civil Society Worldwide, Johannesburg: CIVICUS.

2. Community Participation	Exposure to participation in 'community based' activities					
2.1 Experience in community based activities	Does the community have experience in community based activities?	None	1-3 years	3-5 years	More than 5 years	
3. Community based credit-programs	Does the community have experience in community based credit programs (CBOs)?					
3.1 Presence of community based credit programs	What percentage of community members have experience with community based credit programs (CBOs)?	None or less than 10%	10%-30%	30%-65%	More than 65%	

Capacity Index: Scoring Matrix						
Stakeholder: Local Governance Institutions						
Version 2 (10.16). Revised 9/12						
Indicator	Description	Score 1	Score 2	Score 3	Score 4	Rapid Assessment
1. Collaboration with Central government	What is the degree of autonomy from central government?					
1.1 Budgetary decisions	What is the extent of autonomous budgetary decision making on the part of local government	Local government never makes budgetary decisions	Local government sometimes makes budgetary decisions	Local government usually makes budgetary decisions	Local government always makes budgetary decisions	
1.2 Local policies	To what extent are local policies being developed?	There is no policy development at the local government	Local government is beginning to develop local policies	Local government follow a standard approach for local policy development	Local government always develops local policies	
1.3 Elected leadership positions	What percentages of local government leaders are elected?	None of the local government leadership positions are elected	Less than 10% of the local government leadership positions are elected	10%-50% of the local government leadership positions are elected	More than 50% of the local government leadership positions are elected	

2. Decentralization of local government to local communities	What is the degree of decentralization of local government to local community level?					
2.1 Local government activities	What percentage of local government activities are decentralized?	None of the local government activities are decentralized	Less than 10% of the local government activities are decentralized	10- 50% of the local government activities are decentralized	More than 50% of the local government activities are decentralized	
2.2 Accountability	To what extent are local government leaders accountable to their constituents?	Local government leaders are never accountable	Local government leaders are accountable 10% of the time	Local government leaders are accountable 10-50% of the time	Local government leaders are accountable 50% of the time	
3. Access to information	What is the level of local government's access to information about rayon level and above administration activities					
3.1 Information about rayon level or national level activities	To what extent does the local government unit know about rayon or national level activities?	Local government unit is never informed about rayon or national level activities	Local government unit is informed about rayon or national level activities 10% of the time	Local government unit is informed about rayon or national level activities 10-50% of the time	Local government unit is informed about rayon or national level activities on a regular basis	
4. Collaboration between local government and local organizations	What is the level of collaboration between local government and local organizations?					
4.1 Local governments awareness of and involvement in community based activities	How much awareness of and involvement does local government have in community based activities?	Local government is not aware and involved in community based activities	Local governments are aware and involved in community based activities less than 10% of the time	Local governments are aware and involved in community based activities 10-50% of the time	Local governments are aware and involved in community based activities more than 50% of the time	

4.2	Transparency in local government's activities	To what extent is there demonstrated transparency in local governance activities?	Local governance activities are not transparent	Local governance activities are transparent less than 10% of the time	Local governance activities are transparent less than 10-50% of the time	Local governance activities are transparent more than 50% of the time	
5. Capacity and leadership		Does local government have well qualified staffs?					
5.1	Staff hiring practices	Does local government exercise fair hiring practices?	No	Less than 10% of the time	10-50% of the time	More than 50% of the time	
5.2	New leadership experience	What is the extent of new leadership experience in the local governments?	Local government does not have experience of new leadership	Local government has experienced new leadership less than 10% of the time	Local government has experienced new leadership 10-50% of the time	Local government has experienced new leadership more than 50% of the time	
5.3	Community member's trust over local governance leaders	What is the level of community member's trust over local governance leaders?	Community members do not trust local government leaders	Less than 10% of the community members trust local government leaders	10-50% of the community members trust local government leaders	More than 50% of the community members trust local government leaders	
5.4	Perceived corruption at local government level	What percentage of the local government staff is corrupt?	More than 50% of the local government staff are corrupt	10-50% of the local government staff are corrupt	Less than 10% of the local government staff are corrupt	Local government staff is not corrupt	
6. Women in local governance		What is the level of women's participation in local government?					
6.1	Women's participation in decision making at the local governance	What percentage of women participate in decision making at the local governments?	Women do not participate in decision making at the local government	10-30% of the women participate in decision making at the local government	30-65% of the women participate in decision making at the local government	More than 65% of the women participate in decision making at the local government	

Tool 6: Client Satisfaction Survey

OVERVIEW

Client satisfaction surveys provide quantitative information on client perceptions of the quality, relevance, accessibility and responsiveness of services provided by a sponsoring organization. They are also used to assess the quality of services provided by local governments and private sector providers as part of efforts to hold service providers more accountable for quality service delivery to citizens.

WHAT IS IT?

A customer satisfaction survey is a management tool for understanding the quality of programs from the client's perspective. Surveys seek feedback from clients about certain facets of service delivery such as quality, access, timeliness and affordability. Sponsoring organizations can seek views from both ultimate clients and intermediate clients about the quality of their programs. Sponsoring organizations can also employ customer satisfaction surveys in efforts to assess and improve the performance of local service providers including municipal governments and private sector providers.

WHAT CAN WE USE IT FOR?

Experience indicates that effective customer feedback on service delivery improves program performance, creates a more participatory working environment for programs, and also increases sustainability. These assessments also help provide sponsoring organizations with the information they need for making constructive changes in the design and execution of programs. This information may be shared with partners and customers as an element in a collaborative, ongoing relationship. In addition, customer service assessments provide input for reporting on results and allocating resources.

ADVANTAGES

- Complements other performance monitoring activities and directly refers to short- and medium-term impacts

- Provides good insight into client perceptions of program or service quality
- Provides early indication if program will achieve stated goals

DISADVANTAGES

- Unless survey is properly constructed may not offer in-depth understanding of why client perceptions are what they are

COST

Low to moderate depending on scope of the survey

SKILLS REQUIRED

Basic questionnaire design and data analysis skills

TIME

2-4 weeks depending on size of the survey

STEP-BY-STEP DIRECTIONS

STEP 1: DECIDE WHEN THE ASSESSMENT SHOULD BE DONE

Client satisfaction surveys should be conducted when sponsoring organizations need customer information to assess and improve program-related services. Client satisfaction surveys are likely to be most effective if they are planned to coordinate with critical points in program planning cycles. Client satisfaction surveys will be most valuable as management and reporting tools if they are carried out a few months in advance of the sponsoring agency's annual planning and reporting process. That way there is adequate time to build the results of the assessment into program planning or redesign.

STEP 2: DESIGN THE ASSESSMENT

Depending on the scale of the effort, the sponsoring agency may wish to develop a scope of work for a client satisfaction survey. At a minimum, planning the assessment should: (1) identify the

purpose, users and intended uses of the information; (2) clarify the program products or services being assessed; (3) identify the customer groups involved; and (4) define the issues the assessment will address. Moreover, the scope of work typically discusses data collection methods, analysis techniques, reporting and dissemination plans, and a budget and time schedule.

Specific issues to be assessed will vary with the purpose of the survey; however, the assessments generally aim at understanding:

- Customer views regarding the importance of various sponsor agency-provided services (e.g., training, information, commodities, technical assistance) to their own needs and priorities
- Customer judgments, based on measurable service standards, on how well the sponsor organization is performing service delivery
- Customer comparisons of sponsor agency service delivery with that of other providers

Open-ended inquiry is especially well-suited for addressing the first issue. The other two may be measured and analyzed quantitatively or qualitatively by consulting with ultimate or intermediate customers with respect to a number of service delivery attributes or criteria important to customer satisfaction. In more formal surveys, customers may be asked to rate services and products on a 1-to-5 scale indicating their level of satisfaction with specific service characteristics or attributes they consider important (e.g., quality, reliability, responsiveness). In addition to rating the actual services, customers may be asked what they would consider "excellent" service, referring to the same service attributes and using the same 5-point scale. Analysis of the gap between what customers expect as an ideal standard and what they perceive they actually receive indicates the areas of service delivery needing improvement.

In more qualitative approaches, such as focus groups, customers discuss these issues among themselves while evaluators listen carefully to their perspectives.

STEP 3: CONDUCT THE ASSESSMENT

With its objective clearly in mind, and the information to be collected carefully specified, the sponsoring agency may decide to use in-house resources, external assistance from consultants, or a combination of the two, to conduct the assessment.

Select from a broad range of methods. A customer satisfaction survey may go beyond survey methods. It may draw on a broad repertoire of inquiry tools designed to elicit information about the needs, preferences, or reactions of customers regarding a sponsor agency activity, product or service. Methods may include the following:

- Formal customer surveys
- Rapid appraisal methods (e.g., focus groups, town meetings, interviews with key informants)
- Participatory appraisal techniques, in which customers plan, analyze, self-monitor, evaluate or set priorities for activities
- Document reviews, including systematic use of social science research conducted by others

Use systematic research methods. A hastily prepared and executed effort does not provide quality customer satisfaction information. Sound methods are essential.

Practice triangulation. To the extent resources and time permit, it is preferable to gather information from several sources and methods, rather than relying on just one. Such triangulation will build confidence in findings and provide adequate depth of information for good decision-making and program management. In particular, quantitative surveys and qualitative studies often complement each other. Whereas a quantitative survey can produce statistical measurements of customer satisfaction (e.g., with quality, timeliness, or other aspects of a program operation) that can be generalized to a whole population, qualitative studies can provide an in-depth understanding and insight into customer perceptions and expectations on these issues.

Conduct assessments routinely. Client satisfaction surveys should be repeated periodically to enable sponsoring agencies to build a foundation of findings over time to inform management of changing customer needs and perceptions. Maintaining an outreach orientation will help sponsoring agencies adapt to changing circumstances as reflected in customer views.

STEP 4: BROADLY DISSEMINATE AND USE ASSESSMENT FINDINGS

Customer satisfaction surveys gain value when broadly disseminated within the sponsoring agency, and to other groups active in similar programs. Sharing this information is also important to maintaining open, transparent relations with customers themselves. Sometimes survey findings may be combined with advocacy work to influence better services, for example to provide better quality education for the poor.

Assessment findings provide managers with insight on what is important to customers and how well the sponsoring agency is delivering its pro-

grams. They also can help identify operations that need quality improvement, provide early detection of problems, and direct attention to areas where remedial action may be taken to improve delivery of services.

Customer assessments form the basis for review of and recommitment to service principles. They enable measurement of service delivery performance against service standards and encourage closer rapport with customers and partners. Moreover, they encourage a more collaborative, participatory, and effective approach to achievement of program objectives.

RESOURCES

World Bank, (2003). Conducting Client Satisfaction Surveys: <http://www.worldbank.org/afr/stats/wbi.cfm#sds>

Client Satisfaction Survey
(Insert name of organization here _____)

Civil Society Support Initiative
Kazakhstan, Kyrgyzstan and Turkmenistan

Thank you for participating in the Civil Society Support Center (CSSC)'s survey process. This survey will be sent to all of our clients to assess how we can improve the quality of services provided to you. You will not be asked to provide your name and all the information provided herein will be kept strictly confidential and remain anonymous—that is, no one will know that you gave a particular answer. If you would like to provide your name and/or the name of your non governmental organization (NGO), you are welcome to. This survey should take approximately 5-10 minutes to complete.

We look forward to your comments as a way to improve the overall quality of our services.

PLEASE CIRCLE ONE:

BACKGROUND INFORMATION

1. **Country** (please circle the appropriate number):

1 Kazakhstan 2 Kyrgyzstan 3 Turkmenistan

2. **City** (please circle the appropriate number):

1 Aktobe	9 Batken	17 Nookat
2 Almaty	10 Bishkek	18 Osh
3 Astana	11 Jalalabat	19 Talas
4 Atyrau	12 Kant	20 Ashgabat
5 Karagandy	13 Karabalta	21 Dashoguz
6 Kostanai	14 Karakol	22 Turkmenabat
7 Semey	15 Kerben	23 Turkmenbashi
8 Ust-Kamenogorsk	16 Naryn	

3. **Gender**

1 Male 2 Female

4. **Age**

1 - Under 18 2 - 18-35 3 - 36-50 4 - 51 or older

5. **Please indicate your affiliation:**

- 1- Local nongovernmental organization
- 2- Community-based organization
- 3- Community initiative group
- 4- Local government
- 5- Other: _____

6. How often have you used the products and services of the CSSC?

- 1- Weekly
- 2- Every 1-2 months
- 3- Every 6 months
- 4- Once a year
- 5- First time user

7. For how long have you been using the products and services of the CSSC?

- 1- 3 years or more
- 2- from two to three years (excluding)
- 3- from one to two years (excluding)
- 4- from 6 months to one year (excluding)
- 5- Less than 6 months

SATISFACTION WITH CSSC SERVICES

8. What is your overall satisfaction with CSSC's products and services?

- 1- Completely satisfied
- 2- Very satisfied
- 3- Satisfied
- 4- Moderately Satisfied
- 5- Dissatisfied
- 6- Not applicable/never used services

9. How satisfied are you with the CSSC Resource Center services (e.g. computer and Internet services, telephone and email communication, and information dissemination)?

- 1- Completely satisfied
- 2- Very satisfied
- 3- Satisfied
- 4- Moderately Satisfied
- 5- Dissatisfied
- 6- Not applicable/never used services

10. How satisfied are you with the CSSC's specialized Program Consultations?

- 1- Completely satisfied
- 2- Very satisfied
- 3- Satisfied
- 4- Moderately Satisfied
- 5- Dissatisfied
- 6- Not applicable/never used services

11. How satisfied are you with the overall quality of the Participatory Community Appraisal facilitated by the CSSC?

- 1- Completely satisfied
- 2- Very satisfied
- 3- Satisfied
- 4- Moderately Satisfied
- 5- Dissatisfied
- 6- Not applicable/never used services

12. How satisfied are you with the overall quality of the Community Action Planning facilitated by the CSSC?

- 1- Completely satisfied
- 2- Very satisfied
- 3- Satisfied
- 4- Moderately Satisfied
- 5- Dissatisfied
- 6- Not applicable/never used services

13. How satisfied are you with the CSSC training workshops?

- 1- Completely satisfied
- 2- Very satisfied
- 3- Satisfied
- 4- Moderately Satisfied
- 5- Dissatisfied
- 6- Not applicable/never used services

14. How satisfied are you with the quality of instruction in the training workshops?

- 1- Completely satisfied
- 2- Very satisfied
- 3- Satisfied
- 4- Moderately Satisfied
- 5- Dissatisfied
- 6- Not applicable/never used services

15. How relevant are the training workshops to your needs?

- 1- Completely Relevant
- 2- Very Relevant
- 3- Relevant
- 4- Moderately Relevant
- 5- Not Relevant
- 6- Not applicable/never used services

Tool 7: Direct Observation

OVERVIEW

Direct observation is an evaluation method that can be used by sponsoring organizations for qualitative or quantitative data collection in monitoring and evaluation activities. Direct observation can be used to assess changes in beneficiary behavior or changes in institutional performance as a result of program interventions. Observation records targeted occurrences in a natural setting with minimal intrusion on the part of the evaluator.

WHAT IS IT?

Observation is a process in which an evaluator seeks information about program-related activities, processes and results, as they occur in their natural setting.

WHAT CAN WE USE IT FOR?

- To collect information related to certain events, activities or behaviors of interest to the sponsoring agency. For example, frequency and type of interaction between different ethnic groups in a post-conflict setting, or collaborative planning skills used in local councils
- To record certain aspects of an event, activity or behavior in its most natural state in order to better understand needs or to learn more about the process and results of programs

ADVANTAGES

- Provides data that is most reflective of the natural state
- Avoids the subjective opinions of interviewees or focus group participants
- Provides focused observation of a certain event
- Demonstrates needs, issues or program results
- Serves as a method of quantitative data collection

DISADVANTAGES

- Subjectivity or biases of observer(s)
- Some topics may not lend themselves to observations because of sensitivity or invasion on privacy

- Some questions or issues may be better addressed using other approaches
- Does not answer “why” or “how”
- In its purest form, it is not interactive

Cost

Low to medium. Low if using local observers and shorter time frames for observation. Costs for observation increase if it requires assigning professional evaluators/researchers to observe certain events or occurrences over a long period of times.

SKILLS

- Basic knowledge of the program/evaluation subject
- Accurate knowledge of classification criteria
- Adept at interpreting observed function within criteria
- Accurate recording of data

ETHICAL RULES

- Ensure that observation is not violating individuals’ privacy
- Ensure that observer is as unobtrusive as possible
- Ensure that observation is not a safety hazard to observer or others

TIME REQUIRED

Time required for conducting observation varies based on the nature of the evaluation activity. But in general, observation, by its definition, requires an extended period of time to gather valid and reliable data. Qualitative observation is likely to be more time consuming than quantitative observation.

STEP-BY-STEP DIRECTIONS

Before discussing the steps involved in the observation process, it is important to recognize that the purpose of observation in the context of FSP is to assess the impact of peacebuilding efforts on establishing peace. Therefore, the evaluator must adhere to the following three principles throughout the observation process:

- *To identify observable aspects of the conflict situation which will allow for assessing before- and after-intervention effects of peacebuilding interventions.* For example, if the researcher is assessing the effect of a specific peacebuilding intervention on the interaction among school students from different ethnic group, s/he will need to identify aspects of that interaction which would be influenced by the peacebuilding intervention (e.g., increase or decrease in spontaneous cross-ethnic fun activities during free time, increase or decrease in the number of fights, or conflicts between students of ethnic groups).
- *To engage members of the community in the development of the Observation process.* Community interview(s) and other participatory method(s) should take place with the intention of eliciting indicators needed to demonstrate community peace. Types of indicators could include: numbers of interethnic people working together in the market; numbers of desegregated public places; and numbers of people of different ethnic groups using the same well.
- *To conduct the observations before, during, and after the intervention.* The purpose of this peacebuilding observation is to assess the effect of specific interventions. To accomplish this goal, the researcher must conduct observations before the intervention takes place, during the intervention, and after the intervention. The comparison, especially before and after the intervention, provides the most valid proof of the effectiveness of an intervention.

STEP 1: IDENTIFY THE TOPICS OF INTEREST

Just as with any research project, the first step is to identify the topic(s) of interest. Naturally, not all research topics will be suitable for observation. To the extent that a research topic requires the

opinions and interpretations of individuals, the less likely the topic will be conducive to observation (e.g., views of segments of the society about abortion). But to the extent that aspects related to the research topic may be observed in their natural state, without causing harm to the researcher or others, the topic may be suitable for observation.

STEP 2: DETERMINE THE EVENTS, ACTIONS OR BEHAVIORS RELATED TO THE TOPICS

Once the researcher determines that the topic is suitable for observation, s/he, in collaboration with community members as expressed in the second principal above, determines the specific aspects of the topic that will be observed. For example, if the researcher will observe students' behaviors before and after a peacebuilding intervention aimed at reducing ethnic tension, s/he will need to determine specific aspects of behavior to observe. In collaboration with community members, s/he develops a list of events, actions and behaviors that will indicate the effectiveness of the intervention. Examples could include: a reduction in the number of inter-ethnic school fights during free time or an increase in spontaneous interethnic fun activities.

STEP 3: DEVELOP A MEASURABLE/OBJECTIVE CRITERIA FOR ASSESSMENT

Once the researcher identifies all items in steps 1 and 2 above, s/he will develop measurable and objective criteria to assess the events, activities or behaviors of interest. This is perhaps the most important step in terms of research validity. The criteria must be developed in a manner that will capture all that fall under a category of behaviors, events or activities, while excluding all that do not fall under the category. So, for example, to measure hostile behavior between students from different ethnic groups, the researcher may include actions such as physical violence, name calling, offensive gestures or us specific ethnic slurs.

STEP 4: DEVELOP AN OBSERVATION FORM

The observation form is then developed to ensure that information will be recorded consistently, especially if more than one researcher will conduct observations. It is also preferable that outside researchers conduct the observation. This help to ensure the objectivity of the observations. However, a researcher may determine that engaging members of the ethnic groups in the observation process may be useful. This may be useful if the researcher determines that: (1) engaging members of the ethnic communities does not interfere with the objectivity of the research; and (2) engaging them together sets a positive model of cooperation across ethnic lines.

Conducting observations by more than one observer is highly recommended to ensure against bias, and to establish stronger data reliability. The form must include all information pertaining to the observation, such as date and time of observation, location, and length of observation, in addition to the observation categories (e.g., approximate number of students of each ethnic group, gender mix, hostile actions, positive communication, and friendly interaction across ethnic lines).

STEP 5: PILOT-TEST THE OBSERVATION

No matter how careful researchers were in developing observation models and forms, it is necessary to pilot-test the forms in real-life situations. It is also preferable to include in the pilot-testing observers who did not take part in the design process. This is intended to ensure that the observation form is valid and independent from who is using it. In addition, the pilot observers may provide new insights.

STEP 6: DETERMINE A REPRESENTATIVE SAMPLE

As with all research activities, the researcher must identify a number of events to conduct the observations. The selection of events and locations must follow proper research sampling processes. There are various sampling techniques appropriate for different research projects. The researcher must provide convincing arguments for the selection of certain sampling procedures. It may be helpful to consult an experienced researcher on such matters.

STEP 7: CONDUCT THE OBSERVATION

Step 7 includes the following sub-steps:

- Arrive in the location of observation early
- Select a position that allows for the best observation of what you are interested in
- Record observations accurately and attentively
- Maintain low key
- Adapt observation data collection process to emerging conditions
- Record qualitative information about unique or individual findings

STEP 8: CODE AND ANALYZE DATA

Once data is gathered, the researcher follows the following steps:

- Conduct inter-rater reliability tests. This is a process intended to compare how various observers coded the same events. Usually this process includes comparing the coding of two observers. When there are discrepancies, they discuss them in order to reconcile differences, or consult with a third researcher.
- Code data. Observation data may be coded quantitatively or qualitatively. In either method, data coding accuracy and consistency is the key to accurate analysis and findings.
- Analyze data. Depending on the nature of the data- quantitative or qualitative-, the researcher employs techniques aimed at establishing frequency of occurrence of certain behaviors, events or activities, and relations among variables. For example, using the example above, the researcher will code the frequency of occurrence of various students' behaviors during free time. The data will also include the time, location and other factors that may influence behavior during that specific observation (e.g., a recent outbreak of violence between the ethnic groups). The data will also include factors that were associated with specific behaviors, events and activities. In this way, the researcher will be able to determine the frequency of various behaviors, events or activities, and also the extent to which each was related to other factors. For example, how often was hostile behavior related to publicized outbreak of violence; or, how often did it decrease as more news of successful negotiations between the ethnic groups was publicized.

Sample Observation Form

Observer: _____

Date: _____ Observation Start Time: _____ End Time: _____

Location: _____

Event: _____

Number of Students (approximate):

	Ethnic Group 1	Ethnic Group 2
Male		
Female		

Description of the Situation

Types of Actions (items in the chart are examples of how to use it):

Action: 1=hostile, violent 2=hostile, not violent 3= Friendly interaction 4=Other	Trigger	Number of students involved	Length of time	Other factors
2 (one student used ethnic slurs as a student from the other group attempted to join in a football game)	Arrival of a student from the other group	2	3 minutes	The arriving student left angry
1 (hand-fist fight between students from two ethnic groups)	Radio news that ethnic violence broke out in a neighboring town	6	10 minutes	Teachers intervened to break up the fight
3 (Students from two ethnic groups engaged in a football game)		20	40 minutes	No overt or implicit hostility was observed
4 (the student who was refused to join a game complained to a teacher, who had a talk with the student who used ethnic slurs)	Student complaint to a teacher	2	10 minutes	The teacher made the student apologize

Comments:

Tool 8: Focus Groups

OVERVIEW

Focus groups are a rapid, low-cost method for understanding the perceptions and experiences of program clients and beneficiaries to support program needs assessment, design options and to gather ideas to improve program performance.

WHAT IS IT?

Focus groups consist of expertly moderated small-group discussion (7-11 people) that center on the perceptions and experiences of knowledgeable customers or beneficiaries concerning issues of interest to the agency sponsoring the Focus Groups. Client perceptions and experiences are elicited via carefully structured but open-ended questions.

WHAT CAN WE USE IT FOR?

Focus group interviews can be useful during all phases of program planning, implementation, monitoring, and evaluation. They can be used to solicit views, insights, and recommendations of program staff, customers, stakeholders, technical experts, or other groups. The information generated serves to complement other interview data and quantitative outcome data.

They are especially appropriate when:

- Program activities are being planned and it is important for managers to understand the stakeholders' attitudes, preferences or needs;
- Specific services or outreach approaches have to take into account the post-conflict environment;
- Major program implementation problems cannot be explained; and
- Recommendations and suggestions are needed from beneficiaries, partners, experts, or other stakeholders.

For example, focus groups may be used to better understand the beneficiary's conception of civil society or their impressions about the state and/or independent media.

ADVANTAGES

- It is low cost and provides speedy results.
- Its flexible format allows the facilitator to explore unanticipated issues and encourages interaction among participants. In a group setting participants provide checks and balances, thus minimizing false or extreme views.

DISADVANTAGES

- The flexible format makes it susceptible to facilitator bias, which can undermine the validity and reliability of findings.
- Discussions can be sidetracked or dominated by a few vocal individuals.
- Focus group interviews generate relevant qualitative information, but no quantitative data from which generalizations can be made for a whole population. Moreover, the information can be difficult to analyze; comments should be interpreted in the context of the group setting.
- Data gathered may not be accurate or truly reflect accurate information.

COST

Cost is generally low for focus group interviews. A safe and suitable location to conduct the interview is required as well as flip charts, a skilled facilitator and perhaps a translator.

SKILLS REQUIRED

Minimum 1-2 days training for facilitators.

TIME REQUIRED

The focus group interview should last approximately 1-2 hours. An additional 2-4 hours are needed to compile the results of the interview.

STEP-BY-STEP DIRECTIONS

Before deciding whether to use focus group interviews as a source of information, the study purpose needs to be clarified. This requires identifying who will use the information, determining what information is needed, and understanding why the information is needed. Once this is done, an appropriate methodology can be selected.

Also, some general guidelines need to be defined. These guidelines include:

- There are no right or wrong answers
- Everyone should speak
- Audiotape discussion to better transcribe and/or translate interviews
- Introduce all non-participants in the room and explain their roles
- Ask if everyone is comfortable with the guidelines
- Ask participants to individually introduce themselves and explain what they do
- The session is confidential. It will not be published or broadcast

STEP 1: SELECT THE TEAM

Conducting a focus group interview requires a small team, with at least a facilitator to guide the discussion and a rapporteur to record it. The facilitator should be a native speaker who can put people at ease but a skilled translator can work as well if needed. The team should have substantive knowledge of the topic under discussion.

Skills and experience in conducting focus groups are also important. If the interviews are to be conducted by members of a broader evaluation team without previous experience in focus group techniques, training is suggested. This training can take the form of role playing, formalized instruction on topic sequencing and probing for generating and managing group discussions, as well as pre-testing discussion guides in pilot groups.

STEP 2: SELECT THE PARTICIPANTS

First, identify the types of groups and institutions that should be represented (such as program managers, beneficiaries, partners, technical experts, government officials) in the focus groups. This will be determined by the information needs of the study. Often separate focus groups are held for each type of group. Second, identify the most suitable people in each group. One of the best approaches is to consult key informants who know about local conditions. It is prudent to consult several informants to minimize the biases of individual preferences.

Each focus group should be 7 to 11 people to allow the smooth flow of conversation. Participants should be homogenous, from similar socio-economic and cultural backgrounds. They should share common traits related to the discussion topic. For example, in people of different ethnic groups and perhaps, older and younger men and women should participate in separate focus groups. People may be more inclined to discuss their views and perspectives if they are assured there will be no recrimination. Ideally, people should not know each other. Anonymity lowers inhibition and prevents formation of cliques.

STEP 3: DECIDE ON TIMING AND LOCATION

Discussions last one to two hours and should be conducted in a convenient location with some degree of privacy. Focus groups in a small village arouse curiosity and can result in uninvited participants. When visiting rural villages, often a crowd gathers whenever a foreigner in a big four-wheel truck drives up. Also, during the interviews, people often wander over and watch the interview, or sit down and invite themselves to participate as well. If they arrive before a focus-group interview begins, the M&E specialist may ask them to participate. If they arrive after the interview begins, or try to join the interview, they should be politely asked to leave. Sometimes, the staff of the implementing partner wants to observe the interviews; again they should be politely asked to leave.

STEP 4: PREPARE THE DISCUSSION GUIDE

The discussion guide is an outline, prepared in advance, that covers the topics and issues to be discussed. It should contain few items, allowing some time and flexibility to pursue unanticipated but relevant issues.

The guide provides the framework for the facilitator to explore, probe, and ask questions. Initiating each topic with a carefully crafted question will help keep the discussion focused. Using a guide also increases the comprehensiveness of the data and makes data collection more efficient. Its flexibility however can mean that different focus

groups are asked different questions, reducing the credibility of the findings.

STEP 5: CONDUCT THE INTERVIEW

Establish rapport. Often participants do not know what to expect from focus group discussions. It is helpful for the facilitator to outline the purpose and format of the discussion at the beginning of the session, and set the group at ease. Participants should be told that the discussion is informal, everyone is expected to participate, and divergent views are welcome.

Phrase questions carefully. Certain types of questions impede group discussions. For example, yes-or-no questions are one-dimensional and do not stimulate discussion. “Why” questions put people on the defensive and cause them to take “politically correct” sides on controversial issues.

Open-ended questions are more useful because they allow participants to tell their story in their own words and add details that can result in unanticipated findings.

For example:

- What do you think about the criminal justice system?
- How do you feel about the national and independent/alternative media?

If the discussion is too broad the facilitator can narrow responses by asking such questions as:

- What do you think about corruption in the criminal justice system?
- How do you feel about the three national radio stations?

Use probing techniques. When participants give incomplete or irrelevant answers, the facilitator can probe for fuller, clearer responses. A few suggested techniques:

- Repeat the question. Repetition gives more time for participants to think.
- Adopt a “sophisticated naïveté” posture to convey a limited understanding of the issue and ask for specific details.

- Pause for the answer. A thoughtful nod or expectant look can convey that you want a fuller answer.
- Repeat the reply. Hearing it again sometimes stimulates conversation
- Ask when, what, where, which, and how to gather more detailed information.
- Use neutral comments—“Anything else?” or “Why do you feel this way?”

Control the discussion. In most groups a few individuals dominate the discussion. To balance out participation:

- Address questions to individuals who are reluctant to talk
- Give nonverbal cues (look in another direction or stop taking notes when an individual talks for an extended period)
- Intervene, politely summarize the point, then refocus the discussion
- Take advantage of a pause and say, “Thank you for that interesting idea, perhaps we can discuss it in a separate session. Meanwhile with your consent, I would like to move on to another item.”

Minimize group pressure. When an idea is being adopted without any general discussion or disagreement, more than likely group pressure is occurring. To minimize group pressure the facilitator can probe for alternate views. For example, the facilitator can raise another issue, or say, “We had an interesting discussion but let’s explore other alternatives.”

STEP 6: RECORD THE DISCUSSION

A rapporteur should perform this function. Notes should be extensive and reflect the content of the discussion as well as nonverbal behavior (e.g., facial expressions and hand movements). A tape recording should also be used. A high quality omni-directional microphone, tape recorder, several tapes and microphone stand are all needed. Each tape should be labeled at time of completion of the interview

Shortly after each group interview, the team should summarize the information, the team’s impressions, and implications of the information for the study.

Discussion should be reported in participants' language, retaining their phrases and grammatical use. Summarizing or paraphrasing responses can be misleading. For instance, a verbatim reply "Yes, indeed! I am positive," loses its intensity when recorded as "Yes".

STEP 7: ANALYZE RESULTS

After each session, the team should assemble the interview notes (transcripts of each focus group interview), the summaries, and any other relevant data to analyze trends and patterns. The following method can be used.

Read summaries all at one time. Note potential trends and patterns, strongly held or frequently aired opinions.

Read each transcript. Highlight sections that correspond to the discussion guide questions and mark comments that could be used in the final report.

Analyze each question separately. After reviewing all the responses to a question or topic, write a summary statement that describes the discussion.

In analyzing the results, the team should consider:

- *Words.* Weigh the meaning of words participants used. Can a variety of words and phrases categorize similar responses?

- *Framework.* Consider the circumstances in which a comment was made (context of previous discussions, tone and intensity of the comment)
- *Internal agreement.* Figure out whether shifts in opinions during the discussion were caused by group pressure.
- *Precision of responses.* Decide which responses were based on personal experience and give them greater weight than those based on vague impersonal impressions.
- *The big picture.* Pinpoint major ideas. Allocate time to step back and reflect on major findings.
- *Purpose of the report.* Consider the objectives of the study and the information needed for decision-making. The type and scope of reporting will guide the analytical process. For example, focus group reports typically are: (1) brief oral reports that highlight key findings; (2) descriptive reports that summarize the discussion; and (3) analytical reports that provide trends, patterns, or findings and include selected comments.

Sample Focus Group Interview Guide

Date and location of Focus Group: _____

Staff Represented: _____

Administered by: _____

Focus Group Interview questions from Evaluation of media transition grants in Bosnia and Herzegovina):

I. Introduction

The moderator introduces the focus group, thanking civil society representatives for attending and describing how the interview findings will be used to improve future media programming in BiH.

II. Media Focus

1. Please describe your impressions about the state media and alternative (independent) media?
2. How do you use the media?
3. What are the differences between state and alternative media?
4. To what extent do you trust or believe in media?
5. Can media help to change the political and societal situation?
6. Did media provide enough objective information during the elections?
7. Did information received affect the way you voted?
8. What would you like to see change in the media to make it stronger and more objective?

III. Wrap Up

The moderator closes the interview by thanking participants for their ideas and suggestions and reiterating how the sponsoring agency plans to use the interview findings to strengthen work in support for a stronger and more independent media.

RESOURCE

USAID Center for Development Information and Performance Monitoring and Evaluation TIPS, Conducting Focus Group Interviews, 1996, number 10, http://www.usaid.gov/pubs/usaid_eval/pdf_docs/pnaby233.pdf.

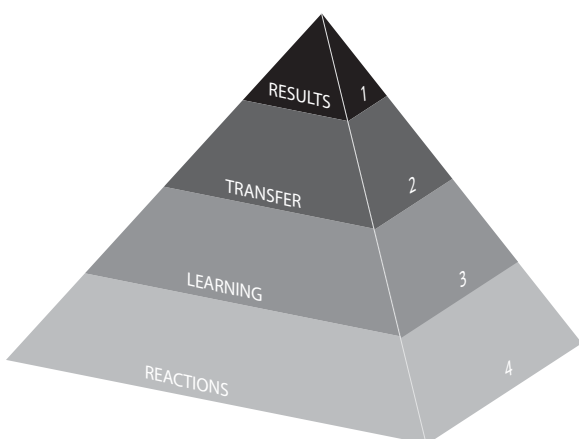
Tool 9: Four Levels of Training Evaluation

OVERVIEW

The Four Levels of Training Evaluation is a systematic and practical approach for monitoring and evaluating the quality and higher-level results of training activities.

WHAT IS IT?

The four-level model¹³ of training effectiveness implies that evaluation should always begin with level one, and then, as time and budget allows, should move sequentially through levels two, three, and four. Information from each prior level serves as a base for the next level's evaluation. Thus, each successive tier measures a higher level of the effectiveness of the training program, but at the same time requires a more rigorous and time-consuming analysis.



WHAT CAN WE USE IT FOR?

Evaluating training programs (using the four levels) gives sponsoring organizations the ability to assess training quality and results systematically, accurately and skillfully. When used as a monitoring tool the framework can be used to spot and remedy problems related to learning uptake and transfer at an early stage, leading to better training and capacity building results.

¹³ Donald Kirkpatrick, *Evaluating Training Programs: The Four Levels*. Berrett-Koehler, San Francisco, 1994.

ADVANTAGES

- Provides a comprehensive means to measure training programs and their results
- Serves not only as a diagnostic tool but also focuses on making training improvements necessary to improve training
- Helps managers make strategic, operational, and/or funding decisions concerning training and needed follow-up support
- Identifies a training program's strengths and weaknesses
- With increased calls for accountability and results the model is becoming more of a standard for assessing international training

DISADVANTAGES

- Level three and four assessments require records for following up with a sampling of trainees six months or one year later. Records may be spotty or people may have moved or changed jobs.
- More rigorous level three and four assessments are costly and time-intensive.
- Lack of assessment continuity may challenge consistent reporting.
- It may be difficult to link training to level four results due to intervening variables

COST

Low to medium—depends on the number of trainees and the number of levels chosen to evaluate and strengthen.

SKILLS REQUIRED

Sound analytical skills for the identification of information needs and the development of indicators, tests and assessments.

TIME REQUIRED

The time required varies greatly and depends on the depth of the analysis, the duration of the program or activity, and the depth of the evaluation work undertaken.

STEP-BY-STEP DIRECTIONS

STEP 1: ASSESS REACTIONS

Just as the word implies, evaluation at this level measures how participants in a training program react to it. It attempts to answer questions regarding the participants' perceptions - Did they like it? Was the material relevant to their work? This type of evaluation is often called a "smile sheet." Every program should at least be evaluated at this level to provide for the improvement of a training program. In addition, the participants' reactions have important consequences for learning (level two). Although a positive reaction does not guarantee learning, a negative reaction almost certainly reduces its possibility.

Assess reactions to training using a simple questionnaire near the end of the training. This questionnaire moves beyond how well participants liked the training to questions about:

- The relevance of the objectives
- The ability of the course to maintain interest
- The amount and appropriateness of interactive exercises
- The ease of navigation
- The perceived value and transferability to the workplace

Make this questionnaire simple and straightforward. If it is to be delivered in local languages make sure to check the translation by having it translated back into English. Because this type of evaluation is so easy and cheap to administer, it usually is conducted in most organizations.

STEP 2: ASSESS LEARNING

To assess the amount of learning that has occurred due to a training program, level two evaluations often use tests conducted before training (pre-test) and after training (post test). Assessing at this level moves the evaluation beyond learner satisfaction and attempts to assess the extent students have advanced in skills, knowledge, or attitude. Measurement at this level is more difficult and laborious than level one. Methods range from

formal to informal testing to team assessment and self-assessment. By summarizing the scores of all students, trainers can accurately see the impact that the training intervention had. One way to do this is to administer a short quiz of 10-12 true/false questions related to workshop content at the beginning of the workshop. Then use the same quiz at the end of the session and compare results to assess learning.

STEP 3: ASSESS TRANSFER

This level measures the transfer that has occurred in learners' behavior due to the training program. Evaluating at this level attempts to answer the question—Are the newly acquired skills, knowledge, or attitudes being used in the everyday environment of the learner? For many trainers this level represents the truest assessment of a program's effectiveness. However, measuring at this level is difficult as it is often impossible to predict when the change in behavior will occur, and thus requires important decisions in terms of when to evaluate, how often to evaluate, and how to evaluate.

One way to help training participants envision how they will apply what they have learned is to have them discuss next steps for how they will apply what they have learned back in their organizations. The next steps should be outlined by small working groups with detailed recommendations for what knowledge, skills and tools will be applied in what settings, by when and by whom. This creates an action plan that participants can use and you can follow-up on. To assess actual transfer, go back to the training group members six months after the training and use some interviews or mini surveys to understand what new tool and skills they are using and how they have been applied. By understanding successes and obstacles to application of learning you can design more effective trainings and support trainees with more relevant follow-up after training is completed.

STEP 4: ASSESS RESULTS

Level four evaluation attempts to assess training in terms of actual and intended results. Frequently thought of as the bottom line, this level mea-

sure the success of the program in terms higher level results and social impacts (e.g., reduced conflict, improved quality of services, more responsive local governance, improved quality of journalistic reporting, more balanced media coverage, increased use local courts to resolve disputes). From the sponsoring and local organizational perspectives, this is the overall reason for a training program, yet level four results are not typically addressed. Determining results at this level is more difficult to measure and it is more difficult to link results directly with training due to other intervening variables.

For sponsoring organizations, level four results indicate some kind of meaningful, hopefully positive, systemic change in peoples' outlook, their organizations or their communities. If you find level three results you can piggy back level four assessments on top by adding results-oriented questions. However, it might take six months to one year for level four results to become apparent. The key question at this level is: "What difference has the application of new skills, attitudes, techniques made in your life, your workplace, your community?" Key informant interviews, focus groups, Appreciative Inquiry and mini surveys with former trainees, and trainee peers and employers, can be good ways to get at this information.

<i>Level</i>	<i>Illustrative Evaluation Questions</i>	<i>Data Source</i>
1	<ul style="list-style-type: none"> -How satisfied are you with the conflict management training? -What were some of the most useful training modules? -How relevant is the training to your organization's needs? -What are your specific plans for applying what you learned in the training? -How can we improve this training to better meet your organization's needs? -What kind of follow-up support do you need to help you apply what you learned? 	Short end of workshop questionnaire and/or end workshop focus group
2	<ul style="list-style-type: none"> -Understanding different conflict styles is an important tool for conflict management (T/F) -Principled negotiation is a technique where the principals in a conflict negotiate mutually acceptable outcomes (T/F) -Conflict mapping is a technique where an expert determines the underlying causes of conflict and presents this to the parties in conflict (T/F) -Different conflict management strategies and tactics are often most useful for a specific stage of conflict (T/F) 	Simple pretest and post test of 8-12 questions related to the content of the training:
3	<ul style="list-style-type: none"> -How have you applied some of the knowledge and skills you acquired in the conflict management training in your current work or community? What are some specific examples? -To what extent have you implemented the action plan you developed at the end of the training? What are some specific actions you've taken? -What have been some of the opportunities and challenges to applying the conflict management skills that you've encountered in your workplace or community? 	6 month follow-up interviews, simple survey or focus group with a sample of workshop participants
4	<ul style="list-style-type: none"> -To what extent is your organization/community using the conflict management skills it gained through the conflict management workshop on a systematic basis? -Are there any examples of how this has helped to manage actual conflicts? -Are there any success stories that you would like to share? 	6 month or 1 year follow-up with interviews, focus groups, simple surveys or Appreciative Inquiry

Tool 10: Key Informant Interview

OVERVIEW

A rapid, low-cost data collection method used variously to explore issues related to needs and priorities of local groups, program design issues and issues related to program performance and impact.

WHAT IS IT?

It is a qualitative, in-depth interview of 15 to 35 people selected for their first-hand knowledge about a topic of interest. The interviews are loosely structured, relying on a list of issues to be discussed, or a simple interview guide, and resemble a conversation among acquaintances, allowing a free flow of ideas and information. Interviewers frame questions spontaneously, probe for information and take notes that are elaborated later.

WHAT CAN WE USE IT FOR?

This method is useful in all phases of program activity—identification, planning, implementation, and evaluation. For example, it can provide information on the setting for a planned activity that might influence project design. Or, it could reveal why intended beneficiaries aren't using services offered by a project.

Specifically, it is useful in the following situations:

- *When qualitative, descriptive information is sufficient for decision-making.*
- *When there is a need to understand motivation, behavior, and perspectives of our customers and partners.* In-depth interviews of program planners and managers, service providers, host government officials, and beneficiaries concerning their attitudes and behaviors about a program activity can help explain its successes and shortcomings.
- *When a main purpose is to generate recommendations.* Key informants can help formulate recommendations that can improve a program's performance.
- *When quantitative data collected through other methods need to be interpreted.* Key informant interviews can provide the how and why of what happened. If, for example, a

sample survey showed farmers were failing to make loan repayments, key informant interviews could uncover the reasons.

- *When preliminary information is needed to design a comprehensive quantitative study.* Key informant interviews can help frame the issues before the survey is undertaken.

ADVANTAGES

- Provides information directly from knowledgeable people
- Provides flexibility to explore new ideas and issues not anticipated during planning
- Inexpensive and simple to conduct

DISADVANTAGES

- Not appropriate if quantitative data are needed
- May be biased if informants are not carefully selected
- Susceptible to interviewer biases
- May be difficult to generalize findings

COST

Cost is generally low for key informant interviews. A safe and suitable location to conduct the interview and perhaps a translator is required.

SKILLS REQUIRED

Minimum 1-2 days training for interviewers

TIME REQUIRED

Several days to several weeks

STEP-BY-STEP DIRECTIONS

Once the decision has been made to conduct key informant interviews, following the step-by-step advice outlined below will help ensure high-quality information.

STEP 1: FORMULATE INTERVIEW QUESTIONS

Study questions relate to specific concerns of the study and generally should be limited to five or fewer.

STEP 2: PREPARE A SHORT INTERVIEW GUIDE

Key informant interviews do not use rigid questionnaires, which inhibit free discussion. However, interviewers must have an idea of what questions to ask. The guide should list major topics and issues to be covered under each study question. Because the purpose is to explore a few issues in depth, guides are usually limited to 12 items. Different guides may be necessary for interviewing different groups of informants.

STEP 3: SELECT KEY INFORMANTS

The number should not normally exceed 35. It is preferable to start with fewer (say, 25), since often more people end up being interviewed than is initially planned. Key informants should be selected for their specialized knowledge and unique perspectives on a topic. Planners should take care to select informants with various points of view.

Selection consists of two tasks: First, identify the groups and organizations from which key informants should be drawn—for example, host government agencies, project implementing agencies, contractors, beneficiaries. It is best to include all major stakeholders so that divergent interests and perceptions can be captured. Second, select a few people from each category after consulting with people familiar with the groups under consideration. Lastly, it is vital to ensure to have unbiased informants. Often partner organizations are the only ones who can identify key informants. Thus, the staff of these local organizations may feel that they have a vested interest in a positive impact evaluation. For this reason, it may be necessary to use a random selection method for identifying participants whenever possible.

STEP 4: CONDUCT INTERVIEWS

Establish rapport. Begin with an explanation of the purpose of the interview, the intended uses of the information and assurances of confidentiality. Often informants will want assurances that the interview has been approved by relevant officials. Except when interviewing technical experts, questioners should avoid jargon.

Sequence questions. Start with factual questions. Questions requiring opinions and judgments should follow. In general, begin with the present and move to questions about the past or future.

Phrase questions carefully to elicit detailed information. Avoid questions that can be answered by a simple yes or no. For example, questions such as “Please tell me about the alternative media?” are better than “Do you know about alternative media?”

Use probing techniques. Encourage informants to detail the basis for their conclusions and recommendations. There is a potential that implementers will bias the evaluation by identifying persons who will give only a positive picture of impact. While most people will give honest answers, a keen sense of discernment is necessary to listen to exaggerations. In Sri Lanka, one sponsoring agency, found that 3 out of 17 projects had been padded with cheerleaders of the implementing agency. By asking carefully focused questions to unpack positive responses, the cheerleader effect can be diminished. For example, if someone reports that the project has clearly resulted in improvements of community capacity to manage conflict, the next set of questions could be: How has it done this? What resolution mechanisms exist now that did not exist before? How do these mechanisms work? Who participates? With a detailed discussion that contains concrete examples, especially if the reports are confirmed from other sources, one can reasonably assume that the reports are accurate and valid.

Maintain a neutral attitude. Interviewers should be sympathetic listeners and avoid giving the impression of having strong views on the subject under discussion. Neutrality is essential because some informants, trying to be polite, will say what they think the interviewer wants to hear.

Minimize translation difficulties. Sometimes it is necessary to use a translator, which can change the dynamics and add difficulties. For example, differences in status between the translator and informant may inhibit the conversation. Often information is lost during translation. Difficulties can be minimized by using translators who are not known to the informants, briefing translators on the purposes of the study to reduce misunderstandings, and having translators repeat the informant's comments verbatim.

In Sri Lanka, one sponsoring agency experienced challenges associated with people understanding the questions asked. For example, at the village level people in Sri Lanka seem to think that "peace" is a macro-level condition associated with the formal peace negotiations. Generally, Sri Lankans do not conceive of peace as having a grassroots dimension. Using the ideas of coexistence or nonviolence generated better and more useful responses from participants.

STEP 5: TAKE ADEQUATE NOTES

Interviewers should take notes and develop them in detail immediately after each interview to ensure accuracy. Use a set of common subheadings for interview texts, selected with an eye to the major issues being explored. Common subheadings ease data analysis.

STEP 6: ANALYZE INTERVIEW DATA

Interview summary sheets. At the end of each interview, prepare a 1-2 page interview summary sheet reducing information into manageable themes, issues, and recommendations. Each summary should provide information about the key informant's position, reason for inclusion in the list of informants, main points made, implications of these observations, and any insights or ideas the interviewer had during the interview.

Use descriptive codes. Coding involves a systematic recording of data. While numeric codes are not appropriate, descriptive codes can help organize

responses. These codes may cover key themes, concepts, questions, or ideas, such as sustainability, impact on income, and participation of women. A usual practice is to note the codes or categories on the left-hand margins of the interview text. Then a summary lists the page numbers where each item (code) appears. For example, reintegration of ex-combatants might be given the code "rein-x-com," and the summary sheet might indicate it is discussed on pages 7, 13, 21, 46, and 67 of the interview text. Categories and subcategories for coding (based on key study questions, hypotheses, or conceptual frameworks) can be developed before interviews begin, or after the interviews are completed. Precoding saves time, but the categories may not be appropriate. Postcoding helps ensure empirically relevant categories, but is time consuming. A compromise is to begin developing coding categories after 8 to 10 interviews, as it becomes apparent which categories are relevant.

Storage and retrieval. The next step is to develop a simple storage and retrieval system. Access to a computer program that sorts text is very helpful. Relevant parts of interview text can then be organized according to the codes. The same effect can be accomplished without computers by preparing folders for each category, cutting relevant comments from the interview and pasting them onto index cards according to the coding scheme, then filing them in the appropriate folder. Each index card should have an identification mark so the comment can be attributed to its source.

Presentation of data. Visual displays such as tables, boxes, and figures can condense information, present it in a clear format, and highlight underlying relationships and trends. This helps communicate findings to decision-makers more clearly, quickly, and easily.

STEP 7: CHECK FOR RELIABILITY AND VALIDITY

Key informant interviews are susceptible to error, bias, and misinterpretation, which can lead to flawed findings and recommendations.

Check representativeness of key informants. Take a second look at the key informant list to ensure no significant groups were overlooked.

Assess reliability of key informants. Assess informants' knowledgeability, credibility, impartiality, willingness to respond, and presence of outsiders who may have inhibited their responses. Greater weight can be given to information provided by more reliable informants.

Check interviewer or investigator bias. One's own biases as an investigator should be examined, including tendencies to concentrate on information that confirms preconceived notions and hypotheses, seek consistency too early and overlook evidence inconsistent with earlier findings, and be partial to the opinions of elite key informants.

Check for negative evidence. Make a conscious effort to look for evidence that questions preliminary findings. This brings out issues that may have been overlooked.

Get feedback from informants. Ask the key informants for feedback on major findings. A summary report of the findings might be shared with them, along with a request for written comments. Often a more practical approach is to invite them to a meeting where key findings are presented and ask for their feedback.

RESOURCES

USAID Center for Development Information and Evaluation, "Performance Monitoring and Evaluation TIPS: Using Key Informant Interviews", 1996, number 2, http://www.usaid.gov/pubs/usaid_eval/pdf_docs/pnabs541.pdf.

USAID Center for Development Information and Evaluation, "Performance Monitoring and Evaluation TIPS: Using Rapid Appraisal Methods", 1996, number 5, http://www.usaid.gov/pubs/usaid_eval/ascii/pnaby209.txt.

Sample Interview Guide

This simple interview guide was used in meetings with the satellite office staff of a sponsoring agency to support the final evaluation of confidence building program in Macedonia

1. What needs did your program seek to meet?
2. What aspects of your program worked really well?
3. What were some of the results or successes you are most proud of?
4. How did community members participate in the program?
5. What aspects of your program did not work well—that is discuss some of the problems you encountered?
6. Please describe any managerial challenges you had in the program; with other donors?
7. What procedures did you use to monetize community contributions?
8. How did you program managers determine the number of beneficiaries to be served by a grant?
9. In retrospect what would you change in the program, if anything?
10. Discuss some of the lessons learned you gained in implementing the program.

Tool 11: Conflict Mapping

OVERVIEW

Conflict mapping is a participatory approach for building consensus among sponsoring agencies and other interested groups on the conflict context, dynamics and relationships in order to support planning, monitoring and evaluation of conflict interventions.

WHAT IS IT?

Conflict mapping is a process of conflict analysis, focusing on various levels of the conflict- context, dynamics and relationships with the purpose of designing appropriate intervention methods to manage, resolve or transform the conflict. Conflict mapping can also be used by sponsoring agencies as a baseline assessment method, which can be revisited by participants during or after project activities to assess how conflict dynamics have changed due to project activities. Although mapping is a qualitative assessment tool, it can be used to identify key project components and objectives for which quantitative performance indicators, targets and evaluation plans can be established.

WHAT CAN WE USE IT FOR?

It is a useful tool every time we need to determine *how to intervene* in a conflict situation. Before deciding on the type(s) of intervention, a process of conflict mapping provides stakeholders with knowledge on what are appropriate approaches (e.g., mediation, peacekeeping, economic development, etc.) *with what purpose* (e.g., bring about a state of reduced violence via peacekeeping, reach agreements of substantive issues via mediation, or transform relations via collaborative economic development projects).

ADVANTAGES

- Allows for in-depth analysis of conflict situations and qualitative baseline assessment
- When stakeholders are involved in the mapping process, they gain education and knowledge of conflict dynamics
- When stakeholders are involved in the mapping process, they learn how to work with the "other", and to see the conflict from other points of views

- Provides a framework to determine the appropriate types of intervention, and their purposes
- Allows for developing evaluation plans to assess intervention processes, outcomes and impacts

DISADVANTAGES

- May lead to prolonging the analysis process, at the expense of addressing urgent aspects of a conflict.
- Requires the involvement of individual(s) with relatively specialized knowledge of the field of conflict analysis and peace studies.

COST

Until knowledge of conflict and peace studies is available within communities involved in a conflict, seeking expert involvement may be expensive.

SKILLS REQUIRED

- At least one of the individuals involved in the conflict mapping must be educated in the area of conflict and peace studies
- Effective people skills, in order to manage the participation of various conflict parties in the mapping process
- Effective group facilitation skill

TIME REQUIRED

The time required to conduct conflict mapping varies, not only based on the complexity of a conflict, but also based on the urgency to develop intervention strategies, such as in cases of wide spread violence or escalation. Mapping itself may be designed to: (1) develop immediate interventions intended to reduce violence and bring about de-escalation (fairly quick mapping processes); and (2) develop interventions intended to resolve or transform a conflict (usually takes more time, depending on the complexity of the conflict). The mapping "workshop" in which the mapper brings the stakeholders together should be allowed at least one full day.

STEP-BY-STEP DIRECTIONS

STEP 1: CONDUCT EARLY ASSESSMENT OF THE CONFLICT

The purpose of this step is to determine two factors: (1) the main stakeholders that must be included in the mapping process; and (2) the level of intensity of the conflict. The second factor determines the extent to which the “mapper” may engage stakeholders in a participatory mapping process or not. Depending on the level of intensity, it may be unwise to attempt to bring stakeholders together to map the conflict. Instead, other actions aimed at restoring some level of trust may be required first.

STEP 2: CONVENE STAKEHOLDERS TO CONDUCT CONFLICT MAPPING

Every conflict situation is unique, and requires its own specific sub-steps to ensure that convening stakeholders will lead to a successful conflict mapping. Assuming that the mapper determined that stakeholders were ready to engage in a mapping process, whether to seek actions to de-escalate, resolve, or transform a conflict, the following sub-steps provide broad guidelines for convening stakeholders:

- Ensure that all stakeholders or their representatives, including especially disenfranchised groups, are invited.
- With careful attention to cultural norms, ensure gender participation whether directly or indirectly.
- Provide a safe space, both physically and symbolically, for all parties.
- Conduct ice-breakers and fear-breakers, within appropriate cultural boundaries.
- Engage stakeholders in the ground rule setting process.
- Encourage the notion that the stakeholders, not the mapper, own the process.
- Establish mapper’s credibility based on experience, knowledge, and impartiality.
- Explore appropriate types of assessment, based on stakeholders’ levels of education, established communication models and

socio-economic realities (for example, using computers, pencil and paper, flipcharts, oral history or storytelling, depend on stakeholders’ conditions).

STEP 3: GUIDE THE STAKEHOLDERS THROUGH A PROCESS OF IDENTIFYING CONTEXT, DYNAMICS AND RELATIONSHIP FACTORS

Remember that conflict is a *situation*. This means that in order to understand it and address it effectively, we need to understand the various dimensions of the situation. It is not enough to identify immediate interests or needs; understanding the context, dynamics and relationship factor of a conflict situation are necessary for developing effective interventions. The following broad guidelines are recommended at this step:

- Using the attached mapping model (C.R. SIPABIO)¹³, conduct an interactive exercise to familiarize participants with various conflict dynamics and components (see attached exercise description). Use the debriefing to educate participants about basic conflict mapping concepts, especially conflict intervention strategies (prevention, management, resolution and transformation).
- Engage stakeholders in mapping a hypothetical conflict situation, using the C.R. SIPABIO Analysis Form, and supported by the C.R. SIPABIO model graphic. To the extent possible, ensure that stakeholders work together in groups. If this is not possible due to high levels of conflict intensity, conduct the exercise within each group, but use the presentation of findings from each group to highlight commonalities across groups in terms of analysis and reflections. Such processes will help participants recognize that each side is rational, and does reach similar conclusions when assessing conflict situations.
- Engage the stakeholders in identifying the fol-

13 There are many other mapping models that may be used as well. Wher’s, and Wilmot and Hocker’s conflict maps, are widely recognized in the field of conflict and peace studies.

lowing about the hypothetical conflict:

- o What are the main causes of the conflict?
- o What are the main escalating factors?
- o What are potential de-escalating factors (e.g., common tribal ties and common economic interests)?
- o Who can play a positive role?
- o What is needed in terms of intervention-conflict prevention, management, resolution or transformation?
- o What are appropriate prevention actions (e.g., peacekeeping, education, and/or mediation)
- o Based on assessment of group dynamics, determine the possibility of forming joint teams to implement action plans.

STEP 4: APPLY THE MAPPING PROCESS TO THE ACTUAL CONFLICT

Following the same sub-steps described in Step 3 above, apply the same process to the actual conflict situation. Remember not to push joint working groups, unless you are confident that stakeholders are capable of working together across groups of enemies and friends.

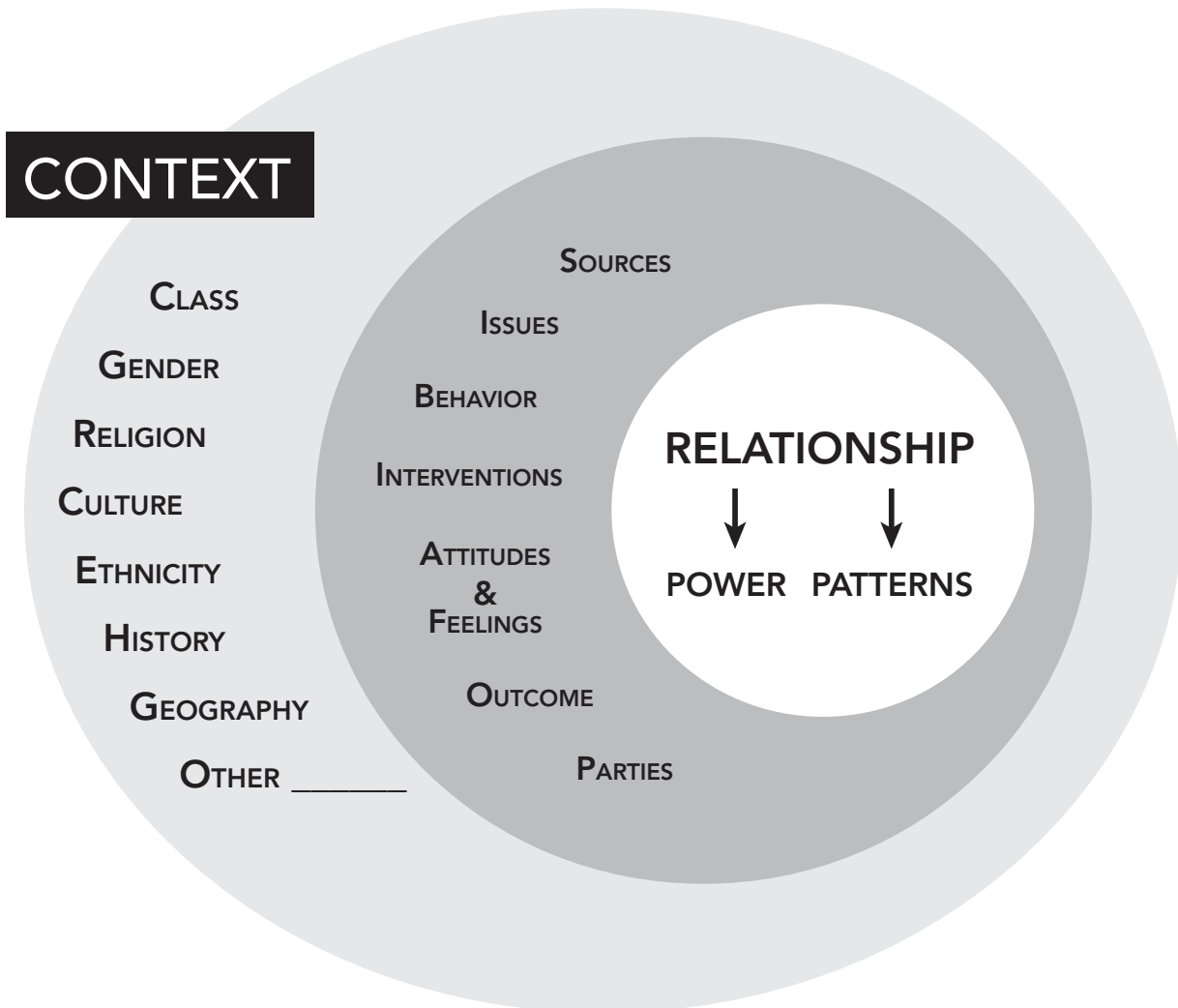
STEP 5: DESIGN EVALUATION PLANS

Once intervention strategies and approaches are identified, the mapper and stakeholders can work together to develop key performance indicators and evaluation plans aimed at assessing:

1. Intervention processes
2. Intervention's immediate results
3. Intervention's outcomes/impact

See Part I of the Toolkit for guidance on developing indicators

**C.R. SIPABIO:
A FRAMEWORK FOR CONFLICT ANALYSIS**



WHO FRAMED C.R. SIPABIO?

This model has been developed to ease analyzing the different stages of the process of resolving a conflict. C. R. SIPABIO is the abbreviation of the following elements: Context, Relationship, Sources, Issues, Parties, Attitudes, Behavior, Intervention and Outcome.

CONTEXT

Context is the sociological, economical and political setting in which a conflict takes place. Cultural perspectives, such as one’s access to power and whether the culture is low- or high- context in its structure, also affect perspectives or conflict. Knowing the context enables an intervener to

understand and predict the attitudes, behaviors, and the direction of a conflict. Understanding the context prevents an intervener from applying unsuitable resolution that may complicate a conflict rather than resolve it.

RELATIONSHIP

There are different levels of conflicts; inter-personal and inter-group. The bond, attachment or connection within which a conflict exists is vital in determining the type of intervention needs to be taken. Examples include: conflicts occurring within marital; business; or incidental relations. One would approach marital discourse differently when approaching a business or incidental relationship.

Within long relationships, certain dynamics exist that manifest themselves during conflict situations. Power is a significant dynamic in any conflict situations. People derive their power in conflict situations usually from contextual factors. For example, disparities in socio-economic class status may determine how parties would relate to each other during a conflict. The same is true regarding gender, certain ethnicities and religious affiliations.

In addition to power, often in conflict situations parties engage in patterns of behavior that are intended to advance their positions. Patterns are certain behaviors that parties resort to frequently during conflict situations. For example, especially in family conflicts one party may pretend to fall sick when a conflict situation becomes complicated, thus diverting attention to him or herself, and generating guilt among other parties for their role in the conflict. Other patterns may include use of violence or vulgar language to force other parties to succumb. As parties resort to such behaviors frequently they become relationship patterns.

SOURCES

Below are some sources and causes of conflict according to Moore¹³:

Relationship conflicts are caused by:

- Strong emotions
- Misperceptions or stereotypes
- Poor communication or miscommunication
- Repetitive negative behavior

Value conflicts are caused by:

- Different criteria for evaluating ideas or behavior
- Exclusive intrinsically valuable goals
- Different ways of life, ideology, or religion

Structural conflicts are caused by:

- Destructive patterns of behavior or interaction
- Unequal control, ownership, or distribution of resources
- Unequal power and authority
- Geographical, physical or environmental factors that hinder cooperation
- Time constraints

13 Moore, *The Mediation Process*, p. 54

Interest conflicts are caused by:

- Perceived or actual competition over substantive interests
- Procedural interests
- Physiological interests

Data conflicts are caused by:

- Lack of information
- Misinformation
- Different views on what is relevant
- Different interpretation of data
- Different assessment procedures

ISSUES

- The specific tangible interests or aspirations.
- Issues refer to the inter-related goal incompatibilities of adversaries. In many cases these can be regarded as the subject upon whom parties take up opposed positions because of their conscious goals. For example, with insufficient income, a husband wants to spend money on a new car, while a wife wants to paint the house (note that in this case the conflict source is the scarcity of resources, while the issues are to buy a car or to paint the house).

Types of issues:

- Issues that arise out of limited resources (resource conflict / material resources).
- Issues that arise out of the need for continued existence (survival conflict / positional goods¹⁴).
- Issues that arise over relationship dynamics (negative dynamics and power issues).
- Issues that arise out of values (belief systems and religious values).

PARTIES

- "A participant in conflict. Parties can be individuals, groups, organizations, communities, or nations"¹⁵.

Those involved in a conflict situation on various levels may be divided into three categories:

- Primary: Those who have a direct vested interest in the conflict (for example, husband

14 Mitchell, p. 41-44

15 Rubin, Pruitt and Kim, p. 257

and wife in a dispute over spending money).

- Secondary: Those who have an indirect interest in the conflict (for example, the children who are impacted by the parents' conflict behavior and financial decisions).
- Tertiary: Those who have a distant interest in the conflict (for example, family relatives and friends who are impacted by conflicts between the husband and wife).

ATTITUDES

- The emotions and perceptions influencing parties' behavior in conflict.
- "Positive or negative feeling toward a person or object".¹⁶
- "Common patterns of expectation, emotional orientation, and perception which accompany involvement in a conflict situation".¹⁷
- Perceptions about conflicts, whether it is an activity to be avoided or sought out and whether it is a negative or positive activity, develop over one's lifetime. In this process, refined images or metaphors develop in one's imagination and language that give shape and meaning to conflict episodes.

BEHAVIOR

- Parties' actions in conflict situation.
- "Actions undertaken by one party in any situation of conflict aimed at the opposing party with the intention of making that opponent abandon or modify its goals".¹⁸

INTERVENTION

Intervention is the parties' or third parties' actions taken with the purpose of reaching a resolution or satisfactory outcome. Conflict intervention can involve an outside third party, not affiliated with either party in the conflict, who become involved with the purpose of helping the parties reach a resolution. The intervening party is distinguished from other participants in the conflict because they get involved for the sole purpose of resolution and do not engage in behavior that would put them in the camp of either party. This usually will involve neutrality and separation from a personal

interest in the outcome of the resolution going either way. Intervention usually takes one of the following approaches:

1: Conflict Management. The purpose here is to help conflict parties develop approaches or behaviors that will prevent hostile or violent behavior. In this case, the intervention does not address the sources of conflict, but focuses on adjusting conflict behavior and addressing some conflict issues to the extent needed to ensure that parties will avoid hostile or violent behavior. Such an approach is usually used as to reduce contentious behavior until the situation is ripe for addressing conflict sources and issues. An example is to establish a cease fire between two warring factions.

2: Conflict Resolution. The purpose here is to help parties understand each other's needs, issues and conflict sources, and to assist them in finding solutions that address them. This approach usually follows conflict management activities, and is intended to find lasting arrangements to conflicts. An example is to help the warring factions to discuss their grievances and needs (such as need to acknowledge ethnic identity, or access to resources). Resolutions may include giving political autonomy to the ethnic group, or increasing health, education and employment opportunities to an underprivileged group.

3: Conflict Transformation. This approach attempts to positively change parties' relationship, conflict attitudes and behaviors. Here the purpose is to help parties to transform their relationship from a conflictual one to an amicable one, by addressing deep-rooted conflict sources and issues. Another purpose is to help parties internalize healthy conflict behaviors that enable them to deal with conflicts on their own. An example is to convene conflict parties in series of problem solving workshops, utilize Truth and Reconciliation Committees, and educate and train parties on conflict transformation techniques.

16 Rubin, Pruitt and Kim, p. 252

17 Mitchell, p. 28

18 Mitchell, p. 29

OUTCOME

Outcome is the effect of conflict behavior and/or intervention on the state of conflict. These effects are not always positive. Thus, we need to be aware that an outcome of a conflict is not always a happy one. It depends very much on the capability and seriousness of the parties to resolve a conflict, and the ability of third parties to narrow the gaps between the disputant parties. As a result, an outcome is not an ultimate or final resolution of a conflict. An outcome may take the form of a temporary resolution that needs to be worked on.

C.R. SIPABIO CONFLICT ANALYSIS CHART

Now that you are familiar with the main components and dynamics of conflict, please join your small group to assess the following aspects of the conflict.

Contextual Factors (i.e., culture, ethnicity, gender, history, class, religion, etc.)						
Relationship Factors						
Power:						
Patterns:						
Sources	Issues	Parties	Attitudes/ Feelings	Behavior	Intervention	Outcome

EXERCISE: WORDS THAT COME TO MIND WHEN YOU THINK OF CONFLICT

Instructions to Facilitators:

1. Convene the group (no more than 15-20)
2. Ask the group: what words come to mind when you think of conflict? Assure them that there are no right or wrong answers.
3. As group members are stating their words, write them on a board or flip chart.
 - a. The key to this exercise is to write the words on the board or flip chart in a way that will show the group how each word reflected one of C.R.
 - b. In order to accomplish this, the facilitator must be familiar with the C.R. SIPABIO graphic. S/he will write the words in the same locations of Context, Relationship and SIPABIO elements.
 - c. Participants will become curious about why the facilitator is grouping words in some order, and will begin to understand its logic.
4. After about 5 minutes, end the word-stating segment, and hand out the C.R.SIPABIO graphic and the related document explaining each component.
5. Explain to group members how all their words reflected elements of the model, and using different color marker draw the C.R. SIPABIO components on the same board or flip chart used in # 3 above. This will help them see the connection between the words they stated and the model.
6. As the facilitator is drawing the C.R. SIPABIO components in # 5 above, s/he (or someone with knowledge of Peace and Conflict Studies) gives information about each component, with practical examples. *An emphasis must be placed on the interconnection between all C.R. SIPABIO components and elements (for example, contextual factors influence conflict sources and attitudes; behavior is interconnected with attitudes; relationship power and patterns influence behavior, and so on).*
7. Respond to group members' questions throughout the process. Be affirming and model positive dialogue behavior.

Tool 12: Media Content Analysis

OVERVIEW

The Media Content Analysis Tool (MCAT) allows sponsoring agencies and media outlets to evaluate media coverage, placement of stories, tone, and visual images, prominence of quotes/personalization, and reach of a media outlet. It can be used to track how different media cover topics such as conflict, human rights, reintegration of ex-combatants and local governance reform. It also shows how coverage can change over time. The tool can also be used selectively as a proxy measure to assess trends in certain events such as human rights violations and conflict.

WHAT IS IT?

The MCAT enables sponsoring agencies to evaluate the amount of and impact of media coverage about civil society topics. This tool examines which media outlets are dedicating positive news space to the target topic. At the completion of the analysis, managers will know which media outlets are contributing to public understanding of a topic and which outlets are playing/not playing a civil society role in the community. This tool may also allow sponsoring agencies to shift resources to outlets (e.g., print, radio, television, magazine, and Internet) that support civil society objectives in their media coverage.

WHAT CAN WE USE IT FOR?

The MCAT is designed to measure how individual topics of interest are covered in a specific media outlet.

- Identifies the media channels that cover sponsoring agency objectives
- Provides a quantifiable baseline of media coverage on each topic
- Compares scores of different media sources on the same measures
- Compares change over time in the coverage of selected media topics
- Can be used as a proxy measure to assess trends in topics of interest such as human rights violations, corruption and incidents of violence

ADVANTAGES

- The baseline data allows sponsoring agencies to see trends overtime on selected topics of interest reported through different media outlets
- The tool provides a clear, quantitative measure for making policy and assistance decisions to support various media outlets

DISADVANTAGES

- Copies of newspapers and magazines need to be saved, stored, and analyzed.
- Project officers need to be trained to conduct this research.
- Subjectivity can influence the outcome of this tool.
- Transcripts of radio and broadcast news shows need to be obtained.

COST

Newspapers and magazines need to be purchased, saved, and archived. One person in the office (or a team) needs to devote time each week to review the print outlets and complete the checklist. Obtaining transcripts or copies of video and radio programming may incur fees. Photocopies of the checklist are needed.

SKILLS REQUIRED

The evaluator should know something about journalism and the media business. For those without media experience, they should become familiar with the format of the inverted pyramid, identifying and attributing sources, the use of headlines, counting newspaper/magazine inches, the use of photographs, and identifying news frames and tones.

TIME REQUIRED

The MCAT can be completed daily or weekly in a short amount of time once the media outlets of interest are identified and the sample articles are read.

STEP-BY-STEP DIRECTIONS

The directions outlined below are specifically written for newspaper, magazine, and Internet articles. Content analysis directions for television and radio stories can be provided upon request.

STEP 1: IDENTIFY THE SAMPLE

The first step is to identify the local newspapers, magazines, and Internet sites that the public consults for news and information. A content analysis should be conducted as a baseline *before* any large grants are given to media organizations or before any strategic plan is implemented to increase the amount of human rights news.

After the initial baseline study, this research should be conducted every three or six months to track changes.

Once grantees for the baseline have been selected, it is also important in later sampling frames to select the major competitors to grantees that are not funded by the sponsoring agency. These competitors can serve as a control group of media coverage.

Each outlet will be examined for the topic of interest. For instance, if the interest was in issues of human rights then stories that address, mention, feature, or respond to human rights issues will be included in the sample.

STEP 2: DEFINE IMPACT MEASURES

Reach

Identify the circulation/reach of the outlet. Circulation numbers for print outlets include both the number of issues sold per week/month and also the actual number of issues that are read. Some newspapers and magazines have a 1 to 8 ratio of the number sold to the number actually read by people who share. For Internet news sites, ask the Web master or marketing director to provide the number of hits for the site. The Web site management may also have other data to share about its reach and impact. Outlets that have a larger circulation/audience have the potential for greater impact.

Create a scale from 1-10 with 10 being the highest score to rank each outlet by how many people it reaches. A daily paper with a large circulation will be scored higher than a small weekly magazine. News Web sites with a high number of hits will score higher than those with fewer hits.

Content

Each story will be analyzed on seven (7) measures. Each measure is scored on a scale ranging from 0 to 10. Ten is the highest score for each of these measures.

a. Prominence. The placement of a story is crucial to its impact. Stories that are on the first three pages of the newspaper or in the first section usually gain more reader attention. If a story appears on the first page or is featured in the first three pages of the paper or magazine, then rate it a 10. If a human rights story appears in the second or third section of paper, rate it a 5. If the paper only has one section, then separate story placement scores by (a) first 3 pages (10 points), (b) second 5 pages (6 points), (c) last pages (3 points). The number that is assigned is dependent on the number of pages in the source. What is most important is to be consistent with the rankings and to have a clearly defined scale in mind.

b. Headline. Editors write the headlines for news stories and their choice of words provides a clear indication of the value placed on the news story. Examine headlines for the presence of sensationalist language. If the headline appears to be outrageous or offending, then give it zero points. If the headline reports statistics, uses the names of local officials or locations, score it high.

c. Visuals. Stories that have accompanying photographs have higher impact because they personalize the story. If the photo helps the reader to understand/personalize the issue, then score it high. If the photo does not contribute to a fuller understanding the issue, then give it no points. A photo of a government official speaking at a news conference does not add to a story.

d. Quotes. Stories that have accompanying quotes have higher impact because they personalize the story. If the quote helps the reader to understand the issue, then score it high. If the quote does not contribute to understanding the issue, then score it low. Quotes from elected officials, victims, international figures, local NGOs, and critics of unjust policies add impact to stories. These quotes should be assigned high points. Quotes that inflame anger or breed intolerance get no points.

e. Tone. The tone of the article contributes to its impact. A positive tone in the stories about human rights helps to support wider civil society goals. Tone can be understood through an analysis of adjectives (negative and positive). A negative tone that creates anger, tension or identifies scapegoats does not receive any points. A positive tone is one that uses adjectives to promote human rights, identify positive behaviors, or reward people or organizations for pro human rights

actions. A neutral tone offers no clear angle. It is neither negative nor positive about human rights. A neutral tone is not bad. As long as the content of the story is factual, it can receive a few points.

f. Column Inches. The amount of space dedicated to a story is also an indicator of impact. Stories are measured by inches. Each inch of the story creates an impact index. Count the number of inches. A story might have 20 column inches or it may have 100. This number is its score.

g. Political Ideology. It is important to identify the prevailing ideology or political affiliation of each outlet. Create a scale from 1-10 with 10 being the highest score. Those outlets that are considered independent from most political affiliation and influence will be scored higher. Those media outlets known for close association with political parties that go against the goals of human rights will receive no points.

Media outlets make choices every day when they decide what stories to print and which ones to give prominence. In the news business, there is a widely accepted belief that “all news is local news.” This means that all news stories, whether they occur in the local region or happen on the other side of the world, have the most impact when the story has a local angle. By analyzing the localness, tone, and amount of coverage in a certain media outlet, sponsoring agencies can make strategic decisions about continuing to fund certain outlets.

STEP 3: CREATE A SCORE SHEET FOR EACH OUTLET

News stories do not exist in a vacuum. While each story is unique, the total number of stories about an issue represents the editorial perspectives of a particular outlet. A quick examination of the scores on the sum total of stories provides insight into the capacity of an outlet to serve human rights objectives.

Each story will be scored individually and then also counted to create the total score of the media outlet. See the sample coding sheet on the final page of summary of this tool.

Once all of the stories have been coded, it is time to create a score for the overall outlet on the topic of interest. This is a matter of simple addition and division.

Different outlets will have featured a different number of stories. Magazines that only publish once every week may not have as many stories as daily newspapers or regularly updated Internet sites. To calculate a score for each outlet, add the total scores from each story. Next, divide by the number of stories featured on the topic. This procedure creates a score that can be compared across outlets. The higher the score, the more impact the outlet is having.

Sample Content Analysis Tool for News Stories

Complete one of these forms for each story on the issue of interest.

Media Organization's Name _____
Reach
_____ Circulation (1-10)
_____ Importance and Credibility from Media Outreach Measure (1-5) (see tool description)
_____ Reach Total (add circulation score to media outreach measure mean)
Content (0 to 10)
_____ Prominence
_____ Headline
_____ Visuals
_____ Quotes
_____ Tone
_____ Column Inches
_____ Political Ideology
_____ Content Total (addition of seven measures)
Overall Score
_____ Reach Total
_____ Content Total
_____ Total Score for Media Coverage of the Story (Reach Total + Content Total) Time 1
Repeat every six months or year
_____ Total Score for Media Coverage of the Story (Reach Total + Content Total) Time 2

Sample Impact Tool for News Organizations

Complete one of these forms for each media outlet.

Media Organization's Name _____
Total Score
_____ Story 1
_____ Story 2
_____ Story 3
_____ Story 4
_____ Story 5
_____ Story 6
_____ Total is divided by number of stories (_____/n)
_____ Impact Score for Time 1
Repeat every six months or yearly
_____ Impact Score for Time 2
To find the aggregate score for each outlet, add the total scores from each story and divide by the number of stories. This number then can be compared across outlets.

Tool 13: Media Outreach Measure

OVERVIEW

The media Outreach Measure is used for targeting assistance to media outlets that are valued and trusted by citizens and for evaluating the results of media interventions designed to produce more credible news coverage.

WHAT IS IT?

The media outreach measure allows managers and donor organizations to evaluate the impact of various media channels. It examines which media outlets are most important and credible to a target public. At the completion of the analysis, sponsoring agencies will know which media are valued by citizens and which media are playing a civil society role in the community. The media outreach measure may also allow sponsoring agencies to shift resources to outlets that have higher importance scores and more credible news coverage.

WHAT CAN WE USE IT FOR?

The tool:

- Identifies media channels with the highest impact
- Provides a quantifiable baseline of media importance and credibility for different sources
- Compares scores of different media sources on same measures
- Compares change over time in the importance and credibility scores of outlets

ADVANTAGES

- Sponsoring agencies can find out which channels are most valuable to target publics
- Each media outlet can be compared to other outlets
- The baseline data allows sponsoring agencies to see changes overtime in the different outlets
- Baseline data provides a clear, quantitative measure for making policy/granting changes
- Random sampling allows findings to be generalized beyond the sample

DISADVANTAGES

- Results need to be calculated using an Excel, Access, or SPSS software program and this may tax the capacity of some agencies
- The larger the sample, the more time it takes to input survey results

COST

There are photocopying costs associated with this type of research. The organization must also pay people to collect the surveys. Local NGOs often have experience with conducting survey research. They usually charge a set fee per a survey and these NGOs often have members that can input and analyze the data.

SKILLS REQUIRED

The survey design should be easy for the respondents to read and complete. Too many questions will discourage respondents from completing the survey accurately. The surveyors need to be assertive in approaching the target public but they should not be too pushy. Surveyors need to put the respondent at ease so they can concentrate on the questions. Finally, one person needs to be able to enter the data and calculate means for the measures. This person needs to be able to interpret the results and then explain the results to decision makers.

TIME REQUIRED

This survey can be developed in a short amount of time once the media outlets of interest are identified. The surveys should be collected over a three to five day period. It takes approximately 6 to 8 hours (per every 100 surveys) to enter and check the data. Once the data are entered, it takes a bit more time to calculate means for the measures.

The media outreach measure can detect changes in editorial tone and public perceptions about different media outlets. In 1998 and 2000, there were hundreds of media outlets in Bosnia-Herzegovina vying for donor support and public approval. OTI funded many media outlets in the early stages of the transition. As the transition to a free and fair media sector evolved, OTI evaluated the different media sources to decide which ones were most effective in serving civil society goals. Over time, using a sample of 1000 Bosnians in two different time periods, OTI was able to make strategic funding decisions based on the media channel preference, importance, and credibility data.

STEP-BY-STEP DIRECTIONS

STEP 1: CREATE A BASELINE MEASURE OF MEDIA OUTREACH

The sponsoring agency needs to establish a baseline to identify levels of media importance and credibility *before* significant amounts of resources, both financial and human, are dedicated to a media grantee. Use the media outreach measure at the beginning of the project. The instrument should *be repeated every six months or every year* depending on the length of the transition project. The purpose of repeating the survey is to see changes overtime in public perceptions of media outlets. The data from the measure should be used when making funding decisions for future projects.

STEP 2: COLLECT THE SAMPLE

Orienting the respondent

Each survey should include one paragraph of background information to orient the respondent to the goals of the survey. The orientation includes the name of the sponsoring organization, the purpose of the survey, the length of time that it will take to complete the survey and a promise of anonymity for the respondent. Respondents are often unwilling to complete a survey that extends beyond two pages. Each survey should be numbered in the upper right or left hand corner and that number will be used for tracking purposes.

Selecting a sample

A random or purposive sample can identify the importance and credibility scores for print and broadcast media outlets. Surveyors should go to heavy traffic areas around the town during different times of the day. This will ensure that people from different educational, economic, and age groups will complete the survey. A random sample of at least 100 people is best for gaining a baseline of public perceptions of the media outlets. A larger sample is desirable. It is

best to collect anonymous questionnaires. Demographic questions are best added at the end of the survey.

STEP 3: DESIGN THE SURVEY

The survey should contain questions that allow the sponsoring agency to identify both general and specific information about media use in their region. Three measures in particular are useful for analyzing media outreach: channel preferences; source importance; and source credibility.

Part 1: Identifying Media Channel Preferences

Certain channels are more preferred than others when people seek information. For instance, younger people may prefer television or the Internet while older, more educated people may prefer to gain their information from print sources. This general question can help the sponsoring agency to identify which general channels are more valued by the target public.

Part 2: Identifying Importance of Specific Media Sources

This question ascertains the *importance as a news source* when people need information for decision-making. Each media channel of interest would get its own set of questions.

Part 3: Identifying Credibility of Specific Media Sources

This question sequence evaluates the *credibility of the source* when people need information for decision-making. Another way to understand credibility is to think about a source's believability. Each media channel of interest gets its own set of questions.

When these questions are repeated for each media source, the outlets can be compared and judged on the basis of their value of citizens.

Part 4: The Demographics Questions

In order to better interpret the findings, it is important to add demographic questions. Commonly accepted demographics include closed-ended questions about age, income, education, gender, ethnicity, and political affiliation.

STEP 4: CALCULATE CHANNEL PREFERENCE, IMPORTANCE, AND CREDIBILITY SCORES

Once the numbered surveys are collected, enter all of the scores into an EXCEL, Access, or SPSS file.

On the left side of the worksheet (Column A) list the numbers of the surveys in ascending order (1 – 100 or whatever the last survey number is).

On the top of the following spreadsheet columns (B. C. D. etc.), identify key words that describe the question.

To identify preferred channels for information gathering, the columns would be labeled Press, Radio, Internet, Personal Contacts, and Television. Abbreviate column titles when needed.

For the importance measures the columns would be labeled "Nameimp" and the scores below it would range from 1 to 5. These are the scores that were identified on the specific survey.

For the credibility measures noted above, the columns would be Namefair, Nameunbias, Namewhole, Nameaccurate, Nametrust, Namepublic. Abbreviate when needed. Under each of these columns, write the numeric score (1-5) that was identified by the respondent on that specific measure. The responses for each survey will appear on the line with that respondent's number. If a respondent left a question blank, then do not enter a number.

Once all survey responses have been entered into the spreadsheet file, it is now time to calculate the average or mean score for that outlet on these different measures. For instance, all of the importance scores will be calculated so that you can see which media outlets are perceived to be most important for people when gathering information to make decisions.

To calculate the credibility scores, you will combine the scores of Namefair, Nameunbias, Namewhole, Nameaccurate, Nametrust, and Namepublic and then divide by the number of categories. In this case there are 6 variables that create credibility. This end number (between 1-5) is the mean credibility score for each outlet. Each outlet can be compared to others by this mean score. This calculation can be done the same way that scores for columns are calculated. Some people also prefer to calculate the scores by hand with a calculator when there are only a few categories compared.

STEP 5: INTERPRET THE RESULTS

Once you have calculated the mean (average) scores for each outlet then you can compare them.

Create a roster in descending order of the average for each of the different channels (print, radio, television, Internet, personal contacts). The higher the score, the greatest is its importance for information gathering.

Next, create a list of all of the media sources that you inquired about and list the mean score for importance in one column and the mean for the new composite score of credibility in the second column.

Then, identify the outlets that have the highest importance scores and the highest credibility scores. A media outlet may have inconsistent scores for importance and credibility. If yes, then the individual scores for each measure (fair, unbiased, trust, accuracy, wholeness, and public interest) should be examined to identify the measures with lower scores. Low scores on trustworthiness, accuracy, fairness etc. may indicate that a media outlet has specific editorial problems.

Finally, review the extent to which your office has funded each source. Consider how many resources have been devoted to each outlet and consider the scores of other media outlets that have not been funded.

The higher the score on the importance measure and the credibility measure, the more likely that the particular outlet will be considered valuable and believable to the target public. Media outlets with high scores will have a larger impact than those with lower scores.

SAMPLE MEDIA OUTREACH SURVEY

This survey seeks to understand how you view certain communication channels and media outlets in your community. Please complete this short, 10-minute survey. This survey is sponsored by _____ and your answers are anonymous. Thank you for your time.

I use the following news sources for gathering information to make decisions.

If you strongly agree that a particular channel is valuable to you when gathering information, then circle the number 5. If you strongly disagree that a channel is valuable for information gathering, then circle 1. Circle the answer that most closely describes your evaluation of this channel. Circle 3 if you have no opinion about the channel or have never used it.

Press	5	4	3	2	1
Radio	5	4	3	2	1
Internet	5	4	3	2	1
Personal Contacts	5	4	3	2	1
Television	5	4	3	2	1

The following media outlets are important to you as a source of information when making decisions:

If you strongly agree that a particular channel is important to you when gathering information, then circle the number 5. If you strongly disagree that a channel is important for information gathering, then circle 1. Circle the answer that most closely describes your evaluation of this channel.

Name of Source						
Very important	5	4	3	2	1	Not important at all

Repeat for each source

How much do you believe the information in this media outlet? Below is a set of terms that describe how media organizations cover the news.

If you strongly agree that a particular channel is described by the term on the left side of the paper, then circle the number 5. If you strongly disagree that a channel is described by the opposite term on the right side, then circle 1. Circle the answer that most closely describes your evaluation of this channel.

Name of Source:						
Is Fair	5	4	3	2	1	Is unfair
Is unbiased	5	4	3	2	1	Is biased
Tells the whole story	5	4	3	2	1	Does not tell the whole story
Is accurate	5	4	3	2	1	Is inaccurate
Can be trusted	5	4	3	2	1	Cannot be trusted
Serves public interest	5	4	3	2	1	Does not serve public interest

Repeated for each outlet

Demographics

Please circle or fill in the blank to each question.

Gender male (1) female (2)

Age categories or specific age

Income _____ month or provide categories

Education provide categories

Ethnicity provide categories

Political affiliation provide categories

Thank you for your time.

Tool 14: Mini Surveys

OVERVIEW

A rapid, low-cost data collection tool used for planning, monitoring and evaluating programs.

WHAT IS IT?

Mini-surveys, or informal surveys, are a quantitative method for collecting program information quickly. They involve relatively small populations using brief questionnaires that focus on a limited numbers of variables. Mini-surveys are very useful for organizations that have projects of relatively short duration and are carrying out interventions with well-defined expectations. Mini-surveys are well suited for FSP work because of their ability to quickly generate information for management decision-making.

WHAT CAN WE USE IT FOR?

A mini-survey can assist managers to identify and measure the attitudes, perceptions, and behaviors of program participants and whether changes are taking place as a result of program interventions (e.g., willingness of different ethnic groups to collaborate, attitudes towards other ethnic groups, trust/confidence in local government, reintegration of ex-combatants, etc.) A mini-survey can be used by sponsoring organizations to carry-out rapid baseline surveys, annual monitoring of program activities, mid-term assessments, and end-of-project evaluations.

ADVANTAGES

- Managers can obtain quantitative info about a given project/program relatively quickly and cheaply to inform decision-making or to demonstrate results
- Questionnaires are usually shorter compared to regular surveys therein requiring less time to complete by respondents and less training to administer by enumerators
- Populations involved in such surveys are typically small—at best a few hundred respondents
- Samples are generally based on quotas or a proportion of a distinct population being surveyed

DISADVANTAGES

- Mini-surveys focus on obtaining information about a restricted area of inquiry and therefore the survey results cannot be generalized to much larger populations
- Because non-probability sampling techniques are used, sampling bias is often difficult to avoid

COST

The costs associated with a mini-survey are largely contingent upon how many persons are included in the survey, the type/scope of questionnaire designed, and time involved for administering the survey, analyzing the survey findings, and writing up the results. Generally speaking, a mini-survey will cost \$2,000 to \$5,000 dollars. An easier way to visualize costs is to consider the unit cost per questionnaire which should range from \$5.00-\$10.00. This would involve all projected expenses divided by the number of persons to be surveyed.

SKILLS REQUIRED

Designing a survey requires a solid knowledge of the subject to be covered by the survey, the nature of the intervention, target populations, and expected results of the project/program. The survey designer should also possess a requisite knowledge of the socioeconomic setting where the development project is being carried-out. At a minimum, this individual should have some formal training in conducting surveys or work closely with another team member who has these skills.

TIME REQUIRED

A mini-survey can be completed in 4-8 weeks depending upon the size of the sample and the manner in which questionnaires are administered to participants. Questionnaire preparation will involve at least 2 weeks—especially if a proper pretest of the instrument is conducted. Data collection will require 3-4 weeks (depending upon the number of enumerators) with coding, data entry, and analysis taking 2-3 weeks. Extra mini-surveys can be completed in less time.

Assessing OTI/Macedonia's Confidence Building Initiative

In July of 2003, a mini-survey was used as one of the rapid-appraisal methods to conduct a final evaluation of OTI's Macedonia program¹³. The steps of developing and implementing a mini-survey to assist in evaluating Macedonia's Confidence Building Initiative (CBI) are presented below.

As a backdrop, the goal of the OTI's Confidence Building Initiative was to lessen tension and mitigate conflict during the implementation of a peace framework agreement between ethnic Albanians and Macedonians. The Evaluation SOW called for determining whether this goal had been achieved—subsequently it was decided by the evaluation team that a mini-survey should be conducted to generate quantitative data for answering this question along with other rapid appraisal methods that the team used.¹⁴

STEP-BY-STEP DIRECTIONS

STEP 1: PLAN AND GET BUY-IN

The Evaluation Team initiated discussions early with OTI staff on the methods to be used to evaluate the Macedonia CBI program. Initially, OTI was doubtful whether a survey was required to conduct the evaluation but given the emphasis on determining the impacts of CBI, OTI agreed that greater attention be given to collecting quantitative data for measuring project outcomes. This buy-in was important because planning certainly involved how to best allocate resources for the evaluation and what types of personnel were needed in country to assist the expatriate members of the team.

13 OTI Macedonia Confidence Building Initiative: Evaluation Report, USAID/DCHA/OTI, Social Impact, Inc. Office of Transition Initiatives, May 2004. This evaluation was carried out by a four-person team between June-August 2003 by Social Impact, Inc., Arlington, VA.

14 The evaluation team visited all of the field sites where the OTI program was operating. The team reviewed local documents, conducted key-informant interviews and focus groups with CBI staff as well as community participants in the CBI program. These qualitative methods assisted the team greatly in developing a field questionnaire for the mini-survey.

The anticipated steps for doing the mini-survey were then articulated as part of the overall Evaluation work plan. Planning for carrying out a mini-survey should be done as early as possible since this effort is invariably part of the larger assessment effort involving individual interviews, document reviews, focus groups, site visits, and a host of other related logistical issues. A survey should not be done as an afterthought and later piggy-backed onto other evaluation tasks.

STEP 2: DESIGN THE QUESTIONNAIRE

Developing a reliable questionnaire was the most difficult and of course most important task of doing a mini-survey of the CBI. The Evaluation Team did not feel they had sufficient knowledge of the CBI program prior to arriving in Macedonia and therefore did not develop a survey questionnaire until they had interviewed several members of the CBI program in different settings, conducted focus groups with community members, and had observed the operation of the CBI program. In some respects, it would have been more efficient to design a questionnaire prior to arriving in the field (a deductive approach). But developing the questionnaire inductively, as the team acquired information on CBI operations, performed a valuable ground-truthing exercise as the questionnaire was developed.

a. Questionnaire Structure

A closed-ended structured questionnaire was developed for the CBI survey. No open-ended questions were included in the instrument in order to provide easy coding of the questions. Indeed, the use of an inductive approach to design permitted the team to feel comfortable with adopting a fully structured questionnaire. The resulting questionnaire (see Exhibit 1) focused on asking questions about what CBI participants knew about the CBI program, why they joined, their expectations about the benefits to their community and themselves, and any changes in their attitudes or behavior resulting from their association with

the CBI program.¹⁵ Aside from identifying individual project sites, all survey participants were assured of anonymity although basic demographic information on age, sex, marital status, and ethnicity were requested. One last point worth mentioning is that a survey questionnaire should always have a cover sheet that explains the purpose of the survey and how the finding will be used and/or reported.

b. Questionnaire Development

Developing a questionnaire is usually a time-consuming process. In the case of the CBI, certain key questions had to be answered consistent with determining whether the CBI program had met its objectives and goal. The senior evaluator developed a working questionnaire and then the entire evaluation team reviewed each question in terms of what information was being sought from a respondent, how the question related to the information gained in key-informant interviews and focus groups and what additional information could be provided to the evaluation. The result was a tightly structured questionnaire of 45 items that could be completed in approximately 20-30 minutes.

c. Translation and Pretest Issues

The mini-survey instrument was initially developed in English and then shared with local CBI staff for review and comment. Subsequently, final modifications were made to the questionnaire. Local evaluation staff then translated the instrument into Macedonian and Albanian. Once translated, each questionnaire was pre-tested with local Macedonian and Albanian speakers in focus group settings. Reviewers were asked to consider each question in terms of its clarity, response difficulty, and whether the question was considered too sensitive. A pretest is certainly important for conducting any type of survey but tends to be a more informal exercise in a mini-survey than with a much larger macro-survey.

STEP 3: COLLECT DATA

In carrying out the mini-survey, data were collected from those persons who had been involved in the CBI program through Confidence Building

Units (CBUs) established in a wide range of Macedonian communities. This was the intervention universe from which information was to be gathered. From this universe, a quota or proportional sample was drawn for administering the survey.

a. Sample frame

In order to measure CBI impact, the Macedonian grants database was used to create a sample frame comprised of active projects and completed projects, project themes, and grant matching amounts across five intervention sites. In the absence of a baseline data, it was also assumed that CBI participants in completed projects would acknowledge positive changes in their attitude and/or behavior in contrast to non-completed (active) projects. The survey instrument was administered to 10 percent of 420 CBUs participating in the Macedonian CBI program—a total of 42 across five CBI localities.

b. Data Collection Logistics

Although integrated with other data collection methods used in the CBI evaluation, it took a full three weeks to develop and finalize the survey questionnaire. Local members of the team carried out the actual survey over three weeks (after the Expatriate Team members had left Macedonia), meeting with attending CBU members group settings within their communities to expedite the data collection process. Lastly, an additional three weeks were required for coding and entering the data into data files for analysis. The total time involved for the mini-survey was ten weeks not including the time required to fold the survey findings into the overall data analysis for the final report.

c. Survey Constraints and Bias

One unanticipated constraint was that the survey was administered in late July and the first two weeks of August—a period when many Macedonians traditionally take their annual holiday. This obviously reduced the numbers of CBU members available for taking the survey. Also, since the questionnaire was administered in group settings, rather than going to individual residences, this effort to expedite data collection and reduce costs may have introduced some positive bias into the data.

¹⁵ For the purposes of the evaluation, impact was operationalized as changes in attitude or behavior directly attributable to the CBI program interventions by the survey participants.

STEP 4: ANALYZE DATA

Once the survey data were entered into a data set, checked for data entry errors and/or redundant entries, the data set was analyzed with a Statistical Package program (SPSS/PC).¹⁶ Alternatively, if one does not have this program available, data can be entered into EpiInfo 2000 (free from Centers for Disease Control) or into an Excel file. The analysis of the survey data consisted of running a numeric count of each question—a procedure called *frequencies*—with additional procedures cross-tabulating key variables in terms of their degree of association.

Even though, data findings from a mini-survey are not extensive compared to a macro-survey, it is always useful to have developed a “data analysis plan” detailing how survey findings can be integrated with other evaluation data. Indeed, the survey data were used to reinforce and validate other findings that also provided insight to the survey results.

16 The total number of persons taking the questionnaire was 268; however, some questionnaires were incomplete and there were coding errors on others—resulting in 260 valid questionnaires available for analysis.

STEP 5: PRESENT FINDINGS

While an Evaluation Outline had been developed before going to the field, the survey results did require some changes in how the data would be reported to OTI. Survey data findings were integrated and presented in a narrative report format describing the results of the CBI program in Macedonia. Charts and tables were used to strengthen the presentation of the evaluation data.

Conclusion

Carrying out a mini-survey of CBI participant provided a rich source of quantifiable data for validating the findings of individual interviews and focus groups. Most importantly, it permitted the evaluators to actually validate attitudinal and behavioral changes resulting from the CBI program as perceived by the participants themselves.

RESOURCES

Kellogg Foundation. Evaluation Handbook, 1998.

Community Opinion Survey: OTI Macedonia Confidence Building Program

QUESTIONNAIRE OVERVIEW

This questionnaire is part of an evaluation being conducted by the United States Agency for International Development (USAID) for the purpose of assessing the effects of the Confidence Building Initiative (CBI) Program on its participants. The survey is seeking to learn about your experiences with the CBI program.

USAID and its partner, the International Organization for Migration (IOM) are particularly interested in your candid views about the CBI program; the views you now have about citizen participation, the knowledge you have gained in participating in CBI process groups, and how working with CBI is likely to be applied to future community problems.

Your responses will be kept strictly confidential and no individual will be identified in any report resulting from this survey. These questions should take approximately 25-30 minutes to complete.

Thank you for your participation in this survey

PROJECT DATA:

(This information will be completed by your questionnaire facilitator)

- | | | | | | |
|-------------------------|--------|--------|--------|--------|--------|
| 1. Field office: | Bitola | Kicevo | Kocani | Skopje | Tetovo |
| 2. Year Project Ended | | 2002 | 2003 | | |
| 3. Grant Number | _____ | | | | |
| 4. Sector | _____ | | | | |
| 5. Program Category | _____ | | | | |
| 6. CBU Contribution (%) | _____ | | | | |

7. How did you learn about the CBI project?

(Circle only one item)

- People from CBI came to the community 1
- My relatives, family friends told me about CBI 2
- Through media (newspaper, radio, TV 3
- Other communities told me about the CBI project 4
- I don't know 5

8. How did you become involved with the CBI program?

(Circle only one item)

- Referred by a friend 1
- Referral by other community groups 2
- By CBI staff 3

9. What was the main purpose of the CBI project in your community?

(Circle all items that apply)

- To do infrastructure projects (bridges, schools, water supply 1
- Resolve conflict between different groups 2
- Involving more citizens in community affairs 3
- Stimulate people to work together 4
- I don't know 5

10. How did your community decide what kind of project should be done?

(Circle all items that apply)

- Through discussion at the meetings 1
- Local authorities decided 2
- The village council decided 3
- A few people from the community made the decision 4
- I don't know 5

11. Do you know who participated in this project?

(Circle all items that apply)

People from community	1
Local government officials.....	2
CBI	3
Some foreign organization, I don't know the exact name	4
USAID	5
IOM	6
I don't know	7

12. Now that you have participated in the CBI program, are you interested in becoming more involved in the activities of your community?

(Circle all items that apply)

Yes	1
No	2
Not sure	3
Not at this time.....	4
No opinion	5

13. How many community (CBI) meetings have you attended?

(Estimate the number) _____

14. What was your primary interest in participating in these meetings?

(Circle the item that best applies)

To gain skills in working with others	1
To cooperate with different people	2
To insure that money is spent fairly	3
To contribute to improvements in my community	4
I was selected/appointed by the community to serve on the CBU.....	5

15. How did your group or community participate in the project? We provided:

(Circle all items that apply)

Materials.....	1
Local labor	2
Local knowledge and suggestions	3
Financial support.....	4
Technical equipment.....	5
Obtaining building permits and other legal documents	6
Technical assessment	7
Management	8
Nothing	9

16. Estimate the total number of persons that participated in your project?

17. How did CBI participate in your community project?

(Circle all items that apply)

- Provided money 1
- CBI organized people from community 2
- Provided equipment 3
- Paid for contractors 4
- Did nothing 5
- I don't know 6

18. What do you feel are the most important personal attributes members of community groups gain from participating in CBI community projects? Using a scale of 1 to 5 (1=very poor; 2=poor; 3=average; 4=good; 5=best; don't know=6), please rate the following attributes.

(Circle one number for each activity)

Willingness to listen to others	1	2	3	4	5	6
Tolerance of other's opinions	1	2	3	4	5	6
Personal connections with local officials	1	2	3	4	5	6
Building self-reliance to start community initiatives	1	2	3	4	5	6
Promoting commitment to one's community	1	2	3	4	5	6
A desire to make positive changes in the community	1	2	3	4	5	6
Ability to lead others	1	2	3	4	5	6
Cooperating and working together	1	2	3	4	5	6
Learning to reach agreement with others	1	2	3	4	5	6

19. Before the CBI project, community needs were provided by:

(Circle one item that best applies)

- Local community members 1
- Other NGOs 2
- Local and national government 3
- International donors 4
- The community did not have needs 5
- No help provided 6
- Don't know 7

20. Community members, before the CBI program, showed initiative in the following ways:

(Circle all items that apply)

- Gathered together to discuss solutions to common problems 1
- Initiated meetings with authorities 2
- Looked for outside donors 3
- Showed little initiative and relied on local government 4
- All of the above 5

21. What was your experience with the CBI meetings?

(Circle all items that apply)

- The meetings were open to the public 1
- Everybody could participate equally 2
- Few people attended these meetings 3
- Most people from the community attended these meetings 4
- We did not have meetings 5
- We had meetings very often 6
- We only had meetings when it was necessary 7
- CBI staff were present at every meeting 8

22. These meetings were useful because:

(Circle one item that best applies)

- We talked about our community problems 1
- Different people from our community were present in these meetings 2
- Together we agreed on solutions to community problems 3
- I become friendly with more people in my community..... 4
- These meetings involved participatory decision-making..... 5
- These meetings were not useful..... 6

23. In your opinion, how do you view CBI staff participation in the project? Again using a scale of 1 to 5 (1=very poor; 2=poor; 3=average; 4=good; 5=best), please rate the following attributes.

(Circle one number for each activity)

CBI responded to our requests when others did not	1	2	3	4	5
CBI staff were very supportive of our group activities	1	2	3	4	5
CBI staff worked closely with community members	1	2	3	4	5
CBI staff did what they promised to do	1	2	3	4	5
CBI staff approved our project with little delay	1	2	3	4	5

24. Is there another project currently going on in your community?

(Circle all items that apply)

- Yes, another CBI project 1
- Yes, some other donors are providing assistance 2
- Yes, by the local government, self-initiated and financed 3
- No other group is assisting us at this time 4
- I don't know 5

25. What attitude changes have you observed taking place in your community in the last 2 years?
(Circle one item that best applies)

- Community member are interested in further projects 1
 Community members are willing to work together on other projects 2
 Community members are willing to work together with Local Government 3
 There is little interest in further projects in my community 4
 People are more willing to talk together about community problems 5
 I don't know of any changes in people's attitudes 6

26. As a result of your experience with CBI, what have you learned about solving local community problems? **(Circle only one item)**

- Community members can work together to solve community problems 1
 Only local government should solve community problems 2
 With local government, communities can address their problems 3
 Nothing can be done without outside resources of money 4
 Nothing 5
 I don't know 6

27. The benefits from this project in the community were mainly for:
(Circle all items that apply)

- Economic development 1
 Infrastructure 2
 Employment 4
 Health 5
 Improving ethnic relations 6
 Improving community interaction 7
 Participation in decision-making 8
 Expanding gender participation in community affairs 9

28. What community activities did you participate BEFORE CBI? **(Circle all items that apply)**

- Participating in local NGO activities 1
 Attending commune/municipal council meetings 2
 Serving on community committees 3
 Participating in an agricultural organization 4
 Participating in the parent/teacher association 5
 Talking to local politicians/officials 6
 Writing to local politicians/officials 7

29. What community activities do you participate in NOW? **(Circle all items that apply)**

- Participating in local NGO activities 1
 Attending commune/municipal council meetings 2
 Serving on community committees 3

Participating in an agricultural organization	4
Participating in the parent/teacher association.....	5
Talking to local politicians/officials	6
Writing to local politicians/officials	7

Please circle the number that you feel is closest to your opinion:

30. Will you use your experience working with CBI to find solutions to other problems in your community?

Yes.....1 No.....2 Not Sure.....3

31. Are there places in your community that you go to now that you did not go before the CBI program?

Yes.....1 No.....2 Not Sure.....3 Same as Before.....4

32. Are there people you visit now that you did visit before participating in the CBI program?

Yes.....1 No.....2 Not Sure.....3 Same as Before.....4

33. Are people in area where the project was implemented aware of the CBI program?

Yes.....1 No.....2 Not Sure.....3

34. Since you participated in CBI, estimate how many persons you have talked with about this program? **Enter an Estimated Number:**_____

35. In your opinion, how many persons will become directly involved in some type of community activity in your community as a result of your participation in CBI?

(Circle only one item)

None	1
1-5 persons	2
6-15 Persons	3
16-30 Persons	4
Greater than 30 persons.....	5
Have no idea.....	6

PARTICIPANT CHARACTERISTICS
(circle the most appropriate response)

36. Your Age _____

37. Your Gender

- Male..... 1
- Female..... 2

38. Marital Status

- Married 1
- Single 2
- Widowed 3
- Divorced 4

39. Number of Children

- One 1
- Two..... 2
- Three 3
- More than three..... 4
- Do not have children..... 5

40. What is your highest level of education you have completed?

- Primary School..... 1
- Secondary School... .. 2
- Specialized technical Training. 3
- Some College/University Courses ... 4
- University degree... .. 5
- Post-Graduate Courses..... 6

41. What is your occupational area?

- Industry and/or mining 1
- Agriculture and/or forestry 2
- Transportation..... 3
- Construction..... 4
- Private business..... 5
- Commercial services..... 6
- Public health..... 7
- Public utilities..... 8
- Education and/or cultural activities.. 9
- Local or national government 10
- Prefer not to answer 11
- Other 12

42. Are you currently employed?

- Yes..... 1; No..... 2;
- If Yes, please complete Question 43

43. Type of employment

- Full time employment 1
- Part time employment..... 2

44. What ethnic group are you identify with?

- Macedonian... .. 1
- Albanian... .. 2
- Serb..... 3
- Roma..... 4
- Vlach..... 5
- Turk..... 6
- Bosnian..... 7
- Other..... 8
- Prefer not to answer..... 9

45. Where do you live?

- Village..... 1
- City..... 2

Tool 15: Organization Capacity Assessment Tool (OCAT)

OVERVIEW

This section includes a family of related tools used to assess organizational capacities along a set of capacity components or parameters such as financial management, leadership, human resource management, external relations, governance and service delivery.

WHAT IS IT?

Organizational capacity assessment tools offer concrete self-assessments for organizations that tailor change methods to strengthen institutional capacity. Often they are comprehensive and time-intensive tools but they can be amended and abbreviated to meet the specific needs of sponsoring agencies and target organizations. There are a wide variety of tools each with their own strengths and weaknesses. Following an organizational assessment phase, these tools are used to strengthen weaker areas of an organization's overall institutional capacity and service delivery capacity.

WHAT CAN WE USE IT FOR?

Organizational capacity assessment tools can be used in two ways: one, to measure the institutional capacity of an organization (e.g., NGO, CBO or local government unit) targeted for support; and two, to increase the institutional capacity of the implementing partner. This tool can also provide valuable information to sponsoring organizations such as baseline data necessary for setting target values for organizational capacity, information on organizational bottlenecks that slow or impede service delivery, and they inform managers of the impact of an intervention or the effectiveness of a capacity building intervention. Once organizational weaknesses are identified, strategies for organizational improvement can be defined and operationalized. The overall result tends to be a stronger and better service delivery organization.

ADVANTAGES

- Provides a comprehensive means to measure institutional capacity of implementing partners

- Serves not only as a diagnostic tool but also focuses on making organizational capacity improvements necessary to improve services of implementing partners
- Can be empowering to organizations, especially if used as a participatory assessment tool
- Helps managers make strategic, operational, and/or funding decisions
- Identifies an organization's strengths and weaknesses
- Flexible, tools can be adapted for many different kinds of organizations of interest to sponsoring organizations

DISADVANTAGES

- Can be time and resource intensive especially if used with many organizations
- Full-blown organizational capacity building assessments (those covering all major components of an organizations' capacity) may be costly and time consuming.
- Lack of continuity of the assessment team over time may affect consistent reporting.

COST

Low to high—depends on the depth of analysis and especially the number of key capacity areas to chosen to evaluate and strengthen.

SKILLS REQUIRED

Sound analytical skills for the identification of information needs and the development of indicators. Organizational development skills if you plan to use a facilitated approach in applying the tool.

TIME REQUIRED

The time required can vary greatly, depending on the depth of the analysis, the duration of the program or activity, and the depth of the M&E work undertaken. A typical capacity assessment activity involving interviews, capacity survey, analysis, a workshop and reporting might take about two weeks.

STEP-BY-STEP DIRECTIONS

STEP 1: IDENTIFY YOUR INFORMATION NEEDS

Identify critical areas by answering the following questions:

- Is the objective to measure the entire organization? Or is it to measure specific elements of the organization? If the latter, what are the specific capacity areas to be measured?
- How will the information be used? To measure change in an organization over time? To compare organizations with each other?
- What is the purpose of the intervention? To strengthen an organization? To inform procurement decisions? To hold an organization accountable for achieving results or implementing reforms?
- What type of organizations are you measuring? Are there any particular measurement issues pertaining to this type of organization that must be considered?
- How participatory do you want the measurement process to be?
- Will organization members themselves or outsiders conduct the assessment?

STEP 2: DEVELOP INDICATORS

Having identified the focus of the capacity assessment, develop performance indicators as measures of inputs, outputs, outcomes, and impacts of the assessment.

- What product do you want the measurement tool to generate? What do you hope to achieve with the proposed intervention?
- Do you want the measurement process to be an institution-strengthening exercise in itself?
- Do you need an instrument that measures one organization? Several organizations against individual criteria? Or several organizations against standard criteria?

STEP 3: CHOOSE RELEVANT TOOL

Choosing the appropriate tool is one of the most important steps. Select the tool that best addresses the chosen indicators and desired information from the list of tools below.

STEP 4: CUSTOMIZE THE TOOL

Organizational assessment tools need to be customized to particular types of organizations and environments. An assessment tool for FSP organizations needs to be quite different from one used to measure the capacity of local governments. With modifications, existing tools can be customized for different kinds of organizations. As you customize one of the tools, streamline it as much as possible and consider if and how you will use it to:

- Focus on only one or two capacity areas. Do not undertake a full-blown organizational capacity assessment unless needed
- Establish easy-to-use benchmarks. Get a quick snapshot of organizational capacity through paired-down versions of the tool at the mid-term and end of the project.
- Undertake an organizational capacity assessment mid-term review and final review
- Remember: you can adapt and adjust tools as needed, but once you develop the instrument, use it consistently.

STEP 5: MEASURE INSTITUTIONAL CAPACITY AND INCREASE ORGANIZATIONAL STRENGTH

The process of measuring institutional capacity can contribute substantially to increasing an organization's strength. A number of measurement approaches are explicitly designed as learning tools for organizations; that is to identify problems and suggest related solutions, to improve communication, or to facilitate a consensus. The scores/findings from the organizational assessment are then used to promote dialogue and planning for organizational improvement

EXAMPLES OF ORGANIZATIONAL CAPACITY ASSESSMENT TOOLS

1. PROSE (Participatory, Results-Oriented Self-Evaluation)

has the dual purpose of assessing and enhancing organizational capacity. Its features include:

- a. *Designed to compare capacity across a set of peer organizations;*
- b. *Measures change in one organization or a cohort of organization over time;*
- c. *Measures well-defined capacity areas against well-defined criteria;*
- d. *Assessment based primarily upon perceived capacity;*
- e. *Produces numeric score on capacity areas;*
- f. *Assessment should be undertaken with help of outside trainer or facilitator; and*
- g. *Data collected through group discussion and individual questionnaires given to a cross-section of the organization's staff.*

Except From DOSA, a PROSE Tool

The following is a brief example drawn from the Service Delivery section of the DOSA questionnaire:

DISCUSSION:

- a. *What are three representative projects in our current program portfolio and who are the stakeholder in these projects*
- b. *For three projects identified, what are some concrete examples of stakeholder involvement in each of the processes listed below?*

<i>Stakeholders in our programs are engaged in:</i>		<i>Strongly Disagree</i>	<i>Disagree</i>	<i>Neutral</i>	<i>Agree</i>	<i>Strongly Agree</i>
28	Assessing Needs	1	2	3	4	5
29	Designing Projects	1	2	3	4	5
30	Implementing Projects	1	2	3	4	5
31	Monitoring Projects	1	2	3	4	5
32	Assessing Their Impact	1	2	3	4	5

DISCUSSION:

- a. *For the three projects identified in the preceding question, to what degree are traditionally under-represented stakeholders (e.g. rural poor, women, ethnic minorities) engaged in the tasks listed below?*

<i>Traditionally underrepresented stakeholders are engaged in:</i>		<i>Strongly Disagree</i>	<i>Disagree</i>	<i>Neutral</i>	<i>Agree</i>	<i>Strongly Agree</i>
28	Assessing Needs	1	2	3	4	5
29	Designing Projects	1	2	3	4	5
30	Implementing Projects	1	2	3	4	5
31	Monitoring Projects	1	2	3	4	5
32	Assessing Their Impact	1	2	3	4	5

The complete DOSA questionnaire can be found at: http://www.dec.org/pdf_docs/pnacg624.pdf. The questionnaire is only one part of DOSA and should be used in conjunction with resources available at: <http://www.edc.org/INT/CapDev/dosapage.htm>.

2. IDF (INSTITUTIONAL DEVELOPMENT FRAMEWORK)

is designed specifically to help organizations improve efficiency and become more effective. IDF is best suited for the assessment of a single organization rather than a cohort group. Other features include:

- a. *Measures change in the same organization over time;*
- b. *Measures well-defined capacity areas against well-defined criteria;*
- c. *Assessment based primarily upon perceived capacities;*
- d. *Produces numeric score on capacity areas;*
- e. *Produces qualitative description of an organization's capacity in terms of developmental stages;*
- f. *Assessment can be done internally or with help from an outside facilitator; and*
- g. *Data collected through group discussion with as many staff as feasible.*

Excerpt from the IDF Tool

The following is an excerpt from the External Resources Section of the Institutional Development Framework. The entire framework can be found at http://www.dec.org/pdf_docs/pnacg624.pdf.

<i>Resources</i>	<i>CRITERIA FOR EACH PROGRESSIVE STAGE</i>			
	Start Up	Development	Expansion	Sustain ability
EXTERNAL RESOURCES				
Public Relations	Organization little known outside the range of its direct collaborators.	Organization is known in its own community but does little to promote its activities to general public and key decision-makers.	Organization has contact with key decision makers and has developed some lines of communication with public.	Organization and its work is well known to public and policy makers. Able to engage decision-makers in dialogue on policy. It has a loyal constituency, and commands respect outside that constituency.
Ability to work with local communities.	NGO is located and directed from an urban centre a long distance from the field, or is based on top-down structure.	While still located in distant urban center, work is focused on field, and organization is viewed as ally of community.	From a field project base, community input is solicited for key decisions. Organization and efforts viewed as service provided to the community.	From the field project base, community's input is integrated into most management considerations. Organization viewed as a community resource.
Ability to work with government bodies.	Viewed as "we", "they." Tension is frequent between government and organization.	Relations are friendly. Collaboration occasionally occurs on specific tasks and projects.	Collaboration is frequent, usually on informal level. Relations are friendly, but imbalanced.	Formal and informal mechanisms exist for collaboration and are often used. Relations are as full partners.
Ability to access local resources.	Organization's projects have no relationship with local sources of credit, other resources, financial support or human resources.	Organization's projects draw support from local credit agencies, and/or government departments for technical expertise and financial support.	Organization's projects draw significant support from local credit and government agencies but sustaining project results depends on continued support of the organization.	Organization's projects precipitate (create environment for) support from local agencies and community as contributions to project results and for sustaining projects results.
Ability to work with other NGOs.	Organization does not have experience working with other NGOs. Not known or trusted by NGO community.	Organization increasingly known and trusted by NGO community, but little experience with collaboration.	Organization works with international and local NGOs, and participates in NGO networks but has not played a leadership role in promoting NGO coalitions and projects.	Organization plays leadership role in promoting NGO coalitions on projects and supports other NGOs and can help resolve NGO-NGO or NGO Govt conflict

3. OCAT (ORGANIZATIONAL CAPACITY ASSESSMENT TOOL)

is designed to examine the impact of NGO capacity-building activities and is better suited for measuring one organization over time. Its features include:

- a. *Measures change in the same organization over time;*
- b. *Possible to measure well-defined capacity areas against well-defined criteria;*
- c. *Possible to balance perceptions with empirical observations;*
- d. *Produces numeric score on capacity areas;*
- e. *Produces qualitative description of an organization's capacity in terms of developmental stages.*
- f. *Assessment can be done internally (with or without help of an outside facilitator (or by an external evaluator.*
- g. *Data collected through group discussion, interviews, observations, documents, etc., by a diverse assessment team.*

Section Three of Participatory Monitoring, Evaluation and Reporting: An Organizational Development Perspective for South African NGOs contains the capacity assessment tools:

The OCAT Assessment Sheet (pages 98-106)
Rating Sheet (pages 108-115)
Categories and Stages of Organizational Development (pages 70-85)

The complete document is available at: http://www.dec.org/pdf_docs/pnack432.pdf.

4. DPID (DYNAMIC PARTICIPATORY INSTITUTIONAL DIAGNOSIS)

is a rapid and intensive facilitated assessment of the overall strengths and weaknesses of an organization. This method explores member perceptions of an organization's relationship with its environment. Other features of DPID include:

- a. *Capacity areas and criteria for measurement are loosely defined;*
- b. *Assessment based primarily on perceived capacities;*
- c. *Produces qualitative description of an organization's capacity;*
- d. *Assessment done with the help of an outside facilitator;*
- e. *Data collected through group discussion with the organization's staff;*
- f. *Difficult to compare across organizations; and*
- g. *Difficult to compare the same organization over time.*

AN APPLICATION OF DPID

DPID is a highly flexible and individualized tool making every application of it very different. As such, the tool does not make for as good of an example as the other tools listed in this document. Below is an anecdote about one West African organization's use of the DPID as reported by the Senegal DPIPVO/NGO support project.

"A Federation of Farmers' Cooperatives with about 15,000 members in the Sahel was looking for a unique and efficient approach to redress some of the organization's problems. The federation suffered from internal strife and a tarnished reputation, impeding its ability to raise funds. Through DPID, the federation conducted a critical in-depth analysis of its operational and management systems, resulting in the adoption of "10 emergency measures" addressing leadership weaknesses, management systems, and operational procedures. Subsequently, the organization underwent internal restructuring, including an overhaul of financial and administrative systems. One specific result of the DPID analysis was that federation members gained more influence over the operations of the federation."

5. OCI (ORGANIZATIONAL CAPACITY INDICATOR)

is based on “appreciate inquiry”, a methodology that emphasizes an organization’s strengths and potential more than its problems. Other OCI features include:

- a. *Measures change in the same organization over time;*
- b. *Possible to measure well-defined capacity areas across well-defined criteria;*
- c. *Assessment based primarily on perceived capacities;*
- d. *Produces numeric or pictorial score on capacity areas;*
- e. *Assessment done internally;*
- f. *Data collected through group discussion with organization’s staff; and*
- g. *Difficult to comparably measure across organizations.*

EXCERPT FROM OCI.

The following is an excerpt from one section of the capacity assessment tool. It offers a menu of capacity areas and indicators from which an organization can choose and then modify for its own use. It identifies nine capacity areas, and under each area is a “provocative position” or vision of where the organization wants to be in that area. It provides an extensive list of indicators for each capacity area, and it describes the process for developing and using the tool. Staff and partners meet regularly to determine their capacity on the chosen indicators. Capacity level can be indicated pictorially, for example by the stages of growth of tree or degrees of happy faces.

CAPACITY AREA

Leadership

PROPOSITION

Our organization’s leadership is competent, for it empowers, serves, communicates, and is motivated by compassion for the poor. It demonstrates God-fearing qualities, flexibility, and transparency so that the organization is equipped to accomplish its vision.

SELECTED INDICATORS

- Leaders are committed to the vision.
- Leadership is approachable and has sincere concern for the staff and the organization’s

growth and development.

- Leaders empower others.
- Leaders know and work with beneficiaries as well as learn from others.
- There is a good relationship between staff and members.
- Leadership demonstrates humble and active participation.

The complete document is available at http://www.dec.org/pdf_docs/pnacg624.pdf

6. YES/NO CHECKLIST OR ‘SCORECARD’

is a list of characteristics or events against which a yes/no score is assigned. They may be used to measure processes or outputs of an organization correlated to specific areas of capacity development. Other features include:

- a. *Cross-organizational comparisons can be made;*
- b. *Measures change in the same organization over time;*
- c. *Measures well-defined capacity areas against well-defined criteria;*
- d. *Possible to balance perceptions with empirical observations;*
- e. *Produces numeric score on capacity areas;*
- f. *Assessment can be done by an external evaluator or internally;*
- g. *Data collected through interviews, observation, documents, involving a limited number of staff.*

RESOURCES

“Measuring Institutional Capacity,” Recent Practices in Monitoring and Evaluation, TIPS, USAID Center for Development Information and Evaluation, http://www.dec.org/pdf_docs/PNACG624.pdf 2000 number 5, Annexes.

The Participatory Organizational Evaluation Tool (POET) can be found at: <http://www.undp.org/csopp/poet.htm>.

The complete DOSA questionnaire can be found at: http://www.dec.org/pdf_docs/pnacg624.pdf. The questionnaire is only one part of

Tool 16: Cognitive Social Capital Assessment Tool

OVERVIEW

The Cognitive Social Capital Assessment (CSCA) tool is a quantitative method for collecting basic information about cognitive social capital quickly. Cognitive social capital refers to people's perceptions of the trustworthiness of other people and key institutions that shape their lives, as well as the norms of cooperation and reciprocity that underlie attempts to work together to solve problems.

WHAT IS IT?

Social capital is particularly important in fragile states, because the causes of fragility often destroy existing forms of social capital and it may take time for new forms to develop. The resulting void may lead to social tension, conflict and violence. Information on social capital can help sponsoring agencies determine which projects and programs are most likely to succeed and evaluate the performance and impact of existing projects and programs when the tool is used initially for baseline assessment work.

WHAT CAN WE USE IT FOR?

The CSCA tool can be used to provide baseline information about the extent and type of social capital available in a community and to monitor the change in this social capital. The tool can thus assist program managers to identify and measure critical attitudes and perceptions of potential program participants which would influence the success of these programs. These attitudes and perceptions include the extent of trust between different ethnic or other groups, their willingness to collaborate and interact with each other, and the extent of confidence in local governments and in the processes used to reach decisions that affect the community. Each of these attitudes and perceptions is covered in the CSCA tool. To the extent that projects and programs affect social capital, the tool can also be used as a monitoring device to track these changes.

ADVANTAGES

- Managers can obtain quantitative information about social capital relatively quickly and

cheaply to inform decision-making or to demonstrate results.

- The tool covers different dimensions of social capital, including trust, membership in groups and associations, collective action and cooperation, exclusion, sociability, and participation in the political process.
- The questionnaire is fairly short demanding only a limited amount of time from the respondents. Required enumerator skill and training are also limited, thus facilitating the implementation of the tool.
- The tool can be implemented as a standalone survey or be integrated in a larger survey. It can be applied at any scale, from nationally representative samples to small purposely selected samples in project areas.

DISADVANTAGES

- Because the overall length of the tool is kept quite short, each dimension of social capital is only explored in a limited way, which may not make possible a full understanding of the processes leading to building social capital.
- If the tool is implemented on a sample that is not nationally representative, results cannot be generalized beyond the area of implementation.
- The strictly quantitative nature of the tool may fail to capture in-depth some of the more complex aspects of social capital that could better be understood through qualitative methods such as focus groups and key informant interviews.

COST

The cost of administering the CSCA tool depends in the first place on the sample size and on the costs of labor and transportation. To these costs need to be added the resources needed for survey preparation, including local adaptation of the questionnaire, and for analyzing the survey data and writing up and disseminating the results. Assuming that the total sample is limited to 300-400 households, it should be possible in many countries to administer the tool in a period of 6 to 8 weeks, including preparation, field work and

analysis. Total costs would then typically fall in the range of \$5,000 to \$10,000. This amounts to a unit cost per questionnaire in the range of \$15 to \$25. This amount would cover all the variable costs directly associated with the administration of the tool (for example, it would cover the cost of fuel for the enumeration team's vehicle, but not the cost of acquiring the vehicle).

SKILLS REQUIRED

The example of the tool presented in the annex to this note is a prototypical questionnaire and it cannot be administered without significant adaptation to the local context. Such local adaptation is always necessary for a survey questionnaire, but is especially important in the case of social capital because its sources and manifestations are very context specific. This adaptation means that at least one member of the team should have a good substantive knowledge of the topic of social capital. The team may well wish to consult with experts at a local university or research institution. Additional skills required are those typically needed for the administration of a survey, such as sample design, management of field work, and analysis.

TIME REQUIRED

In most settings, the CSCA tool will take about 30 minutes per respondent (the time will be slightly larger if the tool is used as a standalone survey rather than as part of another survey). A team consisting of one supervisor and two enumerators should be able to complete 15 to 20 interviews per day, which means that a sample of 300 households could be covered in a period of 15 to 20 working days. Because of the need for extensive local adaptation, it is highly recommended to pretest the instrument. It would thus be prudent to set aside two weeks for survey preparation. After the field work, data entry and analysis are likely to take an additional two to three weeks. The total time required for administering the CSCA tool will thus be 6 to 8 weeks.

STEP-BY-STEP DIRECTIONS

STEP 1: PLANNING

Planning for the implementation of this tool should be an integral part of the design and evaluation of the project or program which it is meant to inform. Typically, this tool will be one among several ways that information will be gathered for the design and evaluation of the project or program. The CSCA tool should thus be designed and implemented in a coordinated fashion with the other instruments. The success of data collection efforts is often critically dependent upon cooperation of the local authorities, and planning should include contacting the relevant authorities in order to arouse their interest and obtain their cooperation.

STEP 2: SELECT THE TEAM

The team responsible for applying the CSCA tool needs to be multidisciplinary. It needs to consist of a social scientist/survey design expert, data collection staff, and data entry staff. The responsibility of the analyst is to specify clearly the objectives of the inquiry and how the data will be used to answer the questions posed. On the timeline, this is the first activity that needs to take place, as it will lead directly to the adaptation of the prototype questionnaire to local conditions. The analyst and the survey design person will then work together to ensure that the field instruments and the selected sample will be adequate to test the retained hypotheses.

It is recommended that field teams consist of one supervisor and two enumerators. The main responsibility of the supervisor is quality control, review of the work of the enumerators, and the organization of field logistics. While it is always beneficial to have an experienced field team, the CSCA questionnaire is relatively simple and thus extensive experience is not a prerequisite for its successful administration. More important is that the field team be specifically trained in the use of the tool.

STEP 3: PROVIDE TRAINING

One of the most important ingredients for successful data collection work is thorough training of the field teams. Because the CSCA questionnaire is short, a training period of one to two days will be adequate. The training should consist of both classroom work and field exercises. During the classroom work, the objectives of the survey will be explained, including a discussion of the concept of social capital, and each question in the instrument will be reviewed. Enumerators will be taught how to explain the questions to respondents and how to probe for answers. The classroom work will be followed by field exercises, consisting of practice runs of administering the questionnaire with volunteer respondents, and practicing methods for successful probing.

STEP 4: ADAPT THE PROTOTYPE QUESTIONNAIRE

The sources and manifestations of social capital are very context specific and any questionnaire aimed at collecting data on social capital will need to be adapted to ensure relevance in the local context. Adaptation is a two-step process. First, a general review is necessary of the different issues addressed in the CSCA questionnaire to assess whether the balance between different topics is appropriate for the proposed application. For example, the CSCA prototype questionnaire focuses strongly on trust and cooperation and contains only a few questions on the participation in the political process. It is quite possible that for a given application, additional participation questions may be needed whilst other questions may be deleted. The second step of the adaptation process consists of a detailed review of the questions and answer codes to see if they are relevant in the local context.

As a practical matter, it is advisable to involve the field team in the adaptation process, particularly if they have a lot of experience and may be able to make recommendations about appropriate wording and ordering of questions.

STEP 5: TRANSLATE THE QUESTIONNAIRE

The application of the CSCA tool in most countries will require translation of the instrument into one or more local languages. This is an expensive

exercise, especially when there are multiple local languages, and there may be an inclination to skip this step. However, we advise strongly against not translating the questionnaire. Experience indicates that when enumerators are forced to translate on the spot, i.e. during the interviews, many inconsistencies arise in the translation and the flow of the interview is slowed down. The end result can be a significant reduction in the quality and comparability of the collected information.

To ensure accuracy of the translated instrument, it is recommended that it be back-translated into English (by a different translator). The comparison of this translation with the original instrument is a very effective way to detect errors in translation.

STEP 6: PILOT TEST

Once the CSCA instrument has been adapted and translated, it is highly recommended to undertake a pilot test to assess all aspects of data collection. The sites for the pilot test should not include communities that will be part of the sample for the actual administration of the CSCA tool. The purpose of the pilot test is to administer the tool in the different geographic and socio-economic environments that one is likely to encounter during the actual application of the tool. Thus the selection of sites should not be random, but purposive, and aim to ensure a balance between urban and rural communities, poor and rich areas, and areas of different ethnicity and language. Likewise, a balance should be sought between male and female respondents.

STEP 7: SELECT SAMPLE

The CSCA questionnaire was designed to be administered to individual respondents. These can be selected from lists of program participants or beneficiaries, or an existing household sampling frame can be used. In the latter case, one respondent would be randomly selected among the adult members of each household in the sample.

Whether the sample should be random or purposively selected is a function of the analytical objectives and the available budget. Random samples, which can be representative for the entire country or for a region, are advisable if the overall sample size is large, say, 1000 respondents or more. For smaller samples, it is often more

efficient to use non-random selection methods which ensure that different groups of interest are adequately represented in the sample. For example, if the available budget restricts the sample to 300 respondents and the survey designers wish to have information on 3 ethnic groups, it is advisable to select the sample in a purposive manner so that each of the ethnic groups is equally represented in the total sample.

STEP 8: MANAGE FIELD WORK

The application of the CSCA tool is fairly straightforward and does not make any unusual demands on the management of the field work. Nevertheless, experience suggests that it is useful to draft a clear time line and transportation plan for the field work in advance of the start of actual data collection. This will contribute to keeping the field work on time. The plan should include arrangements for communication between the field team and headquarters so that unforeseen events can efficiently be dealt with. If the field teams need to utilize public transportation rather than having their own vehicle available, more flexibility will need to be built into the timeline. It is good practice for the field team to report its progress to headquarters on a daily basis.

During the planning stage, the project team should already have contacted the local authorities to obtain their cooperation. It is advisable to contact the authorities again just before the start of the field work, to alert them to the arrival of the field team. Depending upon local practice, the field team may wish to pay a courtesy visit to the community leader and discuss its work plan with him or her.

STEP 9: DATA ENTRY

As soon as completed questionnaires are returned to project headquarters, data entry work should begin. At the time of questionnaire design, a data entry software package should have been selected, such as SPSS, SAS or Excel. Data entry should have been tested at the time of the pilot test, so that no unforeseen problems arise when actual questionnaires are entered into the computer. Packages such as SPSS or SAS make it possible to undertake a number of automated internal consistency checks and range checks to assess the quality of the data.

STEP 10: DATA ANALYSIS

The nature of data analysis will depend upon the objectives and hypotheses retained for the survey. However, it is good practice to undertake at least the following two tasks at the start of analysis. First, the frequencies of the answers for each question should be printed out and inspected. This is especially important if the data entry program did not include automated range checks. A printout of frequencies will make it possible to verify that there are no invalid entries or codes in the data set, will indicate the extent of missing answers, and will give a first indication of the substantive results. A second useful task is to tabulate the frequencies across basic geographic or socio-economic dimensions, such as rural/urban areas, gender, ethnic groups, etc. This set of tables can be very rapidly produced and shared with team members to start the review of results. It is always useful to have developed in advance a data analysis plan detailing how survey findings will be used to answer the questions and test the hypotheses put forth at the design stage, and how the results will be integrated with other data collected for the project.

USING CSCA IN BOSNIA

The World Bank used the CSCA in an assessment of social capital in Bosnia and Herzegovina. The assessment found that in the post-war period, social capital had declined as manifested in lower levels of interpersonal trust, sociability and mutual help. Membership in voluntary organizations had also declined. Social interaction with others in the community was found to be lower with new neighbors than with old neighbors, and higher with people of the same nationality than with those of different nationality. Results on mutual help showed the same pattern. All this reflected increased social cleavages following the war. The assessment provided useful data to design interventions aimed at reducing social tension and increasing social interaction and trust.

RESOURCES

Christiaan Grootaert and Thierry van Bastelaer (eds.). 2002. Understanding and Measuring Social Capital - A Multidisciplinary Tool for Practitioners. Washington DC: World Bank.

Christiaan Grootaert, Robert Chase and Thierry van Bastelaer. 2003. Social Capital Assessment Tool - A Toolkit for Understanding and Measuring Social Capital and its Role in Development. Washington DC: World Bank.

Christiaan Grootaert, Deepa Narayan, Veronica Nyhan Jones and Michael Woolcock. 2004. Measuring Social Capital - An Integrated Questionnaire. World Bank Working Paper No. 18. Washington DC. World Bank. 2002. Bosnia and Herzegovina: Local Level Institutions and Social Capital Study. Social Development Division, Environmentally

and Socially Sustainable Development Network, Europe and Central Asia Region. Washington DC.

<http://www.iris.umd.edu/adass/proj/closed/soccap.asp>

<http://lnweb18.worldbank.org/ESSD/sdvext.nsf/09ByDocName/SocialCapital>

EXAMPLE OF THE COGNITIVE SOCIAL CAPITAL ASSESSMENT TOOL

Information About the Respondent

1. Name of respondent _____

2. Location of interview _____

3. Data and time of interview _____

4. Gender of respondent _____

Male = 1

Female = 2

5. Are you the head of your household? [If no, ask:] What is your relation to the head of your household? _____

Head of household = 1

Spouse = 2

Son or daughter = 3

Brother or sister = 4

Other = 5

6. How many people are part of your household?

6A. Number of adults _____

6B. Number of children _____

7. What is your marital status? _____

Married or civil union = 1

Divorced, separated or widowed = 2

Never married = 3

8. What is your age? _____

9. What is the highest level of education you have achieved? _____

None = 1

Primary education = 2

Secondary education = 3

Technical or vocational education = 4

University = 5

Other = 6

10. Are you currently employed? _____

Yes = 1

No = 2 (go to next section)

11. In what sector are you currently working? _____

Agriculture or fisheries = 1

Manufacturing or mining = 2

Construction = 3

Utilities = 4

Transport and communications = 5

Services, private sector = 6

Services, public sector = 7

Other = 8

Social Capital

1. Of how many groups or associations are you currently a member? These could be formally organized groups or just groups of people who get together regularly to do an activity or talk about things? _____ [if zero, go to question 5]

2. Of all the groups to which you belong, which one is the most important to you?

Name of group _____

3. Thinking about the members of this group, are most of them of the same...

3A. Gender _____

3B. Religious orientation _____

3C. Ethnic or linguistic background/race/caste/tribe _____

3D. Political affiliation _____

Yes = 1

No = 2

4. Compared to five years ago, are you now a member of more, fewer, or about the same number of groups or associations? _____

[Time frame can be adjusted depending upon recent period of conflict or transition]

More = 1

Fewer = 2

About the same = 3

5. Generally speaking, would you say that most people can be trusted or that you can't be too careful in dealing with people? _____

People can be trusted = 1

You can't be too careful = 2

6. I will now read you three statements about your village/neighborhood. Please tell me whether you agree or disagree with these statements, rating your answer on a scale of 1 to 5, where 1 means that you agree strongly and 5 means that you disagree strongly.

6A. Most people are willing to help if you need it _____

6B. Most people are willing to listen to each other _____

6C. Most people are tolerant of each other's opinions _____

Agree strongly = 1

Agree somewhat = 2

Neither agree or disagree = 3

Disagree somewhat = 4

Disagree strongly = 5

7. Now I would like to ask you how much you trust different types of people. On a scale of 1 to 5, where 1 means a very small extent and 5 means a very great extent, how much do you trust the people in the following categories?

7A. People from your ethnic or linguistic group/race/caste/tribe _____

7B. People from a different ethnic or linguistic group/race/caste/tribe _____

7C. Local government officials _____

7D. Central government officials _____

7E. Police officers _____

To a very small extent = 1

To a small extent = 2

Neither small nor great extent = 3

To a great extent = 4

To a very great extent = 5

8. Do think that over the last five years, the level of trust in this village/neighborhood has gotten better, worse, or stayed about the same? _____

[Time frame can be adjusted depending upon recent period of conflict or transition]

Gotten better = 1

Gotten worse = 2

Stayed about the same = 3

9A. [rural area only] Which of the following two alternatives would you prefer? _____

Own and farm 10 hectares of land by yourself = 1 (go to question 11)

Own and farm 25 hectares of land jointly with a neighbor from the same ethnic or linguistic group/race/caste/tribe = 2

9B. [rural area only] If the neighbor was from a different ethnic or linguistic group/race/caste/tribe, which alternative would you then prefer? _____

Own and farm 10 hectares of land by yourself = 1

Own and farm 25 hectares of land jointly with a neighbor = 2

10A. [urban area only] Which of the following two alternatives would you prefer? _____

Own a patio of 10 square meters by yourself = 1 (go to question 11)

Own a patio of 25 square meters that is shared with a neighbor from the same ethnic or linguistic

group/race/caste/tribe = 2

10B. [urban area only] If the neighbor was from a different ethnic or linguistic group/race/caste/tribe, which alternative would you then prefer? _____

Own a patio of 10 square meters by yourself = 1

Own a patio of 25 square meters that is shared with a neighbor = 2

11. If you suddenly had to leave your village/neighborhood for a couple of days, could you count on a neighbor or someone else who is not a relative to take care of your children? _____

Yes = 1

No = 2

12. In the past 12 months, have people in this village/neighborhood gotten together to do something for the benefit of the community? _____

Yes = 1

No = 2 (go to question 14)

13. In this activity, did people of different ethnic or linguistic groups/races/castes/tribes participate and work together? _____

Yes = 1

No = 2

14. If a community project does not directly benefit you, but has benefits for many others in the village/neighborhood, would you contribute time or money, or both, to the project? _____

Will contribute time and money = 1

Will contribute time or money = 2

Will not contribute time or money = 3

15. Compared to five years ago, do you think that people are now more willing or less willing to work together, or has it stayed about the same? _____

[Time frame can be adjusted depending upon recent period of conflict or transition]

More = 1

Less = 2

About the same = 3

16. There are often differences in characteristics between people living in the same village/neighborhood. For example, differences in wealth, income, social status, ethnic background, race, caste, or tribe. There could also be differences in religious or politi-

cal beliefs, or there can be differences due to age or sex. To what extent do any such differences characterize your village/neighborhood? Use a five point scale where 1 means to a very small extent and 5 means to a very great extent. _____

To a very small extent = 1

To a small extent = 2

Neither small nor great extent = 3

To a great extent = 4

To a very great extent = 5

17. Have any of these differences ever led to violence? _____

Yes = 1

No = 2

18. Compared to five years ago, do you think that these differences are now more pronounced or less pronounced, or is it about the same? _____

[Time frame can be adjusted depending upon recent period of conflict or transition]

More = 1

Less = 2

About the same = 3

19. Are there groups of people in this village/neighborhood who are prevented from or do not have access to

19A. Education/schools _____

19B. Health services/clinics _____

19C. Justice _____

Yes = 1

No = 2

(if answer is 3 times "No", go to question 21)

20. What are the two most important reasons why people are denied access to these facilities and services?

20A. Most important reason _____

20B. Second most important reason _____

Poverty = 1

Gender = 2

Age = 3

Religion = 4

Political affiliation = 5
Occupation = 6
Education level = 7
Ethnicity or language spoken/race/caste/tribe = 8
Other = 9

21. In the last month, how many times have you met with people in a public place either to talk or to have food or drinks? _____

22. Were the people you met mostly

22A. Of the same ethnic or linguistic group/race/caste/tribe _____

22B. Of the same religious orientation _____

22C. Of the same political affiliation _____

22D. Of the same gender _____

Yes = 1

No = 2

23. In your opinion, is this village/neighborhood generally peaceful or marked by violence? Use a five point scale where 1 means very peaceful and 5 means very violent.

Very peaceful = 1

Moderately peaceful = 2

Neither peaceful nor violent = 3

Moderately violent = 4

Very violent = 5

24. Compared to five years ago, has the level of violence in this village/neighborhood increased, decreased, or stayed about the same? _____

[Time frame can be adjusted depending upon the recent history of conflict or transition]

Increased = 1

Decrease = 2

About the same = 3

25. How are important decisions in this village/neighborhood usually made? _____

Local leaders or local government officials decide = 1

The village/neighborhood council decides = 2

A few people in the village/neighborhood decide = 3

A meeting with most people from the village/neighborhood decides = 4

Other = 5

26. Overall, how much impact do you think you have in making this village/neighborhood a better place to live? _____

A big impact = 1

A small impact = 2

No impact = 3

27. In the past year, have you done any of the following?

27A. Attend a village/neighborhood council or other public meeting _____

27B. Met with a politician, called him/her, or sent a letter _____

27C. Notified the authorities about a local problem _____

Yes = 1

No = 2

28. Did you vote in the last local/national election? _____

Yes = 1

No = 2

Tool 17: Story Telling

OVERVIEW

Story Telling is a qualitative evaluation method used to understand the story teller's experience and interpretation of changes that may result from being involved in a program.

WHAT IS IT?

Story telling is the telling of a happening or connected series of happenings in the form of a story or account. The storytelling method allows the sponsoring organization to receive first hand information on an event that has happened from the perspective of a person that took part in it. It provides the perspective and interpretations of the interviewee, and therefore it is most useful when sponsoring organizations need that kind of personal insight.

WHAT CAN WE USED IT FOR?

In this context, it is the process of analyzing and using information from stories narrated by individuals involved in conflict situations or in FSP programs, with the purpose of assessing the impact of interventions towards peacebuilding and building democratic foundations. Similar to case studies, story telling can be used to narrate a rich and compelling picture of how a program, or particular experience, may have a profound impact on peoples' lives.

ADVANTAGES

- It empowers the people who usually don't have a voice
- It is a good method to gather information from individuals who may not respond effectively to other research methods such as interviews, surveys and focus groups, due to illiteracy or other disemboweling factors
- It is a highly reflective method from the participants' standpoint
- It takes advantage of having witnesses of an event that needs to be studied
- The only requirement needed from the person who tells his/her story is to have been part of the phenomenon that needs to be studied. It does not matter in what position
- Storytelling signifies the role of values and context in shaping people's perceptions and actions

DISADVANTAGES

- Recording a story may be threatening to the storyteller
- The storytelling approach may be viewed as too subjective
- Conducting storytelling is time consuming
- A vulnerable individual may tell the story that s/he thinks the interviewer wants to hear
- Risk of getting stories that have little relevance for program design, evaluation or improvement purposes

COST

In most cases, the cost is that of travel to meet storytellers, in addition to the cost of using computers and printing for analysis and report writing.

SKILLS REQUIRED

- The interviewer should have some people skills
- Active listening skills
- The interviewer should remain neutral yet affirming in her/his body language, and interaction during the process
- The interviewer should have some knowledge of conducting qualitative analysis, especially narrative analysis

TIME REQUIRED

Conducting a storytelling assumes "no rush." In this regard, a researcher should assume that an average storytelling lasts for at least 2-3 hours.

STEP-BY-STEP DIRECTIONS

STEP 1: CONDUCT BACKGROUND RESEARCH

Always conduct background research on cultural and social aspects of the person(s) that will tell the story in order to avoid barriers when the storytelling is conducted. This means adapting your method according to tellers' social and individual background.

STEP 2: WARM-UP

You should be relaxed both for yourself and the storyteller. Before eliciting a story, try to establish a comfortable tone. You might say something about yourself, to establish a sense of reciprocity and to give the interviewee a sense of the person they are talking to. You might chat, talk about how the interview will be used, answer questions, etc. Establish a safe environment for the interviewee from the beginning with the purpose of gaining their trust.

STEP 3: EMPOWER THE STORYTELLER

You should attempt to empower interviewees by conveying that the interviewee has valuable knowledge and giving them an adequate reason to tell their story.

STEP 4: BE A GREAT AUDIENCE

You should listen closely and focus intensely on the teller. You get more authentic stories when you are receptive and fully comprehending. You should work to establish a strong one-to-one connection between yourself and the teller; sometimes you might almost reach a hypnotic bind that really draws you in. If the interviewee is distracted (e.g., by coughing from the crew), the one-to-one connection can be broken, and the story can become more generic and less genuine.

You should tape-record the story. This will allow you to be more an audience than a note taker. You should always let the person know in advance that s/he will be taped with the purpose of capturing the essence of their story.

It is important to scan carefully and regularly the nonverbal behavior. It is easy to focus only on what the person speaking is saying, but it is equally important to keep looking at what the person is doing in response at any given moment.

STEP 5: DON'T RESIST THE STORY

You should make it practice not to reject what the interviewee offers. If the interviewee gets into topics that seem irrelevant or unproductive, the elicitor does not say, *'No, that's no what I want'* or even, *'No what I meant was...'*. Rather, hear

out what is offered and follow up with additional questions.

Use a mixture of closed and open-ended questions. Closed questions are used in for specific purpose in order to create easiest possible entry to a certain topic or story (relational stance). Closed questions can be followed with a more open-ended one that gives the interviewee chance to expand and elaborate.

Seek out gaps in the story. Since no story can ever capture the full complexity of the situation, such holes are easy to find if you remain alert. Once holes in the story are opened up, you can work to ask questions to fill the gaps.

STEP 6: OBSERVE AN IMPLICIT CONTRACT OF TRUST

There is one exception to the rule of never rejecting the narrative: If you feel at some point that the storyteller is not telling the truth, you might look aside or otherwise convey that you question what they are hearing. In other words, you should conduct the interview as though there were an implicit agreement in which the storyteller will share their knowledge openly and accurately, and you will accept it appreciatively. If that agreement is violated, the procedure must break down.

STEP 7: CONDUCT A NARRATIVE ANALYSIS

In order to analyze the information provided by the interviewee you need to perform a narrative analysis. The first step is to transcribe what you recorded. The information that might affect interpretations must all be included in the transcription such as pauses and emphasis.

In any narrative, such as a storytelling, there are three elements that have to be identified: perspective, context and frame. The perspective is the point of view of the interviewee. The context has to do with the environment in which the interviewee is immersed. Frames are previous events that influence how the interviewee perceives various situations. For example, when someone experiences violence on the hands of members

of one ethnic group, her or his frame of viewing interaction with members of that group may be influenced by that violence.

The narrative approach provides you with an organizational structure designed to be responsive to analysis. A typical narrative framework focuses on the 'core narrative' or skeleton plot through four categories:

- Orientation - describes the setting and character
- Abstract - summarizes the events or incidents of the story
- Complicating Action - offers an evaluative commentary on events, conflicts and themes
- Resolution - describes the outcomes of the story or conflict" (Richmond, 2002).

The narrative analysis will provide you with a story map that will supply information on all relations that were given at the storytelling.

Step 8: Write a the storytelling report

A good story must have a story line. This implies a coherent series of plot events that hang together rather than random collection of chance happenings. The story needs to be plausible as a story and this requires a careful crafting process

TIPS

- Never manipulate the conversation
- Do not interrupt the person telling their story
- The person who is going to provide their story has to feel comfortable with the researcher
- Separate the person from the problem, no stereotyping or prejudicing

SAMPLE STORY

During the 2001 evaluation mission of the peacebuilding efforts of a US-based organization in Burundi, the evaluator visited a village where Hutu and Tutsi women engaged in a process of reintegrating those who fled their homes that were burnt in 1994. The efforts of the organization focused on helping women from both groups work together to build those homes, and included several reconciliation and community building processes. The evaluator visited the village and asked several women from both group to narrate their stories about what happened in 1994. Their faces told much of the story of Burundi: sad exhausted faces, with a silver lining of hope hesitantly showing through their eyes, and their reserved smiles.

Their stories ranged from how their husbands and loved ones were killed, to how their homes were burnt down, to how they had to live in displaced camps for almost seven years. They told the many stories of how they suffered, what it meant to them to be forced to flee their homes, and to lose so many loved ones. They reflected on the sense of community that once existed, and that was shattered in 1994.

The evaluator then asked them to tell their current stories. The interviewees described the effort that was made to bring them together with other village members who remained behind. Apart from sharing their fears and their struggles to build trust, most highlighted the efforts of the organization in rebuilding their sense of community. They also described how they felt to be working hand in hand with women from the other group to rebuild their homes now that their community was being built on solid foundations. In hoping for a better future especially for their young children who were playing around their newly constructed homes, they shared their dreams.

Seeing those women with their young children around them, eager to move back into their houses that are still under construction, could only leave one with a sense of hope that one day, those houses on the hills of Bujumbura, will be full of happy people building community and future for their children in peace.

REFLECTION ON THE ROLE OF THE RESEARCHER IN THE ABOVE EXAMPLE

The evaluator used open-ended questions to encourage the women to share their stories. The evaluator asked clarifying questions but let the women share their stories, feelings and perceptions. The evaluator was able to assess the contribution of the organizations' efforts to changing those women's conditions by focusing women's stories on two stages: 1994, and 2001. The evaluator used more specific questions to establish the extent to which the efforts of the organization contributed to the positive changes in their lives and their return to their village.

RESOURCES

Denning, Steve. "What are the main types of stories and narratives?" http://www.stevedenning.com/Main_types_story.html.

Denzin, N. and Lincoln, Y. (2000) Handbook of Qualitative Research. U.S.A.: Sage Publications.

Lawrence, D. and Thomas, J. "Social Dynamics of Storytelling: Implications for Story-Base Design". <http://www2.cs.cmu.edu/afs/cs/user/michaelm/www/nidocs/LawrenceThomas.pdf>.

Winslade, J and

Tool 18: Results Statement Worksheet

OVERVIEW

The worksheet provides a simple checklist for ensuring that FSP project, program and strategic objectives have a strong orientation towards measurable results, realism and clarity.

PROGRAM NAME: _____

PROGRAM GOAL: _____

PROGRAM OBJECTIVE/RESULTS STATEMENT: _____

CRITERIA FOR ASSESSING THE RESULTS STATEMENT	Yes	No	Unsure	COMMENTS
Is the results statement MEASURABLE ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the results statement MEANINGFUL ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the results statement REALISTIC ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the results statement focused on your agency's STRATEGIC COMMITMENTS ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the results statement CUSTOMER or STAKEHOLDER DRIVEN ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the results statement within the MANAGEABLE INTEREST of your agency and its development partners?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the results statement focused on RESULTS or outcomes of activities (such as impact, quality, cost/efficiency, timeliness) rather than a description of activities themselves?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the statement UNI-DIMENSIONAL (focused on one result rather than a combination of results)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

OTHER COMMENTS:

RECOMMENDATION:

- Accept results statement
- Revise results statement and then accept
- Reject results statement

Source: adapted from IBM (2003). USAID Performance Management Toolkit

Tool 19: Indicators Worksheet

OVERVIEW

The worksheet provides a simple checklist to assess the relevance and quality of the indicators you select to measure your project and program objectives.

NAME OF INDICATOR: _____

NAME OF RELEVANT RESULT: _____

<i>CRITERIA</i>	<i>COMMENTS</i>
<p>Is the indicator DIRECT?</p> <ul style="list-style-type: none"> • Does it closely measure the result it is intended to measure? • Is it grounded in theory and practice? • Does it represent an acceptable measure to both proponents and skeptics? • If it is a proxy, is it as directly related to the relevant result as possible? 	
<p>Is the indicator OBJECTIVE?</p> <ul style="list-style-type: none"> • Is it unambiguous about what is being measured? • Is there general agreement over the interpretation of the results? • Is it unidimensional (i.e., does it measure only one phenomenon at a time)? • Is it operationally precise (i.e., is there no ambiguity over what kind of data should be collected)? 	
<p>Is the indicator USEFUL for management?</p> <ul style="list-style-type: none"> • Useful at what level? (Project? Partners? HQ?) • How will it be used? 	
<p>Is the indicator PRACTICAL?</p> <ul style="list-style-type: none"> • Are timely data available (i.e., is data current and available on regular basis)? • Can the data be collected frequently enough to inform management decisions? • Are data valid and reliable? • Are the costs of data collection reasonable? 	

<i>CRITERIA</i>	<i>COMMENTS</i>
<p>Is the indicator ATTRIBUTABLE to FSP effort?</p> <ul style="list-style-type: none"> • Are the links between program-supported activities and the result being measured clear and significant? • Can the result be attributed, at least in part, to your program efforts? 	
<p>Is the indicator TIMELY?</p> <ul style="list-style-type: none"> • Are data available when needed for decision making? • Are data available frequently enough for decision making 	
<p>Is the indicator ADEQUATE?</p> <ul style="list-style-type: none"> • Does it merely indicate progress rather than attempt to fully describe everything an activity accomplishes? • Taken as a group, are the indicator and its companion indicators the minimum necessary to ensure that progress toward the given result is sufficiently captured? 	
<p>Should the indicator be DISAGGREGATED by sex, geographic location, occupation or ethnic group?</p> <ul style="list-style-type: none"> • Is disaggregation necessary/appropriate? 	
<p>Does the indicator reflect GENDER CONSIDERATIONS? (if technical analysis demonstrates the need for this)</p>	

OTHER COMMENTS:

RECOMMENDATION:

Source: Adapted from IBM (2003). USAID Performance Management Toolkit

Tool 20: Evaluation Planning Worksheet

OVERVIEW

The worksheet provides a simple checklist to make sure your plans for a mid-term or final evaluation are complete and likely to produce a useful, ethical, cost-effective and accurate evaluation.

PROGRAM NAME: _____

TYPE OF EVALUATION: MID-TERM, FINAL, AND OTHER _____

<i>Assessment questions You are clear about . . .</i>	<i>Yes</i>	<i>No</i>	<i>Unsure</i>	<i>COMMENTS</i>
Why you are doing the evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Who are the specific main users of the evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
The specific evaluation questions the main users have about the this project	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
What aspects of the project will be evaluated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Who will be involved in the evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How the confidentiality and safety of evaluation participants will be ensured	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How the results of the evaluation will be used	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How it will be managed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

<i>Assessment questions You are clear about...</i>	<i>Yes</i>	<i>No</i>	<i>Unsure</i>	<i>COMMENTS</i>
When it will be done	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How much it will cost	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
When it will be done	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
What kinds of qualitative and/or quantitative data will be collected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How to agree on recommendations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How to make changes to recommendations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How the evaluation will be reviewed and presented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How to follow-up and support the recommendations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
How to use feedback to improve future evaluations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Tool 21: Sample TOR for Mid-term Evaluation

OVERVIEW

The sample Terms of Reference (TOR) provides a rough template for a mid-term evaluation plan. The TOR is used by the sponsoring agency for contracting with evaluators and for managing the evaluation process.

MID-TERM ASSESSMENT OF OTI'S PROGRAM IN AFGHANISTAN

I. OTI BACKGROUND

The USAID Administrator created OTI to assist priority countries to make successful transitions from crisis to recovery and stability. The volatile political and economic nature of transitioning countries requires fast, emergency-type political responses that show immediate, visible, and positive effect. Countries experiencing complex crises resulting from internal conflict and civil war have special needs that are often not addressed by traditional emergency assistance programs. OTI enables USAID to capitalize on "windows of opportunity" where quickly deployed aid can make a critical difference to a country's transition to peaceful, democratic government. Interventions are tied to pivotal events, such as cease-fires, peace accords, or the advent of progressive leadership, often through key elections. OTI responds swiftly to these events with near-term, high-impact actions that support a country's transitional needs.

While operating in a country, OTI works to bring new groups into the transition process, tests new activities for advancing democratic governance, and provides fast and flexible support for immediate transition needs. OTI's program options for transition responses include: 1) expanding democratic political process, 2) building citizen security, 3) promoting reconciliation, 4) supporting peace negotiations, and 5) cross-cutting themes, including community-based approaches and media activities. As appropriate and necessary, relationships and practices that prove productive may be handed off to the USAID mission or other donors for further development when OTI phases out its assistance.

II. OTI AFGHANISTAN

USAID/OTI's overall program strategy is to help the Afghan government to function outside Kabul by planning and implementing projects guided by community priorities, and by creating and/or strengthening linkages among the national, provincial, and district governments. USAID/OTI's projects strengthen economic recovery by improving essential commercial and public infrastructure and fostering the re-establishment of community cohesion. These projects further contribute to stability and recovery by establishing links between the community and governmental authorities at the local level, while building connections between the provinces and Kabul. USAID/OTI is also improving the communication infrastructure and implementing a comprehensive media strategy. USAID/OTI's goal is to support the process of rehabilitation and political stabilization in post-conflict Afghanistan. Working with its implementing partners, the International Organization of Migration (IOM), Ronco, and Internews, OTI's current program is designed to:

- increase the capacity of the Afghan government and build citizen confidence;
- increase the capacity of Afghan state and independent media; and
- increase public information about the political process.

USAID/OTI's program began in October 2001, and is scheduled to close September 2004, shortly after national elections are held.

III. OBJECTIVES OF THE PROGRAM ASSESSMENT

The mid-term program assessment evaluation will measure progress made in meeting program objectives and identify problem areas and ways to more efficiently monitor activities. Questions to be addressed might include: 1) are program activities increasing capacity of the Afghan government; 2) have the capacity of state and independent media increased; 3) has public information on the political process increased; and 4) has the capacity of Afghan civil society groups increased?

IV. METHODOLOGY

Desk review; key-informant interviews; direct observation at activity sites.

V. ASSESSMENT COMPONENTS AND DELIVERABLES

1. 5-6 work days, Washington, DC
 Conduct literature review and desk study including OTI/Afghanistan data base
 Draft work plan
 Develop methodology and instruments
 Interview key Washington stakeholders
 Finalize work plan
2. 14 work days, Afghanistan
 Collect assessment data from offices and other stakeholders

Conduct initial analysis and develop initial findings
 De-brief with Afghanistan staff (present a five-page report of key findings)

3. 5-6 work days, Washington, DC
 Produce final Report
 De-brief with OTI/Washington staff
4. Final Report
 The outline for the final report shall include, but not be limited to, the following:
 Introduction and background;
 Summary description of evaluation objectives;
 Description of methodology, data sources, and limitations of the study;
 Findings and conclusions;
 Recommendations for the remainder of the OTI/Afghanistan program.

VI. TIMEFRAME

<i>Activity</i>	<i>Location</i>	<i>Time</i>	<i>Dates</i>
Selection of Evaluation Team	USA	September	September 30
Review OTI documents; discuss work plan and other needs with OTI staff; begin interviews with OTI/Washington Europe and Eurasia team members and other field partners with offices in Washington.	USA	5-6 business days	October
Review additional documents as needed; adjust work plan as needed; interview OTI staff, USAID and Embassy representatives, and contractor staff as appropriate; conduct site visits; analyze and debrief/report on preliminary findings.	Afghanistan	14 business days	Oct. 24 – Nov. 8
Write final report; circulate for review/comments; incorporate feedback and finalize report; debrief OTI/Washington staff and others.	USA	5-6 business days	Nov. 10–14; report to be completed by Nov. 14

VII. COMPOSITION OF TEAM AND QUALIFICATIONS OF EVALUATORS

The evaluation team will be comprised of two senior-level evaluation analysts. One of the team members will be OTI's program manager for monitoring and evaluation, who will serve as team leader. The other team member should also have extensive experience designing and conducting evaluations and analyzing quantitative and qualitative data. In order to respond to assessment requirements involving interviews with Afghan women, the second team member should be a woman. Other qualifications include:

Evaluation/research: experience in the social sciences evaluating programs – particularly ones involving community participation, media, and civil society organizations – in countries undergoing transitions.

Rapid appraisal techniques: training and experience with rapid appraisal techniques (survey development, direct observation, focus group interviews, community interviews and key informant interviews).

Local knowledge: knowledge of Afghanistan and/or Islamic culture.

Communication: strong writing and verbal skills.

Tool 22: Sample TOR for Final Evaluation

OVERVIEW

The sample Terms of Reference (TOR) provides a rough template for a final evaluation plan. The TOR is used by the sponsoring agency for contracting with evaluators and for managing the evaluation process.

FINAL EVALUATION OF OTI ANGOLA PROGRAM

I. OTI BACKGROUND

The USAID Administrator created OTI in the Bureau for Humanitarian Response (now the Bureau for Democracy, Conflict and Humanitarian Assistance) to assist priority countries to make successful transitions from crisis to recovery and stability. The volatile political and economic nature of transitioning countries requires fast, emergency-type political responses that show immediate, visible and positive effect.

Countries experiencing complex crises resulting from internal conflict and civil war have special needs that are often not addressed by traditional emergency assistance programs. OTI enables USAID to capitalize on 'windows of opportunity' where quickly deployed aid can make a critical difference to a country's transition to peaceful, democratic government. Interventions are tied to pivotal events, such as cease-fires, peace accords, or the advent of progressive leadership, often through key elections. OTI responds swiftly to these events with near-term, high-impact actions that support a country's transitional needs.

While operating in a country, OTI works to bring new groups into the transition process, tests new activities for advancing democratic governance, and provides fast and flexible support for immediate transition needs. OTI's program options for transition responses include: 1) expanding democratic political process, 2) building citizen security, 3) promoting reconciliation, 4) support peace negotiations, and 5) cross-cutting themes, including community-based approaches and media activities. As appropriate and necessary, relationships and practices that prove productive may be

handed off to the USAID mission or other donors for further development when OTI phases out its assistance.

II. ANGOLA COUNTRY BACKGROUND

The situation in Angola changed dramatically during 2002, with UNITA leader Jonas Savimbi's unexpected death quickly followed by a cease-fire, a renewed commitment to the peace process, and the rapid demobilization of UNITA forces. After some 40 years of war, these developments presented a unique opportunity to invigorate Angola's stalled democratic transition. For the first time in the history of Angolan independence, the government no longer had a wartime or national security justification for its poor governance performance. In addition, a nascent political transformation appeared to be underway, with elections widely anticipated for 2004 or 2005. Accordingly, a fast, flexible small-grants program targeting civil society, media, and legislative strengthening over a two-year period was viewed as a means to help ensure that the elections will be as meaningful as possible. This, in turn, could help make the difference between a more equitable, democratic peace versus continued one-party dominance and poor governance.

III. OTI ANGOLA

USAID/OTI's goal has been to use the increased stability of Angola's transition from war to peace to promote a more open and participatory democratic society. Working closely with USAID/Angola's Democracy and Governance (DG) team, OTI/Angola has tried to spread and strengthen participatory democratic practices and promote greater political competition, accountability, and transparency. These efforts have taken place through activities focused on: strengthening media capacity; supporting citizen groups in improving their capacity to advocate for key reforms and increase participation in advocacy efforts; and, increasing local-level engagement between citizens and governmental authorities to effectively address community problems.

IV. OBJECTIVES OF THE EVALUATION

There are three basic questions to be answered by the final evaluation:

1. To what extent did OTI/Angola's program meet its stated goal and objectives?
2. How did the management and operation of the program contribute to or detract from achievement of the program goal and objectives?
3. Based on the evaluation findings, what are the lessons learned and ways OTI can improve its programs?

These basic questions will be more clearly defined through discussions with OTI Washington and field staff during methodology and work plan development.

V. METHODOLOGY

The evaluation team will be responsible for developing an evaluation strategy and methodologies that include a mix of qualitative and quantitative data collection and analyses approaches. Specific methods, and the appropriate instruments, will be developed in concert with OTI/Washington.

VI. EVALUATION COMPONENTS AND DELIVERABLES

1. 10 work days, Washington, DC
Conduct literature review and desk study including OTI/Angola grants data base
Draft work plan
Develop methodology and instruments
Interview key Washington, DC stakeholders
Finalize work plan

2. 18 work days, Angola
Collect evaluation data from OTI/Luanda, Creative Associates, grantees, and beneficiaries
Conduct initial analysis and develop initial findings
Confer with field staff at evaluation mid-point
De-brief OTI/Angola staff; present a 5-7 page report of key findings
3. 12 work days, USA and Washington
Prepare draft report
Debrief OTI/Washington; collect comments from Washington and the field
Prepare final Report

FINAL REPORT

The outline for the final report shall comprise, but not be limited to the following:

- Executive summary
- Table of contents
- Introduction and background
- Summary description of evaluation objectives
- Description of methodology and data sources, and limitations of the study
- Analysis and statement of findings
- Recommendations for future OTI programs

A USAID-wide presentation on the evaluation will be scheduled upon receipt of the final report. Fifty bound copies of the final evaluation report and supporting documents will be provided to OTI, along with an electronic version of the report and an electronic copy of all data files used to conduct analyses.

VII. TIMEFRAME

<i>Activity</i>	<i>Location</i>	<i>Time</i>	<i>Dates</i>
Selection of evaluation team; initial meeting with OTI/Washington staff	Wash., D.C.	----	Aug. 16
Review OTI documents; discuss work plan and other needs with relevant OTI staff; begin interviews with OTI/Washington-based Africa team members and other relevant field partners with offices in the Washington area.	Wash., D.C	10 work days	Aug. 16 – Aug. 27
Review documents as needed/appropriate; adjust work plan as needed; interview OTI, USAID Mission, U.S. Embassy, partner and other staff as appropriate; conduct quantitative and qualitative research; analyze data; and, debrief/report on preliminary findings.	Angola	18 work days	Aug. 30 – Sep. 22
Write report; circulate for review/comments; revise/finalize report; debrief OTI Washington staff and others.	Wash., D.C	12 work days	Sep. 27- Oct. 13

The evaluation team will be responsible for making its own arrangements for translators, transportation, housing, and other logistics. The team is also responsible for its own work space, computers, and printers.

VIII. COMPOSITION AND QUALIFICATIONS OF THE EVALUATION TEAM

The evaluation team will consist of a senior level evaluation analyst, who will also serve as the team leader, and a mid-level local (in-country national) evaluation analyst. The team leader should have extensive experience designing and conducting evaluations, and analyzing quantitative and qualitative data. Other qualifications include:

Evaluation/research: experience in the social sciences evaluating programs – particularly ones involving community participation, media, and civil society organizations – in countries undergoing transitions.

Rapid appraisal techniques: training and experience with rapid appraisal techniques (survey development, direct observation, focus group interviews, community interviews, and key informant interviews).

Local knowledge: knowledge of Angola Afghanistan and/or Islamic culture.

Language ability: One member of the team will have a demonstrated knowledge of and/or fluency in Dara.

Tool 23: ME&L System Checklist

OVERVIEW

The ME&L checklist is a rapid way to assess and improve the quality of a project ME&L system during project start-up and later during project implementation.

WHAT DOES IT MEASURE?

The key aspects of a well functioning ME&L system, including system design, key users of ME&L information and the usefulness of ME&L information. The tool can be used for measuring and improving the quality of ME&L systems and to compare the quality of ME&L across projects.

STEP-BY-STEP DIRECTIONS

STEP 1: REVIEW BACKGROUND

Review the project design documents and any Results Framework, LogFrames or written ME&L plans that go with the project.

STEP 2: PLAN THE ASSESSMENT

The checklist can be completed by an outside evaluator or by an agency staff member. Better yet, use the checklist in a 2-3 hour workshop involving interested project staff to raise awareness and engagement of staff in ME&L activities. Decide which approach will work best, then plan your assessment and adapt the checklist as necessary.

STEP 3: DETERMINE KEY ME&L USERS

Good ME&L systems provide useful information to key groups who actually use the ME&L info for program management, learning and accountability purposes. Work with project staff to determine who are the key users of the ME&L system (project participants/target groups, project manager, implementation team members, partner agencies, local government officials, donors, etc.). List the key intended users in Step 2 (a) of the ME&L Checklist. List any important ME&L users that could and should be benefiting from ME&L information who currently are not. Complete Step 2 (b) of the checklist.

STEP 4: ASSESS USEFULNESS OF ME&L IN PROGRAM MANAGEMENT

Good ME&L systems provide useful information to managers to be used for program improvement, accountability and organizational learning purposes. Complete Step 3 of the checklist to determine how managers in your organization and other key groups are actually using ME&L info.

STEP 5: ASSESS QUALITY OF ME&L SYSTEM OUTPUTS AND REPORTS

Strong ME&L systems provide good quality, reliable, timely and useful information to managers. Outputs might include M&E reports, baseline studies, ad hoc surveys and beneficiary assessments. Some ME&L information may be communicated informally through briefings or discussion. Use Step 4 to assess the quality of ME&L system outputs from the point of view of the key users.

STEP 6: ASSESS THE DESIGN OF THE ME&L SYSTEM

Strong ME&L systems share a number of common design elements. First, project designs include clear objectives with measurable key performance indicators, roles and responsibilities for all phases of the ME&L processes are clear, adequate structures and resources (human, material and financial) exist to carry out quality ME&L work and there are provisions and linkages for "M" "E." and "L". Complete Step 5 of the checklist to make a rapid assessment of the ME&L system design.

STEP 7: ASSESS INCENTIVES FOR ME&L

Even with good design, ME&L systems are not sustainable for long without adequate incentives. Experience indicates that poor incentives are often a root cause of poorly performing ME&L systems. Use Step 6 of the checklist to assess ME&L incentives.

STEP 8: CALCULATE A TOTAL SCORE FOR ME&L FOR YOUR PROJECT

Based on the scores from the checklist (number of boxes checked in each section) develop a total score for ME&L system for the project/program. Use this score as your baseline and make improvements to your ME&L system.

STEP 9: DEVELOP RECOMMENDATIONS AND ACTION PLANS

With interested staff, develop practical recommendations and detailed action plans to strengthen your project’s ME&L system. You may need to

begin gradually, for example by conducting an introductory training on ME&L, before gaining commitments to make major improvements in the system.

STEP 10: MONITOR AND SUPPORT ME&L IMPROVEMENT MEASURES

Once initiatives are underway to strengthen ME&L your team can use the checklist at yearly intervals to assess progress and to continually improve ME&L.

RESOURCES

Western Michigan University. Evaluation Checklists: www.wmich.edu/evalctr/checklists/

Checklist for Strengthening Project Monitoring, Evaluation and Learning Systems

This checklist is designed for assessing and strengthening project ME&L systems. The checklist can be used as to assess the plans for new ME&L systems and it can be used as an improvement tool for ME&L systems that are already underway. Modify and adapt the Checklist as needed to fit your project or program.

Step 1: Assess Background and ME&L Plan (check all that apply)

- There is a written ME&L plan the project
- A consultative process was used to develop the ME&L plan with project staff
- Project documents describe ME&L training/capacity building activities for the project team
- There is some evidence that the ME&L system is actually being implemented
- There is evidence that some ME&L strengthening activities have already taken place
- There is evidence that the Project Director is genuinely interested in ME&L for the project

6 Excellent 5 Very Good 4 Good 2-3 Fair 0-1 Poor

Step 2a: Determine Key Users of ME&L information

List actual key users of ME&L info for the project/program

List any important “missing” ME&L users—groups that could potentially be benefiting from ME&L but who are not

<i>Step 2b: Assess ME&L Coverage (check only one)</i>		Pts
<input type="checkbox"/> No groups appear to be using ME&L info		0
<input type="checkbox"/> ME&L info appears to be mostly “donor driven” with little use by project management		2
<input type="checkbox"/> ME&L info appears to be used by project management		4
<input type="checkbox"/> ME&L info appears to be used by other key groups that could benefit from it		6
<i>Step 3: Assess Usefulness of ME&L info for Key Users (check all that apply)</i>		
<input type="checkbox"/> Key users of the ME&L system can cite examples of how ME&L info is used for making management decisions		
<input type="checkbox"/> Key users can cite example of how ME&L info is used for improving program performance		
<input type="checkbox"/> Key users can cite examples of how ME&L info is used for accountability purposes		
<input type="checkbox"/> Key users can cite examples of how ME&L info is used for organizational learning		
<input type="checkbox"/> Key users can cite examples of how ME&L info used by target groups to better manage their own activities		
<input type="checkbox"/> Key users can cite examples of how ME&L info was/is used by other local organizations		
<input type="checkbox"/> 6 Excellent	<input type="checkbox"/> 5 Very Good	<input type="checkbox"/> 4 Good
<input type="checkbox"/> 2-3 Fair	<input type="checkbox"/> 0-1 Poor	
<i>Step 4: Assess Quality and Timeliness of ME&L Outputs (check all that apply)</i>		
<input type="checkbox"/> M&E reports and outputs are brief, simple and direct		
<input type="checkbox"/> M&E reports and output are timely		
<input type="checkbox"/> Key users are largely satisfied with the content and quality of the M&E reports and outputs		
<input type="checkbox"/> In the view of key users there is adequate and reliable reporting on project activities		
<input type="checkbox"/> In the view of key users there is adequate and reliable reporting on outputs (deliverables)		
<input type="checkbox"/> In the view of key users there is adequate and reliable reporting on outcomes or leading indicators of impact		
<input type="checkbox"/> 6 Excellent	<input type="checkbox"/> 5 Very Good	<input type="checkbox"/> 4 Good
<input type="checkbox"/> 2-3 Fair	<input type="checkbox"/> 0-1 Poor	
<i>Step 5: Assess Design of ME&L System (check all that apply)</i>		
<input type="checkbox"/> There are clear roles and responsibilities for ME&L for the project or program		
<input type="checkbox"/> There are clear and measurable performance indicators for the project outputs that include baselines and targets		
<input type="checkbox"/> There are clear and measurable performance indicators for project outcomes that include baselines and targets		
<input type="checkbox"/> There is an adequately functioning Management Info System for the project		
<input type="checkbox"/> The ME&L design includes provisions for beneficiary assessments		

- The ME&L team has good capabilities for data analysis
- There are adequate provisions for storing and retrieving ME&L info
- The ME&L system design includes provisions for impact assessment
- The ME&L team has adequate human and technical resources to carry out its work
- There are adequate material resources to carry out ME&L work
- There are adequate financial resources to carry out ME&L work
- The ME&L system is practical and not overly complex

9-12 Excellent 7-8 Very Good 5-6 Good 3-4 Fair 0-2 Poor

Step 6: Assess Incentives for ME&L (check all that apply)

- The Project Director is a supporter of ME&L
- The Project Director expects the project team to use ME&L in management-decision making
- There are adequate incentives for project staff to participate in ME&L activities as needed
- Staff job descriptions contain provisions for supporting ME&L functions/activities
- There are adequate incentives for ME&L within partner agencies/communities
- In general ME&L is recognized as being important by the majority of project staff

6 Excellent 5 Very Good 4 Good 2-3 Fair 0-1 Poor

Step 7: Calculate Your Total ME&L Score

Step 1 ____	<input type="checkbox"/> 37 (88%) to 42	Excellent
Step 2 ____	<input type="checkbox"/> 25 (59%) to 36	Very Good
Step 3 ____	<input type="checkbox"/> 17 (41%) to 24	Good
Step 4 ____	<input type="checkbox"/> 9 (21%) to 16	Fair
Step 5 ____	<input type="checkbox"/> 0 (0%) to 8	Poor
Step 6 ____		
Total ____		

Step 8: Develop Recommendations and Action Plans for Improving ME&L

Source: Social Impact

Tool 24: Sampling Basics

OVERVIEW

This tool provides a basic overview of practical sampling strategies for various types of surveys in the evaluation of FSP programs.

What is it?

Sampling is a process used to understand the baseline situation or response to a program intervention in a relatively small population that can be applied (or generalized) to a larger population. For example, instead of looking at changes in attitudes or behaviors among all community members as a result of a peace or confidence-building program, we can establish a sample that looks at certain representative households or grant recipients. It is important to select a sample that will not give a distorted picture. If sampling expertise does not exist on the evaluation team, consult some of the references at the end of this section or get help from someone with experience in research design.

SAMPLING STEPS

1. Decide if a sample is necessary. If the source data can be gathered from or cover all the members or units, a sample is not necessary. If statistically valid information is needed, consult an expert.
2. Define the sampling frame—the list of members from which the sample is selected. The sampling frame might be a list of program grant recipients, or households, families or participants.
3. Select the sampling method. The type of sampling depends on what sort of information is needed and whether the information to be collected is to be generalized.

Some different types of sampling methods are described below:

Purposeful sampling. Used frequently in design of qualitative evaluations. Subjects/cases are chosen because of some important characteristic such as an outstanding success story or a notable failure. Other purposeful sampling might be selection of a politically important case, a typical case, or selection based on important criterion such as ethnicity, location, gender, etc.

Systematic sampling. With this method every person/household/grantee is given a number. Select systematically every fifth, tenth or other case and include them in your sample. This is a way to obtain a sample size that is needed for your survey.

Simple random sampling. Where records exist or list of people, households or grantees exist a certain number of them can be chosen, using a table of random numbers. The number of the person/household/grantee on the list which corresponds to the number on the table is then chosen for the sample. Numbers are chosen until the desired total for the sample is reached (for example, 100 people who live in a conflict zone). Everyone then has an equal chance of being included in the sample.

Multi-stage random sampling. Samples are selected using simple random sampling, but at different times or stages. For example, start with all 150 villages who have reintegrated ex-combatant and chose just 50. Then chose just the ex-combatants who have been resettled. From these chose 50 or 5% for the final sample.

Cluster sampling. This is where people or households are chosen in groups or clusters, not on an individual basis, but based on the characteristics of the area such as on-going conflict, recently ended conflict, or peaceful. At first houses are chosen at random, then other houses are drawn into the sample by going to the nearest houses to those chosen, and continuing until the desired sample size is reached. Sometimes this type of sampling is used where lists or the results of the census are not available. It is also a method that is cheaper and more easily understood by minimally trained survey workers.

Sample size. Sample sizes are usually determined by limitations of cost and time. Typical sample sizes from which sufficient levels of confidence can be assumed are 75-100 households per project area. The application of cluster sampling is particularly useful to save costs. Another approach is to use in-depth case studies of the target group (though use of purposeful sampling). In quantitative studies, the larger the sample the greater likelihood will it be non-biased. In qualitative studies, the sample size is generally very small. The degree of precision needed will help to determine sample size. The smaller the expected differences in subject response to the intervention, the large the sample size needed to demonstrate a significantly different response. If the study has been well designed, a smaller sample size can produce good results.

<i>Determining Sample Size</i>		
Total Sample	Suggested Sample	Percentage
100	15	15%
200	20	10%
500	50	10%
1000	50	5%
Source: Case, 1990		

