On Target

A Guide for Monitoring and Evaluating Community-Based Projects

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Acknowledgements

> "The real voyage of discovery consists not in seeing new landscapes, but in having new eyes."
>
> Marcel Proust

Preface

The value and importance of good quality monitoring and evaluation (M&E) is increasingly recognised by a wide range of stakeholders; planners, funders, policy makers and communities who are supporting interventions. Demonstrating the extent to which a project has been able to meet its planned objectives helps ensure that resources are used as effectively, efficiently and appropriately as possible. It is our intention that this monitoring and evaluation guide will give those with limited experience increased confidence and skills to tackle the whole of the project cycle both in terms of project planning and related M&E activities. The guide looks at:

- The value of conducting a needs assessment and ensuring that project goals and vision are clearly linked to identified needs.

- Ways of monitoring and evaluating projects both during project implementation (process evaluation) and at the stage of project completion (outcome/impact evaluation).

- The value of planning projects within a clearly constructed model or framework. The programme logic model is put forward as an example of this.

- How to ensure information emerging from M&E is fed back into ongoing project design and future planning.

- How to ensure the stakeholders are active participants in all project related design, planning and research.

This publication has grown out of work supporting a range of vocational and entrepreneurial skills development projects undertaken through non-formal education in Africa, South Asia, the Caribbean and Latin America. Central to all of the projects within this programme are the creative and innovative methods used to communicate in a meaningful way, to engage people and to encourage participation. The projects all focus on capacity building, empowerment and creating learning opportunities. UNESCO's conceptualisation of these projects is based on the four pillars of education presented in 1996 by the Organization's Task Force on Education for the Twenty-first Century: "learning to know", "learning to do", "learning to live together" and "learning to be". The Dakar Framework for Action (2000), which expresses the collective commitment of the international community to Education for All (EFA), also reminds us that education should be geared to tapping into each individual's talents and potential.

The projects are all located in areas of considerable financial deprivation, where infrastructural support is limited and communities and individuals find it hard to escape from the downward spiral of poverty and social exclusion. However, what characterises all these projects is their capacity for innovation and their motivation and courage to move forward, constantly striving to reflect on and learn from their experiences. It is our hope that this guide will help provide support and techniques to formalise and entrench the monitoring and evaluation process, enabling community-based projects both to demonstrate success and improve the effectiveness of interventions.

UNESCO
Division for the Promotion of Basic Education
Section for Secondary, Science,
Technical and Vocational Education

Acronyms

AIDS	Acquired Immune Deficiency Syndrome
CBO	Community Based Organization
EFA	Education for All
EU	European Union
HIV	Human Immunodeficiency Virus
IDS	Institute of Development Studies
M&E	Monitoring and Evaluation
NGO	Non governmental organization
PM&E	Participatory monitoring and evaluation
PRA	Participatory Rural Appraisal
SMART	Specific, Measurable, Appropriate, Realistic, Time-Bound
UNAIDS	Joint United Nations Programme on HIV and AIDS
UNESCO	United Nations Educational, Scientific and Cultural Organization

Executive Summary

This guide has been developed as a "work in progress" resource that can be used to support the monitoring and evaluation of community development initiatives. It is hoped that the guide will help project staff to see that when thorough planning, monitoring and evaluation is undertaken and the communities are fully involved in this process, the quality and appropriateness of the end product is enhanced. Whilst this guide has been developed based on the experience of and lessons learned from a specific programme of projects focused on sustainable livelihoods and aspects of health education, much of the content is generic and will thus be applicable to a wide range of community initiatives. The key aims of the guide are to:

- Provide an overview of key aspects of quality research which can be used by project staff to conduct their own internal evaluations

- Present recommended models, frameworks and theoretical concepts that can be used in projects for planning and carrying out research.

- Provide practical guidance on the use of the programme logic model and look at ways it can be adapted and used within projects

- Provide an overview of basic research tools and methods, focusing particularly on qualitative research methods

- Promote the use of participatory research techniques

> "To be surprised, to wonder, is to begin to understand."
>
> José Ortega y Gasset

Section 1   Introduction

> *"Appreciation is like looking through a wide-angle lens
> that lets you see the entire forest, not just the one tree limb you walked upon."*
>
> Doc Childre

1.1 Background

This guide was produced following the evaluation of a range of vocational and entrepreneurial skills development projects undertaken through non-formal education that were supported by UNESCO[4]. A key finding of this assessment was that projects would benefit both from a clearer understanding of the advantages of conducting their own research and from being supported and encouraged to produce a research "framework", designed at the outset of the project, and applied throughout the course of project life. A review of the research components of all of the projects comprised concluded that research should be an integral part of project design and that more training and expertise was needed by most projects in relation to developing research design and technique.

The use of frameworks (such as the programme logic model) helps to provide step-by-step guidance on project planning. In so doing it not only helps clarify project activities and the thinking and assumptions on which projects are based, but also facilitates and enhances the evaluation process.

1.2 How to use this guide

This guide is not intended as a definitive manual to monitoring and evaluation – more as a starting point with introductory information for further advice and support. It is anticipated that each section can be printed or photocopied for wider distribution, as required.

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4 See *"Another Way to Learn… Case studies"* summarises the 17 projects that make up the programme, available at http://unesdoc.unesco.org/images/0015/001518/151825e.pdf (Also available in Spanish) (accessed January 2008)

1.3 Who is the guide for?

This guide is intended primarily to be used by those setting up, planning or working with community development projects. The UNESCO supported projects, which were the driving force behind the creation of this publication, aimed to raise the quality of life of marginalised populations through education, poverty reduction and building sustainable livelihoods. The lessons learned from this work have application for a wider range of projects and settings.

Putting research in context

1.4 Why do we need to monitor and evaluate?

First, a definition of the terms monitoring and evaluation: For the purposes of this guide monitoring relates to the ongoing review and collection of data, which will help to determine whether anticipated outcomes are being met. Monitoring is an essential part of evaluation and data collected feeds into the more overarching process of evaluation. Evaluation thus refers to the systematic collection of information conducted during or after a project in order to make judgments about effectiveness against anticipated outcomes and to help inform decisions about future interventions.

Monitoring and evaluation efforts assist in determining whether a programme has achieved its intended outcomes, so that we can be accountable for the money we spend and make the most effective use of our resources. Although evaluations have traditionally been required by funders to ensure that money is well spent, the challenge remains to ensure

that both project staff and the supporting population recognise the value of ongoing monitoring and evaluation and use it to improve the effectiveness and quality of their programmes.

Monitoring should be carried out on an ongoing basis to ensure that the aims and objectives of the project are being met and to readjust programming based on lessons learned to date. Internal evaluations are important not only to measure effectiveness, efficiency and project progress but also to help develop project ownership on the part of both project staff and the beneficiary groups. External evaluation, whilst costly, and most of the time therefore prohibitive to small community ventures, nonetheless offers a degree of independent scrutiny which may, on occasion, be appropriate.

> "Men occasionally stumble over the truth, but most of them pick themselves up and hurry off as if nothing ever happened."
>
> Winston Churchill

1.5 What are the key issues in evaluating community initiatives?

Community initiatives are not easy to evaluate! There is no straightforward, conclusive technique that can be taken from a text book

> "When we try to pick anything out by itself, we find it hitched to everything else in the universe."
>
> John Muir

and adapted for use on each project site. Project staff need to be innovative, to apply common sense and use their knowledge of the supporting population, the environment, the political and cultural context, to ensure that the right questions are asked in the right way.

Community initiatives tend to be made up of complex multiple interventions, taking place at many different levels, often designed to bring about different outcomes. There is typically a mix of strategies, aimed at both individual and community level. The initiatives employed range from trying to change individual behaviour

through education and empowerment, to broader-based projects focused on equity, social justice and intersectoral interventions. The use of theoretical frameworks and models has sought to provide greater rigour regarding the way in which different variables are collected and interpreted. At the same time, new thinking around evaluation increasingly recognises the multiplicity of interactions that take place within most community settings and challenges the more simplistic linear relationship between cause and effect. Given the complex way in which most interventions are conducted, the questions that have to be asked to find out whether or not these interventions are effective need to be well constructed and tested. It is important to be aware of the fact that outcomes are not always anticipated and may be beneficial or detrimental to the community. Those involved in project monitoring and evaluation must have the courage and conviction to highlight both positive and negative project outcomes.

There are many different techniques and methods used to evaluate programmes. It is this diversity that makes evaluation such a powerful tool. Methods can depend on the questions of interest, on the context, on the evaluator's own philosophical position and on the characteristics of the other people involved in the programme. Evaluators can call on any combination of stances to add depth and quality to the evaluation. Sophisticated and costly designs can be a waste of resources if the question can be answered by simpler means.

Evaluators dealing with overly-complicated tools that they do not understand will not produce results that are useful and valid.

> *"Simplicity is the ultimate sophistication."*
>
> Leonardo da Vinci

Today, most people accept that both quantitative and qualitative approaches play a valuable role in evaluating programmes and it is often suggested that 'pluralistic evaluation', i.e. employing a range of both quantitative and qualitative evaluation methods, provides the most appropriate strategy for addressing complex issues about what counts as a successful or a good outcome (Beattie,1995).

The evaluation of most community interventions will benefit from employing a range of research techniques to evaluate the project at distinct stages. These stages are:

• the formation of programme aims, objectives and procedures – including initial needs assessment (formative evaluation)
• the process of programme implementation (process evaluation)
• the measurement of outcomes and impact (outcome or summative evaluation)

Concerning monitoring and evaluation of health promotion projects, a recent publication from a WHO European Working Group recommends that policymakers:

– Encourage the adoption of participatory approaches to evaluation that provide meaningful opportunities for involvement.
– Require that a minimum of 10% of the total financial resources for a health promotion initiative be allocated to evaluation.
– Ensure that a mixture of process and outcome information is used to evaluate all health promotion initiatives.
– Support the use of multiple methods to evaluate health promotion initiatives.
– Support further research into the development of suitable approaches to evaluate health promotion initiatives.
– Support the establishment of a training and education infrastructure to develop expertise in the evaluation of health promotion initiatives.
– Create and support opportunities for sharing information on evaluation methods used in health promotion through conferences, workshops, networks and other means.

WHO (2006) *Evaluation in health promotion. Principles and perspectives* Edited by Rootman, I.; Goodstadt, M; Hyndman, B; McQueen; Potvin, L; Springett, J. & Ziglio, E. *WHO Regional Office for Europe*, http://www. euro.who.int/eprise/main/WHO/InformationSources/Publications/Catalogue/20040130_1 (accessed January 2008)

1.6 Participatory techniques

As a general rule, small scale community projects are working on low budgets with limited capacity in terms of staff time and skills. Quantitative research, employing questionnaire surveys and large scale data collection, tends to be inappropriate in this type of scenario. An alternative research paradigm is to involve the beneficiaries as social actors in their own development. In other words, those who "benefit" from the project should be actively involved in monitoring the project (participatory monitoring) and evaluating the impact of the project (participatory evaluation). The people with whom the project is working can be regularly involved in the assessment of factors such as behavioural change and empowerment in their communities. Through careful facilitation, participants themselves will develop the "yardsticks" to assess how change has taken place. With help from project staff they can develop "baselines" and then, on a regular basis, look at what has changed as a result of interventions.

Participatory monitoring and evaluation (PM&E) is an approach which involves local people, development agencies and policy makers deciding together how progress should be measured and results acted upon (IDS, 1998). It is an increasingly popular methodology, not only because it is cost effective, making use of local skills and resources, but also because it forces people to examine their assumptions about what constitutes progress, facing up to the conflicts and contradictions that can emerge. The resulting data and analysis is felt to be more in tune with the views and aspirations of those directly affected.

"PM&E is not just a matter of using participatory techniques within a conventional monitoring and evaluation setting. It is about radically rethinking who initiates and undertakes the process, and who learns or benefits from the findings." (IDS, 1998, p.2)

Examples of participatory techniques are given in section 7.

FOCUS GROUPS PROJECT SURVEY

EXTREMELY SATISFIED ▶ 100%

NOT EVEN A TINY BIT UNHAPPY ▶ 0%

my evaluation of your project reveals...

"mmm" Jan wondered. "I thought this project was struggling. Was everyone just being polite?"

1.7 What should evaluation hope to achieve?

An evaluation of a community-based intervention aims to:

• Design the process for obtaining the required information using a variety of methods

• Encourage the development of clear indicators, milestones and initiatives

• Collect and analyse data throughout the project cycle related to desired objectives and outcomes

• Determine what went wrong, if some or all of the objectives were not met

• Make any necessary adjustments based on experience and lessons learned

• Provide feedback to everyone participating in the programme and to local communities

• Demonstrate outcomes and lessons learned to funding organisations and service providers.

• Use the final results to inform the planning and implementation of future work in the target communities

1.8 Why are frameworks and models helpful?

When planning a programme, it can be useful to work within a structured model or framework. Frameworks are basically planning tools, which can be used to help shape the thinking and structure behind project planning and evaluation. They help create and clarify project theories, assumptions and activities - thus ensuring that the evaluation process is more effective, transparent and straightforward.

1.9 What characterises a successful evaluation?

Successful evaluations will demonstrate the following:

• Clear programme objectives, targets and time-frame (section 3).

• Participation of project "beneficiaries" in project planning, monitoring and evaluation (section 7).

• Shared understanding and ownership of project objectives and how these are to be achieved (section 3.2) by stakeholders and partners.

• Manageable and realistic data collection and analysis. The more complicated the tools and methods employed, the more likely they are to fail (sections 5 and 6).

• Harmonised data collection tools and instruments with other systems in place (section 6.8).

• Adequate financial and human resources to carry out the required levels of monitoring and evaluation. Where technical capacity is not adequate, training and technical assistance need to be part of the programme design (section 6).

• Relevance and transparency. Monitoring of programmes needs to be conducted in a transparent way and data should be locally driven and locally owned (sections 4-7).

• Appropriate feedback loops to ensure results inform future planning processes and projects (section 6).

• Monitoring and evaluation should be culturally appropriate and pass ethical standards established in local and national guidance (section 6).

Notes:

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Section 2 Steps to setting up and planning the project and its evaluation

2.1 The Project Planning Cycle

It is useful to think of the stages in a project as being part of a cycle, where each stage in the cycle impacts and influences subsequent stages. This is represented in the figure below.

The Project Cycle

When thinking about monitoring and evaluating a project, it is crucial that there is commitment to feeding results back into the project cycle and using the learning to shape, adapt and improve project work in the future. Feedback and learning should occur all the way through the project. This is represented by multi-directional arrows in the diagram above.

2.2 Writing the project proposal and securing funding

The first step in any project, having identified key aims and objectives, is to write a proposal to secure funding. This guide does not set out to provide a comprehensive list of potential sources of funding. However, as a first step it may be worth browsing the internet and agency websites as well as consulting key players in local government, community groups, national and international agencies. In some cases, it may be appropriate to secure funding for the needs assessment prior to applying for a larger pot of money for the actual intervention.

Assessing needs

Evaluating the project

Feeding back learning to improve project effectiveness

Planning the project

Implementing and monitoring the project
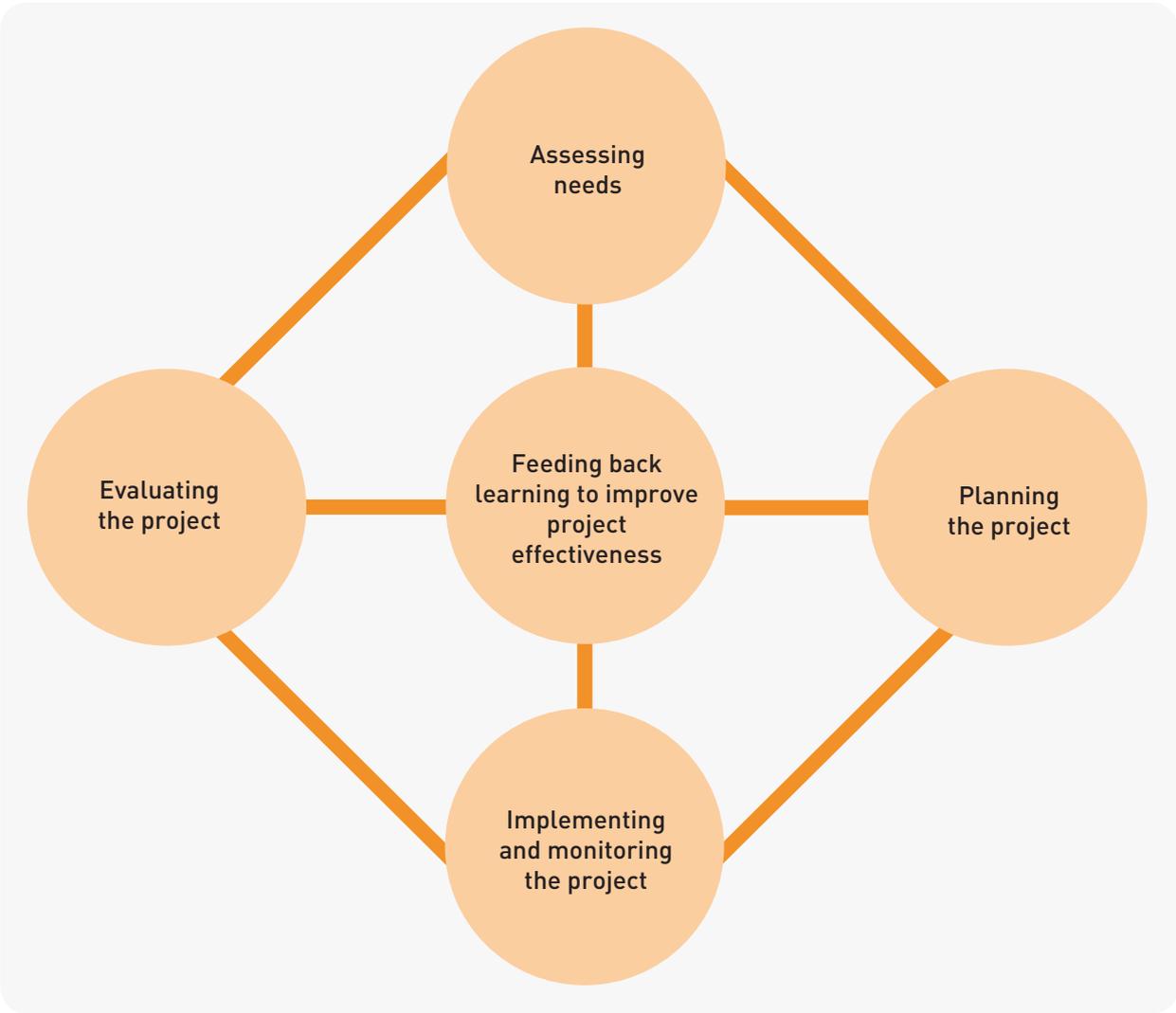
2.3 Carrying out a needs assessment

Typically, if it has not already been done, a needs assessment is used to review the programme's aims and objectives and proposed methods of working prior to project implementation. In planning the needs assessment, care is required to include different stakeholders and different interest groups within the community. As far as possible, care should be taken to ensure that the views of the most vocal, or more powerful, members of the community will not dominate the discussion. Needs assessments also provide an early opportunity to involve the local community through a process of consultation.

A needs assessment should achieve the following:
• Enable a programme's aims and objectives to be specified more clearly.
• Ensure the programme addresses the issues and priorities identified by the community itself.
• Provide an initial check that issues thought to be important by outsiders reflect the priorities of the community.
• Determine which problems/issues identified by a group within the community represent wider concerns.
• Provide information on the major stakeholders in the community.
• Indicate the extent to which the community concerned may be mobilised and a community development approach, if appropriate, be adopted. In doing this, it is important to assess community strengths. If the community is cohesive, displaying high levels of integration and involvement, pre-existing networks will be worth tapping into.
• Check on perceptions, interpretations and acceptability of promotion materials, messages, or other interventions.
• Test the appropriateness of implementation approaches and procedures.

At this stage, a priority is to create a baseline from which change can be measured. Qualitative methods to gather data about the community might include:

• **in-depth interviews** with key informants in the target community, taking care to identify and include leaders in any interest groups or rival factions. Interviews may take the form of baseline videos which beneficiaries may find enjoyable both to make and participate in
• **focus group** discussions with professionals working in the community and with local people. These may be drawn from local clubs, associations, institutions e.g. schools, community centres, women's groups, farmers gathering at a market, etc.
• inviting **participation** from members of the public e.g. using the media, mounting a citizen's forum or public debate about the programme's aims and objectives
• participant **observation** at local events and groups, talking to people informally, and recording observations in field notes
• systematic collection of the views of larger cross-sections of people using **semi-structured questionnaires** which contain open questions allowing individuals to express themselves freely

(See also Section 7)

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If you don't know where you started from...

you won't know how far you've come...

Julie

2.4 Developing a research framework

This manual guide encourages monitoring and evaluation to be planned and initiated from the project's outset.[4]

Use of the logic model framework (outlined in section 3) is encouraged to help plan and carry out the next steps. The key stages involved are:

i. Identify Outcomes

From the project's aims and objectives identify clear short-term and long-term outcomes. Remember when doing this to be realistic. In trying to secure funding it is tempting to be over-ambitious about what can be achieved – this can result in perceptions of failure later, whilst much positive and beneficial work is missed because inappropriate targets have been set (see section 5.6).

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4 A more complete range of evaluation techniques is provided in Annex 2.

ii. Indicators

For each of these outcomes, identify appropriate indicators which can be used to demonstrate whether or not these outcomes have been met (see section 5.6).

iii. Evaluation methods?

Identify strategies to ensure that the project is subject to continuous evaluation and scrutiny (see sections 5 and 6).

iv. Who will conduct the research?

Decide who will conduct the research – it may be appropriate that different groups of people carry out different bits of research, i.e. project staff may be responsible for one aspect of the work and members of the community another. Think about how the community will be involved in the analysis.

v. Research tools

Identify appropriate research tools which can be used to collect necessary data (see section 6).

vi.   Evaluation Checklist

Go through the evaluation checklist, found
at the end of this section, ensuring that each
point has been covered.

vii.   Prioritise

Prioritise and be realistic. Make sure that
whatever you do has a value and a purpose
and that the reasons for the research are
clearly understood by project staff.

Summary: Evaluation good practice checklist

Why Bother?

– What is the purpose of the evaluation?

– Who is it serving?

– Does the design of the evaluation support the initiative taking place on the ground?

– Does the research generate new knowledge?

– Is the evaluation being used as a tool to help empower the individuals and communities it serves?

Are you being realistic?

– Are adequate resources available for the evaluation?

– Are the evaluators fully trained and competent in the techniques they are being asked to carry out? (This may be particularly important with internal evaluations – i.e. when project staff are being asked to carry out much of the evaluation themselves.)

– Do stakeholders agree that the resources earmarked for the evaluation are proportional to the overall size of the project? i.e. +/- 10% of the total budget for the project.

– Do all stakeholders share similar views of what the evaluation aims to achieve?

– What has been done to ensure that funders and practitioners have a realistic view of the communities they are working with and their capacity to absorb and engage with different kinds of evaluation activities?

– What has been done to ensure that the proposed project outcomes, and the timescale within which changes might be expected, are compatible?

– Is the project goal/vision compatible with the anticipated outcomes?

– Has the evaluation taken into account the historical, political and social (local and national) context in which the programme is taking place?

– Does the evaluation address the theoretical assumptions on which the project is based?

– What are the political forces at play? How much political power is being wielded?

Ethics? Are you treating people with respect?

– Has an appropriate ethical framework been developed? This may include considerations of protecting the confidentiality and anonymity of responses.

– Who considered the ethical dimensions of the project and how ethical policies would be implemented?

Methods

– Is the evaluation participatory?

– Are the objectives and monitoring indicators SMART (Specific, Measurable, Appropriate, Realistic, Time-Bound)?

– Has the planning of the evaluation been treated as equally important as the data collection?

– Is the evaluation integrated into all stages of development and implementation?

– Is the chosen methodology the most appropriate in light of the project interventions? Be clear why!

– How is the quality of practice/application of methods ensured (different questions need to be asked if the research is commissioned or carried out internally)?

– Is the timeframe of the evaluation sufficient to measure the potential outcomes (some of which may be very long-term)?

– Are the methods used flexible enough to monitor unintended outcomes?

Dissemination

– How can evaluators be encouraged to report more fully on their evaluation activities?

– Will the findings be conveyed to all participants and stakeholders in meaningful, timely and appropriate ways?

– Will the results show the failings as well as the achievements of the project?

Notes:

Section 3 The programme logic model[3]. What is it?

3   N.B . the following material draws heavily on ¨Programme Development and Evaluation¨ a programme developed by the University of Wisconsin providing an excellent interactive internet course on the programme logic model
(www.uwex.edu/ces/pdande/evaluation/evallogicmodel.html accessed January 2008).

3.1 What are programme logic models?

Logic models have been described in a number of ways, using a variety of names:

"a logic framework"
"a log frame"
"a planning tool"
"a framework to help explain and record how the programme works and the theories and assumptions underlying the work"
"a sensible model showing how the project is supposed to work"
"a model to show the logical relationships between the different components of the project - it helps to provide a simplified picture of the complete intervention"

The model links outcomes (short- and long-term) with programme activities and processes and the theoretical assumptions underlying the programme. The model provides a planning framework, highlighting how the programme is expected to develop and in what order to stage activities, and looks at how desired outcomes are achieved. It includes an analysis of the inputs necessary to get the project up and running and also provides an opportunity to help develop indicators used to monitor the progress of the project towards anticipated goals and outcomes.

Typical components of a programme logic model are shown in the diagram below.
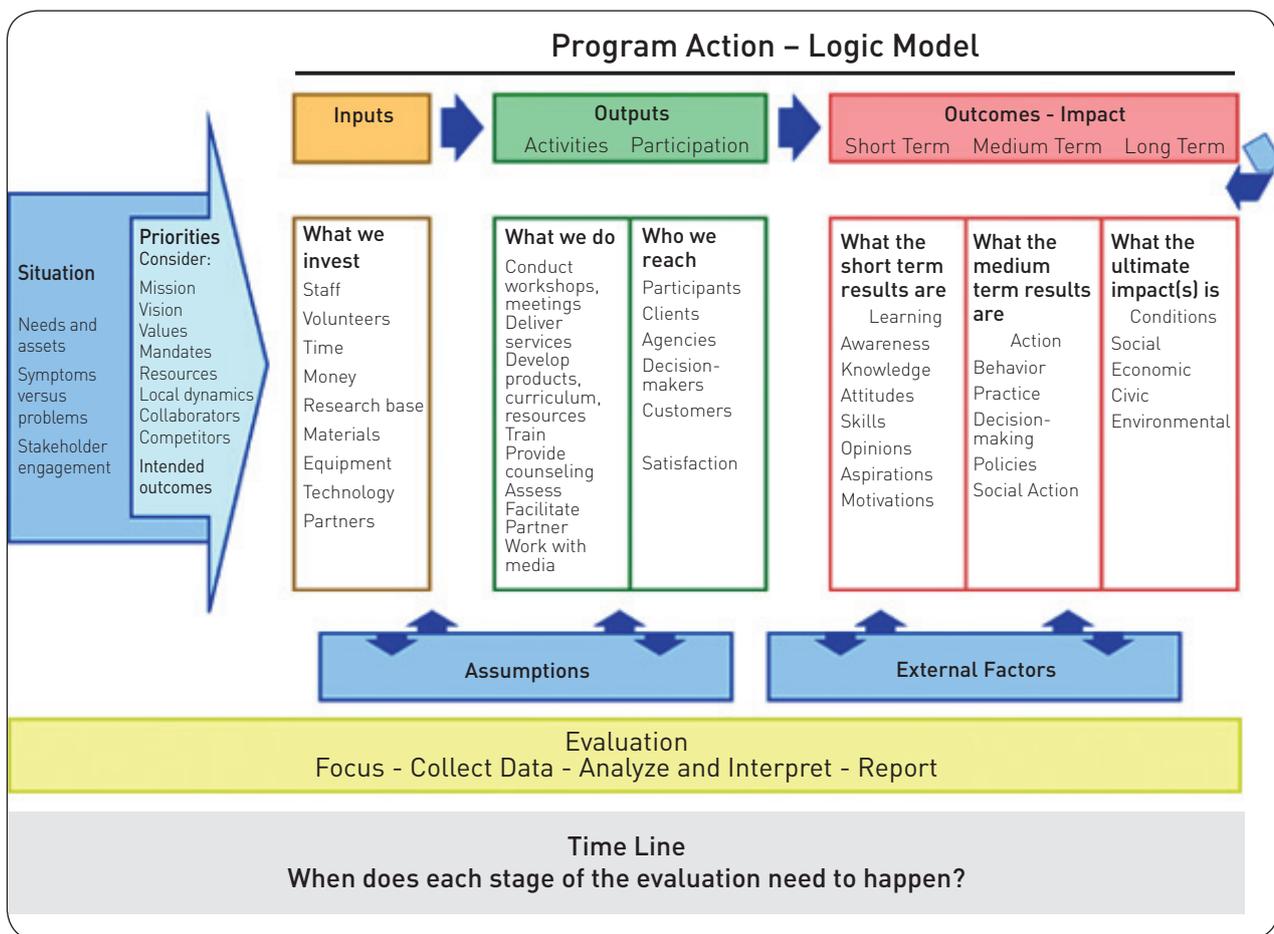
Diagram adapted from: http://www.uwex.edu/ces/pdande/evaluation/evallogicmodel.html (accessed January 2008)

3.2 What are the benefits of using a programme logic model?

There are many benefits of using such a system, extending beyond the development of a coherent research framework. A number of observed benefits are detailed below:

• Programme planning and design

Developing a logic model helps to clarify thinking and to review activities and outcomes against project aims and objectives. Once the project is underway, the model can be used as an ongoing tool to ensure activities are on-target and to make necessary modifications.

• Fostering joint ownership and commitment to project goals

In an ideal world, the first stages of building up the logic model will be undertaken as a joint exercise, involving all key players in project design and implementation. This will include project staff, funders, representatives of the concerned community and other key players in local community infrastructure. This early approach to joint working should help establish productive working relationships and shared understanding among the different stakeholders. Moreover, it promotes a shared vision and understanding of the underlying theories and assumptions of the project.

• Reviewing assumptions on which project is based

In complex community projects which aim to bring about change through a variety of different channels (increasing knowledge, building local capacity and skills, building empowerment and self-confidence), the mechanisms for achieving each planned outcome and the underlying theories often remain obscure to project staff. The logic model should help everyone involved in the project (particularly project staff and concerned populations) to understand the anticipated mechanisms for bringing about change.

Are your project assumptions correct?

In HIV and AIDS programmes there is often an assumption (based loosely on the Theory of Behaviour Change Model) that knowledge about ways in which HIV is transmitted will lead directly to behaviour change. Clearly, the real life situation is more complex; the human mind, being a sophisticated instrument, weighs up the relative advantages of behaviour change in relation to a cost/benefit analysis. If a sex worker, for example, is likely to lose her customer by insisting on the use of condoms, this will create a disincentive to adopting safe behaviours and will weigh heavily in any cost-benefit analysis. High levels of self-esteem, on the other hand, constitute one factor that may improve the chances of successful negotiation around condom use.

In the context of a drugs programme, it is apparent that drug use results from a complex interaction of social, cultural, psychological and economic factors. If, for example, a project is working in an area of high poverty and deprivation where a strong "drug culture" prevails amongst an underclass of largely alienated young people, it is apparent that knowledge about the dangers of drug use will not be the only factor that determines their behaviour. The sense of allegiance and camaraderie afforded by membership in the drug taking group may, in the short-term, be more important to some young people than the longer-term negative impact on health. **To be most effective, projects must be aware of all the factors that influence human behaviour**.

A detailed analysis, which explores every aspect of project activity and projected impact, will result in more effective and appropriately targeted project interventions. This stage is also a good opportunity to clarify key definitions which are open to confusion and misinterpretation such as empowerment and participation. (See Annex 3 - glossary)

• Ongoing evaluation

The model helps to focus on each component of programme activity. Individual parts can be broken down into activities and linked to outcomes which can be assessed separately; charting progress towards interim and long-term outcomes. In this way robust mechanisms for measuring outcomes are developed. What happens? What works? For whom? It should allow the team to identify the obstacles preventing the project from working optimally. It is also a chance for the team to assess how easy it will be for them to measure the indicators they have selected.

Moreover, the process should help identify ways to measure more intangible interim outcomes (e.g. levels of participation, extent of empowerment, cohesion of groups, etc). The progress of more complex initiatives can thus be charted and improvements made along the way, based on new and emerging information.

• Participation

The process of developing the model is based on participatory techniques which require stakeholders to work together to clarify the underlying rationale for the programme and the conditions under which success is most likely to be achieved. In this way, changes are more likely to be built on consensus building, following an open, transparent process – and less on personalities, politics and ideology. A stronger sense of project ownership is thus fostered amongst stakeholders.

3.3 What do programme logic models look like?

Logic models come in all shapes and sizes and are developed according to the particular needs of each individual project. Some models begin with very basic structural links between project components but grow over time in line with project development and the creative insight of the project team. They should be represented in one pictorial diagram in order to give an overall vision of the links between the different components and processes, which form the whole project.

Inputs	Outputs	Outcomes
	1	1a
		b
	2	2a
		b
	3	c
		3a
	4	b

Sometimes a logic model is built as a table with lists of items in the input, output, and outcome columns. (See section 3 for definitions of these terms.) The model may include limited directional arrows to illustrate connections and relationships. It may include numbered lists to show order within a column or to indicate rows of connections across the columns.
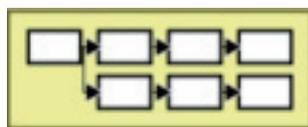
Other logic models use boxes, with lines and arrows connecting the boxes to illustrate the causal linkages.
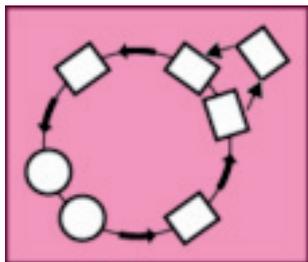
Some logic models use circles and other shapes. Some community groups have used metaphors such as oysters, trees, footprints, and octopuses.
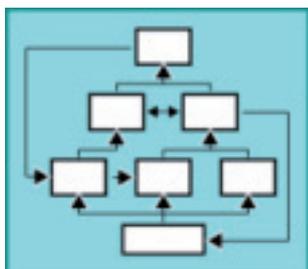
Some logic models are simple; others are complex.
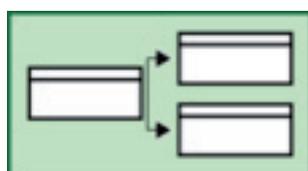
Some logic models show only parts of a full model: some don't include assumptions, situation or external factors; some only include outputs and outcomes.

Diagrams taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm (accessed January 2008)

(See also Section 3.43 and 3.44)

Remember that the logic model is just a MODEL. In an effort to simplify and communicate using one page, you can produce logic models that abbreviate programme complexities. Most importantly, the logic model must be clear and comprehensive to those who will use it. To capture the programme theory, the logic model needs to show the linkages between and among elements.

A logic model is a tool for enhancing programme performance. Often the process of producing the logic model is more important than a polished end result. Thinking through the steps involved in the project, in a logical and systematic way, often helps to identify gaps (be they structural, economic or theoretical).

The purpose for which the logic model is to be used dictates the level of detail employed and the information included. When a logic model is used specifically for research purposes, it can be adapted to include more focus on outcomes. The look and level of detail differs widely. Community-based practitioners who need to measure outcomes may wish to show greater detail in the outcome chain and streamline the input and output components.

3

Key Points

• Think about who will use the logic model. Who needs to understand the value/purpose of the model: you, your staff, the community, funders, administrators, elected officials?

• Settle on a graphic representation that best fits the user and use.

• Recognise that deciding on a single image that displays the programme theory is often the most difficult part of developing and using a logic model. Probably more important than the final image is the process undertaken to produce it.

3.4 Terminology

Familiarising yourself with the following terms will help in assembling a logic model.

3.41 Project vision/goal

This is the big vision - what are you trying to do for the community? It may link directly to improved levels of health and well-being (reflected in reduced levels of morbidity and mortality). Alternatively, it may focus on education or capacity- building: raising levels of education, training or wealth. Community projects tend to be based on a number of core values (e.g. equity, social justice, freedom, participation).

It may be interesting to discuss the key obstacles to achieving your goal amongst your beneficiary group. Some or all of the following factors may come into play:

– income inequity

– social status/class

– level of social exclusion and social justice

– social support networks

– education

– employment and working conditions

– physical environment

– personal health practices and coping skills

– child development issues

– health services

– nutrition

– role of funders (possible constraints imposed)

The list is as long as you want to make it. The exercise is important because it puts into perspective the huge number of variables that may have an impact on the project, helping to provide an understanding of the complexity of community interventions and of the limited impact that small scale interventions can have.

Whilst thinking about your larger goal, it is important to focus more specifically on the project's priorities. In order to monitor project effectiveness, it is essential to have clearly articulated **aims and objectives**. These will demonstrate how the overall goal/vision is being achieved. If the goal, for example, is to reduce incidence of HIV infection, the aims and objectives may relate to improved knowledge of modes of transmission, changing perceptions of HIV, reported behaviour change or enhanced self-confidence. Alternatively the aims and objectives may relate simply to putting the infrastructure in place with which to attain longer term goals for the future (providing buildings, training staff, etc). Aims and objectives should relate directly to indicators (discussed in section 5.5).

It is important to clarify the role of funders from the very beginning. Have the funders imposed any specific obligations in relation to project activity, e.g. monitoring, meetings, involvement in project? Are these requirements going to affect the timing of project activities?

3.42 Inputs

Inputs are the resources and contributions that you and others make to the effort. These include time, people (staff, volunteers, beneficiaries if involved), the community, money, materials, equipment, partnerships, research base, and technology, among other things.
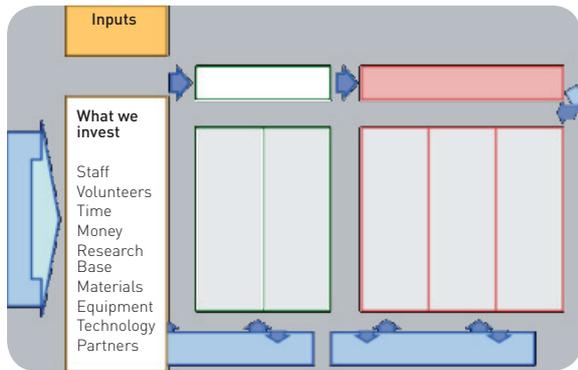
Diagram taken from: http://www.uwex.edu/ces/lmcourse/ interface/coop_M1_Overview.htm (accessed January 2008)

Inputs are flexible and will vary in style and content depending on the type of project being undertaken. A drugs education project, for example, will need different types of inputs depending on whether it is based within formal settings (schools, youth clubs) or is targeted more loosely at street kids or transient populations (immigrants or seasonal workers).

It is impossible to single out any one input as more important than any other. However, one area is often overlooked due to pressures of more tangible project activities: the building and maintenance of strong and appropriate partnerships. Partners may include local organizations who relate directly or indirectly to project activity, service providers, funders (national and international), government and client groups.

3.43 Outputs

Diagram taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm (accessed January 2008)

Outputs are the activities, services, events, and products that reach people (individuals, groups, agencies) who participate in or who are targeted by the project.

Outputs are what we do or what we offer. They include workshops, services, conferences, community surveys, facilitation, in-house counselling, etc.

These **outputs** are intended to lead to specific **outcomes**.

	Outcomes - Impact		
	Short Term	Medium Term	Long Term
	What the short term results are	**What the medium term results are**	**What the ultimate impact(s) is**
	Learning	Action	Conditions
	Awareness	Behavior	Social
	Knowledge	Practice	Economic
	Attitudes	Decision-making	Civic
	Skills	Policies	Environmental
	Opinions	Social Action	
	Aspirations		
	Motivations		

Diagram taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm (accessed January 2008)

3.44 Outcomes

Outcomes are the direct results, benefits, advantages or disadvantages for individuals, families, groups, communities, organizations or systems. Examples include changes in knowledge; skill development; changes in behaviour, capacities or decision-making; and policy development. Outcomes can be short-term, medium-term or longer-term achievements. Outcomes may be positive, negative, neutral, intended or unintended, and they can be measured throughout the project lifecycle.

Impact in this model refers to the ultimate consequences or effects of the programme. For example, increased economic security, reduced rates of teenage smoking or improved air quality. Impact is synonymous here with the long-term outcome of your goal. It is at the farthest right on the logic model graphic. Impact refers to the ultimate, longer-term changes in social, economic, civic or environmental conditions. In common usage impact and outcomes are often used interchangeably.

It is important when considering impacts to look not only at intended, but also unintended impacts. An example of this may be found in gender-based projects where the focus is on raising self-esteem and improving livelihood opportunities for women. Long-term impacts will relate to the improved economic and social status of the women. The ramifications of empowering and strengthening the position of women may be significant in terms of readdressing the balance of power and status within the household, which may in turn challenge local assumptions of the status quo.

In one UNESCO-funded project in South Asia, poor young women were empowered to such an extent that they began to assert the right to choose their own husband and were subsequently ostracised for flouting long established codes of behaviour. If such eventualities are considered at a project's inception, it may be possible to alleviate any negative repercussions which may result, and to support all members of the community through the subsequent transition.
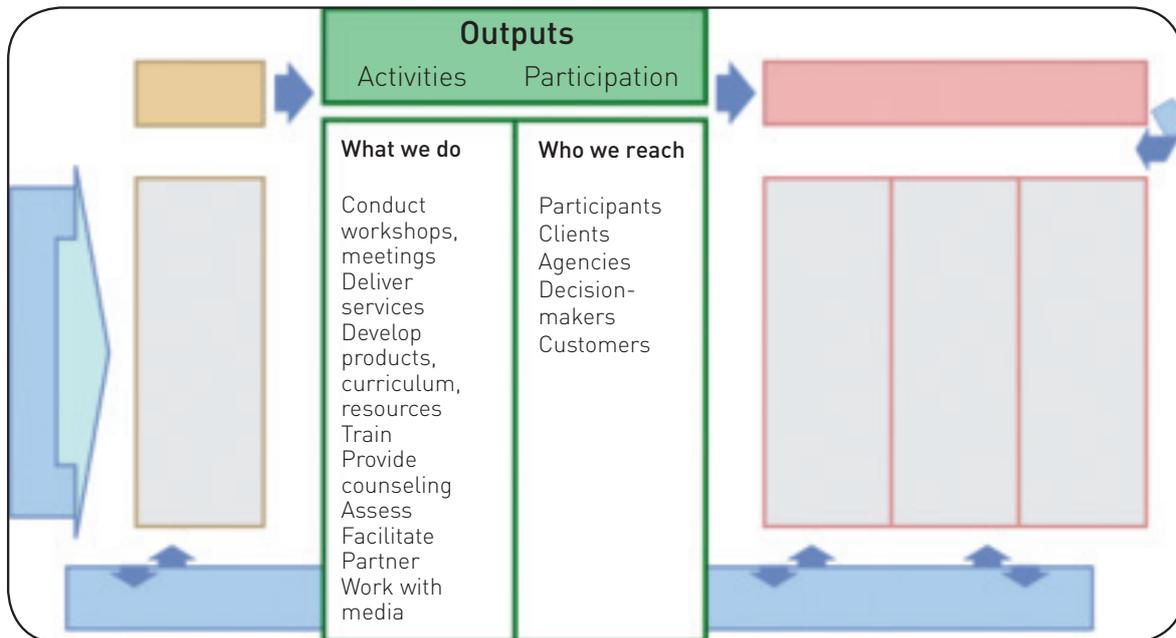
3.45 Looking at your assumptions (theory)
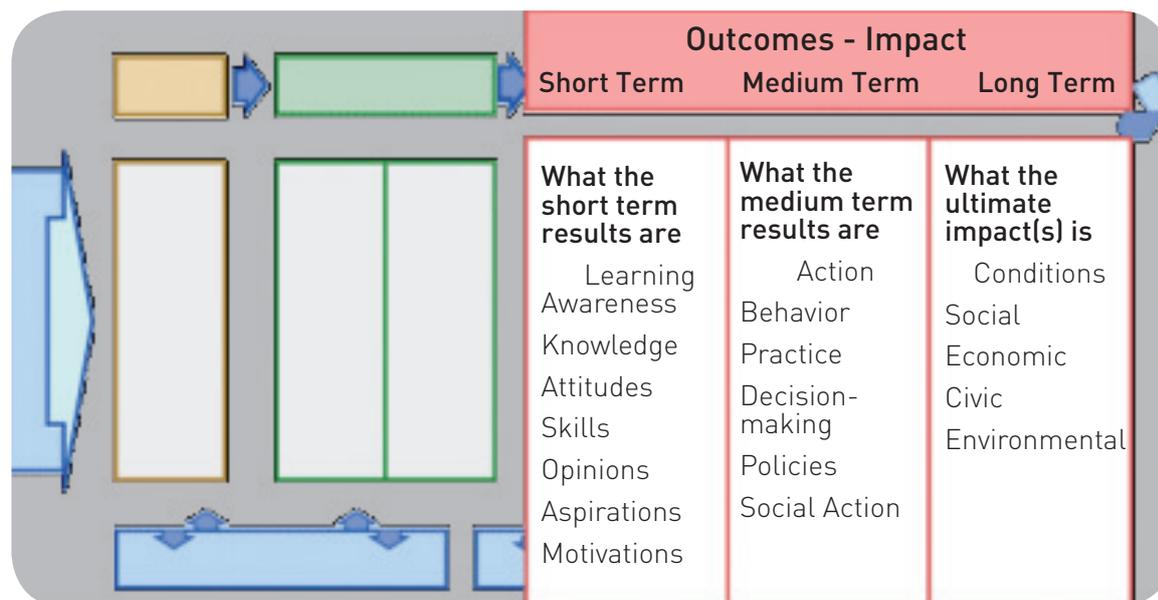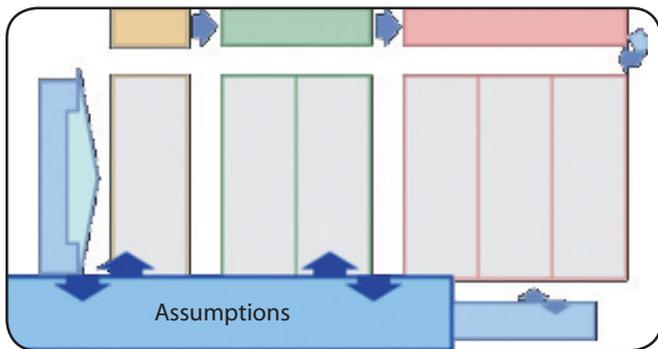

Diagram taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm (accessed January 2008)

Assumptions are the principles, beliefs and ideas we have about the programme and the people involved, and the way we think the programme will work. Assumptions go towards creating underlying beliefs about how the project will work; they are validated with research and experience. Assumptions underlie and influence the programme decisions we make. They may relate to:

• The problem or situation.

• The resources and staff.

• The way the programme will operate.

• What the programme expects to achieve.

• The knowledge base.

• The external environment.

• The internal environment.

• The participants: how they learn, their behaviour, motivations, etc.

In developing a logic model, we want to make explicit all the implicit assumptions we are making. They may not all be portrayed in the one-page graphic, but we do want to explore and discuss them.

Think about and clarify your assumptions on all dimensions in your logic model. What do you know? What are you assuming? Continue to check and clarify them as you proceed. Faulty or overlooked assumptions are often the reason for poor results. It may help to build a reflection cycle into the process. In other words, the logic model can be drawn

up at project inception and then reviewed on an agreed regular basis to re-evaluate the assumptions made and look at what has changed and why.

3.46 Linkages - theory of action

Directional arrows can be used in the logic model to show how different bits of the model link up. Connections may be vertical and horizontal, one-direction or two-directional and show feedback loops.
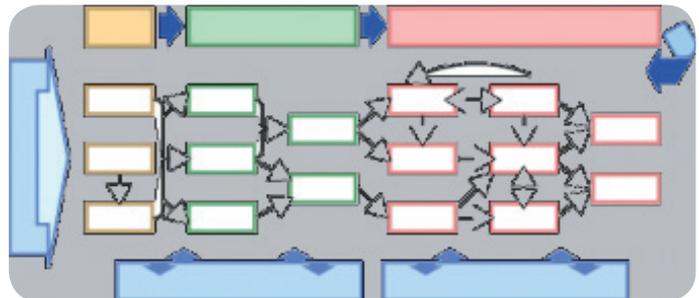
Diagram taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm (accessed January 2008)

It is the linkages - not just what is labelled as input, output, or outcome - that give the model its power. Drawing the connections is often messy and time-consuming but necessary. It is what helps us make sure we've addressed all the logical connections. Sometimes we simplify and only include the primary linkages; otherwise the logic model may become too difficult to read.

In the end, the final outcome theoretically links back to the beginning. By project completion it is anticipated that the starting point will have been transformed. The large feedback arrow at the top right of the logic model is an attempt to illustrate this connection and the dynamics of programming. Some people like to show the circular flow of a logic model that explicitly connects the end to the beginning. In actuality, programme environments are dynamic and constantly changing so the beginning rarely stays the same.

Many people refer to these linkages as 'if-then' relationships. Reading from left to right, a logic model portrays a series of 'if-then' relationships. When developing a logic model, think about the underlying assumptions, i.e. how are the linkages made? Are the assumptions made realistic and sound? What evidence or research do you have to support your assumptions?

3.47 External factors

A programme does not sit in isolation, outside or apart from its surrounding environment. A programme is affected by and affects external factors. These include for example: cultural milieu, climate, economic structure, housing patterns, demographic patterns, political environment, background and experience of programme participants, media influence, changing policies and priorities. All of these may have a major influence on the achievement of outcomes. We can't ignore them! Among the elements they may affect are:

• programme implementation

• the speed and degree to which change occurs

• participants and recipients

• staffing patterns and resources available

A simple example includes mass local migration following the opening of a factory in the local city with potential employment opportunities; both project staff and beneficiaries may be lost to such a process. Conversely, a successful project with the promise of building sustainable livelihoods for the most vulnerable may encourage more people to migrate into the local area, perhaps putting more strain on project resources. A reflection cycle, as mentioned above (3.45) may provide a suitable forum for assessing the impact of external factors (both expected and unexpected).

3.48 Explaining the difference between outputs and outcomes

Understanding the difference between outputs and outcomes is important.

Outputs relate to what we do. Outcomes and impact refer to what difference is made.

| Outputs		Outcomes - Impact		
Activities	Participation	Short Term	Medium Term	Long Term
What we do	**Who we reach**	**What the short term results are**	**What the medium term results are**	**What the ultimate impact(s) is**
Conduct workshops, meetings Deliver services Develop products, curriculum, resources Train Provide counseling Assess Facilitate Partner Work with media	Participants Clients Agencies Decision-makers Customers	Learning Awareness Knowledge Attitudes Skills Opinions Aspirations Motivations	Action Behavior Practice Decision-making Policies Social Action	Conditions Social Economic Civic Environmental

Diagram taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm (accessed January 2008)

In the past, there has been a focus on the outputs column - the 'what we do' and 'who we reach'. Recording outputs helps inform clients, funders and community partners about the nature of project activity. Most projects do a reasonable job of describing and counting activities and the number of people served. The harder questions focus on "What difference does it make?" This is a question about OUTCOMES and impact.

In some logic models you will see activities separated from outputs, with activities often displayed before outputs. In these models, outputs are typically designated as the accomplishment or product of the activity. For example, the number of workshops actually delivered or the number of individuals who heard the media message. The assumption is that the activity needs to be delivered as intended before the expected outcomes can occur.

3.49 What is programme theory?

A logic model shows the series of connections or logical relationships that are expected to lead to desired results over time. The model is primarily a framework or planning tool – however, there are a number of logical assumptions within the framework which are the theoretical basis of project work. This logical base has been described as the programme's theory of action (Patton, 1997) or theory of change (Weiss,1998)

A theory of change is a description of how and why a set of activities (be they part of a highly focused programme or a comprehensive initiative) are expected to lead to early, intermediate and longer-term outcomes over a specified period.

Theory may sound too academic for some but it really just refers to the following:

• Expectations
• Beliefs
• Experience
• Conventional wisdom

For example, the theory behind a drug intervention programme may be that by empowering and educating young people about drug misuse, the project will provide individuals with the knowledge and confidence to choose not to take drugs or use them in a less harmful way – thus providing them with skills and strategies to follow different paths.

3.410 Examples of linkages from a drug education programme:

INPUT

Staff training in drugs education

Workshops involving staff and target group to finalise training programme and content

↓

OUTPUT

Conducting workshops for the group concerned

↓

OUTCOME

Short-term: learning, awareness, knowledge, attitudes

Medium/long-term: Improved health, behaviour, economic situation
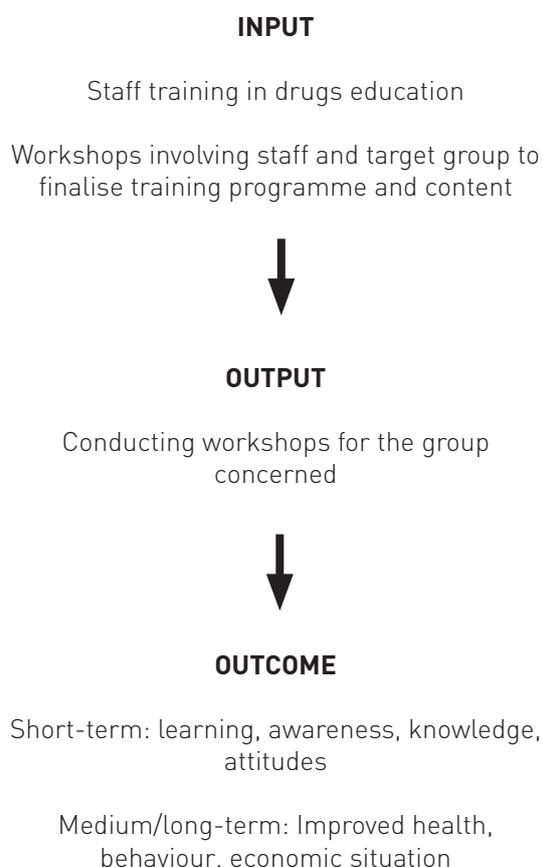
A closer analysis of the above relationships helps establish a feel for their strength and robustness. For example, as long as a drugs workshop is well planned, structured and targeted (your assumptions), an increased level of knowledge about drugs at the end of a performance is not an unrealistic expectation. More tenuous however are the medium and long-term anticipated outcomes that educational workshops will lead to changes in behaviour or indeed an improved health and economic position. There are many more external factors that come into play and these could be shown as arrows coming off the logic model. For example, external factors which may act as an obstruction to individuals in adopting safer drug related behaviours may include:

3

Examples of factors which may influence drug taking behaviour

Building up the connections in this way, showing factors which may influence outcomes (many of which may be outside immediate project control), helps to place the project within a realistic context.

Notes:

Section 4 How to create a logic model

Logic model development is a process.

- Time and practice are required before you can use logic models effectively. The best way to learn is to practice! There is a good interactive site for practicing logic models located at http://www1.uwex.edu/ces/1m course/ The self-study module contained on this site is worth working through, as it takes you through the steps clearly and methodically with numerous opportunities to practice.

- The process of constructing a logic model (rather than the finished product) may be the most important aspect of logic model development. The process builds understanding, consensus and clarity in thinking about the programme - all of which are critical to the programme's success.

- Logic models are refined and changed many times. Leave your logic model in a visible place, perhaps stuck on a wall, where it can be altered and amended as the project develops. Change the model as the project dynamic begins to change and you learn more about your programme.

Getting Started

Step 1: Determine the purpose of the logic model, who will use it and for what?

- Why are you formulating a logic model?

- Is your purpose to fulfil an administrative requirement? To show your funders what you are doing? To complete a grant proposal? To determine a work plan? To evaluate your programme? To improve the quality of your work? To involve all stakeholders in a participatory process to build project understanding and commitment?

- Make sure that everyone working on the model understands its value.

Step 2: Involve others

- Who should participate?

- Who should facilitate?

Step 3: Set the boundaries for the logic model

- What will the logic model depict: A single, focused activity (for example a single puppet show to educate about HIV and AIDS within a specific setting), or a more comprehensive initiative involving a number of different but complementary activities? For example, a number of puppet shows running alongside the distribution of leaflets and community outreach work carried out over a number of months.

- What level of detail is needed?

- Who will use the logic model? How?

Step 4: Understand the situation

The information needed for this step can be obtained from the needs assessment described in section 2.3.

Step 5: Write a situation statement

This statement will form the foundation of your logic model. It will be based on the following questions:

- What is the problem/issue?

- Why is this a problem? (What causes the problem?)

- For whom does this problem exist and at what levels (individual, household, group, community, society in general)?

- Who has a stake in the problem? (Who cares whether it is resolved or not?)

- What do we know about the problem/issue/people that are involved? What research and experience do we have?

A situation statement from a drug education project:

In a drug programme, for example, your problem (identified during a needs assessment) may be that within a defined community (school, village, marketplace) 20% of young people aged between 13 and 20 are taking illegal drugs. Having identified the problem, you need to explore it in much more detail:

– What are the perceived benefits of this behaviour? (i.e. why do the young people take drugs? Perceived benefits may include a sense of membership to a group, a good feeling from the drug.)

– What are the negative repercussions of this behaviour? (short-term and long-term)

– Which groups do the drugs affect, e.g. young people, parents, carers, wider family, school? This will help to decide who has a stake in altering the behaviour and may therefore be willing to get involved in the programme.

– Look at the impact from a number of different perspectives: social, psychological, economic.

– In order to answer these questions fully it is important to talk to stakeholders in the community (including the key target group: drug-taking young people) as well as gathering evidence from other sources. Data collection methods may include discussions with managers of similar programmes, review of published articles or evaluation reports, talking to other professionals, etc.

4

The situation statement can be appended to the logic model as text. It is good practice to include a few words on the far left side of the logic model. These words should capture the essence of the project. What is the problem/ issue? Too often, we design and implement programmes without fully considering and understanding the situation. The better we understand the situation and analyse the problem, the easier it is to develop effective logic models.

The situation statement forms the basis of the rest of your work and provides the foundation from which the logic model is built. The social context of the project is open to constant flux and change and so needs to be updated as appropriate.

The situation statement establishes a baseline for comparison during project implementation and on programme completion. A description of the problem and its symptoms provides a guideline against which to monitor project progress.

Describing who is affected by the problem helps in the subsequent assessment of who has benefited.

Priority Setting

From the situation statement comes **priority setting**. Once the situation and problem are fully analysed, priorities can be set. Seldom can we undertake everything, so we have to prioritise. Several factors are pertinent here; these include your mission, values, resources, expertise, experience, history, what you know about the situation and what others are doing in relation to the problem. Priorities lead to the identification of desired inputs and outcomes.

Step 6: Explore the research and knowledge base

The way you produce your model will depend on the stage of your project and your knowledge base. It is most appropriate to use a programme logic model as a tool to help plan the project (implementation, delivery and evaluation), although it can still be useful if introduced later in the project lifespan.

Step 7: Now start to fill in the empty boxes

How do you want things to be different at the end of the programme?

When writing your logic model you need to be clear about what you want the project to achieve:

- What is your end goal?

- What will be different?

- How will your target population, the wider community, the social and economic infrastructure, the environment be different as a result of the programme?

Agree on a simple statement describing the ultimate end result that you are hoping to achieve. This end result is the same as your goal. Spend time clarifying and agreeing on your long-term desired outcome.

Once you have agreed on your long-term outcome (end result/goal), work backwards across the logic model. In order to achieve those outcomes what will your outputs be? What inputs are needed? You can use the template below, or the version included in annex 4, to practice.
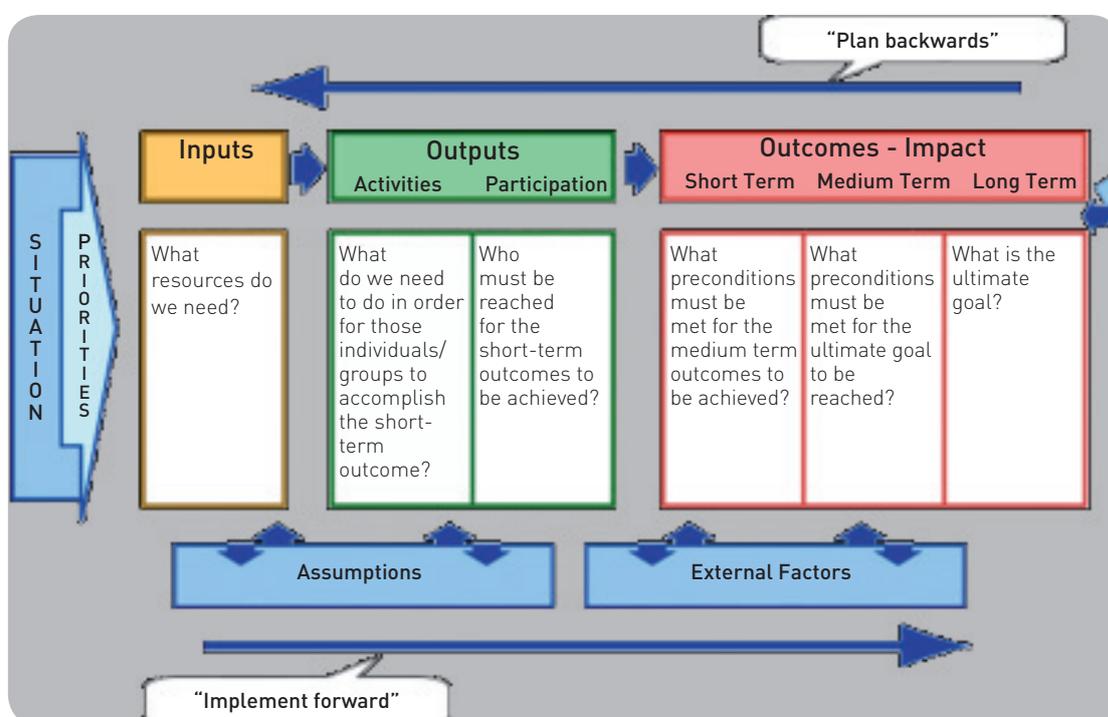
Diagram from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm (accessed January 2008)

It may help to put a whole day (or a couple of days) aside and try to sit down with as many members of the project team and other interested parties as you can. The process can be time consuming – but it is time well spent. Get a huge piece of paper, smaller pieces of paper for notes, lots of different colour marker pens, tape or other adhesive to attach lists and diagrams as your thinking develops. Draw a number of big circles across the page and label each circle with the key project components you wish to explore. These may include:

1. goal/vision

2. aims and objectives of projects

3. activity - what is your project intervention?

4. project outputs

5. project outcomes

6. evaluation approach

7. project goal assumptions

Each circle will link somehow or other with all of the others – it's up to you to make the links and connections. As you think and discuss, annotate your diagram with the emerging information.

Remember!

• There is no one right or wrong way to draw a logic model. Experiment and find the process that works best for you and your group.

• The recommended approach to planning a programme is to begin at the end.

• A logic model is dynamic - change it as your programme, the environment, or people change.

• Build in regular time periods during which you can review your logic model i.e. reflection cycles.

• Much of the value of a logic model lies in the process of creating it, checking it and modifying it. This process is an iterative one that involves stakeholders working together to clarify underlying assumptions, expectations and the conditions under which success is most likely. Remember, your primary stakeholders are the people targeted by the project. Other stakeholders may include staff, funders, local NGOs and related organizations, and local government.

4

Notes:

Section 5 **Structuring and defining your evaluation**

5

5.1 Where does evaluation fit in a logic model?

The logic model describes your programme or initiative, what it is expected to achieve and how. Evaluation helps you know how well the programme or initiative actually works. What worked, what didn't and why? How can you make this better?

EVALUATION

What do you want to know?   How will you know it?
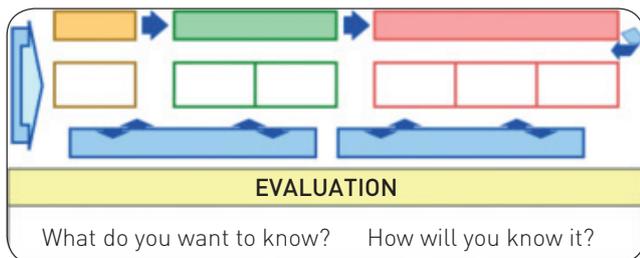
Diagram taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm

Think about how the evaluation can be integrated across your whole logic model as depicted above.

5.2 How do logic models help in evaluation?

Perhaps you are wondering: "Why spend so much time on logic models when all I need to do is…evaluate…measure outcomes and tell my story?" If so, remember:

• Undertaking an evaluation on a poorly designed programme is an ineffective use of resources. Logic models can help improve programme design so that evaluation is more useful and effective.

• Undertaking an evaluation of programmes that are not ready to be evaluated is also a waste of resources. Logic models can help determine what data will be useful and when data collection is most timely.

• To organize an evaluation that will reasonably test the programme theory, you need a clear idea of the theoretical thinking underlying the initiative (Weiss, 1998). A logic model encourages that thinking process to be undertaken.

In summary, logic models help with:

① Focus determine what to evaluate			
② Questions	③ Indicators	④ Timing	⑤ Data Collection
determine appropriate questions for your evaluation	know what information to collect to answer those questions	know when to collect data	determine data collection - sources, methods sample, instrumentation

Diagram taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm

5.3 What to evaluate? The focus

One of the greatest benefits of the logic model is that it clarifies what the programme is. When determining what to evaluate, ask yourself:

What in particular do you want to evaluate? Is the focus of the evaluation the whole programme or a component of the programme? Perhaps you want to focus on the media campaign of your outreach programme or one particular target group.

Programmes are often complex. You may have neither the resources nor the need to examine everything. Use the logic model to select the particular aspect, depth, component or parts you want to evaluate.

5.4 What will the evaluation seek to answer? The questions

> "It is better to know some of the questions than all of the answers."
> James Thurber
>
> "The important thing is not to stop questioning. Curiosity has its own reason for existing."
> Albert Einstein

Evaluation is about asking questions - good, critical questions to help us to learn and be accountable. Identifying good questions is an important aspect of creating useful evaluations.

What is important to measure? What will you spend time and resources on?

Key issues when thinking about evaluation questions:

• You can't and won't measure everything. Answering a few questions well is better than answering many questions poorly. Remember the words of Einstein: "*Not everything that can be counted counts, and not everything that counts can be counted.*"

• Often an evaluation takes on a life of its own. The temptation is to think we need more and more data. It is important, however, to keep the evaluation focused and as simple as possible. Otherwise you run the risk of trying to do too much and end up with information you don't know what to do with. For example, if you're evaluating an HIV and AIDS education programme, make sure the data you collect relates to a set of very specific objectives around knowledge, attitudes and behaviour linked to HIV and AIDS. Including other bits of information - for example about other health promoting behaviours (diet, drug intake, membership of community groups, etc) - is tempting, but risks over-complicating the final analysis.

5

The donor suggests measuring changes in community networks across 40 regions & cross referencing this with male participation in our Income Generation project. This will measure our objective perfectly.

on my bicycle...

on my one-day-a-week salary....

• What you decide to measure depends on who will use the results and for what purpose. It is also influenced by time, money and expertise.

• Remember, it is important to measure unanticipated outcomes (i.e. things you may not have expected to happen) as well as outcomes you did expect. Some changes may occur which are not viewed as positive – it is just as important to identify these as to note changes that have been beneficial. (See for example, section 3.44)

Remember that evaluation must fit the programme's stage of development. For example:

• It may be inappropriate to assess behaviour change when the programme only consists of a single workshop or a limited media effort - for example, to attempt to measure changes in self-esteem in audiences who have only watched one educational puppet show or attended one parenting class.

• Be as clear as possible about what you REALLY want to know so that you focus your

endeavours. Evaluation questions that are broad and vague tend to yield similarly vague responses that are difficult to interpret and of little use for programme decision-making. "Did you benefit from attending the education session about drug misuse?" is an example of a broad evaluation question. More focus could be added to this question by breaking it down into smaller units. For example:

"Have your perceptions of people who take drugs changed? How?"

"Do you think an individual is to blame for being a drug user?"

"Has your behaviour changed (or is it likely to change) as a result of having attended the course?"

"Did you learn any new strategies to help bring about changes in behaviour?"

"Was there anything else you got out of the course?" (This may be unrelated to drug education.)

PROJECT

PROJECT + LIFE = UNANTICIPATED OUTCOMES
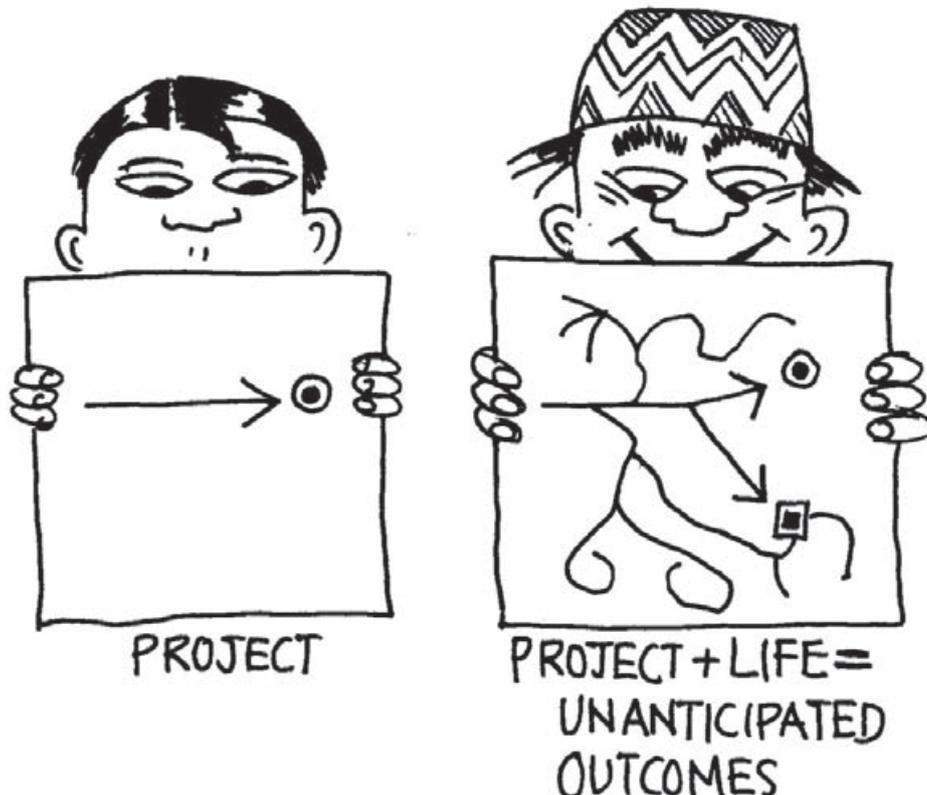
5.5 Example of a logic model with evaluation questions

The logic model can help you determine appropriate questions for your evaluation.
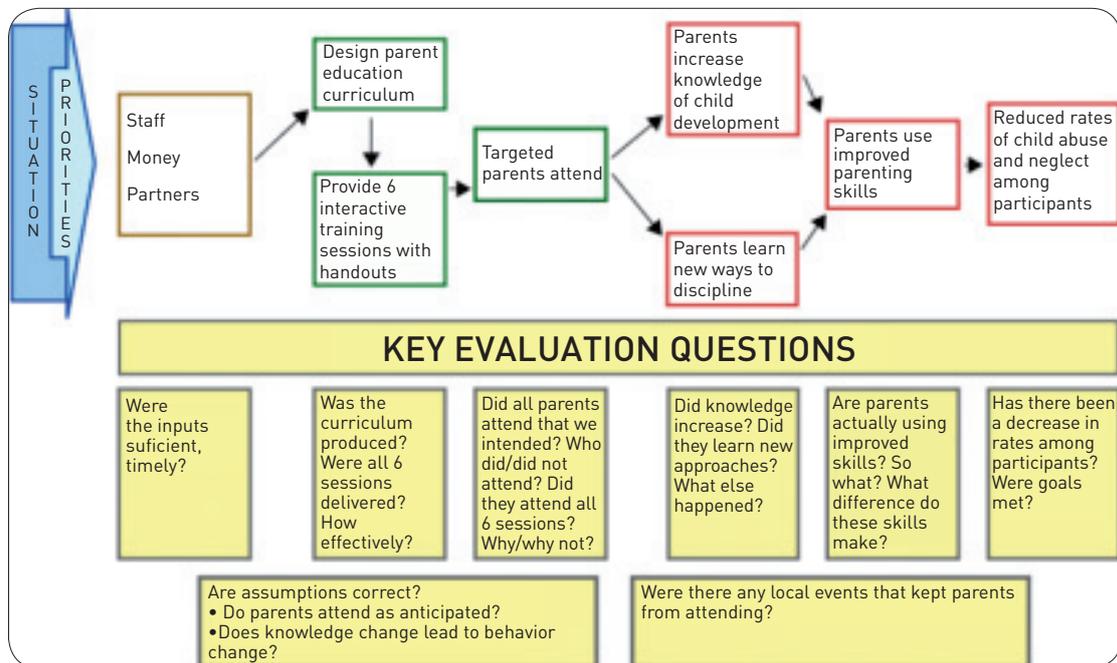
Diagram taken from: http://www.uwex.edu/ces/lmcourse/interface/coop_M1_Overview.htm (accessed January 2008)

5.6 Indicators. How will you know whether aims and objectives have been met?

An indicator is the evidence or information that represents the phenomenon you are asking about. For example:

Indicators help you both to assess the ongoing progress of the project (process indicators) as well as to look at whether or not anticipated outcomes have been achieved (outcome indicators). Indicators define the data that will be collected and **should relate directly to the key aims and objectives of the project**. They can be seen (observed), heard (participant response), read (agency records), felt (climate of meeting), touched or smelt. It is the **evidence** that answers the questions.

Some indicators may be straightforward and easy to measure; others are more complex. Evaluations should always include a combination of process and outcome indicators.

Process indicators relate to ongoing project activity and may include:

• Number of people attending project events

• Completion of project related infrastructure (buildings, publications, shows, training, etc)

• Level of community awareness and response to ongoing initiatives

Examples of short-term outcome indicators in a drug education programme may include:

• Increased knowledge of the impact of drug use on health

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- Increased confidence to find alternative strategies to drug use

Longer-term indicators may include:

- Reduction in drug taking behaviour

- Received improvement in health

- Greater integration into the community

Similar considerations are needed when dealing with transmission of HIV, where it is equally important to differentiate between short-term and long-term indicators. Changes in long-term indicators such as incidence of HIV infection will not be evident over the time-scale of short-term community interventions (and is enormously difficult to measure). Whilst it is important to monitor incidence of HIV, it is equally important to be realistic about the possible impact of the planned intervention. For this reason identifying realistic short-term indicators is crucial to an effective evaluation. In the case of projects aiming to reduce transmission of HIV, possible short- and medium-term indicators may include measures such as:

- shift in perceptions relating to people with HIV

- increase in knowledge about HIV transmission

- numbers seeking HIV tests in local clinics

- numbers using condoms during last sexual encounter

Alternatively, short- and medium-term indicators in drug education projects may include:

- changes in perceived risk related to drug taking

- increased knowledge about side effects of drugs

- changes in reported drug taking behaviour

- increased participation in social, economic, educational activities due to reduced drug use

Indicators of community involvement may include measures such as the number of self help groups in the area, numbers attending community meetings, etc.

It is important to note that indicators should only be collected if they have a real value and use to the project. For example, it is only worth counting the number of people attending a puppet show if the show has some meaningful impact. This may relate to a change in knowledge or behaviour of the individual being counted. Unless projects understand the value of the indicators they are collecting they can become a burden leading to added complications.

In the case of more abstract indicators such as empowerment, freedom from substance misuse or control/choice, attempts will need to be made to develop yardsticks rather than more clear-cut, scientific measures. When trying to assess levels of empowerment, for example, the first step may be to explore why empowerment is important in relation to project objectives. In a drugs education project this may include empowering individuals to take up different leisure pursuits; to avoid meeting up with known drug takers; or to modify drug taking habits, switching to less harmful substances. Determining the level of confidence and frequency of behaviour changes such as these may provide an appropriate measure of empowerment. Be realistic about what you can do! A range of techniques can be used to cross-check information (triangulation) in an effort to find out what difference the project has made to the lives of beneficiaries.

Indicators should be all of the following:

- Direct

- Specific

- Useful

- Practical

- Adequate

- Culturally appropriate

- Not too numerous!

"ATTENDING TRAINING" DOES NOT EQUAL "EMPOWERMENT"

5.7 Timing, scheduling and data collection

Look at your logic model and your evaluation questions and decide at what point along the pathway you will want to collect data. The programme should have reached a stage at which data collection will be both possible and meaningful. For example, evaluation information about who is participating should be collected at each session, while data to answer questions about behaviour change would have to be collected, depending on the indicators you are collecting for, at mid-term or at some point after completion of the programme.

Data collection can occur at several possible points in time:

- baseline or rolling-baseline i.e. data is reviewed during reflection cycle

- at the beginning of programme or during a specific event/activity

- during implementation

- mid-way through programme

- at the end of programme, specific event or activity

- monthly, quarterly, annually

- post-programme to determine longer-term outcomes

For help with the content and structure of your evaluation, you may want to begin by filling in the Evaluation Worksheet provided in annex 5.

Notes:

Section 6 Research techniques and tools

6

6.1 Evaluating Project Process

The reality of the complex mix of social, political and economic factors which come into play at community level means that projects rarely go exactly as planned. For this reason, it is important that projects are able to adapt and be flexible. Process evaluation helps to monitor exactly what occurs in planning and implementing the programme. If you have developed a robust framework for evaluating the implementation process you will be able to:

• Explore programme origins and the chronological sequence of events in programme planning and implementation. This should include modifications and changes to the programme.

• Involve project participants in their own analysis of what has changed as a result of the intervention and ways in which it could be developed/improved.

• Look at the programme structure, components and delivery system.

• Look at contextual factors relevant to the programme operation.

• Analyse the reasons why change was necessary.

• Look at participation rates and participant characteristics.

• Assess perceptions of programme participants.

• Assess levels of community awareness.

• List resources used for programme operation.

• Inform future developments and programmes in similar areas.

It is important to be aware, as noted in section 5.6, that process indicators will be different from outcome indicators.

6.2 Evaluating Outcomes and Impact

You will not be able to evaluate all project outcomes. Instead, you will need to prioritise on the basis of what is most important to project success, and also in relation to what is actually measurable within the timeframe of the project. In the current climate, where funding from agencies is often pledged on an annual or bi-annual basis, it is likely that many of the project's long-term goals will not yet have been achieved, as not enough time has elapsed. Make sure that both project staff and funders are aware of this from project inception to avoid the danger of setting yourself up to fail.

Once you have identified key outcomes to monitor you need to choose suitable ways to gather data. Again be realistic about time, research skills within the team, financial and human resources. Always remember that your key resource is the people who are involved in the project. Remember to consult them fully and include them in your research. Research techniques you arrive at may include a choice of quantitative and qualitative methods outlined below. The choice of methods will be influenced by the size and type of project and budget, and by the information you wish to collect.

6.3 Forms of data collection

TABLE 1. Characteristics of quantitative and qualitative research

	Qualitative Research	Quantitative Research
Questions asked	Who, what, how, why?	How much, how many?
Question type	Open-ended	Closed
Interaction	Dialogue or observation through: film, video, theatre, mapping, etc	Question-answer
Form	Semi- or unstructured	Controlled
To whom?	Purposeful sampling. A small but representative sample is selected.	Formal sampling. Larger numbers are randomly selected. Statistical probabilities can be assessed.
Level	In-depth	Surface-accessibility
Analysis	Interpretation	Formalisation and statistical analysis
Common methods (participative techniques should be used across both categories)	Interviews: – individual, depth interviews – narrative – critical incident – i.e. relating to a specific event and exploring the individual/group response to that event – focus group Written text: – diary methods – archival e.g. health service and notes Media analysis: – press articles – drawings or photographs – videos Observation: – participant observation – non-participant observation Project techniques: – responses to presented stimuli – word association – role playing	Survey – questionnaires – cross-sectional (picture at one point in time) – cohort (follow one group over time) Controlled trials – random – quasi-experimental Archival data (secondary data) – further analysis of existing statistics Observation – counts e.g., patients in a surgery

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6.4 Quantitative research

Quantitative research involves the systematic collection of evidence that can be numerically counted and coded. It explores theories and hypothesis pertaining to the relationship between natural phenomena. Quantitative techniques tend to use structured research instruments, making research easier to collect and analyse and enabling research to be easily replicated. In undertaking large numbers of observations, the method is able to provide statistical data enabling generalisations to be made.

Traditionally, quantitative research has been viewed as more scientific and objective than qualitative research and has therefore been privileged as a form of evidence by funding agencies. The tendency to ask for quantitative evidence to demonstrate effectiveness has put enormous strain on smaller organizations and community projects and the techniques required to gather the evidence are often ill suited to the project setting.

Quantitative research usually demands resources (both financial and human) which exceed the capacity of small community projects. In some cases data from national or regional surveys already exist and can be valuable in informing needs assessment and project development. HIV and AIDS data collected through household or behavioural surveys or surveillance sites, for example, may be able to highlight variations by geographical areas or population groups most at risk.

What is quantitative research and when should it be used?

Quantitative data are useful for getting an overall picture of a situation and for sampling a relatively large number of people. Quantitative research asks questions like: "how much?" or "how many?". The most common examples of quantitative research methods are experimental studies, such as random controlled trials and surveys. All responses are either absolute numbers, such as the units of alcohol consumed, or numerical codes, for example, where yes is coded as 1 and no as 2. It is then possible to calculate percentages for each response, and, if the sample is large enough, to determine whether between groups of people there are any differences that are unlikely to have occurred by chance.

However, the results are dependent on the researcher's own definition of possible response categories; thus there is little scope for uncovering the details of people's lives or capturing unanticipated information. For example, a quantitative survey, looking at drug use may ask the question: How many times a week do you take illegal drugs? The question may provide some basic quantitative data, but will not provide any in-depth insight into the cultural, social or psychological pressures which lead to drug taking. Ambiguities around definitions and understanding of key terms (e.g. what is an illegal drug?) are also hard to deal within this context.

6.5 Sampling

Rather than querying the whole project population, it is often more efficient to ask questions or seek opinions from a representative sample of people reached by the project. As long as numbers are sufficiently large (seek advice from a statistician on this), generalisations can be made which cover the entire project population. If you do sample, you need to consider what type of sample to use. Do you need to be able to generalise your findings to the whole population? What size will your sample be?

Decisions about sampling usually depend on the purpose of the evaluation, the questions you are asking, the size of the population, and the methods you are using to collect information[4].

6.6 Qualitative research

This involves analysis of non-numerical data such as the text of interview transcripts, photographs in the media, or researcher observations, and asks questions like "what?", "how?" and "why?". Such methods are usually used when the researcher wants to go beneath

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4. If you want further support to select an appropriate sample, consult some of the following web links:
www.mis.coventry.ac.uk/~nhunt/meths (accessed January 2008)
www.socialresearchmethods.net/kb/sampprob (accessed January 2008)

the surface and explore responses to questions which have answers that are not easily categorised or are not predictable. Often qualitative research is less interested in how people fall into groups than in "natural" responses, which can be analysed to find patterns or even contradictions within the data. Participation of beneficiaries should be central to qualitative data, both in terms of data collection and analysis. It is important to explore innovative methods which can be used to collect the data and then to interpret findings.

Qualitative methods allow for and indeed seek variation within individuals and groups. In recognising that human beings are interactive in a way that the objects of the natural sciences are not, qualitative methods are often designed to take full account of the contribution that both participant and researcher, as social beings, make to the data.

Research of either kind (qualitative or quantitative) can be used on its own, or as part of a research strategy of multiple methods. For example you might use individual interviews (qualitative research) to explore the reasons behind national survey findings (quantitative research) that show how disadvantaged young people are more likely to become injecting drug users. Or, conversely, themes drawn out of focus group interviews could be used to design a coding frame/questionnaire (a set of predefined possible responses) and used for quantitative research on a larger scale. Both types of research are valuable and have unique advantages. It is important at the starting point to clearly frame the question being asked and then choose and apply the type of research best suited to finding a useful answer.

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6.7 Qualitative Research Techniques

• **In-depth interviews:** These can be conducted with key informants, i.e. people who have been closely involved in the project who have particular insights. They may be conducted with project staff, partner organizations or project participants. Annex 6 contains more information on how to conduct in-depth interviews.

• **Focus groups and round tables:** A focus group gathers together about 4-8 people, usually connected through a common factor (e.g. they may all be drug users or parents – depending on the project focus). The group is used to discuss key questions which are central to the evaluation. Techniques to provoke discussion such as photos, tapes, pictures, etc can be useful.

• **Case study:** These explore a few detailed examples. Pick pieces of work that illustrate your main objectives.

• **Observation:** Observe, for example, the dynamics of groups. Who comes to meetings? What questions are asked? Who is involved? Is there good community representation?

• **Portfolio reviews:** Look at examples of work that have been produced.

• **Press reports:** Gather and review relevant press reports.

• **Journals:** Ask people to keep diaries relating to project activities and their involvement in them.

• **Feedback forms:** You can find out what people think about services offered by the project by asking them to fill in a short feedback form. What did they find most useful? How would they improve the activity?

• **Evaluation workshops and review meetings:** Special meetings used to elicit feedback from project participants. Similar techniques to those used in focus groups can be employed.

6.8 Research tools

Most data collection requires some sort of form or instrument for compiling information such as a recording sheet, a questionnaire, an observation protocol, or a videotape or audiotape. Think about the data collection method you've chosen and decide what is needed to record the information. If possible, use tested and validated instruments.

If you have developed your own instrument, check to ensure that it will:

• Secure the information you want
• Be understood by the respondent and the recorder
• Be simple and easy to follow
• Be culturally sensitive and comply with any existing ethical guidelines
• Minimise potential problems

Test the instrument with people similar to your proposed respondents and recorders in advance of using it on the actual project - this is called a pilot.

6.9 Summary: A complete evaluation plan

I Focusing the evaluation	II Collecting information	III Analysing information	IV Think about how to use information:
Questions: What do you want to know? Indicators How will you know it? Who will conduct evaluation? Keep it participative! **Keep it simple!**	*Think about:* Sources Methods (qualitative, quantitative, participative) Timing Samples Instruments	Analysis Interpretation	*Disseminate and share lessons learnt (both good and bad!)* To whom? When? How?

- Keep the evaluation straightforward and simple. Focus on **"what do you need to know?", "who will use the information?" and "for what?"**

- This discussion of evaluation has merely scratched the surface. Our purpose was to show you how the logic model helps in evaluation. Many other available resources can assist with the technical aspects of evaluation (see attached bibliography).

- A logic model is not an evaluation model, rather a tool which can help provide a coherent framework to guide you through the evaluation process. The logic model facilitates effective evaluation by **helping** you:

  – Determine what to evaluate

  – Identify appropriate questions for your evaluation based on the programme

  – Know what information to collect to answer your evaluation questions - the indicators

  – Determine when to collect data

  – Determine data collection sources, methods, and instruments

  – Consider opportunities for data review and dissemination

6

Notes:

Section 7 **Participatory evaluation**

7

So it's obvious... if you introduce free condoms...

... We can all make water balloons.!!!

YOUR PROJECT LOGIC MAY DIFFER FROM OTHERS'

7.1 Participatory evaluation techniques

The emphasis of this guide is that community initiatives are more likely to succeed when the community has ownership over the project and is integral to the process of initiation, implementation and evaluation.

What is Participatory Monitoring and Evaluation?

Four broad principles have been identified to be at the heart of PM&E. They are:

• **Participation:** defined as "opening up" the design process to include those most directly affected i.e. project participants. All stakeholders should then be involved at all stages of project implementation, including agreeing on the research methodology.

• **Negotiation:** Agreement of what will be monitored and evaluated, methods of data collection, interpreting the data, sharing and disseminating findings and taking action.

• **Learning:** Agreeing how lessons learned will be used and taken

forward in order to make improvements in the future. The process needs to be clear about how good practice will be shared and "scaled-up".

• **Flexibility:** Community projects are constantly influenced by a range of factors beyond the control of those involved. All those working on the project must therefore be aware of the need to remain flexible and adapt to change.

Methods commonly used in PM&E:

There are many creative methods that can be used to involve beneficiaries in projects in exciting and dynamic ways. Some have already been mentioned in section 6.7. Listed below are a few more specific ideas:

• **Mapping:** Using maps of the locality to initiate discussion around the type of change taking place, where it is happening and how it is coming about. The technique can also be used to locate stakeholders and project participants.

• **Venn diagrams:** This can be a useful way of showing relationships between groups, institutions and individuals.

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• **Flow diagrams:** These link changes to a perceived cause and help demonstrate the impact of changes.

• **Diaries:** If used consistently, diaries are a helpful way to describe the changes in the lives of individuals or groups.

• **Photographs:** Very good at initiating discussions and can depict changes over time. (For example, it's useful to take photos pre- and post-project.)

• **Theatre/Role play/Puppet shows/ Arts:** Creative arts are often a natural and spontaneous way of revealing and unravelling local and individual concerns and priorities. Some of these methods may work particularly well with children and young people.

The sequential stages for carrying out PM&E should be broadly similar to the steps taken in more conventional research methods. The following diagram outlines key stages:

Identify who should and wants to be involved

Clarify participants' expectations of the proccess, and in what way each person or group wants to contribute

Clarify if the PM&E process needs to be sustained, and if so, how

Agree on how the findings are to be used and by whom

Define the priorities for monitoring and evaluating

Analyse the information

Identify indicators that will provide the information needed

Collect the information

Agree on the methods, responsibilities and timing of information collection

Taken from IDS Policy Briefing. Issue 12. November 1998, p.3. Located at http://www.ids.ac.uk/ids/bookshop/briefs/PB12.pdf

7.2 Key issues in PM&E

• Participatory methods do not exist to the exclusion of other methods. Indeed, the best results may often be achieved by employing a number of different evaluation methods and techniques.

• Not all stakeholders/beneficiaries will necessarily want to engage in the PM&E process. Getting involved requires time and energy that not everyone is either prepared or able to give.

• PM&E can be related to the theory of "Knowledge Building" where learning is more than something that affects individuals and operates instead at the level of the wider community. Scardamalia (2002) describes how the process of collective inquiry into a specific topic can result in a deeper understanding through interactive questioning, dialogue and continuous improvement of ideas. Ideas are thus the medium of operation in knowledge building environments. The teacher becomes a guide rather than a director and allows students to take over a significant portion of the responsibility for their own learning, including planning, execution and evaluation (Scardamalia, 2002).

• Participatory techniques can empower project "beneficiaries" by helping them to find areas of responsibility and providing them with the necessary skills needed to carry out the work (numeracy, literacy, interviewing, computing, research, etc.).

• Don't be too ambitious. Start small. Examples of participatory techniques cited are taken from projects where PM&E was a contributory part (often small) of an overall research plan. In many cases, consulting beneficiaries and involving them in the research process is a spontaneous reaction and happens without being pre-planned. It may therefore be done without any fancy terms attached!

7

> The whole problem with the world is that fools and fanatics are always so certain of themselves, but wiser people so full of doubts."
>
> Bertrand Russell

Notes:

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Section 8 Data analysis and dissemination

8

> "If you have an apple and I have an apple and we exchange these apples then you and I will still each have one apple. But if you have an idea and I have an idea and we exchange these ideas, then each of us will have two ideas."
>
> George Bernard Shaw

Once the data have been collected they need to be clearly compiled so that evidence can be drawn together and compared from different sources. Key questions to ask when looking at the data include:

– Does the information show that you have reached your goals? Be as specific as you can to show how the results were achieved.

– What are the project outcomes? Pay attention to unexpected as well as expected outcomes (both desirable and undesirable).

– Do the data highlight any achievements?

– Are there any problem areas that need particular attention?

– Were there any obstacles to achieving the predetermined goals?

Provided the evaluation was well planned and the research was carried out appropriately, with clear objectives, reliable indicators and rigorous data collection, the analysis stage should fall logically into place.

Analysis of quantitative data is precise and structured – the expertise of a statistician (often hard to find!) may be required if large amounts of data are being handled. Although the data may demonstrate a relationship between the service provided and a particular outcome, unless the project has used an experimental design (where the project site is compared to a similar site with no intervention as a control), it will not prove that the programme directly **caused** the outcomes.

There are specialised software programmes that can help in the analysis of both quantitative and qualitative data. If the evaluation involves large amounts of data it may be worth seeking advice on these packages to assist in storage and analysis.

Analysis of qualitative data is thought to be more subjective than that of quantitative data. Collected material is given a cursory overview and the key themes are identified. The data are then more rigorously collated under each of the category headings. **Content analysis** consists of reviewing written documents (e.g. journals, observation notes, open-ended survey questions) or the text of spoken data (e.g. from interviews or focus groups). As the text is read, a code is assigned to areas that represent either important concepts, common patterns between respondents or distinct responses by different subgroups. Once this has been done the text is sorted out and grouped together by category. Categories are either identified before the instrument is developed – or will emerge as data is reviewed. The technology or equipment used does not have to be sophisticated, it may simply involve tearing up bits of text and placing them in piles of similar themes and then collating in an ordered fashion!

Care needs to be taken when dealing with qualitative data, that misleading numerical statements are not made. There is often a strong temptation to make statements such 80% of people think ..."that cows lie down before a storm". In fact, if the total sample was small, say 10 people, 80% equates to only 8 people, which is too small a number to suggest that this may be the case in larger, more robust samples. Given that the numbers of respondents in qualitative research do not allow for statistical significance to be inferred, percentages should be avoided. Less misleading is to use terms like "in our sample the majority of respondents (8 out of 10 people) thought...."

Where data from a number of different sources are collected it is important to give due weighting to each piece of evidence. In addition, results must clearly record the size of the research sample (number of people interviewed) and also research instruments

(questionnaires, topic guides, etc) should be included in the final project report.

Quantitative Data

For a simple account of conducting quantitative surveys and questionnaires consult:

International Fund for Agriculture and Development (IFAD). "A Guide for Project Monitoring and Evaluation." Of particular relevance is Annex D, "Methods for monitoring and evaluation". Downloadable at: http://www.ifad.org/evaluation/guide/index.htm (accessed January 2008)

See also references in the annotated bibliography at the back of this guide.

Dissemination

Once results have been collected and analysed it is important to share the outcomes with as wide an audience as possible. Project staff, funders, project participants all had a stake in the project and it is the responsibility of the evaluators to share the results with them, as openly and directly as possible. Indeed, the Project Cycle, presented in section 2.1, highlighted the importance of continuous feedback of project progress so that improvements can be made to project design at all stages in the project cycle. It is only through having the courage to share results (be they positive or negative) that lessons can be learnt and adaptations made to improve future performance. Workshops and local meetings may be a particularly appropriate forum for the dissemination of local results. Websites are also increasingly useful to give broad, easy access to top-line results.

Share your learnings.

Notes:

Section 9   References, Annotated Bibliography, Annexes

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9

Annotated bibliography

The following list focuses on the evaluation of small-scale community programmes. The emphasis is generally on qualitative, participative methods for internal evaluation. The list is by no means comprehensive. Most references cited are included because they are clear, accessible and can generally be accessed on the internet. All websites listed were operational in January 2008. The bibliography should be seen as a "work in progress" which can be added to and amended.

1. Resources for small-scale community evaluations

Action Aid UK

■ Wallace, T. (2006), *Evaluating Stepping Stones: A review of existing evaluations and ideas for future M&E work Action Aid International http://www.comminit.com/en/node/265544*

■ Americorps. *Project STAR*. Downloadable chapters covering each stage of planning, evaluation, analysis and dissemination. The site's purpose is to improve the quality and consistency of evaluations and enhance evaluation capacity through the promotion and use of high-quality checklists targeted to specific evaluation tasks and approaches. http://nationalserviceresources.org/resources/online_pubs/perf_meas/index.php

■ Charities Evaluation Service: Produce a range of publications to support evaluation looking at:

– Aims and objectives
– Different ways of seeing evaluation
– Self-evaluation
– Involving users in evaluation
– Using evaluation to explore policy
– Performance indicators: use and misuse
– Outcome monitoring
– Assessing impact

Papers can be purchased separately or as a set and can be ordered from CES Website at http://www.ces-vol.org.uk

FHI - Evaluation Handbook Rehle,T., Saidel, T., Mganani, R. (eds) (2005), *Evaluating programs for HIV/AIDS prevention and care in developing countries*. This document provides information on how to evaluate HIV and AIDS prevention programmes in developing countries. www.fhi.org/en/HIVAIDS/pub/Archive/evalchap/

■ Green, L.W. and Kreuter, M. *PRECEDE-PROCEED Model for health promotion The Precede-Proceed* framework for planning is founded on the disciplines of epidemiology, the social, behavioural and educational sciences, and health administration. Throughout the work with Precede and Proceed, two fundamental propositions are emphasised: (1) health and health risks are caused by multiple factors and (2) because health and health risks are determined by multiple factors, efforts to affect behavioural, environmental and social change must be multi-dimensional or multi-sectoral, and participatory. http://www.lgreen.net/precede.htm

■ Horizon Research, Inc. *'Taking stock: A practical guide to evaluating your own programs'* (1997). A practical guide to programme evaluation written for community-based organizations, providing information that can be put to immediate use to help improve programmes. This manual focuses on internal evaluation. The information in this manual should better prepare programme staff to design and carry out a programme evaluation. The 97-page guide can be downloaded at: http://www.horizon-research.com/publications/stock.pdf

■ International Fund for Agricultural Development (IFAD) A comprehensive website relating to evaluation with on line manuals and practical evaluation examples. An Evaluation Help Desk provides a rapid service for users looking for quick access to data, information and knowledge derived from evaluation. http://www.ifad.org/evaluation/
A practical, downloadable guide, for project managers, focusing on monitoring and evaluation of rural development projects is at: http://www.ifad.org/evaluation/oe/process/guide/

■ McNamara, C. *Basic guide to program evaluation* The emphasis of this guide is that project staff do not have to be experts

in order to carry out reasonable evaluations. The "20-80" rule applies here, that 20% of effort generates 80% of the needed results. It's better to undertake what might turn out to be an average effort at evaluation than to do no evaluation at all. This document orients personnel to the nature of programme evaluation and how it can be carried out in a realistic and practical fashion. Available at: http://www.managementhelp.org/evaluatn/fnl_eval.htm#anchor1575679YBrowser.HTML\Shell\Open\Command

■ Mc Namara, C. (1999) *Basic guide to outcomes-based evaluation for non-profit organizations with very limited resources*. This document provides guidance for basic planning and implementation of an outcomes-based evaluation process (also called outcomes evaluation) in non-profit organizations. Available at: http://www.managementhelp.org/evaluatn/outcomes.htm.

■ National Science Foundation *User-friendly handbook for mixed method evaluation* and *User-friendly handbook for project evaluation*. A practical handbook with lots of useful examples of research tools and instruments. Considers both quantitative and qualitative methods. Available at: http://www.ehr.nsf.gov/EHR/REC/pubs/NSF97-153/start.htm

■ Organization for Economic Cooperation and Development: Improving evaluation practice: Best practice guidelines for evaluation. This document has particularly good advice on identifying stakeholders, consultation and partnerships. Located at: http://www.oecd.org/dataoecd/11/56/1902965.pdf.

■ Public Health Training Network: *Practical evaluation of public health programmes* Comprehensive course overseen by Centres for Disease Control and Prevention, Atlanta, USA. Located at: http://www.phppo.cdc.gov/phtn/pract-eval/workbook.asp.

■ Robson, C. (2000), *Small Scale Evaluation*, London, Sage.
A comprehensive and accessible short guide to evaluations. It explains clearly what evaluations are and how they can be used most effectively, and outlines the strengths and pitfalls of different evaluation methods.

■ Save the Children (UK) *Toolkits: A practical guide to monitoring, evaluation and impact assessment,* written by Louisa Gosling. The guide covers monitoring, evaluation and impact assessment and includes a range of practical tools which can be adapted to suit different needs. Chapters on impact assessment and "monitoring and evaluating advocacy". Order on website: http://savethechildren.org.uk./en/54_2359.htm

■ UNDP (2002) *Handbook on monitoring and evaluating for results*   A useful handbook on monitoring and evaluation available in English, French and Spanish; includes a monitoring and evaluation training package available only in English. The UNDP site includes a number of other resources and evaluation links to multi-lateral partners: http://www.undp.org/eo/documents/HandBook/ME-HandBook.pdf.

■ United Nations Office for Drug Control and Crime Prevention (2002). Vienna. *A participatory handbook for youth drug abuse prevention programmes.* 'A guide for development and improvement', United Nations, New York.

■ United States Aid Interventions Department (USAID) Lists a vast number of evaluation resources. http://www.dec.org/partners/evalweb/

■ University of Kansas *Community Toolbox.* http://ctb.ku.edu/.

■ University of Wisconsin - Extension. *Program Development and Evaluation.* Very practical, informative site including interactive guidance on the logic model. http://www.uwex.edu/ces/pdande/evaluation/index.html.

■ U.S. Department of Health and Human Services. Centres for Disease Control and Prevention. *CDC Evaluation Working Group*: http://www.cdc.gov/eval/.resources.htm#manuals
Contains links to comprehensive range of evaluation sites covering the following topic areas:

• Ethics, principles, and standards
• Organizations, societies, foundations, associations
• Journals and on-line publications
• Step-by-step manuals
• Logic model resources
• Planning and performance improvement tools
• Reports and publications: General
• Reports and publications: GPRA (Government Performance and Results Act)
• Suggestions

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■ U.S. Department of Health and Human Services. Centres for Disease Control and Prevention. CDC Evaluation Working Group: Framework. http://www.cdc.gov/eval/framework.htm.

■ International HIV/AIDS Alliance. Support communities to reduce the spread of HIV and to meet the challenges of AIDS. http://www.aidsalliance.org/sw1280.asp

■ W. K. Kellogg Foundation (1998) *Evaluation Handbook*. Kellogg Foundation. USA
The emphasis here is on participative, community based, contextual evaluation. The guide presents a clear explanation of all key evaluation methods and their underlying theories and models. An accessible, well presented publication. Download or order free from website. http://www.wkkf.org.

■ W. K. Kellogg Foundation (2003) *Logic Model Development Guide*. Kellogg Foundation, USA. Provides detailed technical information and practical ideas to help in the understanding of basic evaluation principles used when applying Logic Models in evaluation. To be used in conjunction with the W. K. Kellogg "Evaluation Handbook". Download or order free from website. http://www.wkkf.org.

■ WHO (2002) *Working with street children: Monitoring and evaluation of a street children project. Downloadable handbook designed to be used by street educators, as well as other people working with street children. It aims to provide the user with an understanding of the importance of monitoring and evaluating, helping to identify a wide range of appropriate strategies and consequently the development of confidence to implement monitoring and evaluation activities. http://whqlibdoc.who.int/publications/924159036X.pdf*

■ Westat: *Understanding Evaluation: The Way to Better Prevention Programs Downloadable handbook looking at evaluation of US based drug and alcohol programmes. Includes information on quantitative methods. Located at: http://www.ed.gov/PDFDocs/handbook.pdf*

2. For information on quantitative analysis

■ International Fund for Agriculture and Development (IFAD). *A Guide for Project Monitoring and Evaluation.* Of particular

relevance is Annex D, "Methods for monitoring and evaluation" http://www.ifad.org/evaluation/guide/index.htm.

■ United States General Accounting Office (May 1992), "*Quantitative data analysis: An introduction".*
http://archive.gao.gov/t2pbat6/146957.pdf

■ *The impoverished social scientist's guide to free statistical software and resources*
Dr Micah Altman of Harvard University is Director of the Virtual Data Center project and Associate Director of the Harvard-MIT Data Centre. As well as the main, lengthy list of specific packages loosely grouped by type, his guide links to sites that offer help in getting, converting and manipulating data, and provides a brief book list on data analysis. Entries are accompanied by succinct annotations.
http://maltman.hmdc.harvard.edu/socsci.shtml

■ MEASURE. (Monitoring and Evaluation to Assess and Use Results) Measure

Westat Muraski, L. (1993) *Understanding Evaluation: The Way to Better Prevention Programs* Department for Education. USA. Downloadable handbook looking at evaluation of US based drug and alcohol programmes. Includes information on quantitative methods. http://www.ed.gov/PDFDocs/handbook.pdf.

3. For participatory evaluation methods

■ Aubel, J (1999) *Participatory Program Evaluation Manual*. Catholic Relief Services. US Agency for International Development Services. http://www.idrc.ca/uploads/userS/10504133390ParticipatoryProgramEvaluation_Manual.pdf.

■ Chambers, R (2002) *Participatory workshops: a sourcebook of 21 sets of ideas and activities* London, Earthscan.

■ International Fund for Agriculture and Development (IFAD*). A Guide for Project Monitoring and Evaluation.* This is full of participatory methods.
http://www.ifad.org/evaluation/guide/index.htm

■ Mayoux L. and Chambers, R. (2005) *Reversing the paradigm: quantification,*

participatory methods and pro-poor impact assessment Journal of International Development 17, No. 2, 2005, pp.271-98

■ Mikkelsen, B. (2005) *Methods for development work and research: a new guide for practitioners* New Delhi. Sage

■ Stoecker, R. (2005) *Research methods for community change: a project based approach* Thousand Oaks. Sage.

■ Whitmore, E. (ed) (1998) *Understanding and practicing participatory evaluation* San Francisco, American Evaluation Association.

■ Estrella, M. et al (Eds) *Learning from Change: Issues and Experiences from Participatory Monitoring and Evaluation.* Bourton Hall. Warwickshire. IDRC/ITP (2000).

■ Good website for searching guides to participatory methods: A useful online library where you can search key terms including "participatory evaluation". http://blds.ids.ac.uk/

4. Generic evaluation sites

■ African Evaluation Society
Contains guidelines for evaluation work in Africa. Includes evaluation standards for quality, ethics and values. Also information on conferences and training. http://www.afrea.org/home/index.cfm

W American Evaluation Association
An international organization devoted to the application and exploration of program **evaluation**, personnel **evaluation**, technology, etc. www.eval.org.

■ European Evaluation Society: www.europeanevaluation.org/

■ The Evaluation Centre
This site provides evaluation specialists and users with refereed checklists for designing, budgeting, contracting, staffing, managing and assessing evaluations of programmes, personnel, students, and others; collecting, analyzing, and reporting evaluation information; and determining merit, worth, and significance. Each checklist is a distillation of valuable lessons learned from practice. http://www.wmich.edu/evalctr/checklists/

■ French Evaluation Society: Société française de l'évaluation www.sfe.asso.fr/

■ National Science Foundation *Programmatic On-Line Evaluation Resources* OERL: Online Evaluation Resource Library. This library was developed for professionals seeking to design, conduct, document, or review project evaluations. The purpose of this system is to collect and make available evaluation plans, instruments, and reports for NSF projects that can be used as examples by Principal Investigators, project evaluators and others outside the NSF community as they design proposals and projects. OERL also includes professional development modules that can be used to better understand and utilize the materials made available. At http://oerl.sri.com/.

■ Resources for methods in evaluation and social science. This site lists free resources for methods in evaluation and social research. The focus is on "how-to" do evaluation research and the methods used: surveys, focus groups, sampling, interviews and other methods. Most of these links are to resources that can be read over the web. A few, like the GAO (Government Accountability Office) books, are for books that can be sent away for, as well as read over the web. http://gsociology.icaap.org/methods/

■ UK Evaluation Society. The UK Evaluation Society exists to promote and improve the theory, practice, understanding and utilization of evaluation and its contribution to public knowledge and to promote cross-sector and cross-disciplinary dialogue and debate. http://www.evaluation.org.uk/
Many countries have their own evaluation society websites – for local information do a check using a relevant search engine, e.g. Google.

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Annex 1 – Feedback form

This guide is a work in progress. We would very much appreciate your feedback to enable us to improve the quality and effectiveness of this product. Please fill in the attached form and return it either by post or electronically to the address at the bottom of the form.

How useful did you find this guide? a)very useful, b) quite useful and c) not at all useful?

– Have you made any practical use of the guide?

– Do you plan to use the guide in the future?

– How did you use the guide? Please specify if you only used certain sections.

– How could the guide be made more accessible/more useful?

– Are there any other support materials you use to help you with monitoring and evaluation? Please specify.

– Can you provide any specific examples of effective or ineffective research tools that you have used in your projects? Can we contact you directly to discuss the possibility of these examples being included in the next version of the guide?

– Was there anything you found inappropriate, absurd or difficult to understand? If yes, what and why?

– Any other comments.

Please return to: Section for Secondary, Science, Technical and Vocational Education
Division for the Promotion of Basic Education
UNESCO, Education Sector
7, Place de Fontenoy, 75352 Paris 07SP, France

Annex 2 – Evaluation designs

Traditionally the following types of evaluation technique are employed, sometimes on their own or sometimes in combination:

1. AFTER ONLY (post-programme)
In this design, evaluation is done after the programme is complete - for example, a post-programme survey or end-of-session questionnaire. It is a common design but the least reliable because we do not know what the circumstances looked like before the programme. It tends to focus on the intervention's outcomes and impacts.

2. RETROSPECTIVE (post-programme)
In this design, participants are asked to recall or reflect on their situation, knowledge, attitude, behaviour, etc. prior to the programme. It is commonly used in education and outreach programmes but it can be biased due to respondents' faulty memory (recall bias).

3. BEFORE-AFTER (before and after programme)
Programme recipients or situations are looked at before and then again after the programme (for example, pre-post tests or before and after observations of behaviours). This is commonly used in educational programme evaluation and differences between Time 1 and Time 2 are often attributed to the programme. However many other occurrences over the course of a programme can affect the observed change besides the programme, so attribution can be difficult.

4. DURING (additional data "during" the programme) or Process Evaluation
Collecting information a number of times during the course of a programme is a way to identify the association between programme events and outcomes. Data can be collected on programme activities and services as well as on participant progress. This design appears not to be commonly used in community-based evaluation probably because of the time and resources needed for data collection.

5. TIME SERIES (multiple points before and after the programme)
Time series involve a series of measurements at intervals before the programme begins and after it ends. It strengthens the simple before-after design by documenting pre- and post-patterns and the stability of the change. Time series ensure that other external factors didn't coincide with the programme and influence the observed change.

6. CASE STUDY
A case study design uses multiple sources of information and multiple methods to provide an in-depth and comprehensive understanding of the programme. Its strength lies in its comprehensiveness and exploration of reasons for observed effects.

7. FORMATIVE EVALUATION
This is conducted during the planning stages of an intervention to identify and resolve intervention and evaluation issues before the programme is widely implemented. Formative evaluation should help ensure that the programme is based on identified needs.

Using comparison sites with no intervention

Although budgetary, logistic and other resource constraints usually make it prohibitive, it is worth bearing in mind that all of the above designs, can theoretically be strengthened by adding a comparison - another group(s), individual(s) or site(s).

Comparison groups refer to groups that are not selected at random but are from the same population. (When they are selected at random, they are called control groups.) The purpose of a comparison group is to add assurance that the programme (the intervention) and not something

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else caused the observed effects. It is essential that the comparison group be very similar to the programme group. **Be warned: within a real life context this is VERY hard to achieve!** Moreover, this methodology may be rejected on ethical grounds since it can increase inequalities between groups and may lead to rivalry
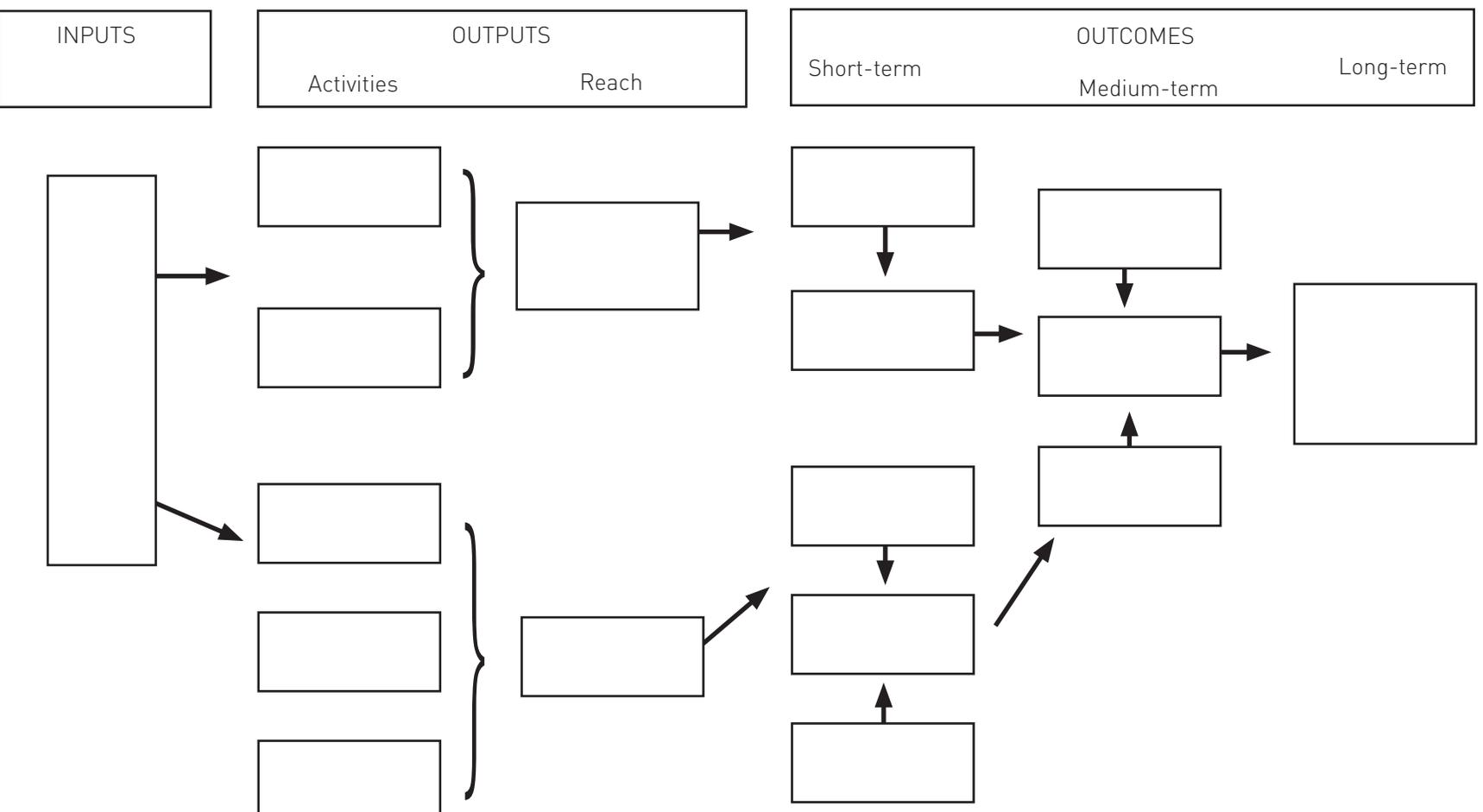
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Annex 3 — Glossary of terms

Analysis
Using data collected during research to arrive at "results" which can be used to present a picture of project impact and outcomes. The analysis should provide insight into the basic principles on which the project has operated. Analysis should include data from a range of sources with appropriate "weighting" given to each source, dependent on reliability of data.

Beneficiary
This term refers here to the community at whom the intervention is aimed. Beneficiaries should not be viewed as passive recipients of aid but rather as active partners working towards a common goal.

Community
A local community is a fairly small group of people who share a common place of residence and a set of institutions based on this fact, but the word 'community' is also used to refer to collections of people who have something else in common (e.g., national community, donor community).

Empowerment
This is the capacity that people have to make choices. In practical terms, it describes a process in which feelings of being powerless are developed into actions that can achieve changes in social and physical environments. It is a central idea in community development (Bruce, N. *et al* 1995).

Evaluation
The systematic collection of information on which to base judgements which will help inform decisions about planned, ongoing or future programmes. Evaluations should provide evidence relating to project impact.

Methodology
The study of methods (the tools of research).

Monitoring
Monitoring relates to the ongoing review and collection of data of a project/intervention, which will contribute to the overall evaluation and help to determine whether anticipated outcomes are being met.

Participation
Participation refers to involvement of stakeholders in the project i.e. funders, staff, project participants, local community, local government, etc. A participatory evaluation is one where all these different groups have a say in the evaluation process. This may involve planning, carrying out research or deciding how the evaluation is acted upon. The process can lead to increasing local people's involvement in and ownership of the project. The type of tools used in participatory evaluation will be similar to those used in qualitative research. What is important is the space created for open, honest discussion among a range of stakeholders.

Participants
Members of the community concerned by the project, towards whom the project interventions are directed, who are actively involved in project development, implementation, monitoring and evaluation.

Research
The investigation or search for knowledge. There are two forms of dominant research methodology: qualitative and quantitative.

Qualitative Research
Qualitative methods are drawn largely from the fields of sociology and anthropology and rely on observation and in-depth study largely through interviews with key respondents. Reasoning is achieved through building up an overall picture by putting together information from different sources.

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Quantitative Research   Quantitative research is based on a more positivist, empirical tradition. Research methods depend on precise measurements generally achieved through highly structured and controlled means of collecting information. Reasoning and interpretation is mainly carried out using statistical techniques to test predetermined hypotheses about how key variables might be related.

INPUTS	OUTPUTS		OUTCOMES		
	Activities	Reach	Short-term	Medium-term	Long-term

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Annex 5

Evaluation Plan Worksheet					
Focus What will you evaluate? You may select the whole project – or one particular aspect of it.					
Questions What do you want to know?	**Indicators/ Evidence** How will you know it?	**Timing**	**Data Collection**		
			Sources Who will have this information?	**Methods/ tools** How will you gather information? What tools will you use?	**Sample** Who will you question?
1.	1.a b c				
2.	2. a b c				

Adapted from: Evaluation Plan Worksheet located at http://www.uwex.edu/ces/pdande/evaluation/index.html

Annex 6 – Guide to conducting an in-depth interview

Focus group and in-depth interviews should strive to create a relaxed environment by providing a comfortable setting to establish the right atmosphere. Think about how people are sitting, reduce the potential for disturbances, and arrange furniture/props with care.

Rather than a questionnaire, qualitative research uses a topic guide, which acts as an aide mémoire allowing in-depth and free-ranging discussion. The researcher's role should be mainly to guide the conversation, letting the respondents talk freely around the subject but bringing the conversation back if it veers off at too much of a tangent. It is usually best to start with questions that the interviewee can answer easily and then proceed to more difficult and sensitive topics.

People are likely to come along to the interview feeling slightly anxious about what to expect. It is important to explain fully at the start what the aims of the interview are, what type of information is sought, and what use will be made of it. Point out that there are no right or wrong answers. Each respondent should be given the chance to speak within the first few minutes of the group - leaving people any longer than this is likely to enhance their anxiety rather than reduce it.

In general, the more similar the interviewer is to the respondents, the more relaxed and open they are likely to be. For example, people may feel more comfortable talking to someone of the same sex about their sexual behaviour. However, there are no hard and fast rules and each project should be considered separately.

It is also important that the interviewer comes across as being independent and not as having a vested interest in the results. It is more difficult for respondents to express their true feelings about a particular service or product, for example, if they are being interviewed by a provider of that service.

It is almost always preferable for interviews to be recorded and transcribed. This means that the moderator can concentrate on the interview rather than on taking notes, ensuring that nothing is missed and that all interesting leads are followed up. Clearly, the interviewee's permission should be sought before recording an interview, but most people will agree to having an interview recorded, especially if they are reassured that the tapes will only be used by the researchers for analysis, and that they will not wake up to hear themselves on the radio the next morning! It is vitally important to use good quality equipment which has been tested beforehand and with which the interviewer is familiar. New batteries are usually advisable since it is unlikely to be noticed if they run out halfway through and it is very distracting if the interviewer has to keep checking that the tape is still running. **Be warned, however,** transcription is a very time-consuming process!

Stimulus material

Stimulus material refers to any product that is introduced during (or before) the interview to generate discussion. This may include photos, newspaper articles, familiar objects, anecdotes, etc.

A common exercise consists of presenting respondents with a series of statements on large cards. Respondents are then asked to sort these cards into different piles depending on, for example, their degree of agreement or disagreement with that point of view or the importance they assign to that particular aspect of the service. Such exercises force participants to explain their different perspectives. The final layout is less important than the discussion it generates.

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