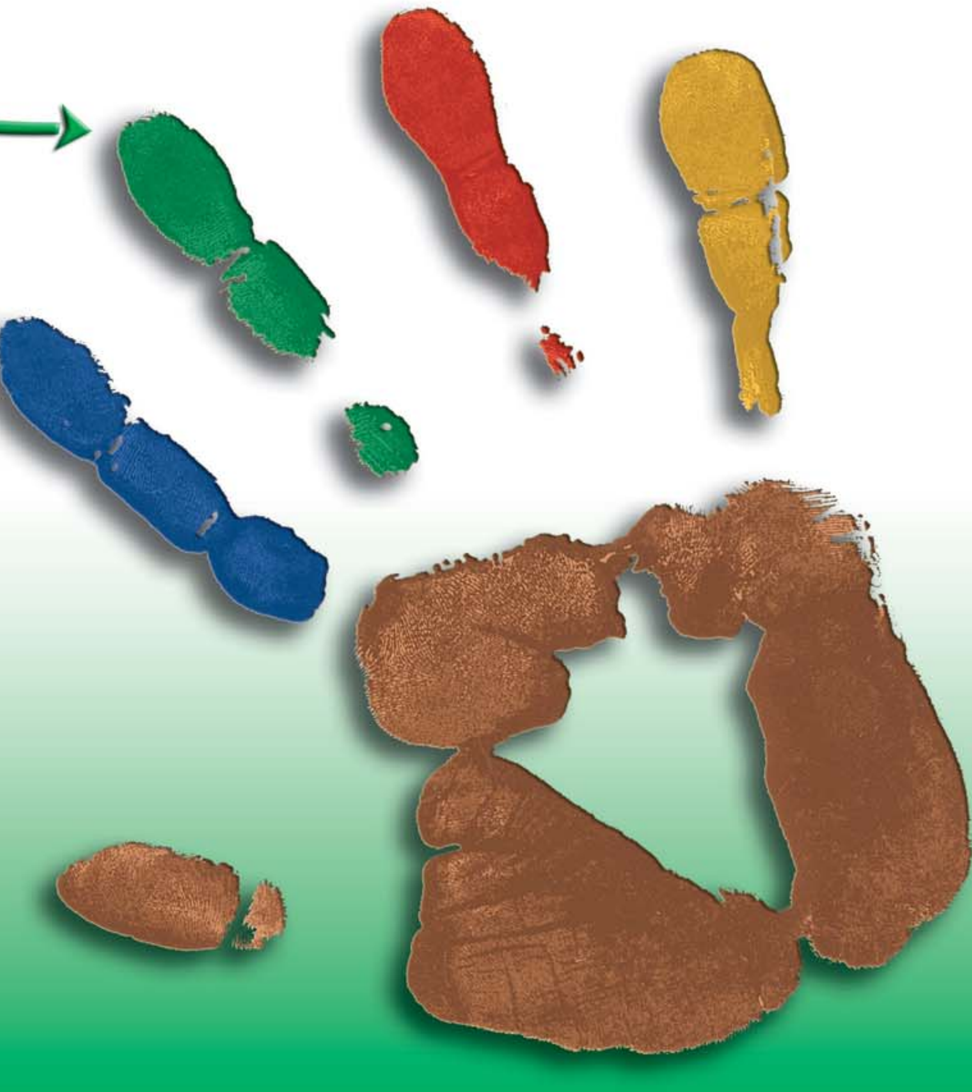
The New Toolbox

A Handbook for Community Based Organisations

VOLUME 2
Vision Building, Planning and Evaluation



DEPARTMENT OF HEALTH

DFID Department for International Development
British development co-operation

THE BARNABAS TRUST

by Camilla Symes

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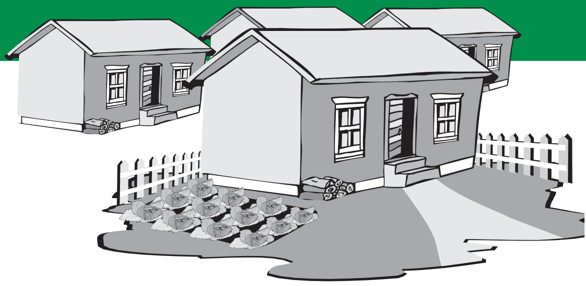

General information about what you will find in this book.

1.1 Vision Building and Analysis

In this first section, we will introduce you to simple techniques that will help you to answer the questions; "Where are we as an organisation?", "Where do we **want to** be / what is our vision?"; "What is stopping us?" and "what do we **have to** do to get there?"

Situational Analysis - Step 1

The section will start by taking you through an exercise that can be used as a tool for a simple analysis of the situation in the organisation. This will help you to answer the first question; "Where are we?"

Vision Building - Step 2

To answer the next question, "Where do we want to be?", you will be introduced to a simple, participatory way of developing a shared vision and vision statement for your Community Based Organisation (CBO).

Problem Solving

Finally in this first section, we come to the question "What is stopping us?". To answer this question, you will be shown how to identify the root causes of the problems you have discovered that you are experiencing as an organisation and how to solve them using a simple problem solving model.

1.2 Strategic Planning and Implementation

Strategic Planning - Step 3

Once you have a clear vision and a good idea of what the problems are that you are facing as an organisation, and what is causing them, you are ready to make a strategic plan. Your strategic plan is your own CBO's unique answer to the third question; "What do we need to do to get there?"

This strategic plan is a list of general goals that lay out the direction that the organisation will be taking over the next 3 to 5 years. These general goals are based on a combination of what you **want to do** to meet the vision of the organisation, and what you **have to do** to keep the organisation healthy and to overcome barriers and problems you are experiencing in your existing work. It may help you to think about each of your general goals as a heading for an implementation plan.

Action Planning - Step 4

In this section we will show you how to make the strategic plan come alive by introducing you to some simple participatory techniques to break these general goals (from your strategic plan) down into a short list of specific goals. Specific goals need to be simple, measurable, attainable, short term (1 year or less) and have deadlines by which they must be reached.

So the action or **implementation plan** for one of your general goals, is simply the list of ideas that you have thought of as ways to reach that **general goal** which has been made into **specific goals.**
Plus a list of **steps** that you think you need to take to reach your specific goal.

Agreeing steps for specific Goals - Step 5

Plus a list of **jobs** that have to be done to take each step and a record of **who** you have decided **will do each job** by **when, (the job timetable).**

The Job Timetable - Step 6

Also in this section, we will introduce a simple way of working out a **budget**

Implementation – Step 7

And we will look at implementation issues, especially, why projects fail.

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1.3 Monitoring and Evaluation - Step 8

The final section of this book will look at simple ways to check that the work you planned to do is actually being done (monitoring), and that it is effective, relevant and is having a positive impact in the way that you intended and expected it to. So in this last section we will look at monitoring, evaluation, collecting base line data and how to set and use indicators.

The book is set out according to the 8 steps of planning that we have describe briefly above, and that are shown in the diagram below. If you need to know where you are, just look at the chart at the bottom of the page, and the shaded box will tell you which step we are on.

1.4 Introduction to Planning

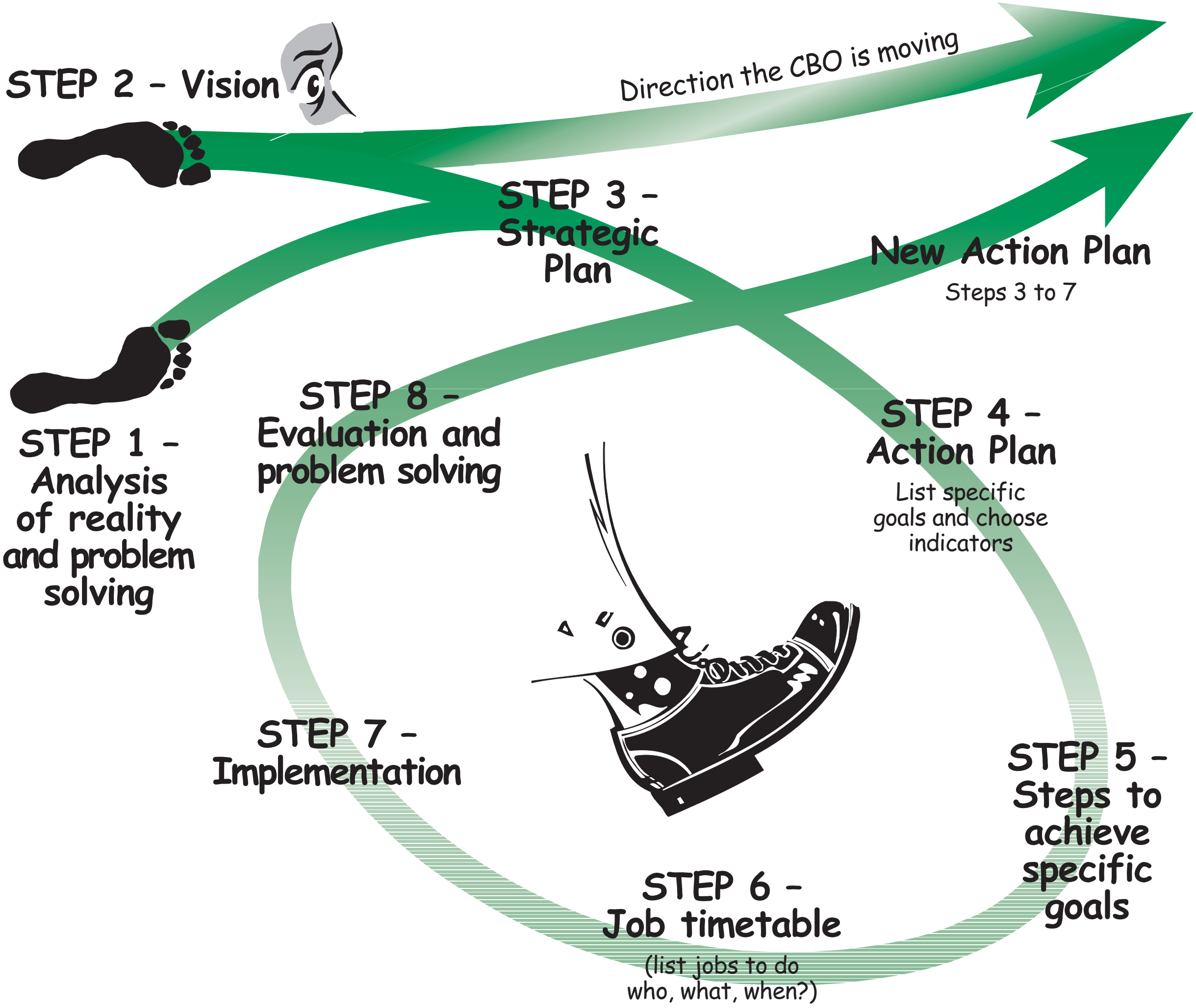
WHAT YOU NEED TO KNOW

Why Plan?

Planning and evaluation are basic life skills. We plan and evaluate for two reasons. One is the practical business of getting the job done. If a CBO does not plan and evaluate its work it will probably never make a lasting, meaningful contribution to the community.

***Wise Words!**

"If you aim at nothing you will hit it!"
Anon



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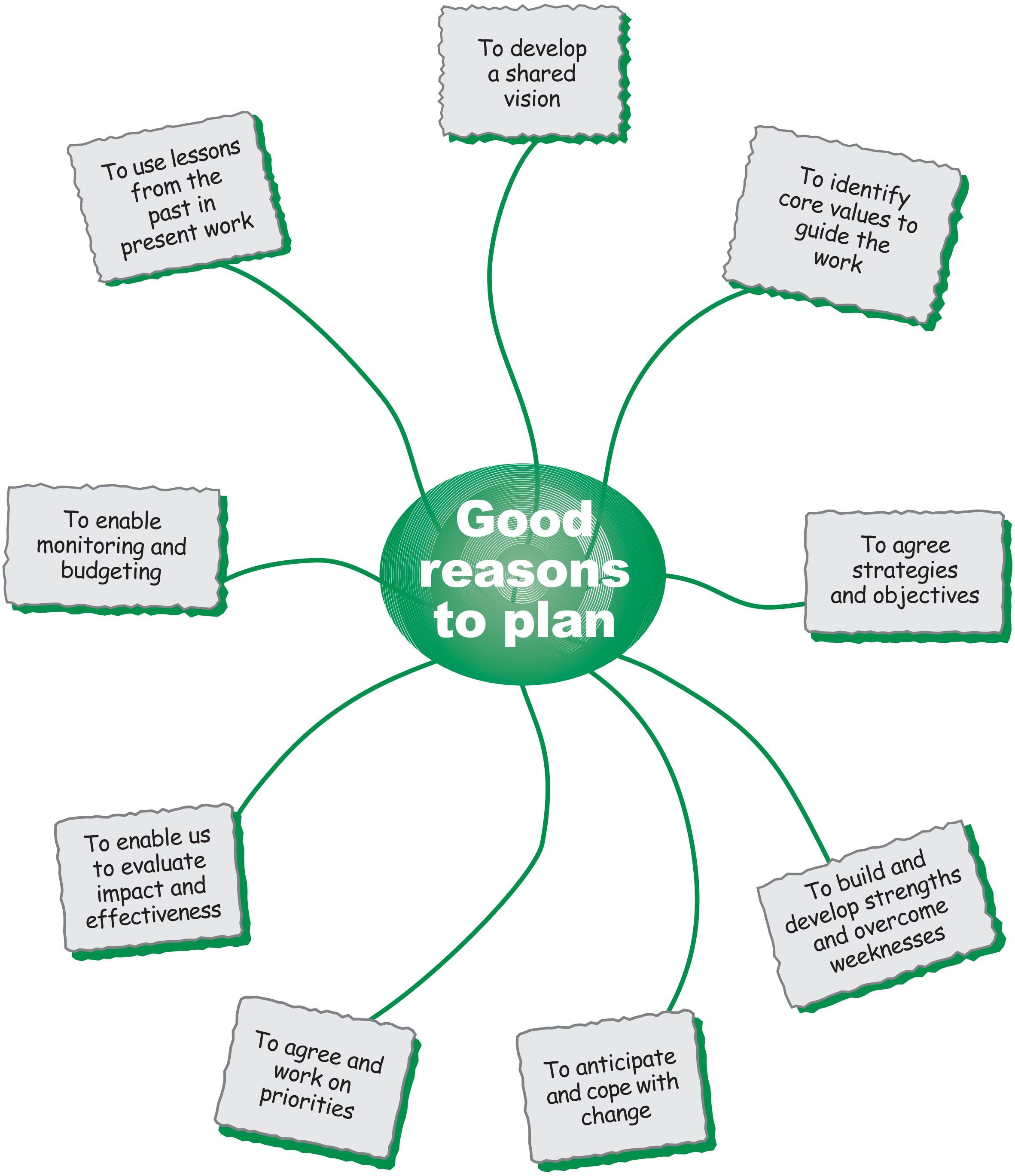
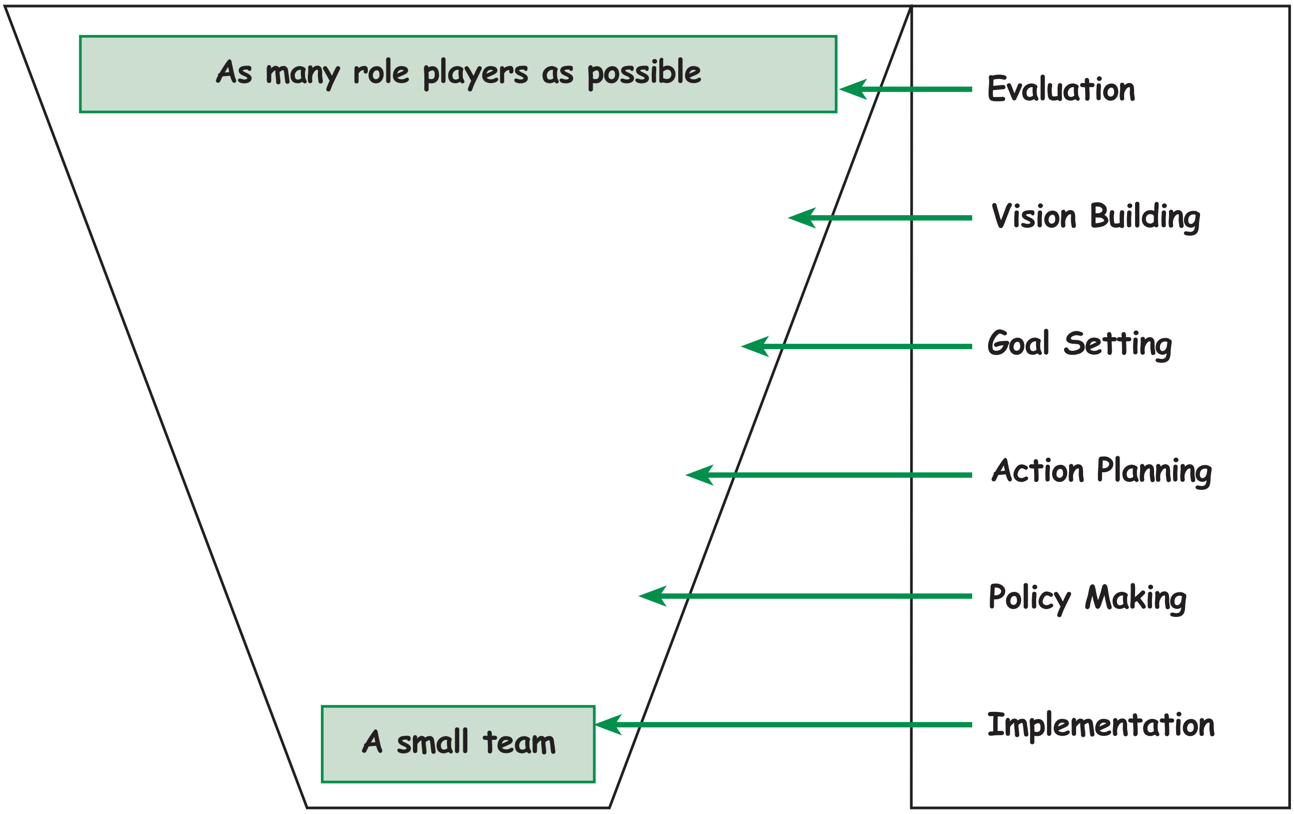
The second reason we plan and evaluate is to do with the life and health of the organisation. CBO's are like people, they need something to live for. If nothing is ever achieved, and there is no sign of progress, the CBO will loose it's volunteers, fall apart and die.

So in this section we will look at planning, what has to lie behind it (the vision and long term goals) and how to do it in response to priority needs, using resources efficiently in a cost effective way.



1.5 Who should be involved in planning?

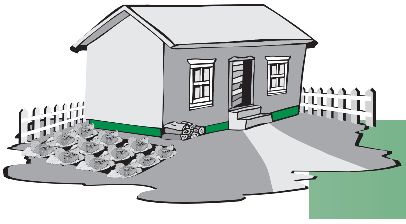
As a rule, the more important the decision, the more people in the organisation should be involved in it. As many people as possible need to be involved in the broad areas of the life of the CBO; like the vision, the strategic plan/ the general goals, setting indicators and the evaluation process, because this builds the sense of ownership and commitment of the staff and volunteers, and makes the organisation healthier and stronger. However, this rule needs to be balanced with some common sense. Not everyone needs to be involved in the decision to buy new photocopy paper, that kind of thing makes for long, boring meetings, not an empowered CBO!! The diagram below shows the suggested pattern for participation.



The balance between delegation and participation.

(This diagram was adapted from Training for Transformation book 3 by Anne Hope and Sally Timmel, published in 1984 by Mambo press, Zimbabwe.)

IDENTITY



Vision Building - The purpose of the Organisation

2.1 Introduction to Situational Analysis and Vision Building

WHAT YOU NEED TO KNOW

Every person in every organisation should know why it exists and what it is there to achieve.

This first section will help you to look at the identity of the organisation. Identity is very important because, like the foundations of a house, the core vision and values of the organisation shape it's purpose. this in turn which should shape it's strategies, and through them the development of and decisions about it's project activities (and the attitude with which it carries them out), and these in turn dictate the structures and systems it will need to support them.

Once an organisation's vision and core values are in place, they should stay the same. They are the focus of the organisation. How it works to achieve its it's vision can change over the years, but the overall vision should remain the same.

* Story

For example, an organisation in the UK decided some years ago that its primary vision is to assist children. When it was founded there was a war on, and its primary role was to airlift them out of that war zone to safety and find new families for orphans. However, once the war was over, it was no longer appropriate to take the children out of the situation, and the best way to help them was to develop the communities in which they live and help them re-build their lives in the post war situation.
The vision to help the children had not changed, but the way in which the organisation functioned changed completely because the situation had changed.

STEPS 1 AND 2 – OUR SITUATION AND OUR VISION

This exercise is designed to enable the participants to identify and analyze the most important issues confronting them in their organization, and to give them the tools that will help them to articulate a common vision/direction and start them on a participatory problem solving and planning process towards it.

The exercise can be used in different ways with different groups, organizations and parts of organizations. In the Barnabas Trust mentoring scheme, we use it with the leadership of the CBO that is being developed along with the mentor assigned to them.

The pictures that come out of this exercise are very important and can be developed into a logo or letter head for an organization.

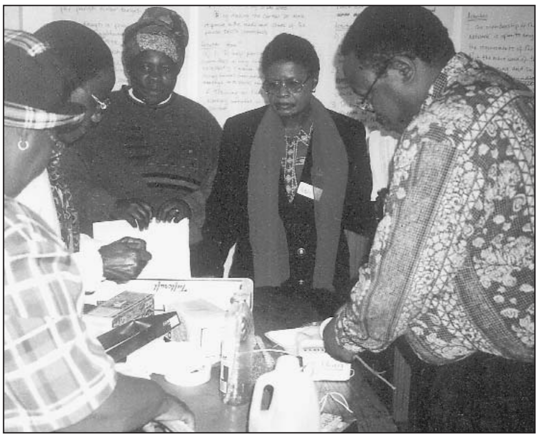
Equipment: A piece of A4 paper for each participant with a circle drawn on it; two large pieces of newsprint for each group, with a large circle drawn in the middle of each one; plenty of coloured pens and koki pens. We also recommend that you provide a table for each group to work on.

Instructions

a) **Analysis of reality (Step 1) -** Give everyone a piece of A4 paper with a circle in the centre, and ask them to imagine that they are trying to communicate with someone who does not speak their language, about their own particular Community based organization (CBO). Ask them to draw a picture or symbol inside the circle (using it as a frame for the picture), which shows what the organization is like from their own point of view They must show what it is really like not what they wish it was like.

b) Give the participants about 10 minutes to draw their pictures, and then ask them to sit with the other people from their department or group within the CBO (management/volunteers/staff etc). They need to explain what they have drawn and why to the other people in their group. When they have all done this, give each group a large newsprint with a big circle drawn on it, and ask the participants to draw a new picture or series of pictures in the circle, which combines all the ideas behind the pictures drawn and explained by the individual group members. The result is a common poster which represents the real situation in each CBO as the members of that group see it.

c) Now ask the groups to answer the following questions;
- **What are the strengths of your CBO?**
- **What are the weaknesses of your CBO?**
- **What 3 key problems are holding your CBO back?**



Tell the CBO representatives to write their answers on their poster. Then call the groups back together, and get each group to use their poster to explain the real situation in their CBO to the others. When they have done this, they can also list the strengths and weaknesses that they identified. After each report, allow a few moments for discussion and comments from the other participants.

When the report back is finished, put the posters up on a wall together. This is a picture of the organization as it is today.

d) **Vision building –** (step 2) Now give each group a new newsprint, again with a circle in the center of it, and ask them to draw their ideal vision for their CBO. A picture of what they wish it could be like. Encourage them to dream and to add details to their pictures. As before, they could do one big picture, or many small ones together.

e) When they have finished, ask them to label the different parts of their picture so that it can be easily understood at a glance.

f) In order to come up with one overall vision statement for the CBO, ask each group to describe "**what we see"** represented in the picture in a sentence of approximately 20 words. Then call the groups together and ask them to describe their pictures to the other groups as before and to share their vision statements. As they do this, ask each participant to write down key words and phrases which they hear as they listen to the other groups describe their vision pictures.

g) In order to come up with one overall vision statement for the CBO, ask the participants to call out the key words/themes they noted for each group during the report back. Put the name of each group on a clean piece of newsprint, and write the key words/themes that the participants heard on it. These key words and phrases are the **values** that lie behind the **vision** for that particular area of the life of the CBO. If something is mentioned more than once put a mark next to it every time is mentioned. Then take the four most popular (most mentioned) key words and phrases from each area of the life of the CBO and put them together onto a new newsprint for the whole CBO.

J) Once you have a newsprint with the top 4 values (key words/themes) from each group written on it, ask the groups to write a new vision statement for the Organization of +- 20 words, including as many of these values as they can.

When they have done this, get each group to present their vision statement to the other participants.

k) Finally, number the vision statements, and **give each participant a small piece of paper. Then ask the participants to vote secretly for the statement they think is genuinely the best (not just for the one they themselves wrote!) By writing that statement's number on their piece of paper** and handing it in.

After the count, announce the winner!

This winning vision statement is not sacred and can be adapted slightly after the process if the leadership feel that it needs to be. However, to keep the feeling of ownership, make sure that you use the winning vision statement as the recognizable basis for the vision statement for the organization and try to keep the wording as close to the original as possible.

This exercise takes approximately 4 hours.

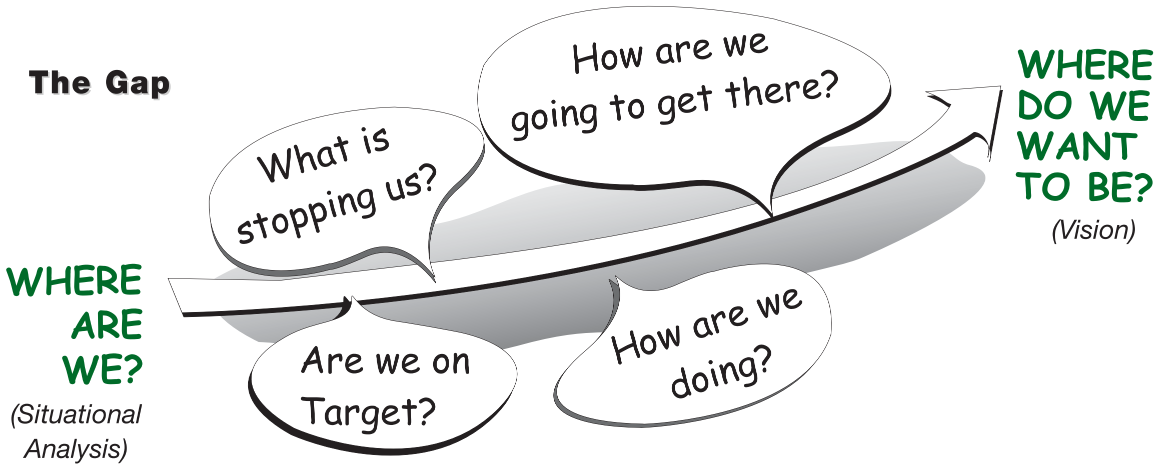
2.3 Problem Solving – Step 2

WHAT YOU NEED TO KNOW

A problem is defined as the gap between how things are and how they should be. So once you have discovered where you are (situational analysis) and where you want to be (vision building), you are in a perfect position to look at the gap between the "two places and ask: "What is stopping us/holding us back?". In other words, "what are our problems and what is causing them?" And then, "How are we going to get there?". The answer to this will be your action planning process.

(On the journey, from where we are to where we want to be, there are other questions which need to be answered. But we will look at them in more detail under monitoring and evaluation in the next chapter).

The next section is on problem analysis, will take you through a detailed look at the problems the organisation is facing and developing simple strategies to solve them.



Notes

The next part of this planning process is based on your answers to the 3rd question asked in section c of the previous exercise - "What 3 key problems are holding your CBO back?"

2.4 *Activity - Problem Solving – Step 2

"What is stopping us?"

Activity

Notes

The activity below will give the CBO representatives a tool for looking at problems and problem solving in a new way. The basic message of this section is that every problem has a range of root causes, and so to solve it, you will need to find out what they are, and then plan a range of initiatives and activities that are designed to address and solve the deeper problems that cause the key problem, that you are needing to solve.

The Problem Tree

Any initiative in any community has its own related problems. A good tool for exploring the things that stop progress in any chosen area, is the problem tree. These trees are very useful, because they give the community and the people working with them a deeper and clearer understanding of the root causes of the problems they face, so that they can address the true causes not the symptoms of their problems. The tree can also be seen as a tool for strategizing/planning when each problem is re-stated as an objective.

IDENTITY

To develop a problem tree you need to start with a problem issue and then dig deeper to discover the root causes of the problem using a simple technique called the "but why?" method.

* Worked Example

For example, let us look at the issue of "a lack of capacity" in a CBO that is running an AIDS home based care program in South Africa.

There is a lack of capacity to do the work in the CBO. **But why?**

Because very few of the volunteers we train stay with the project. **But why?**

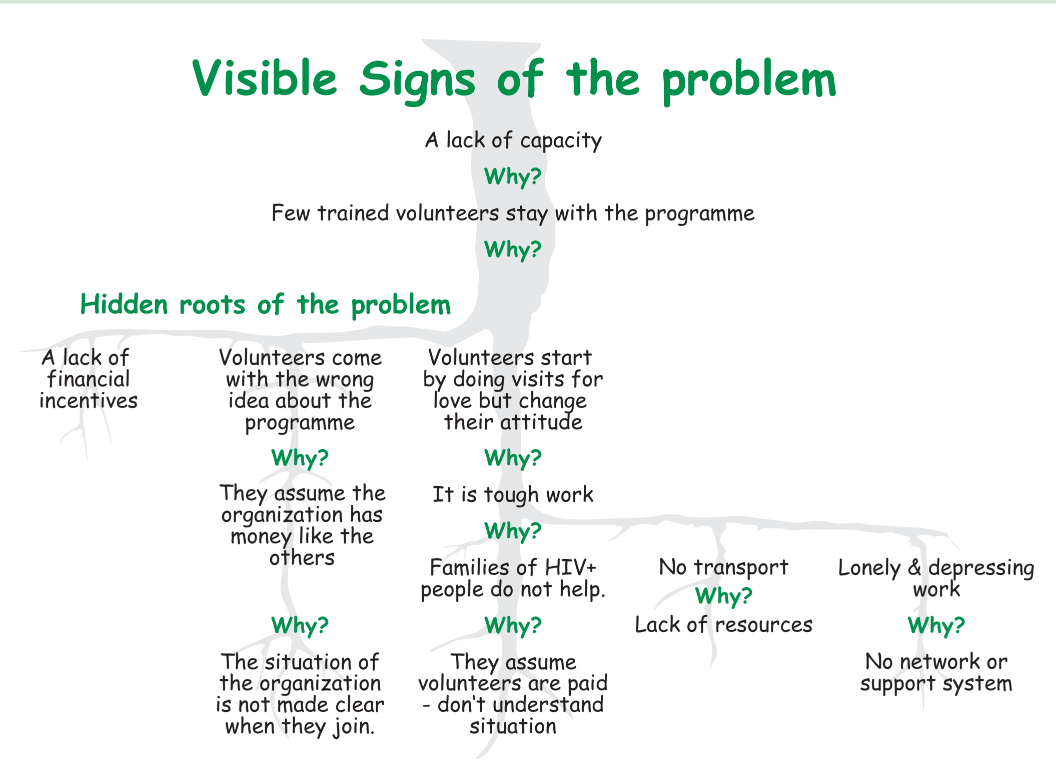
The volunteers come with the wrong idea about the CBO and how we work. **But why?**

Because they assume that the organization has money like the others. **But why?**

Because the situation of the organization is not explained to them before they join the volunteer programme.

What other factors lead to a lack of capacity?

When all the factors contributing to a lack of capacity have been explored, the problem tree looks like this.

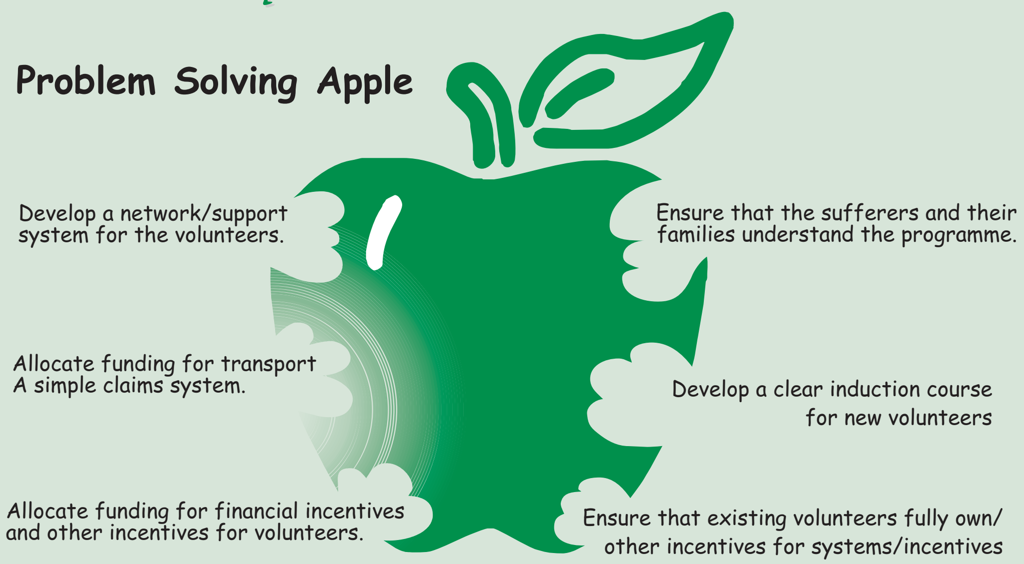


Once we have a problem tree like the one on the previous page, we can look at ways to solve the problems we face, bearing in mind that solving a problem is like eating an apple. We never eat an apple by repeatedly biting the same area, we eat it gradually, taking bites from all over the apple until it is finished.

The problem tree above helped the CBO that produced it to identify five key areas in which they needed to work to solve their capacity problem. Firstly, they needed to look at their problem of lack of financial incentives; secondly, they needed to set up a system to help new volunteers to understand the financial situation on the CBO; thirdly, they needed to put the families of the AIDS sufferers they assist through some kind of induction programme so that they understand and appreciate the volunteers; fourthly, they needed to resolve the transport issue: and fifthly, they needed to create opportunities for the volunteers to network and to receive counseling and emotional support (see the problem solving apple shown below).

As we all know CBO's usually have limited funds available for their work. But even if they had used all their funding to bribe the volunteers to stay with the organization, their capacity problem would not have been fully solved. (And a great many other problems would have been created!) This problem analysis enabled them to see how they can use their money wisely in order to solve their key problem, which in this case was a capacity problem by working on it's causes, while at the same time, leaving some resources available to pay for the other costs that they need to cover every month.

** Worked Example Continued*



Now go back to your own key problems, choose one that you particularly want to solve and as a group, analyze the problem using the Problem Tree and Problem Solving Apple techniques, described above. At the end of the process you will have a list of the key problems that the organisation is facing and their root causes

Planning and Implementation

3.1 The Strategic Plan - Step 3

WHAT YOU NEED TO KNOW

The Planning and implementation process starts with the strategic plan, which answers the question, “What do we need to do to get there?”. “There” being a healthy organisation working effectively according to its chosen vision and values.

Your strategic plan is just a list of general goals that shows the direction that the organisation will be taking over the next 3 to 5 years. These general goals are based on a combination of; what you **want to do** to meet the vision of the organisation, and what you **have to do** to keep the organisation healthy and to overcoming barriers and problems you are experiencing in your existing work. It may help you to think about each of your general goals as a heading for an action plan. The worked example below will show you how your strategic plan fits into the whole planning process.

General Goals from Vision

(What we want to do)

+

General Goals from Analysis of reality and problem solving

(What we have to do)

=

Strategic Plan

3.2 The 8 Steps of Planning

* Worked Example

This page shows how planning can be done by following a series of 8 steps from the vision and strategic plan, through action planning to the individual job timetables for each step.

Real Situation – Step 1

Trained volunteers are leaving the programme because:

1. They are not paid.
2. They are not supported emotionally in the work.
3. They are not receiving appreciation and support from the families of the people they are assisting.

Vision – Step 2

To improve the quality of life and health for those suffering with HIV/AIDS in our community and to prevent it's spread.

Strategic Plan/General Goals – Step 3

1. To ensure that there is adequate, compassionate Home Based Care (HBC) for the people suffering with AIDS in our area.
2. To build the capacity of the organisation, by increasing the number of volunteers.
3. **To improve the skills, morale and the working conditions of the volunteers we have.**
4. To develop our relationship with the local clinic and other key local role players work in co-operation with them.
5. To develop the resource base of the organisation especially in terms of stable funding.

Action Plan – Step 4 Specific Goals for General Goal Number 3

1. To arrange one week of refresher training in HBC for the volunteers (by the Dept. of Health) by the end of September 200Y.
2. To develop induction courses for new volunteers joining the programme by the end of April 200Y.
3. **To develop a leaflet about the CBO and the HBC programme that can be used to explain it to new families by Dec 200X.**
4. To set up a support programme for the HBC volunteers in our area by 1st March 200Y.
5. To Source and allocate funding for transport and a small stipend for the volunteers who qualify in terms of hours and training by June 200Y.

Steps to achieve – Step 5 specific Goal 3

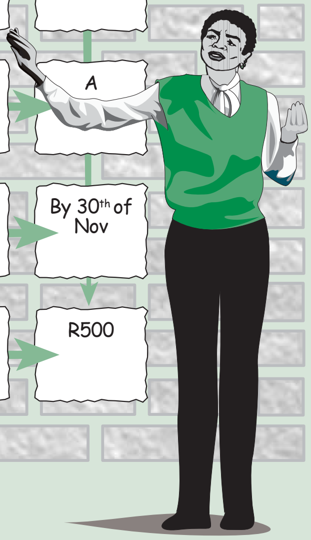
1. Meet with staff to agree what information must be in the leaflet.
2. Agree a budget and allocate funding.
3. **Design and produce the leaflet.**
4. Train staff to present the information using the leaflet.
5. Distribute it to families on the programme and start giving it to all new families.

** Worked Example Continued*

Step 6 The Job Timetable to:

"Design and Produce a leaflet"

	Step1	Step2	Step3	Step4	Step5	Step6	Step7
Jobs to do	Agree content	Get quotes from designers	Select designer and design	Edit draft	Final draft	Print 1000
Who?	Staff	A	B and C	ABC and designer	Designer	A
By When?	By 1st of Nov	By 7th of Nov	By 10th of Nov	By 17th of Nov	By 20th of Nov	By 30th of Nov
Cost?					R200	R500



The budget for this job plan is therefore R700

Step 7 Implementation – actually doing the job!

Step 8 Evaluation of progress/impact

3.3 Setting Specific Goals – Step 4

These specific goals are the heart of the planning process, and if they are not clear, it will be very difficult to get the job done and even more difficult to monitor and evaluate progress. They should be **SMART!**

Specific goals must be

1. **S**imple – Easy to understand and specifically related to one problem.
2. **M**easurable – Possible to assess by using indicators that can be counted.
3. **A**chievable – Not too easy, but easy enough so that the group has a good hope of success.
4. **R**ealistic – Agreed based on a realistic look at the capacity and resources of the CBO.
5. **T**ime limited – Given a date by which they should be met.

Another important point about specific goals is that, when you come to writing project proposals, it is the goals that the donors turn to and ask the following questions:

1. Are the specific goals realistic?
2. Can they be done in the time given?
3. Is the budget reasonable for the specific goals?
4. Are they worth investing in? / Are they in line with our funding priorities?

So if your specific goals are not clear, simple, measurable, reasonably achievable and limited by a time limit or deadline (preferably less than a year) and properly costed/ budgeted, you stand little chance of getting funding.

Notes

Below we will take you through some simple participatory exercises that will help you and your staff/volunteers to follow the first 6 steps of this 7 step planning process together. Step 7, which deals with monitoring and evaluation, is dealt with in the next chapter.

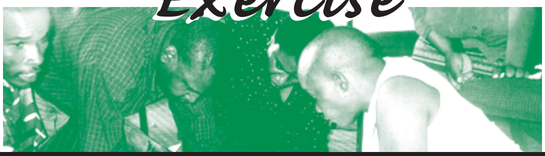
***Wise Words!**

Planning technique is very simple and based on brainstorming. The two golden rules are:

1. **Do not attempt to plan for more than one general goal at a time.**
2. **Write all your planning down otherwise you will forget it.**

3.4 An Introduction to Planning

Exercise



The Planning Case Study

Notes

Below you will find an exercise which will enable the participants to bridge the gap between identifying their key problem and its root causes, and planning a strategy to solve it effectively.

Instructions

Ask the participants to listen carefully while you read the story below and ask the questions.

Equipment: Newsprint, pens, tape, a good supply of A5 paper in 3 different colours (if coloured A5 is not available, use white paper and write with 3 different coloured pens).

The Planning Case Study

Mr A, Mrs B, Miss C and Principal D are walking around their school. As they walk, they see some litter around on the floor, and they start to talk about the mess; the danger of having broken glass around; the smell and the unhealthy environment.

"We have a real problem with litter in our school and our community!" says Principal D, "it looks awful and people do not seem to care about it or even to notice it".

The group go on to discuss what should be done about it. Mr A says, "The Metropole should do something". Mrs B suggests that, "Maybe it will wash away with the next rain." And Miss C adds that she hopes that everyone will realise that they must stop dropping litter on their own.

The group go on discussing the problem, and they conclude that realistically, if they want the problem to go away, they will have to do something about it themselves.

"But what are we going to do?", asks Principal D.

"First we need to decide exactly what we want". says Miss C.

"We really want a clean, healthy, litter free community, don't we?"

"Yes we do" agrees Mr A. "That would be wonderful, but it is a big general goal, we'll never achieve that!, lets look at our school first and set ourselves a limited, specific goal that we think that we will be able to manage. .. a litter free school".

"Good idea, but we need to put a target date or deadline on it, otherwise we will never do it - say.. **A litter free school by the start of the year 200X",** added Principal D.

"OK, we have a specific goal statement - a litter free school by the year 200X, what do we do now?", Asked Mrs B.4

"Now we have to decide what practical steps we need to take to make our school litter free by the year 200X" said Miss C.

1. **What was their problem? (brainstorm)**
2. **What was their general goal? (brainstorm)**
3. **What was their specific goal? (brainstorm)**

Now ask the group to buzz in pairs for a few minutes and answer this question:

4. They agreed that the specific goal should be limited in two ways:-

Why do you think that it is important to make a specific goal achievable and realistic?

Why do you think that it is important to set a deadline for a specific goal?

How will the group measure their progress towards a litter free school by the year 200X?

Why is it important for them to be able to measure their progress?

After they have buzzed, note the answers that come from the group on newsprint.

Using the littering example, we have worked out that if you want to achieve a specific goal, you need to make sure that it is (SMART).

Measurable (see reasons).
Achievable and Realistic (see reasons)
Time limited (see reasons) and

And now let's return to your own CBO and the root causes of the problems that you have identified.

To make the problem solving into a reality, it is necessary to take each of the root cause problems you have identified and to work out a plan for solving it in the same way that they did it in the litter drama above.

In our problem solving worked example from the previous chapter:

The Key Problem – A lack of capacity, volunteers are leaving the programme.

The General goal might be: “To build the capacity of the organization by improving the morale and working conditions of the volunteers on the programme”.

A Root cause of the key problem – The families of the people with AIDS are not assisting the volunteers and do not appreciate their efforts because they do not understand that the volunteers are not paid for their work.

The Associated bite from our problem apple – Ensure that the HIV/AIDS sufferers and their families fully understand the programme.

Specific Goal Statement – To develop a leaflet about the CBO and a standard verbal explanation that can be given to all new families coming on to the programme by the end of December 200X.

3.5 *Activity - Action Planning - Steps 4,5 & 6

Activity

Instructions

3.5.1. Take each bite of the apple that you produced when you did the exercise on page XXX of the last chapter, and write one or two specific goal statements for one of them (like the example above). Remember that the specific goal statements need to be: related to the problem, simple, measurable, achievable and limited by a deadline.

Notes

Now is also the time to choose your indicators or signs of change, for each specific goal. You will find a simple exercise that will help you to do this on pageXXXXXX of the next chapter.

3.5.2. Now on pieces of A5 paper of a one colour, brainstorm and list the steps that need to be taken to reach this specific goal and prioritize them.

*** Worked Example Continued**

Specific Goal Statement – Step 4

To develop a leaflet about the CBO and a standard verbal explanation that can be given to all new families coming on to the programme by the end of December 200X.

Steps - Step 5

Meet with staff to agree what information must be in the leaflet and how it can be used.

Agree on a budget and allocate funding.

Design and produce the leaflet.

Train staff to present the information using the leaflet.

Distribute it to all families on the programme and start giving it to all new families.

3.5.3. The Job Timetable - Step 6

The job timetable is very simple. It is just a list of jobs to be done, the dates by which they need to be done, the names of the people who need to do them and the details of cost and other resources that will be needed.

To make sure that the job actually gets done and that you can monitor your progress, you need to take each of the steps you have listed for your specific goals and make a job timetable for each one.

To develop a job timetable:

Choose one step and then list the jobs to be done and agree who will do what by when (see below for an example). This can be done by:

a) Listing the jobs that need to be done to take the step (on A5 paper of another colour).

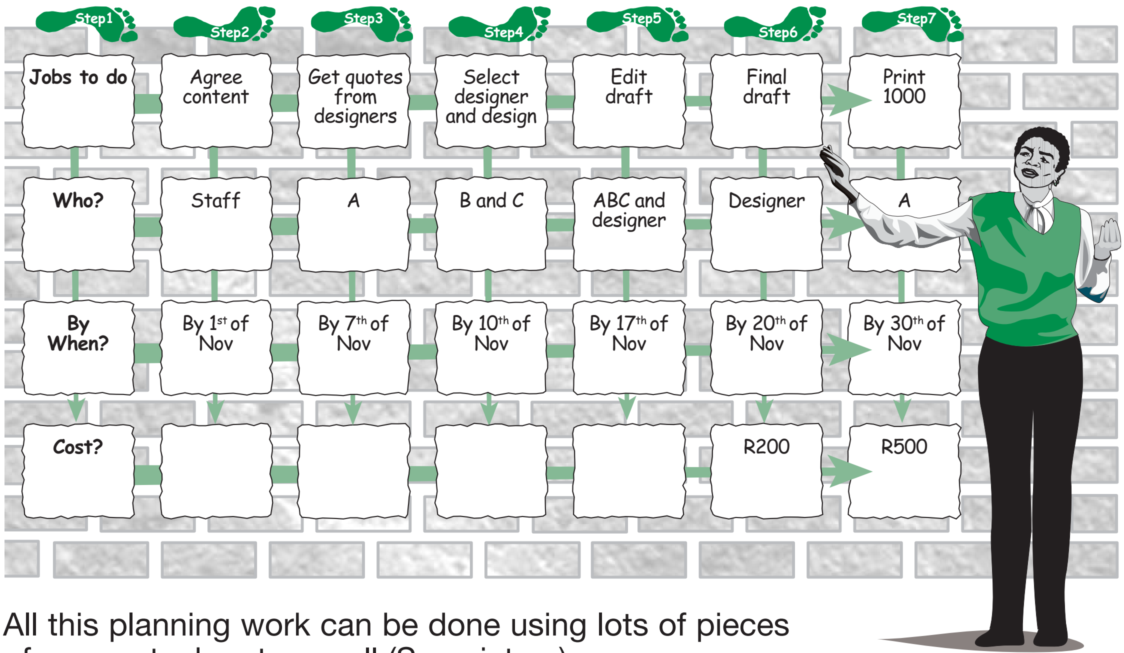
b) Putting them in order of priority in a flow diagram (see next page).

c) Agreeing: "who will do what, by when" and recording these decisions against each step.

d) Listing the resources you will need to take the step (on a third colour of A5 paper).

e) Writing how much each job in your job timetable will cost and what other inputs will be needed on a piece of paper. Stick it next to the relevant box on your plan (see the picture on the next page).

"Design and Produce a leaflet"



All this planning work can be done using lots of pieces of paper stuck onto a wall (See picture).

3.5.4. Budget

A budget is a plan for buying and allocating the human and financial resources you need to make your action plan happen.

Once you have made a job timetable for each of the steps for your specific goal, add up the money that the group have guessed will be needed to cover all the inputs and activities

- for all the job timetables
- for each of the steps you plan to take
- to reach your goal
- this is your budget for that specific goal

Now you can write your specific goal out, and put the costs you have estimated into a budget for it.

Budgets are usually written using headings or items like the ones given below:

Internal resources

Salaries (list the people directly associated with the CBO whose time will be needed for this specific goal, saying how much time will be needed and how much is will cost).

Administration (list the costs of building rentals, telephone, office supplies, photocopies etc. That will be needed, along with a small contingency fund)

External resources

Programme costs (list the hours needed and costs for outside people like: consultants/trainers/speakers, transport costs, materials, venue hire, food, printing charges etc. Anything that you plan to pay for that will come from outside the CBO to meet this goal)

If you have a budget, you have a wonderful resource. Not only does it help you to track your spending so that you can make sure that your money does not run out before the work is done, but it also gives you a good tool to monitor your progress through your action plan. We will look at monitoring and evaluation in more detail in the following chapter.

3.5.5. Implementation – Step 7

This is the part where everyone does what they agreed to do when the job timetables were being developed. Regular monthly meetings should be put into the job plan to make sure that they are followed up and given the opportunity to report on their progress.

3.6 Implementation

This is the day to day, practical job of working through the plan. It is about the management and motivation of the people who are doing the work, and we will not go into detail here, because book 4 covers a broad range of leadership and management issues that affect the running of the day to day work of CBO's.

But to keep you going till then, here are some useful tips on implementation.

3.6.1. Reasons why projects may fail

We live in an imperfect world however, and in spite of all our work and commitment, sometimes things do not go according to plan. Some of the reasons why projects fail at this stage, even when they have been planned well, are listed below:

- Key staff, volunteers and board members may leave, become ill or pass away.
- Staff and volunteers may become burnt out
- A lack of understanding about what the organization is there to do
- Conflict and misunderstanding among the role players, particularly with regard to decision making, roles and responsibilities.
- External pressures on staff and volunteers (e.g. The development of a perception that the programme is strongly affiliated to one particular political party or religious group).
- The problem solving assumptions and linkages may have been wrong or out of date
- The specific goals may have been too vague
- The job timetables may have allowed too little time
- The budget may have been calculated inaccurately
- The staff may not have received adequate support, or the task may have been too much for their current skills and abilities.
- The work load imposed by the project may be unsustainable and unrealistic
- Immediate and urgent new priorities may be established by a crisis in the community
- The community may not co-operate because they feel that the project is not theirs and that they are excluded from the decision making processes.

3.6.2. What do we do when a plan fails?

If there is a monitoring and evaluation system in place, you will know there is a problem well before it becomes a crisis.

When you discover that there is a serious problem, decide with the executive committee how best to react.

Problems with relationships

You will probably need to investigate what has caused the tension. Is it an internal management issue like a conflict among the staff, poor management or inadequate planning? Or is it an external issue like a breakdown in communication and relationship with a key individual or the whole target group?

When you know where the problem is coming from, try to use relationships and communication to sort it out in a friendly way. Look for a solution where everyone wins. Visit the key people (together with a board member if necessary). Discuss the situation and try to get an understanding of it from every angle. If necessary, consult the procedures and constitution of the organization (book 3) before you meet with the people involved.

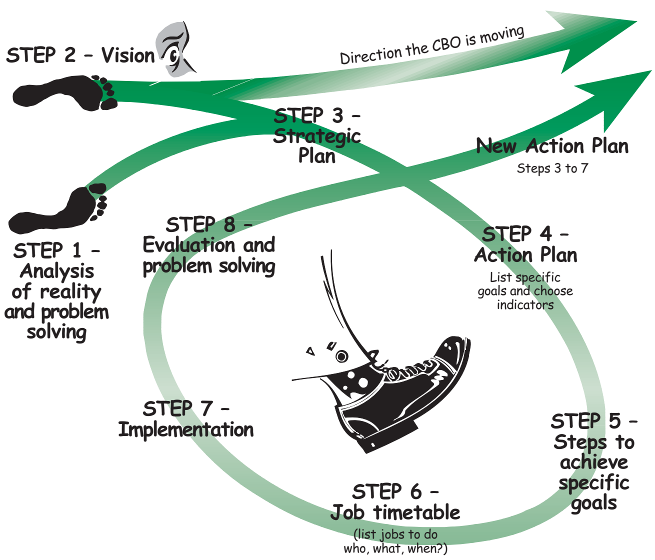
If you can, you may be able to call the key groups involved together (possibly along with an external facilitator) and ask them to do a root cause analysis and problem solving exercise like the one in this book. This is a good option, because they will undoubtedly have some good ideas about how to solve the problem. the analysis will also help it if they don't feel listened to and sufficiently involved in the decision making. this process will also help them to feel motivated, valued and back at the centre of the work again.

Problems with the plan

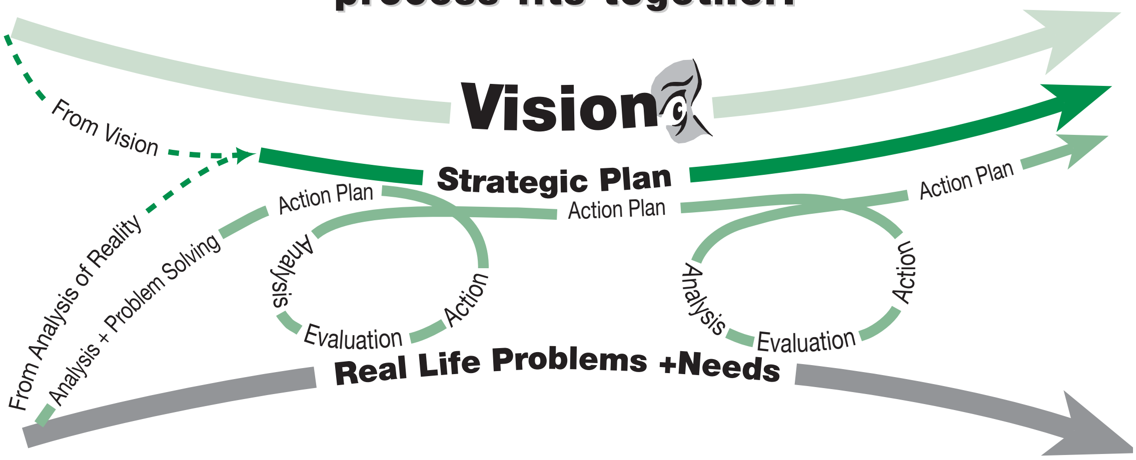
If you discover that the problem is linked to a failure of the plan, you can call a planning day to review the stages of the plan from Step 4 to step 7. By the end of your planning day, make sure that you have a list of planned actions to solve the problem. And from that day on, (if you were not already doing it as part of your monitoring and evaluation process) schedule regular planning days. We usually suggest monthly meetings of key staff to look **back** at the month's activities and **forward** at the plan that remains to be implemented.

3.7 Planning – a final word

You have seen this diagram before, it shows how planning can be done by following the series of 8 steps from the strategic plan, through analysis and problem solving to action planning to the individual job plans for each step, then on to implementation and finally to evaluation and more problem solving, which provides the basis for more action planning and the process starts all over again. The reason it is here again is to show you how this cycle fits into the life of the organisation from year to year.



3.8 How the whole vision, planning and evaluation process fits together.



In this picture The line at the top represents your vision. This vision will take you in one direction and you need to follow it.

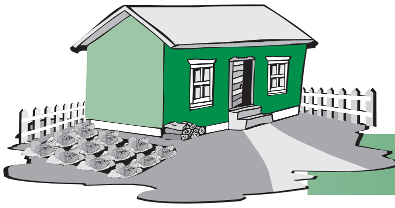
However, there is also a line at the bottom of the picture. This line represents all the issues and problems that we face in day to day life that hold us back from achieving our vision. Many of these needs are very important, but meeting them may not be what the organisation is there to do. So this bottom line is pulling us in the opposite direction.

As we have said before, the strategic plan (step 1) is a combination of what we want to do (our vision) and what we have to do (our analysis of the real situation of the organisation). Because it is a mixture of both things, it is a little more down to earth than the vision, and it is represented by the second line that runs underneath the vision line.

Steps 2 to 7 of the planning cycleare represented by the loops between the strategic plan and real life stress shown above. The cycle begins with an analysis of the real situation and some problem solving (step 2). From this an action plan and timetable are drawn up (steps 3 to 5) and the planned action is taken (step 6). But this action is always under pressure from the real situation and constraints under which the CBO has to work. So it is necessary to monitor the progress of the work and make sure it stays on track at monthly meetings during the implementation phase.

Once the action has been taken, the CBO evaluates its progress and analyses it's situation (maybe once per year) and asks questions like: "Was the planned work done?", "If not, what is stopping us?", and "Has the project had any effect /benefit for the target group?", "If not, why not?".

From this process, the CBO makes a new action plan (moves on to the next loop), making sure that all that they have learned from the evaluation of the first phase of the project, has been used in the planning of the next phase. Simple really!



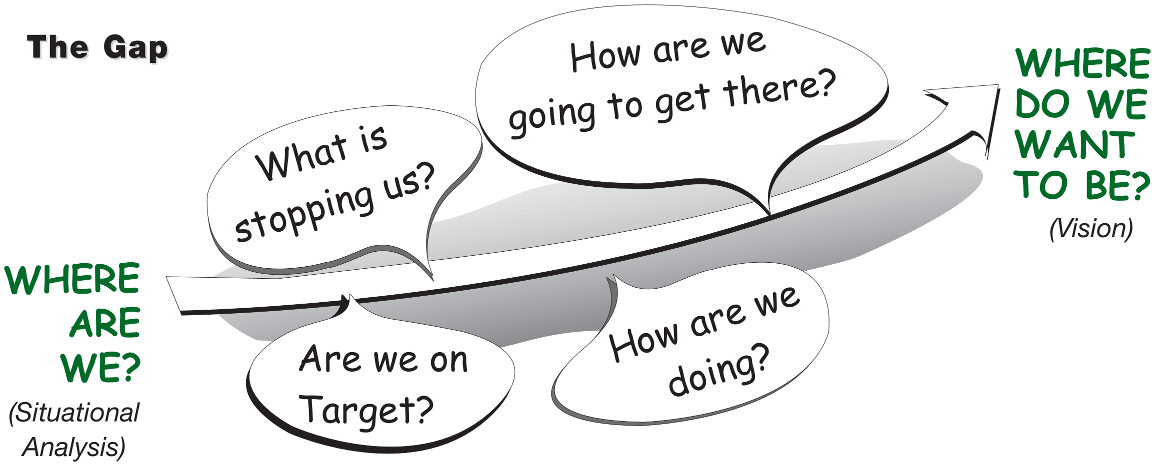
Evaluation

4.1 Introduction to Evaluation

WHAT YOU NEED TO KNOW

In the previous chapters, we introduced you to the diagram below and looked at ways of answering the first two questions in the boxes (i.e. What is stopping us? And How are we going to get there?) In this chapter, we will look at the bottom two questions that bridge the gap between where we want to be (our vision) and where we are (our current situation).

The Gap



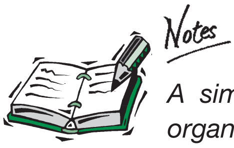
These are the evaluation questions :"Are we on target?" and "How are we doing?"

4.2 What is Evaluation?

The word "evaluation" simply means to assess the value of something. So when we talk about evaluating the work of community based organizations, we are talking about assessing the value of what they are doing through their projects and activities.

Evaluation is basically a test that shows the successes and strengths of the work/project along with the weaknesses and mistakes that have being made. This allows the CBO to judge whether the general and specific goals have been fulfilled and whether the target groups have actually benefited. It also enables them to discover whether the plan fitted the situation and whether it was sensible and workable.

EVALUATION

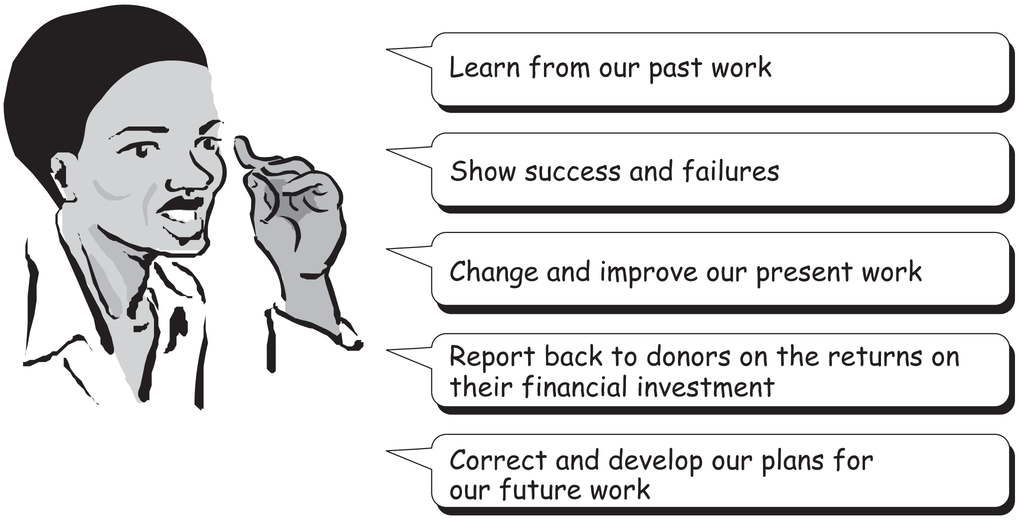


A simple example of an evaluation of the general life and activities of an organization can be found at the end of book 2 in the "Health Check" for CBO's.

Sometimes CBO's are resistant to evaluation, because they feel that it will uncover their mistakes and result in criticism and create difficulties with approaching donors. But there is no work where mistakes are not made. Certainly no work involving people! The one thing that is certain about life is that mistakes will be made!

Another certainty is that the CBO that understands this and evaluates, will be doing better, more effective work in the future than the one that doesn't. And what is more, everybody knows it, including the potential donors, who are likely to want (and have the right) to know how the money they have given the project was used and how effectively it was used. This is important to them, and they are more likely to give a second grant to a CBO that has acknowledged problems, and analyzed and resolved them openly, than they are to one which refuses to do so and has no history of evaluation.

EVALUATION HELPS US TO:



So the organization that evaluates, is simply being realistic and is sensibly using these mistakes and what can be learned by analyzing why they happened. If they know this, they can use that information to make their future plans more appropriate for the job in the light of their resources and more effective in helping their target group as they intended. And at the same time, they can use it to build a deeper more honest relationship with their donors.

4.3 *Activity - Understanding Evaluation

Activity

Notes

Here is a short enjoyable activity that clarifies what evaluation is, allows the role players to express their hopes and fears, and gets the point about participation and the need for evaluation across quickly.

Instructions

1. Start by asking the participants to "brainstorm" (shout out their answers in a big group) the answer to this question: **what do you think that "evaluation" means?**

   Record the ideas that come from the participants onto newsprint and discuss them in the big group.

2. When they have had an opportunity to discuss their own ideas, tell them this story:

*Story - The journey

One day a group of people started a journey to a town they knew, but along a road that they did not know well. At the beginning of the journey they were happy, because they could see out of the windows of the combie and it was clear that they were making good progress along the road. But after a while it got dark and started to rain, and they were not able to see where the combie was taking them. Although they knew that they were still moving in the dark and the rain, they could no longer assess their progress. They had no idea which road they were on, how fast they were going, how long it would be before they were likely to get to their destination and whether they had enough fuel to make it.

3. Now ask them the following questions:
How did they feel about travelling in the dark and the rain?
Why did they feel this way?
How did they feel when they were travelling in daylight?
Why was it easier?

When the participants have had a chance to discuss the questions, explain that evaluation is like travelling in daylight.

If we imagine that the project is the combie, and the destination is the goal, evaluation is a bit like looking out of the window to assess how fast we are going, whether we are heading in the right direction - for the goal we have chosen, how long it is likely to take us to get there and whether we have enough fuel to make it.

4.4 Why Evaluate?

So often in small community based organizations, the need for monitoring and recording work done on a day to day basis is understood, because there is so much conflict if it is not done (in the same way that conflict and confusion arises if the financial records are not kept properly). But evaluation is seen as a luxury that we can do without. After all, who has time to sit down for a few days and research the effect of what we are doing? And anyway, they say, we do not have the skills to do such a thing and to hire someone is an unnecessary expense.

So why should we go to all this trouble to evaluate?

When you ask people in CBO's, who do evaluations regularly, this question, they usually come up with a list of answers like the one below.

Questions

4.4.1. Why do you evaluate?

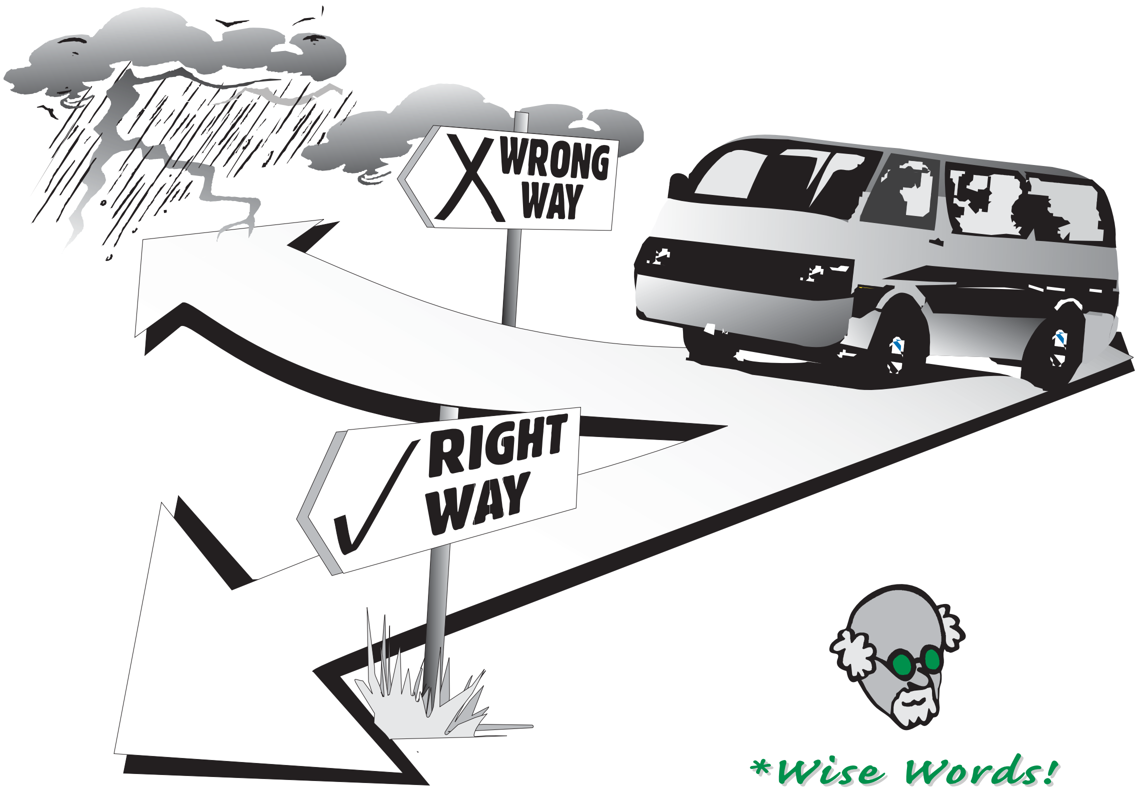
- To see what has been achieved
- To measure progress
- To improve monitoring and management
- To identify strengths and weaknesses that will help the programme
- To judge whether the effort was effective
- To judge whether the cost was reasonable for what was achieved

EVALUATION

- To collect information that will help us run our activities better
- To avoid repeating mistakes by sharing experiences
- To improve effectiveness
- To allow for better planning, more in line with community needs
- To satisfy the funding agency

(Adapted from Partners in Evaluation, by Dr Marie-Therese Feuerstein Published by Macmillan 1986)

If there is no monitoring and formal evaluation, there is no learning. And the organization gradually strays further and further away from its vision and becomes more and more dragged under by it's day to day work of reacting to one crisis after another. This process of loosing direction, repeating mistakes and missing the point with planning, will eventually take the organization so far from its original purpose that it can not be brought back on course again. The end is usually the early death of the organization. As I said in book 1, organizations are like people, they need a reason to live.



***Wise Words!**
To try and to fail is not laziness
Proverb

There are two parts to evaluation:

a) **Formal evaluations** – these are done at the end of a project, or every 2 to 3 years.

b) **Monitoring –** this happens on a daily basis through the life and work of the organization, like keeping a finger on the pulse. It is the process of making sure the work is done as it should be on a daily basis. We will look at it in more detail below.

4.5 Monitoring

In the previous chapter, we asked you to set specific objectives that are simple, measurable, achievable, realistic and time limited. The first reason we asked you to do this is to make it easy to plan and to put that plan into practice. The second reason we do it is to make monitoring the process easy.

Monitoring is the name we give to the process of collecting information about the day to day activities of the organization, in order to see whether it is making any progress towards it's specific goals.

Monitoring is based on the record keeping process within the CBO. This is the process which collects, analyses and uses valuable information about the day to day work of the organization.

4.6 How do we monitor progress in our CBO?

The key way to monitor progress towards our objectives in a CBO is to make sure that every day all staff record their activities on appropriate forms like the one shown on the next page.

Each staff member should fill in a form like this one after each visit/activity and then regularly hand them in to their line manager with an explanation and discussion.

Then, once per month, all key management staff should come to a planning meeting where they do the following:

4.6.1. Look back over the past month and give a detailed report on their/their department's activities, verbally and in writing and assess how much these activities helped the organization to reach its specific goals (using the indicators they have set for each specific goal (see below) and possibly also some of the questions on the gap diagram at the beginning of this chapter).

4.6.2. Look forward to the coming month and plan their activities with their current situation, existing resources and specific goals in mind.

Tool 1

An Example of a Report Form

VISIT REPORT FORM

Staff Name:

Home/group visited:

Date:

Contact Name:

Tel. Number:

Describe the visit: (Where, how, who etc.)

Issues Discussed:

Future Plans:

Own Comments:

Next Visit:

Signed:

Date:

For Office Use Only:

Reviewed By:

Date:

Comments:

EXPENSES INCURRED
Cost:
Food:
Travel:
Communication:
Incidental:
Total:

*Wise Words!

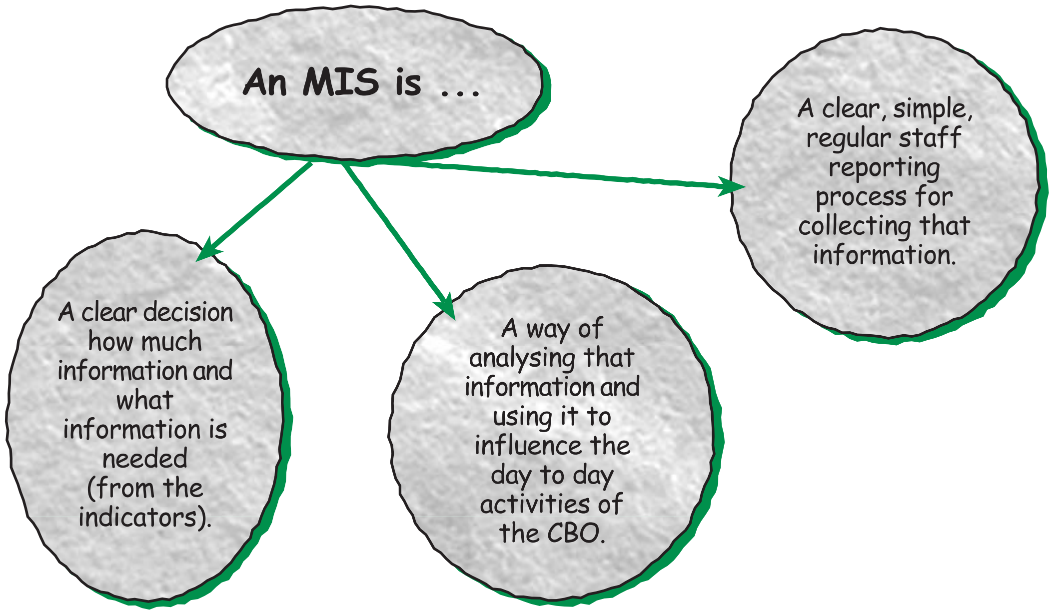
A NOTE ON REPORTS

I usually ask each person on the team to list the specific goals that they are responsible for and to write down what they have done to help the CBO achieve each goal that month within their own area of responsibility. If you collect your information like this, quarterly reports are easy. Again, you list the goals and write down what has been done to achieve each one in each area of the life of the organization that quarter.

The danger with asking for reports however, is that you may end up with plenty of information, but none of it is relevant to the business of assessing the impact of the work.

This is why you need an "MIS" (Management Information System).

4.6.3. A Management Information System is....



The information collected as a result of your monitoring becomes the basis of your evaluation. Effective monitoring is a useful early warning system. It helps you to notice and analyse problems early and correct them before they start to seriously hold back the work of the organization.

4.7 Indicators – signs of change

Indicators are the things we look at to see whether there has been any change.

*Story

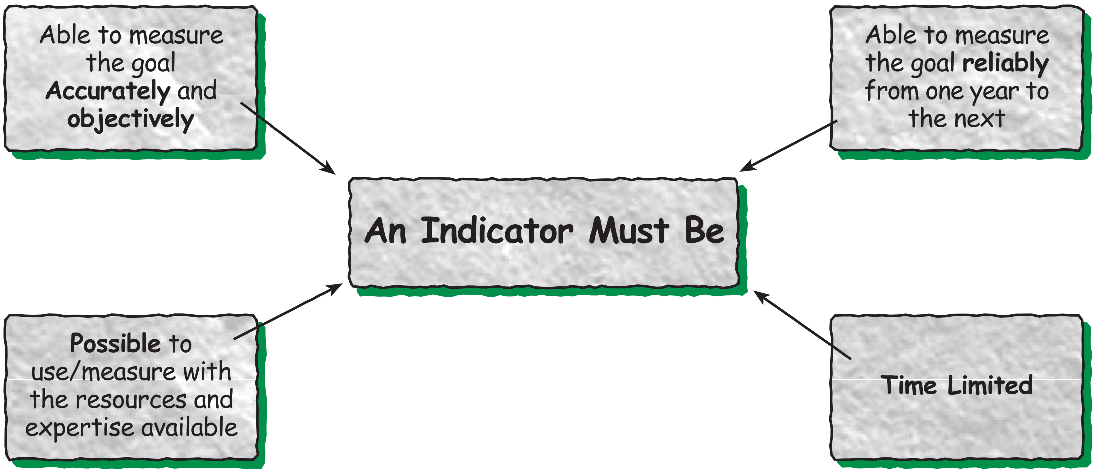
I have two young children, a son and a daughter. Every year, on their birthdays we ask them to stand as straight as possible against a wall in the kitchen, and we draw a line to show their height.

Because we do this, I know that they are growing very fast. Becca grew 10 cms between the ages of 3 and 4, and Robert grew 8 cms between the ages of 6 and 7!

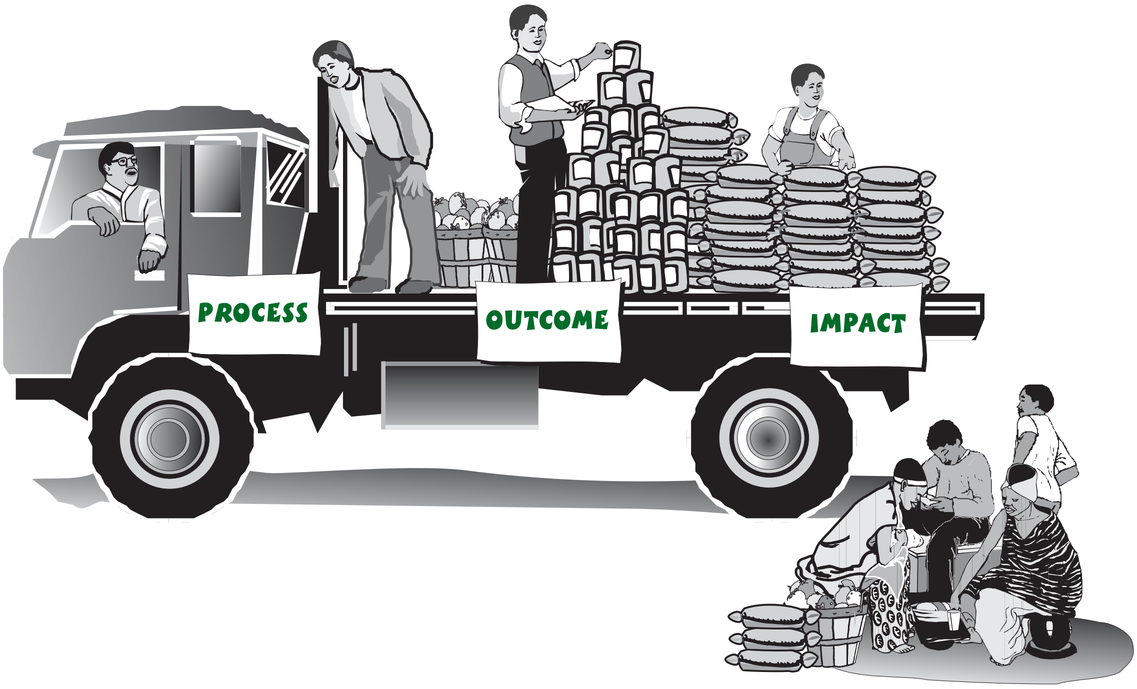
That pencil line on the wall of my kitchen is my sign of change or indicator for the growth of my children. If someone comes to me and asks me whether I am feeding them properly, or whether they have grown in the past year. Without that line on the wall I would not be able to prove it - I would only be able to say that they seem taller, or maybe that their clothes are getting too small. But the lines on my wall or indicator drawn at the beginning and end of the year, mean that I can say for sure that they have grown, and I can also say by how much, and I even know which child has grown most. And if the person asking me does not believe me, I can show him the lines and prove it.

Indicators are the core of monitoring and evaluation. They are the signs of change that we have decided that we will look at regularly for each specific goal. They usually come in the form of a list of key questions that the role players in the CBO have agreed need to be answered for each of their specific goals in order to measure the progress that is being made. There are different kinds of indicators, some judge the outcome of the work (quantity), others give information on the process (quality) of the work, and others give information on the impact (effectiveness) of the work.

4.8 Indicators must be



Indicators are like three brothers. As I mentioned above, there are three different kinds of indicators, all with different functions and characteristics, but they are still brothers.



As shown in the picture above, there are three different kinds of indicator.

Outcome indicators look at the activities. What has been delivered or done? e.g. The numbers who attended the workshop, the number of children who received a vaccination this month, the number of HIV + people visited.

Process indicators look at the operational aspects of the work - the way in which the CBO has done its work. How well were things done; and how and why things happened. e.g. How did the HIV-people who were visited feel about the visit? Why did they feel that way? What was the attitude of the care worker? Did she come late? Why? How involved were the family in the visit?

Effect indicators look at the extent to which the work has been on target in helping the CBO to reach its goals. For example, it may be possible to run an efficient AIDS prevention campaign, where all the staff perform well. But the most powerful effect in the community may have been to further stigmatize HIV people and not to raise awareness about the disease.

Examples of this kind of effect indicator would be things like " To what extent did the family change their attitude as a result of the visit? How much did they learn about nursing their sick relative? Are they using what they have learned? Are PWA's who are visited by the care workers and whose families are receiving training living longer than PWA's who are not?

4.9 *Activity - Setting Indicators

Activity

Notes

This activity will give you an easy participatory tool that you can use with a big or a small group to set indicators of each of your specific goals. The activity is very useful because it helps the role players in the organization to accept and remember the plan and to take ownership of the monitoring and evaluation process.

Instructions

Take each of the specific goals that you have developed above and ask the staff, management and volunteers to list their hopes and fears about this goal.

These hopes and fears can then be easily turned into indicators like this…

Fear – that no-one will attend the training.

Indicator – the number of people regularly attending the training.

** Worked Example*

Specific Goal

- To train 30 volunteers in HIV/AIDS home based care by 1st December 200X

Fears:

- That volunteers would not come forward for training
- That they will not attend all the training sessions
- That they will not understand parts of the training
- That they will not feel confident to use what they have learned
- That they will not continue to work with the CBO after the HBC training

Hopes

- That more volunteers would feel confident enough and motivated enough to care for the HIV/AIDS patients once they are trained in HBC
- That the training will increase their commitment to the work of the CBO
- That the volunteers will be safer from infection once they have more information
- That better care from trained volunteers will improve the length and quality of life for those with HIV/AIDS in our community.

Indicators:

- Number of volunteers coming for training
- Number of volunteers who attend all sessions
- Feedback from the volunteers about what was most helpful and least helpful about the training
- Knowledge, attitude and practise surveys with the volunteers before and after the workshop.
- Observation of volunteer HBC visits –(are they using what they have learned?)
- Number of volunteers doing more than 16 hours of HBC per week through the CBO after the training – (are they more motivated and confident to do the work?)
- Number of volunteers becoming infected (Is the safety/prevention message getting across?)
- General health and average length of life of AIDS patients on CBO list

This concludes our look at monitoring. We are going to move on to the second type of evaluation now, and the reason that we looked at monitoring first, was that you can't evaluate unless you monitor first. "Formal" evaluations are different from monitoring, because they are only done occasionally, maybe once every 2 or 3 years, or when a particular project or planning cycle finishes.

4.10. Formal Evaluation

We looked generally at evaluation and hopefully convinced you that it is a good thing at the beginning of this chapter. Now we will look at the practical side of it in more detail.

There are two different types of evaluation: internal and external.

External Evaluations

In an external evaluation, a consultant, or group of representatives from another organization are appointed to do the evaluation.

Traditionally, evaluation used to be mainly external. It was seen as something that is done by an outside team of "experts" who are brought in especially for that process. This method benefits from the fact that the consultants are experts in their field, and that they are likely to have an unbiased opinion about the CBO and its work that will allow them to be objective. So such evaluations, although very expensive, can be useful.

However, although these consultants are usually quite good at looking at the "outcomes" and "impacts", they are usually not able to really understand the issues and details of the projects and the CBO's they are evaluating in the limited time they have for the consultancy, so the all important "process" factors may not be adequately explored.

Internal Evaluations

In an internal evaluation, a team of people who are involved in the project are given the job of doing the evaluation.

Community based programmes are about people and their beliefs and behaviours. They are at the centre of a network of relationships between a wide range of different people in their work with communities, from the staff, volunteers and clients, to the Department of Health representatives, the local government representatives and other role players.

Participation

These days most evaluations are meant to involve the steak holders in some way. However, real, honest participation is based on trust and relationships, and external consultants do not usually have the time, the language or the common history to develop these.

Key Information

The first reason to involve representatives from these different groups in an evaluation is that they are the people who are doing the work and collecting the information about their activities for the monitoring system. They already know what data is available and how it can be found and collected. And they carry in their heads vital information about the organization which needs to be explored and analyzed during the evaluation.

Skills and motivation

Two other related reasons to involve the staff and volunteers in an evaluation process, is that they are already motivated to see some positive results come out of the evaluation process. An opportunity to be involved in it, will increase their feelings of ownership and commitment to the work and their levels of skill and confidence generally.

These people often feel that they do not have the skill and ability to evaluate the work they are doing. But by allowing them into the heart of the evaluation process, you are showing them that they can easily do it, simply by building on their existing planning, monitoring and reporting skills (the evaluation will also give them an understanding of why the record keeping and reporting procedures of the CBO are so important, and this may help to build their motivation to do it more thoroughly and clearly).

Judging between success and failure

A fourth reason to encourage participation from a broad range of role players in an evaluation is that it will help you to understand whether the work has been a success or a failure. Why? When an evaluation is done, people usually expect it to show clearly whether the work has been successful or not. But it is often very difficult to show clear evidence of success because: what might be regarded as a success by one group might be seen as a failure by another: because of the different perspectives of the role players; and because of the dynamics and politics at the centre of the community or organization.

For example, an insider may know that planting a garden at all in a community that is in conflict, is a great success. But an outsider may see only one small garden and count it as a failure.

Drawbacks with internal evaluations are that the internal people appointed to do the evaluation may find it difficult to take an objective look at the work, and may not have the time to do it.

The activity on the next page will help the role players in your CBO to understand why it is important for them to participate in the process of evaluation.

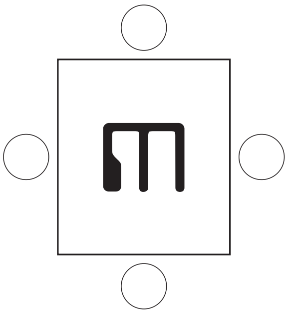
4.11 *Activity - Evaluation and Participation

Activity

Here is a short enjoyable activity that gets the point about participation and the need for evaluation across quickly.

Instructions

Write a large "m" on a piece of newsprint. Then get 4 participants to stand around the newsprint, one along each edge of the paper, and ask them to call out what they see.



One will see "m", one will see "3", one will see "E" and one will see "w".

Which one is it? Encourage them to shout if you want to.

Explanation

The point of the exercise is to show that all of the participants see the same thing from a different angle and all of them are right. If we only had one person's perspective, we would know far less about the shape we are looking at.

That is why we need all the role players involved with the CBO to participate honestly in the evaluation process. All of them are right about their CBO and its work, because all see it from a unique angle. For example, the organisation or projects may look healthy to the management in one particular area, but sick to the volunteers or staff and vice versa.

If we want the CBO and it's projects to become strong, we need to know exactly where it is weak and why. Everyone involved with the organisation and it's work has feelings and insights about it, and these are valuable facts that we must understand and learn from.

And equally, if we want to measure its success, we need to understand what is counted as a "success" by all the different groups involved in the work, from the client, to the volunteers, the staff, the management and the donors may vary.

And this is why it is so important to involve representatives from all the different groups in setting and agreeing the goals at the beginning of the project, and in agreeing the indicators or signs of change/progress and other questions that need to be asked by the evaluation at the end or mid point of it.

We will be looking at setting indicators later on in this chapter.

4.12. How Do We Evaluate?

The main focus of the evaluation should be to look at the CBO's progress towards its stated goals, from the specific ones through to the general ones.

Ideally this can be done firstly, by looking at the situation before the work begins and collecting basic information on the specific situation or issue in the community that you are trying to address. This is called **"baseline data**" and you can collect it in a range of different ways. The simplest way is to work through the analysis part of the exercise called "our situation, our vision" at the beginning of this book with your target group and to record what comes out of it. Ideally you could supplement this information with some gathered in a range of other ways. You can use the same methods or "tools" to collect it as you do for the evaluation itself, (you will find more information on these tools at the end of the chapter).

Whether you have managed to collect baseline data or not at the start of the project, the way that you will be able to tell whether the project has made a positive difference will be by looking at three areas of your work, namely;

1. the outcomes of the work,
2. the process of the work and
3. the impact of the work.

These three criteria are explained in detail in the section below on indicators.

The evaluation must also be used to try to find out whether the CBO is progressing towards it's general goals by reaching its specific goals – i.e. how well are they related to each other?

The diagram gives an overview of the process a CBO needs to go through in order to evaluate.

The step diagram following is adapted from "Partners in Evaluation" by Dr Feuerstein, published by Macmillan, 1986.

4.12.1. An Evaluation Plan

Go through the report with the people who were involved in the evaluation and discuss the recommendations

Prepare a report with a description of what was done and what was found, along with a list of your recommendations

Reach some conclusions from the information write them down and make some recommendations

Study and analyse the information that you have collected

Use the methods for evaluation that you have chosen like questionnaires, surveys, studying records, interviews

Start. Decide what kind of information you want, And collect everything you need to start (materials, records and resources)

Choose the goals and methods you will use for the evaluation and agree who will do what, when? (The Terms of Reference)

Decide to evaluate and assign the responsibility To an internal team or an external consultant

The steps needed to prepare a **monitoring and evaluation plan.**

4.12.2. Step 1. Define the task and assign responsibility

Begin by identifying who will be responsible for carrying out the evaluation. Will it be an internal or external evaluation? Will it be the project worker who is responsible for the project or will a small team be appointed to do it?

Who will be involved and what are their individual roles and responsibilities? Who will supervise the process?

4.12.3 Step 2. Draft terms of reference

Develop terms of reference to guide the evaluation. Like all terms of reference, they need to say who, why, what and when. Specifically, they need to state

What is being evaluated? And Why the evaluation is being done?

For example,

Are you evaluating a specific project or are you undertaking an evaluation of the way your organisation works generally as part of your strategic planning process?

What are the key issues and questions you wish the evaluation to explore?

Do you wish to evaluate process or outcomes or both?

The terms of reference should also record the time period for the evaluation and the cost.

You can use this outline to guide you when you need to write a Terms of Reference for an evaluation.

Tool 2

An Example of terms of reference to guide an evaluation

1. Introduction

In this section, briefly outline the history of what is being evaluated. Include information about when your organisation or project began, its purpose, who funds it, number of paid staff and volunteers, and who is the target population.

***Tip**: You can put your vision statement in here and list your general goals to give an idea of the purpose of the organisation.*

2. Background

Next, give some background to the evaluation. Are you conducting the evaluation because you are required to by your funder? Or because you planned it yourselves. Say what kind of information you want to get from the evaluation. Where is the focus? – Is it on outcomes, effectiveness, impact, process, acceptability, sustainability and/or reach?

3. Specific Goals of the Evaluation

State the main goals of the evaluation here. These are different from your project or organisation's goals. Here, you are talking about the goals of this actual evaluation. However, like all goals they must be SMART - specific, measurable, achievable, realistic, and time bound.

Tool 2

4. Scope of work

Here, say what you want the evaluation to do. Of course one of the things you want it to do is to show how well the project has worked towards the organisation's general gaols and the project's specific goals. So this section can be based on them.

For example:

Review and assess the effectiveness of the processes used to develop and implement the project;

Review and assess the extent to which the education programme has been effective in:

- developing and distributing resources;
- developing and implementing targeted peer education projects; training peer educators;
- establishing processes for including young people in the design of the project;
- establishing clear and accountable management practices.

5. Methodology

This section explains the methods to be used for data collection. This is likely to be a mixture of existing and new information.

The existing information that you have will be analysed in relation to your indicators which were decided as part of your original planning process (Step 4).

Also say who will be involved in the evaluation (e.g. focus groups with clients or volunteers).

6. Key selection criteria

(You only need to *use this next heading if you are planning to use an external evaluator)*

Under this section, state what kind of external evaluator you are looking for and the skills and experience you want them to have.

For example:

- demonstrated experience in process and outcome evaluation for health promotion projects;
- experience in working with community-based organisations at a district level;

Tool 2

- sensitivity and knowledge of the target group and knowledge of HIV/AIDS and sexual health issues;
- ability to critically analyse and summarise the information;
- Xhosa speaking.

7. Time Frame

In this section, state the time period you have planned to use for the evaluation. Will it be done over a one or six month period? If you are using an external evaluator this question will be partly answered by how much 'time' you can afford to buy. The following is an example of a time line for a 6 month evaluation.

Activity	Jan	Feb	March	April
Draft TOR Appoint team Collect and Review background info	X X X			
Agree methods Review MIS		X X		
Conduct 4 Focus groups Analyse information			X X	
Prepare report Discuss report with staff				X X

8. Budget

Even if it is an internal evaluation, you will need to think about the cost. For example, if you are collecting extra information through focus groups, there may be costs related to the running of the groups, such as travel or venue hire. If you are using an external evaluation team, it is up to them to give you a budget breaking down the costs. Tell them the total amount of money available for the evaluation before they start.

9. Reporting requirements

Always state exactly what you want in the final report, especially when you are using external evaluators. Otherwise, the report you receive may not contain the information you needed. Tool 2 is an example of an evaluation report format.

4.12.3 Step 3. Collect the necessary information

Following your terms of reference, identify what type of evaluation information needs to be collected. What baseline data has already been collected (perhaps as part of your situation analysis) or needs to be collected?

What data needs to be collected at the end of the project to see if there have been any changes?

Where will the information come from?

What will it cost in terms of time and money to collect the data?

What skills are needed?

What data collection tools will be used? (These are shown in tool 4 at the end of this section)

For example, will you be drawing on existing data sources such as records of number of home visits done each month?

Will you be conducting focus discussion groups with clients to assess impact?

Will you be giving out an evaluation questionnaire at the beginning and end of each workshop to assess knowledge gained?

4.12.4 Step 4. Develop the evaluation methodology

As part of the planning cycle, you will have agreed indicators and targets for each of the specific goals. It is now time to look at what information they provide.

Are your reaching your goals?

For example, 2 specific goals of your life skills project might be:

1. To increase knowledge about HIV/AIDS by the end of the year so that all students leaving primary school X know how the virus is transmitted and how it can be prevented
2. To recruit and train 20 peer educators by the end of the year

At the beginning of the project, a baseline survey was conducted and found that only 38% of students knew how HIV/AIDS and other STDs were transmitted. The project recruited and trained 20 peer educators. After the peer educators were trained, a number of workshops with students were conducted. This intervention took place over a six month period.

As part of your plan, you set some performance indicators, such as % of students in the final year of primary school X who know how HIV is transmitted and how it can be prevented.

Additionally; you set a target that 20 peer educators would be recruited and trained.

Your monitoring and evaluation plan will assess whether your targets have been reached. You can do this by conducting another survey of students to assess their knowledge. The survey will tell you what % of the school children now know how HIV/AIDS is transmitted and prevented.

4.12.5 Step 5. Analyse the data

Regardless of what kind of evaluation information you have collected, it needs to be understood and analysed. Data analysis always takes time, so make sure that you allow enough time for this stage.

Throughout your project life, make sure that you understand the data you are collecting as you go along, and use it . For example, if you discover from the attendance lists that your volunteers have stopped coming to your training days, look at the workshop evaluation forms for answers and meet with them to ask them "why". When you have this information from them, you are able to try to respond by changing the approach and trying to meet their unmet needs.

4.12.6 Step 6. Use the data

This is the interesting part. Remember monitoring and evaluation is a tool to help you do your work better -not just something to keep your donors happy. Look closely at what you learnt about your project. How can this information be put to use to make your project (as in the example above) and/or future projects better?

Decide how the information will be reported. For example, will you be writing a report for your organisation, donor or other interested organisations?
What format should the report be in? Perhaps you will be presenting the information at a workshop?

Do you expect that the evaluation will make recommendations which may alter or change the way in which projects are currently delivered?
Will the findings from the evaluation be used as part of a situation analysis which will be the basis for the development of a new project?

The tool below is an example of how to put an evaluation report together.

Tool 3

Example of an evaluation report format

As a general rule, whenever you prepare a report remember who will be reading it. This will help you to decide how much to put in, how formal to make it and what to include in it. Using diagrams and graphs (like the examples in the health check in book 2) is also an interesting way to provide information.

I. Executive summary
II. Table of contents
III. List of abbreviations
IV. Acknowledgements

1. Introduction
1.1 Background to the project or organisation
1.2 Background to the evaluation
1.3 Methodology

2. Key findings
2.1 Achievements of the project
2.2 Impact

3. Conclusions (these are drawn from the findings)

4. Recommendations

5. Annexure

The report may also include appendices such as blank copies of the tools used to collect the data (for example, questionnaires or focus group questions). The purpose of this section is to show what methods were used to collect the information.

Once your report is written, the evaluation is not over. Now you need to take the report and the recommendations in it back to the staff and volunteers who are actually doing the work, share it with them and agree with them how they findings will change the project and how it is run.

4.13 Methods of Evaluation

There are many different tools that can be used in an evaluation, from simple ones like the situational analysis exercises at the beginning of this book, through to detailed questionnaires.

Activity

Exploring the methods

As a group, brainstorm the different methods you can use to carry out and evaluation. List them and then ask the group to discuss the advantages and disadvantages of each one.

Here is a list of possibilities:

- Written questionnaires
- Informal oral interviews
- Structured interviews
- Group discussions
- Small group discussions/focus groups
- Surveys
- Observation
- Case studies
- Questionnaires
- Community mapping
- Slides, photos, drawings
- Municipal and DOH records
- Clinic records

Notes

You will find some more detailed information on the techniques for gathering information in the tables on the next page.

Tool 4

Example of the tools commonly used for gathering information

Tool	Description	Using this Tool	Limitations
One-on-one Interviews	Interviews are conversations between two or more people. An interview, as a part/of a situation analysis, is more formal than chatting to a colleague. Normally, the interview is guided by a checklist of issues or questions and this gives structure and focus. The most effective questions are open-ended. This means questions which require more than a yes, no or a simple numerical answer. The main advantage of an interview is that you have time to follow-up on the issues raised. ***Examples of poorly framed questions:*** • Have you understood and adopted the HIV infection control guides? • Do young people have sex before marriage? ***Examples of open-ended questions:*** • Tell me what you have been able to do about implementing the HIV infection control guidelines? • What factors determine when young people have sex for the first time? How does it differ for young women and young men?	Use this approach with key stakeholders, or influential individuals such as community leaders, chiefs, senior government staff. This approach can also be used with your clients.	The approach requires some experience in interviewing techniques. It is also a time consuming approach because you need to interview a reasonably large number of people to achieve a representative view of the issues and analysing open ended questions also takes time. The people being interviewed may feel that they should tell you what they think you want to hear, rather than what they actually feel or believe. Additionally interviews are not anonymous and as a result they may feel guarded in their responses because they are concerned about about being 'quoted'. The information is something 'filtered' or changed subtly by the interviewer.

Tool 4

Example of the tools commonly used for gathering information

Tool	Description	Using this Tool	Limitations
Group Interviews or focus groups	A group interview or focus group is a facilitated meeting in which between 7 to 12 people are brought together to discuss a specific topic. It can be used to: • explore opinions about a new project or activity; • explore topics about which little is known; • explore issues around a specific problem; • collect feedback about the impact of an activity. Both facilitators should strike a balance between keeping the discussion on track, and creating an atmosphere where people feel free to express themselves and everyone is given a chance to speak.	This approach works best when there are a number of people from similar backgrounds or organisations whose opinions you seek.	This approach requires group facilitation skills. Some group participants may feel inhibited and shy, especially if they have a different opinion to the one that is being presented. The people in the group may feel that they should tell you what they think you want to hear, rather than what they actually feel or believe. Additionally, the people being interviewed are not anonymous and they may feel guarded in their responses because they are concerned about being 'quoted'. The information is sometimes 'filtered' or changed subtly by the facilitators.

Tool A

Example of the tools commonly used for gathering information

Tool	Description	Using this Tool	Limitations
Listening and Observing	Observation means going into a community and observing (looking and listening) what is happening by focusing on both verbal and non-verbal interactions and taking note of the physical makeup of the community. For example, you might be able to learn about the organisation of the sex industry by spending time at a shebeen and observing the activities of the patrons.	This approach can be used in any community. However, it requires considerable skill so that you are able to determine what is relevant.	If you are an 'outsider', it may be difficult to gain access to the community. Again, the information is 'filtered' by the 'observer'. The presence of the observer might also alter the behaviour of people in the area being assessed.
Question-naires	A questionnaire is a set of written questions focusing on a particular issue. Questionnaires can be simple with yes/no question/answer format or complex, whereby there are multiple choice questions or the person must write down their opinions. A questionnaire can be given to a person to fill in on their own or it can be administered as part of a one-on-one interview.	This approach can be used with stakeholders and clients. It can work particularly well with clients because a questionnaire allows them to be anonymous and they can be frank about your service or the situation in which they live.	This approach requires skill in the design of questionnaires. The questionnaire needs to be administered to a reasonably large number of people to be meaningful. A written questionnaire requires literacy skills and this can be a barrier for some communities. The people filling in the questionnaire may not take it seriously and could tick any of the boxes. .

Tool 4

Example of the tools commonly used for gathering information

Tool	Description	Using this Tool	Limitations
Community mapping	A simple way to gather information about the physical make up of a community is by drawing a map. For example, if your project is providing outreach to a number of village communities at district level, you can describe your activities by drawing a map of the location. On the map, show the different characteristics and resources of the community such as the location of clinics, dispensaries, wells, schools, traditional healers, markets, taxi depots, roads, trucking stops and shebeens. You can also mark on the map any other health information you have such as 'hot spots' of high STD incidence. The map will enable you to see what resources exist, where the gaps are, where people gather and possible areas for transmission.	This approach can be used in any community. Work together with the community to get them to do the mapping because this will help them identify the problems. Importantly, community members can also have the best understanding of the make up of their community. The approach works well with communities where literacy is an issue.	The relationship in communities are very dynamic and the map can quickly become out of date. The map needs to be combined with other information
Diagrams	A diagram is another simple way of presenting information or ideas in an easily understandable visual form. The value of diagrams is that they can simplify complex information, help to identify problems or opportunities. Diagrams can be useful at all stages of community work.	This approach works well at community level because it can help to facilitate communication; stimulate discussion and analyse situations. Again, this approach works well with communities where literacy is an issue.	Similar to community mapping, this is best undertaken in conjunction with the community and it does not require literacy skills. Diagrams tend to be fairly specific to the people who drew them. The diagrams may 'date' quickly and cease to be relevant.

Tool 4

Example of the tools commonly used for gathering information

Tool	Description	Using this Tool	Limitations
Research	Research is the process of seeking authorative information on a particular subject. You can access research findings from: • the national, provincial or regional HIV/AIDS and STD programmes and other sections within the health and other government departments; • universities and research institutions; • public libraries; • resource centres; • other community organisations; • the internet. A literature search is a way of finding out what research studies have been done. Most libraries are set up so that you can do a literature search on your own, but, if you have never done one before, talk to the librarian and she or he will help you. Additionally, if you have e-mail and internet access, you can find an enormous amount of information through using electronic database and the World Wide Web.	Research includes: • epidemiological reports; • survey reports; • written reports and documents; • policy documents produced by the provincial and national government.	The range of research materials in libraries and resource centres will vary between communities. Well resourced libraries and resource centres will have books, journals, audio cassettes, videos, directories, newspapers, Acts and Regulations and CD-ROMS. Please note CD-ROM is a computer disc similar to a music disc, except that it contains computer data such as software packages or text. However, some libraries and resources are not well equipped or not very accessible. Some research reports can be difficult to understand because they are written in highly technical language.

4.14 How to organize the information

When you have collected all the information by the methods you have chosen, you need to organize and analyze the data so that you can present your findings in the report and so that you can make your recommendations.

The best way to organize the information is under these three headings:

1. The situation as you found it – **"Where are we?"**
2. The situation you would like to achieve – **"Where do we want to be?"**
3. What needs to be done to get there – **"How are we going to get there?"**

** Worked Example*

1. Where are we?

- Young women in the community are pressurized by the men into having sex.

2. Where do we want to be?

- Young women have the skills, power and confidence to negotiate for their own safety by following the ABC message (abstain, be faithful, use condoms)

3. How are we going to get there?

- Gender and life skills training for young men and women in the community.
- Peer support networks established
- Establishment of social and sports clubs
- Mobilization of community institutions (eg churches/community leaders/ political groups) to get the ABC message across.
- Making condoms accessible to young people who choose option C.

The information can be organized like this, or where appropriate (for example in recording responses to a questionnaire) in the form of a graph.

You can then put the information and your conclusions from it into your report like this..

Introduction

General information about the organisation and the project.

EVALUATION

Background to the project

A summary of the situation as you found it in the original baseline survey (if you have done one).

Background to the evaluation

Why is the evaluation being done? Who did it? Time frame etc.

What you originally wanted to achieve through the project (as described by your original project goals).

Information on the questions you were asking in the evaluation and a list of the goals of the evaluation.

Methodology

The methods you used to collect the information/data

Key Findings

The situation as you found it this time

Achievements of the project

The progress made so far towards the project goals

Impact

The difference that the project has made in the community/target group

Conclusions

These come from what you discovered (the findings). It is your judgement on how well the CBO has done on this particular project, based on what you have learned about the project, its goals, its progress, the effect of its work and the constraints and difficulties that came up during the implementation of the plan. This is about identifying strengths and weaknesses, opportunities and problems.

Recommendations

Based on the information you have collected and analysed, your suggestions for future goals and ways of improving the project in future.