

## **Chapter 6. Evaluation tools, constructs, logic models and outcomes**

### **6.1 Introduction**

It is important to understand the use, benefits and technical language of evaluation tools, logic models and outcome constructs (How). According to the International Development Evaluation Association, IDEAS (2003:4) the “current complex technical language, can create a barrier to the spread of monitoring and evaluation.” The aim of this chapter is therefore to explain the current complex evaluation constructs within entrepreneurial and managerial perspectives.

From an economic development perspective Todaro (2000: 754) describes a model as: “An analytic framework used to portray functional relationships among economic factors.” From an entrepreneurial perspective the Timmons (1999: 50) model is at the heart of spotting its three driving forces: Opportunity, the Team and the Resources and the concepts of fit and balance are crucial. From an evaluation perspective evaluation models should be equipped to ensure this “fit and balance.” The International Development Evaluation Association, IDEAS (2003:2) strives to “resolve the methodological implications of the ongoing changes in the development paradigm” by developing models and quantitative indicators that will fit.

The next two chapters will describe and develop some models and techniques in the toolbox of evaluators that might be useful in entrepreneurship and management.

### **6.2 Why Evaluation Tools and Models?**

Among the most common models and techniques used by management and entrepreneurs for estimating time on task are PERT charts and Gantt charts. PERT is an acronym for “Program Evaluation and Review Technique” and was developed by the U.S. Department of Defence as a management tool for complex military projects to reach the outputs in time (Worthen 1997:287). For many evaluations, PERT may be more cumbersome and time-consuming than it is enlightening. In most evaluation studies, a simplified version of PERT, in which one estimates the time required for each task and links the task with others to be performed either simultaneously or before or after the task at hand, is sufficient (Worthen 1997:287), up to the stage when the output is produced or delivered. Logical modelling is an extension of PERT, because it reaches beyond the output phase by emphasising outcomes.

According to Patton (2002:169) conducting an evaluation can be a heavy load, and evaluation models help with the heavy lifting. “Models provide frameworks like the

metal frame on a backpack that gives support and shape to the load on a hiker's back. Models offer evaluators structure and support. They structure certain methodological decisions, offer guidance about the appropriate steps to follow in design, provide direction in ways of dealing with stakeholders, and identify the important issues to consider in undertaking a study. Models provide frameworks rather than recipes, helping evaluators and evaluation users identify and distinguish among alternative approaches" (Patton 2002:169).

KPMG 2001 states that corporate leaders, management and entrepreneurs are "seeking tools to enable them to manage their organisation's social relationships, to address the demands of stakeholders, to make informed decisions, and to communicate effectively with stakeholders in order to build trust and loyalty." The practice of social and ethical accounting, auditing, evaluation and reporting provides a set of tools that can address these emerging needs. IDEAS (2003:1) arrived at a time when the demand for improved methods of development performance, M&E is at an all-time high.

### **6.3 The concept of Reality testing**

For Patton (1997:26) the idea of "reality testing" is helpful in working with intended users to increase the value of something. To add value is of crucial importance to management and entrepreneurship. The willingness to be actively engaged in the work makes the evaluation useful. Reality testing implies that being in touch with reality can't simply be assumed. When individuals lose touch with reality, they become dysfunctional, and may be referred for psychotherapy. Management, entrepreneurs, organizations and businesses can also lose touch with reality, operate on myths and behaving in ways that are dysfunctional to goal and outcomes attainment (Patton, 1997:26). Shay (2001:2) agrees that business should be "committed to the truth and not afraid of facing reality."

Pasteur (2001) warns that the very spatial format of the logical models leads to rigidity and oversimplification. It assumes a fairly constant environment, and though it allows some assumptions to be expressed, it neither suggests ways to ensure assumptions are realised, nor offers alternatives in case they are not.

The processes of evaluation support change in organizations by getting people engaged in reality testing, that is, helping them think empirically, with attention to specificity and clarity, and teaching them the methods and utility of data-based

decision-making (Patton, 1997:103). For Patton (1997) evaluation is therefore nothing more than "outcomes based reality testing."

Reality testing might be useful in entrepreneurship and management as Shay (2001:2) warns that reality will dawn and truth will prevail, and "organisations that try to hide their shadows or mediocre sides only fool themselves...hiding things catches up with you in many subtle ways."

#### 6.4 The 'outcomes' concept

The concept of 'Outcomes' is the single most important aspect in logical thinking. There is an important logical difference between outputs and outcomes. De Vos (2000:373) argues that "in contrast to the view of effectiveness that focuses entirely on what we do - or inputs - a second and entirely different view of effectiveness is one that focuses exclusively on outcomes. In other words, did the problem get solved or did the client improve in some way?" On the other hand a focus on process and outputs involves looking at how something happens rather than why (Patton 2002:159). For the output oriented manager the construct "Outcomes" might sound abstract. From an entrepreneurial perspective Ramsden (2001:1) agrees that "the way in which the company addresses the more abstract aspects of the business can have a material impact on long-term shareholder value and success."

On a lighter note, output versus outcome is the same as "leading a horse to the water versus getting a horse to drink the water" (Patton, 1997:157). Giving the horse water might be the output of an endeavour. Only when the horse drinks the water there is an outcome. The water that the horse **accepted** and **utilised** might now have an influence on the impact and performance of the horse.

The shift of thinking to 'outcomes' often proves difficult in programmes and agencies with a long history of focusing on services, performance, activities and outputs (Patton, 1997:157). Outcomes therefore point to "detectable and measurable change" (De Vos 2000:373). Scheifer (2000:139) agrees with this and points out that there should be strong connections among delivery, outputs, and desired outcomes. According to Todaro (2000:740) allocating expenditures to maximum consumer satisfaction (Utility and outcomes) is of utmost importance. Only after the output merged into outcome, there could be talk of economic development and impact. According to IPDET (2002:m4p25) 'Outcomes' are more immediate changes while 'Impacts' are longer-term changes when the 'Goal' is reached.

Wickham (2001:5) acknowledges the concept of outcomes in entrepreneurship. Thus he notes the idea that the entrepreneur is someone who undertakes certain projects to realise outputs as well as outcomes: "Undertaking particular projects demands that particular tasks be engaged in with the objective of achieving specific outcomes..."

The outcomes and impact of evaluations should also be improved. For Worthen (1997:23) "So many key evaluations have been disappointing or have made such little impact that even some evaluation advocates have expressed reservations about evaluation's living up to its high potential. Indeed, unless evaluation practices improve significantly in the years ahead, its potential may never be realized." The International Development Evaluation Association, IDEAS (2003:2) encourages an outcome-driven rather than an input-driven approach.

## **6.5 Logical thinking as concept**

### **6.5.1 Defining logical thinking**

Logical thinking is what it describes, to think logically. From an entrepreneurship perspective Couger (1995:135) defines thinking as "the operating skill through which innate intelligence is put into action." Thinking is a general term covering numerous activities from daydreaming to reflection and analysis. Couger (1995:135) presents some of the verbs Roget's Thesaurus includes for the word think: appreciate, consult, fancy, reason, believe, contemplate, imagine, reflect, cerebration, deliberate, mediate, ruminate, cogitate, digest, muse, speculate, conceive, discuss, ponder, suppose, consider, dream, realize and weigh.

Shay (2001:2) notes that accountability and evaluation provides a comprehensive framework using "systems thinking" approaches and tools. Makhubela (2001:1) agrees by stating "It is not enough to change policies, strategies, structures and systems, unless the thinking that produced those policies, strategies, structures and systems changes." Kim & Mauborgne (1996:105) explain that conventional strategic logic and the logic of value innovation differ along the basic dimensions of strategy. Those differences determine which logical questions managers ask, what opportunities they see and pursue, and how they understand risk.

Since the late 1970s evaluators and development agencies realised that something is wrong with development thinking. According to Todaro (2000:708) conventional development efforts by donors and governments have largely failed to halt the poverty spiral, and indeed in some cases have aggravated it! This necessitated new

thinking in development. For too many decades the output of an endeavour was taken as development achieved. Even today donors are eager to build structures, name them after themselves, thinking that the outcome and impact will follow the delivery of the output automatically.

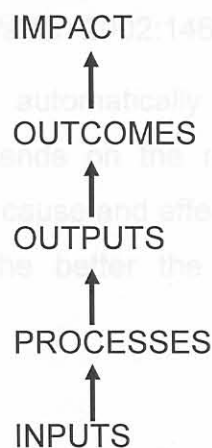
According to Worthen (1997: 92) "Probably the greatest strength and appeal of the objectives-oriented approach to evaluation lies in its simplicity. It is easily understood, easy to follow and implement, and produce information that programme directors generally agree is relevant to their mission." The simplicity is embedded in its logic of asking why? An output or product has no logic if the question "why was it done? or why was it produced?" cannot be answered. Unfortunately many "white elephants" are visible on the development frontier, simply because not enough attention was paid to the WHY?

### 6.5.2 Vertical logic and results chains

Another way of thinking about the nature of demand for M&E and vertical logic is to consider the "results chain" for any activity of government or any development actor.

The greater emphasis on development impact ensures that all development actors remain tightly focused on poverty-reduction. This focus needs to be complemented by an understanding of the efficiency and effectiveness of individual sectors, programmes and projects — measuring and evaluating their inputs, processes, outputs and outcomes. The performance of

**Figure 6.1: Results Chain for Development Activities**

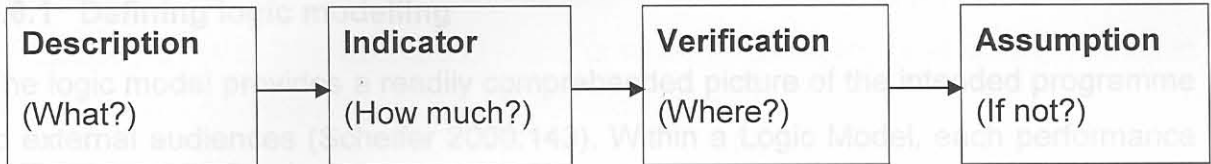


development activities at these levels helps to determine overall success in reducing poverty (Mackay 2000:43). The World Bank states it clearly: "A logical framework should be used, and results chains specified, to link instruments with country/sector objectives, taking full account of past performance" (World Bank 2002b). The Logical Framework (Please refer to Chapter 7) leads to the identification of performance indicators at each stage in this chain, as well as risks, which might impede the attainment of the objectives (OED 2002b:9).

### 6.5.3 Horizontal logic and information trains

Horizontal logic normally points out how the vertical logic will be dealt with regarding: Description, Indicators, Means of verification and Assumptions. These aspects are dealt with in detail under the Logframe discussion.

**Figure 6.2: Horizontal logic and information trains**



This logic is dealt with in detail under Chapter 7 on Logframes.

### 6.5.4 Cause-effect logic

By definition, each project has this 'if/then' or cause and effect logic embedded in it. "If we produce certain outcomes under certain conditions, then we can expect to achieve certain other outcomes to results" (TEAM Technologies 1994:4). The Logical Framework forces you to make this logic explicit. But it does not guarantee a good design. The validity of the cause and effect logic depends on the quality and experience of the design team (TEAM Technologies 1994:4). This is also part of quality management, which is a systematic way of guaranteeing that organized activities happen the way they are planned (Patton 2002:146).

Every cause-effect relationship does not automatically become a means-end relationship (NORAD, 1990:12). This depends on the rewording. But the main concept underlying the Logical Framework is cause and effect. "The better the cause and effect linkages between objectives, the better the project design" (TEAM Technologies 1994:4).

### 6.5.5 Internal and External logic

Cause and effect is the internal logic of the project. Cause and effect is the core concept of good project design, necessary and sufficient conditions are the consequence. The cause and effect relationships between levels in the Hierarchy of Objectives (the activities to output, output to purpose and purpose to goal relationships) describe the necessary conditions for accomplishing purposes. But it does not define the sufficient conditions at each level for accomplishing the next higher level (TEAM Technologies 1994:4).

These sufficient conditions between the levels in the Hierarchy of Objectives are the Assumptions. This is the external logic of the project. "The objectives (necessary conditions) plus the assumptions (sufficient conditions) give us a much clearer idea of the project's design" (TEAM Technologies 1994:4).

## **6.6 The concept of Logic modelling**

### **6.6.1 Defining logic modelling**

The logic model provides a readily comprehended picture of the intended programme to external audiences (Scheifer 2000:143). Within a Logic Model, each performance measure will correspond to a specific part of the logic model, showing the chain of events between the programme's resources, activities, and goals (Scheifer 2000:142). "A logic model or theory of action depicts, usually in graphic form, the connections between program inputs, activities and processes (implementation), outputs, immediate outcomes, and long-term impacts" (Patton 2002:162).

### **6.6.2 The relationships**

According to IPDET (2002:4-8) logic theory is where "the connection between the intervention and outcomes should sense." The relationships hypothesized to underlie a programme are usually facilitated by generating the "logic model" (Scheifer 2000:142). By using logic models evaluators could provide evidence for the hypothesised connections among programme delivery, outputs, and desired outcomes (Scheifer 2000:139). The logic of the Logframe can be helpful for projects with a clear, linear relationship between inputs and outcomes (such as infrastructure or service delivery projects), but it sits less comfortably with social development issues and does not cope well with complexity (Pasteur 2001). It is important to use logic models correctly as organizational theorists introduced what has become a classic distinction between "espoused theories" and "theories-in-use." The espoused theory is what people say they do; it's the 'official' version of how the organization operates (Patton 2002:163). Entrepreneurs should be cautious not to say that they use a logic model, but do not present or understand the crucial relationships necessary.

### **6.6.3 The uses of logic modelling**

Developing and presenting the programme's logic encourages programme designers and managers to articulate its underlying "program theory," and may help to uncover conflicting or unrealistic expectations among various stakeholders (Scheifer

2000:143). Worthen (1997:92) agrees with this when stating that the objectives-oriented evaluation approach has “caused program directors to reflect about their intentions and to clarify formerly ambiguous generalities about intended outcomes.”

The American Evaluation Association took stock of progress in the application and use of evaluation findings for decision-making and in the development of evaluation methods, and emphasizes the importance of credibility – through eclecticism in methods and clarity of presentation – and of realism, sensitivity, and independence in relationships with decision makers (Chelimsky, 1995:3).

It also would help to reduce the “stand alone” nature of current performance measure reporting by examining the “arrows” as well as the “boxes” in a program’s logic model (Scheifer 2000:147). Certainly, such analyses are preferable to simply assuming that any desirable trends over time show worthwhile program “performance.” More sophisticated and thoughtful approaches are needed to support the responsible use of performance data. Evaluators could be the “navigators” to help agency managers and administrators get more “bang” for their investments in performance measures “bucks” (Scheifer 2000:147).

Thinking and logic modelling go hand in hand. Couger (1995:135) notes that most of the authorities in the field of thought and reasoning agree that intelligence and thinking ability are not necessarily mutually dependent. He uses the example of a car to prove this point: A powerful car may be driven with little skills. A humble car may be driven with great skill. There is of course a connection between driving skill and the power of a car in as much as a *skilled* driver would do better in the powerful car than in the humble car. Innate intelligence or IQ can be compared to the intrinsic power of the car. The skill with which the power is used is the skill of thinking. Thinking is the operating skill through which innate intelligence is put into action. (Couger, 1995:135).

Logic modelling could help to link two major purposes for performance measurement: 'program improvement' and 'accountability to the public', which are often viewed as contrasting or even incompatible (Scheifer 2000:139). Logic models are also used to determine whether a project or endeavour is evaluable. "Clarifying the program logic model or theory of action is an important purpose of many evaluability assessments" (Patton 2002:164).



A wide range of participatory methods have been developed to give voice to the intended project beneficiaries, or affected groups, in the identification, design, and management of projects. These methods include rapid rural appraisal (RRA), beneficiary assessment, stakeholder analysis, and a wide range of social assessment methods. The *Participation Tool Kit* presents a wide range of participatory evaluation methods. These are mainly to consult with beneficiaries during project design (Schnoes et al, 2000:98).

## 6.7 Outcomes Mapping concept

Outcomes Mapping was developed in the late 90s by the International Development Research Centre (IDRC) in Canada (IDRC 2002). In the IDRC context, defining outcomes as "changes in behaviour," emphasizes that, to be effective, development research programs must go further than information creation and dissemination; they must actively engage development actors in the adaptation and application (Earl, Carden & Smutylo 2000:105). Outcome Mapping focuses on one particular category of results - changes in the behaviour of people, groups, and organizations with whom a programme works directly. These changes are called "outcomes." With Outcome Mapping, development programmes can claim contributions to the achievement of outcomes rather than claiming the achievement of development impacts (Earl, Carden & Smutylo 2000:105).

Although these outcomes, in turn, enhance the possibility of development impacts, the relationship is not necessarily a direct one of cause and effect. Instead of attempting to measure the impact of the programme's boundary partners on development, Outcome Mapping concentrates on monitoring and evaluating its results in terms of the influence of the programme on the roles these boundary partners play in development (Earl, Carden & Smutylo 2000:105).

The following are important concepts in outcomes mapping:

**Boundary Partners:** Those individuals, groups, and organizations with whom the programme interacts directly to effect change and with whom the programme can anticipate some opportunities for influence.

**Outcomes:** Changes in relationships, activities, actions, or behaviours of boundary partners that can be logically linked to a programme's activities although they are not necessarily directly caused by it. These changes are aimed at contributing to specific aspects of human and ecological well-being by providing the boundary partners with

new tools, techniques, and resources to contribute to the development process (Earl, Carden & Smutylo 2000:105).

Summary of the key characteristics of Outcome Mapping:

- It defines the program's outcomes as changes in the behaviour of partners.
- It focuses on facilitating change rather than controlling or causing change.
- It recognizes the complexity of development processes and of the contexts in which they occur.
- It looks at the logical links between interventions and outcomes, rather than trying to attribute impact to any particular intervention.
- It locates a program's goals within the context of larger development challenges beyond the reach of the program to encourage and guide the innovation and risk taking necessary.
- It requires the involvement of program staff and partners throughout the planning, monitoring, and evaluation stages (Earl, Carden & Smutylo 2000:107).

Outcome Mapping is a new methodology in the toolkit of evaluators similar to Logframes. It seems to be a dynamic methodology that is currently being tested at the project, programme, and organizational levels by the Evaluation Unit of IDRC.

## 6.8 ZOPP, a participatory Logframe

The "Project Cycle Management (PCM) and Objectives-oriented Project Planning (ZOPP)" guideline describes the principles along which GTZ (German technical cooperation) plans and manages its cooperation inputs (ZOPP 1999). According to the World Bank Sourcebook (2002e) ZOPP is a kind of "participatory Logframe." ZOPP comes from the German term "Zielorientierte Projektplanung," translates in English to "Objectives-Oriented Project Planning." ZOPP is a project planning and management method that encourages participatory planning and analysis throughout the project cycle with a series of stakeholder workshops. The technique requires stakeholders to come together in a series of workshops to set priorities and plan for implementation and monitoring. The main output of a ZOPP session is a project planning matrix, which stakeholders build together. The purpose of ZOPP is to undertake participatory, objectives-oriented planning that spans the life of project or policy work to build stakeholder team commitment and capacity with a series of workshops (World Bank 2002e).

ZOPP helps a project team create a project-planning matrix (PPM), similar to a Logical Framework or LogFRAME, to provide in-depth analysis of project objectives, outputs, and activities. The PPM results from stakeholder workshops that are scheduled through the life of a project to encourage brainstorming, strategizing, information gathering, and consensus building among stakeholders (World Bank 2002e). "ZOPP should illustrate the quality of planning GTZ strives for, but it does not dictate specific tools or methods for individual planning steps" (ZOPP 1999).

The PPM is central to ZOPP based project work because the process of building it relies on repeated, collaborative stakeholder input. In the stakeholder workshops in which the matrix is developed systematic attention is paid to five important issues:

- *Participation analysis.* Taking stock of the range of stakeholder identities, interests, biases, expectations, and concerns.
- *Problems.* Often made visually clear through a "problem tree," through which key problems the project is meant to address are identified, grouped, and prioritised and their causes and effects brought to light.
- *Objectives.* In a corresponding objectives tree, the desired solutions are articulated, clustered and prioritised.
- *Alternatives.* A project strategy is created by understanding the range of means for meeting objectives.
- *Assumptions.* These conditions are necessary for successful transformation of problems into secured objectives. Assumptions are systematically examined and arranged in the PPM (World Bank 2002e).

Participants first review the variety of means available to achieve the project objective. The project-planning matrix shows activities and results as well as the conditions necessary for achieving both. These conditions are important assumptions on which rest decisions about activities, location, timing, procurement, and so on. The information is organized along two axes that show (a) why the project is being undertaken and (b) what the project outputs are that signal success. The PPM thus systematically answers the following questions:

- Why does the project aim for this overall goal?
- What is the project purpose?
- What results/outputs will the project achieve?
- How will the project achieve these results/outputs?
- What external factors (assumptions) are important?
- How can achievement of the objectives be measured?

- Where are the means/sources of necessary data?
- What will the project cost? (World Bank 2002e).

Objectives-oriented planning assumes that joint analysis and planning is necessary throughout the project cycle. If instituted early in the life of a project, ZOPP can provide a ready forum for extensive participation of diverse stakeholders. ZOPP is also a helpful approach to jump starting stalled project initiatives (World Bank 2002e).

For a variety of reasons, promising projects have been known to falter unexpectedly in midstream. In these cases, ZOPP can be a powerful tool for reorganizing if stakeholders' resolve to "save" the project is grounded in a broader commitment to collaboration. In its initial form, ZOPP was created to be closely tied to the project cycle; hence, it has mostly been used in a variety of sector and country settings for project work. The two main component tools of ZOPP, the stakeholder workshop and the PPM, can also be used for the participatory planning of policy and economic sector work (World Bank 2002e).

### **6.9 TeamUp, a team based ZOPP**

TeamUp is a flexible, team based method for improving both the substance and process of project cycle management. It was developed to expand the benefits of ZOPP and to make it more accessible for institution wide use. PC/TeamUp, a software package, automates the basic step-by-step methodology and guides stakeholders through team oriented research, project design, planning, implementation, and evaluation (World Bank 2002e).

The ZOPP model "applies in principle to all types of projects – no matter whether the partner is a government organisation, a bank, an association or a non-governmental organisation, or whether the target group consists of a private enterprise or people in a village" (ZOPP 1999).

The TeamUp method is an organized process for building high performance teams. It has two dimensions, (a) task functions, which assist stakeholders in planning, decision-making, and acting and (b) team building, which encourages stakeholders to collaborate as an effective work group (World Bank 2002e).

The TeamUp method is a series of steps or modules designed to enable a group of individuals to perform essential management functions collaboratively. Typically, the team meets for a two and a half or five-day workshop. Software (PC/TeamUp) is available to facilitate the process. The software accommodates input from a broad

range of stakeholders who stand to benefit or otherwise be affected by design or implementation decisions and adjusts as the range of stakeholders changes through the planning and implementation process (World Bank 2002e).

TeamUp is developed in the late 1980s by the World Bank's Economic Development Institute and Team Technologies. They use the basic ZOPP method and then expands it. TeamUp assumes that the past and future are two different sources on which to draw when designing and implementing project related events. ZOPP, mainly concerned with anticipating and avoiding problem situations, looks to the past to understand the present. TeamUp, concerned with both problems and opportunities, looks to the past and the future to understand the possibilities that offer themselves to the present.

Furthermore, TeamUp adds depth to basic problem identification and design features by encouraging teams to anticipate implementation arrangements and inform the quality of their designs with these realities (World Bank 2002e).

#### **6.10 A glossary of other tools of the trade in use by evaluators**

Most of the methods described are a combination of tools, held together by the guiding principle e.g. output vs. outcome, participation, access etc. Some tools are used by social scientists and others by development practitioners. Some tools are designed to inspire creative solutions, others are used for investigative or analytic purposes. For management and entrepreneurs one tool might be useful for sharing or collecting information, whereas another is an activity for transferring that information into plans or actions. This is a brief glossary of terminology by the World Bank that evaluation practitioners use to describe the tools of their trade (World Bank 2002e; OED 2002b).

**Access to resources** measures how access to resources varies according to gender and other important social variables

**Analysis of tasks** is a gender analysis tool that raises community awareness about the distribution of domestic, market, and community activities according to gender.

**Focus group meetings** are relatively low-cost, semi structured, small group (four to twelve participants plus a facilitator) consultations used to explore peoples' attitudes, feelings, preferences, concerns and opinions.

**Force field analysis.** A tool similar to one called "Story With a Gap," which engages people to define and classify goals and to make sustainable plans by working on thorough "before and after" scenarios (Please refer to Chapter 11 of this thesis).

**Logical Framework or LogFRAME.** A matrix that illustrates a summary of project designs, emphasizing the results that are expected when a project is successfully completed. These results or outputs are presented in terms of objectively verifiable indicators.

**Mapping.** A generic term for gathering in pictorial form baseline data on a variety of indicators. This is an excellent starting point for participatory work because it gets people involved in creating a visual output that can be used immediately.

**Needs assessment** is a tool that draws out information about people's varied needs, raises participants' awareness of related issues, and provides a framework for prioritising needs. This sort of tool is an integral part of gender analysis (Please refer to Chapter 5 of this thesis).

**Participant observation** is a fieldwork technique used to collect qualitative and quantitative data that leads to an in-depth understanding of peoples' practices, motivations, and attitudes. Participant observation entails studying the general characteristics of a beneficiary population (Please refer to Chapter 3 of this thesis).

**Pocket charts.** Investigative tools that use pictures as stimuli to encourage people to assess and analyse a given situation.

**Preference ranking** also called direct matrix ranking, is an exercise in which people identify what they do and do not value about a class of objects.

**Role-playing** enables people to creatively remove themselves from their usual roles and perspectives to allow them to understand choices and decisions made by other people with other responsibilities.

**Seasonal diagrams or seasonal calendars** show the major changes that affect a household, community, or region within a year, such as those associated with climate, crops, labour availability and demand, livestock, prices, and so on.

**Secondary data review** also called desk review, is an inexpensive, initial inquiry that provides necessary contextual background. Sources include academic theses and dissertations, annual reports, archival materials, census data, maps, and so on.

**Semi structured interviews.** Also called *conversational interviews*, interviews that are partially structured by a flexible interview guide with a limited number of preset questions. This kind of guide ensures that the interview remains focused.

**Socio-cultural profiles.** Detailed descriptions of the social and cultural dimensions that in combination with technical, economic, and environmental dimensions serve as a basis for design and preparation of policy and project work.

**Surveys.** A sequence of focused, predetermined questions in a fixed order, often with predetermined, limited options for responses.

**Tree diagrams.** Information is organized into a treelike diagram that includes information on the main issue, relevant factors, and influences and outcomes of these factors. Tree diagrams are used to guide design and evaluation systems.

**Village meetings.** When multiple tools such as resource mapping, ranking, and focus groups have been used, village meetings are important venues for launching activities, evaluating progress, and gaining feedback on analysis.

**Wealth ranking.** Also known as well-being ranking or vulnerability analysis, a technique for the rapid collection and analysis of specific data on social stratification at the community level (Please refer to Chapter 3 of this thesis).

**Workshops.** Structured group meetings at which a variety of key stakeholder groups, whose activities or influence affect a development issue or project, share knowledge and work toward a common vision (World Bank 2002e).

Many other innovations have been introduced into the Bank's financial and non-financial toolkit (World Bank 2002b; OED 2002b:1-24; Mackay 2000:43). The list of tools and techniques currently in use at the World Bank includes, among others:

**Performance indicators** are measures of inputs, processes, outputs, outcomes, and impacts for development projects, programs, or strategies (Please refer to Chapter 6)

**The Logical framework (LogFrame) and ZOPP** help to clarify objectives of any project, programme, or policy (Please refer to Chapter 7).

**Theory-based evaluation** allows a much more in-depth understanding of the workings of an activity. For this reason every chapter of this thesis includes a strong theoretical part.

**Formal surveys** can be used to collect standardized information from a carefully selected sample of people or households. Surveys often collect comparable information for a relatively large number of people in particular target groups.

**Multi-Topic Household Survey (also known as Living Standards Measurement Survey—LSMS)** is a multi-subject integrated survey that provides a means to gather data on a number of aspects of living standards.

**Single-topic household surveys** cover a narrower range of issues in more depth.

**Core Welfare Indicators Questionnaire (CWIQ)** is a household survey that measures changes in social indicators for different population groups.

**Client Satisfaction (or Service Delivery) Survey** is used to assess the performance of services based on client experience.

**Citizen Report Cards** investigated the extent of corruption encountered by ordinary citizens.

**Rapid appraisal methods** are quick, low-cost ways to gather the views and feedback of beneficiaries and other stakeholders, in order to respond to decision-makers' needs for information.

**Key informant interview** is a series of open-ended questions posed to individuals selected for their knowledge and experience in a topic of interest. Interviews are qualitative, in-depth, and semi-structured.

**Focus group discussion** is a facilitated discussion among 8–12 carefully selected participants with similar backgrounds.

**Community group interview** is a series of questions and facilitated discussion in a meeting open to all community members. The interviewer follows a carefully prepared questionnaire.

**Direct observation** use a detailed observation form to record what is seen and heard at a programme site. The information may be about ongoing activities, processes, discussions, social interactions, and observable results.

**Mini-survey** is a structured questionnaire with a limited number of close-ended questions that is administered to 50–75 people. Selection of respondents may be random or 'purposive'



**Participatory methods** provide active involvement in decision-making for those with a stake in a project, programme, or strategy and generate a sense of ownership in the M&E results and recommendations. Providing knowledge and skills to empower poor people.

**Stakeholder analysis** is the starting point of most participatory work and social assessments. It is used to develop an understanding of the power relationships, influence, and interests of the various people involved in an activity.

**Participatory rural appraisal** is a planning approach focused on sharing learning between local people, both urban and rural, and outsiders.

**Beneficiary assessment** involves systematic consultation with project beneficiaries and other stakeholders to identify and design development initiatives, signals constraints to participation, and provides feedback to improve services and activities.

**Participatory monitoring and evaluation** involves stakeholders at different levels working together to identify problems, collect and analyse information, and generate recommendations.

**Public expenditure tracking surveys (PETS)** track the flow of public funds and determine the extent to which resources actually reach the target groups.

**Impact evaluation** is the systematic identification of the effects, positive or negative, intended or not, on individuals, households, institutions, and the environment caused by a given development activity such as a programme or project.

**Cost-benefit and cost-effectiveness analysis** are tools for assessing whether or not the costs of an activity can be justified by the outcomes and impacts. **Cost-benefit analysis** measures both inputs and outputs in monetary terms. **Cost-effectiveness analysis** estimates inputs in monetary terms and outcomes in non-monetary quantitative terms (World Bank 2002b; OED 2002b:1-24; Mackay 2000:43).

**Concept Mapping:** When working with stakeholders, one approach that might be useful is concept mapping. Concept mapping is a group process that provides a way for everyone's ideas to be heard and considered (IPDET 2002:4-5).

**Value Innovation:** Kim & Mauborgne (1996:106) explain the concept of Value Innovation with an example: In 1980, CNN came on the scene with a focus on creating a quantum leap in value, not on competing with the networks. CNN replaced the networks' format with real-time news from around the world 24 hours a day. CNN

not only emerged as the leader in global news broadcasting – and created new demand around the world – but also was able to produce 24 hours of real-time news for one-fifth the cost of 1 hour of network news (Kim & Mauborgne 1996:106).

**Social and ethical accounting** is concerned with learning about the effect an organisation has on society and about its relationships with an entire range of stakeholders - all those groups who affect and/or are affected by the organisation and its activities (AccountAbility 2001a).

**Corporate social responsibility, corporate citizenship, and Social and Ethical Accounting** are among the terms used to describe the programmes that measure, communicate, and improve the organisation's impact on society and the environment; and by this move the organisation towards operating sustainably (AccountAbility 2001b).

## 6.11 Conclusions

According to Worthen (1997: 92) the objectives (outcomes) approach has stimulated so much technological development over the years that the process of specifying objectives and developing or finding appropriate measurement procedures and instruments have been finally honed. The literature on objective-oriented evaluation is extensive, filled with creative ideas for applying the approach.

Evaluation Capacity Development (ECD) efforts can be focused on strengthening the supply of these tools if demand exists and if there is insufficient skills within the country, or if financial resources are inadequate, or if the tools require types of data not readily available. The cost-effectiveness of each tool will depend on country circumstances and priorities (Mackay 2000:43). "Good diagnosis, provided by high quality economic and sector work, is critical in establishing realistic development objectives" (World Bank 2002b).

In Chapter 8 the outcomes aspect regarding the acceptability of women construction entrepreneurs will be tested empirically.

Chapter 7 will illustrate and develop one of the frameworks that has its roots within the outcomes construct, namely the Logical Framework.

The Logframe is also a vehicle for engaging partners in clarifying objectives and designing activities. During implementation the Logframe serves as a useful tool to review progress and take corrective action (OED 2002b:9).