Appendix D
Field Team Methods:
The Assessment Materials

Appendix D contains the forms used by the OTA field teams in their assessments of participation, results, sustainability, and replicability in 12 ADF projects; for their assessment of ADF's country programs; and for their assessment of ADF concerning congressional options.

PROJECT COVER SHEET

(To be filled out from information supplied in interviews with project managers, cross-checked with information from others.)

1. Project Name _____ start date: _____

   Organization Name _____ start date: _____

2. Amount of money received to date from ADF: US $ _____

   Other funding sources of project/amount/purpose:

   Other funding sources of organization/amount/purpose:

   Percent of organization's budget received from ADF:

3. Number and characteristics of persons involved

	Total Nos. male female	Average income level/occupation male female
Board of Directors		
Staff (of project)		
Staff (of organization)		
Members of organization		
Project participants		
Beneficiaries		
Community		

Comments:

4. Who makes major decisions?
   Board of Directors_____ Officers_____ other _____ (specify)
   •how selected?: elected ____' appointed _____, assumed _____
   • frequency of meetings: _____
   • minutes of meetings: yes_____ no_____

5. Staff view of project objectives (in priority order)
   a.

   b.

c.

Do participants' view of objectives differ from staff's? yes   no   If so, how?

6.   List records kept (eg., meeting minutes, financial records) and rate quality (excellent, adequate, poor). Explain rating.

7.   List previous evaluations (of project and organization), by whom and when

8.   List any differences from data on chart (ADF Funded Projects: September 1984 thru September 31, 1986)

9.   Relationship with ADF

•When and how did the organization come in contact with ADF?

•number of ADF visits in last year   _____

•visits by whom?

•What do recipients find helpful about the relationship with ADF?

•   What do recipients think could be improved?

10. Notes *re:* information sources and reliability of data on this form.

WORKSHEET 1 -- MINIMUM DATA SET: PARTICIPATION

Name of project: _____

1.   Who is defined as a participant? Who is defined a project beneficiary
      (if different from participants)?

2.   Number of responses (under each category) of project management to the
      following questions:

      How many project participants, _____, ...
      a) most, b) half, c) very few, d) none

                                        (a)   (b)   (c)   (d)

      •   identified the need
      •   proposed the activities
      •   understand the project
      •   contribute labor
      •   contribute material
      •   contribute money
      •   receive benefits
      •   share in decisions
      •   share in evaluation
      •   are on project committees

3.   Number of responses (yes and no) of project participants to the following
      questions on the checklist for participants:

                                        Yes   No

      •   participated in design
      •   participated in evaluation
      •   have access to project records
      •   could be an officeholder
      •   have elections for officers
      •   new people get elected
      •   efforts to get new people involved
      •   usually agree with leaders' decisions
      •   some groups have more influence
                If yes, who and why?

      Comments on data:

4. Who originated the project?

_____ local leader (type: _____)
_____ local indigenous PVO
_____ intermediary organization
    _____ church   _____ indigenous PVO (___regional, ___national)
    _____ parastatal _____ for profit
_____ ADF
_____ other (specify) _____

5. Evidence of changes in project direction due to participant/beneficiary input: _____ yes _____ no. If yes, give examples

6. Specific benefits to participants (e.g., cash, in kind) as a result of activity

Benefit	No. of participants		Average value/amt	
	(men)	(women)	(men)	(women)
a.				
b.				
c*				

7. Specific contributions of participants (e.g., cash, labor) materials) to activities

Contribution	No. contributing		Average value/amt	
	(men)	(women)	(men)	(women)
a.				
b.				
c.				

8. Number of responses of non-participants to questions on checklist:

                                        Yes   No

- familiar with project
- were invited to be in project
- benefit from the project
- could join the project now
- feel benefits distributed fairly

Summary of reasons persons are not participants and/or why they think project is unfair.

9. Meetings/activities in past year (name of group, committe, etc.)

Date	Type of meeting	No. attending (M) (F)	No.possible (M) (F)	Minutes/decisions reflect input (Y,N)

Number at meeting with OTA team: men _____ , women _____

               percent speaking: men _____ , women_____

10. Perceptions regarding role of outsiders (interview project staff/leaders)
    Rating: 1) helpful; 2) ineffective 3) harmful

a. Technical assistance providers

Type	Organization	Comments on TA relationship effectiveness	Average rating

1)

2)

3)

b. Other outsiders

Comments

11. For projects of intermediary organizations

    a. No. of subgroups receiving assistance as result of project _____

    b. How are they selected?

    c. Subgroups' relation to intermediaryo organization:
       • represented on board of intermediary (yes) (n o) _____
       • frequency of contact: _____ times per _____ Who made contact?

       • change adopted in intermediary group program due to input from subgroups: (yes) _____   (no) _____   e.g.

    Comments

12. Other observations regarding participation:

ASSESSMENT OF PROJECT PARTICIPATION

Name of project _____

1. In what ways and to what extent have intended beneficiaries participated in this project? Assess factors fostering and limiting that participation.

2. Are the poorest one-third able to participate in the program? Have any groups been excluded from the project? If so, why and how?

3* How equitably have benefits and costs been distributed?

4. What specific measures or actions would enhance participation of project participants/beneficiaries? How can the impact of these measures on participation be monitored and measured?

5* Has the level of participation affected project impact (results, sustainability and replicability)? Describe.

WORKSHEET 2--MINIMUM DATA SET: RESULTS

Name of project: _____

10.   Principle goods and services delivered by project operations to date:

<u>output</u>   <u>Amount/Value</u>   <u>Intended</u>   <u>Data Source</u>
                                (yes/no)

a.

b.

co

d.

2.   What intended ouputs have not been achieved?

a$_m$

b.

3.   Is there any evidence that participants are better off than non-participants as a result of this project? If SO, give details. Are certain groups of participants (e.g., elites) benefiting more than others?

4.   Summary of perceptions of increased welfare among participants and non-participant beneficiaries (if applicable) interviewed. (Give numbers).

	<u>Participants</u>		<u>Non-participant beneficiaries</u>	
	Men	Women	Men	Women
Feel project will make them much better off				
Feel project will make them a little better off				
Feel project won't help them or will make worse				

How were data obtained (e.g., group or individual interviews).

5. How has the project documented results? How complete is the information?

6. Change in number of organization's members (and/or project participants) since project began. Give numbers of new participants and dropouts. Provide data source.

7* List specific evidence of outcomes (impacts, responses, what people are doing differently) that can be related to project implementation or outputs.

Outcome	Intended (Y) (N)	Data Source

a. Economic

b. Organizational

c* Social

d. Environmental

e. Local or national policy

f* Technical

8. Other observations regarding results:

ASSESSMENT OF PROJECT RESULTS

Name of project _____

1. To what degree (high or low) is the project accomplishing its stated objectives?   Why?

2. How does project performance compare to that of similar projects by other groups?

3. What might have happened had there not been ADF support?

4. What are the key factors responsible for project outcomes or effects?

   a. economic
   b. organizational
   c. social
   d. environmental
   e. local/national policy
   f. technical

5. How could project outcomes be enhanced?

WORKSHEET 3 -- MINIMUM DATA SET: SUSTAINABILITY

Name of project: _____

1.   Was there project activity before the ADF grant?   Yes ___ No___
     If so, what?

2*   Is the ADF funded activity intended to continue after grant?

30   Project and group (if applicable) has:

	Project	Group	Comments
	(y) (N)	(Y,N,N A)	

a.   Strategy to maintain leader-
     ship, member participation,
     group cohesion

b.   Strategy to cope with nega-
     tive environmental impacts

c.   Strategy to cope with nega-
     tive social impacts

d.   Plan to maintain activity
     financially/economically after
     ADF grant (eg, recurrent costs)

e.   If small-scale enterprise
     --market analysis
     --business plan

f.   Training program
     --management
     --technical
     --financial

g.   Strategy to gain access to
     technical assistance/know-how

h.   Plan to do other activities

i.   Strategy to deal with potential
     opposition to project/group

Strategy to mobilize and generate complementary resources

4. Evidence of adaptation in project design/group organization (objectives, activities, organization, etc.) in response to changing circumstances

<u>What</u>   Why

a.

b.

c.

5. Resources critical to continuation of project/effort and source (local, national, external)

6. Prospects for continued support of project activity. Or, if project is not intended to continue, prospects for other activities by the group.

7. Other observations regarding sustainability:

ASSESSMENT OF PROJECT SUSTAINABILITY

Name of project _____

1.   What specific factors indicate the likelihood that project outcomes (economic/financial, organizational/ social, environmental, technological, policy outcomes) will be sustained over time? What are constraints to sustainability?

2.   What specific changes would increase the likelihood of sustainable outcomes?   How can they be monitored by ADF?

3.   To what extent has the project changed local technologies and management, and what influence does that have on project/group continuation?

WORKSHEET **4 --** MINIMUM DATA SET: REPLICABILITY

Name of project _____

1.   promising project elements (technologies, organizations, process, etc.):

    <u>Element</u>   <u>Innovative</u>   <u>Conditions required for wider use</u>
                     (y)   (N)

    a.

    b.

    c.

    Comments:

2.   Incidence of adoption of specific project methods or technologies among non-participants

    <u>What</u>   <u>Who</u>   <u>Where</u>

3.   Efforts made by the group or ADF to spread knowledge gained (e.g., radio, newspaper, conferences, exchange visits)

    a.   by project

    b.   by ADF

    c*   by others

4.   Other observations regarding replicability:

ASSESSMENT OF PROJECT REPLICABILITY

Name of project _____

1. What promising project elements (e.g., process, organization mode, technologies) are particularly applicable to other groups and/or to further activities by this group? Why?

2. Which of these elements are innovative compared to those used in other projects addressing similar issues or situations?

3. What effects (if any) have there been (or are there likely to be) outside the locale of the ADF-funded project? How can these effects be enhanced?

4. What lessons have been learned (by ADF, project managers, participants, and others) from this project?

COUNTRY PROGRAM ASSESSMENT

(Team responses based on all project data, observations and interviews relevant to ADF program in this country).

Name of Country: _____

1.   What is your overall assessment of ADF in _____? What impact is it having on social and economic development and how could it be enhanced?

2.   Is there evidence that the projects you visited are/are not typical of other ADF projects in the country? Explain.

3.   What is ADF's track record in comparison with other donors?

4.   What alternative project(s) might the same funds have supported which could have resulted in greater impacts along the lines of ADF's mandate?

5*   Does ADF appear to respond to real needs?

6.   Is there anything unique or different about ADF? Comment on the effectiveness and appropriateness of that contribution.

CONGRESSIONAL   ASSESMENT

Name of team member: _____

1.   On the basis of all you have learned, would you recommend that ADF's funding level be increased, decreased or remain the same? Why?

2.   What are your specific recommendations for improving ADF's performance? (You may include changes in ADF implementation and interpretation of the legislation as well as changes in the Legislation.) List as many as you wish, and indicate your priorities.

3.   What lessons came out of the ADF assessment that are relevant to other agencies (AID, U.S. PVOS, others) working in African development?