NGO-IDEAs

www.ngo-ideas.net

NGO-IDEAs Impact Toolbox

Participatory Monitoring of Outcome and Impact

v 2.0.6, 09 November 2009

'Draft for piloting and refining the toolbox for various sectors in 2010'

Edited by:
IMPACT PLUS TEAM :
Bernward Causemann
Eberhard Gohl
with contributions from
NGO-IDEAs Regional Coordinators:
George Cottina (East Africa)
Godofredo Limotlimot (Philippines)
C. Rajathi (India and Bangladesh)

Planckstrasse 6, D-70184 Stuttgart, Germany
www.impact-plus.de

Impact+

Table of Contents

This second version of the NGO-IDEAs Impact Toolbox is developed from the earlier version:

THE IMPACT TOOLBOX

Toolbox for Impact Monitoring and Evaluation of Savings & Credit Programmes

Version: 1.1, December 2007

Contributors to version 1.1, 2007:

We gratefully acknowledge the contribution of the working group consisting of Dr. Eberhard Gohl, Dr. K.S.Malathi, Mr. Susai Raj, Mr. Radhaakrishnan, Mr. Nandagopal, Mr. Joseph Victor Raj, Dr. Sheila Benjamin, Mr. Prabhakara Alva and Mr.T.K.Nathan in the refining process to bring out this version 1.1 of 2007 of this tool box. We also record our appreciation to Ms. E.K. Santha who contributed to version 1.0 of 2007. We also thank all the NGO partners and well wishers in India and Germany for their support and encouragement. We are especially thankful to OUTREACH, Bangalore, for the caselet.

Development of version 2.0.5, November 2009:

The Impact Toolbox is currently being extended to be applicable for new sectors and other countries. A process of revision has started in July 2009 in order to use this draft version for the application of the tools in 2010. The present version shows the generic structure of the “new” NGO-IDEAs Impact Toolbox, it has to be complemented by other documents specifying country, sector and context specific approaches.

Concept and Values of NGO-IDEAs – an Introduction for all NGO-IDEAs Publications

“NGO Impact on Development, Empowerment and Actions” - NGO-IDEAs

… is a cooperation of 09 African, 23 Asian and 14 German non-governmental organisations (NGOs) working in the field of development cooperation. It is a unique concept as it intends to identify and develop, jointly with all partners some genuine concepts and tools for NGOs in the areas of Outcome and Impact Assessment and Monitoring & Evaluation (M&E).

NGO-IDEAs is not just another study evaluating the outcome and impact of NGOs‘ work – it combines research & development, knowledge management, learning & training and advice & coaching to trigger a collective learning process for all partners involved. Additionally, NGO-IDEAs intends to create a valuable resource base for use by NGOs and community based organisations (CBOs).

What is the intention of NGO-IDEAs publications?

Three publications are at present being drafted for NGO-IDEAs:

- **NGO-IDEAs Tiny Tools for Impact Assessment:**
  It is designed to enable NGOs and CBOs and the primary stakeholders involved to apply simple and easy tools to identify important changes and their causes.
- **NGO-IDEAs Impact Toolbox:**
  It is designed to enable NGOs and CBOs and the primary stakeholders involved with simple tools to steer a project to enhance positive outcomes and impacts, and reduce negative ones.
- **NGO-IDEAs Manual to Strengthen Impact Oriented Project Management:**
  It is designed to support an organisation to trim its planning, monitoring and evaluation procedures towards increased outcome and impact orientation.

These three publications have specific answers to one question they have in common: “How can we understand the difference we make?” Or: “How can we see to what extent our own actions are bringing the desired effects?”

Who are the main stakeholders?

“We” includes the following main stakeholders:

- the primary stakeholders who take action to improve their own living conditions
- their representatives in their community based organisations (CBOs)
- the staff of the intermediaries who support the primary stakeholders in their self-help action (like local development NGOs)
- the staff of the development organisations (funding organisations) who technically and financially support the intermediaries

By primary stakeholders we understand the persons who shall be the ultimate beneficiaries of a development intervention (programme or project), including their groups and organisations.[1]

[1] Alternative definition (CR): ----“an individual, or households, or the community groups, who are ultimate receivers of project services/supports and are empowered to take stake in the project decision making process and in the process of monitoring the effects”.

By intermediaries we understand the persons (including their organisations) who shall support the ultimate beneficiaries to get the best benefit from a development intervention (programme or project); frequently, a programme or project has to address to them to enable them to this supportive work.

Why look at the difference we make?

In the last years, international discussion about the effectiveness of development assistance has motivated many funding organisations to look more closely at the effects (outcomes and impacts) of their development action. Specifically, NGOs feel challenged to reach optimal results with their funds. The public who is funding this work with their donations are increasingly expecting the projects to have some effect on the lives of the people living in poverty or distress.

But specifically the NGOs know that their development action cannot be successful unless it is an important support, or even an ignition spark, to the primary stakeholders' self-help activities. All these persons who are striving to improve their living conditions need to know which action is bearing fruits, and what other consequences it is bringing about.

All the NGO-IDEAs publications are written with the conviction that creating awareness about the effects of the primary stakeholders' own action is empowering! The publications shall support the primary stakeholders, CBO representatives and NGO staffs to observe outcomes and impacts of their work, to analyse them and to draw conclusions on how to continue their development actions.

Why is there a need for additional guides to outcome and impact assessment?

Whereas there are numerous publications on similar topics like those described in the NGO-IDEAs documents. The authors have continuously been screening existing guidebooks in order not to "re-invent the wheel". Indeed even with the reams of excellent ideas and presentations which have inspired the authors, the focus on the following aspects has been missing so far:

- the specific issue of "the difference we make", i.e. the question of how to observe, measure and describe change, combined with the analysis of what has contributed to this change, and to what extent our own action has consequences;
- an outcome and impact assessment which can be carried out by the actors themselves: by the primary stakeholders, their CBO representatives, and the NGO staff who is supporting them;
- tools and procedures which contribute to awareness creation and empowerment.

The uniqueness of all the NGO-IDEAs publications is that they are focussing on these three aspects simultaneously.

What are the linkages between the NGO-IDEAs publications?

With the above mentioned aspects in common, there are distinct purposes and contents in each of the publications.

NGO-IDEAs Tiny Tools for Impact Assessment

The *"Tiny Tools"* suggested in this publication shall help to get systematic insights on change in a short session. They can be applied by field staff and project officers during field visits, or by evaluation and study teams, and they all are designed so that communities can apply these tools independently after some exercise. They do not just serve “data collection” but they are appropriate to be used to create awareness on change and how it can be moulded by the stakeholders. Experience shows that these, too, mobilise enthusiasm and increase the capacity of communities to bring about further change.

In this sense, they will contribute to sensitising about “the difference we make”. Unforeseen outcomes and impacts which may not have been seen at the beginning, or underestimated, may get visible. Single changes can be highlighted, measured and described; they have to be followed by an analysis of what has contributed to the observed change, and what the stakeholders can do to influence it still more in a positive direction.

<u>NGO-IDEAs Impact Toolbox</u>

The *“NGO-IDEAs Impact Toolbox”* offers a combination of four tools for outcome and impact monitoring that are linked to one another, as a support to project management. It serves the purpose of enabling the NGO and the grassroots organisations or the population involved to steer projects in a manner that will enhance positive outcomes and impacts, and reduce negative ones.

The instruments of the NGO-IDEAs Impact Toolbox are simple and participatory. Simple means: setting out from people’s knowledge and know-how, easy to learn and efficient in terms of the time and financial effort required. Application can easily be fitted into the “normal” activities of the NGOs or grassroots organisations. The participatory character contains democratic elements promoting a “Culture of Continuous Learning” that the people can assimilate.

In this sense, the Tiny Tools can be used as elements to enrich the information and analysis offered in the Impact Toolbox.

<u>NGO-IDEAs Manual to Strengthen Impact Oriented Project Management</u>

The *“NGO-IDEAs Manual”* presents a rich choice of options to upgrade a funding or implementing NGO’s monitoring and evaluation (M&E) system to increased outcome and impact orientation. Step by step, these elements can be configured according to the individual organisation’s needs.

While the Impact Toolbox is offering a set of procedures and tools which lead to a “ready made” outcome and impact oriented monitoring system, the Manual offers a more systematic approach to combining various – existing or new – elements to shape a “tailor made” M&E system.

The Tiny Tools can be used as a complement for information collection, analysis and dialogue with concrete proposals for awareness creation.

What are the pre-requisites for applying these procedures and tools?

First of all it has to be clear that the three publication offer well-proven suggestions on procedures and tools around outcome and impact assessment – but after all, as tools they don’t work by themselves. The application of a tool is an art! It requires specific skills and conditions of work.

Regarding the NGO,

- the staff should be used to participatory work with the communities, i.e. to respect the community’s autonomy, and to empower the primary stakeholders to improve their living conditions according to their own needs;
- the staff needs good facilitation skills – for all the presented procedures and tools! – in the sense that they are enabling the primary stakeholders to take responsibility for themselves, skilfully reducing the top-down approach in the decision-making process for the communities;
- the NGO management needs to support the idea of participatory outcome and impact oriented project management; i.e. make sure that achievement of benefits for the primary stakeholders is the ultimate purpose, and not just achievements of targets for outputs;
- hence, the NGO’s M&E system has primarily to serve a learning culture (“improving”) and not give priority to accountability and reporting (“proving”); even if these two purposes may be continuously in conflict, it has to be made clear that NGO-IDEAs publications shall serve learning, awareness creation and empowerment of the primary stakeholders.
- For the introduction, additional requirements are
  - open communication with primary stakeholders, CBOs and funding agencies;
  - in-depth understanding of the subject, if necessary with technical support;
  - have access to additional funds for translating and producing the manuals and for conducting trainings;
  - have an appropriate software[2] and computer literate staff for recording and analysing the monitoring data.

Regarding the CBO,

- there should be a striving for democratic structures and for internal participation, and be inspired by solidarity and mutual trust;
- especially, the CBO should strive for increasing gender equity and the promotion of the households living in extreme poverty;
- the CBO and its federative structures have to be trained and progressively enabled to manage these tools independently;
- at least a few literate members should participate and ensure documentation of the results;
- the primary stakeholders have to be committed to the project objectives;
- the primary stakeholders should be willing to analyse their own action openly;
- ideally, some group members should be literate.

Regarding the individuals,

- they need a certain level of self-awareness and openness;
- they should be convinced of the benefits of the project and therefore contribute time and willingness to participate.

Regarding the funding organisation,

- it should be willing to support monitoring approaches that are primarily empowering, i.e. be flexible and accept the NGO-IDEAs tools for monitoring purposes, and it should accept that reporting needs may be secondary;
- it should be interested in information about outcomes and impacts that are outside the limits of the agreed plans;

[2] At present, good experiences have been made with GrafStat and specifically prepared Excel sheets. The work on appropriate software is in progress.

– it should be willing to provide support where additional resources are needed.

Who may use this information for project management?

First of all, outcome and impact monitoring is made by primary stakeholders and NGO staff primarily for the former's benefit. This implies that

- information is not collected for the primary purpose of reporting, it is basically confidential;
- information has continuously be fed back to the stakeholders concerned, be analysed and lead to decisions;
- information which is relevant for decision making for the NGO's and funding organisation's management has to be shared with them.

At what stage in the project cycle can the NGO-IDEAs publications be applied?

It is possible to start with the application of the procedures and tools described in these publications <u>at any time of the project cycle:</u>

- It makes sense to start <u>during project implementation for testing</u> single new methods and tools in parts of the project, i.e. in some components or in a few villages or groups.
- It makes sense to start an improved and modified M&E systems at the beginning of a new project, i.e. when planning and budgeting the future project, and when training the personnel. However, this can only be done when the organisation and the primary stakeholders have tested and adapted the new elements.

In which sectors can the NGO-IDEAs publications be applied?

The NGO-IDEAs publications are meant to serve all kinds of NGO work. All the tools are meant to be used with all kinds of stakeholder, selecting and adapting what is most appropriate in the concrete situation. For instance, the Manual is meant to be applied for any kind of development organisation in all typical sectors of development assistance.

The Impact Toolbox, however, is meant for projects which are more specifically designed to strengthen self-help activities of primary stakeholders living in poverty or other distress. Mainly, it had been designed for projects addressing the primary stakeholders by using a group approach, at present further trials are made with using it with individuals, too. Originally it focussed on project in the livelihood sector. In the mean time it is being adapted for projects in education, primary health care, and human rights.

The Tiny Tools could be used in any sector, independent of the approach (whether addressed to groups or to individuals). Future experience will show which tools suit which target groups best.

Resources required

The experience shows that an outcome and impact oriented M&E system requires more resources than a conventional M&E, especially at the beginning. It takes time for discussion and learning to define the modifications in the M&E system, and usually more new aspects are added to the M&E than what can be left away

However, if outcome and impact monitoring – with awareness creation purposes – is built in to the regular field work of the NGO, it may not require additional work for collecting information. The field staffs regular work always includes questions like e.g.

- How is your situation at present?
- To what extent has it been changing since our last meeting on this topic, and since the project started?
- What has contributed to this change, what has hindered this change?
- What can we do to improve this change?

But even if these questions are asked regularly as a routine by the project staff, it remains a challenge to document the answers. If the development of the monitoring results shall be compared in the course of time and with different reference values, then this will almost not be possible without appropriate software.

Which terminology is the most adequate?

It is not easy to agree on a common terminology around outcome and impact assessment. Different language and different understandings on how “development works” are hampering a joint definition. In many countries, development organisations are trying to find their own understanding of the terms and to discuss this with their partners.

The norms for procedures and terminology in development cooperation are generally set by OECD-DAC[3], specifically in monitoring and evaluation. For a series of reasons explained in the “Manual” NGO-IDEAs is suggesting for the common work to modify slightly the definitions of “impact” and “outcome”.

The following terminology has been proposed to partners and has been accepted as working definitions to be used for the time being. It is consequently built on causal links in the results chain, avoiding time-related definitions (the terms differing from the DAC definitions in *italics*):

[3] Organisation for Economic Co-operation and Development, Development Assistance Committee: Glossary of Key Terms in Evaluation and Results Based Management; Paris 2002; Weblink: http://www.oecd.org/dataoecd/29/21/2754804.pdf (07 September 2009)

Results Chain

Term	NGO-IDEAs terminology [4]		
Impact	*Any change in the situation of the persons the project addresses to,* – *to which the outcomes have contributed* – *that can only partially be attributed to the use of the project outputs or to the outcomes.*	**Effects**	**Results**
Outcome	*Any change in the situation of the persons the project addresses to, which can be attributed plausibly mainly to the use of the project outputs.*		
Use of outputs	*The application of the outputs (e.g. products, services or acquired knowledge or skills) by the persons the project addresses to.*		
Output	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.		
Activity	Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.		
Input	The financial, human, and material resources used for the development intervention.		

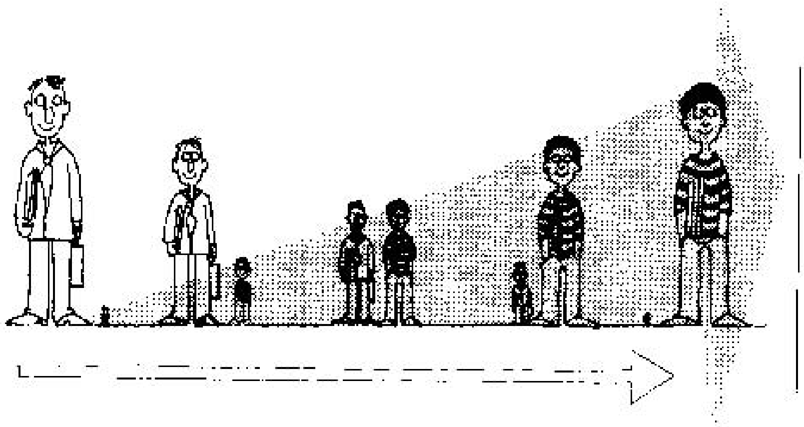
What does participation mean?

This is a wonderful-sounding term which is notoriously likely to be misunderstood. No management tool can be participatory in itself. Participation requires special attitudes and these participatory attitudes can be learned! Also, participatory monitoring is not participatory per se. The utilization of a tool is an art, and the tools have to be adapted to the conditions of the users. This will require appropriate methods.

In the context of self-help promotion, the word "participation" does not mean "to take part in a joint activity". It means more: there should be a continuous increase in empowerment of the primary stakeholders, going hand in hand with a continuous relinquishment of power by NGO and funding agencies. Participation also implies an empowerment of the NGO vis-à-vis the funding agencies.

There is no absolute measure for participation. Even if the range of autonomy of primary stakeholders is small at the beginning of a project this level of participation may be appropriate, if it corresponds to their capacities and needs. But it is crucial that the NGO supports the growth of this level of autonomy of the primary stakeholders, and that it assures that it will not reduce autonomy. At the same time, the NGO has continuously to reduce its influence.

[4] This terminology is still preliminary. It is open for discussion and shall be finalized by end of 2009. The term “use of outputs” is sometimes referred to as “intermediate outcome” or as “immediate outcome”.



Participation is an ongoing process where one side learns to act increasingly autonomously, and the other side learns to hand over responsibilities and power.

Participation means continuous empowerment: it is an ongoing process of capacity-building which requires ongoing changes. Therefore, a participatory management concept serves to develop management tools which can be applied to increase the primary stakeholders' independence of NGO and funding agencies, and NGO' independence of funding agencies.

Is participatory outcome and impact assessment caught between two chairs?

Participatory outcome and impact assessment is a balancing act between conflicting objectives and practices:

– Extractive data collection vs. empowering data collection and analysis:
Frequently in the context of M&E we talk about “data collection” or “information system”. We should refrain from just collecting information without returning a benefit to the people later. The NGO-IDEAs approach is promoting methods and tools that do not only serve for collecting data, but already in the moment of asking questions and of documenting graphs this shall serve for empowerment. Even more, when sharing the results and analysing what has contributed to change, and what could contribute in future, the approach intends to be empowering and motivating for action.

– Focus on understanding of relevant context vs. accurate measurement:
The NGO-IDEAs tools emphasise the learning about the context. In the context of self-help, it is often more important that the primary stakeholders seize the relevant trends of development than get an accurate measurement. The NGO-IDEAs tools, nevertheless, also intend to contribute to more accurate measurements of change, also by differentiating the persons who benefited most from it: women and men, household below and above the poverty line.

– Learning (in protected spaces) vs. accountability (toward the public):
In order to promote empowerment, the primary stakeholders and the NGOs need a protected space where they can analyse the outcomes and impacts of their action without justifying themselves not to be perfect or committing mistakes (if any). Accountability is always part of cooperation, but in self-help promotion it is subordinated to learning. Not all information has to be disclosed, some information needs to be confidential.

– Trend to focus on short term results (output) vs. long term results (outcome, impact):
If monitoring is done during project implementation, it tends to focus the short term aspects such as activities and outputs. NGO-IDEAs is taking up the challenge to monitor outcome and impact, aspects that frequently emerge after some time only. Therefore, it is giving priority to the aspects which refer to a change in the situation of the primary stakeholders.

– Additionally, empowerment and awareness creation mean more than democratic participation:
Although democratic participation is required in the context of self-help promotion, this is not enough! All the project activities have to contribute to empowerment of the primary stakeholders; and specifically the outcome and impact monitoring can and should serve as an eye-opener and create awareness about the results of the own action, i.e. the own effectiveness, and help improving it!

So whose perspective counts?
With the tools presented by NGO-IDEAs, clear priority is given to the primary stakeholders' perspective. But with the practice of triangulation, it becomes clear that this perspective has to be complemented by other perspective, e.g. from the NGO staff and from externals. Only with these perspectives one may get to a sharper "three-dimensional" picture.

Continuous improvement

All these NGO-IDEAs publications are – in October 2009 – still drafts. They will be edited further to build the basis for the common work of the NGO-IDEAs partners during the following two years.

In many steps they shall be reviewed, improved and added on: in the preparation of sector specific handouts; in training workshops, during the application, and when finally evaluating the results of the process. Based on all these experiences, they shall be finalised before the end of 2011.

These drafts are still lacking some elements that are indispensable for a complete publication in the context of our work: they will be enriched with
- more concrete examples,
- stimulating illustrations,
- attractive and uniform formatting.

The editors and authors hope that these publications will serve the intended purposes and that they may contribute to some practical and new insights.

Feedback is welcome for the further improvement of these drafts! Please write to your Regional Coordinator or to Eberhard Gohl gohl@impact-plus.de. Thank you very much in advance!

Introduction to the Impact Toolbox

Outcome and Impact Oriented Steering – the Concept of NGO-IDEAs Impact Toolbox: Purpose and Key Features

The NGO-IDEAs "Impact Toolbox" serves the purpose of enabling the NGO and the grassroots organisations or the population involved to manage projects in a manner that will enhance positive outcomes and impacts, and reduce negative ones.

The instruments of the NGO-IDEAs "Impact Toolbox" are simple and participatory. Simple means: setting out from people's knowledge and know-how, therefore easy to understand and apply. Application can easily be fitted into the "normal" activities of the NGOs or grassroots organisations. The participatory character contains democratic elements promoting a "Culture of Learning" that the people can assimilate.

Key **features** of the NGO-IDEA "Impact Toolbox":

- The Toolbox offers a combination of a small number of instruments that are linked to one another. They form a methodical whole but may also be applied individually to reduce complexity if required.
- The Toolbox is based on instruments that many NGOs are well familiar with. This enables them to be introduced without any major consultancy effort, and in several cases, they may also be used independently by the grassroots organisations.
- The changes which are monitored by the primary stakeholders are mainly derived from their own goals which motivate them to participate in the group, in a very direct and easy way.
- The changes may be measured quantitatively. While this facilitates the aggregation of data, the survey results can also easily be disaggregated if required: For example, not only is a differentiation of impacts possible according to sex, but also according to poverty groups or other social criteria, depending on what is required.
- This information is combined with explorative questions which encourage reflection and demand steering decisions based on the continuous establishment of impacts. They can also be used in reporting, should this be needed.

The toolbox focuses on regular monitoring of outcomes and impacts which needs to be prepared by a situation analysis and by planning. The toolbox however does not describe the full process of situation analysis and planning which are carried out before starting a project; but it may give some useful ideas for it.

It is suggested to use the tools in the same sequence as they are presented here.

Overview of the 4 tools

Name:	**Purpose:**	**Application mainly by:**
PWR: Participatory Well-being Ranking	to cluster households according to criteria for well-being	NGO
SAGE: Situational Analysis and Goal Establishment	to establish changes among individuals and households	CBO, facilitated by NGO
PAG: Performance Appraisal of the Groups	to establish changes in CBOs / groups	CBO, facilitated by NGO
PIAR: Participatory Impact Analysis and Reflection	to manage performance by analysing outcomes and impacts in-depth	NGO

Six Elements of PIAR (approaches to analysis)

Name:	**Purpose:**	**Application mainly by:**
Compilation of data used in quantitative indicators	to complement SAGE and PAG with further data from other sources, e.g. health post or school	NGO
Compilation of data of descriptive indicators	to complement SAGE and PAG with additional qualitative information, e.g. with the "Tiny Tools"	CBO, facilitated by NGO
Analysis of the cause-effect relationship	to analyse the causes that have contributed directly and indirectly to the observed changes, e.g. the contributions of primary stakeholders, of the NGO and of other influences	CBO, facilitated by NGO
Comparison of changes with reference groups	to compare the changes observed in the CBO with the changes in another group that is not directly using the same project's outputs	CBO, facilitated by NGO
Gender-specific disaggregation of outcomes and impacts	to compare the changes in the situation of women and men, or of girls and boys	CBO, facilitated by NGO
Poverty-specific disaggregation of outcomes and impacts	to compare the changes in the situation of individuals or households according to different categories for well-being	NGO

Participatory Well-being Ranking (PWR)

Concept

PWR is a tool designed to involve the community in classifying the families into different categories of well-being, i.e. quality of life. Various groups of resource persons (women / men; young / elderly; different social groups) are asked to classify the households independently. The classification, and the criteria for this classification, are then documented and discussed with the community.

PWR is basically designed to utilise the existing knowledge, information and experiences of the community to assess their situation and status of well-being in order to know the project outcomes and impacts on the households in each category. This is to make sure that the poorer or marginalised households are benefiting from the project at least as much as those who are better-off.

To put in simple terms, it is a tool facilitated by the NGO with the rural or urban community to classify community members' households into at least four categories, e.g.:

Extreme poverty	very poor quality of life	(“very poor”)
Severe poverty	poor quality of life	(“poor”)
Poverty in subsistence	acceptable quality of life	(“middle”)
Simple affluence	good quality of life	(“rich”)

Poverty and wealth are not to be understood in economic terms only! The terminology used for well-being should match with the people's and the project's terminology. It is sometimes helpful if at least two categories are below the poverty line, and two categories are above the poverty line.

There are alternative ways to conducting PWR. One is to start with the ranking as it is described here. Another one is to start by identifying categories: The categories from extreme poverty to simple affluence are introduced, and then they are attributed to the households on the basis of the determined criteria. This option is described below, too. Thirdly, in the disability and inclusion work, Participatory Quality of Life Ranking (PQR) is used. It comes from PWR.

Purpose

The expected **outputs** from PWR assessments are that the NGO and the CBO have

- ⇨ identified the neediest households within one village or one area,
- ⇨ established a well-being profile and
- ⇨ listed the main factors influencing well-being and quality of life in this village or area.

The application of these outputs shall contribute:

- ⇨ to identifying the extent to which different social groups are benefiting from the project (not only in regard to economic, but also personal, social, cultural, or political change),
- ⇨ to ensuring that NGO services reach the designated target groups,
- ⇨ to overcoming the most critical causes of poor quality of life and exclusion,

⇨ to referring the international MDGs as well as the national goals for poverty reduction to the local agenda not only for CBOs but also for individual members and their families.

Process of PWR Application

Pre-conditions:

- The NGO should be familiar with the area and have good relations to the stakeholders. The chosen households should be an entity, a community.
- The NGO needs basic information on the households (village survey or social mapping) and has to draft a household list, containing at least the names of the household heads.
- The community needs an orientation on the purpose of the NGO's intervention, specifically about the purpose of the PWR.
- The NGO staff needs knowledge and skills in facilitation and application of PRA tools; they especially need to be trained in PWR.
- At least a small project activity should result after this exercise. Funds have to be allocated for this.

Step – 1
NGO staff members who are not familiar with the village to be assessed should read the survey documents and additionally take a walk through the village ("transect walk") to become familiar with the village.

Step – 2
Note down the names of the household heads (which are known from the village survey or the social mapping) on cards (one card per household). Find out whether your household list has to be updated.

Step – 3
Select key informants representing all sectors of the community; form small groups (e.g. 3 persons) of key informants, at least 3 groups representing different socio-economic sectors of the village, thereof at least one group composed of women, and if possible at least one group composed of youths.

Step – 4
Ask the key informant groups to rank (sort) the households (= the cards) in accordance with their well-being status by comparing the households with each other. A line develops but often, 5-8 clusters emerge. Facilitate this sorting; it should not be done publicly.

Step – 5
As soon as the key informant group has sorted all the households, ask the key informants for their criteria of classifying "well-being". Document the answers on a flipchart using the local language and/or pictures.

Step – 6
Repeat this exercise with each key informant group.

Step – 7
Document the results and compare them with the help of the stakeholders and your team. If the households are categorised approximately in the same categories, select the more frequent attribution. If the attribution deviates over more than two categories, analyse and clarify the reasons in depth later.

Step – 8
Document and analyse the criteria for well-being; identify the critical factors, the solidarity practices, and discuss the consequences.

Step – 9
Validate the results by discussing and cross checking them with other members of the community.

Step – 10
For NGO-monitoring: Put together the clusters of step 4 into four categories described on the previous page (extreme poverty, severe poverty, poverty in subsistence, simple affluence). These categories will then be used for SAGE. The community needs not to be involved in step 10.

Another option for conducting PWR: starting by identifying categories

Many NGO-IDEAs partners prefer to start with the identification of the well-being categories as seen by the community; afterwards they attribute a category to each household. Instead of the steps 4 and 5 described above, the procedure is as follows:

Step – 4
Together with the community members (in a meeting with CBO members, or with the resource persons), identify the main categories how community members can be classified according to their well-being. Identify the main determinants for well-being (or: well-being classification criteria) and describe the characteristics for each category as demonstrated in the example (p. 20).

Step – 5
Each reference group sits separately and sorts out the cards into different piles, a minimum of four categories of well-being (poorest, poor, medium, rich etc). While doing this sorting, the community's criteria on well-being can be discussed and complemented.

Hints for Application

– It is recommended that the community be involved in the process as much as possible. The purpose of PWR should be explained in community meetings. The key informants can be selected by the community (step 3). The results should be discussed and validated in community meetings (step 9).

– Knowing the well-being status of each household will help assessing the development of living standard of the respective household periodically. However, it is not necessary to conduct the assessment annually, as the poverty situation ordinarily does not evolve that quickly. It may be repeated every 3 to 5 years.

– The PWR exercise should not be the first situation analysis of the community. A household survey should have been conducted before, ideally combined with a village mapping, and by using PRA tools.

– The household survey may contain the information on the number of households, the names of the household heads, the name and education level of husband and wife, the total number of members in the family (men, women, children with age / year of birth), children of school age, disabled family members, the number of earning members, the type of housing, the social group (e.g. caste), the membership in CBOs or groups.

– If the village maps are done directly on the big chart paper instead of on the ground, it would save time. After categorizing the households as per poverty status, this can be reflected on the map coloring the houses in different colors. The map can show the location of the CBO members' houses, too. This map will serve as reference for future updates on the well-being status and comparisons after 3-5 years.

– When selecting key informants with the help of the community, be specific about the criteria for selection.

– The terms “very poor”, “excluded”, “very low quality of life” etc. should be discussed with the resource persons, and the terms used locally should be used in the further discussions. The resource persons may also further differentiate “very poor” into two categories a. “extremely poor” and b. “very poor”.

The privacy of data has to be ensured. This means that data are encoded once these leave the NGO. When data are aggregated or results are published, it should not be possible to identify individuals.

Documentation Example[5]

Well-being Classification Criteria

***Name of the Field Project**: OUTREACH Bellary Project*
***Name of the Programme:** Desert Development Programme*
Name of Village/SHG: Adisakthi mahila sangha
Total number of members : 16
***Tool used:** Participatory Well-being Ranking (PWR)*
***Date of Application**: 1st survey – 06. 03. 2001; 2nd survey – 28. 01. 2007*

Classification of Families

CRITERIA Main / Sub-indicators		Simple affluence [R]	Poverty in subsistence [M]	Severe poverty [P]	Intense poverty [VP]
HOUSE	Type: Size: Nos.:	Cement/RCC roof	Stone slab/ asbestos sheet	Janatha House(govt.)	Thatched (hut)
INCOME	Annual income: Sources:	>Rs.10,000 Vehicles, Agriculture (irrigation)	Rs.8000 – Rs.9999 agriculture	Rs.6000 – Rs.7999 labour, agriculture	< Rs.5999 labour
ASSETS: ***1. Land:***	Dry / Wet & extent	> 2 acres tank irrigation	Irrigated + dry land 2 acre	Dry land 1 acre	No land
2. Vehicle	Income generation vehicles: Luxury vehicles:	Lorry	tractor	Bullock cart	No
EMPLOYMENT	Giving employment / Self employment/ Work as labours	Giving work to others	Self employment	Self employment and work as labours	Work as labourers
LENDING CAPACITY (credit)	Able to lend others / Manage on own / Taking credit from others	Able to lend to others	Manage on own	Taking credit from others	Taking credit from others
INDEBTEDNESS	Yes/ No	No	No	Yes	Yes
Distribution of members with member number during 1st Survey	Out of 16 members	**(0)**	**(0)**	**1,2,9,12,14** **(5)**	**3,4,5,6,7,8,10, 11,13,15,16, (11)**
Distribution of members with member number during 2nd Survey (upward/downward Mobility)	Out of 16 members		**4,6,7,8,11and 1,2** (who were moved from VP and P categories respectively) **(7)**	**9,12,14 (3)**	**3, 5,10,13,15,16 (6)**

[5] Note: This is an example. The criteria for well-being will vary according to the local context. Please follow the discussion on the NGO-IDEAs homepage (“Internal Area”), and look for further examples.

Situational Analysis & Goal Establishment (SAGE)

Concept

SAGE as a tool appraises changes on the individual and household level. This tool works with the concept that people create their own vision of their future living conditions. The purpose is to establish to what extent each member or each household has developed towards the objectives or goals expressed in their vision.

By …	we mean …
vision	an image (or dream) of the future
objective	something that one hopes or intends to accomplish [6]
development objective	intended impact contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more development interventions
goal	the higher-order objective to which a development action is intended to contribute[7]
These are all formulated as a description of the future situation. *(see the examples on the following pages)*	

SAGE is a tool for assessing change based on the objectives and goals the individuals set for themselves or for their households/families. The Situation Analysis of the individual member includes personal, social, cultural, economical & political aspects. With the repeated situational analysis, the individuals can establish to what extent they are reaching each of these goals; this helps to monitor the improvement of the quality of life of each individual and her/his family or household.

Purpose

The expected **outputs** from SAGE are that the NGO and the group/CBO members have

⇨ identified the long term goals of the individual group/CBO members to improve their lives with reference to their personal, social, cultural, political and economic goals

⇨ identified the changes achieved by the individual members, their households and their CBO

⇨ an understanding of the influence of the CBO activities, of the project and others on each individual and her/his family or household, since the inception of the CBO or the start of the project

The application of these outputs shall contribute:

⇨ to tracing, based on the vision of the CBO and the goals of the individuals, the changes in the CBO members’ lives [8], and what contributed to this change;

---

[6] Quoted from Merriam Webster: http://www.merriam-webster.com/thesaurus/objective (25 October 2009)

[7] Definitions on development objective and goal are quoted from OECD-DAC: Glossary of Key Terms in Evaluation and Results Based Management; Paris 2002; http://www.oecd.org/dataoecd/29/21/2754804.pdf (25 October 2009)

⇨ to guiding the CBO and NGO in deciding the kind of support to be given to the individuals and their households.

⇨ to planning the future course of action together with the individuals, their households and/or their CBO.

Process of SAGE Application

Step 1:
Inform the community of the purpose of the tool, its application and usefulness.

Step 2:
Develop together a vision for each of the individuals or families of the CBO / group, e.g.: “Describe what should your life be like after 5 years!” Convert important aspects of the vision into goals.

Step 3:
The goals will easily be transformed into indicators for assessing individual member’s progress towards their personal, social, cultural, economic, and political goals.

Step 4:
Analyse together with the individuals and/or with the CBO to what extent each individual or her/his household is reaching each of the goals.

Step 5:
Analyse the changes together with the individuals and/or CBO / group.

- Whose situation has improved? Whose situation has worsened? Why?
- In which areas did improvement take place? Where did they not take place? Why?

Step 6:
Analyse who and what has contributed to the observed changes:

- What has the CBO / group contributed to the observed changes?
- What has the NGO contributed to the observed changes?
- What have others contributed to the observed changes?

Step 7:
Analyse the consequences for future action of the CBO and NGO:

- What can the CBO / group (and its federation) do to improve impacts for the neediest persons / in this area?
- What can the NGO do to improve impacts for the neediest persons /in this area?

Hints for Application

Each of the steps implies a number of activities which need to be described in more detail[9]:

[8] In the annex there will be an example of the comparison of years – baseline, 2nd survey, 3rd survey.
[9] More practical tips and examples will be worked out for the trainings of trainers end of 2009, with country and sector specific differentiations, if necessary.

Step 2: "Develop a vision for the CBO / group."[10]

How can the groups develop the goals? If people never had an opportunity to influence their lives, or to plan for their future, they may not have clear ideas on how their situation could improve, and find it difficult to formulate such ideas clearly.

Consequently, specific goals may be worked out collectively for a whole CBO; they can, however, also be formulated individually.

Four approaches

Groups can set goals basically in four different ways:

1. They arrive at their own, group-specific set of goals through a facilitated process.
2. An umbrella body of groups (a federation, association etc.) discusses goals. Representatives of all groups take part in this. They decide on the goals and all groups apply the same goals.
3. The NGO may set goals for all the groups, expecting them all to measure against the same goals. This might cause less ownership of the goals, but it is easier for the NGO staff and makes comparison between groups easier.
4. A mixture of 1, 2 and 3: The NGO or federation sets a small number of goals for all groups it works with, and facilitates a process in which each group decides on some more goals which are group-specific.

The following example deals with approach 1 only. For approaches 2 and 3, goals need to be very relevant to groups. That means the NGO needs to undergo a similar process to find out which goals it wants to set for all groups.

Brainstorming on goals

If we ask groups to formulate the goals they want to set, we will probably demand too much from them. We need to ask questions that are easier to deal with. Experience shows that the question has to be put it in simpler terms, e.g.:

– "After 5 years, what should have changed in the members' lives or in the lives of their families?"

Group members will share ideas. We need to encourage them to come up with ideas, make sure that many members participate. Some groups tend to tell stories of what they have achieved and thus lose focus. We need to gently but quickly lead them back to our question.

Experience shows that groups start with aspects regarding group operation:

- members attend regularly
- members respect the rules of the group / CBO
- members save regularly

It may then be necessary to orient the group members to reflect on how their own life or that of their family should be. Important aspects of this vision are highlighted; a goal to describe the situation in the future:

– Each household has sufficient income to provide healthy food for all members.
– Each household has a small kitchen garden close to the house.
– Each household sends all children required to attend school to school.
– Each household avoids violence, also in the domestic area.
– Each member actively participates in the community activities.

[10] This explanation is based on an experience from Kenya of a project with a savings and credit component. It needs – like all the tools presented here – further testing and inputs from other regions and sectors.

Step 3: “The goals will easily be transformed into indicators ….”

How can these goals be transformed into indicators? They have to be reworded slightly in order to allow for counting the members or households having reached the goal:

- **Number of** household**s having** sufficient income to provide healthy food for all members.
- ….
- **Number of** member**s** actively participates in the community activities.

If the counting of various groups with different size is to be done, it is more helpful to select an indicator quantifying the ratio, i.e. percentage of members or households having reached the goal. This is done by calculation the proportion of

- how many have reached the goal, *divided by*
- how many members (to whom the goal is applicable) does the group have:

- **Percentage of** household**s having** sufficient income to provide healthy food for all members.
- ….
- **Percentage of** member**s** actively participates in the community activities.

Step 4:
“Analyse (…) to what extent each individual (…) is reaching each of the goals.”

The specific question is: Which goals has the person / the household reached? Which goals has the person / the household not reached yet? [11]

In order to analyse to what extent each individual or her/his household is reaching each of the goals, there are basically two options:

- with the individuals: this is advisable when the individual change cannot, or should not, be discussed publicly;
- with the CBO / the whole group: this is advisable when there is enough trust within the group, so that the individual change can be discussed openly with others; unrealistic self-assessments can then be discussed, and joint learning may take place more easily.

There are also intermediate solutions. The CBO may agree with the facilitator on how to organise the analysis, and evaluate the experience later with the intention of improving the process.

The privacy of data has to be ensured. This means that data are encoded once these leave the NGO. When data are aggregated or results are published, it should not be possible to identify individuals.

[11] For alternative forms of measuring see “Options to develop SAGE and PAG”, in the chapter on PAG.

Steps 5 to 7: “Analyse …”

- With the help of the facilitator, the answers to each of these questions are collected with the group. Visualisation on a flipchart is commendable.
- If the opinions are controversial, and no agreement can be reached after a short discussion, all of the differing opinions should be documented and the deepening discussion postponed to a later date.
- After the session, the leadership of the CBO shall analyse the results and draw its conclusions for future action.
- The NGO shall maintain the dialogue with the CBO on the consequences of these conclusions.

Further hints for the application:

- Be aware that with SAGE we develop objectives / goals first, and indicators are second!

- The NGO or the federations of the CBOs may assist in introducing this tool.

- In order to know which questions to ask and how to react to what members say, requires good facilitation skills. We need to ensure that the outcome of the discussion really reflects goals that are relevant to the individuals. They should not set goals because we want them to. On the other hand, facilitators need to help CBOs / groups to think beyond what they would normally do, develop goals for something they find important but would not name by themselves. And with our questions we can help groups to define the goals that are most relevant to them.

- Combination with other tools: We can combine this approach with other tools. Like in the case of people with disabilities, being accepted again by the own family was amongst the most important goals. We had learned this through a Most Significant Changes exercise, and it reflected in the goal establishment then.

- Listen and try to understand: Groups have a lot of wisdom which is sometimes hidden. We need to listen attentively and try to understand the underlying meaning. That will help us to support the groups more effectively.

Repeat the measurement/assessment periodically to track the impact.

SAGE will enable to understand mainly the progress of individuals and their families/households towards their goals.

The information from a comparative chart of the CBO, showing its development over time, will enable to develop group indicators as well as to assess group performance.

(The format next page is a copy from an Excel sheet. A more user friendly presentation is being prepared. Please refer to the NGO-IDEAs homepage, “Internal Area”.)

Documentation Example

SAGE FORMAT

Name of the organisation
Name of the CBO
Rural/urban
Number of members
Month and year of CBO foundation
Caste

Baseline - Date of first survey:

MAIN INDICATORS														TOTAL
Is the member very poor (**VP)**, poor (**P), medium** wealthy **(M)** or rich (**R**)?	**P**	**P**	**VP**	**VP**	**VP**	**VP**	**VP**	**VP**	**P**	**VP**	**VP**	**VP**	**VP**	
-	1	2	3	4	5	6	7	8	9	10	11	15	16	
NAME	A	B	C	D	E	F	G	H	I	J	K	O	P	
KNOWLEDGE / ATTITUDE / SKILLS														
1. I am sending my school aged girls and boys to school regularly.														
2. In my family, violence is avoided, also in the domestic area.														
Sub-Total Personal														
ECONOMIC														
1. My household has sufficient income to provide healthy food for all members.														
2. I am regularly repaying my loan with principal and interest														
Sub-Total Economic														
SOCIO-CULTURAL														
1. I am conscious of my rights as a woman.														
2. I treat my daughters and sons equally														
3. I have a small kitchen garden close to my house.														
Sub-Total Socio-Cultural														
POLITICAL														
1. I am regularly participating in the community activities.														
2. I exercise my voting rights														
Sub-Total Political														
Total (All aspects)														

Only two indicators of each cluster are shown here. If any new indicators are evolved, please add them to this format.
1st possibility to score: 1 = yes; 0 = no; [NA] = not applicable.
2nd possibility to score: using the 10-seeds-technique: 0 = not at all achieved; 10 = fully achieved.

Options to develop SAGE

In SAGE we above all use numbers to describe the situation of the individuals / households or the CBO. While this offers many advantages in aggregating or analysing the results, it may also have disadvantages compared to descriptive methods. There is a risk that SAGE has too much of a “school mark” character. Its character, however, depends very much on how this tool is applied. In reality there are a considerable range of design options; here we present 3 of those options attributing technical values.

YES / NO	YES stands for: I have attained the status that I desired when I joined the CBO. NO stands for: I have not yet attained the status that I desired when I joined the CBO.
Percentage Statements	100 % stands for: I have wholly attained the status that I desired when I joined the CBO. The numbers between 0 % and 100 % stand for the gradual attainment of the target, with assessments being given according to feelings. *(Note: The “10-seeds-technique” known from PRA follows the same idea.)*
Scoring	Each criterion, “growth levels” were established each of which was assessed with a certain number of points. (see PAG, page 15)

Performance Assessment by Groups (PAG)

Concept

PAG is used to assess the performance of a grassroots organisation with regard to its long-term goals. PAG establishes changes in CBOs or groups, in contrast to SAGE which establishes changes in the situation of families and individuals. In PAG, the CBO members agree on the goals to be reached by the CBO; regularly, they can measure to what extent they are achieving their goals, and what is contributing to this change.

The goals can be identified with the help of a question like “What are the qualities of a strong group?” They should cover different areas of intended change such as attitudes and behaviour; social, cultural, economic and political aspects; and sustainability.

Purpose

The expected **outputs** from PAG are that the NGO and the group/CBO members have

- ⇨ identified the long term goals of each CBO to improve its performance with reference to personal, social, cultural, political and economic aspects and indicators for sustainability;
- ⇨ identified the changes achieved by the CBO as a group;
- ⇨ understood the influence of the CBO activities, of the project and others on the CBO performance since the inception of the CBO or the start of the project.

The application of these outputs shall contribute:

- ⇨ To tracing the changes in the CBO’s performance, and what contributed to it, based on the goals established for the CBO by its members;
- ⇨ To identifying the areas to be improved, and how to achieve the improvement;
- ⇨ To planning the future course of action together with the CBO;
- ⇨ To guiding the NGO in deciding the kind of support to be given to the CBO.

Process of PAG Application

Step 1
Introduce the purpose and objectives of the tool.

Step 2
Develop the goals, with indicators, in the different areas where change is intended.

Step 3
Develop a specific check list with the group in consonance with its objectives and the expected effect areas, and give scores to each performance level.

Step 4
Assess periodically to what extent the group is achieving each of the goals. When repeating the assessment after a couple of months, compare it with an earlier one.

Step 5
Analyse the results together with the CBO / group members, and when comparing with earlier results encourage discussions on ‘cause–effect’ relationship:
- In which areas did improvement take place?
- Where did the group not improve?
- Why?

Step 6
Analyse who and what has contributed to the observed changes:
- What has the CBO (and the federation) contributed to these changes?
- What has the NGO contributed to the observed changes?
- What have others contributed to the observed changes?

Step 7
Consolidate and validate the results and seek reflection on the consequences for future action of the CBO (and its federation) and the NGO.
- What can the CBO (and the federation) do to improve the group performance in this area?
- What can the NGO do to improve the group performance in this area?

Hints for Application

Step 2: “Develop the goals, with indicators, in the different areas where change is intended.”[12]

Four approaches

Groups can set goals basically in four different ways:

1. They arrive at their own, group-specific set of goals through a facilitated process.
2. An umbrella body of groups (a federation, association etc.) discusses goals. Representatives of all groups take part in this. They decide on the goals and all groups apply the same goals.
3. The NGO may set goals for all the groups, expecting them all to measure against the same goals. This might cause less ownership of the goals, but it is easier for the NGO staff and makes comparison between groups easier.
4. A mixture of 1, 2 and 3: The NGO or federation sets a small number of goals for all groups it works with, and facilitates a process in which each group decides on some more goals which are group-specific.

The following example deals with approach 1 only. For approaches 2 and 3, goals need to be very relevant to groups. That means the NGO needs to undergo a similar process to find out which goals it wants to set for all groups.

Brainstorming on goals

If we ask groups to say what goals they want to set, we will probably demand too much from its members. We need to ask questions that are easier to deal with. Experience shows that two options can work well:

1. What attributes does a **strong group** have?
2. **Where do you want to go**? What should be different with your group in 2-3 years?

Group members will share ideas. We need to encourage them to come up with ideas, make sure that many members participate. Some groups tend to tell stories of what they have achieved. We need to gently but quickly lead them back to our question.

Experience shows that groups usually start with aspects of group operation:

- members are homogeneous
- group has rules
- group meets regularly
- members attend
- no drop-outs from group
- members save regularly

Many of these are on the activity level of the results chain. They are important, but we need to include the other levels, as well: So wherever we feel that the group might develop relevant goals, we can ask for expected benefits:

3. **What benefits** does a strong group bring **for its members?**

We can get answers like:

- Members enjoy certain benefits

---

[12] This explanation is based on an experience from Kenya of a project with a savings and credit component. It needs – like all the tools presented here – further testing and inputs from other regions and sectors.

- The groups supports its members in crisis
- They visit each other when a relative passes away
- They give financial support in illness and after death
- Members learn new things in the group so that they and their families have an improvement in their lives
- The group intervenes in domestic conflict
- The group helps to overcome stigma, it gives self-confidence and trust

If certain aspects are not mentioned, we can ask for certain aspects our project is focusing on, e.g.:

4. What **social benefits** should members get?
5. What **benefits** should members get **regarding their health**?
6. What **benefits** should members get **in economic terms**?

Examples for what is being said are given in the list above. Often, these points come up through a discussion what the group has done and achieved. Group members remember what happened, evaluate the process and results, and say what was good and what they were not happy with. This is an important process of reflection and creating awareness. It needs good facilitation skills!

Groups tend to look at benefits for the group and its members. But very often, these groups have a meaning for the wider community. They bring about change also for others. That could be a group goal. So let us ask:

7. What **benefits** does a strong group bring **for the community**?

As with the benefit to members, people tend to reflect on what happened, what change they did bring about. Often, impressive stories are being told. We need to bring this back to goals: What does the group want to achieve for the community? Examples are:

- Assistance in domestic conflicts even for non-members.
- Raising awareness on issues like school attendance or health for the general community.
- Convincing government to bring infrastructure or services
- Linking groups or the community to specific service providers (agricultural extension, health services, community development programs, loans, etc.)

Again, if certain aspects are not mentioned, we could ask for these issues, like in the following examples.

8. What benefits should the community get in social/cultural aspects?
9. What benefits should the community get in health?
10. What benefits should the community get in economic terms?
11. What benefits should the community get in terms of infrastructure and political involvement?

Examples are given in the list above.

Step 3: Develop a specific check list with the group in consonance with its objectives and the areas of intended change, and give scores to each performance level.

Up to now, the steps consisted of brainstorming and reflection. But the CBO has to decide on the goals to be pursued. The number of goals should be manageable, so the points raised need to be formulated as goals/objectives/aims and the group needs set priorities.

The goals are then grouped and prioritised with the help of a facilitator. The result may be like this:

1	**ATTITUDE, KNOWLEDGE, SKILLS**
1.1	**GROUP SELF CONFIDENCE INCREASED**
1.2	**GROUP IS ABLE TO SOLVE CONFLICTS WITHOUT EXTERNAL SUPPORT**
2	**ECONOMIC ASPECTS**
2.1	**MEMBER AWARENESS ABOUT ALL FINANCIAL TRANSACTIONS**
2.2	**REGULARITY OF SAVINGS (DURING THE LAST SIX MONTHS)**
3	**SOCIAL & CULTURAL ASPECTS**
3.1	**CONSCIOUS ABOUT RIGHTS**
3.2	**ACTIVE AGAINST DOMESTIC VIOLENCE**
4	**POLITICAL ASPECTS**
4.1	**CBO MEMBERS HAVE VOTING RIGHTS AND EXERCISE THEM**
4.2	**CBO REPRESENTED IN GRAM SABHA MEETINGS CBO REPRESENTED IN GRAM SABHA MEETINGS**
5	**INDICATORS FOR SUSTAINABILITY**
5.1	**CONDUCT OF MEETI NGS**
5.2	**ATTENDANCE OF MEMBERS IN MEETINGS**

How can scores be developed?

The following steps are suggested:

1. A maximum for the total score has to be attributed to the performance. It can be any number, but 100 may be an ideal figure for the total.
2. Each goal will get a maximum score which means its weight within the whole set of performance criteria. In the example below (“The group is able to solve important conflicts without external support.”) the maximum score is 4.
3. For each level of reaching the goal, a description and the maximum score will be defined:

GROUP IS ABLE TO SOLVE CONFLICTS WITHOUT EXTERNAL SUPPORT	**4**
Possible Scoring	**Score**
▪ The group is unable to solve minor conflicts.	**0**
▪ The group is able to solve minor conflicts with facilitation by the NGO.	**1**
▪ The group is able to solve minor conflicts with mentoring by the NGO.	**2**
▪ The group is able to solve important conflicts with mentoring by the NGO.	**3**
▪ The group is able to solve important conflicts autonomously.	**4**

Step 4: Assess periodically to what extent the group is achieving each of the goals.

Facilitate a meeting of the CBO/group to assess with the group to what extent they have reached each goal. The group members should agree on the degree they have reached each goal for the time being; if there are different opinions, the arguments should be listed on a flipchart: What specifically has the group reached? What specifically has the group not reached yet? Finally, the group should agree on the scoring.

When repeating the assessment after 6 or 12 months compare its results with an earlier assessment and analyse it according to the steps 5 to 7.

Steps 5 to 7: "Analyse …"

- With the help of the facilitator, the answers to each of these questions are collected with the group. Visualisation on a flipchart is commendable.
- If the opinions are opposed, and no agreement can be reached after a short discussion, the opinions of both sides should be documented and the deepening discussion postponed to a later date.
- After the session, the leadership of the CBO shall analyse the results and draw its conclusions for future action.
- The NGO shall maintain the dialogue with the CBO on the consequences of these conclusions.

Further hints for application

- The NGO or the umbrella bodies (like self-help group associations, CBO federations etc.) may assist in introducing this tool.

- Umbrella bodies are also groups, in a way. They can use PAG and SAGE similarly. But they need to set own goals which correspond to their role as umbrella body. The process of establishing goals can be similar to the one described here. The questions for facilitation need to be adapted, of course.

- To know which questions to ask and how to react to what members say, requires good facilitation skills. We need to ensure that the outcome of the discussion really reflects goals that are relevant to the individuals. They should not set goals because we want them to. On the other hand, facilitators need to help CBOs / groups to think beyond what they would normally do, develop goals for something they find important but would not name on themselves. And with our questions we can help groups to define the goals that are most relevant to them.

- Combination with other tools: We can combine this approach with other tools. Like in the case of CSW, being accepted again by the own family was amongst the most important goals. We had learned this through a Most Significant Changes exercise, and it reflected in the goal establishment then.

- Listen and try to understand: Groups have a lot of wisdom which is sometimes hidden. We need to listen attentively and try to understand the underlying meaning. That can help us to become more relevant to the groups.

- Repeat the assessment periodically to track the changes.

- After a little practice, the CBO itself can administer the two tools: SAGE and PAG. In spite of this, it will probably make sense in many cases for an external person, as a facilitator, to support self-evaluation and corresponding reflection. When CBOs are federated, the facilitator can come from the umbrella body / federation.

Documentation Example

	PAG-IMPACT-FORMAT					
	Name of the organization					
	Name of the CBO					
	Rural/Urban					
	Number of members					
	Month and year of CBO foundation					
	Caste		Date of the Survey			
			06.03.2006		28.02.2007	
S.No	**IMPACT INDICATORS**	**MAX. SCORE**	**Baseline**		**2nd**	
	ATTITUDE, KNOWLEDGE, SKILLS					
1	**GROUP SELF CONFIDENCE INCREASED**	**4**				
2	**GROUP IS ABLE TO SOLVE CONFLICTS WITHOUT EXTERNAL SUPPORT**	**4**				
	……..					
	Total	**20**				
	ECONOMIC ASPECTS					
1	**MEMBER AWARENESS ABOUT ALL FINANCIAL TRANSACTIONS**	**4**				
2	**REGULARITY OF SAVINGS (DURING THE LAST SIX MONTHS)**	**4**				
	……..					
	Total	**25**				
	SOCIAL & CULTURAL ASPECTS					
1	**CONSCIOUS ABOUT RIGHTS**	**4**				
2	**ACTIVE AGAINST DOMESTIC VIOLENCE**	**4**				
	Total	**25**				
	POLITICAL ASPECTS					
1	**CBO MEMBERS HAVE VOTING RIGHTS AND EXERCISE THEM**	**4**				
2	**CBO REPRESENTED IN GRAM SABHA MEETINGS CBO REPRESENTED IN GRAM SABHA MEETINGS**	**4**				
	………					
	Total	**15**				
	INDICATORS FOR SUSTAINABILITY					
1	**CONDUCT OF MEETI NGS**	**3**				
2	**ATTENDANCE OF MEMBERS IN MEETINGS**	**3**				
	………					
	Total	**15**				
	Grand Total	**100**				

MODEL FORMAT

Only two indicators of each cluster are shown here. If any new indicators are evolved, please add them to this format.

Participatory Impact Analysis and Reflection (PIAR)

Concept

PIAR serves an in-depth analysis of outcomes and impacts and is mainly applied by the NGO, but it is also meant to be applied by umbrella bodies that have some experience in impact monitoring. It sets out from the methods of self-assessment of changes among individuals / households and in the CBO (SAGE and PAG), elaborating their results with the support of a number of additional elements used at different levels of PWR, SAGE, PAG. Here the NGOs (or the umbrella body) can summarise the findings from PWR, SAGE and PAG, and analyse the consequences with reference to their prioritised areas of intended change.

It also enables an analysis of the outcomes and impacts of the NGO's work. Regular monitoring ensures optimal use of resource, reflection, correction and improvement of the ongoing process and also serves the purpose of accountability to their stakeholders.

PWR, SAGE and PAG have to be conducted prior to applying PIAR.

Purpose

The expected **outputs** from PIAR are that the NGO (or the umbrella body) has

- ⇨ Prioritised a few areas where outcome and impact shall be analysed in-depth;
- ⇨ Cross-checked the information from PWR, SAGE and PAG with information from other sources, in the form of quantitative and qualitative indicators;
- ⇨ Deepened the understanding on what caused the observed changes;
- ⇨ Disaggregated the information on outcomes and impacts with regard to gender, well-being and other social categories;
- ⇨ Summarised its findings, assessment and conclusions on project outcomes and impacts.

The application of these outputs shall contribute:

- ⇨ To assess the sustainability of the implemented strategies;
- ⇨ To improve the performance of the project management and to prepare strategies for further action.

Process of PIAR Application

Step 1:
Identify the main areas where outcomes and impacts are expected and prioritise them based on the vision and mission of the NGO and on the project objectives.

Step 2:
Select the sample of CBOs where outcomes and impacts will be analysed.

Step 3:
Analyse SAGE/PAG consolidated results for the sample CBOs for each effect area.

Step 4:
Cross check the results from SAGE/PAG with data from other sources [outside the project].

Step 5:
Apply the "Tiny Tools" and other PIAR elements as far as it is helpful for your analysis.

Step 6:
Consolidate, cross check and analyse the findings of step 3, 4 and 5 with stake holders [through reflection workshops].

Step 7:
Plan programmatic corrections and develop future strategies with the stakeholders.

Step 8:
Prepare final document for reporting.

Hints for Application

<u>Step 1: Identify the main areas where outcomes and impacts are expected</u>

The NGO shall prioritise a few areas where outcomes and impacts are expected, according to its vision, mission, and project specific objectives. It may deepen these areas further.

(Examples for areas prioritised for outcome and impact assessment)

1. **increased self confidence**
2. **increased gender equality**
3. **increased additional income**
4. **improved educational status of the children**
5. **enhanced health status of the family**

Step 2: Select the sample of CBOs where outcomes and impacts will be analysed.

The NGO should identify important types of CBOs it is working with. The differentiation may e.g. refer to the primary stakeholders, to their productive resources, to the region, or to the years of cooperation. At least it should select three CBOs of each type which may be representative for this category. The criteria for selection have to be substantiated.

In the ideal case, the NGO includes all the CBO / groups it is working with into the analysis; in this case, the aggregation of the information usually has to be supported by appropriate software.

Step 3: Analyse SAGE/PAG consolidated results (…) for each area where outcomes and impacts are expected.

The goals established in SAGE and PAG, respectively the indicators, have to be attributed to the corresponding areas where outcomes and impacts are expected. For indicators referring to the same area, average values can be calculated.

Results from SAGE and PAG should be compared but not consolidated as they refer to different goals and indicators.

Compare the actual measurement values with earlier ones, e.g. the first measurement (base line) or the previous measurement. Assess the direction and the intensity of change, comparing it with changes in other contexts.

Step 4: Cross check the results from SAGE/PAG with data from other sources

The results from SAGE and PAG which strongly build on self-assessments have to be compared with information from other sources outside the project, e.g.:

- information on health can be cross-checked information from the health post;
- information on education can be cross-checked information from the schools;
- information on income can be cross-checked information on selling prices.

Step 5: Apply the “Tiny Tools” and other PIAR elements as far as it is helpful for your analysis.

For many social and cultural aspects and for changes referring to attitudes and behaviour it may not be possible to obtain data from other sources. In this case it may be necessary that the CBO and/or the NGO collect additional information, e.g. with methods and instruments described in the publication on “Tiny Tools”.

Moreover, it will be necessary to disaggregate the information obtained from SAGE, e.g. referring to gender, children, well-being criteria, and others. The disaggregation will not be possible unless the criteria have to be defined in an early stage, before starting the data collection.

Step 6: Consolidate, cross check and analyse the findings of step 3, 4 and 5 with stakeholders

The outcome and impact monitoring shall serve the empowerment of the primary stakeholders. Therefore it is indispensable that the CBO / the group is involved in consolidation, cross checking and analysing the results as far as it corresponds to their capacities.

The joint analysis of the outcome and impact monitoring results not only serves the awareness creation and decision making of the primary stakeholders, but also the capacity building for analysis of monitoring results.

Step 7: Plan programmatic corrections and develop future strategies with the stakeholders.

In the spirit of outcome and impact oriented project management, the outcome and impact monitoring results will be used for decision making on future action of the CBO / group. The NGO will define its future project activities in a continuous dialogue with the primary stakeholders which is based on the information produced with the outcome and impact monitoring.

Step 8: Prepare final document for reporting.

Group consolidation chart of SAGE for many CBOs and the consolidation chart of PAG are available for ready reference. PIAR reporting format will help to summarise the findings and the analysis. This will help the documentation and reporting.

Documentation Example

IMPACT Assessment Report

(Example of a ‘PIAR’ Reporting Format)

Name of Organisation: **Project Name:**

Reporting Period:

Consolidation Sheet

I. Prioritised Effect areas	**Major Results**
1. **Increased additional income**	• 80% of IGA members have gained an additional income ranging from Rs. 5,000 – Rs. 6,000 per annum • As these IGA members are women this has contributed to equality and mutual respect among men and women • Migration and distress sale of domestic animals and other assets during drought period is curtailed to large extent
2. Increased gender equality	[write as shown above]
3. Increase self esteem and self-confidence	[write as shown above]
4. Improved educational status	[write as shown above]
5. Enhanced health status	MODEL FORMAT
II. Poverty alleviation details	
Poverty classification criteria used	*Refer to “PWR” Table*
Mobility status	Overall, the upward mobility of the CBO (members) average was 44%. The improvement of the VP was equal to the CBO status i.e., 45% but the “P” was less than the VP and the CBO i.e., 40%.
III. Methods Used	
CBOs / CLAs selected for sampling	Random Sampling technique was used. Selected four CBOs and one reference CBO (i.e., Govt. promoted group) by adhering to the following criteria; • Age (2 – 6 years) ; • Uniform Economic status (i.e., dry land farming/labour families)
IV. Feedback Process	
V. Conclusions	
1. Increased Additional Income	
What can NGO do to increase impact?	• Build capacities of CLAs to acquire skills in networking as to promote linkages with market network institutions in order support members.
What can CBOs/CLAs do to increase impact?	• CBOs/CLAs should give more focus on assessing the success factors before supporting members with finance for IGAs.
What does it mean for the NGO’s project management?	• Organisation could engage a Rural Micro Enterprise Development Consultant as to build the capacities of CLAs, individual IGA members and staff of the NGO, for a short-term period i.e., at least 2 years.
What does it mean for the NGO’s strategy?	• Organisation has decided to establish ‘Enterprise Risk Fund’ at organization level to support very poor (asset less) and poor category members as to provide security to CBOs against their IGA loans.

Six Elements of PIAR (approaches to analysis)

1. Compilation of data used in quantitative indicators	Results from SAGE and PAG are complemented with further data from other sources, e.g. health post or school.
2. Compilation of data of descriptive indicators	Results from SAGE and PAG are complemented with additional qualitative information, e.g. with the "Tiny Tools".
3. Analysis of the cause-effect relationship	The causes that have contributed directly and indirectly to the observed changes are analysed, e.g. the contributions of primary stakeholders, of the NGO's project and of other influences.
4. Comparison of changes with reference groups	Changes observed by the CBO are compared with the changes in another group that is not directly using the same project's outputs.
5. Gender-specific disaggregation of outcomes and impacts	Any change referring to individuals can be analysed to what extent it has changed the situation of women and men, or of girls and boys. The tool is also used to explore shifts in rights and duties between husband and wife.
6. Poverty-specific disaggregation of outcomes and impacts	Any change referring to an individual or a household can be analysed with regard to each affluence / poverty category. In this way, the NGO can, for example, gain an understanding of whether households living in extreme poverty benefit at least as much from the measures as the households above the poverty line do.

The elements for analysis may be combined with the "Tiny Tools".

Compilation of data used in quantitative indicators

Concept

For each of the prioritised areas where outcomes and impacts are expected, results from SAGE and PAG are complemented with further data from other sources, e.g. health post or school.

Quantitative or numeric indicators help to answer questions about things that are inherently expressed in numbers such as “How many? How often? How much?” Quantitative Indicators are normally identified in areas where change is expected.

Quantitative indicators often are considered to provide the useful and understandable information to decision-makers, because they can be easily aggregated and compared. However, they are “cold information” that cannot give sufficient background on specific aspects which are difficult to measure, or for which satisfactory indicators have not been found yet.

Quantitative indicators are obtained **from SAGE and PAG** by expressing the monitoring results with numbers, e.g.:

- By counting the Yes- and No-answers and relating them to the totality of the possible answers;
- By calculating averages of scaling and scoring results.

Additionally, quantitative indicators can frequently be obtained **from other sources**, e.g. health post or school or other entities which regularly collect information on changes they are concerned with.

For each of the prioritised areas relevant indicators – from SAGE and PAG and from other sources – have to be identified and analysed.

Purpose

<u>Quantitative indicators are obtained from SAGE and PAG</u>

- To obtain accurate information on the change in relevant areas which may be an outcome or impact of the project
- To facilitate aggregation of data
- To facilitate comparisons between communities, and in the course of time.

<u>Quantitative indicators are obtained from other sources</u>

- To obtain more accurate information on the change in relevant areas
- To validate the (self-) assessment of SAGE and PAG

Application Process

Step 1
Select relevant indicators from SAGE and PAG for the prioritised areas where outcomes and impacts are expected. You may distinguish between indicators directly related to the prioritised areas, or others which are indirectly related to it.

Example for the prioritised area: **"increased gender equality"**	
directly related indicator	number of households sending all school aged girls and boys to school regularly.
indirectly related indicator	number of women who are conscious of their rights

Step 2
Calculate the percentage in order to make the results of different communities comparable: "For how many persons / households has the answer been "yes", in relation to the total number of persons / households to which the question is applicable?"[13]

Step 3
Document the information gathered in the respective year wise column (base line and the respective year)[14].

	Baseline	Year 1	Year 2	Year 3	Year 4
percentage of households sending all school aged girls and boys to school regularly	25%	30%	75%	95%	100%
percentage of women who are conscious of their rights	20%	40%	75%	80%	90%

Step 4
Analyse the development of the indicator, e.g.[15]:
- Did it develop as expected?
- What are the consequences?

Step 5
Collect additional information from other sources:

	Baseline	Year 1	Year 2	Year 3	Year 4
regular school attendance of enrolled **boy** children	55%	70%	95%	100%	100%
regular school attendance of enrolled **girl** children	20%	40%	75%	90%	95%

Step 6
Document the information gathered in the PIAR format.

[13] (Similar explanation will be inserted for the 10-seeds-technique and scores.)
[14] An example with a graph will also be given.
[15] More questions for analysis of cause-effect-relationship is given below; the "Manual" will give further examples of questions for analysing the observed changes.

Documentation

Information for the quantitative indicators can be collected by the community with the facilitation of the NGO or the apex bodies. The NGO should, however, verify the validity of the community's self-assessment in SAGE and PAG.

The information is documented in the PIAR format[16]. This format can also be used for reporting and for comparison in the coming years.

Compilation of data of descriptive indicators

Concept

Results from SAGE and PAG are complemented with additional qualitative information, e.g. with the "Tiny Tools".

Descriptive or qualitative indicators are used to gather comprehensive and in-depth information in each area. They are necessary to explore further aspects of change in each of the prioritised areas, especially to identify unexpected changes and more detailed information.

This descriptive information is collected with the help of open ended or **explorative questions.** It corresponds widely to current NGO practices. This is very useful especially for describing the changes in personal attitudes, belief, behaviour etc. These responses are valuable because they reveal more completely how the respondent thinks.

While quantitative indicators help to collect standardised information, qualitative indicators will not only deepen the information but it will look into unforeseen outcomes and impacts and their relation to external and internal influences. Hence the descriptive indicators - with the explorative questions - will complement to the quantitative indicators in collecting information on changes.

The open ended questions do not ask for any pre-determined information for indicators, but they will rather help in exploring descriptive examples of significant changes. They will help us in better understanding the indicators; and they may help us in discovering new indicators. By asking the same questions regularly (e.g. every 6 or 12 months), the NGO will be able to find out how the answers of the group members are changing. This is important for the outcome and impact assessment. Such descriptions are useful for preparing case studies, too.

Purpose

The application of this tool can contribute to:

- Get additional qualitative information;
- Perceive, describe and assess the unforeseen changes;
- Prepare more specific case studies.

[16] The format is currently being developed. The project is looking for a user friendly software which will produce the required information.

Application Process

Step 1
For each prioritised area decide, on the basis of the quantitative indicators available (from SAGE, PAG and other sources) on what needs to be deepened.

Step 2
Formulate questions – at least one for each prioritised area where outcomes or impacts are expected – aiming at exploring significant change in the selected area:
- “What else has changed significantly in this context?”
- “How has it changed?”
- “Can you give a typical example for this change?”

Step 3
Ask specifically for unforeseen change: “Have there been any unforeseen changes, positive and also negative ones?”

Step 4
Document these answers in narrative form and add this in the PIAR reporting format.

Note:
If the questions are being repeated after a time gap, it is helpful to show or read the documentation of the last time’s answers. The group can then be asked to comment on the difference in answers between now and before.

Documentation

The descriptive indicators are documented in narrative descriptions (in words) in the PIAR reporting format.

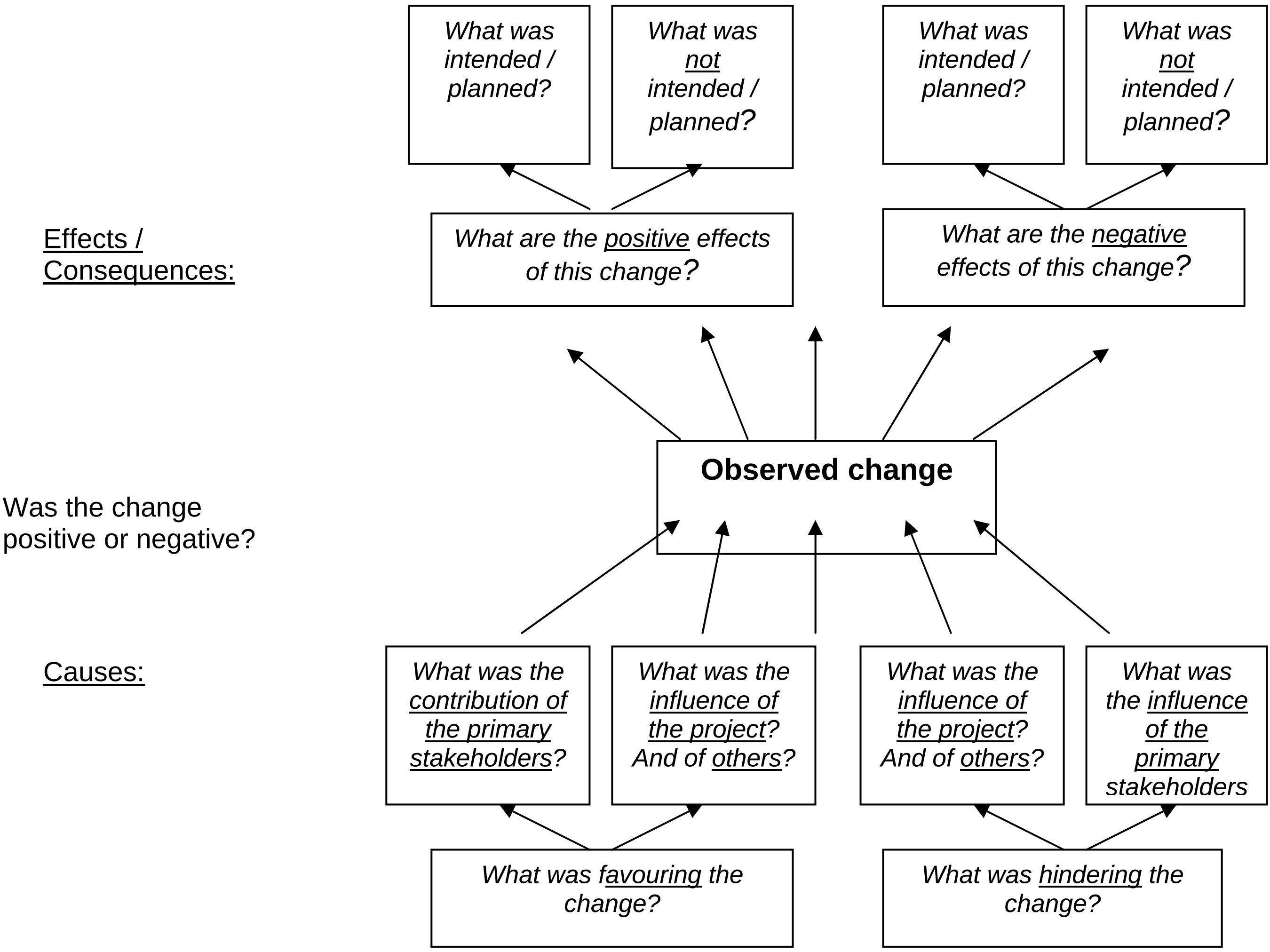
Case studies
The explorative questions can be prepared as an interview guide. This will also help in preparing more specific case studies. Case studies are very helpful especially to highlight the development in a person’s or community’s life since they joined the programme.

Analysis of the cause-effect relationship

Concept

The causes that have contributed directly and indirectly to the observed changes are analysed, e.g. the contributions of primary stakeholders, of the NGO's project and of other influences.

The simplest way to set up a cause-effect-relationship is to ask for the causes and the consequences of the observed change:



In simple words the "cause" is "why it happened?" and the "effect" is "what were the consequences?" The logical relationship between these two is called the cause-effect relationship. This means going deeper on change that has occurred to see 'what were the factors that played a role leading to the particular effect'. This shall help fine-tuning the primary stakeholders and the NGO's project activities.

Purpose

The application of this tool can contribute to:

- attribute the observed changes to the contributions of the community, of the NGO and of others
- fine-tune the project management decisions

Application Process

Step 1
Compile the observed changes (qualitative and quantitative indicators from SAGE, PAG and other sources) for the prioritised areas.

Step 2
Ask the **community** (the primary stakeholders) to analyse the reasons for change, focusing on the **contributing and hindering factors and the consequences of change:**

a. *What has contributed to this change? Who contributed, how?*
b. *What has hindered this change? Who hindered, how?*
c. *What are the consequences of this change? For whom, how?*

Step 3
In the **NGO staff** meeting, ask the same questions as in Step 2 and compare the results with the primary stakeholders' perspective.

Step 4
Use the table of influencing factors to rate the actions which led to change. Cumulative results would indicate which actions need to be strengthened. (The influence matrix given below needs be used only if the NGO wants to deepen the analysis. It can be used in Step 2 and Step 3.)

Documentation

Table of influencing factors can be compiled, analysed and documented for further use.

Table of influencing factors (Example)

Women are more conscious of their rights			
	Primary Stakeholders' contribution	**Contributions from the project / NGO**	**Other external factors**
Contributing factors	*Active interest of women; mutual encouragement; positive internal regulations of the CBO*	*Training and information for women; Leadership training for CBO members*	*Reservation for women into the local bodies; local teachers and health post support the project*
Hindering factors	*First activity brought severe disputes; some husbands were opposed to independent activities by their wives.*	*the behaviour of some staff members is not appropriate*	*Legal situation is in favour of men*

Finally this will be compiled and documented in the PIAR reporting format

Comparison of changes with reference groups

Concept

Changes observed by the CBO are compared with the changes in another group or community that is not directly offered the same project's outputs.

This tool attempts to compare the changes in the CBO with the changes in a similar group or community; this comparison helps assessing the outcomes and impacts of a particular project.

A CBO which is making use of the NGO's services is compared with another group (reference group) which is not making use of the same services. However, the other group may have received the services of other NGOs, governmental programmes or others.

Selection of the reference groups within and outside the project area would serve comparison purposes and help understand the quantum of change due to NGO interventions. NGOs can compare the baseline data of both groups (if available) and it can also decide on the sample size based on their ground situation.

Purpose

The application of this tool can contribute to compare the change among CBO members participating in the NGO project with the change among those persons/households who did not make use of these services and thus assess the outcomes and impacts of the project.

Application process

Step 1
Prepare a list of criteria for selection of the reference group such as

- same area,
- same social and economic background,
- same economic potentials,
- same ethnic group.

Step 2
Select the CBOs (making use of the NGO's services) to be compared and select the reference group. Prepare a list of factors to be compared (major areas of intervention of the project but restricted to few questions). It is suggested to take the prioritised areas of expected outcome and impact.

Step 3
Explain the purpose of this exercise to the reference group and ask for their agreement.

Step 4
Collect the information on the quantitative and descriptive indicators (see paragraphs above) with the primary stakeholders. Analyse the cause-effect relationship.

Step 5

Compare the results together with the primary stakeholders. Analyse with them the differences between the groups, and the causes for it.

Documentation

The documentation is done in the same way as described for SAGE and PAG. However, in order to compare the CBOs with the reference group, it is necessary to have separate columns for each: for example

Example [17]

Indicators selected from the areas where outcomes and impacts are expected	**CBOs accompanied by NGO**			**Reference group**	**<u>Main differences</u> between the CBOs**	**<u>Main causes</u> for differences between the CBOs**
	CBO 1	CBO 2	CBO 3	CBO X		
Percentage of women who are conscious of their rights: **base line**	20%	25%	15%	35%		
Percentage of women who are conscious of their rights: **actual year**	90%	100%	80%	60%		
What, how … ? (explorative question)						
What contributed to the change? What are the hindering factors?						

Finally this will be combined and documented in the PIAR reporting format.

[17] Visualisation will be improved with the help of a chart.

Gender-specific disaggregation of outcome and impacts

Concept

Any change referring to individuals can be analysed to what extent it has changed the situation of women and men, or of girls and boys. The tool is also used to explore shifts in rights and duties between husband and wife.

Gender disaggregation is a simple tool that will help CBOs and NGOs monitor the changes in status of women vis-à-vis men over a period of time. The tool described here[18] makes use of the “10-seeds-technique” as known from the PRA toolkit.

This will give an idea about perceived changes in gender relations. It will also throw light into what contributed towards these changes, whether these changes were mainly influenced by the NGO project or other factors.

NGO can decide on the areas where the gender disaggregation can be applied – for example income, health, education, decision making, asset creation etc.

Purpose

The application of this tool can contribute to:
- Help CBOs and NGOs monitor the change in status of women vis-à-vis men,
- Make people aware of these changes, and discuss the consequences,
- Help CBOs and NGO planning further for desired outcomes and impacts.

Application Process

Step 1 Choose 3 couples at random from amongst CBO members

Step 2 Conduct the exercise jointly for men and women. After a self introduction, the facilitator should explain to them the purpose of the exercise and ask for their agreement.

Step 3 The questions should refer to the goals of the CBO = indicators from SAGE. Start with one goal and ensure that their understanding is in line with the definition.

Step 4 Draw a table as given below and place first the title cards and explain them thoroughly.

Step 5 Give each of them 10 seeds/pebbles each[19] to place their positions in the *‘before’* (before NGO’s intervention) column. Also, provide them some time for reflection and discussion.

Step 6 After placing their positions in the *‘Before’ column,* again give them 10 seeds each and ask them to reflect and finalise their positions in the “*now*” *column*, allow corrections.

---

[18] Another way of gender disaggregation will be described, too, which uses a similar technique as the poverty disaggregation (see next chapter).
[19] Another option is that one couple gets 10 seeds and they have to divide them up.

Step 7 Repeat the exercise with a few other indicators; ask them to continue assessing their positions *‘Before’ and ‘Now”,* as done earlier.

Step 8 After having assessed the transformation for each of the suggested indicators (areas of change) ask them to explain their status/learning in a nutshell by looking at the presentation. If they are able to narrate confidently it can be concluded that the exercise/tool is a user-friendly one.

Step 9 The Respondent’s perception on their status, i.e., the learning point, may be written on a cut card and placed below the matrix.

Step 10 It can also be asked of them as to which of the NGO’s activities or activities of other programmes enabled or hindered them in reaching their current status. The same can be written on a different coloured card and placed below the respondent perception card.

Step 11 The facilitator expresses her/his learning to the respondents.

Step 12 Make sure that has not created conflicts between them. Conclude the exercise if the respondents are satisfied with the facilitator’s expression/learning statement.

Documentation

Matrix for Assessment of Role Transformation/ Change in Responsibility Sharing amongst Men and Women

Criteria	Women		Men	
	before	***now***	***before***	***now***
Attitudes / Knowledge / Skills				
Decision making ability				
Conflict resolution ability				
Self-confidence				
Economic				
Increased Income				
Asset creation				
Social				
Equal treatment for daughters and sons				
Consciousness on self and family health				
Avoidance of violence				
Political				
Regular participation in community activities				

The Facilitator should record the presentation of the respondents on paper if the exercise was conducted on the ground/floor. A copy of the same has to be given to them before leaving the venue for making their own action plans since the exercise would have helped them in understanding their positions. The gender disaggregation results will be carried as an annex to the PIAR report.

State lessons learnt or inferences by respondents

The privacy of data has to be ensured. This means that data are encoded once these leave the NGO. When data are aggregated or results are published, it should not be possible to identify individuals.

Poverty-specific disaggregation of outcomes and impacts

Concept

Any change referring to an individual or a household can be analysed with regard to each affluence / poverty category. In this way, the NGO can, for example, gain an understanding of whether households living in extreme poverty benefit at least as much from the measures as the households above the poverty line do.

Poverty Disaggregation is a tool to see and assess that the NGO's project is having a positive effect on people below the poverty line. The measurement results for each indicator referring to individuals or households can be differentiated according to the defined affluence / poverty categories.

It can be implemented mainly as an in-depth analysis of the results of SAGE, but also any other indicator referring to individuals or households can be disaggregated correspondingly.

Thus, the poverty disaggregation does not require additional data collection but just a differentiated analysis of the results.

Purpose

The application of this tool can contribute to help CBOs and NGOs to assess the outcomes and impacts of a project on persons above and below the poverty line, in order to make sure that especially poor and poorest people benefit most from the projects.

Application Process

After having applied SAGE, the group results are disaggregated according to the well-being categories (i.e. “economic profiles”) developed in PWR (or any other form of poverty assessment).

The application of poverty disaggregation can therefore be done concurrently with SAGE every year.

Step1 Attribute each CBO / group member to the corresponding economic category (e.g. very poor / poor / medium / rich).

Step 2 For each indicator of SAGE, calculate the average value for the persons from each economic profile.

Step 3
Compare the last measurements with earlier measurements, e.g. of the baseline data.

- If the values for the poor and very poor have **increased more** than the average value of the group, then the persons below the poverty line have a chance to catch up.
- If the values for the poor and very poor have **increased less** than the average value of the group (or even decreased), then the S&C programme is having a negative effect on the persons below the poverty line, and the gap between rich and poor is widening.

Step 4 Draw the conclusions for the implementation of the S&C programme in the way that can maximise the positive outcomes and impacts for the people below the poverty line.

Documentation

The Excel sheets used for the analysis of the SAGE results are perfectly suitable to analyse the disaggregated data for each economic profiles. An example is given below:

Indicators	Total Number of members								Total	No. of "VP"	No; of "P"	No. of "M"
	1	2	3	4	5	6	7	…	Yes			
	Name	Name	Name	Name	Name	Name	Name	Name	% of **all** Saying Yes	% of **VP** Saying Yes	% of **P** Saying yes	% of **M** Saying Yes
Category of the household	VP	P	VP	M	P	P	VP	M				
KNOWLEDGE / ATTITUDE / SKILLS												
1. I am sending my school aged girls and boys to school regularly.	y	n	NA	y	y	y	n	NA				
2. In my family, violence is avoided, also in the domestic area.	y	n	n	y	y	y	n	y				

Categories: Very poor (VP), Poor (P), Medium (M)