

Manual on self-evaluation



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Manual on self-evaluation

Part 1: Brochure on self-evaluation themes

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Preface

Do you want to make new discoveries? Perhaps you have already read the introductory brochure «Mirror, Mirror on the wall», which has encouraged you to embark on the adventure of self-evaluation (SE), or perhaps you are simply curious about what self-evaluation can do for you in your work or in your personal development. You are on the right road! You are invited to make your way through this manual in order to clarify, add to and take advantage of what makes self-evaluation and to discover a series of suggestions to be put into practice.

This manual is primarily addressed to persons who already have a certain experience in self-evaluation or who wish to acquire experience. It constitutes a source of ideas and valuable aids to systemize and deepen the process of self-evaluation.

It also complements and deepens appreciation of the first thematic brochure «Mirror, Mirror on the wall». Since publication of the latter, various courses on self-evaluation have been held and new ideas on the topic have been collected, both at head office and in the field. The main difficulties have been found to be in the following sectors:

- Differing opinions and uncertainties in the understanding of self-evaluation
- The difficulty of finding a common basis and common aims
- The step from theory and philosophy to everyday practice: the problem of practical application
- How can the self-evaluation wheel be made to move and be kept in motion?
- What aids are available? How should we go about things?
- Who, or what, can help us further?

The manual looks at these difficulties and offers solutions, but without any pretensions of clearing away all the problems. Our comments and suggestions, should, however, be of assistance since they are based on experience, have been tested in practice, and are not based on theory alone.

Structure and use of the manual

This manual consists of two parts:

Part 1: Brochure on self-evaluation themes

This brochure contains introductory comments which follow on from «Mirror, Mirror on the wall» brochure and are intended to illustrate the objectives of the latter in more depth.

The main part of this thematic brochure contains explanations and information concerning the concept of self-evaluation and its application in practice.

- Questions and fundamental definitions to help understand self-evaluation,
- basic elements and general aims of the self-evaluation process,
- the steps which lead from self-evaluation theory to practical application.

Part 2: Brochure of suggestions for methodological procedure

This methodological brochure accompanies the thematic one and is conceived as being parallel to it; it provides an aid which corresponds to the practical problems raised in the thematic section.

These suggestions and aids are in the form of questionnaires, check lists and methodological concepts which should

- keep the wheel of self-evaluation on the move,
- help in the choice of method and development of appropriate instruments,
- help in finding solutions to difficulties arising in the self-evaluation process.

I can conduct a self-evaluation alone, or within a team, an institution or a project/programme. This brochure is so designed that anyone interested in self-evaluation, according to the specific situation and needs, can discover

- suggestions of *general interest* concerning self-evaluation for all participants,
- suggestions addressed to persons conducting an *individual* self-evaluation,
- suggestions addressed to self-evaluations of *groups*,
- suggestions relevant to self-evaluations of *institutions*,
- suggestions concerning the situation of *projects/programmes*.

Thus either individuals, teams, institutions or groups concerned with projects/programmes can pick out elements from this brochure which interest and concern them in particular.

Connections between the thematic brochure and the brochure of methodological suggestions:

The arrows and numbers placed in the margins of the thematic brochure (part 1) indicate the page numbers in the methodological brochure (part 2), where the practical aids can be found, either for general interest or for individual, team, institution or project/programme self-evaluation.

The arrows and numbers at the top of the pages of the methodological brochure indicate pages in the thematic brochure and the corresponding subjects dealt with there.

This concept permits use in two different ways:

1. Those who mainly wish to obtain more fundamental theoretical information can concentrate on the thematic brochure (part 1).
2. Those who are primarily interested in practical suggestions for self-evaluation can find them in part 2 and, if necessary, seek further explanations in the appropriate commentaries in the thematic brochure.

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Introduction

Introduction

Framework of self-evaluation

Framework of self-evaluation

Evaluation is connected with *planning, monitoring and transference into action* (PEMT), which together provide the steering instruments for projects and organizations. These areas form a unity and are interlinked.

With the framework of PEMT, evaluation supports the processes of decision-making with regard to planning, monitoring (process management) and transference into action. This interplay in PEMT is the special subject of the synthesis brochure (in preparation) and need not be dealt with here. It is important, however, to keep in mind these fundamental connections and the resulting interdependence when considering evaluation.

It is not intended that self-evaluation should displace, but rather be complementary to, external evaluation (EE). Strict boundaries between the two are not always possible: self-evaluation aspects are often to be found in an EE, and external accompaniment may be necessary in a self-evaluation.

At whatever level self-evaluation takes place, a process of learning and development is initiated for which the participants are themselves responsible.

The mirror and the wheel: symbols for self-evaluation

The mirror and the wheel symbols for self-evaluation

In describing self-evaluation in the introductory brochure *mirror, mirror on the wall*, two symbols play a central part: the mirror and the wheel. These symbols can help us towards a better understanding of the rationale behind self-evaluation. Some thoughts on the meaning of these two symbols may stimulate readers' ideas and imagination.

Mirror

«For some, I say, mirrors were a hieroglyph for truth, because they unveil everything they show, as is usual for truths which cannot remain hidden. Others, however, say mirrors are symbols of falsehood because they often show things other than they are» (Raphael Mirami, 1582).

Self-evaluation is a search for truth, and a search for self-knowledge. If the eye wishes to see itself, there is no other way than to look in a mirror, because only in a mirror can an eye «look into its own eyes».



This fact holds a fundamental perception: those who wish to know themselves need a mirror. The environment, fellow beings, projects, work, are the mirrors wherein humans find themselves. Here, the mirror is a hieroglyph for truth and confronts us with realities we might prefer not to see.

Self-evaluation is based on the perceptions of the participants. Whatever we recognise in the mirror is our truth, our view of reality, because when others look into the same mirror, they see another picture, another reality. If we consider our «truth» to be the one and only reality, then the mirror becomes a symbol of deception, i.e. an instrument for the suppression of other perceptions.

What I perceive in the mirror of self-evaluation is my view of reality, which is only a part of complete reality. To broaden my view and to discover other parts of reality, a change of attitude and the viewpoint of other participants is needed as complement.

Wheel

The self-evaluation process is circular rather than linear. The middle is a point round which the circle forms. The point contains everything but only in the power with which the circle is generated. The circle translates the invisible dimension of the point.

In the same way, self-evaluation creates a circle which shows individuals, groups, institutions and projects their opportunities for development.

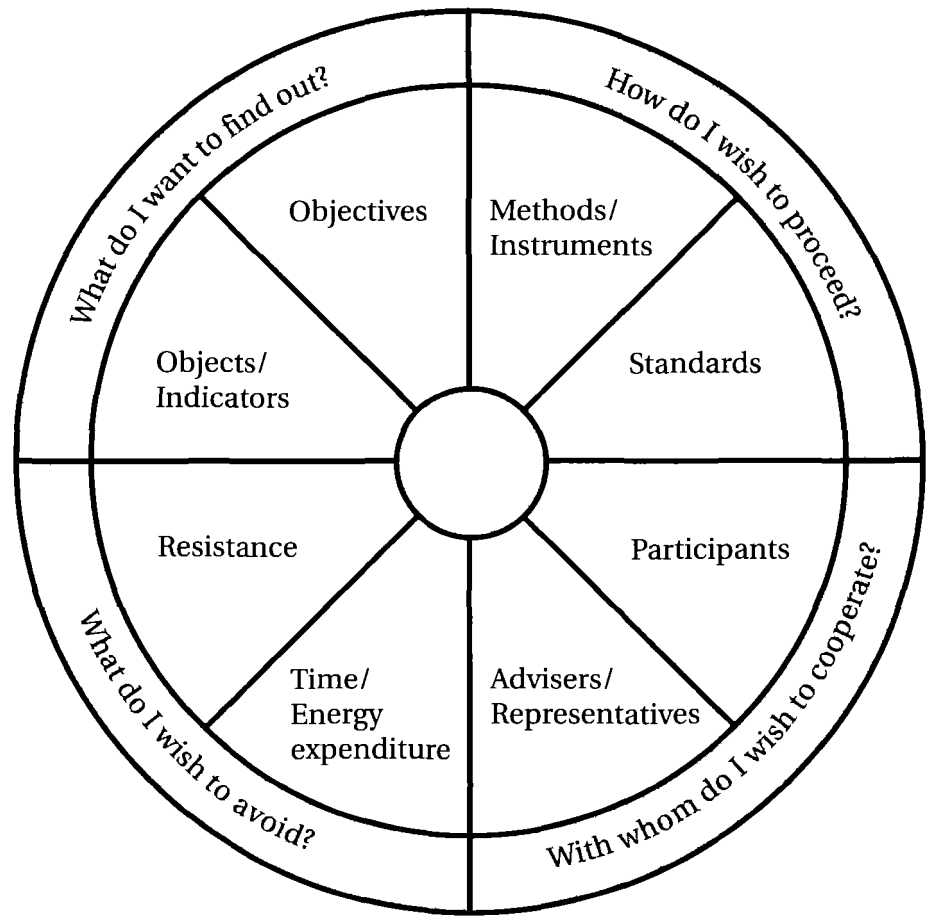
The four fundamental questions of the self-evaluation-circle (What do I want to find out? How do I wish to proceed? With whom do I wish to cooperate? What do I wish to avoid or of what am I afraid?) emerge from the middle-point and are directed towards it: *the actual state of affairs and opportunities for development*.

The self-evaluation process sets the circle in motion, and the circle thus becomes a *wheel*.

«Life can only be understood backwards, but life has to be lived forwards.» This principle is symbolized by the wheel: In rotation around the centre, forward and backward movements flow into each other and set the wheel in motion.

This paradoxical principle of motion often causes difficulties in self-evaluation, because it feels like running on the spot, or continually encircling the same point. We can only discover thus that the circle does finally lead to development, even if this does not correspond to our quantitative understanding of advancement. But a tree, standing throughout its life on the same spot, develops all the same!

The wheel of the self-evaluation process promotes development of the areas around which it rotates. Its energy is to be found in that which already exists and the reflection and evaluation of experience (moving backwards), and it aspires to change through the mobilization of potential energy (moving forwards).



Purposes and objectives

Observations as mentioned above may appeal to philosophically-minded readers and stimulate them to pursue the path to self-evaluation. Those more practically-minded may not experience the same stimulus, although this does not mean they are not interested in self-evaluation. As elsewhere, in self-evaluation we often find tension between theory and practice, so that controversies exist where there should be mutual constructiveness.

It is our basic concern that a bridge is built between these two fields of interest, offering ideas and support to both sides. In putting this into practice, we turn to the questions and needs brought to light by our self-evaluation experience, as already mentioned in the introduction.

Purposes and objectives

Against the background of self-evaluation theory and practical experience, there are two objectives which this working instrument aims to reach:

Concept clarification and specification

which should broaden the understanding of self-evaluation. Sufficient insight into the object of self-evaluation can increase motivation and ease the start of the self-evaluation process.

Process aids

Content needs form. Thus any particular self-evaluation needs form (structure), together with methods and instruments to support the process. Each self-evaluation has its own form. There is no universal recipe. The aids consist mainly of suggestions which show ways of finding an appropriate choice of method and concrete development of self-evaluation instruments, in that they can be related to experience or stimulate new attempts.

We are trying to make a kind of map of self-evaluation, putting up signposts as necessary to help those exploring this territory.

Our aims are a clarification and orientation in conceptional areas (thematic brochure) and a practical help in methodical procedure which sets the self-evaluation process in motion (brochure of methodological suggestions).

Clarification on and complements to the self evaluation concept and its application in practice

Clarification on and complements to the self evaluation concept and its application in practice

It is not important at which point we enter the circle of the self-evaluation wheel. As the wheel begins to turn, we are automatically led to new points. What is important is the emergence of a coherent composition so that finally all the spokes are inserted and provide mutual support.

In the same way, I can begin alone with an self-evaluation, or begin the process in the company of my colleagues. Experience shows, however, that generally it is easier to join a common self-evaluation process in a group, if one has already had some personal self-evaluation experience. It is in the nature of things that participants will in any case all be concerned with their «selves», if any kind of *self*-evaluation is to result.

In a spontaneous, everyday «self-evaluation», critical distance is often lacking. Studying the theoretical aspects of self-evaluation enables us to create a conceptual platform from which we can observe our work and our life. In this way we can gain the necessary distance from our being and doing: only thus is a purposeful and systematic self-evaluation possible.

This is the reasoning behind the thematic brochure, which serves to clarify the various self-evaluation elements and the systematization of applied self-evaluation.

1. Motives and objectives of self-evaluation

Motives and objectives
of self-evaluation



By motives, we understand the reasons leading to self-evaluation. The objective defines the point which should be reached by self-evaluation.

It is an advantage if motives and objectives support each other, i.e. if the motive «sets me going» and thus makes the objective attractive.

This, however, is not a requirement for the success of self-evaluation.

I can also begin an self-evaluation out of curiosity (= motive) without knowing where it will lead, allowing for surprises – or I move towards my objective without much motivation and look at the outcome when I've reached it. Both ways, however, need a certain amount of openness in case the result is unexpected or the unwished-for.

1.1 Motives for self-evaluation

Motives for self-evaluation

As in other spheres of action, in self-evaluation too there are conscious and subconscious motives. Motives for action can lie in the past, the present or the future.

Motives from the past can be good or bad experiences which we want to repeat or avoid.

Motives out of the present can be latent frustration, a situation of acute crisis and need to optimize which drives us to action.

Motives from the future are wishes, visions and hopes.

Motivation for self-evaluation may be found in all three sources, although the prevailing mood and the direction of the self-evaluation, depending on the focus, may change:

- If the motives are too closely embedded in the past, there can easily be a «dreaming about the good old times» or a desperate search for past mistakes and «illnesses».
- In current crisis situations, distance from events is usually too short for a self-evaluation to be advisable. Help from outside may be the better alternative.
- If motives from the future have the upper hand, it is easy to get out of one's depth, and sooner or later we are recalled to the hard facts of everyday life.

Objectives of self-evaluation

1.2 Objectives of self-evaluation

The objectives envisaged in a self-evaluation can be oriented on the following three basic principles of the concept:

See what is

The scope is the widening of awareness (seeing the «truth»).

Human perception is limited. Each person and each group see their «truth», which is only a part of reality. What I see is not «false», but one-sided and needs complementing with other viewpoints.

But also within my own perception there is a continuous voyage of discovery: things I've overlooked so far or new ones which appear. It is worth looking again and again, even when I think I've already seen everything.

This *looking* is the first aim of self-evaluation.

Learning from experience

Looking is not a passive action, but rather an active analysis of reality. This results in new experiences, because if, for example, I look at a landscape, discover an unknown path, and take it, then I find out about a new place. Often we do not seek new experiences in order to avoid conflict or crises. We prefer to take well-known paths instead of taking the risk of trying out a new path, because we do not know where it will lead us. Thus we learn nothing new, and remain standing – that's the safest way! To develop, human beings cannot remain in one place, but will, as learners, progress.

This *learning* from experience is the second aim of self-evaluation.

Realizing development

Development is a key theme for all those addressed here – whether individuals, groups or institutions. Only those who are themselves evolving can develop. Development requires involvement and «envelopment» (being wrapped up in something). That is, a potential, though as such still unstructured and undeveloped, must already exist. To develop also means «to evolve». Wherever such evolution is long suppressed and cannot unfold, it is replaced by «revolution».

Self-evaluation serves development, evolution and, if necessary, an inner revolution as well. This is the third, and most important, aim.

The motives and objectives of self-evaluation deserve special attention. This is the leitmotif of self-evaluation, found throughout the process.

M-1 ***SE in general***

2. Participants in self-evaluation



In an self-evaluation, the evaluated and the evaluator are identical.

How many people are needed to conduct a self-evaluation?

In principle, any individual can carry out a self-evaluation and is not dependent on the participation of others. The phrase «I would if the others did too...» is not justified in self-evaluation. Whoever is motivated to carry out a self-evaluation ought not to be influenced by outer circumstances, even though a lot can be gained by carrying out a self-evaluation with others.

In general, care must be taken for the self-evaluation not to evolve into a kind of external evaluation; i.e., the behaviour and the work of others are judged and evaluated.

The participation structure consists of four variations:

2.1 Self-evaluation for individuals

The readiness for critical self-assessment of the individual participant forms the basis for self-evaluation at any level (groups, projects). It is recommended that persons who feel drawn to the idea of self-evaluation should first evaluate their own working situation and then, possibly, introduce the idea in their team.

Condition: The decision to carry out an individual self-evaluation is made by the person concerned alone. Whether project leader, desk officer, secretary, chief of section, expert, director, farmer or donor: in whatever place, and with whatever function, any of these can carry out a self-evaluation.

Individual self-evaluations are by no means meant to be merely egocentric exercises but rather a conscious awareness of the social and structural correlations within which I move and in which my work is embedded. If I decide on an individual self-evaluation, it is important first of all to be quite clear from what standpoint I am going to look into the self-evaluation mirror.

2.2 Self-evaluation for a group or team

In group work, individual members can either help or hinder each other in their activities. Mutual evaluation in the form of feedback can help the group to function well. Within the frame of self-evaluation assessment by others should be replaced by self-assessment. The team should not let its attention wander to other groups, evaluating them, but should stick strictly to its own situation.

Condition: Basically, self-evaluation is meant to be voluntary, and cannot be ordered «from above», or forced on the whole team by sub-groups. The team self-evaluation relies on the willingness of all its members to take an active part in the process, even if not all are to be equally enthusiastic about it. Those who are motivated to do so can hold their self-evaluations individually or in sub-groups if not all are ready to do so.

As for individual self-evaluations, it is also important for a group to be aware of its standpoint in the environment before starting the self-evaluation.

M-22 SE group

2.3 Self-evaluation in an institution

By institution, we mean an organization, having various departments and units, which have a common objective (e.g. development organizations). According to the division of work prevailing, the self-evaluation of an institution will be based on the given structure of the institution.

Condition: Before a self-evaluation can take place in an entire institution, it is probably best if individual groups and sections set a good example. Looking at guiding principles, as for examples the ones of SDC, the orientation towards personal responsibility is clearly expressed. This corresponds to the spirit and aims of self-evaluation. It makes sense, therefore, if self-evaluation finds its place in institutions which are aiming at more independence and self-responsibility .

It is particularly important in the self-evaluation of an institution that all participating groups and teams define their standpoint and linkages with other units.

M-33 SE institution

2.4 Self-evaluation in projects/programmes

Self-evaluation
in projects/programmes

The situation of a project or programme presents a complex network of participants at different levels and in different units. In a project, the activities of individuals, groups and institutions have a common objective. Here the individual, group and institution self-evaluations meet and complement each other, in that they exemplify the network from their own standpoints.

The groups at various levels can be described as follows:

The first level consists of the *population* in whose area and interests the project is established; the people living there, their formal and informal grouping, organizations and associations.

The second level is to be found in the *implementation structure of the project*: local executing agencies, those responsible for the project, local and foreign project staff.

The third level consists of various *authorities*: state, semi-state or private contractual partners (ministries, universities, federations) as well as state or private finance corporations.

Conditions: As shown by experience, the population concerned and the project staff are more willing to hold a self-evaluation if it is not merely ordered from above by some authority or other. The most favourable conditions occur when the groups on the 3rd level are also ready to evaluate their activities with regard to the relevant project. Here, too, the same requirements apply as already discussed concerning individual, group and institution self-evaluation.

The environment and the communities in which the project has to fulfil its task play an important role in the project self-evaluation. At the beginning of a self-evaluation it is important, therefore, to clarify the various standpoints within the sphere of the project.

M-43 SE project/programme

3. Resistance and fears

Resistance and fears



Resistance is often subconscious or has a negative connotation. Taking a closer look, however, we discover that so-called resistance in an self-evaluation can in fact play an important, positive role. The first step should be to open up for resistance as and when it arises.

In any evaluation, whether external or self-evaluation, the aim is to uncover unknown aspects of reality. To undertake such a voyage of discovery, it is necessary to be *curious*, that is, to have the wish to discover new things. Coupled with this curiosity is often *fear* – which in this case is often nothing other than a signal that we are standing before the unknown.

Out of the tension between curiosity and fear comes *resistance*. An self-evaluation which is held without resistance will hardly come up with something new.

3.1 Resistance in development work

In the realm of development work, resistance is a basic element, since development means change and transformation, stepping into the unknown and the risk of having to try out new modes of behaviour. If we meet no resistance in a project/programme, it is no «development project/programme».

Resistance in
development work

3.2 Resistance and conflict

Resistance leads to debate and conflict. Conflict is in fact the moving force behind any development or learning process – conflict creates *energy*, which, however, must be grasped and controlled in order to make it useful for the development process. Uncontrolled energy easily leads to explosions with damaging consequences.

Resistance and conflict

3.3 Resistance as an object

If we are successful in making use of conflict in self-evaluation, then much has been won. Resistance is objection – in other words, an object which stands in the way of self-evaluation. In this resistance, therefore, we find parts of self-evaluation which lead us to important questions which must be asked in this process.

Resistance is often thought of as negative. It is partly for this reason camouflaged by practical arguments («No time...», «Not everyone is joining in...»). Firstly, therefore, the right to resist, and its positive values, must be acknowledged.

Uncovering resistance and fears does not have to mean laborious cogitation, but can take place in a playful way, for example in the form of brainstorming. The playful aspect, on the other hand, does not mean that resistance should not be taken seriously. It cannot be stressed enough that basically self-evaluation is nurtured by the voluntariness of the participants, i.e. in this case, that all doubts can be made known without being seen in a bad light by those who are unresistingly motivated.

M-3 *SE in general*

In order to make the energy of resistance visible and useful, its content can be put in the form of questions which finally lead to important topics for self-evaluation.

M-4 *SE in general*

4. Norms in self-evaluation



Each form of evaluation contains a kind of valuing or assessing, and utilization of the object of evaluation. In self-evaluation, too, the «valuing» aspect cannot be avoided, that is, we must first discuss our valuation *norms*.

4.1 Meaning of norms

Understanding the meaning of norms in self-evaluation is important because it is the basis whereby evaluation criteria are chosen and indicators defined (point 5.2, p. 28).

Norms are functionalised values, i.e. they serve to define our position towards values and help to build up our system of values.

From our set of values we derive acceptance or denial, objectives and life visions. Norms are *yardsticks* – rules by which reality or life is judged and evaluated. They guide our thought and action.

The various norms serve as criteria for our judgments: «This is good, that is bad, this is better, it should be like this and not like that» and so on. Without judging we cannot take decisions, and without taking decisions we cannot live.

We cannot avoid judging in self-evaluation. We need it in order to bring about decisions which set us in motion towards our set aims. Problems occur from the fact that not everyone has the same set of values, particularly when the groups are from different cultures. Even between people from the same culture can be found differing standards which are in opposition to each other. When, for example, we are seeking to clarify aims and motives, and come across difficulties and individual or group-specific differences, then this is usually the result of different norms and values.

4.2 Formation, necessity and relativity of norms

Norms develop with a background of individual upbringing and experience in the given social and cultural-religious framework. They serve to focus our view of life and how we cope with it.

Each individual, group, social or cultural community has the tendency to consider its standards as objectively right and universal, and therefore to urge them on others who think differently, or to set dividing lines between itself and «foreigners» (religious, social, economical or political missionary-like zeal leading even to war, racism, hostility towards foreigners, etc.).

Norms are not generally given much thought. Standards are the norm – the «normal» – and what is normal is not questioned. Losing familiar norms creates uncertainty, in the way uncertainty is also caused by people who do not behave «normally».

Norms are always subjectively coloured, particularly in their ethical-moral meanings. They help us to divide the world into good and bad, developed and underdeveloped, or traditional and progressive. Action on one side or the other is thus justified.

The more people who participate in a self-evaluation, the more difficult it will be to lay down common norms. If in addition, the participants are from different cultural groups, the common understanding on norms will be even more complicated. On the other hand, here is an opportunity to question fixed norms and thus to move forward and unravel one's own tangle of standards.

As shown here, it can be seen that tension exists between the *relativity* of norms and their indispensability in our lives. In this sense, norms are a «necessary evil», which, paradoxically, lead on the one hand to different views of the world, thus causing misunderstandings, but on the other hand, provide an orientation for life. We can only find the way out of this contradiction if we acknowledge and accept both the relativity and the necessity.

4.3 Different kinds of norms

Norms usually include various aspects which are not always easy to differentiate. By focusing on certain points it can be seen, however, that there are three kinds of norms:

Material norms

Material measurements usually include a quantitative and a qualitative aspect. The quantitative norms (amount, weight, size, etc.) are the easiest to define and can be measured and checked by appropriate instruments. In setting qualitative standards, however, the «objective» measurement is more difficult.

E.g. in development work: satisfying basic material needs.

Psycho-social norms

These measurements are according to the idea of what humankind should be (the ideal), may be, or is allowed to be (human rights). In a social sense, the importance of the role played (social status) or its social use (social contribution) is measured.

E.g. in development work: participation, co-determination.

Ideal norms

These mean in particular the ethical-moral norms which are often coloured by the religious environment and by which «good» deeds and a «normal» way of life are measured.

E.g. in development work: justice, human dignity.

An evaluation concerned with *output* prefers to work with material and quantitative and/or qualitative norms.

A self-evaluation concerned with *processes* seeks cross-connections and the interaction between material, psycho-social and ideal norms. It also queries existing standards and risks uncertainty in order to allow new development.

In development work in particular, it is most important that we learn to question our norms and relativate our judgments. We ought to feel uncertainty on the subject of our own set of norms. This is only possible if we visualize our ideal norms, which are applied impulsively in everyday life even though they are mostly hidden or suppressed.

M-12 SE Individual

M-23 SE group

M-34 SE institution

M-44 SE project/programme

5. Areas, subjects, criteria and indicators

Areas, subjects, criteria
and indicators



The experiences described in «*Mirror...*» show that basically there is no topic which cannot be the subject of a self-evaluation: «The self-evaluation is concerned, depending on the situation and needs, with the means, results, aims and impact of a project. In fact, self-evaluation deals with efficiency, effectiveness and impact, or combines elements of various levels.»

These various levels can be discerned as being of two kinds. Firstly, we see an outer reality, manifesting itself in concrete, measurable objects, results, consequences or effects. The second, inner reality is to be found in the people participating, through their motivation, creativity, moods, attitudes and relationships, which cannot be easily measured and which can also be modified again and again.

In this chapter we are firstly concerned with the distinction between the different evaluation spheres and their subjects, and in the second section with criteria for evaluation and indicators in the various areas.

5.1 Self-evaluation areas and subjects

Self-evaluation-areas are limited, definable areas within the framework of which self-evaluation can be conducted.

Self-evaluation-subjects are specific topics and concerns within a sector, which may be the subject of an evaluation.

Eight basic areas can be defined which may be the subject of self-evaluation:

- Guiding principles of an organisation: objectives, purpose
- Work content and results
- Involved persons
- Relationships and cooperation
- Working routine
- Working aids
- Working environment
- Time factor

Self-evaluation areas
and subjects

These eight fundamental areas make up a whole and serve as a mirror for one another. It is not important, therefore, at what point we begin self-evaluation, because it will in any case effect the other sectors directly or indirectly.

Guiding principles: Motivation, objectives, purpose

5.1.1 Guiding principles: Motivation, objectives, purpose

In any venture (project, institutional, group or individual activity) is to be found a certain attitude to life, and the corresponding motivation, which determines objectives and thus also the purpose behind it.

The evaluation of this area occurs in the confrontation with reality: the *status quo* being a mirror for the *aimed at situation*.

- For *individuals*, their ideals, needs, wishes, hopes and personal aims are concerned.
- For *groups*, their common aims and the harmonising of individual attitudes to work towards these aims.
- For *institutions*, the philosophy and policies of the enterprise, usually laid down in the guiding principles and basic papers.
- For *projects/programmes*, it is the needs of the people concerned and the development aims, as defined in the corresponding concepts.

M-13 SE individual

In joint ventures we often find differing motives and objectives which could mutually hinder each other. The more persons and groups are involved in an enterprise (e.g. in projects/programmes), the more important it is that common norms (see point 4, p.17) are agreed on in order to avoid internal conflicts of aims.

M-24 SE group

M-35 SE institution

We recommend, therefore, that special attention is paid to the sectors motivation and objectives in a self-evaluation. Through the evaluation of this sector we can discover a lot about the background of our activities.

M-45 SE project/programme

At the level of projects/programmes, the analysis of needs plays a decisive role. If the objectives are not coordinated with the needs of the population, then the achievement and sustainability of the project is not guaranteed. A special needs analysis at the same time as evaluation of objectives is therefore recommended.

M-46 SE project/programme

5.1.2 Work contents and results

Work contents and results

The area of the matter itself and the consequences: this concerns the yield and results of our activities. We look at the impact of our presence and activities on our working environment and should consider thereby both quantitative and qualitative aspects.

The evaluation of results is orientated towards the objectives: the target situation being a mirror of the status quo.

- *Individuals* will be looking at their personal performance and the results of their work with regard to the allotted tasks (job description).
- *Groups* will look at their commonly achieved results and output and compare them with the tasks as defined.
- *Institutions* will look at the overall results in the various working areas, according to their instructions.
- *Projects/programmes* will look at the impact and use of their development work in accordance with defined aims.

It is usually an external evaluation which concerns itself also with this area. We would like to refer here to the theme brochure External Evaluation, which can provide useful suggestions for dealing with this sector.

5.1.3 Involved persons

Involved persons

Here we are concerned with the *personal sphere*. Each undertaking depends on people. It is their potential and abilities which decide on the results which can be achieved in accordance with the objectives.

A personal evaluation is concerned with professional and human qualities: *personality* and *capability* of the participants, as mirrored by their duties and achievements.

- For *individuals*, this means looking at their professional and personal abilities, and how much these are effective in their work.
- In *groups*, this means the potential of capabilities available, and the division of duties in accordance with the individual abilities of each member.
- In *institutions*, this means personnel policy and development, the recruiting of qualified personnel, division of tasks, system of qualifications, policies concerning jobs and promotion, further education, etc.
- In *projects/programmes*, this means human resources, and with the identity of all participants at different levels including the beneficiaries, and whether they can cope with the performances demanded of them.

This sector is particularly suitable for self-evaluation, although, on the other hand, resistance easily arises since the participants are directly affected and consequences could be serious (admission of weaknesses, change of job, etc.).

5.1.4 Relationships and cooperation

This concerns the structure of relationships, social organization and the social climate. What is the role played by the individuals and groups in cooperation and co-existence? Both *formal* and *informal roles* should be considered.

The evaluation of relationships deals with the social quality of cooperation: social competence and a sense of responsibility, as mirrored in the influence of individuals and groups on cooperation.

- *Individuals* are concerned thereby with their personal and professional relationships with colleagues, superiors and subordinates and with the role they themselves play in the social structure.
- *Groups* are concerned with personal interrelations, internal division of duties, competences and responsibility, exchange of information and cooperation; furthermore, with relations and cooperation with other groups.
- *Institutions* are concerned with the coordination of cooperation, leadership and power structures as well as contacts with outside authorities (government, population, other institutions).
- *Projects/programmes* are concerned with the involvement of the various participants and beneficiaries in the activities, the distribution of power and responsibility, intercultural exchanges, cooperation and self-determination.

The health and growth of any undertaking depends on good teamwork and division of duties, complementing each other, between all participants. Teamwork needs clear rules. This means that all the functions needed for the organization should be identified, defined and allocated to the respective units. Superfluous ones put a strain on the operations, missing or badly functioning units can cause a «sickness» within the organisation.

The sector of relationships is a complex area which is not easy to deal with. Both self-evaluation and external evaluations often have difficulty in coping with it. It cannot be ignored, though, especially in development work, where it constitutes a central theme. Despite unavoidable difficulties, however, it is worth paying attention to this area.

5.1.5 Working routine

This concerns the working process, its planning and organization, which steers the way the work is carried out.

The evaluation of the working process is concerned with the execution and routine of the work: *effectiveness* and *efficiency* in the mirror of cooperation and the results achieved.

- *Individuals* are concerned with their personal organization and techniques of work, e.g. setting priorities, appropriate working style, etc.
- *Groups* are concerned with internal working processes, the form and organization of internal and external collaboration.
- *Institutions* are concerned with planning and management policies, with general material and personnel organization of work, and with control structures.
- *Projects/programmes* are concerned with the practical implementation of project concerns and the organisation of work at the various levels of participation.

Working styles and behaviour vary from person to person, and also particularly from one culture to another. If planning and organization do not take these differences into account, it may be too difficult to optimize any working environment. Evaluation in this area should help to adapt and correct measures in planning and organization.

5.1.6 Working aids

Working aids

This area includes all working aids available: financial means, premises, equipment, furnishings, working material, machines, instruments, tools, etc.

Evaluation in this area is concerned with material working conditions: the *effectiveness of the means* in the mirror of their application in the working process.

- For *individuals*, this means their way of using the aids available, and their appropriate application in support of personal performance.
- For *groups*, this means the allocation and sensible use of aids within the group; thereby it can also be verified to what extent the material available satisfies the demands of the work to be carried out.
- For *institutions* this means the general financial and material management, procurement and appropriate distribution of aids between the various branches of the work, and control of their application and usefulness.
- For *projects/programmes*, this means «appropriate technology», the appropriateness of material and technical means and their sustainable use in the development process.

Material aids partly replace human resources and can bring about a reduction of personal capabilities. It must be noted when aids lead to dependency, so that when no longer available the working process and development may be put at risk. With the volume of aids available today there is the danger that human resources are forgotten, i.e. that machines replace people.

5.1.7 Integration in physical and human environment

The «ecological» sector is not only concerned with the physical environment but also with cultural, social and political realities in which the undertaking is embedded.

The evaluation of this sector is concerned with the opportunities and boundaries set by the general working environment: *integration* of the undertaking as mirrored by the *relationship* to the environment and social-cultural surroundings.

- For *individuals* this means taking part in public life at work, knowledge of local conditions and consideration for them at work. An interdependence between private and working life must not be forgotten.
- In *groups*, this means behaviour towards the outside world, and openness or isolation with regard to other persons or communities in their surroundings.
- In *institutions*, this means social and political integration and what this implies for the environment and society.
- In *projects/programmes*, this means impact on the environment and people in the respective area, intercultural relations and acceptance, and regard for local conditions in the sphere of conflict between renewal and tradition.

However big an institution or project is, it is still only a part of a whole which has its cultural, social, economical and political realities. The physical conditions, the natural world and the climate provide a framework which cannot just be disregarded.

The evaluation of this area serves the ecological and integrational aspects of the activity. It leads to respect for local conditions or enables us to set deliberate dividing lines, or even outright rejection where this seems necessary.

5.1.8 Time factor

Here we are dealing with amount and use of time. The time factor includes two aspects:

- quantitative: how much time is needed for this or that work?
- qualitative: when is the best time for which activity?

The evaluation of time must take both the quantitative and the qualitative aspects into account: time needed to do the job, and the time use, mirrored by the organization of working hours and corresponding working results.

- For *individuals*, this means personal division and use of time, keeping to deadlines, amount of time used and results, priorities, etc.
- For *groups*, this means coordination of working hours, how much and how usefully time is used in meetings and other common activities.

- For *institutions*, this means planning, organization and control of working hours.
- In *projects/programmes*, this means a time framework for project phases, opportunely carrying them out, and sustainability of development steps.

In industrialized cultures is mainly to be found a quantitative understanding of time («no time, too much time», and, very often, «not enough time»). In partner countries for development cooperation, however, we often meet with a qualitative understanding of time (time for festivals, mourning, thanksgiving, the dead, etc.).

We often «lose» too much time when we neglect the meaning of quality in time, because what is done at the «right» time needs less time. It is advisable, therefore, to pay particular attention in time evaluation to the opportune moment (too early? too late?) for an activity.

Interesting and important self-evaluation subjects can already be found during the discussion on resistance (see SE general interest M-3 to M-6).

Furthermore it is recommended that all sectors are closely examined in the search for «sore» or «blind» spots. It must be reiterated here, however, that self-evaluation should not only concentrate on what is lacking, but also on renewal and/or stabilization of what has proved to be most useful.

M-15 SE individual

M-26 SE group

M-37 SE institution

M-50 SE project/programme

5.2 Criteria and indicators for self-evaluation

Criteria are distinguishing characteristics, or «touchstones» which enable self-evaluation to make a statement on the subject under evaluation. Evaluation criteria are founded on our system of values and are formed by the relevant norms (see point 4, p. 17).

For evaluation criteria to be significant, indicators are necessary, that is, an «indication» which enables judgments to be made.

The choice of indicators plays an important role in evaluation, and depending on their definition, different evaluation results can be obtained, as is shown by the well-known example of the half-full and half-empty glass:

Evaluation criterion:	the quantitative content of the glass
<i>Indicator 1 =</i>	the fullness of the glass
<i>Indicator 2 =</i>	the emptiness of the glass
<i>Evaluation result 1.</i>	the glass is half full
<i>Evaluation result 2.</i>	the glass is half empty

If we take the qualitative content as criterion, the following result may be obtained:

<i>Indicator 1:</i>	chemical composition and nutritional value
<i>Indicator 2:</i>	taste and consistency of contents
<i>Evaluation result 1:</i>	Honey, per 100 gr, 0.5 gr protein, 82 gr carbohydrate, 1400 kj.
<i>Evaluation result 2:</i>	sweet, thick and sticky

The defining of clear and unambiguous indicators is not always easy, and particularly in project self-evaluations presents certain difficulties because here there are often diverse opinions (varying norms). Debate is necessary, however, and should not be avoided.

Much has already been achieved as soon as all participants understand what is meant by the various terms. To clarify further this important self-evaluation point, examples are given in part 2 which provide connections between self-evaluation areas – self-evaluation subjects – evaluation criteria – indicators.

6. Methods and instruments



Each evaluation needs methods and instruments if it is to reach the target aimed at. Even spontaneous self-evaluation, as mentioned in the introduction, has its methods.

The methodical procedure applied in self-evaluation should improve awareness and recognition, and make our discoveries and results more comprehensible, so that a process of learning and development is achieved.

6.1 Methods in self-evaluation

By methods we mean ways which lead to the aims of self-evaluation. They guide the process and determine activities. They enable us to exchange and compare observations and discoveries and make them of use in the process of learning and development.

Some of the methods in self-evaluation are the same as those used in external evaluations, particularly in our subject matter and in the evaluation of impact of our activities (see point 5.1.2, p. 23).

Examples:

Evaluation of the results of a training activity

Methods: surveys, testing the skills learned in application, etc.

Evaluation of yield from planting a field

Methods: quantitative and qualitative recording of yield, comparison with yield of other fields, etc.

Specific self-evaluation methods are used particularly in the personal and relationship areas (see 5.1.3, p. 23 and 5.1.4, p. 24).

Examples:

Evaluation of personal working behaviour

Methods: reflection, self-examination, self-observation.

Evaluation of social climate within a group

Methods: discussion, exchange of ideas, group-dynamic confrontations, etc.

6.2 Instruments for self-evaluation

Methods contain instruments with the help of which the self-evaluation way can be followed. These are the self-evaluation tools, which allow a methodical application of the self-evaluation concept.

Examples: In connection with the examples of methods given, the following instruments can come into use:

Survey, testing skills learned:

Instruments: questionnaires, practical tests, etc.

Quantitative and qualitative recording of agricultural yields:

Instruments: calculating charts, instruments to define weights and measures, chemical research instruments, etc.

Self-questioning and self-observation

Instruments: work record, diary, meditation, etc.

Discussion and exchange of ideas in groups

Instruments: guided talks, role play, painting mood pictures, etc.

6.3 Choice and application of methods

The choice of methods depends on the objectives of the self-evaluation. Various ways can be chosen, though not all ways lead to the objective. Simply observing a field can give an impression of its fertility, but if we want exact results then suitable methods of measurement are needed.

If ways are chosen which are not familiar to all participants, then a certain amount of time is needed for preparation and introduction. This does not mean however that only «tried and tested» methods should be used. It can be profitable to try out new ways, accepting the fact that more time may be needed.

6.4 Development and use of instruments

The development of instruments takes place against a background of experience and cultural conditions. It is advisable to consider known instruments from the environment and creatively adapt them to the special requirements of the self-evaluation. In project/programme self-evaluation particularly this point must be kept in mind if the population concerned are to be drawn into the self-evaluation process. In each culture we find ways of self-steering and control, such as village meetings, theatre, special rituals to consult people or nature, etc.

In choosing instruments, there may be a tendency to follow certain «fashions». For example, the pin board is a favourite instrument nowadays, put to use at every conceivable moment. A tool should remain a means for self-evaluation and not become an end in itself.

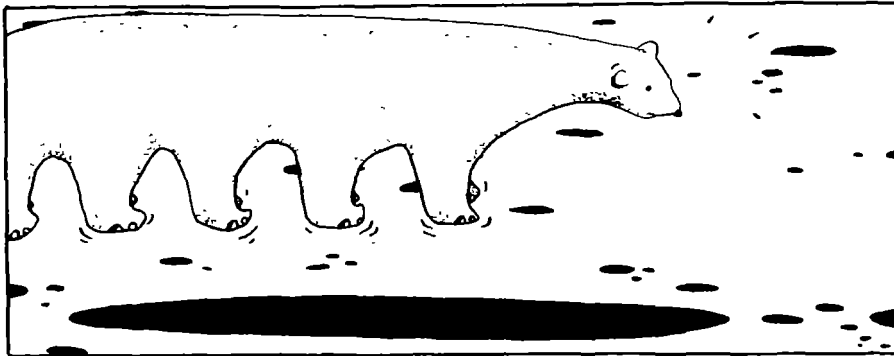
Tools lead to nothing or are misleading unless they are appropriate for the participants. It is often more useful to choose simple tools which take a bit longer to use rather than taking perfected instruments needing a time-consuming introduction or which may not even be properly used.

According to sector, objective and cultural-social environment, various methods and instruments are suitable for self-evaluation. Individuals and groups choose their self-evaluation methods according to their possibilities and the means available, and procure or make the tools they need and which can be handled by the participants.

The questions and check lists shown in the manual serve as aids and suggestions in choosing appropriate self-evaluation methods and for the creative development of suitable evaluation instruments.

In addition, it is possible to consult the «Toolbox» of the Evaluation Service of SDC: this contains a collection of well-tried self-evaluation instruments, from which the appropriate tools can be drawn.

7. Time and energy resources



The self-evaluation process (a development) takes place more or less quickly depending on the resources of time and energy used. Here too it is less the time used than the use made of the time at one's disposal (quality) which is relevant. The self-evaluation process, therefore, is as a whole not limited in time, but the proceed can be divided into various phases.

In principle, as in development projects/programmes, five phases can be differentiated: pioneer phase, differentiation phase, integration phase, association phase and renewal phase. Nothing can be said concerning the time needed for each of these phases, since this depends on the efforts involved.

Experience shows, however, that it is worth not rushing through the various self-evaluation phases in order to have done with it. «More haste, less speed» also applies to an self-evaluation process!

7.1 Pioneer phase (start and introductory phase)

Starting off a self-evaluation and the early stages need relatively much time and energy. In this phase, the «wheel» must be constructed and set in motion; starting includes answering four basic questions: – What do we want to find out? – How do we wish to proceed? – Who will participate? – What should we avoid, what are we afraid of (see self-evaluation wheel, p. 2 and 3)? This is followed by the necessary preliminary work, and the development and trying out of methods and instruments. The first experiences and results in self-evaluation also belong to the pioneer phase.

Pioneer phase
(start and introductory phase)

Differentiation phase

7.2 Differentiation phase

Experience thus gained is applied in the second phase in clearly defined areas which appear to be particularly important. Care must be taken not to evaluate «too much», rather should emphasis be given to the quality of the evaluation. In this phase there is a certain standardizing of methods and instruments, which do not necessarily always have to be re-invented!

Integration phase

7.3 Integration phase

Self-evaluation now forms an integrated part of the duties of the individual or the organisation. It becomes a constant companion to day-to-day work and develops spontaneous forms which no longer need to be specially structured and promoted.

Association phase

7.4 Association phase

Self-evaluations for individuals and groups within larger institutions become interconnected and serve common identification and cooperation.

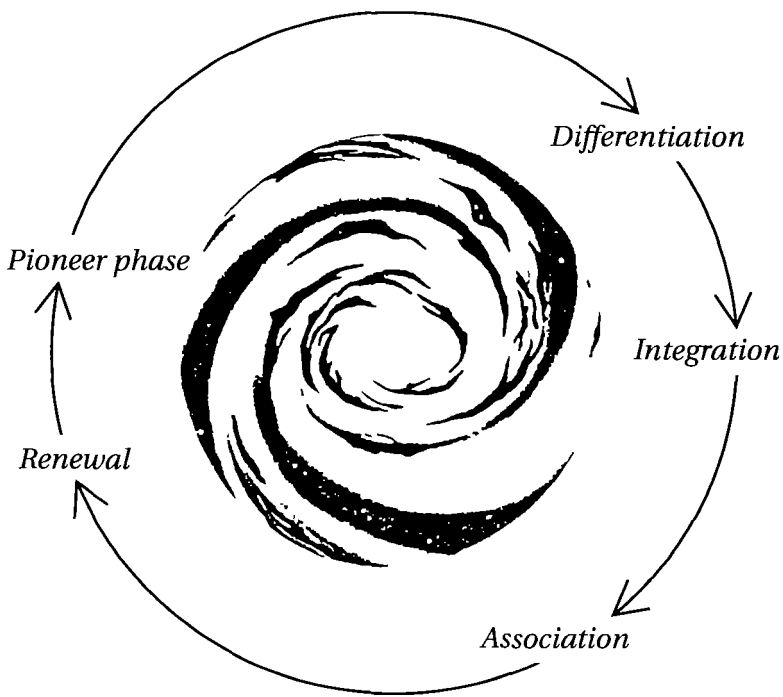
In projects/programmes, self-evaluation becomes a linking element between the population, those responsible and the financing organizations, and promotes tolerance towards different viewpoints and value systems. It encourages development impact and sustainability.

Renewal phase

7.5 Renewal phase

If a team is to a large extent replaced, or if the self-evaluation gets becalmed, then the self-evaluation must once again enter a pioneer phase – whereby the earlier experiences can be of assistance in the new start. In any case, an impetus must be given now and then if creativity and vitality in the self-evaluation is to be guaranteed over a period of time.

The time sequence and yield of an self-evaluation resemble the growth of a plant: the more energy is given, the better it flourishes. But time is also needed for growth. The fruit (yield) of self-evaluation should not be locked up in reports, but must be used as seeds for propagation and reproduction of the process of learning and development in cooperation and fulfilling duties together.



8. Stimulus and support in self-evaluation

Stimulus and support in self-evaluation



The responsibility for setting the objectives and for carrying out a self-evaluation lies with the participants. If it is a self-evaluation of a larger team, an institution or a project/programme, various roles and supporting functions have to be divided up among the participants so that the self-evaluation wheel is kept in motion. Even if these roles are often undertaken spontaneously, it is an advantage if they are officially built into the self-evaluation activities in order to avoid conflicts. In special situations it may be advisable to use external advisers.

8.1 Internal stimulation and mutual support

Internal stimulation and mutual support

In the following situations and areas, suitable persons from among the participants can play particular roles to support the self-evaluation process:

In the pioneer phase

If experience in self-evaluation is lacking in the group, then those with personal experience can help the self-evaluation to start and to avoid errors in planning.

Role: «Midwife»

In evaluation and decision phases

When producing a synthesis of results and taking appropriate decisions, then one person can be chosen who sees that all arguments are taken into account.

Role: «Supervisor»

To choose methods and develop instruments

If evaluation methods and instruments are not already included in the work or planning, then these must be specially created for the evaluation area chosen. In this situation, experience of evaluation gained by participating in other sectors may be of use.

Role: «Guide»

For coordination and cohesion

If the self-evaluation is in a larger institution or project/programme in which various groups and social entities participate, it may become difficult, at least in part, to provide the vigilance and cohesion needed. It is advisable to choose a coordinating person or group to «direct the traffic» and keep the common targets in mind.

Role: «Coordinator»

Technical or professional problems

If bottlenecks or dead-ends arise in certain work sectors (e.g. production, technical, area of knowledge, etc.) and if there is no success despite various attempts, then it is advisable to hand over the evaluation of this sector to a competent specialist.

Role: «Expert»

For questions concerning training and further education

During a self-evaluation the need for training or further education in specific areas may arise; this can be carried out internally by suitable personnel.

Role: «Educator»

Conflict in relationships

Conflicts in relationships can only be solved by the participants themselves. Internal mediators can play an important role if they are accepted by all parties.

Role: «Mediator»

Individual problems

If I cannot find my way in any individual self-evaluation, the best way is to get advice on special questions from a more experienced colleague. In individual self-evaluation it is particularly important to exchange ideas with other persons with whom one is familiar. If a difficult personal crisis occurs, then competent experts should be consulted.

Role: «Adviser»

9. The evaluation process and its results

The evaluation process and its results



Self-evaluation is a process, i.e. it is a systematic, reflective progression. Each event is a «success», that is, something which has to be followed up. Wherever systematic self-evaluation takes place, its path begins in real life and leads finally to results and conclusions which need to be applied and serve as a starting point for the next round of self-evaluation. Even self-evaluation results which are positive do not mean that self-evaluation is finished. The wheel is still in motion on the way to awareness and development.

The conditions and various stages on the path of the self-evaluation process can be described as follows:

9.1 Requirements for the start: process structure

Requirements for the start process structure

Self-evaluation needs a path as the river needs its bed: a structure which enables the process to flow onwards. Self-evaluation is organized in the same way as other work. Tasks and responsibilities are divided amongst the participants (see also point 8.1, p. 37).

Particularly important is the choice of an internal person who is responsible for the coordination and control of the self-evaluation process. This role may be taken by a superior, but not necessarily. On the the contrary, it is often an advantage if the self-evaluation structure is not the same as the existing hierarchy, since there should be no hierarchic structure but all should have equal roles. This makes it easier for a superior to take part as an «ordinary» member.

Certain rules are necessary for the structure, e.g. it must be of a voluntary nature, there must be freedom of speech, discretion and respect with regard to others, agreement on the application and «publication» of results, etc.

Awareness of present situation

9.2 Awareness of present situation

For this, a look back at the past which prepared the way for the present situation is one of the requirements. In these early stages a perception of the actual situation, as it is, is needed. For the present, the question of how it should be is disregarded.

Anything overlooked or suppressed during this first phase will later be missed, or will hinder the process.

Creating distance and overview

9.3 Creating distance and overview

During this second phase there is as yet no evaluation of the situation, but only the creation of distance between the observer and reality, and a broadening of vision. In a group this is best attainable through an exchange of the various perceptions. Thus it can be realised that reality can be seen from various standpoints, each offering another view. Putting these views together creates a mosaic of reality with broader perspectives.

Analysis of the situation

9.4 Analysis of the situation

Here begins the judgment of the situation as found. After viewing from a distance, there now comes a close-up look through a magnifying glass. The results of the situation analysis lead to a taking up of positions and definition of indicators.

Debate

9.5 Debate

After analysis and taking position comes a confrontation and discussion on the various points of view. Debate means disputing – and not necessarily immediately agreeing with each other. During this period of dispute the point at issue is the state of things as they should be, and the criteria for indicators. Voluntarily we precipitate a crisis which stands between the situation as it is and as it should be, and which serves as a driving force for development.

M-19 SE individual

M-29 SE group

M-40 SE institution

M-52 SE project/programme

9.6 Synthesis

Synthesis

The process must not remain in a crisis. Once the various positions are clear, we should then find, in their synthesis, a common basis. This means that we must be ready to understand other people and other points of view, in other words, to change our own position. We set ourselves in motion thereby, and development can take place.

9.7 New orientation

New orientation

In the sixth step, the foundations for a new orientation are laid, being agreed on by all participants. The new orientation should if at all possible be brought about by the assent (with right of veto) of more or less all participants, or at least not decidedly rejected by anyone. With this new orientation we have the actual result of self-evaluation.

9.8 Transference into action

Transference into action

The results obtained should now bear fruit by being transferred into action in daily life. For this to happen, the conditions needed must be provided and the decisions made must be «tied in», that is, clearly laid down who undertakes to do what.

9.9 The end as a new beginning: spirals of development

The end as a new beginning:
spirals of development

By transferring the results of evaluation into action, the process has come full circle. This does not imply, however, the end of the self-evaluation, but rather the start of a new round, the time for which is determined by the participants. Development consists of repeating circles around the people concerned and the relevant spheres. Self-evaluation which is integrated, bound up with everyday matters and the environment, helps to produce this spiral of development in that every end means a new beginning.

The self-evaluation process encircles the reality of the participants. Just as a circle has no beginning and no end, so self-evaluation starts at one point or another in a continual process of awareness and development of the participants, whose being, action and success (the results of action) are evidence of this development.

We recommend anyone who wishes to commence a conscious and desired self-evaluation process, to begin with a general self-evaluation which in principle excludes no sectors. This provides a good basis on which special sectors can be worked on against a general background during a later part of the self-evaluation.

Prospects

Self-evaluation is a serious business, but we should avoid taking ourselves too seriously. It is not «changing and saving the world» which is needed, but rather our own modest contribution to change through our own transformation and development. Self-evaluation is directed towards ourselves, not others.

There is also room in self-evaluation for playfulness and humour – sometimes even for black humour...

Even with self-evaluation, we cannot banish all problems out of our lives and our field of work. We cannot grasp everything, and should try to remain receptive to the mysteriousness and incomprehensibility of life whereby our plans are either furthered or thwarted, despite our efforts and methods of evaluation.

Much that we encounter in our daily lives cannot be measured with the usual instruments and statistically recorded. On the contrary, a deep understanding of life is necessary which we can approach by means of an open, intercultural exchange in partnership.

Development work is linked with *self-development*, that is, with the search for development in and around ourselves. *Self-evaluation* serves this development, and in fact always has to do with *self-knowledge*, with the search for truth in and around us. It is the work of a lifetime.

Accordingly we close this part of our brochure with a quotation from *Khalil Gibran* on the subject of «self-knowledge» (from «*the prophet*»):

On self-knowledge

And a man said: Speak to us of self-knowledge.

And he answered and said: Your hearts know within themselves the secrets of day and night. But your ears are thirsty for the sounds of knowledge in your hearts.

You desire to know in words what you have always known in your minds. You desire to feel with your hands the naked bodies of your dreams. This is right.

The hidden sources of your souls must absolutely rise up and flow, murmuring, to the sea; and the treasures of your endless depths may be revealed to your eyes.

But do not weigh the unknown treasure with scales.

And do not search within the depths of your knowledge with a yardstick or plumbline.

Because the ego is a sea, immense and immeasurable.

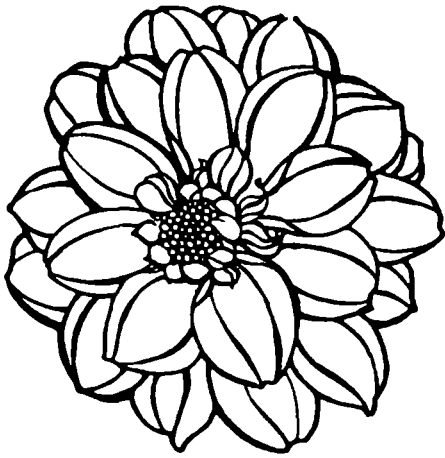
Do not say, «I have found truth», but rather «I have found a truth».

Do not say, «I have found the way of the soul». But rather, «I met the soul wandering on my own path».

Because the soul takes all paths.

The soul does not take a straight line or grow as straight as a reed.

The soul unfolds like a lotus flower with innumerable petals.





Preface

This brochure is part 2 of the *manual on self-evaluation*. To understand its purpose, please read the preface of the thematic brochure (part 1) which contains special information on the structure and use of this manual.

In the *introduction* to the thematic brochure (page 1) you will find information which places the practical support of self-evaluation within its general context.

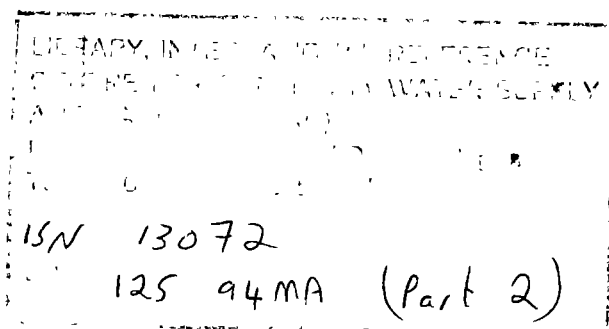
This brochure containing *methodological suggestions* gives examples and shows questions and check lists which should enable the setting into practice of self-evaluation methodology. In all cases, these are suggestions concerning the choice of methods and serve to develop adapted instruments. The examples and questions should enrich one's own experience, expand the methods chosen in the case of a self-evaluation (SE) under way, or, quite simply, provide new impulses.

So as to correspond with the various groups of participants, the suggestions have been divided into five parts:

- SE in general
- SE for an individual
- SE of a group or team
- SE of an institution
- SE of a project/programme

The basic concerns are identical in each case, and the questions remain fundamentally the same. They are, however, adapted to the respective situations. In case of doubt or incomprehension, trouble must be taken, for example in the case of a project self-evaluation, to consult the corresponding examples of other groups (individual, team) as well.

The arrows and numbers in the colored area at the top of the page refer to page numbers of the thematic brochure (part 1) and the relevant subjects referred to therein.



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SE individual

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SE institution

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SE project

Guide to evaluation of motives and objectives at start

Questions which can be put to individuals and groups of participants:

1. *When, how and through whom did you get the idea of a self-evaluation?*
2. *How much does «compulsion» play a part in the motivation, and of what kind is it? (How voluntary is it?)*
 - Compulsion from above (desired or demanded by superiors)?
 - Group compulsion (not wanting to spoil things)?
 - Following fashionable trends (because others do it, it's the right thing to do)?
 - Situation pressure (crisis)?
 -
3. *What is demotivating?*
 - Not taken up with enthusiasm by superiors?
 - Half-hearted participation of others?
 - Why follow fashion trends?
 - Unclear aims?
 - Too little help from outside?
 - Unclear motives of initiators?
 -
4. *Who is interested in the self-evaluation (apart from the participants)?*
 - Superior authorities?
 - Dependent groups/persons?
 - Social/professional environment?
 - Evaluation Service?
 - Advisers?
 - Persons who can be named?
 -
5. *What are the perceived aims of the self-evaluation (setting priorities)?*

Strengthening of identity:

 - self-affirmation?
 - self-criticism?
 - developing more consciousness?
 - professional/personal development?
 -

Rendering account to:

- oneself?
- superior authorities?
- donors / financial sources?
-

Definition of situation/consolidation as basis for:

- annual planning?
- working out new phase planning?
-

Scrutinizing and improving own work for:

- better guidance of project?
- quality control?
- improvement of overall strategy?
- increasing efficiency and effectiveness?
- continual adaptation of activities?
- better use of available resources and opportunities?
-

Improvement of teamwork and communication:

- stimulating sense of solidarity?
- inclusion of social environment?
- furthering co-determination and responsibility?
- cultural exchange?
- work in common, cooperation?
-

6. *What hidden motives may play a role?*

What side-effects of self-evaluation might be feared?

- Results of self-evaluation could lead to silent control by superior authorities?
- Avoiding criticism through external evaluation?
- Controlled and advantageous self-portrayal?
- Tinkering with a «sinking ship», instead of acknowledging the failure of the undertaking?
- Evaluation as an end in itself?
- Makes a change in the daily routine?
- New market for consultants?
-

Brainstorming on resistance/fears

Brainstorming is a creative, looking-for-ideas method, during which any idea is allowed to be expressed and no mistakes can be made.

In our case, there is a creative search for all possible and «impossible» resistances towards and fears of self-evaluation.

Rules of procedure

1. All participants contribute any possible forms of resistance they can think of, in abbreviated form, as quickly and spontaneously as possible, without looking for reasons or sense or nonsense in the ideas which crop up.
2. The ideas are minuted continuously and in a form visible for all (on a board, paper, cards, etc.)
3. Any comments on resistance are allowed. There is no assessment.
4. It does not matter who makes the comments – no sources are noted.
5. The final result should consist of a list of resistance and fears which has a potential for energy in the self-evaluation process.
6. Very important: special fears and resistance should be discussed with the aim of finding appropriate agreements, e.g. regarding discretion, respect for personal opinions, tolerance, aids, etc.

These methods of searching out resistance are particularly suitable in groups. For an individual self-evaluation it can also be recommended in a modified form: a spontaneous listing of all reservations concerning an individual self-evaluation, and an appropriate change into questions to oneself.

Transferring resistance into questions and themes

Example: Resistance arguments, collected by Jean-Paul Flament in the brochure «Mirror...», p. 38–39.

Arguments against (self-)evaluation

Changed into questions and themes for self-evaluation

- | | |
|---|--|
| 1. <i>Our project/programme is different</i> | What is special about our project/programme? |
| 2. <i>It will cost too much</i> | What are we using our money for? |
| 3. <i>We have not got the time</i> | What <i>do</i> we have time for? |
| 4. <i>The project is too limited</i> | What are the possibilities and limits of our project? |
| 5. <i>This was not mentioned in the plan of operations</i> | What else is hindered by the plan? |
| 6. <i>We have never done this before</i> | What do we not do? What is missing? |
| 7. <i>The Government (or organization) will not like this</i> | What are our political and institutional dependencies? |
| 8. <i>Give me funds</i> | Who wants something from me? |
| 9. <i>This is not within our competence</i> | What responsibilities do we have? |
| 10. <i>An evaluation is not necessary</i> | What <i>is</i> necessary? What are our needs? |
| 11. <i>It would be too theoretical</i> | What is the concept of our work? |
| 12. <i>Let us be realistic</i> | What does our reality look like? |
| 13. <i>That is not our problem</i> | What are our problems? |
| 14. <i>Why change something which works?</i> | What direction is this «work» taking? |
| 15. <i>We are not ready for this yet</i> | What are we ready for? |
| 16. <i>This is not mentioned in our budget</i> | How is the budget used? |
| 17. <i>We can very well do without it</i> | What is superfluous, what do we not need? |
| 18. <i>We have never done anything like that before</i> | What's new? |
| 19. <i>There must be an hidden motive</i> | What motives lie in the background? |
| 20. <i>Is someone trying to teach me my job?</i> | What have I learnt, what do I want to learn? |

- | | |
|---|---|
| 21. <i>That may work somewhere else but not here</i> | What works round here, what does not work? |
| 22. <i>I am not convinced it will be useful</i> | What is useful for me, what is not useful? |
| 23. <i>«They» are trying to «get» us</i> | How are we «got»? Whom do we «get»? |
| 24. <i>Think of all the trouble this will bring about</i> | What difficulties and conflicts are there? |
| 25. <i>It is impossible to carry this out with the necessary objectivity</i> | What is our «objectivity» like? What lies behind it? |
| 26. <i>A change will cause too many problems</i> | Where do we want change, where do we not? |
| 27. <i>We have always done things this way</i> | How have we done things up to now? |
| 28. <i>We have done what we said we would do</i> | What did we intend to do?
What has been realised? |
| 29. <i>We have done what is in the project document</i> | Do we agree with the project document? |
| 30. <i>We have already been evaluated</i> | What were the results of previous evaluations? |
| 31. <i>We have no problems</i> | Who has problems? |
| 32. <i>There has been a reshuffle in the government</i> | Dependencies – where are we without power? |
| 33. <i>Financial disorder has caused delays in our timetable</i> | How do we deal with money and time? |
| 34. <i>Our accounts have just been audited</i> | What does the final account look like? |
| 35. <i>The Resident Representative says it is one of his/her best projects</i> | Who decides what a good project is? |
| 36. <i>It is a pilot project</i> | In what direction are we piloting the project? |
| 37. <i>It is a model project</i> | For whom and what does the project serve as a model? |
| 38. <i>It is an experimental project</i> | What experiments are we daring to make? |
| 39. <i>The project is too new</i> | What are the «sins of youth» of the project? |
| 40. <i>The project will soon be finished</i> | What was the beginning of the project like?
And the end? |
| 41. <i>Building is not yet finished</i> | How is building taking place? |
| 42. <i>The equipment has not yet arrived</i> | What are we doing without equipment? |

- | | |
|--|--|
| 43. <i>The equipment has not yet been installed</i> | Who is to install what, where? |
| 44. <i>The institutional framework has not yet been fixed</i> | Role of the institutional framework?
Where is our own responsibility? |
| 45. <i>We cannot find the original plan of operation</i> | Where and how are we working without a plan? |
| 46. <i>Someone else was responsible at the beginning of the project</i> | Personnel dependencies – who is irreplaceable? |
| 47. <i>The government is satisfied with the project</i> | Who is not satisfied with the project? |
| 48. <i>The government has not yet given its contribution</i> | What are we waiting for?
What are we doing while waiting? |
| 49. <i>The project is not yet assessable</i> | What do we mean by «assessment»? |
| 50. <i>We have not got the data</i> | What do we have, what do we not have? |
| 51. <i>The project documentation is too vague</i> | How do we find our way in the «fog»? |
| 52. <i>Today is a national holiday</i> | How do we deal with free time and work? |
| 53. <i>It is the monsoon season</i> | What qualities do the seasons have? |
| 54. <i>External agents do not understand the complexity of our project</i> | What do we not understand?
Who can help us? |
| 55. <i>We evaluate ourselves continuously</i> | How can we systemise our spontaneous self-evaluation? |
| 56. <i>I have to take my annual leave</i> | Me too! What does leave mean to me? |

Examples for the relation between areas, objects, evaluation criteria and indicators

<i>Area/Object</i> What is the issue?	<i>Evaluation criteria</i> What matters most?	<i>Indicators</i> How do I recognise and seize this?
Team work / team meeting	Real engagement on part of all, use in cooperation	<i>Quantitative:</i> number of remarks <i>Qualitative:</i> readiness to listen, substance of contribution, satisfaction after meeting
Education, further training of project members	Strengthening of self-assurance, broadening of knowledge and skills, increasing work capacity	<i>Quantitative:</i> number of events attended, number of participants <i>Qualitative:</i> how much can be applied, improvement of quality of work
Forestry, afforestation	Responsibility of village community, use for village and environment	<i>Quantitative:</i> number of trees planted per year and inhabitant, area of afforestation <i>Qualitative:</i> attitude to forest (e.g. stories told about forest)
Trade / Sawmill	Being in the black, a self-supporting business	<i>Quantitative:</i> number of planks sold, number of unproductive machine-hours <i>Qualitative:</i> quality of planks, use of wood waste products
Social environment / integration	Understanding and harmony between foreigners and local population	<i>Quantitative:</i> number of direct contacts and invitations on both sides <i>Qualitative:</i> personal closeness of contacts, mutual consideration and readiness to help

SE in general

<i>Area/Object</i> What is the issue?	<i>Evaluation criteria</i> What matters most?	<i>Indicators</i> How do I recognise and seize this?
Cooperation headquarters field / communication with Coordination office	Quick, comprehensible communications	<i>Quantitative:</i> number of letters, fax and telephone calls. <i>Qualitative:</i> Tone and quality of contents, number and kind of misunderstandings
Political integration / relations with government	Mutual respect and cooperation based on partnership	<i>Quantitative:</i> number and rhythm of meetings, number of participants <i>Qualitative:</i> reliability of participation, openness of dialogue, competence of delegates
Time factor, use of time	Rational use of time available, reasonable relationship between time used and results (achievements)	<i>Quantitative:</i> number of hours used for separate pieces of work <i>Qualitative:</i> relationship between stress and quiet; time used and achievements

Selection, role and employment of external process advisors

1. *Clarification of needs*

- What needs, concerns and/or uncertainties make an external process advisor (PA) necessary to us?
- Have we really considered all ways of fulfilling this need internally?
- What reasons justify the use of a PA?

2. *Sector, situation, phase*

- Pioneer phase
- Technical problems
- Evaluation of relationships, problems of group dynamics
- Decision phase
- Coordination
- Broadening of specific knowledge
- Special desire for an «outsider's view»
- Situation of crisis or conflict
- Infusing new life
-

3. *Concrete expectations; role of accompanying persons*

- What main functions shall the external process advisor take over?
Concrete expectations should be formulated for the different roles!
- acting as «midwife»
 - supervision
 - methodical support
 - coordination
 - expert function
 - education/further education
 - mediation, conflict management (area of relationships)
 - personal advice, therapy

4. *Process advisor in self-evaluation: requirements*

- What knowledge, capabilities and background should the PA have?
- What human qualities are particularly desired?
- What time availability is needed?

5. Search, discussion, contract

- Who should recruit the PA?
- Date/contents of first meeting with PA
(in presence of as many participants as possible, or their representatives)
- Joint procedure
- General plan of action
- Contract: job description, time needed, costs
- Who is internal contact person to PA?
- Any special conditions agreed?

6. Criteria for premature termination of contract

It should be possible, after discussion, for either party to terminate the contract at any time, since any «forced cooperation» should be avoided. Grounds for premature termination could be:

- If the PA cannot fulfil the clearly defined expectations.
- If no satisfactory basis of mutual trust is established.
- If all responsibility is thrust onto the process advisor.
- If the agreed dates cannot be kept satisfactorily
(unreliable planning and agreements).
- If many other things are more important than the self-evaluation and too little energy is expended by all participants.
- Indiscretions (information belongs to the persons who provides it; the PA may not pass it on without permission).
- If the PA has a stronger interest in the results than the participants.
- If the expectations are fulfilled prematurely.
-

Defining standpoint at start

- *What conditions prevail in my field of work?
(e.g. in a project/programme: population, cultural, social and political situation?)*

- *Where is my place in the organigram?*

- *What is my function – what role do I play?*

- *With whom do I work?*

- *Who depends on me?*

- *On whom do I depend?*

-

Questions concerning individual value systems

SE individual

1. *What values were held in my childhood (including schooldays)?
Who passed on these values to me? Who set an example to me?*
2. *How has my scale of values changed in the course of time?
Why, and with whose influence?*
3. *My present system of values: what norms do I use in my life?
What are my seven most important life values (in order of priority):*
4. *Who sets me an example today?*
5. *Ideal norms/standards:*
 - standards for the meaning of life?
 - religious standards?
 - ethical-moral principles?
 - who is, for me, a «good» person or a «bad» person?
6. *My standards in my field of work:*
 - for quantitative output?
 - for qualitative output?
 - for social recognition of my work?
 - for the role I would like to play in the organisation?
 - for my professional career?
 -
7. *Inner and outer value conflicts:*
 - Which of my own standards do I keep to?
 - Where do I not use my abilities or personality to the full?
What could I do better, where could I be better?
 - Which outer norms do I keep to?
 - What outer norms do I find set too low? Where do I feel undertaxed?
 - What outer norms do I find it difficult to keep to? Where am I overtaxed?
 - To whom do I owe something in my social environment? What?
 - Who in my social environment owes me something? What?
 - What outer norms can I not accept in principle, and which do I not understand?

Personal evaluation of motivation and objectives

Reflections on my past, my present, my future:

Experience, feelings, expectations/visions

Withdrawal to a place of quiet in order to reflect on the past, present and future; pictures arising spontaneously and answers to the following questions should be written down:

1. *What was my situation*

10 years ago

- professionally:
- in society:
- privately:

5 years ago

- professionally:
- in society:
- privately:

2. *How, and using what criteria, do I judge my development over the last 10 years? What occurs to me in particular? Where have I been successful, where unsuccessful?*

- professionally:
- in society:
- privately:

3. *Looking back at the past year*

- Personal strengths: what are my best qualities?
What am I proud of, what can I do well?
What abilities of mine are particularly useful in my work and for others?
- Personal weaknesses: what displeases me most about myself?
What characteristics do I like least about myself?
Which situations in life or work can I deal with least? In which situations do I bother others?

4. *Situation today*

How do I judge and feel about:

- my work (contents, duties)?
- my conditions of work (salary, working space, aids, etc.)?
- working conditions (relations with colleagues, superiors, subordinates, etc.)?
- my social and private situation?
- what connections are there between my social, private and professional life?

5. Visions for the future

What do I dream of for the future (wishes, utopia)?

- professionally:
- in society:
- privately:

What would I like to avoid at all costs in the future (fears, negative visions)?

- professionally:
- in society:
- privately:

6. Where do I see myself in 5 years? Aims?

- professionally:
- in society:
- privately:

7. Where do I see myself in 10 years? Aims?

- professionally:
- in society:
- privately:

8. In order to be able to take the first step towards the future as it should be, I am determined to do the following from today:

- professionally:
- in society:
- privately:

9. Cooperation with others:

- Which persons/groups can support my personal and/or professional development?
Whom can I ask for help?
- With which persons/groups would I like to become particularly involved during the coming year? To whom shall I offer help?

10. Anything else which comes to mind concerning my life and working aims:

Choosing subjects in individual self-evaluation

Recommendation: Read through the areas and mark accordingly with 0–3.
Add to the list as necessary.

- 0 = not important / no answer
- 1 = could be improved, changes desired
- 2 = good, develop further
- 3 = very good, leave as it is

Example:

- 3 Consciousness of own attitude to life, self-knowledge
- 0 Knowledge of philosophy and guidelines of enterprise

Concerning the term «criteria», see definition on page 28 point 5.2 of part 1. The criteria which follow are also examples and may need adapting to the value system of the person concerned.

1. *Guiding principles: motivation, objective, purpose*

Criteria: e.g. clearness on own attitudes to life and work, strength of motivation, identification with enterprise and own work, etc.

- ___ Consciousness of own attitude to life, self-knowledge
- ___ Knowledge of philosophy and guidelines of enterprise
- ___ Clear work objectives
- ___ Identification with objectives of the institution, the project/programme, the employer
- ___ Purpose of own work
- ___
- ___

2. *Work contents and results*

Criteria: e.g. importance of work contents, desired quantitative and qualitative results. Effectiveness.

- ___ allocated field of work
- ___ delimitation
- ___ comprehensibility
- ___ volume of work
- ___ qualitative results
- ___ quantitative results
- ___ means and returns
- ___
- ___

3. Personal participation

Criteria: Well-being at place of work, ability to cope, etc.

- my abilities, knowledge and skills
- my tasks and roles
- matching of abilities and tasks
- position in the hierarchy
- informal position
- opportunity to influence the organisation
- competences
- freedom, responsibility
- dependencies
- opportunities for further education
- career opportunities
-
-

4. Relationships and cooperation

Criteria: e.g. mutual support/obstruction, working climate, well-being in social environment, quality of cooperation (social competences), etc.

- relations within team
- relations with superiors
- relations with subordinates
- relations with colleagues
- relations with the population
- relations with superior authorities
- exchange and cooperation internally
- external cooperation (consultants, etc.)
- committees
- coordination (meetings, etc.)
- exchange of information
- division of power
- ability to cope with conflict
-
-

5. Sequence of work

Criteria: e.g. matching up planning, organization and implementation, or mutual obstruction (e.g. when I often have good ideas or concepts, but can neither organize properly nor carry out my plans). Efficiency.

- planning my work
- keeping to priorities
- concurrence with overall planning
- organizing my work
- work sequence
- flexibility in transference into action
- consistent way of working
- rhythm of work
- delegation
- control
- work guiding
-
-

6. Technical work aids

Criteria: e.g. user-friendly, productive, etc.

- general: number, usefulness
- furnishing at place of work
- financial means
- working instruments
- machines, tools
- means of transport
-
-

7. Integration in work environment

Criteria: e.g. cultural, social and political coherence and integration

- participation in public life of place of work
- contact with neighbours (people who are not directly concerned with my work, but who live or work nearby)
- involvement in extra-professional groups
- knowledge of cultural values and norms
- intercultural exchanges
- knowledge of languages, communication with surroundings
- knowledge of social situation
- knowledge of formal and informal power structures
- political understanding and involvement
- private life
-
-

8. Time factor

Criteria: quantitative: time planning and keeping time (clock);

qualitative: appropriate use of time

(some work should only be done at the «right» time, e.g. sowing seed, etc.)

- ___ dividing up working time
- ___ chronological rituals (meetings always on Wednesday, etc.)
- ___ chronological daily rhythms
- ___ chronological course of year
- ___ feeling for time
- ___ time used for each field of work
- ___ time pressure, stress/boredom
- ___ length of employment («seniority at work»)
- ___ relationship working time – free time/holidays
- ___
- ___

SE individual

List of sectors for further consideration

(= sectors marked with 1 or 2)

- ___
- ___
- ___
- ___
- ___
- ___
- ___

How to evaluate the working day individually

Example of an instrument: the 24-hour chronicle

Step 1:

Taking stock, an overview

Putting my working day under a magnifying glass, observing it closely, finding out what my day looks like and how I feel.

Procedure:

To get a general picture, I record chronologically the day's activities and events, censoring or assessing nothing (an objective view). At the same time, I also note my personal feelings (subjective view).

Those who want to concentrate entirely on their professional life limit these notes to the working day. It can be worth while, however, to look at the whole day, because profession/work, free time and private life influence each other, and it is here, in fact, that interesting cross-connections can be found.

Important:

The 24-hour chronicle is not a diary where important events are noted at the end of the day. Each activity or event must be recorded as soon as it is completed and before proceeding to the next activity. This needs discipline and awareness of the here and now. Not so much time is needed to keep this chronicle as may seem at the beginning. In any case, I soon begin to save time, because with conscious awareness, I stop «losing time» and automatically use it in a better way. Try it out!

The 24-hour chronicle is written entirely for myself alone, and will not be shown to any other person. This is important, to avoid any kind of censorship, conscious or otherwise.

Important yardstick: the clock. A complete chronology is a control of whether I have forgotten or overlooked something. If «blind spots» occur, they should be recorded accordingly.

Time of implementation: 2–4 weeks.

Example:

<i>Time</i>	<i>Activity, event (objective)</i>	<i>Remarks, feelings (subjective)</i>
7.00	Getting up	Again!
7.15	Breakfast	Stress
7.30	To work by car	Routine
8.00	Starting work, putting disgruntled papers in order	
8.15	Tel from X concerning Y	The talk did me good
8.25	Read papers for meeting	Not very interesting
9.00	Team meeting	Boring!
etc.		

SE individual

Step 2:

Analysis, confrontation with every-day situations in life and at work. Defining critical moments and areas and means of resolving them.

Start a process of change, suitable activities, find modes of behaviour.

Procedure:

Analyse the 24-hour chronicle, finding out problematic points and areas which could do with improvement. Set priorities in such areas. Consider and note what could be done and how, what can be changed.

Example: *Analysis and processing of chronicle*

<i>Sector, situation</i>	<i>What is lacking? What do I want to change or improve?</i>	<i>How can I change things? What exactly do I wish to undertake?</i>
1. Getting up, breakfast	Not enough time and leisure, reduce stress	Get up earlier, lengthier breakfast
2. Team meeting	Boring, too longwinded, should be tightened up	More active participation introduce this topic, make suggestions
etc.		

Step 3:*Checking improvements, new steps*

After 2–3 months a check should be made, evaluating changes made and their results.

Example:

<i>Sector, situation</i>	<i>What have I done or changed?</i>	<i>Results, successes, new steps?</i>
1. Starting the day	Got up half hour earlier	Day begins more peacefully – go on like this
2. Team meeting	More active participation but topic not introduced	Still find it difficult, talk about my uneasiness next time
etc.		

Further steps:

After a certain time, further checks, and further areas handled. If necessary, and as needed, take up new areas.

Group self-evaluation: standpoint at beginning

- *What environment does the field of work have?*
- *What place does the group occupy in the organigram (if part of a larger organization)?*
- *What is the particular function of the group?*
- *With what other groups or individuals does the group cooperate?*
- *Who depends on the work of the group?*
- *On what other groups/persons is the group directly dependent?*
- *Portrayal of group situation*

Questions regarding common system of values

1. *What fundamental values did we find on entering the team?
(What did the group «hold sacred»?) What norms were standard at the time?
(What was allowed and what was not allowed?)*
2. *How have the group values and norms changed in the course of time?*
3. *Our present system of values: what values dictate our activities, and which norms rule our cooperation?*
4. *Have we common models? Who or what are they?*
5. *Do spiritual, ethical-moral and religious standards play a conscious and defined role?*
6. *Our working norms:*
 - for quantitative output?
 - for qualitative output?
 - for social recognition of group output?
 - for position and role in the organisation?
 - for our professional development?
 - for cooperation and mutual support?
 -
7. *Conflicts of values, inner and outer:*
 - Differing attitudes towards values within the team?
 - Where do the different value systems complement, and where do they obstruct each other?
 - What outer standards are kept by the group?
 - Where does the group feel too little is expected of it?
 - Where does the group feel overtaxed? What norms, set from outside, cannot be kept?
 - What group norms receive no support from the surroundings?
 - What outer norms does the group basically not agree with?
 - What areas lack clear norms?

Evaluation of motivation and objectives in the group

Exchange of ideas on the past, present and future:
Experiences, state of mind, expectations/visions

First step:

Exchange of ideas in sub-groups of 3-4 persons on the following questions (after individual preparation on the questions):

1. *Where were we before entering the present team?*
2. *What was the team like in the beginning?*
3. *What has changed in the meantime?*
4. *How do we judge the development of the team since we know it?*
5. *What has happened in the team particularly in the past year?*
6. *The present-day picture of the team: strengths and weaknesses, composition, general mood, team spirit?*
7. *Present working conditions: working climate, capacity use, working space, finance, material aids?*
8. *What is cooperation like with other groups/persons?*
9. *What does the team lack most? What is neglected?
Which strengths could be better utilized?*
10. *Aims, visions for the future?*
11. *Fears about the future?*
12. *What should the team tackle, strengthen, or change in particular in the coming year – the annual objective?*

Second step:

A synthesis of the considerations and observations from the sub-groups, e.g. on a pinboard or with drawings, etc.

Descriptive summary of the following three situations:

- 1.** *The «past» of the team, what it appeared to be when the various members joined it.*
- 2.** *The «present» of the team, how does it seem today to the various members? What is its image for outsiders?*
- 3.** *The «future» of the team, long-term visions, fears.*

Third step:

- 1.** *Confirmation and/or correction of common, basic and long-term aims.*
- 2.** *Definition of annual objectives, concrete resolutions/agreements and the appropriate decisions.*
- 3.** *Organization/determination of implementation of decisions (who does what? allocation of competence and responsibility).*

Choosing subjects in group self-evaluation

Recommendation: The group (team, service, section, etc.) works together through all areas and marks 0–3 as appropriate. As preparation, individual members could work through the areas given in M-15. If needed, add to the list.

0 = not important

1 = could be improved, changes desired

2 = good, develop further

3 = very good, leave as it is

Example:

3 guidelines, common work philosophy

0 group identity, self-portrayal

Concerning the term «criteria», see definition on page 28, point 5.2. of part 1 and examples on page M-7 in this brochure. The criteria shown here also serve as examples.

1. Guiding principles: motivation, objectives and purposes

Criteria: e.g. clarity of guiding principles of the group, degree of identification and assent inside the group; in agreement with the guiding principles of the whole organisation.

guiding principles, common work philosophy

group identity, self-portrayal

work objectives

identification with aims of institution, project/programme or employer

rationale behind group work

2. Work contents and results

Criteria: e.g. results, quantitative and qualitative outputs, effectiveness

given field of work

delimitations

comprehensibility

volume of work

qualitative results

quantitative results

means and returns

3. Involved persons

Criteria: e.g. degree of well-being of individual within the group, matching capabilities and roles.

- ___ abilities, knowledge and skills of individual members
- ___ distribution of tasks and roles
- ___ matching abilities and tasks
- ___ hierarchic structure (formal structure)
- ___ informal group structure
- ___ distribution of competence
- ___ freedom, responsibility held by group
- ___ dependencies within the group
- ___ use of opportunities for further education
- ___ promotions
- ___

4. Relationships and cooperation

Criteria: Mutual support/obstruction, working climate, place in environment of organisation, quality of cooperation with other groups

- ___ place of group within organisation
- ___ relations with other teams
- ___ relations with superiors (heads of divisions, directors, etc)
- ___ relations with population
- ___ relations with authorities
- ___ exchange and cooperation with other groups (internally)
- ___ cooperation with external groups, persons
- ___ representation in committees
- ___ coordination (meetings, etc.)
- ___ flow of information to and from other groups
- ___ distribution of power within organisation
- ___ ability to cope with internal and external conflicts
- ___

5. Sequence of work

Criteria: e.g. matching planning, organization and implementation. Efficiency.

- ___ planning of work
- ___ keeping to priorities
- ___ concurrence with overall planning
- ___ organization of work (internal)
- ___ work sequence
- ___ flexibility in transference into action
- ___ consistent way of working
- ___ rhythm of work
- ___ delegation to other groups/persons
- ___ control of other groups/persons
- ___ work guiding
- ___

6. Working aids

Criteria: e.g. adapted to capacities of members of group, appropriate distribution and use, etc.

- ___ general: number, usefulness, distribution
- ___ furnishings at work place
- ___ financial means, distribution
- ___ work instruments
- ___ machines, tools
- ___ means of transport
- ___

7. Integration in working environment

Criteria: e.g. cultural, social and political coherence, degree of integration

- ___ integration in public life at place of work
- ___ contact with neighbouring groups
- ___ knowledge of cultural values and norms
- ___ intercultural exchange
- ___ communication with surroundings
- ___ knowledge of social situation
- ___ knowledge of formal and informal power structures of surroundings
- ___ political understanding and impact
- ___

8. Time factor

Criteria: quantitative: time planning, and keeping to time (clock);
qualitative: «doing the right thing at the right time».

- ___ dividing up working time
- ___ chronological rituals (meetings always Wednesdays, etc.)
- ___ chronological daily rhythm
- ___ time management
- ___ amount of time used for each work area, activity
- ___ pressure of time, stress/boredom
- ___ length of time of cooperation («age» of group)
- ___

List of self-evaluation subjects for further consideration
(= sectors marked with 1 or 2)

- ___
- ___
- ___
- ___
- ___
- ___

Model for self-evaluation of a team

Objective:

- greater distance and overview of personal fulfilment of tasks
- better understanding of entire working process
- greater awareness in cooperation and mutual support to reach targets

Procedure:

1. *Each team member (incl. secretaries) writes down a list of tasks including all the work done at the present time by that person.*
2. *Each asks the following questions regarding this personal list:*
 - which tasks do I find meaningful and like doing?
 - which tasks do I find necessary, though I don't like doing them?
 - which tasks do I find superfluous?
 - which tasks would I prefer to relinquish?
 - which tasks would I like to take over?
3. *The individual descriptions of tasks are collected and divided into areas of work (management, expertise, administration, secretarial, etc.): this provides a list of all work done by the team.*
4. *At a meeting (in a «retreat»), all the tasks are discussed, bearing in mind the questions:*
 - who, in which function, takes part in fulfilling each task? results, satisfaction, dissatisfaction?
 - What is superfluous, what is lacking?
5. *On the basis of this new and amended list, distribution of tasks (work and respective function) is discussed and, if necessary, changed.*
6. *As the final product, general terms of reference emerge, which set out who works with whom, on what, in what function, and with what aims (clarity for everyone).*
7. *The group terms of reference are valid for one year. Evaluation takes place annually. According to need, necessity and possibility, the tasks are newly allotted, thus allowing an exchange of work among the participants. The group terms of reference thus becomes a dynamic instrument in the work process.*

How the self-evaluation model can be applied in practice

First step:

Listing the work and personal attitudes

All work should be listed by the individual participants exactly as it is perceived subjectively (independently of the official job description).

Important: the list of jobs and duties should originate from the daily work: about one month should be allowed for observation of fulfilling of duties.

N.B. Those members of the group who have already carried out an individual self-evaluation (see SE individual, M-19) will find it easy to put together the various tasks out of their daily chronicles.

Instrument: Individual job analysis and personal position

Name:

- 1 = important, I like doing it
- 2 = necessary, but I don't like doing it
- 3 = not so important, superfluous
- 4 = would like to relinquish this
- 5 = would like to do more/take over
- 6 = see notes on this point at end of list

(List tasks in detail and mark with appropriate position 1-6)

SE group

Tasks/work

-
-
-
-
-
-

Position (1-6)

--

Second step:

Summary and synthesis of individual work analyses

1. The individual analyses of jobs are collated by a member of the team. This summary is then passed to the participants so that they can verify the entries, and if necessary correct or complete them.
2. This synthesis is discussed and amended at a meeting. What is decisive is not the decisions, but the awareness of the general mood on the basis of personal observation.

Sythesis of individual work analyses

Participants:

- 1 = important, I like doing it
- 2 = necessary, but I don't like doing it
- 3 = not so important, superfluous
- 4 = would like to relinquish this
- 5 = would like to do more, take over
- 6 = see notes on this point at end of list

(Collect all individual tasks and fill in columns 1-6 according to each position with the appropriate name abbreviation)

Tasks

	1	2	3	4	5	6
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						
-						

SE group

Third step:

Evaluation of results, preparation of group job description:

At a meeting (ideally in «retreat»), the amended list of tasks is put to discussion with the aim of clearly defining both tasks and who is responsible and competent in each case. The result of these negotiations is a common job description, in which certain task areas are particularly stressed; these should then be specially observed and dealt with.

Recommendation: the validity of the agreed group job description should be one year at the most. After a year, steps 2 and 3 are repeated in a «retreat» (basis: the current group job description). According to the new evaluation, the distribution of tasks can be re-examined and changed if necessary. Likewise the areas can be defined which should be specially dealt with or changed the coming year.

Instrument: Group job description

Distribution of tasks and processing for year...

- 1 = responsibility/coordination
- 2 = implementation
- 3 = in cooperation with...

(Fill in these columns with appropriate abbreviated names)

Evaluation/result:

- + = works well, continue thus
- = improve, change*
- 0 = change process*
- * take particular note and seek new solutions

SE group

<i>Tasks</i>	1	2	3	+	-	0
-						
-						
-						
-						
-						
-						

Institution self-evaluation: standpoint at beginning

- *In what kind of environment is the institution?*

- *List of all participating teams
(departments, sections, committees, etc., and their specific functions):*

- *What are the interfaces between the various groups?*

- *What internal dependencies are there?*

- *To what outer authority is the institution subordinate to?*

- *What other organizations are dependent on the institution?*

- *Detailed organigram and pictorial description of institution's situation:*

Questions concerning the value system of the institution

1. *What were its fundamental values and norms when the institution was founded?*
2. *What changes have there been in these values and norms in the course of time?*
3. *The present value system: what norms does the institution use today in its duties and activities?*
4. *Are there similar institutions at home or abroad which can serve as models or for comparison?*
5. *Do ideal, ethical-moral or religious standards play a conscious, defined role?*
6. *What work norms are used to control*
 - the quantitative output?
 - the qualitative output?
 - national or international significance?
 - up-to-date development and adaptation of objectives?
 - cooperation with other institutions?
 -
7. *Inner and outer value conflicts*
 - Differences in value standards inside the institution?
 - Do inner ideas on values complement or obstruct each other?
 - What outer value systems are in fact kept to by the institution?
 - Where are standards set too low? Where could higher demands be fulfilled?
Of which service is not enough demanded?
 - In which areas are standards set too high?
In which jobs or groups are too high demands made?
 - Which institution norms meet with resistance in the social, economic or political environment?
 - Which outer norms and value systems (social, economic or political) cannot be kept to by the institution?
 - For what areas, departments or services are clear norms lacking?
 - Is it clear in all departments and services by which norms their work and its results are checked (transparency in system of control)?

How to evaluate motivation and aims in an institution

Growth of an institution in the past, present and future:
Experience, development, expectations/visions

First step:

Discussion of following topics at directors' level (management, heads of department, etc.):

1. *Historical retrospective: founding of the institution, motives, causes, original purpose and aims (studying documents, statements of principles, etc.).*
2. *Prominent personalities from the past who had a formative influence on the institution. What was the nature of their influence?*
3. *Description of the various phases of development and their models up to the present day.*
4. *Today: weaknesses and strengths of the institution.*
5. *Hopes and fears: what the future may bring.*
6. *Long-term models and objectives.*
7. *The most urgent problems and tasks for the coming year.*

Second step:

In the various departments, sections and services:

1. *Presentation of the results of these considerations at directors' level to the various services, together with appropriate concrete questions to them.*
2. *Their position in reply, preferably on the grounds of their own reflections and observations (see SE group, M-24).*
3. *Synthesis of the various statements made for the management.*

Third step:

At management (directorial) level:

1. *Reception of critical, constructive and creative suggestions from the lower levels.*
2. *Search for measures designed to promote motivation.*
3. *Decisions on aims for the coming year and the organization of the measures to achieve them.*

Choosing self-evaluation subjects in an institution

All working groups (services, sections, etc.) discuss among themselves the list of subjects and delegate one representative. These representatives go through the subjects together and agree on the corresponding marks (0–3). If necessary, the list can be added to.

0 = makes no difference

1 = could be improved, changes desired

2 = good, develop further

3 = very good, leave as it is

Example:

3 model, operational philosophy

0 self-portrayal, image

For the meaning of «criteria», see definition on page 28, point 5.2 of part 1 and examples SE in general, M-7 in this brochure.

1. *Guiding principles, designation (what for?)*

Criteria: e.g. clarity of institution guiding principles, knowledge of it, designation, agreement, convertibility into action.

___ guiding principles, operational philosophy

___ self-portrayal, image

___ objectives

___ statement of principles

___ statutes, legal basis

___ internal identification

___ purpose of the institution

2. *Contents of work, results (what?)*

Criteria: e.g. results, quantitative and qualitative achievements. Effectiveness.

___ general field of work

___ distribution of work

___ can be surveyed

___ amount of work

___ qualitative results

___ quantitative results

___ means and returns

___ control

3. Involved persons (who?)

Criteria: e.g. well-being of personnel, atmosphere, personal quality requirements.

- ___ general personnel policy
- ___ abilities, knowledge and skills of personnel
- ___ distribution of tasks and roles
- ___ matching abilities to tasks
- ___ management structure
- ___ line functions, staff positions
- ___ arrangement of competence
- ___ division of responsibility
- ___ policy on further training and education
- ___ policy on promotion
- ___ system of qualifications
- ___

4. Relationships, social work structure (with whom?)

Criteria: e.g. mutual support/obstruction, working relations, quality of cooperation.

- ___ relations of team members to one another
- ___ hierarchic relations
- ___ internal cooperation
- ___ cooperation with other institutions
- ___ representation in outside committees
- ___ coordination (meetings, etc.)
- ___ information policies
- ___ internal and external power politics
- ___ internal and external ability to handle conflict situations
- ___
- ___

5. Work routine (how?)

Criteria: e.g. agreement of planning, organization and implementation. Efficiency.

- ___ management policy
- ___ planning policy
- ___ priorities
- ___ organization of work
- ___ work routine
- ___ flexibility, new methods
- ___ general working attitudes
- ___ delegation to outside organizations
- ___ work control
- ___ work management
- ___
- ___

6. Working aids (with what?)

Criteria: e.g. pleasant working conditions, appropriate financial means, etc.

- ___ general: usefulness, distribution
- ___ furnishing/equipment at place of work
- ___ finance policy
- ___ working instruments, computers
- ___ machines, equipment
- ___ material
- ___

7. Integration in working environment (where?)

Criteria: e.g. public position, image, political acceptance, etc.

- ___ political integration
- ___ cultural and social integration
- ___ inter-cultural interchange (openness)
- ___ information policy (towards the outside)
- ___ public relations
- ___ image-building
- ___ international significance/cooperation
- ___

8. Time factor (when?)

Criteria: e.g. quantitative: time planning, keeping to time;
qualitative: use of time (what is done and when).

- ___ division of work time
- ___ time management
- ___ keeping time schedules
- ___ free time/holiday regulations
- ___ past (history) of institution
- ___ adaptation to Zeitgeist
- ___

Compilation of self-evaluation subjects

(= sectors marked with 1 or 2)

- ___
- ___
- ___
- ___
- ___

Model for self-evaluation in an institution

Institutions which have already gone through a organization development phase can base their self-evaluation thereon.

In principle the same procedure can be used as in self-evaluation of a group (see SE group, M-29). In this case, the basic elements of the self-evaluation are as follows:

Objectives:

- better *insight* into the entire working process and its results
- more conscious *cooperation* and mutual support in gaining working objectives

Procedure:

1. *Each unit prepares a list of all tasks being undertaken currently by that section (usually such lists already exist and can be used as a basis).*
2. *The unit asks these questions with regard to the tasks:*
 - which tasks are felt to be particularly meaningful and are done with pleasure?
 - which tasks are difficult, but felt to be necessary?
 - which tasks are superfluous and could be dropped?
 - which tasks would the unit prefer to have done elsewhere?
 - are there any tasks which the unit would like to take over?
3. *These lists of tasks from the various units are compiled (and may already exist), with the addition of a picture of the general atmosphere in each section. It should be clear which units have to work together, even if in different amounts, on certain tasks.*
4. *Representatives of all units discuss and negotiate any differences which occur regarding the task list, and prepare an amended version. Critical points are earmarked for special evaluation.*
5. *Based on the amended list (point 4) and the relative importance of the tasks, the functions of the various sections are clarified and, if necessary, changed.*
6. *The resulting diagram of common tasks and competences shows the functions of each section and with whom and on which tasks each works.*
7. *This «Institution Job Description» serves as a controlling instrument and a basis for further evaluations.*

Guidance for application of the self-evaluation model

First step:

Recording of tasks and of general atmosphere

Each unit, if it has already carried out an self-evaluation (see SE group, M-29), will find it easy to make its own list of tasks and record its position out of its «group job description».

Procedure:

List of tasks and position taken by each unit

Service/section:

Position regarding the tasks:

- 1 = makes sense, like doing it
- 2 = problematic, but necessary
- 3 = superfluous, eliminate
- 4 = hand over elsewhere
- 5 = would like to take this over
- 6 = special remarks (see end of list)

Tasks

-
-
-
-
-
-
-

Position (1-6)

--

SE institution

Second step:

Collation and synthesis of tasks of various units and their positions taken

Carried out by self-evaluation coordinator, with amendments from the units concerned.

Procedure:

List of tasks of all sections

Position regarding tasks:

- 1 = makes sense, like doing it
- 2 = problematic, but necessary
- 3 = superfluous, eliminate
- 4 = hand over elsewhere
- 5 = would like to take this over
- 6 = special remarks (see end of list)

(Collate all tasks and indicate in columns 1–6, using appropriate abbreviations, the positions taken by the various sections)

Tasks

	1	2	3	4	5	6
-						
-						
-						
-						
-						

Third step:

Evaluation of results, preparation of diagram of tasks and competences

At a meeting of the representatives of all units an amended task list is discussed with the aim of defining all responsibilities and competences. This results in a function diagram, in which special mention is made of those tasks which are to be specially observed and adapted.

While on a institution self-evaluation it is recommended that the management undertakes its own self-evaluation according to the procedures given for groups (M-22).

SE institution

Project/programme self-evaluation: defining standpoint at start

A definition of standpoint should take place at a meeting of representatives of all authorities and groups active in the project.

- *What kind of environment does the project/programme have (population, social and political situation)?*

- *Which institutions and groups (both local and foreign) form the structural executing agencies?*

- *Who is directly responsible for the realisation of the project/programme (local and foreign staff, teams)?*

- *For whom is the project meant? Which population groups, organizations, etc.?*

- *On which authorities does the project depend (state or private organizations, financing organizations)?*

- *Which groups or institutions are participating in the self-evaluation? Which are not?*

- *Diagram to show the positions of the groups participating in the self-evaluation within the project set up:*

Questions on the value systems within the project/programme

A = authority, financing organization

E = executing agency, project team

B = beneficiaries (population, or groups, in project area)

A	E	B
1. What norms were applied when the project/programme was undertaken?	System of norms at start of project?	Place of project/programme in traditional value system?
2. Adaptation of norms in the mean-time?	Changes in norms during course of project?	Influence of project on traditional norms?
3. Today's requirements on the project?	Project norms at the moment?	Which local norms must be observed by the project?
4. Support of other, similar projects?	Contact with other projects with the same aims?	Experience with other projects? Parallels?
5. To what ideal norms does the project conform?	Ethical-moral norms taken into consideration?	What religious and cultural norms are affected by project?
6. How is the project controlled?	Measuring standards for control of project activities ?	How is the use of the project/programme measured?
7. What important norms are not, or no longer, kept by the project?	What values cannot, or no more be realised?	Disappointments, conflicts between project norms and traditional values?

Evaluation of agreement on objectives in projects/programmes

It is particularly important in projects/programmes that agreement in principle on the objectives is reached between the various partners. It makes sense, therefore, if all these groups are aware of what they wish to achieve, and exchange ideas on the subject (see also SE project, M-50).

Aims and motivation: intentions, visions and reality

A = authorities, finance organizations

E = executing agency, project team

B = beneficiaries (population, or groups, in project area)

<i>A</i>	<i>E</i>	<i>B</i>
1. When, and on whose request, was the project/programme taken up?	Motivation – why was this project/programme taken up?	Who wanted this project? Who were the initiators?
2. On what basic idea was the project based?	What was meant to be achieved?	What advantages and help were requested?
3. What is the situation at present? Readiness to continue?	What has been achieved? Degree of satisfaction?	What has been received by whom? Changes? Disappointments?
4. Conditions for the future? Priorities?	Long-term aims, new efforts?	Expectations? Own contributions?
5. Short term conditions? Measures?	Definite activities foreseen for coming year?	Adjustments, short-term concerns?

Project/programme: needs analysis

In principle an analysis of needs should be made before starting a project/programme: this can then be checked during the evaluation phase.

In asking the following questions we are assuming that the project/programme is already under way, and we are not concerned with project appraisal, but rather with the evaluation of ongoing activities.

Participants:

1. The *population* or beneficiaries (B) with the aim of discovering background needs and change and development of needs in good time. It is important for them to agree on their needs from the project amongst themselves, and then to be able to formulate them clearly for the executing agencies.
2. Whoever is *executing* the project (E), with the aim of reflecting on their own ideas concerning the needs of the people concerned, and confronting these with their actual needs. It is important to be clear which needs can actually be satisfied by the project, and which cannot in its present form.

Procedure:

1. E and B discuss and agree on the general framework of the needs analysis and agree on objectives.
2. Both groups try, individually but parallel, to formulate answers to the relevant questions.
3. The results are compared and exchanged in a discussion.
4. Finally, negotiations are conducted to balance demand and supply, and plan suitable arrangements and further steps in evaluation and cooperation.

Questions concerning needs analysis in projects/programmes

1. Cause, general framework, objectives

- Who recommended the needs analysis? What was the actual reason?
- Who participates in the needs analysis? Who is represented by whom?
- Are there others affected who cannot or do not want to express their views, or who are not represented (e.g. women, children, certain social levels, etc.). If yes, who are they, and why can they not do so?
- Was a needs analysis carried out before project activities began?
- If yes, who was then present? Experience, result?
- Are there general expectations or reservations concerning the analysis as foreseen (on the part of E and B)?
- Common objectives of the needs analysis: what purpose should the outcome serve?

Questions to executing agency (E)

Questions to beneficiaries (B)

2. Actual project and needs situation

- | | |
|--|--|
| <ul style="list-style-type: none"> – In which areas does the project/ programme work best? – Where does the project/programme not meet our expectations? – What needs of the E are served by the project? – Have the needs orientation changed since project start? How? – What are the main needs of the B? Has the project/programme something to do with them? – What offers are appreciated most by the B? – Which project offers are not found of interest? – Which needs formulated by B cannot be met by the project/programme? – What changes of need has the project/ programme brought about? – What would B lack if the project/ programme were broken off? | <ul style="list-style-type: none"> – In what are we most pleased with the project/programme? – In what area are we not satisfied with the project/programme? – What needs of B should be covered by the project/programme? – Do we have the same expectations of the project as at the beginning? Do we expect other things, or more? – What is our greatest need at the moment? Has the project/programme something to do with this? – What is the biggest service being done for us by the project/programme? – Are there offers in the project/ programme which do not meet our needs? – Where have we been disappointed concerning needs expressed? – What changes has the project/ programme brought us? – Can we imagine our everyday lives without the project/programme? |
|--|--|

Questions to executing agency (E)	Questions to beneficiaries (B)
<p>3. <i>Different viewpoints and expectations</i></p> <ul style="list-style-type: none"> - With what project/programme offers can we all identify with? - Where do our priorities vary? - Who can best identify with the project/programme? Who the least? - Do the B understand our good intentions? 	<ul style="list-style-type: none"> - What needs do we all feel? - Which individual needs are foremost for which groups? - Who gets the most profit from the project/programme? Who the least? Whom does it damage? - Do we feel that E understand our needs?
<p>4. <i>Need of and readiness for change</i></p> <ul style="list-style-type: none"> - What arrangements should on no account be changed? - What ought first to be changed as regards needs? - What could the change consist of, what should it bring about? - What actual contribution to change are we ready to implement? - What contributions to change do we expect from the B? 	<ul style="list-style-type: none"> - In which matters do we wish no change in the project/programme? - Where do we most wish a change in the project/programme arrangements? - What sort of change do we have in mind? What do we expect thereby? - What do we expect from the E as a contribution to this change? - What are we actually ready to do to bring about changes?

5. *Assessment of needs and concrete measures (to be worked out jointly)*

- Which previous needs will continue to be covered by the project/programme?
- Which needs expressed by the beneficiaries can still not be covered by the project/programme?
- Which needs shall the project/programme begin to or increasingly take into account in future?
- Which changes in orientation should be made
 - by the executing agency?
 - by the beneficiaries?
- What conditions must first be fulfilled (e.g. discussion with authorities, material conditions, etc.)?
- Who takes over which duties in order to implement the measures agreed on?
 - on the part of the E?
 - on the part of the B?

(see also SE project, M-46)

Choosing self-evaluation subjects in a project/programme

There are usually three levels involved in a project/programme: the authority, the project team/executing agency and the population concerned (beneficiaries).

A project/programme team can decide on self-evaluation sectors according to the list for groups (M-22). Ideally, however, the other two levels should participate in the self-evaluation, whereby the self-evaluation of the authority should concentrate on the project, and should be carried out by those persons in whose competence the project lies.

The participation of the beneficiaries in the self-evaluation is particularly desirable, since their contribution offers the best indicators for project evaluation. An analysis of needs plays a special role in the self-evaluation of this group, for which a special list of questions can be used (see SE project, M-47).

The following shows the seven subjects from the viewpoints of the three levels.

For the meaning of «criteria», see definition on page 28, point 5.2 of part 1 and examples SE in general, M-7 in this brochure.

A = authority, finance organization

E = executing agency, project team

B = beneficiaries (population, or group, in project area)

A	E	B
1. Motivation, objectives, aims		
<i>Criteria:</i> e.g. agreement of policy, objectives and needs		
Project policy	Project objectives	Needs, (see M-46)
2. Contents of work and results		
<i>Criteria:</i> e.g. state of development the project/programme aims at		
Instructions	Offer	Demand
3. Involved persons		
<i>Criteria:</i> e.g. interaction between participants		
Identity/resources	Identity/resources	Identity/Resources

A	E	B
4. Relationships and cooperation <i>Criterion: mutual support/hinderance</i>		
Delegation	Implementation	Participation
5. Project/programme routine <i>Criterion: cohesion of planning, organization and implementation</i>		
Project concept/ Planning	Organization/ Implementation	Implementation/ Integration
6. Working aids <i>Criteria: e.g. appropriate technology</i>		
Procurement	Usage	Adoption
7. Project/programme environment <i>Criteria: e.g. cultural, social and political integration</i>		
Knowledge of project, problem of distance	Between A and B (sandwich position)	Integration of the new into traditional set up
8. Time factor <i>Criteria: quantitative: time planning and keeping to time; qualitative: use of time</i>		
Phase planning, money and time	Keeping to schedule, time limits of project/ programme	Doing the right thing at the right time, sustainability

Model for self-evaluation in a project/programme

Participants:

In the project/programme, various persons, groups and institutions may meet to whom the methodological suggestions described so far are directed. Since we are addressing here people in development cooperation, the word «project» or «programme» also means «the objective and completion of all endeavours», since development and cooperation should be realised in and through the project. For in the project, after all, the actual target group is included, and the feedback to finance organizations and executing agencies should in any case play the main role in the project evaluation.

Projects are seldom quite clearly moulded by the target group, but are more often projections (= interest, needs, imagination, demands) of the finance or executing agencies. If we want to understand what happens *within* a project, then we must concern ourselves with what lies «*behind*» the project.

In a general project self-evaluation, therefore, all three levels should participate:

- *Authorities* (A) = aid organizations, development organizations, private or public partner organizations in the project country.
For project: coordinator, staff responsible.
- *Executing agency (Project team)* (E) = foreign and local project staff.
- *Beneficiaries* (B) = groups of people affected by the project.

General objectives:

- Better insight into entire working area in and around the project/programme: clarity and transparency.
- More conscious cooperation and mutual support to reach project aims.

Procedure:

1. Representatives of all three participating groups (after discussion within the groups they represent) define:
 - the initial position (SE project, M-43)
 - motivation and objectives of the self-evaluation (SE in general, M-1)
 - resistance from various sides (SE in general, M-3 to M-6)
 - structure, methods and instruments to be used in the common self-evaluation process (planning and organization aspects: who does what, etc.)
2. At the same time, the three groups A, E and B ascertain the actual project/programme situation with its background, and analyse and judge the situation from their own point of view.

3. By looking at these three «project/programme pictures» together comparisons can be made. During this process the various perceptions become clear; it is, however, not necessary to decide which is right and which is wrong! It is the awareness of the different ways of perceiving which is important and which helps to disperse difficulties standing in the way of cooperation.
4. Representatives of the three groups, having discussed and negotiated divergences in the project/programme concept and/or fulfilling of tasks of the various participants, agree on a common engagement. Critical points are put aside for special evaluation.
5. On the basis of the project/programme concept agreed under point 4, and the establishment of priority tasks, the functions of the various groups are decided and, if necessary, newly negotiated and changed.
6. The final product is thus a detailed, amended common «project/programme agreement», showing which persons, groups and services are concerned, in what function, and in cooperation with whom.
7. This «project/programme agreement» serves as an instrument of control and a basis for further evaluations.

Guidance for application of self-evaluation model

Ascertaining, analysis and judgement of project/programme situation and development cooperation

The following questions to the three groups involved (authorities, executing agencies, beneficiaries) correspond with each other, and should be posed separately. The questions concern the various sectors and themes which occur in projects. In concrete use, not all questions are relevant for certain projects/programmes, others are missing and must be added.

Not all questions can or have to be answered. It is important, however, that all three groups are confronted with the same questions, so that a comparison is possible.

Answers should take place on three levels:

- a) *on the factual level*, i.e. picturing the situation as it is,
- b) *on the subjective level*, i.e. an assessment of the situation as it is felt to be,
- c) *on the level of urgency*, i.e. extracting those sectors which it is considered should first be dealt with further in the self-evaluation (need for action).

This procedure in answering the questions and presenting the answers must be adapted to local «methodical» usage and didactic possibilities: written, oral, by way of sketches and pictures, etc. – and with the courage to be experimental.

Once the three groups have answered the questions independently, the results can be compared. Answers which correspond are collated and form the basis for cooperation, which then serves as a stage on which a confrontation of the diverging answers and opinions can take place constructively. It is recommended that these syntheses and the process of exchange is led by a person outside the project, who is trusted by all three groups, particularly if larger conflicts arise.

In confrontation too, the central principle of self-evaluation remains: it is not a matter of evaluating and criticising others, but looking into oneself, discovering one's own energies and abilities which can be combined with those of the other participants in a common action.

<i>Questions to authorities / Finance organizations</i>	<i>Questions to project staff</i>	<i>Questions to beneficiaries</i>
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1. Purpose of project/programme (objectives, M-46)

2. Social orientation of the project/programme

<ul style="list-style-type: none"> - Is the project/programme supposed to bring about changes favouring socially underprivileged? If so, for whom? (women, specific social, ethnic or religious groups) 	<ul style="list-style-type: none"> - Whom does the project/programme support the most? Does this contribute to a better social balance or encrease existing disadvantages? (for women, specific social, ethnic or religious groups) 	<ul style="list-style-type: none"> - What is our position in the social structure? Do we belong to the privileged? To the middle-class? To the under-privileged? What are our social advantages/disadvantages (gender, social, religious)?
<ul style="list-style-type: none"> - Which project tasks/work have socio-political aims? 	<ul style="list-style-type: none"> - Which parts of the project/programme help to compensate for social differences and disadvantages? 	<ul style="list-style-type: none"> - Which advantages do we gain from the project/programme? Are there also disadvantages? Is someone else in the region disadvantaged by the activities?
<ul style="list-style-type: none"> - In the mid and longterm, are further measures planned in the socio-political orientation of the project/programme? 	<ul style="list-style-type: none"> - Should the socio-political aspect be given more weight in the future? By what measures? 	<ul style="list-style-type: none"> - Which of us should receive more support in future? Are there groups of people who in future should be integrated in the project/programme? If so, which groups?

3. Economic orientation and influence of the project/programme

<ul style="list-style-type: none"> - What economic structure is served by the project/programme? Is it a «modern» or traditional economy? 	<ul style="list-style-type: none"> - Where and how does the project/programme influence the economic situation of the population? 	<ul style="list-style-type: none"> - How is our economic situation changed by the project/programme? Do we become more independent or do new dependencies occur? If so, what are they?
<ul style="list-style-type: none"> - What financial means are at the disposal of the project, for what sectors (budget analysis)? 	<ul style="list-style-type: none"> - Where are financial means used, and how much (costs analysis)? 	<ul style="list-style-type: none"> - Whom among us receives financial support and for what purpose (e.g. salaries material, etc.)? Where does the major part of the finance go (use analysis)?

<i>Questions to authorities / Finance organizations</i>	<i>Questions to project staff</i>	<i>Questions to beneficiaries</i>
<ul style="list-style-type: none"> - Is the poverty alleviation included in project/ programme objectives? - What will financial planning be like in the future? How long do we intend to give financial aid? In which sectors? 	<ul style="list-style-type: none"> - Do we take definite steps to fight poverty? If so, what are they? - Where could savings be made? Where should there be a bigger contribution from the beneficiaries? What are the biggest financial bottle-necks? 	<ul style="list-style-type: none"> - Are some people richer because of the project/ programme? If so, who? - Where do we need new financing? Could the financial means available be used differently? What additional contributions are we ready to make?

4. Ecological aspects

<ul style="list-style-type: none"> - Does the project/ programme touch on ecological aspects? If so, what conceptual principles take this fact into consideration? - What long-term ecological directions are imposed on the project/ programme? 	<ul style="list-style-type: none"> - What role does a respect for ecological balance play in the implementation of the project/ programme? - What conflicts are there in the implementation between other aims and these ecological directions? 	<ul style="list-style-type: none"> - What changes have taken place in the natural environment of the project/ programme (landscape, climate, qualitative/ quantitative changes)? Ask the older people! - What has to be sacrificed in order to save nature? What are the points of conflict between our own important needs and the needs of a respect for nature?
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5. Political dimensions of the project

<ul style="list-style-type: none"> - Who proposed this project/ programme? On what political level and by which authorities was agreement signed? - Should the project/ programme also serve political aims? Should one population group be given more weight? If yes, which? 	<ul style="list-style-type: none"> - Which project/ programme authority can we identify with the most? Are there conflicts of interest and loyalty? - What regional political influences does the project/ programme have? Which political powers are strengthened/ weakened? Where are we ourselves politically involved in our work? 	<ul style="list-style-type: none"> - To whom does the project/ programme «belong»? Have we specifically asked for it? Were we consulted on agreement? If so, when? Who took decisions? - Do we gain in political significance in the region because of the project/ programme? Has a political dependence been created – to whom do we owe thanks? Whom does the project/ programme benefit/ harm politically?
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<i>Questions to authorities / Finance organizations</i>	<i>Questions to project staff</i>	<i>Questions to beneficiaries</i>
<ul style="list-style-type: none"> - Which measures and guarantees are foreseen to forestall political misuse? Where are the «critical points»? 	<ul style="list-style-type: none"> - What part of our activities touch on politics? What «political temptations» exist? Where do we have to defend ourselves from political attacks from the outside? 	<ul style="list-style-type: none"> - What role does political consciousness play among us? Are there rivalries which affect our relations with the project/ programme? In case, how do they do so?

6. Project structure, distribution of tasks and cooperation

<ul style="list-style-type: none"> - Which tasks concerning the project/programme are we aware of? How is responsibility distributed? Who is allowed to decide what? Which decisions can only be taken by us? Why? 	<ul style="list-style-type: none"> - Who has what task and which responsibilities (M-29)? Who should be drawn more into which decisions, or given full responsibility for them? In what respects do we have insufficient authority to take decisions? 	<ul style="list-style-type: none"> - What are our tasks and duties in implementing the project/programme? What decisions rest with us? When do we have no say? In what areas should we have more say?
<ul style="list-style-type: none"> - What special measures are foreseen to encourage autonomy and independence of the target groups of the population? 	<ul style="list-style-type: none"> - Does the existing structure of cooperation allow partnership in relations with the population? Where is a difference noticeable? 	<ul style="list-style-type: none"> - Do we feel that our concerns are taken seriously? Where does real cooperation not exist? What abilities could we contribute in cooperation to a greater extent?

7. Tradition and development / sustainability of change

<ul style="list-style-type: none"> - What do we know about the socio-cultural environment of the project/programme? In what way are traditional cultural values and habits taken into account in the project/ programme? 	<ul style="list-style-type: none"> - As a local member of the staff: what relationship do we have with our own culture? As a foreign staff: how were we introduced to local culture? What do we know about it (language, etc.)? 	<ul style="list-style-type: none"> - How far are our traditional roots affected by the project/programme? To what traditional values do we want to keep? Where are we perhaps ready for change?
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<i>Questions to authorities / Finance organizations</i>	<i>Questions to project staff</i>	<i>Questions to beneficiaries</i>
<ul style="list-style-type: none"> – Which local cultural values should be used as a basis? Which values may be called into question by the changes planned? – What measures to ensure sustainability of the development process are fixed in the project/ programme concept? How is sustainability of changes checked? 	<ul style="list-style-type: none"> – What place does intercultural exchange take in the project/programme work? What cultural conflicts are caused by the development process aimed at? – What are the most important changes aimed at in our work? What measures do we take to guarantee sustainability? What changes are only temporary? 	<ul style="list-style-type: none"> – What values and habits have we adopted? How do they fit in with our culture? Where do we feel rootless and insecure? – Where and for whom have there been permanent changes? Where do we adapt to please the project/ programme team, but without conviction? Where do we feel forced to make changes? What changes do we want to stop?

8. Cooperation with other projects, integration into regional and national development policies

<ul style="list-style-type: none"> – Is the concept based on experiences in another similar project? Is cooperation with other projects foreseen? If so, with which? 	<ul style="list-style-type: none"> – With which other projects do we cooperate? How and where are we supplemented by other projects? Are there differences or rivalries? 	<ul style="list-style-type: none"> – Are there other development projects in our region? Which? What is our position with regard to the various projects? What is cooperation with them like? Do we sometimes play off one project against the other?
<ul style="list-style-type: none"> – In which region and/or national development programme is the project/ programme integrated? 	<ul style="list-style-type: none"> – Where and how do we work with regional and national authorities? Does our project/programme belong to a regional or national development programme? If yes, what role do we play therein? 	<ul style="list-style-type: none"> – What is the present official development programme in our region? In what way does it comply with our needs? How near is our project/ programme to the official one, and in what respect does it differ?

<i>Questions to authorities / Finance organizations</i>	<i>Questions to project staff</i>	<i>Questions to beneficiaries</i>
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9. General assessment and future prospects

<p>– How near is the present actual project/programme to the original planning? What are the greatest differences? Is there satisfaction, or are there reservations?</p> <p>– In which phase is the project/programme? For when is the last phase planned? How is the handover planned? What important measures need to be taken before then?</p>	<p>– Which of the original aims have we reached so far? Where were we forced to deviate from the original aims? Why? In what are we successful? What is particularly difficult?</p> <p>– How would we define the present phase? What interim objectives are aimed at in this phase? What measures are we taking in preparation for the handover phase which will make us superfluous? What conditions still need to be fulfilled so that the project/programme can be taken over entirely by the beneficiaries.</p>	<p>– What pleases us most about this project/programme? What is different from our expectations at the start? What is most difficult to accept? Where are too many demands made on us? Where would we be capable of more?</p> <p>– How well do we now know our project/programme? What parts can we take over without outside help? Where do we need the most help from outside? For how long? What are we going to do in future to further our own independence?</p>
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