1. INTRODUCTION & PHILOSOPHY OF THIS WORKBOOK

The participatory approach to program development and evaluation described in this workbook is intended to help team members document the outcomes of their community-based initiatives that are essential to their missions, but are not captured by conventional program evaluation methods. While conventional methods generate data sets that are useful for third parties, they are of limited use for documenting the outcomes of the iterative living-and-learning-in-place processes that characterize community-based initiatives, or for enhancing the capacity of communities to address complex social, economic, and ecological issues.

The exercises and worksheets in this workbook were designed to help team members systematically investigate the complexity of issues that affect their communities and iteratively plan and evaluate the efficacy of their programs and projects with a level of nuance that reflects that complexity. The participatory action-research approach that informs this methodology recognizes the importance of documenting the outcomes of the exploratory, iterative, and formative program development and evaluation processes that are characteristic of community-based initiatives to complement the summary data generated by more conventional techniques like surveys, epidemiological data, and attendance rates.

A Reflective Practice Approach to Program Development and Evaluation

A defining characteristic of community-based organizations and community-based initiatives is team members who care deeply for the wellbeing of the community. Because “wellbeing” is determined by a multitude of factors, community-based organizations are not single-issue organizations, and community-based initiatives often address multiple issues simultaneously.

In single-issue initiatives, experts from outside the community often develop and implement the initiative, conduct evaluations, analyze the results, and submit reports. In community-based initiatives, issue identification, program development, implementation, and evaluation often happens iteratively as participants are faced with unanticipated circumstances as an initiative unfolds over days, weeks, years, or in “real time.” The successes and failures of one initiative help clarify issues, identify effective strategies, and inform the planning and implementation of subsequent initiatives. This is the defining characteristic of the “reflective practice” approach to evaluation that informs this handbook.
Performance Indicators, Intangible Indicators, and Intangible Outcomes

The terms that individuals and communities use to talk about issues are linguistic indicators, relative to those issues. The actions individuals and communities take in response to issues are behavioral indicators, relative to those issues.

As a project team identifies issues and begins developing plans to address these issues, changes in these kinds of “intangible indicators” can be anticipated (hypothesized). If these hypothesized changes in language and behavior are heard and seen in the community, they are called “Performance Indicators.”

When Performance Indicators are in keeping with the hypotheses, and systematically documented, analyzed, and reported with reference to relevant literature, they are “Intangible Outcomes” of the initiative. These Intangible Outcomes can be reported in narrative form, or quantified, e.g. 15 instances of a specific indicator. While these outcomes are intangible, the “Flow of Logic” is systematic and the protocol is grounded in recognized research methods, so the results are valuable to stakeholders, funders, peer-reviewed publications, other practitioners, and other organizations.

Intangible Outcomes and Procedural Outcomes

In addition to recognizing the importance of intangible outcomes to community initiatives, a reflective practice approach recognizes that the innovative methods, practices, and processes that project teams engage are also important outcomes of their programs. With this in mind, the tools and methods in this workbook are designed to help project teams reflect, remember, describe, and report these important procedural outcomes in addition to the intangible outcomes described above.

2. A Toolkit for Documenting Intangible Outcomes of Community-Based Initiatives

2.1. The Flow of Logic Worksheet

The Flow of Logic Worksheet is a “tool” designed to guide project teams as they develop, implement, and refine initiatives and report their outcomes. While most community-based initiatives are iterative, the linear format of a “Flow of Logic” table captures a “snapshot” of an initiative that is helpful for program planning, grant writing, record keeping, and outlining reports.
The table below is an excerpt from a “Flow of Logic Worksheet” that was designed to help project teams document “Intangible Outcomes.” The example describes one of the intentions of a veteran’s housing initiative and reports on an intangible outcome, with reference to relevant literature.

<table>
<thead>
<tr>
<th>Phase One</th>
<th>Phase Two</th>
<th>Phase Three</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example Identify &amp; Engage Stakeholders.</td>
<td>Example Mental &amp; Physical Wellbeing of Veterans who are currently Homeless.</td>
<td>Example Housing that enhances quality of life of veterans.</td>
</tr>
<tr>
<td>Short-term</td>
<td>Long-term</td>
<td></td>
</tr>
</tbody>
</table>

Figure 2. An example of how the “Flow of Logic Worksheet” can be used to develop and report a program

If a project team is in early stages of planning, they can use the worksheet to engage stakeholders and collaboratively identify issues, hypothesize about intended outcomes, and generate ideas about interventions. As the process unfolds, these preliminary thoughts can be iteratively updated with increasing levels of detail. The “Flow of Logic” will help users fill in the remaining columns over time.

If a project team already has an initiative in process, or has completed an initiative, the worksheet can help them recall the process, organize their thoughts, and identify relevant details to include in reports and proposals. However, relevant outcomes, especially intangible outcomes, and evidentiary documents can be missed if the participants and stakeholders are not looking for them as the process unfolds.

A reproducible copy of a blank worksheet is included in the appendix.
2.2. “Clues to Identifying and Documenting Intangible Outcomes”

An important intention of this handbook is enhancing the capacity of community-based organizations to recognize what “indicators” are relevant to the goals of their programs and initiatives, what “outcomes” will be relevant to their stakeholders and funders, and what “theory of change” suggests they can anticipate those indicators and outcomes.

There is a wealth of literature that explains why a particular initiative might be expected to produce particular outcomes (the “theory of change”). This section introduces “Clues to Identifying and Documenting Intangible Outcomes” that were derived from three well-respected research reports. These “clues” are intended to complement the reference materials community-based organizations and their partners collect to enhance and inform their reflective practice.

“Clues” #1: 10 Dimensions and Characteristics of Community Capacity

In 1998 the Centers for Disease Control (CDC) convened a group of public health professionals from around the country and asked them to define and characterize the term “Community Capacity.” The CDC recognized that while the term was widely used, and that many organizations claimed their programs built or enhanced community capacity, the term was not defined in any way that would allow the claims to be substantiated. The results of that effort include a report titled “Identifying and Defining the Dimensions of Community Capacity to Provide a Basis for Measurement” (Goodman et al.). An overview of these “dimensions” and “characteristics” is included in the appendix.

“Clues” #2: Three Domains of Learning

A core reading in adult education describes three broad domains of learning: technical learning, communicative learning, and emancipatory learning. The Technical domain of learning concerns the ways we control and manipulate our environment. The Communicative domain is associated with how we learn to understand what others mean and to make ourselves understood as we attempt to share ideas. The Transformative domain is what impels us, through conscious reflection, to identify and challenge our own biases, distorted perspectives, and mistaken assumptions.
While all domains of learning are important in community-based initiatives, the Transformative domain is largely responsible for changes in behavior, which, as mentioned above, are important intangible outcomes of many community-based programs. Transformative knowledge is gained through reflection, as distinct from the knowledge gained from our “technical” interest in the objective world or our “communicative” interest in social relationships. An overview of the three domains of learning is included in the appendix.

“Clues” #3: Two Models of Cross-Cultural Learning

In multi-cultural community settings, ideas about “Cross-Cultural Learning” are of particular relevance. The Global Education approach contrasts a “Deficit Model” and a “Transformative Model” of learning about different cultures that is very helpful for identifying indicators of cultural bias and recognizing indicators of changing perspectives. The “Transformative Model” is very much in keeping with the “Transformative Domain of Learning” mentioned above. A matrix contrasting the “Deficit Model” and the “Transformative Model” of cross-cultural Learning is included in the appendix.

2.3. An “Analysis Worksheet” for use with “Clues”

One of the difficulties of evaluating the efforts of community-based organizations is that there are often multiple activities and multiple issues addressed simultaneously. To help project teams organize their thoughts and focus their observations, this workbook includes an “Analysis Worksheet” that asks them to take some time to focus on hypothesizing outcomes for Individuals, then switch their focus to Families, then to Groups, then to Institutions, and then to the Community as a whole. These increasing “units of analysis” are the column headings on the Analysis Worksheet. Common “Themes” encountered during a community-based initiative are the row headings on the Analysis Worksheet.

This exercise helps members of the project team and stakeholders “tune the ear” and “tune the eye” to listen and watch for relevant language and behavior, and helps them remember to make a note about these indicators when they hear and see them. The worksheet also offers an opportunity for team members to reflect on the “Clues,” one by one, and on other relevant literature to substantiate the relevance of the outcome. This can also help them recall any indicators they may have heard or seen in other circumstances, and inform additional hypotheses and interventions.
## APPENDIX

**Contents: Handouts and Worksheets**

1. Worksheet: “Flow of Logic Worksheet”

2. Handout: “Clues to Identifying and Documenting Intangible Outcomes”

3. An Analysis Worksheet and Framework for Noticing and Documenting Intangible Indicators

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<table>
<thead>
<tr>
<th>Roles (across) and Themes (down)</th>
<th>Individuals</th>
<th>Families</th>
<th>Groups</th>
<th>Institutions</th>
<th>Community</th>
</tr>
</thead>
<tbody>
<tr>
<td>Language</td>
<td>An elected official uses the term “Triple Bottom Line” in a public meeting, indicating that she/he recognizes the importance of planning for Social, Economic, and Ecological outcomes of decisions.</td>
<td></td>
<td></td>
<td></td>
<td>A neighborhood group welcomes the proposal of a new apartment building for veterans who were formerly homeless, indicating that the community outreach process was successful in overcoming nimbyism.</td>
</tr>
</tbody>
</table>

Figure 3. Example of the “Language” Theme on the Analysis Worksheet used with the Veterans’ Housing program described in the “Flow of Logic” worksheet in figure 2.
1. Flow of Logic Worksheet for Documenting a Reflective Practice Approach to Program Development & Evaluation

**Instructions:**
Use this worksheet to prompt your reflections on a program or to plan a future program.

<table>
<thead>
<tr>
<th>Phase One</th>
<th>Phase Two</th>
<th>Phase Three</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Engage Community</strong></td>
<td><strong>2. IDENTIFY Priority Issues:</strong> Social Economic Ecological</td>
<td><strong>3. ARTICULATE The Intended Outcomes</strong></td>
</tr>
<tr>
<td><strong>4. DESCRIBE Anticipated Data</strong></td>
<td><strong>5. PLAN &amp; IMPLEMENT Process &amp; Intervention</strong></td>
<td><strong>6. DOCUMENT OUTCOMES (Evidence)</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Short-term</td>
</tr>
</tbody>
</table>
2. Clues to Identifying and Documenting Intangible Outcomes

#1: The 10 Dimensions and Characteristics of Community Capacity

1. Citizen participation that is characterized by:
   · strong participant base
   · diverse network that enables different interests to take collective action
   · benefits overriding costs associated with participation
   · citizen involvement in defining and resolving needs

2. Leadership that is characterized by:
   · inclusion of formal and informal leaders
   · providing direction and structure for participants
   · encouraging participation from a diverse network of community participants
   · implementing procedures for ensuring participation from all during group meetings & events
   · facilitating the sharing of information and resources by participants and organizations
   · shaping and cultivating the development of new leaders
   · a responsive and accessible style
   · the ability to focus on both task and process details
   · receptivity to prudent innovation and risk taking
   · connectedness to other leaders

3. Skills that are characterized by:
   · the ability to engage constructively in group process and conflict resolution
   · the ability to collect and analyze assessment data
   · problem solving, program planning, intervention design and implementation
   · evaluation, resource mobilization, policy and media advocacy
   · the ability to resist opposing or undesirable influences
   · the ability to attain an optimal level of resource exchange (how much is being given and received)

4. Resources that are characterized by:
   · access and sharing of resources that are both internal and external to a community
   · social capital, or the ability to generate trust, confidence, and cooperation
   · the existence of communication channels within and outside of a community
5. Social and inter-organizational networks that are characterized by:
   · reciprocal links throughout the overall network
   · frequent supportive interactions
   · overlap with other networks within a community
   · the ability to form new associations
   · cooperative decision-making processes

6. Sense of community that is characterized by:
   · high level of concern for community issues
   · respect, generosity, and service to others
   · sense of connection with the place and people
   · fulfillment of needs through membership

7. Understanding of community history that is characterized by:
   · awareness of important social, political, and economic changes
   · awareness of community standing relative to other communities
   · awareness of the types of organizations, community groups, & community sectors that are present

8. Community power that is characterized by:
   · the ability to create/resist change regarding community turf, interests, or experiences
   · power with others, not control over them (non-zero-sum or win-win strategies)
   · influence across a variety of domains or community contexts

9. Community values that are characterized by:
   · clearly defined norms, standards, and attributes
   · consensus building about values

10. Critical reflection that is characterized by:
    · the ability to reflect on the assumptions underlying our and others’ ideas and actions
    · the ability to reason logically and scrutinize arguments for ambiguity
    · the ability to understand how forces in the environment influence individual & social behavior
    · the ability for community organizations to self-analyze their efforts at change over time

# Clues to Identifying and Documenting Intangible Outcomes

## #2: Technical, Communicative, and Transformational Learning

The paragraphs below describe three broad domains of adult learning: technical learning, communicative learning, and transformative learning. They are grounded in human relationships to the environment, to other people, and to power, respectively.

### Technical/Instrumental Learning:

The technical or “work” domain of learning concerns the ways we control and manipulate our environment, including other people. This involves “instrumental action.” Instrumental action always involves predictions about observable events, physical or social, which can be proven correct or incorrect. Such action is based on empirical knowledge and is governed by technical rules.

### Communicative/Practical Learning:

This domain is associated with how we learn to understand what others mean and to make ourselves understood as we attempt to share ideas through speech, the written word, plays, moving pictures, television, and art. Most significant learning in adulthood falls into this category because it involves understanding, describing, and explaining intentions; values; ideals; moral issues; social, political, philosophical, psychological, or educational concepts; feelings, and reasons. All of these things are shaped decisively by cultural and linguistic codes and social norms and expectations.

### Transformative/Emancipatory Learning:

The transformative - emancipatory domain of learning is what impels us, through conscious reflection, to identify and challenge distorted perspectives and mistaken assumptions. Emancipatory - Transformative knowledge includes an understanding of the way our history and biography determine the way we see ourselves; influences our assumptions about learning and the nature and use of knowledge; and influences our roles and social expectation and the repressed feelings that influence them. Emancipatory knowledge is gained through critical self-reflection, as distinct from the knowledge gained from our “technical” interest in the objective world or our “practical” interest in social relationships.

“Most adult learning is multidimensional and involves learning to control our environment, to understand meaning as we communicate with others, and to understand ourselves.” (Mezirow, 1991, 89)

Note: the paragraphs above are paraphrased from Mezirow 1991.

## References


#3: Cross-cultural Learning

<table>
<thead>
<tr>
<th>Issue</th>
<th>Deficit Model</th>
<th>Transformative Model</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is legitimate knowledge? What should be taught and learned?</td>
<td>• Emphasis on Western civilization. • Attributes Europe or North America as a place where “real” humanity begins. • Dichotomous ideas of what is history and pre-history or non-history. • Emphasis on one perspective as “truth”. • Seeks hierarchy in what is superior and inferior viewpoints and information.</td>
<td>• All civilizations/cultures be studied. • Emphasis on multiple perspectives. • Avoids superior/inferior frameworks. • Many truths and they are conditional upon individual perspectives. • Truths are subjective. • Relationship between power and knowledge.</td>
</tr>
<tr>
<td>Cultures in non-western societies</td>
<td>• Exotic, bizarre, primitive (behind “time”), problem-oriented, homogenous, and monolithic.</td>
<td>• Cultural similarities. • Respect for differences. • Nation-states are diverse in ethnic, linguistic, religious make-up. • Counters stereotypes.</td>
</tr>
<tr>
<td>Visual (in print and visual media)</td>
<td>• Selective and biased images; shown as hostile, crowded, idle, disorderly; often images of “unrecognizable” people; emphasis on fear and incomprehensibility.</td>
<td>• Diverse images; under-privileged and privileged; everyday life.</td>
</tr>
<tr>
<td>Language</td>
<td>• Standard English or English as the “normal” language. • Disregard or unwillingness to use proper and respectful terminologies.</td>
<td>• Recognize that language is political. • Respectful use of terms. • Learning new language leads to open-mindedness.</td>
</tr>
<tr>
<td>Religion</td>
<td>• One “true” religion: leading to conceptions of good and evil religions. • Desire to save people/cultures based on biased views.</td>
<td>• Religion influences culture/life; • Avoids superior/inferior conceptions of religion.</td>
</tr>
<tr>
<td>Economy and Labor</td>
<td>• Emphasis on free and not fair trade; hard work always leads to success; winner takes all. • Poverty is an effect of people’s habits and behavior. • Ill-informed consumerism; unwillingness to recognize the effects of consumerism. • Blames poor people in non-western societies for job loss in U.S.</td>
<td>• Examines exploitation in labor. • Fair trade benefits all. • Awareness about over-consumption. • Has understanding of how global labor works.</td>
</tr>
<tr>
<td>Prejudice</td>
<td>• Existed in the past but not now. • Reluctant to share own biases. • Is not a significant social issue.</td>
<td>• Prejudice is learned and is contagious. • Acknowledges/works to overcome bias. • Considers an important issue that ought to be discussed and solved. • Prejudice exists in all places in the world but in different forms.</td>
</tr>
<tr>
<td>Social Change</td>
<td>• Apathy; no change desired; works to keep status quo in power and privilege.</td>
<td>• Seeks to assist those who are not served by actively seeking policy changes; transformation of institutional practices.</td>
</tr>
</tbody>
</table>

References

An Analysis Worksheet

& Framework for Noticing and Documenting Intangible Indicators

This matrix was designed to:
1. Draw attention to intangible indicators ("Informed Noticing") at various units of analysis.
2. Organize information for reports, future grant proposals, and scholarly publication.

<table>
<thead>
<tr>
<th>Roles (across) and Indicators (down)</th>
<th>Individual</th>
<th>Family</th>
<th>Group</th>
<th>Institutions</th>
<th>Community</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attitude</td>
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<td></td>
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<tr>
<td>Language</td>
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<tr>
<td>Behavior</td>
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<td>Practices</td>
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<tr>
<td>Policy</td>
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<tr>
<td>Others?</td>
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