Cultural Citizens and North-South Dialogue

Building the National Identity and Civic Participation in the Philippines (May 31 – June 28, 2008)

Training Manual

Northern Illinois University
International Training Office
& Center for Southeast Asian Studies
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Preface

This training manual is a collection of essays, lecture notes, and workshop procedures for the “Cultural Citizens and North-South Dialogue: Building the National Identity and Civic Participation in the Philippines.” This program is an exchange program that enables adult leaders to participate in intensive, thematic, month-long projects in the United States. Our resource persons provided these materials for the program, conducted from May 31 to June 28, 2008 at Northern Illinois University. All submissions are the intellectual property of the original writers. The International Training Office and the Center for Southeast Asian Studies of Northern Illinois University implemented the program, which is funded by a grant from the U.S. Department of State. Please note that the ideas presented here must not be mechanically applied to your local contexts back home. Remember to contextualize your teaching, learning, and community service strategies to fit your local needs.

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Contributors and Resource Persons
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Christina Abraham
Christina Abraham is the Civil Rights Director at Council on American-Islamic Relations (CAIR)-Chicago. Christina leads the Civil Rights Department, which works to resolve incidents that are reported to CAIR-Chicago. Christina has spoken and written on issues related to Arab and Muslim civil rights, and actively works to pursue successful resolutions to incidents of discrimination through legal and non-legal channels. She is also a member of the Advisory Board for the Chicago Committee to Defend the Bill of Rights and a Research Assistant at the College of Law at DePaul University. She has completed a Masters in the Arts of Social Sciences (M.A.) at the University of Chicago where her focus was on Politics in the Middle East.

Barbara Burrell
Dr. Barbara Burrell is Professor of Political Science at Northern Illinois University where she is Director of Graduate Studies. She teaches courses on public opinion and political participation, research methods, Congress and women and politics. She is president of the Women’s Caucus for Political Science. She has a Ph.D. from the University of Michigan in Political Science. She is the author of *A Woman’s Place Is in the House: Campaigning for Congress in the Feminist Era*, published by the University of Michigan Press, 1994 and *Public Opinion, the First Ladyship and Hillary Rodham Clinton*, published by Routledge Press, 2001. She is the author of a number of articles on women as candidates for public office, public opinion and political parties. She is currently working on *Gender in Campaigns for the U.S. Congress at the Millennium* to be published by the University of Michigan Press in 2009. She has recently served as chair of NIU’s President’s Commission on the Status of Women and is a faculty associate in the Women’s Studies Program. Dr. Burrell also served as President of the Women's Caucus of Political Science, 2007-2008.

Maryjane Bicksler
Maryjane Bicksler is the Northern Regional Administrator for the Illinois Coalition for Community Services (ICCS). March 2008 will mark Maryjane’s 17th year with ICCS. As the Northern Regional Administrator she is based in the Rockford office and works in 6 counties (Winnebago, Boone, Ogle, DeKalb, Jo Daviess and Carroll counties) working with grassroots community groups in identifying needs, assessing strengths, fundraising and organizing volunteers. She supervises 3 Community Development staff that covers 16 counties in Northern Illinois. This fall she taught Community Development classes through the Continuing Education Department at Kishwaukee Community College, in DeKalb County. She graduated from Northern Illinois University with a major in Human Services.

Yu-Che Chen
Dr. Chen is assistant professor of e-government and public management in the Division of Public Administration. He received his MPA and Ph.D. in Public Policy from Indiana University. In 2003, he became the lead and founding faculty member of the Public Policy and Administration Program's e-government concentration at Iowa State University. He joined NIU in spring 2007. His research and teaching interests include management of e-government projects and IT-enabled collaboration in public service delivery. Dr. Chen teaches e-government, program evaluation, and research methods courses. Dr. Chen currently serves on the Information Technology Committee of the National Association of Schools of Public Affairs and Administration (NASPAA). He also serves on the editorial board of the *International Journal of Electronic Government Research* and the *International Review of Public Administration*. He provides consultation to local and state governments as well as nonprofit organizations on the management of information technology. He also offers training to local government officials on the use of knowledge management systems. He has published in journals such as *Public

Kay Forest
Dr. Kay Forest is Department Chair and Associate Professor in the Department of Sociology. She obtained her Ph.D. from Cornell University. Her scholarly interests include dynamic variations in family and gender relations within both developed and developing countries. She is especially interested in issues of women and work as they related to poverty alleviation policy and practice. Recent courses taught include Racial and Ethnic Minority Families, Families and Social Change, and Families in Global Perspective.

Sylvia Fuentes
Dr. Sylvia Fuentes is currently the Director of Research and Program Development in the Division of Student Affairs at Northern Illinois University. She obtained her Doctorate in Education degree with a cognate in Women’s Studies and a special interest in Latino/Chicana/o studies from Northern Illinois University. Dr. Fuentes also holds a Master’s degree in Adult Continuing Education and a BA in Sociology with an emphasis in Criminology. She has published chapters in several encyclopedias on the topic of Latinos in Illinois and is currently working on a book entitled Sisters under the Sun. Dr. Fuentes has presented nationally and internationally on the topics of leadership development, adversity in the workplace, and mentoring for success. “As someone who came back to college as a mature student and as a single parent, I am most proud of the fact that I was able to inspire my children to obtain college degrees.” Dr. Fuentes has done volunteer work in grassroot organizations for over 25 years. She is currently a member of the Board of Directors for Conexion Comunidad (Community Connection) and is Chair of the nomination committee and is mentoring the AmeriCorp Vista program coordinator.

Jorge Jeria
Dr. Jorge Jeria (Ph.D.) is Professor of Adult and Higher Education at Northern Illinois University (NIU). A native of Chile, Dr. Jeria obtained his baccalaureate degree in History and Education from the Universidad Católica de Valparaiso, Chile. He began his involvement in adult education as a university student, teaching night classes to adult’s workers. Later, with a group of university students, he developed evening classes for urban workers who could not enter the university in an attempt to create a workers university. During the mid 1960s, Chile went through an agrarian reform program developed by the government. Literacy was central to the idea of land reform and political participation and university students were pivotal to many of these efforts. The participation of Brazilian Professor Paulo Freire in this process deeply influenced Dr. Jeria’s career. Professor Jeria later joined UNESCO working with the literacy unit that developed projects in Chile and Latin America during the period of 1969-73. In 1973, a coup d’état and the institution of a military government completely changed the political landscape of the country making literacy work virtually illegal. In 1977, Professor Jeria moved to the United States where he received his master and doctoral degrees at Iowa State University in Ames, Iowa. At Iowa State he became Assistant Director of the Minority Affairs Office and adjunct professor of education. In 1989, he began working at Northern Illinois University as an Assistant Professor of Adult Education. Professor Jeria is actively involved with the Council for Adult Education in Latin America (CEAAL) - an organization that comprises Latin American NGOs and social organizations working with popular education and with the International Council of Adult Education (ICAE) a Canada-based adult education organization. He has lectured and held visiting professorships in Brazil, Chile, Mexico, Australia, Korea and Taiwan. He is also a consultant with the UNESCO Institute of Education in Hamburg, Germany and UNESCO/OREALC in Santiago, Chile.
Dr. Jeria’s research interest and publications are on popular education, non-formal education, Paulo Freire’s educational concepts, and adult education as it relates to social movements and policy making as it relates to adult education. He works a great deal with North American, Chilean, Brazilian, Mexican and other adult educators in numerous adult education-related projects.

Laurel Jeris
Dr. Laurel Jeris is Associate Professor of Adult Continuing Education at Northern Illinois University (NIU). Her research interests include interrogation of work-related learning systems (including professional associations) for their commitment to racial equity and social justice, power analysis of online learning systems, and participatory research as a methodology for leadership development in NGOs engaged in USA/in-country partnerships. Recent work in Sri Lanka has focused on capacity building, poverty alleviation, and women’s advocacy. Teaching areas include program evaluation, organization and administration, continuing education for professional groups, leadership development, and writing for publication.

Garth Katner
Dr. Garth Katner’s career path reflects a deep commitment to promoting global understanding through international education. Kuya Garth has been to the Philippines, including Metro Manila and Mindanao. Currently, he is the Great Lakes Regional Director of Roots & Shoots, which is a program of the Jane Goodall Institute. He has four years of combined senior management experience in U.S. higher education and the international non-profit sector. He has eight years of academic experience teaching in a variety of higher-education environments in the U.S., Europe, and the Middle East. This has included supervising student, faculty, and professional exchanges with U.S. educational institutions and non-profit organizations. Overall, he has more than ten years of international experience designing and implementing successful education reform projects in Bosnia-Herzegovina, Albania, Azerbaijan, Ukraine, Tajikistan, India, and Australia.

Heidi Koenig
Dr. Koenig received her Ph.D. degree in public administration from Syracuse University. She also holds a combined J.D./M.A. from University of Nebraska-Lincoln. Dr. Koenig focuses her research on issues surrounding citizen participation and local government employees. In addition, she remains active in studying the public managers’ perceptions of the courts. Dr. Koenig has presented papers on the role employees play in facilitating citizen participation at numerous conferences in recent years, and hopes to see publication of a portion of that research in 2007. During the past year, Dr. Koenig and Dr. Curtis Wood have begun work on testing her model of the spider web metaphor of intergovernmental relations and have applied for funding to conduct research on the role of the citizen as anchors of the web. This collaboration has the potential to develop into a significant research agenda. Dr. Koenig teaches courses on public administration and law, citizen participation, statistics, the scope of public administration theory and practice, public policy, and program evaluation. Her research interests include the impact of the courts on the public management of local governments, citizen participation, and intergovernmental relations. Her research and publications include Public Administration & Law, Empowerment in Local Government Administration, Public Administration and Citizens: The Two-way Street of Citizen Participation and Quality Public Service, The Impact of Citizen Voice on Two Communities in Northern Illinois, and Employee Perception of their Role in Citizen Participation, and many more.

Jeff Leys
Jeff Leys is Co-Coordinator of Voices for Creative Nonviolence (www.vcvn.org), an organization with which he has worked since February 2003. He participated in the Iraq Peace Team in 2003, an international effort to accompany ordinary Iraqi citizens in the days before, during and after the U.S.
invasion of Iraq. He returned to Iraq in November 2003 with the Christian Peacemaker Teams. Leys’ current work with Voices includes developing and coordinating the Occupation Project, a campaign of nonviolent civil disobedience that seeks to end further funding of the U.S. occupation of Iraq. He organized five fasts in 2005 and 2006 which sought the unconditional cancellation of the odious debt incurred by Saddam Hussein’s regime in Iraq. Leys conducts workshops on the use of nonviolent tactics and strategies in social justice efforts.

Prior to starting work with Voices, Leys was a union organizer with the Service Employees International Union and with the American Federation of Teachers. He worked to establish the first shelters in Minnesota specifically designed to work with youth under 20 years of age who experience homelessness. His work in strategic campaigns of nonviolence extend back to 1980, including participation in a campaign to protect the treaty rights of Native Americans and the campaign to end the U.S. proxy wars in Central America.

Cele Meyer
Senior Citizen and Social Activist Cele Meyer has long been engaged in activities challenging unjust customs and policies of our society and our government. Having grown up in the South and serving in the U.S. Marine Corps during World War II, she received her Master's in Social work at Columbia University and subsequently worked as a family and psychiatric social worker in Atlanta, Chicago, and in Gainesville, Fl. where she began her activities challenging segregation of the races. After moving with her husband Axel and two children to Oak Ridge TN in 1959, Cele became increasingly involved in the civil rights struggle and was instrumental in forming the Oak Ridge Federation for Equal Public Services. The group's successes in challenging many of the community's discriminatory policies attracted the attention of the KuKluxKlan, which had also happened during the family's stay in Gainesville. This caused Axel, to announce prior to their move to DeKalb in 1967 that he was "not stopping anywhere south of the Mason Dixon line with Cele again". Cele was employed as a school social worker in DeKalb for 21 years prior to retirement in 1988, while Axel was on the Physics facility at NIU for 25 years before his retirement several years later. Having helped organize the DeKalb Interfaith Network for Peace & Justice in 1986, Cele has devoted her life to efforts to educate and mobilize our community in support of peace & justice. For 6 1/2 years the Network has conducted a Peace Vigil opposing the war in Iraq every Friday at 5 p.m. on the corner of lst St. and Lincoln Highway in DeKalb. Cele is most proud of her two arrests at peace demonstrations and of being part of a group which sat in at Congressman Hastert's office until subsequently hauled out by the police.

Susan Russell
Dr. Susan Russell is Professor of Anthropology and the former Director of the Center for Southeast Asian Studies at Northern Illinois University. She has over eight years of experience doing research and teaching in the Philippines, focusing on the ritual and economic anthropology in the Luzon highlands; the maritime labor organization of small purse seine fishers in Batangas; and the problems facing slum dwellers in Manila. Her publications include Changing Lives, Changing Rites: Ritual and Social Dynamics in Philippine and Indonesian Uplands (with Clark Cunningham), 1989; Ritual, Power and Economy: Upland-Lowland Contrasts in Mainland Southeast Asia, 1989; and Structuralism’s Transformations: Order and Revision in Indonesian and Malaysian Societies (with Clark Cunningham), 1999, along with over 25 articles. She has been Project Director of the ACCESS Philippines Project since 2003, and was Project Director of the recent grant, The Autonomous Region of Muslim Mindanao: Majority-Minority Relations in the Philippines: Religion, Education, Community and Political Process.
All these projects were funded through a grant from the U.S. Department of State – Bureau of Educational and Cultural Affairs.

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Dr. Matthew J. Streb is Assistant Professor and Director of Undergraduate Studies in the Department of Political Science at Northern Illinois University. His research examines voter decisionmaking in low-information elections, specifically nonpartisan elections and judicial elections; questions related to electoral democracy; and polling. His research has been featured on C-Span’s Washington Journal, and has been mentioned in such places as The New York Times, Wall Street Journal, USA Today, Washington Times, Washington Monthly, and Chronicle of Higher Education. Matt teaches courses on political parties, political behavior, public opinion, and Congress. Streb received his Ph.D. in 2000 from Indiana University. He is the author of two books, *The New Electoral Politics of Race* (University of Alabama, 2002) and *Rethinking American Electoral Democracy* (Routledge, 2008), and the editor or co-editor of five others including *Running for Judge* (New York University Press, 2007) and *Academic Freedom at the Dawn of a New Century* (Stanford University Press, 2006). Dr. Streb has published numerous articles and book chapters, including pieces in *Political Research Quarterly*, *Public Opinion Quarterly*, *Social Science Quarterly*, *Election Law Journal*, and *Judicature*. His research has been featured on C-Span’s *Washington Journal*, and has been mentioned in such places as The New York Times, Wall Street Journal, USA Today, Washington Times, Washington Monthly, and Chronicle of Higher Education. Dr. Streb received his PhD from Indiana University in 2000.

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**Rey Ty**

Rey Ty currently serves as Training Coordinator at NIU’s International Training Office where he assists in the planning, implementation, monitoring, and evaluation of training programs. He is a Doctoral Candidate at the Department of Counseling, Adult and Higher Education (CAHE). Due to the grassroots people’s confidence in him, he served as Chair and Vice-Chair of several national human rights non-governmental organizations in the Philippines. He has actively lobbied for human rights in different international and regional organizations, and is engaged in human rights and peace education for various beneficiaries in the different parts of the world. In addition, he has held such professional positions as Director and Technical Consultant of Education and Public Information (Philippine Presidential Committee on Human Rights), Assistant Professor (University of the Philippines), and Teaching and Training Assistant at NIU. He was a member of the CAHE Chair Search Committee (2007-8), the Search Committee for the Annual Best Department in International Education Award (2005-7), and the International Programs Advisory Committee (2004-5). At the behest of NIU administrators, he assisted in a confidential crisis management in 2005, serving as a mediator in a conflict between university journalists and the DeKalb-based Muslim community. For all his work at NIU, Rey won the Outstanding Graduate Student Award, Outstanding Graduate Student Research Award, Phyllis Cunningham Award in Social Justice, Nolan Prize in Adult and Higher Education, Robert M. Smith Memorial Scholarship in
Excellence in the Study of Learning to Learn, and International Student Opportunity Fund Scholarship. He is a member of the Phi Beta Delta Honor Society, Kappa Delta Pi International Honor Society, and Pi Gamma Mu International Honor Society. His education includes B.S. in Foreign Service from the University of the Philippines, M.A. in Asian Studies from the University of California-Berkeley, M.A. in Political Science from NIU, and certificate courses at the University of Paris, Sorbonne and International Institute of Human Rights, Strasbourg, France.

Curtis H. Wood

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Chapter 1: Introduction
Susan Russell and Lina Ong

Rationale
The plethora of recent scholarship on the impacts of economic, political and cultural globalization have noted that what once was viewed as the inevitable emergence of a cosmopolitan ‘world’ culture and system must be substantially revised. Global processes, including the rise of electronically interconnected and highly mobile diasporas of people have been accompanied by a resurgence of ethnic identity politics, conflicts, and concerns over the loss of cultural identity in the midst of assimilationist nation-building projects. In Southeast Asia, images and ideas emanating from Western centers or media compete with those coming from India, Japan, China and other Asian countries. Ethnic politics and a history of adversity between “indigenous” peoples and ruling elites co-exist with increasing debates over the definition, rights and responsibilities of national citizens.1

These issues are especially keen in the Philippines, where political debates over revising the constitution to a parliamentary or federalist form are ongoing. Here, as elsewhere in the region, citizenship and nation-building are problematic. While the Philippines is Asia’s oldest democracy, it has been characterized as a ‘weak state’, where power actually resides in around one hundred clans or families spread throughout the country who control approximately half of the wealth and large followings of supporters who are rewarded through political plunder connected not only to corrupt practices but through rent capitalism.2 As one of the largest labor-exporting states in the world, owing to the existence of an English-speaking, educated and highly skilled labor force in a deeply impoverished setting, the Philippines is also in many ways a de-territorialized and transnational ‘nation’. The Filipino diaspora is global, and the country’s economy is dependent on the remittances of its scattered migrant citizens.

The Philippines, the second-most populous nation in Southeast Asia in part due to its Roman Catholic majority, which is vehemently against birth control, also has an estimated poverty level of 40-70% of the population. Asia’s longest running communist insurgency is in the Philippines, and the war and rebellion among its minority Muslim separatist groups has spawned violence linked with international terrorist financiers. A nation of 7,000 islands, ethnic, cultural and linguistic diversity is markedly distinct and many Filipino citizens retain primary loyalties to their clan and ethno-linguistic or geographic group rather than to the larger nation-state.3 Indigenous peoples in the northern and southern periphery, many of whom have resisted assimilation and were not conquered or absorbed during the Spanish period, aspire to self-determination and autonomy within the ethnic Tagalog and Manila-centric state. The prominent social formations in the Philippines include a majority lowland Christian (mostly Roman Catholic) population spread throughout the islands; a troubled southern area of the country where Muslim separatist groups are based, even as Muslim Filipinos are spread throughout the country; and the indigenous peoples of the Philippines, also spread throughout the country but with the largest concentration based in the north Luzon highlands, or the Cordillera. Both the southern Muslim region and the Cordillera region have been accorded autonomy by virtue of their culture and history, at least constitutionally. Furthermore, the

Philippines has a history of legislation and debate concerning the interface between the implementation of shari’ah law and national law, which underscores the relevance of a project that raises awareness of the importance of respecting and clarifying the ‘rule of law’ among its citizens. Where government fails to support and protect equally all of its citizens, respect for the rule of law weakens and clan feuding becomes a prominent feature of the landscape. Finally, the Philippines has one of the most progressive agendas on the rights of indigenous peoples, and current efforts are underway to try and establish or clarify the ancestral lands of both Muslim and other indigenous peoples. With a strong civil society, the country is an important ally of the United States and shares many institutional forms of governance, democratic values, and ideals of cultural solidarity and citizenship.

**The Project**

The International Training Office (ITO) and the Center for Southeast Asian Studies (CSEAS) at Northern Illinois University (NIU) in partnership with the International Visitors Program Philippines Alumni Foundation (IVP-PHILS.) are responsible for developing this comprehensive, country-wide program designed to enhance the capacity of multi-sectoral leaders in government, non-governmental organizations, and private citizens (from media, law, academe, religion, business or other sectors) to come together harmoniously and learn more about their civic duties and responsibilities as citizens of a democratic and plural society. The program aims to expand their understanding of how government works, how they can legitimately influence it and when and how it is important to take action to change things for the better. They likewise will be exposed to American civic institutions (both governmental and non-governmental) and leaders who exemplify U.S. values of democratic and responsible citizenship—including volunteerism, tolerance, activism and respect for diversity.

This project brings together 30 leaders from the Philippines with a majority-minority citizen focus. We will seek to bridge the gap between the north and the south of the country by targeting ten or so leaders from the Cordillera Administrative Region in northern Luzon; ten or so leaders from the Autonomous Region of Muslim Mindanao; and ten or so leaders from elsewhere in the central Philippines and central and southern Luzon region. Priority is given to leaders of youth organizations or other community and government leaders who are in a position to influence the next generation. This 20-month project (September 2007 - May 2009) includes four phases: (1) a three-day orientation program in Manila that will focus on political and socio-economic processes in the Philippines, the current status of citizen participation in government so that participants can grasp their respective situation in the Philippines and more easily analyze and compare that with the U.S.; (2) a four-week U.S.-based professional development program on responsible citizenship, volunteerism/community outreach, transparency and accountability; meaningful internships in local government offices, NGOs, & citizen organizations; action plan development, study tour/site visits, interaction and dialogue with government and community leaders; and community volunteerism; (3) a national seminar conducted by U.S. experts that served as seminar leaders or internship hosts; inauguration of a community outreach project which will be attended by Embassy officials, the U.S. faculty team, and the media. During this major project activity, the alumni will participate in a community service activity in the area to replicate the collective experience in community service that they experienced in Illinois. (4) implementation of community action plans. The Project will provide small grants for selected mini-projects designed by the 30 participants.

The thematic focus of the four-week professional development program at NIU is active and responsible citizenship and elements of a civil society, including concepts such as volunteerism, the idea that citizens can and do act at the grassroots level to deal with social problems, and an awareness of the importance of the rule of law in all societies. In this regard, the participants will be encouraged to develop Action Plans for outreach projects that strengthen civil society through community participation, promote the goals of the project and increase the visibility of the project.
Program Goals and Objectives: The major goals of this project are to (a) promote mutual understanding and partnerships between key professional groups in the United States and counterpart groups in the Philippines through exchanges and dialogue; (b) encourage and strengthen understanding of democratic values and active citizenship, with a particular focus on youth and those who influence them; (c) develop an appreciation for American governmental and legal structures and an understanding of the diversity of American society; (d) strengthen the capacity and skills of the participants in methods and techniques of citizen participation and the benefits of participatory approaches.

The specific objectives are to (a) provide participants with an understanding of important elements of a civil society, including concepts such as volunteerism, civic engagement, and an awareness of the importance of the rule of law in all societies; (b) provide them with an understanding of the legal and non-formal framework for public participation in local and national decision-making processes, and methods and opportunities for utilizing these instruments; (c) educate the participants on rights and responsibilities in a democracy and develop their individual skills; (d) enhance their knowledge on effective strategies for promoting an effective, accountable, transparent and responsive government and public; (e) provide core skills for forging partnerships among local government units, peace and development organizations, and national government agencies in the Philippines; (f) provide opportunities for participants to engage in dialogue with their U.S. counterparts on civic participation, human rights and justice, tolerance, participatory development and grassroots empowerment; (g) set up vertical and horizontal partnerships with private voluntary organizations (PVOs) and NGOs in the U.S. and in the Philippines to share lessons learned and to leverage resources and knowledge; (h) sharpen the participants’ skills in designing concrete action plans; (i) set up internships with local government offices, NGOs and civic organizations so they can gain first-hand experience in civic participation, volunteerism, networking, and community leadership.

Project Outcomes include (a) structured interaction designed to develop enduring professional ties between U.S. and Philippine delegation; (b) a better understanding and appreciation of cultural similarities and differences between U.S. and Philippine cultures; (c) enhanced leadership capacity that will enable the participants to initiate activities in their communities that focus on civic engagement and community service; (d) increased knowledge of strategies and tools for citizen participation; (d) increased levels of active participation in civil society; (e) an appreciation of the value of community service as evidenced by increased participation in volunteer work and community outreach in their home communities; (f) increased multi-sectoral cooperation--between government, business, NGOs and individual citizens--to facilitate effective public participation; (g) partnerships with their peers in other communities who participated in the exchange program by forming buddy systems; and (h) enhanced understanding of Asian cultures among NIU faculty, staff, and students, and increased interest in future collaborative research with scholars in the Philippines.
Chapter 2: Intercultural Communication
Inter-Cultural and Cross-Cultural Relations
Rey Ty

According to Lanier (2000), there is a distinction between intercultural relationship and cross-cultural relationship. Intercultural relationship is the relationship between and among people with different cultural practices which are totally alien to one another, while cross-cultural relationship is the relationship among people with cultural practices which are similar or the same. Based on Lanier’s typology, the Philippines belongs to the hot-climate region of the world and the U.S. to the cold-climate region. However, Southern U.S. is a hot-climate region “of its own kind,” with its “southern brand of hospitality.” Although this essay presents intercultural hot-versus-cold caricatures, there are in fact cross-cultural similarities between the hot and cold climate cultures. Also, there are hot and cold climate regions, say, within the generally cold-climate country, such as the cold-climate northern and hot-climate southern states of the U.S.

This essay is based on the book Sarah A. Lanier (2000) wrote titled Foreign to Familiar: A Guide to Understanding Hot and Cold-Climate Cultures. There are seven distinctions between hot- and cold-climate cultures. They are the following. (1) relationship versus task orientation; (2) direct versus indirect communication; (3) individualism versus group identity; (4) inclusion versus privacy; (5) different concepts of hospitality; (6) high-context versus low-context cultures; and, (7) different concepts of time and planning.

Hot-Climate People versus Cold-Climate People

Hot-climate cultures are relationship-based. Communications need to build up a “feel-good” atmosphere in society, although this may not be the case for individuals. Human beings take precedence over efficiency and time. Furthermore, it is rude to “talk business” immediately upon arrival at a business meeting or to make a business phone call upon arrival at the same meeting. On the other hand, cold-climate cultures are task-oriented. Communications need to furnish accurate and precise information. The society is logic-oriented, although individuals may be otherwise. Efficiency and time are high priorities and taking them seriously shows respect for others.

In hot-climate cultures, communications are indirect, as a show of respect. Questions are raised indirectly so as not to offend others. Usually, one needs to talk to a third party in order to get a direct answer, because it is considered impolite to provide some direct answers. For instance, one is considered boastful to say how skilled one is, how rich one is, how experienced one is. A yes may mean yes, no, maybe or I don’t know, as it is impolite to disagree with whom one converses. One is rude if one embarrasses other people. On the other hand, in cold-climate cultures, communications are direct. One is respectful if one asks short, direct questions, as everyone else is busy and has no time to beat around the bush. A yes is a yes. People do not hesitate to say no and it is not offensive to say no. One offers a direct answer as factual information and it is proper to do so. One can nicely give both positive and negative critique and it is not taken personally.

Hot-climate cultures are group-oriented. One person’s identity is tied to the group identity, such as the family, clan, village, or ethnicity. Usually, the leaders and elders take the initiative, not the younger members of the community. In regular and difficult times, the group supports the individual, as the individual is an integral part of the whole community. A person must behave properly, because one’s fault or mistake is considered the group’s fault and shame. Cold-climate cultures, on the other hand, are individualistic. Each person has an individual identity which must be respected. Everyone is expected to have an opinion, to take initiative, and to decide for oneself. One’s behavior reflects oneself and nobody else.

In hot-climate cultures, everything belongs to everyone. For instance, food, things, and conversations belong to everyone. Keeping things private and not including others in our meals, activities or discussions are rude. In cold-climate cultures, privacy and private property are sacred. We are doing alright to arrange for private moments, private space, private conversations, and private appointments, which other people must respect. Not respecting one’s privacy is rude.
Misunderstandings may arise due to different perceptions, including hospitality. Hot-climate people freely give hospitality 24/7 to anyone, anytime, anywhere, including doing business, meeting strangers, and exchanging gifts. Cold-climate people, however, also give hospitality, but are planned, announced, and of limited duration. When a cold-climate person invites someone to dinner, each person is expected to pay one’s own meal, except if the host announces ahead of time that s/he will pay.

Hot-climate people are from high-context societies where everything matters. For instances, one’s personal background and personal connections are important. People ask you who your parents are, who your relatives are, with whom you work, and the like. One is expected to behave politely, dress properly, respect the rules, and follow protocols strictly. But cold-climate people are from low-context societies. It means just “be yourself,” as long as you act appropriately. What are important are not your personal or professional connections, but your personal knowledge and skills. One is casual and dresses informally in general.

Critique of the False Dichotomy
For beginners, the categorization of people into cold-climate and hot-climate people sounds good. However, there are many problems in this scheme of things. One, these binary caricatures are extremes. A novice who does not know the nuances in people’s cultures around the world—especially one who has not traveled abroad—could easily make arguments that border on stereotyping. Two, not all people in cold-climate countries have the same culture. The same argument goes for people in hot-climate countries. For instance, putting aside Islamic practices, a Muslim Egyptian, a Muslim Iranian, a Muslim Kazakh, a Muslim Hui from China, a Muslim Azeri, and a Muslim Indonesian do not have the same cultural practices. Three, are cultural differences really critically based on the temperatures of one’s country? I really doubt it. The more important variables are the type and level of economic development. People in post-industrial societies tend to care about the environment and the world in general. People in advanced capitalist countries tend to have individualistic cultures. People in backward and feudal economies tend to have more communal cultures, due to poverty and the need for community and collective support and assistance. Four, people within a country can also have different cultures due to their economic and ideological differences. While rich people in general can have different cultures from the poor, a peasant, for example, can be collectivist, another peasant can be individualistic; a free-market business entrepreneur can be individualistic, yet another social-democratic businessperson can be collectivistic. The rich people of today in hot-climate countries prefer privacy to communitarian living: many of the children of rich families in the hot-climate countries have their own rooms furnished with all the latest technological amenities, each one with one’s own private bathroom, television set, sound system, computer, and electronic games. Thus, the temperature of one’s country of origin is not the key variable in explaining one’s culture. The list of criticism of Lanier’s framework can go on and on. The readers are warned to be critical of gross generalizations, name calling, and stereotyping. I challenge the readers to come up with their own framework on how to view similarities and differences among people of different cultures.

Cultural Types
People can react to another culture in one of three ways. Cultural ethnocentrists are those who reject anything foreign and insist that the only way to do things is how it is done in their home country. They will definitely have a bad time abroad. Cultural romantics are those who accept everything foreign to the extent of rejecting everything that comes from their country of origin. These persons will enjoy traveling and living abroad but will reject and criticize everything that comes from their country of birth. Both cultural ethnocentrists and cultural romantics are extremes and do not have a balanced view of different cultures. They praise one culture and criticize the other cultures.

Lastly, cultural cosmopolitans are those who both love their own cultures as well as the cultures of others, including especially the culture of the country to which they travel. However, unlike the cultural ethnocentrists, cultural cosmopolitans find fault with their own culture but embrace their own culture with all its strengths and recognize its weaknesses as well. Unlike the cultural romantics, cultural cosmopolitans do not only enjoy foreign cultures but also recognize the demerits of foreign cultures. Thus, cultural
cosmopolitans neither hate or romanticize their own cultures nor hate or romanticize the cultures of others. Taking into account the strong points and limitations of each culture, they are comfortable accepting their own culture as their foundation, but learn to adapt to the cultures of others.

**Reference**
### Intercultural Orientation: Sun People Cultures vis-à-vis White Anglo-Saxon Protestant European-American Dominant Cultures

**Rey Ty**

**Objectives:** To understand the different cultural behavioral patterns in the U.S.

**Procedures:**
1. Organize into five groups. Read and internalize your characteristics listed below.
2. Read and internalize the characteristics of your people.
3. Disperse. Go around the room. Think of yourself as going to a social gathering with people of different backgrounds. Form into a new group of 5 persons—each one must be from a different cultural group.
4. Bearing in mind your people’s characteristics, engage in a lively conversation with each other and act accordingly. Discuss around the following points: greet each other, your likes, your dislikes, your hobbies, skills & talents, music you like, and many others.
5. Go back to the plenary session for debriefing.
   a. Each group will explain who they are.
   b. Q & A

<table>
<thead>
<tr>
<th>Sun People</th>
<th>Ice People</th>
<th>GI</th>
<th>Silent Generation</th>
<th>Baby Boomers</th>
<th>Generation X</th>
<th>Generation Y or Millennials</th>
</tr>
</thead>
<tbody>
<tr>
<td>I greet people by saying politely “How are you?”</td>
<td>My hand shake is very firm.</td>
<td>I am a veteran of World War I or have lived through it.</td>
<td>I am a traditionalist.</td>
<td>I was born sometime between 1946 &amp; 1964 in the U.S.</td>
<td>I was born between 1965 &amp; 1980 in the U.S.</td>
<td>I was born between 1981 &amp; 1991 in the U.S.</td>
</tr>
<tr>
<td>My hand shake is very soft.</td>
<td>My heritage is European American.</td>
<td>I was born from around 1901 - 1924</td>
<td>I was born from around 1925 – 1942.</td>
<td>I am individualistic but also a team player.</td>
<td>Famous people in my age group are Robert Downey, Jr., Alanis Morissette, &amp; Drew Barrymore.</td>
<td>I greet people by saying “Whassup, dude?” or “Give me five!”</td>
</tr>
<tr>
<td>I am from a traditional society.</td>
<td>I always have eye contact with everyone with whom I speak.</td>
<td>I grew up during the Depression.</td>
<td>I was a veteran of World War II or have lived through it.</td>
<td>I work hard.</td>
<td>I drink Starbucks coffee.</td>
<td>1 out of 5 of my friends has immigrant parents.</td>
</tr>
<tr>
<td>No eye contact when talking to someone who is older to you or to someone of high social status</td>
<td>If I disagree, I say “no.”</td>
<td>Most families at the time of the Depression had very little food to eat.</td>
<td>I enjoyed the post-war boom in the economy.</td>
<td>I am loyal to the company for which I work.</td>
<td>I have some ears or tongue or nose piercings.</td>
<td>1 out of 10 of my friends has non-citizen parents.</td>
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<tr>
<td>I don’t say “no,” even if I disagree.</td>
<td>Individualistic</td>
<td></td>
<td></td>
<td>I overwork to enjoy material</td>
<td>I want to control my own time.</td>
<td>I was born with technology always present.</td>
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<td></td>
<td>Group oriented</td>
<td>Independent</td>
<td>I was rebellious when I was young.</td>
<td>My values are different from my parents’ traditional values.</td>
<td>Open communication is very important to me.</td>
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<tr>
<td>Interdependent</td>
<td>Guided by my own needs, preferences</td>
<td>Famous people in my age group are Bruce Springsteen, Howard Stern, Janis Joplin, &amp; Bill Gates.</td>
<td>I enjoy my freedom.</td>
<td>I’m a “new traditionalist” &amp; accept my parents’ values.</td>
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<tr>
<td>Duties to the community are important</td>
<td>Individual rights are important.</td>
<td>I don’t think a 9-to-5 regular work hours make sense, as I am not input oriented.</td>
<td>I use google, hi5, facebook, g-mail, my-space, yahoo, hotmail…</td>
<td>I burn my own CDs &amp; DVDs.</td>
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<tr>
<td>Communal sharing</td>
<td>Almost all of my friends are also European Americans.</td>
<td>I prefer to have flexi-time in my job.</td>
<td>I like MTV, camera phone, instant messaging, chat online, sending text mail, make phone calls online (Voice Over Internet Protocol—VOIP), &amp; other hi-technology items.</td>
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<tr>
<td>When someone has a problem, the whole community helps</td>
<td>I don’t know much about cultures which are not European American.</td>
<td>I am an output oriented, even if I don’t work regular hours, I am more productive using my time flexibly &amp; I produce great outputs in my work.</td>
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<td>Respect elders and people who have high position or rank in society</td>
<td>My private property is important to me: don’t touch them without my permission.</td>
<td>I am not a good team player, as I prefer to work alone.</td>
<td>I have a hi-tech camera &amp; have paperless photos only. I shop online.</td>
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<td>I have to respect the decision of the community, even if I disagree with it.</td>
<td>My privacy is important: don’t ask about my personal and private life.</td>
<td>I care about open communication but I don’t care about titles or positions.</td>
<td>My friends are African-, Latinos, European-, &amp; Native-Americans.</td>
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<tr>
<td>I avoid conflicts, I always agree publicly, even if I really disagree.</td>
<td>Respect everyone, regardless of age, sex, or rank.</td>
<td>I call everyone by their first names or nicknames.</td>
<td>I don’t care about job titles—I care about job fulfillment.</td>
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<tr>
<td>I call everyone formally by their titles &amp; positions (Dr., Chief, Sir, Madame)</td>
<td>I make appointments to see my parents, relatives &amp; friends.</td>
<td>I am cynical about authority.</td>
<td>I am good at multitasking.</td>
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<tr>
<td>I call everyone informally as my aunt, uncle, sister, and brother</td>
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<td>I don’t trust church, police, &amp; the military.</td>
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<td>I am married with many children.</td>
<td></td>
<td>I have a very mixed career.</td>
<td>I enjoy being with my friends but I still keep my personal identity.</td>
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<tr>
<td>I visit my relatives and friends without telling them—I just appear in their residences.</td>
<td></td>
<td>I don’t care about getting married.</td>
<td>I enjoy material things but I prefer to have less stress, even if it means earning less money.</td>
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<td>I have “water logic.” Nothing is cut and dry. Nothing is certain. It always depends.</td>
<td>I have “rock logic.” When I mean yes, I say yes. When I mean no, I say no.</td>
<td>I don’t care about traditional values.</td>
<td>I grew up in the Bill Clinton years.</td>
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20
Subcultures
Rey Ty

I. “Jus Sanguinis” Subcultures: Non-White, Color-Based, and Ethnicity-Based Subcultures
   A. Native American
   B. African American
   C. Latino
   D. Asian American

II. Jus Soli Subcultures: Land-of-Birth Based Subcultures
   A. U.S. Born
   B. Non-U.S. Born

III. Economic-Based Subcultures
   A. Upper Class Subculture
   B. Middle Class Subculture
   C. Working Class Subculture
   D. Lower Class Subculture

IV. Neighborhood Subcultures
   A. Blue Blood Estates
   B. Towns and Gowns
      1. University Towns
      2. High Asian Concentration
   C. Hispanic Mix

V. Overlapping Clothing Subcultures
   A. Conservative: 35-55 years old
   B. Traditional: 25-29 years old
   C. Update: 25-49 years old

VI. Urban Tribe Subculture
   A. French Cinéma Enthusiast Subculture
   B. Punk Subculture
   C. Goth Subculture
   D. Counter Culture
   E. Alternative Cultures

VII. Other Subcultures
   A. Feminist Subcultures
   B. LGBT Subculture
   C. Anti-Consumerist Subculture
   D. Green Subculture
   E. Artsy Subculture

VIII. Other Subcultures Too Many to List
Tipping Guide
Source: http://www.onthegopublishing.com/hotel.shtml

- Who do you tip and how much is a perennial question. Tipping is a custom that's been around for at least 100 years. Meaning "To Insure Promptness," it started as a way to get better, faster service.
- Whether the service you receive merits a tip remains a personal issue and choice. Tipping is voluntary, but often expected, regardless of the quality of service. As a gesture of protest, some people will not leave a tip when they receive poor service. This handy chart can serve as a tip guideline.
- In many countries, certain service providers (waiters, doormen, bellhops, and room service staff) assume they'll be receiving tips. Tips to them are as serious as your paycheck is to you. In some countries, a service charge is automatically added to hotel and restaurant bills. Check your bill carefully. Ask if you are not sure. The key is fairness, both to you and the person serving you.
- Lastly, tip women the same way you would men—with cash. Flowers or perfume are no longer appropriate.

Most Customers Tip:
- Restaurants and coffee shop servers 15 percent
- Baggage handlers at airport curbside check-ins $1 per bag
- Taxi drivers ten to 15 percent
- Parking valets from $1 to $2. Where hotel valet parking is the rule, leave a single tip in an envelope at the end of each day for all to share. Include your business card and room number. Figure on a few dollars a day.
- Hotel doormen $1 to $2 per visit and porters $1 per bag. Tip the doorman if your luggage is brought to the reception desk.
- Room Service -- check your bill to see if a service fee is included. Some hotels are generous with your money and automatically add as much as 17 percent. If no service fee is on the bill, tip 10 to 15 percent of the bill.
- Sommelier 10 to 15 percent of the bottle price.
- Restaurant Captains five percent of the total bill.
- Maitre d' -- tip on special occasions when you want a special service like a table when you have no reservation and the restaurant is crowded. $5 or $10 for a table for two. For extraordinary help, like a table for six at an expensive restaurant, consider $50 or more.

Most Cruise Passengers Tip:
- Cabin stewards and waiters $3 to $4 per day, depending on cruise line suggestions
- Bus boys or assistant waiters $2 per day, depending on cruise line suggestions.

Most Travelers Tip:
- Private-car drivers $5 to $6 per day
- Tour guides $1 to $2 per day
- Tour bus drivers $1 to $2 per day

Some Travelers Tip:
- Hotel housekeepers $1 to $2 per day. Airport limos and van drivers $1 per trip
- In Europe, most hotels and restaurants automatically add a "service" charge to the bill. Even so, many Americans still leave a ten to 15 percent tip.
- Europeans generally tip less, leaving the small change from their bill or no more than five percent.
- Throughout Western Europe, tips are expected in theaters, opera houses, first-run cinemas in some countries, when an usher escorts you to your seat. The equivalent of a dollar is in order. Often a small black purse opened in front of you makes that quite clear.
- In European washrooms, leave the equivalent of 50 cents to $1 for the attendant.
- Though many taxicabs in Europe are operated by owner-drivers, add 10 percent to the metered fare.
## Learning Contract

**Personal Learning Contract**  
**Rey Ty**  
**Northern Illinois University**

<table>
<thead>
<tr>
<th>I know that in this program I will learn about</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>I know that the program goals are</td>
<td>1.</td>
</tr>
<tr>
<td>2.</td>
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<tr>
<td>I know that the objectives of this program are</td>
<td>• To</td>
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<td>• To</td>
<td>• To</td>
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<td>• To</td>
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<tr>
<td>I pledge do my best to make this interfaith dialogue a success.</td>
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<tr>
<td>I expect myself to</td>
<td>I expect the course content to</td>
</tr>
<tr>
<td>I will request my co-participants to</td>
<td>I will request the chaperon/s to</td>
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<tr>
<td>I will make sure that the learning process will be</td>
<td>To make the learning experience positive, I will</td>
</tr>
<tr>
<td>I will REQUEST the resource persons to</td>
<td>To make the learning experience positive, I will <strong>not</strong>…</td>
</tr>
<tr>
<td>I will actively participate.</td>
<td>I will be responsible for my own learning.</td>
</tr>
<tr>
<td>I will help others by listening to them &amp; offer constructive responses.</td>
<td>I will reflect on &amp; review what I have learned in this course &amp; creatively apply them to my context back home.</td>
</tr>
<tr>
<td>I will prepare simple and doable personal &amp; regional action plans.</td>
<td>I will implement my personal and regional action plans back home.</td>
</tr>
</tbody>
</table>

In the unlikely event that there will be a problem, I will…

<table>
<thead>
<tr>
<th>Name in Print</th>
<th>(Digital) Signature</th>
<th>Date</th>
</tr>
</thead>
</table>
What I Expect of Myself

I expect myself to be

I expect myself to
What We Expect of Our Peers

I expect my peers to be

I expect my peers to

-No “Superstar”
-No “Ping-Pong”
-No “Popcorn”
What We Expect of the Learning Process

I expect the learning process to be...
Ground Rules Workshop
Rey Ty

Session Objective: At the end of the session, the participants will be able consensually to lay down the rules of behavior that bind everyone.

Procedure:
Participants sit on a circular formation in the session hall.

The facilitator writes the words “Ground Rules” on a large sheet of paper.

Participants volunteer ideas on how the sessions throughout the entire program will be conducted, including the behaviors of both facilitators and participants.

The facilitator jots down the key points on the flipchart, such as (if they have identified these, if not, you can raise these points and list them down, granted that there is a consensus):

1. We will make all efforts to ensure a “SAFE ZONE” for you
2. We are in Safe Zone: do not harm anyone. You have the right to pass, if you don’t want to speak up temporarily.
3. A Freedom Wall will serve as your voice box and daily evaluation
4. Respect, tolerance, do not cross ethical boundaries, do not convert someone from one religion to another
5. Active participation
6. Cooperation
7. Fun
8. *No discrimination (size, weight, height, sex, gender, color, creed, age, social status, wealth, political position or connection, culture…).
9. Do NOT push people around, literally and figuratively.
10. No bullying, no name-calling, no teasing, no talking down on people, no belittling, no insults, no scolding in front of others, no humiliating, no smart-alecking, etc.
11. No grandstanding, no ping pong, & no popcorn attitudes.
12. To ensure everyone participates, each person can only give one public speech during your stay in the U.S. and there should always be gender balance.
13. For overall operations, Drs. Lina Ong and Sue Russell are in charge
14. For day-to-day operations, Rey is in charge. They are your “SUGGESTION BOX.” Address your daily questions, comments, suggestions, and complaints to them. If ground rules have been violated, please let them know for appropriate action.
15. You will be given information on ethical treatment of students, etc.
16. The facilitator summarizes the main ideas.
17. The flipchart is posted on the wall to remind everyone about the ground rules which the whole group has laid down.
Ground Rules, Roles and Responsibilities

- Cell phones should be turned off during learning sessions
- Punctuality and being on time
- Role of Project Team (directors and graduate assistants); role of facilitators & speakers
- Equality and respect to everyone; no status differences
- Listen and ask questions; don’t judge others
- Raise your hands to be recognized before you speak

Relax, Enjoy, Learn and Adapt

- Stay with the group; don’t stray off unless it is free time
- Agree to disagree on some things but respect other people’s opinions at all times
- This is an American program and so facilitators may have different learning styles and teaching styles from the Philippines
- Weekly synthesis; take notes and reflect
- Rey will elicit more comments from you tomorrow about rules and responsibilities
Social Learning Contract
Positive, Constructive, and Facilitative Traits & Things in the Learning Process
Rey Ty

To-Do List Worksheet

To be considerate

To practice mutual respect

To listen to others
Social Learning Contract

Negative, Distracting & Destructive Traits & Things in the Learning Process
Rey Ty

- Don’t engage in side conversations. That is rude!
- Don’t use cell phones during the sessions.

- Don’t be arrogant.
- Don’t bully.
- Don’t laugh at other people’s posture, wrong spelling, grammar, or pronunciation.
Learning Mission Statement:
We are here to
I. **Adult Learners**
   A. Knowles (1980, as cited in Merriam & Caffarella, 1999, p. 272) listed the five assumptions of andragogy as the following:
      1. “As a person matures, his or her self-concept moves them from that of a dependent personality toward one of a self-directing human being” (Merriam and Caffarella, 199, p. 272).
      2. “Adults accumulate experience which is a rich resource for learning” (M &C, 1999, p. 272).
      3. “The readiness of an adult to learn is closely related to the developmental tasks of his or her social role (M & C, 1999, p. 272).
      5. “Adults are motivated to learn by internal factors rather than external ones” (Knowles & Associates, 1984, pp. 9-12).
   
   B. To learn through experience Dewey (1938 as cited in Merriam & Caffarella, p. 223) says that “Learners must connect what they have learning from current experiences to those in the past as well as seeing future implications.”
   
   C. According to Smith (1982, pp. 35-37), learning continues throughout life, is a personal and natural process, involves change, is linked to human development, pertains to experience, and has its intuitive side.
   
   D. Hence, this professional development program can benefit from the insights of Smith, Knowles, and Dewey as well as factor these elements early on into the program planning.


III. Gagné’s Nine Stages of Effective Learning

<table>
<thead>
<tr>
<th>Event</th>
<th>Objective</th>
<th>Technique</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Get attention</td>
<td>Start the learning process</td>
<td>Energizer or action song</td>
</tr>
<tr>
<td>2. Let the participants know</td>
<td>Set learning expectations</td>
<td>Agenda setting workshops &amp;</td>
</tr>
</tbody>
</table>

32
3. Rouse recollection of prior learning
   - Help participants compare new learning with prior learning & to link new learning with prior learning in long-term memory
   - Interactive daily synthesis (ask questions; discussion)

4. Present the content in an appropriate way
   - Interactively share new knowledge
   - Interactive instructional and learning strategies

5. Supply learning guidance
   - Assist in transferring new learning into long-term memory
   - Give examples

6. Draw out learning performance or practice
   - Help participants confirm their understanding
   - Participants practice the new knowledge & skills & apply to their own contexts

7. Provide feedback
   - Assist the participants in finding out if they have absorbed new learning
   - Feedback needs to be immediate and specific from either the facilitator or colleagues

8. Assess learning performance
   - Help participants to find out if they have mastered the subject
   - Critical reflection in the form of daily electronic journals; pre-program, mid-term, and post-program essays

9. Enhance retention and transfer to their context
   - Help to make sure that learning is found to be successful
   - Templates, project plans, implementation of community projects, follow-on meeting, discussion of best practices and lessons learned

IV. Learning Environments (Jonassen & Land, 2001)

<table>
<thead>
<tr>
<th>Instructor-Centered Learning Environments</th>
<th>Learner-Centered Learning Environments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transmission, Acquisition, Mastery, Performance</td>
<td>Interpretation, Construction, Meaning Making</td>
</tr>
<tr>
<td>External Reality</td>
<td>Internal Reality</td>
</tr>
<tr>
<td>Dualism, Absolutism</td>
<td>Cultural Relativism</td>
</tr>
<tr>
<td>Abstract, Symbolic</td>
<td>Contextualize, Authentic Experiential</td>
</tr>
<tr>
<td>Individually Interpreted</td>
<td>Socially Negotiated</td>
</tr>
<tr>
<td>Encoding, Retention, Retrieval</td>
<td>Articulation and Reflection</td>
</tr>
<tr>
<td>Psychology</td>
<td>Anthropology, Sociology, Ethnography</td>
</tr>
<tr>
<td>Well-structure</td>
<td>Ill-structure</td>
</tr>
</tbody>
</table>

V. Elements of Successful Learning

| 1. Content | Authoritative |
| 2. Instructional Strategies | Appropriate and best design |
| 3. Learners | Independent, motivated, and open-minded to learn and use technology |
| 4. Technology | Reliable |
| 5. Instructional Professionals | Knowledgeable and skillful facilitators |

VI. Overview of the Learning Experience: Steps, Definition, Tasks, & Outputs

<table>
<thead>
<tr>
<th>Step</th>
<th>Definition</th>
<th>Illustrative Tasks</th>
<th>Concrete Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Analysis of the Context</td>
<td>Clarifying what needs to be learned</td>
<td>-Social Analysis and Situationer -Problem Identification</td>
<td>-Learner profile and characteristics -Definition of</td>
</tr>
<tr>
<td>Level</td>
<td>Questions</td>
<td>Place</td>
<td>Manner</td>
</tr>
<tr>
<td>-------</td>
<td>-----------</td>
<td>-------</td>
<td>--------</td>
</tr>
<tr>
<td>1. Reaction</td>
<td>Are you satisfied with the venue, learning content, instructional strategies, and room temperature?</td>
<td>Mid-term and final evaluation at the learning site</td>
<td>Online Questionnaire</td>
</tr>
<tr>
<td>2. Learning</td>
<td>Did you learn new knowledge, skills, and values taught to you?</td>
<td>Daily, diagnostic midterm, and final evaluation at the learning site</td>
<td>Critical-reflection essay submitted as online journal</td>
</tr>
<tr>
<td>3. Behavior</td>
<td>Did you, will you, and how would you use what you have learned?</td>
<td>After the program ends, assessment in the social or work context</td>
<td>Online dialogue after the program ends on what occurred in the work or community context</td>
</tr>
</tbody>
</table>

### VII. Kirkpatrick’s Four Levels of Evaluation

<table>
<thead>
<tr>
<th>Level</th>
<th>Questions</th>
<th>Place</th>
<th>Manner</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Reaction</td>
<td>Are you satisfied with the venue, learning content, instructional strategies, and room temperature?</td>
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<td>Online dialogue after the program ends on what occurred in the work or community context</td>
</tr>
</tbody>
</table>
4. Results

What impact has your new learning from the training program had on you, your organization, and your community?

Get information about the organizational performance as baseline data; pre-test and post-test

- Online submission of Photo Essay (which is a critical reflection of the implementation of community projects)
- After the implementation of a social intervention activity (such as community projects), have a follow-on meeting to find out if the performance (community project implementation) led to social change

VIII. Different Ways of Learning

<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>2. Informal Learning</td>
<td>Learners refer to reading materials or custom-made training manuals on their own at a time convenient to them.</td>
</tr>
<tr>
<td>3. Self-Paced Individualized Instruction</td>
<td>Homework assignments, such as critical reflection in the form of an essay which gives learners to analyze, assess and integrate their new learning</td>
</tr>
<tr>
<td>4. Performance Support</td>
<td>Online resources are available: electronic group; electronic blackboard; book; online chat; video clips</td>
</tr>
<tr>
<td>5. Mentoring</td>
<td>Participants with special needs meet with experts onsite one on one</td>
</tr>
</tbody>
</table>

IX. Instructional and Learning Strategies

<table>
<thead>
<tr>
<th>Hands-on activity</th>
<th>Lecture</th>
<th>Case studies</th>
<th>Reading</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scavenger hunt</td>
<td>Discussion</td>
<td>Group work</td>
<td>Movie or video clips</td>
</tr>
<tr>
<td>Seminar</td>
<td>Music</td>
<td>Email</td>
<td>Online group</td>
</tr>
<tr>
<td>Q &amp; A</td>
<td>Brainstorming</td>
<td>Game</td>
<td>Guided research</td>
</tr>
<tr>
<td>Art</td>
<td>Theater</td>
<td>Action Plan</td>
<td>Critical-reflection journals</td>
</tr>
</tbody>
</table>

X. Bloom’s Six Types of Learning

<table>
<thead>
<tr>
<th>Type of Learning</th>
<th>Elements</th>
<th>Illustration</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Comprehension</td>
<td>Show understanding by summarizing or explaining the content</td>
<td>Describe the office of the women’s organization in the Kandahar Village.</td>
</tr>
<tr>
<td>3. Application</td>
<td>Use what has been learned in a different context</td>
<td>Having learned about the issues of gender, race, and ethnicity in the U.S. today, how would you characterize these issues in the Mindanao context?</td>
</tr>
<tr>
<td>4. Analysis</td>
<td>Determine the relationships between parts</td>
<td>-How does gender affect social change? -What are the causes of conflict in Mindanao?</td>
</tr>
<tr>
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<tr>
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</tr>
</tbody>
</table>
| 5. Synthesis | Create new patterns or structures | -Re-conceptualize the notion of development, adding the elements of gender and critical theory.  
-What are your recommendations for the resolution of the conflict in Mindanao? |
| 6. Evaluation | Judge the value of the content | Compare and contrast the use of critical theory in Western Europe, the U.S. and non-Western societies. |

**XI Learning Wheel Based on Bloom’s Taxonomy**

XII. Bloom’s Revised Taxonomy
(Source: http://coe.sdsu.edu/eeet/Articles/bloomrev/index.htm)

<table>
<thead>
<tr>
<th>Knowledge Dimension</th>
<th>Cognitive Processes Dimension</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Remember</td>
</tr>
<tr>
<td>Factual</td>
<td></td>
</tr>
<tr>
<td>Conceptual</td>
<td></td>
</tr>
<tr>
<td>Procedural</td>
<td></td>
</tr>
<tr>
<td>Meta-cognitive</td>
<td></td>
</tr>
</tbody>
</table>

(Anderson, Krathwohl et al. 2001)

XIII. Kolb’s Four Learning Styles

<table>
<thead>
<tr>
<th>Learning Style</th>
<th>Inclinations</th>
<th>Illustrations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Converger</td>
<td>Rational &amp; concrete thinking</td>
<td>Develop and defend a perspective</td>
</tr>
<tr>
<td>2. Diverger</td>
<td>Intuitive</td>
<td>Take part in a role play with a specific perspective</td>
</tr>
<tr>
<td>3. Assimilator</td>
<td>Theory development</td>
<td>-Read, analyze, &amp; explain materials with different perspectives &amp; create an original perspective -Engage in a dialogue about a contentious issue</td>
</tr>
<tr>
<td>4. Accommodator</td>
<td>To be fully involved in new experiences</td>
<td>-Asking questions, getting answers, giving answers, engage in lively online chat about serious issues of common concern</td>
</tr>
</tbody>
</table>

XIV. Learning Perspectives and Objectives: Levels, Types and Depth of Learning

A. Assumptions
   A. Knowledge Retention
   B. Application outside the learning program
   C. Creation and implementation of a project in your own community and context

B. Learning Perspectives
   A. Cognition
      1. Explains causally related mental constructs such as motivations, traits, memories, beliefs, and emotions;
      2. Explains how information is perceived, processed, stored, retrieved, and forgotten
      3. Students learn to solve problems by assigning and mapping them to a schema retrieved from long-term memory
   B. Behavioralism: Tangible reward for learning with praise, stars, etc.
   C. Self-Determination: Criticizes rewards as undermining intrinsic motivation
   D. Social Cognition (Bandura)
      1. Merger of behavioral, cognitive and social factors
      2. Observational learning: change one’s behavior based on observing others’ behavior and its consequences

E. Constructivism
   1. Focus on agency and prior knowledge on the social and cultural determinants of the learning process
   2. Individual constructivism
3. Social constructivism
   a. Behavior, skills, attitudes, and beliefs are situated and bound to a specific sociocultural setting
   b. Learner is enculturated through social interactions within a community of practice

C. Cognitive Objectives
   A. Types or Knowledge Dimension
      1. Factual Knowledge
      2. Conceptual Knowledge
      3. Procedural Knowledge
      4. Meta-Cognitive Knowledge (knowing about knowing or not knowing). For example:
         a. I don’t remember.
         b. I understand that pretty well.
         c. I can’t solve that problem right now.
         d. I need to have some music on so that I don’t fall asleep.
         e. I can’t remember who you are.
         f. Have we really met before?
   B. Levels of Cognitive Domain, Learning Skills & Intellectual Abilities
      1. Knowledge
         a. “What is…?”
         b. “What is globalization?” “What is peace?” “What is conflict resolution?” “What is youth leadership?”
         c. “Define…”
         d. “What happened on…?”
         e. “Justify the use of …?”
      2. Comprehension
         a. “Compare and contrast…”
         b. “Compare globalization and localization.” “How different is leadership in general from youth leadership in particular?” “Compare and contrast advocacy work and development work.”
         c. “Develop a pie chart about the concept…”
         d. “Produce a graph showing the concepts…”
      3. Application
         a. “Use theory on … and apply it to the … situation”
         b. “How does globalization apply to the Philippines?” “Apply the different theories of youth leadership to the Mindanao situation.”
         c. “Develop a pie chart about the current…”
         d. “Produce a graph showing the actual demand for and supply of…”
         e. “Organize… to show…”
         f. “How does the … Policy on… apply to…?”
      4. Analysis
         a. “What are the minimum elements of…?”
         b. “What are the indicators of globalization?” “What are the factors involved in youth leadership?”
         c. “What are the elements of…?”
         d. “Identify and explain the economic structure of…”
         e. “What cause…?”
         f. “What are the five functions of …?”
         g. “Develop a concept map of…”
         h. “Produce a flowchart of…”
         i. “Classify…”
      5. Synthesis
a. “Summarize the causes of…”
b. “Explain the impact of globalization on Philippine economy.”
c. “In a few words, explain the effects of…”
d. “How would you put together all the…”
e. “Explain the relationship between…”

6. Evaluation
a. “Do you agree with…?”
b. “Do you think globalization has a positive impact on the Philippine economy? Why?” “Do you think Dr. Katnip’s session gives you insights on how to deal with people of other ethnic groups in your school? How?” “Do you think your participation in the youth leadership program at NIU will help your work to improve the peace situation in your community in Mindanao?”
c. “Critique the book…”
d. “Why do you disagree with…?”
e. “In your opinion, why does…”

7. Creation
a. “Make a crossword puzzle using key words related to inter-ethnic dialogue”
b. “Formulate a new peace plan reflecting your values.”
c. “If you were to establish an inter-ethnic organization, how would your strategic plan look like?” “After going through and understanding the workshop on community development, produce an original workshop that specifically caters to and meet the needs of the conflict-ridden village in Barangay Sulaiman.” “If you were the President of the World Bank, what would you propose to promote both economic development and economic equality in the world?”
d. “Develop a project…”
e. “Visualize…”
f. “What do see yourself doing five years from now?”

C. Depth
1. Low
2. Intermediate
3. Deep

D. Learning Pyramid
1. Traditional Lecture
2. Reading
3. Audio-Visual
4. Demonstration
5. Discussion Group
6. Practice by Doing
7. Teach Others

D. Psycho-Motor Objectives
A. Imitation
B. Manipulation
C. Precision
D. Articulation
E. Naturalization

E. Affective Objectives
A. Receive
B. Respond  
C. Value  
D. Organize  
E. Internalize

XV. Knowledge Formation

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Tacit knowledge</td>
<td>to</td>
</tr>
<tr>
<td>Tacit knowledge</td>
<td>Socialization</td>
</tr>
<tr>
<td>Explicit knowledge</td>
<td>Internalization</td>
</tr>
</tbody>
</table>

XVI. William Perry’s Scheme of Intellectual and Ethical Development  
(Source: [http://www.cse.buffalo.edu/~rapaport/perry.positions.html](http://www.cse.buffalo.edu/~rapaport/perry.positions.html))

A. Dualism  
A. Premises  
1. All knowledge is known. There are right and wrong answers fixed once and for all.  
2. Students rely on external authorities for the correct answers.

B. Basic Dualism  
1. All problems can be solved  
2. Only teachers and authorities know the answers.  
3. Students need to learn the correct solutions.

C. Full Dualism  
1. Experts (in the same fields, literature and philosophy) disagree  
2. Experts (in the same fields, sciences and mathematics) agree  
3. There are correct solutions  
4. Learners need to learn the correct solutions.

B. Multiplicity (Subjective Knowledge): Think for Yourself  
1. Premises  
   a. There are conflicting answers.  
   b. We do not rely on an external authority.  
   c. We rely on our inner voice.

2. Early Multiplicity: Most knowledge is known. There are right and wrong ways to find answers.  
   1. There are two types of problems  
      a. Problems whose solutions we know.  
      b. Problems whose solutions we do not know yet.

2. Learners need to learn how to learn and to find out what are the right solutions.

3. Late Multiplicity: Most knowledge is not known. Students learn to think for themselves.  
   a. Most problems are not fundamental. Thus, we all have the right to our own opinion.
b. Some problems cannot be solved. So, you can choose your own solution.
c. “Give the teachers what they want,” even if I disagree with what I wrote.

C. Relativism
F. Premise
a. All knowledge is contextual within which there are right and wrong answers.
b. Students must study different contexts and listen to different perspectives.

G. Contextual Relativism
a. Knowledge is discipline based and therefore different techniques are used for different disciplines.
b. Knowledge is based on history, society, culture, perceptions, personal opinion, and other factors.

H. Pre-Commitment
a. Students understand the need to make choices.
b. Students understand the need to be committed to a solution.

D. Commitment
I. Commitment: Students make a commitment.
J. Challenges to Commitment
   a. Students experience the impact of commitment.
   b. Students explore issues of responsibility.
K. Post-Commitment: Students realize commitment is a continuing process.

---

XVII. Pattern of Learning (Smith, 1982, p. 142)

A. “Learning goes on throughout life.” (Smith, 1982, p. 35)
B. Different stages (Smith, 1982, p. 142)
   1. From conflict to defense
   2. Resolution of conflict
   3. Incorporation

---

Reference:


Chapter 4: Cultural Citizens, Dialogue, and Civic Participation

Community Organizing
Maryjane Bicksler, Regional Administrator
Illinois Coalition for Community Services (ICCS)

I. Introduction of ICCS
In 2007 ICCS provided technical assistance to 137 community-based groups in 74 counties in Illinois. The committees ICCS supported served 25,219 youth and generated over $862,000.00 in local resources to help finance local efforts.

II. I will share stories about four community committees and the changes they made through grassroots organizing.

A. Teen Turf Youth Center in Amboy, Lee County
B. Royal Lake Community in Bond County
C. Wilmington Coalition (Underage Drinking) in Will County
D. Forest Ridge Apartment Complex in Aurora, Kane County

Topics covered:
Identify local leader
Recruit, retain and recognize volunteers
Developing leadership
Locating local resources
Fundraising & grant writing
Establishing community partnerships
Conducting public meetings
Utilizing schools and faith based organizations
Publicizing events
Developing a budget and strategic plan
Writing by-laws

ICCS Mission Statement:
ICCS is committed to empowering people to determine the direction of their communities through education, advocacy, and grassroots organizing.
www.time-to.org
Electronic Government and E-Democracy: Online Civic Engagement
Yu-Che Chen

Defining E-Government
- E-government is “utilizing the Internet and the World Wide Web for delivering government information and services to citizens” (UN-ASPA, 2003)
- E-government portals and ICT infrastructure
- “The Application of IT to government service is often termed “e-government” and the larger concept of government that depends upon IT to achieve basic missions is termed “digital government” (Marchionini et al, 2003)
- Access to information, transaction services, and citizen participation

Examples of E-Government Web Portals
- Federal:
  - Official federal government Web portal: http://www.usa.gov/
- State:
- Local:
  - City of Aurora, Colorado: http://www.auroragov.org/AuroraGov/index.htm
  - City of Lynchburg, Virginia: http://www.lynchburgva.gov/

Overview
- Electronic government
- Electronic democracy
- Online civic engagement

What is E-government?
Electronic government refers to the use of information and communication technology (particularly Web-based Internet applications) to better the relations between government and its employees, citizens, businesses, nonprofit partners, and other agencies by enhancing the access to and delivery of government information and services and participation in governance.

One Access Point
- Multiple Contacts
- Single Source
- Satisfied Citizen
- Putting the citizen in control
Four Stages of E-Government
- Presence
- Interaction
- Transaction
- Transformation

What is “e-democracy”?
- “Electronic democracy can be understood as the capacity of the new communications environment to enhance the degree and quality of public participation in government.” (Kakabadse et al., 2003, p.47).

Layers of E-Democracy (Garson)
- E-activism
  - PEN project
  - More examples: http://www.aarp.org/
- E-campaigning
  - The use: http://movson.org/
- E-voting
  - What is e-voting?
  - NPR: Voting Officials Wary About Electronic Ballot (8/8/07)

Layers of E-Democracy (II)
- E-legislating
- E-civics
  - What is e-civics?
    - “use of electronic means to provide citizens access to agency information” (Garson, p.80)

Layers of E-Democracy (III)
- E-participation
  - “the use of electronic means to allow the public or stakeholder groups to participate in the policy decision-making process of the agency.”
  - E-rulemaking: http://www.regulations.gov
E-Democracy and Civic Engagement: Examples

- AmericaSpeaks
  - www.americaspeaks.org
- City of Aurora, Colorado
  - http://www.auroragov.org/AuroraGov/index.htm

References and Resources (I)


Recommendations for Implementation of Online Forums

- Develop a realistic time frame
- Be clear and concise when framing issues
- Develop a citizen’s help guide for online policy deliberations
- Actively market the digital deliberation opportunity to citizens
- Train public managers to facilitate digital discussion (Holzer et al., 2004)

References and Resources (II)

Management and Implementation of E-Government Projects

Yu-Che Chen

What is an Information System?

- Technical definition:
  - A set of interrelated components that collect (or retrieve), process, store, and distribute information to support decision making, control, analysis and visualization in an organization.
- Paper-based vs. computer-based information systems

A Broader Understanding the Information Systems

Figure 1-8: Organizations, Technology, and Management

Overview

- Information systems and ERP
- Strategic IT/IS management
- IT Project management
- Financing e-government projects

Components of an Computer-Based Information System (CBIS)

- People
- Software
- Telecommunications
- Data/Processes
- Hardware

Information Systems and Levels of the Organization

Figure 2: Levels of the Organization
Enterprise Systems (Total Integration)

Enterprise Application Infrastructure

Key Factors for Successful Implementation

System Development Methodologies
- System life cycle
- Prototyping (see right)
- End-user development
- Application software packages and outsourcing

Modeling and Designing Systems
- Featured approach:
  - Use case approach
Strategic IT/IS Management

Public vs. Private Strategic IT Planning
- Public sector has
  - Risk aversion
  - divided authority
  - multiple stakeholders & multiple objectives
  - one-year budget
  - highly regulated procurement and hiring process
  - More information sharing

The Big Picture: Politics of E-Government
- Individual E-Govt Project
- Strategic Plan
- Political Forces

Project Management: Basic Concepts
- Project
  - planned undertaking of related activities to reach an objective.
- Project management
  - a controlled process for initiating, planning, executing, and closing down a project (i.e., the science of managing a project).
**Project Management: A Four-phase Process**

- Initiating
- Planning
- Executing
- Closing down

---

**Project Planning and Management Techniques and Tools**

- **PERT**
  - A graphical technique for representing projects by depicting project interrelationships as a network diagram.
  - A critical path scheduling technique used for controlling.

---

**IT Project Management: An Interdependent Reality**

- TECHNOLOGY
- ORGANIZATION
- IT PROJECT MANAGEMENT
- PEOPLE
- FUNDING

---

**Financing E-Government Projects**

---

**FIGURE 1.1 External factors influencing the success of an IT project**

- Reputation
- Suppliers
- Shareholders
- Customers
- Competitors
- Law
Financing eGov't Services

- Budget priority or reallocation
- Partnership
- Grants
- User fees
- Self-funding model
- Split funding
- Central e-government fund

When does user charge pricing make economic sense?

User charges are prices charged for voluntarily purchased services. The cost of renewing a vehicle registration through a traditional venue is a user fee. The additional charge for the option of renewing a registration online is a user charge – provided there is an alternative channel for renewal.

YES
- Services primarily benefit the direct user.
- Users should pay, but non-users should not.
- To gauge constituent preferences and estimate demand.
- To reduce freerider problem when demand is elastic.
- To reduce congestion.

NO
- Services produce positive externalities.
- Users should be subsidized –
  - low-income households;
  - increase access, reduce digital divide.
- No alternative service channel for mandated services.

Source: Johnson (NANDA 2002)

An eGov't Marketplace Perspective

References and Resources

- Chen, Yu-Che and Thumaier, Kurt. (2008), Advancing E-Government: Financing Challenges and Opportunities

The End.

Thank you.
Conexión Comunidad

Connecting the Strengths of Our Community

The Merger

- In 1999, Conexión Comunidad joined forces with a group from Northern Illinois University and school district 428.
- By 2000, Conexión Comunidad was incorporated as a 501(c)(3) and achieved status as a not-for-profit organization.
- In 2002, with the help of DeKalb’s mayor, CC received funds and was able to buy a building.

New Beginnings

- Established in 1998 to address the needs of the Spanish-speaking community.
- It began with two Latina women working for the County Health Center who teamed up with another member of the community to discuss a community center.
- They called their group Conexión Comunidad because it would be a group from the community helping each other.

Services

- Open Computer Lab
- Computer Literacy Classes
- Citizenship Classes
- English as a Second Language
- Spanish as a Second Language
- Math and Science Club
- Women’s Group

Youth Assistance

We help with:
- Homework
- Learn to use the computer
- Write your papers
- Write your resume
- Power Point presentations
- Create your E-Mail account

Contact Information

- Conexión Comunidad is located at 637 N. 11th Street in DeKalb, Illinois.
- Phone number is 815-754-0980.
- Current President of Board of Directors – Mr. Jesus Romero.
Strategic campaigns of nonviolence are essential to efforts to achieve social justice. This workshop will discuss critical components of developing and using nonviolent tactics and methods. This includes identifying key constituencies; locations in which power is concentrated; and how to overcome fear. It will include as a case study a discussion of the nonviolent struggle by Native Americans in the United States to exert and exercise their individual and collective treaty rights in the 1980s and 1990s. The workshop will also draw upon the work of the Centre for Applied Nonviolent Action and Strategies. Participants are encouraged to review the CANVAS Core Curriculum students’ book, available for download in English at the Centre’s website: http://www.canvasopedia.org/content/special/core.htm

WORKSHOP OUTLINE:

I. Defining Nonviolence

II. Components of a Strategic Campaign of Nonviolence

III. Identifying Pillars of Power

IV. Identifying Allies

V. Discussion of Struggle for Native American Treaty Rights
   1. Defining the Issue – Background on Spearfishing and Treaty Rights
   2. Use of Civil Disobedience – the Trimble Brothers
   3. Intervention of the Courts
   4. Collective Exercise of Treaty Rights to Fish on Off – Reservation Lands
   5. Mass Opposition to Native Americans by the Majority population
   6. Government Intervention to Oppose Native American Treaty Rights
   7. Building Alliances between Native Americans and majority population
   8. Collapse of Majority Opposition to Native American Treaty Rights
**Community Development**  
Jorge Jeria and Rey Ty


**Introduction.** This work is an edited book with many authors. Its major thesis is that adult education needs to be participatory in order to have meaningful impact on the lives of the members of learning communities. The book is well organized, as it has a preface and an introduction that lays the land in terms of the vast and divergent coverage of the different chapters in the book. This collection is an edited work that showed the depth and width of how participatory practices are applied in different learning situations in non-Spanish-speaking North America. The styles of the different contributors are unique and engaging, as they shared their findings in ways that make the readers think critically about how they could make adult education participatory. The authors gathered information using different appropriate methods based on their own areas of research in the U.S. and Canada. This is a well selected book for class reading, as students are exposed to many different ideas, theories, and practices of different practitioners who have reflected on and written about their attempts at making learning participatory.

**Summary.** The book discussed the following major points: (1) ideology, (2) praxis, (3) U.S., (4) different contexts, (5) power relations, (6) privilege, (7) tools, (8) role of facilitators, (9) barriers, (10) process, and (11) principles. Let us examine each point one by one. One, the editors identified three ideologies: conservative, liberal, and critical. The authors of the book are opposed to conservatism, because it only replicates the power relations existing in society. They are also opposed to the liberal ideology, because it only makes the marginalized people try to fit into the status quo but not change it. More importantly, the authors adopt the critical ideology, as it empowers the marginalized people at the grassroots level, by not only involving them in participatory practices in learning but more importantly by changing the power relations. Two, the book explains that in order for participatory education to be successful, educators must be engaged in praxis. Praxis refers to the unity of reflection, theory, and action. Educators must not only talk about participatory practices in their work, but more importantly, must reflect upon their actual work, that is, if they are actually doing what they are saying. Educators must transform their pedagogy to be truly participatory, not just in words, but in action. Three, this book explains that participatory education is a term used in both the U.S. and Canada. Participatory education is not something truly original. In fact, it is the application of popular education in the U.S. and Canada. Paolo Freire developed popular education which responds to the needs and context of Latin America. Freire admitted that his popular education is in fact influenced by many books with which he had come in contact and agreed, such as Marx, Gramsci, Sartre, Mao, and many others. Popular education cannot just be exported to the U.S. or Canada just like that. Rather, popular education as such must be transformed in such a way that it is contextualized to the contexts and needs of totally different societies. Four, this book explains that adult learning takes place in different contexts. The **conventional contexts** of education include (1) adult basic education in literacy programs (Part II), (2) workplace basic skills program (Part IV), (3) prison schools (Chapter 12), (4) teacher training (Chapter 13), (5) and graduate programs (Chapter 11). **Non-traditional learning contexts** include community development programs for marginalized women as well as discussions taking place in mainstream community groups such as town hall meetings.

Five, participatory practices in adult education is not simple. It is not simply a matter of letting students or learning participants join activities. There are underlying power relations that must be recognized. On the one hand, here are unequal power relations between the educator and the students or participants. On the other hand, there are also unequal and very complex power relations among the learners due to their ethnicity, class, gender, sexual orientation, cultures, religions, abilities and other differences. For participatory practices to be successful, the educator must recognize and take into
account the unequal power relations in a learning setting and empower the hitherto disenfranchised and marginalized learners who stayed in the fringes in the learning community. Six, after acknowledging the unequal power relations in the learning setting, educators must realize that they cannot simply stay neutral and just let discussions roll on unimpeded. Rather, by not saying something about the status of privilege by one group, the educator is reproducing the unequal power relations not only in the classroom but also in society at large. Thus, the role of the educator is not just to let people talk and participate in learning activities without processing the discourse, but to give a critique of privilege and oppression in order to reject the reproduction of power inequality and to promote social transformation. Seven, the book suggested that educators must not look for a checklist of tools on how to make learning participatory. Rather, the book suggested that tools for participatory learning are an open book, as they could include anything from storytelling, town hall meetings, reflective writing, and the use of photos. There are no fixed formulas to make education participatory. We should seek flexibility based on the availability of tools, time, and skills of both educators and learners. Eight, the books also noted that the role of facilitators in a participatory learning setting varies. It depends on several factors. To begin with, if learning participants are advanced in their level of consciousness, then the role of facilitator is merely to be a passive change agent who sets an organized system through which discussion can take place smoothly. However, if learners have very low level of consciousness with respect to their worth, rights, and empowerment, then the role of the facilitator is to be an active change agent who advances the interests of the community. In any case, educators are change agents. The role of change agents, though, varies, depending upon the level of political awareness or conscientization of the learning community.

Nine, the book asserted that while educators want to implement participatory practices, it is not as easy as it sounds. Educators need to have a lot of preparations, life experiences, as well as participatory teaching experience. All of these are shaped based on past learning, mistakes, and reflection on what works well and what do not. Some barriers include material and ideological hindrances. Conducting participatory education is not cheap: it involves the use of appropriate technology where necessary and additional resources such as writing supplies as well as supplementary materials. Another major problem consists of ideological differences. When ideological differences are antagonistic and contradictory, they do not lend themselves to fruitful dialogue but possibly to destructive debates. The ideology espoused by the authors is critical ideology, as it promotes the acceptance of difference and therefore embraces diversity. Some ideologies do not tolerate, much less accept, differences. Educators must be aware of ideological differences, whether they are irreconcilable or not, and act accordingly. Ten, participatory practices, as noted by the authors, are not simply the end product of the educational process. Participatory practices in fact deeply involve the process itself. Hence, educators must not seek to have a participatory end product but to make the process itself participatory. Overall, this book contributes to the knowledge base of the field, as it contains many different case studies on how to make learning participatory: from traditional settings to town hall meetings and community development projects for marginalized women.

**Importance of the Book.** The book contributed to the application of popular education in non-Hispanic North America. It clearly showed that participatory methods in learning varies and depends upon the context. While Freire has contributed to popular education in Latin America, North American educators in both Canada and the U.S. have enriched the discourse by developing their versions of “participatory education” in the Anglo-Franco communities in North America. Hence, the contribution of the book to the literature is unique, as the authors added new knowledge about the applicability of popular education as participatory practices in adult education in Anglophone and Francophone North America.

**Internal Analysis.** This book’s thesis—that adult education has meaningful impact on personal and social transformation if the process is participatory—is supported persuasively by each case study presented in each chapter. The authors discussed in detail how education can be participatory in such diverse contexts as in conventional educational contexts, community development projects, and community meetings. Compared with other books, this book is unique as it portrays the processes used
not in Latin America, as Freire did, but in very diverse settings in the U.S. and Canada. The book has deepened the conceptualization, understanding, and utilization of participatory methods outside of Latin America. Clearly, the authors of this book are in agreement that the learning experience must be participatory. However, they also agreed that each learning context is different from the others and therefore the participatory methods to be used in each learning situation also differ from the others. Nevertheless, this book is applicable only to educators who adopt the critical ideology. Those experts who disagree with this ideology, such as conservatives and liberals, disagree with the philosophy of this book. There are no such thing as bias-free educational setting, as this book indicated. The authors take the side of the people at the grassroots level and learners of all types, including graduate school students, on-the-job learners, marginalized women, and prisoners.

Summary and Conclusions. This book is an important must-read collection of articles. Readers are exposed to different settings in which participatory practices are applied and can learn lessons from them: such as in women’s projects, town hall meetings, workplace, prison education, adult basic literacy, English as Second Language (ESL), and graduate school. After reading this book, I still raise some questions which were not answered by the book. Although knowing and accepting diversity is important, however, this book only touched on the basic aspects of diversity based on gender and ethnicity. Other issues related to diversity must be explored, as they have implications on how to make learning more participatory. For instance, religion, class, citizenship, age, abilities, and other such issues must be explored. In light of 9/11, how can we make sure that Islam and Muslims are not stereotyped and fall victim to racial profiling and harassment? How would participatory practices apply to learning among native Americans? Why are there no articles about the learning experiences of people of Asian heritage? How can undocumented people fully get involved in participatory learning that will benefit them? Another question I raise is: Knowing that participatory practice is one thing, but empowerment is another thing, how can we ensure that learners are empowered not only in terms of the learning process but of the authentic ownership of the whole learning process and outcomes? These are important research concerns which remain as issues that need further exploration.
Latino Education

Chapter 1: Origins of the national Latino/a education research and policy project (NLERAP).

- National Latino/a Education Research and Policy Project (NLERAP)
- Miseducation of Latinos
- Educational Inequality
- Critical Standpoints: expose oppressive situations & create transformative possibilities in educational experiences

Chapter 2: A New Vision for Latino/a Education: A Comparative Perspective on research agendas.

- Differentiation of the NLERAP's agenda from other research agendas
- Research emphasizes/federal government has been the biggest sponsor of educational research.
  - Concerns and problems
  - Need for new and independent infrastructures
- The beginning of NLERAP inception
- NLERAP relies on local networks
- Discoveries

- NLERAP: Principles & Initiatives
  - The NLERAP’s five principles of Participatory Action Research (PAR)
    1. framing the research questions;
    2. critical inquiry;
    3. Share research with the affected community;
    4. Negotiate reciprocity
    5. Connect

    - The PAR assisted in discovering common grounds among the compared research agendas.

    - Poverty is the root cause of many of the social & educational problems impeding healthy development in formal learning contexts.

    - Therefore concerns should not lie with increasing standardized test scores; it should be about economic empowerment for historically marginalized communities.
Chapter 3: Setting the context: Historical perspectives on Latino/a education.

- How practitioners of Latino/a education are rooted in a sociohistorical context.
- History of Latinos and education may be traced back to the 16th century.
- The beginning of the mid-19th century
- U.S. colonization of Puerto Rico
- Inequities were prevalent through the pre-Civil Rights era which contributed to the formation of grassroots organizations and a series of lawsuits in the 20th century.
- Voluntary and involuntary minorities in the United States.

Chapter 5
Explanatory Models of Latino Education

- Focus
- Types of the explanatory models:
  1. Cultural Explanations Framework
  2. Language Functions and First and Second Language Frameworks
  3. Cultural-Ecological Frameworks of a Macro-Dimension
  4. Economic Frameworks
  5. Social Theory Frameworks
  6. Psychological Frameworks
  7. The culture of Failure Frameworks

Chapter 4: The intellectual presence of the deficit view of Spanish-speaking children in the educational literature during the 20th century.

- Historical explanation for Latino/a students’ underachievement in school
  - 1920’s - Intelligence testing
  - 1930’s - Mental retardation
  - 1940’s - Stereotyping and prejudices
  - 1950’s - Reading problems / the “home situation”
  - 1960’s - “Cultural” and “linguistic” deficit advocates
  - 1970’s - Experienced the cause and effects of the Civil Rights
  - 1980’s - Significant shifts from the educational liberal reform movements
  - 1990’s - Labeled as “at risk”.
  - The blaming the victim syndrome continued throughout this decade.

Chapter 6
Latinos and Education

- The Latino/a population
- School enrollment
- High school completion
- Latinos and higher education
- Latino/a children and America’s future

Chapter 7
Standards-Based Reform and the Latino/a Community

- 3 theoretical components of standards-based reform
- The challenges & elements of success
- A new advocacy strategy

Chapter 8
Student Learning and Assessment

- No Child Left Behind: Accountability and testing
- High-stakes accountability measures
- Testing as a gatekeeper for higher education
- Dimensions of assessment
Chapter 9
CA’s standards movement

- New standards for teachers & students in CA
- Proposition 227 failed to improve
- Prepare unprepared English teachers
  – Beginning teachers 1999-2001
  – Support providers 1999-2001

Chapter 11
Fighting the Backlash

- Politics, Politics, Politics
- Backlash rejects diversity & difference as resources for learning
- Truth about proposition 227, 187, 209 etc.
- Decolonizing politics

Chapter 12
Education Sovereignty

- What is education sovereignty?
- Criminalization of Spanish in the US
- The status quo mediated: 3 approaches
  – Funds of knowledge
  – Additive schooling
  – Mediating structures
- Linguistic Human Rights

Chapter 13:
Social Action and the Politics of Collaboration

- Community Programs & Higher education partner to benefit lower income students
  – La Clase Magica
  – Challenges
  – Small Gains, High Hopes

Chapter 10
Schooling of Latino/a Students

- Normal school mass production
- Community educates teachers about its culture, ethnic, social etc.
- Pasiòn and Coraje

Chapter 14:
Theoretical Perspectives on the Underachievement of Latino/a Students in the US Schools

- Social Reproduction and resistance theories
  – Conceptual social/cultural capital in ed
  – Cultural Capital and Codes of Power
  – Synthesizing reproduction and resistance for Latinos: subtractive schooling
  – El Puente: Academy for peace and justice
Chapter 15: Latino Families Epistemology

- Collective Experience: Oppression
  - Families, shared values, and resistance
  - Reciprocity and dignity
  - Shared values
- Implications for Educators and Researchers

Democracy, Education, and Human Rights in the United States: Strategies of Latino/a Empowerment

The Dual Role of Education.

- Achieving equal access to quality educational systems continues to be one of the consistent elements in the strategies of empowerment embraced by the Latino/a community.

- It has also been the primary means for transforming political and economic conditions and achieving both individual and community development.

The Process

- Demonstrating that the specific condition of Latino/as in the US require this kind of intervention.

- Assessing the viability and effectiveness of human rights as a political strategy.

Chapter 16: Latino Ed. In the 21st Century

- Fundamental principles in framing education of Latino Students
  - Unity and Diversity
  - Exploring elliptic cultural expressions
  - Envisioning a pedagogy of engagement
  - Model of research for social change

The Goal

- Develop an argument to establish education as a human right & assess the extent to which it can be applied to the Latino/a populations of the United States.

Effects of Globalization

- The tendency for the dominant intuitions within America to collapse the Latino/a population into one group often makes it blurry that there are diverse and varying levels of the Latino/a population in terms of race, class and economic standing.

- But he maintains that globalization has created economic hardship for many & poverty, which is not a result of joblessness but rather the limited access to higher income occupations.

- Latino/as have the highest percentage of working poor than any other ethnic minority in the U.S.
Political Effects

- Politically, the shift in America’s political environment over the past thirty years towards conservatism has helped to widen the disparity of the Latino working poor.
- Whereby, a reduction in the basis and availability of economic and social rights as well as legislation that directly affected the life conditions & opportunities of low-wage workers.

Education as a Human Right

- The factor that has been most beneficial to the Latino/a community and also helped to create a middle class is education.
- Human rights has played a dual and contradictory role in society, a need to re-conceptualize and institutionalize it is warranted doing away with rights as a assertion without being viewed as a commitment.
- Reconceiving rights as Political Strategies
  - Rights should be conceptualized into a means of structuring relationships between individuals and the sources of collective power so that autonomy is fostered rather than undermined.

**QUESTIONS**

1. Why do you think it is important for the Latino/a community to utilize a political agenda to advance education as a human right?
2. Why is it important to use education as the basis for the Latino/a Agenda instead of using an economics-based or politically based approach?
Job Shadowing
Rey Ty

I. Introduction
A. A tool used in training or professional development programs
B. A workplace-based learning.
C. A work experience where one spends some time, for instance, one day, and learns about a job.

II. Methods
A. Learning by observing how things are “actually” done (as opposed to what textbooks say things are done “theoretically”)
B. By walking through the work day as a shadow to a competent worker (Paris and Mason, 1995, p. 47).
C. The learner is the shadower.
D. The actual worker or professional at work is the shadowee.
E. The shadowees do their actual work for the day, while the shadower is always near the shadowee.
F. The shadowees learn by observing, listening, and taking notes.

III. Objectives
A. Learners witness firsthand
   1. the work environment in general,
   2. employability
   3. & occupational skills in practice,
   4. the value of professional training
   6. a specific job
   7. a specific work place
B. It is designed
   1. to increase career awareness,
   2. help model learner behavior through examples
   3. & reinforce in the learners the link between classroom learning & work requirements (Paris and Mason, 1995, p. 47).

IV. Locale
A. Almost any workplace is a potential site (Paris and Mason, 1995, p. 47).
B. Preferably a venue where the work is something from which the shadowees can learn something useful for their own purposes

V. Advantages
A. Obtain a realistic view of the work
B. Better than learning from books and lectures

VI. Disadvantages
A. It is limited, as it allows students to observe only; direct work experience, responsibility & skills are not acquired.
B. While integration of classroom and work is implied, there is little if any curriculum alignment between the school & occupational area (Paris and Mason, 1995, p. 47).

VII. **Procedures**

A. Needs Assessment
B. Search for Alternative Job Shadowing Placements
C. Approval and Confirmation
D. Group Briefing
E. Job Shadowing
   1. Introductions
   2. Present Tokens or Gifts: What’s in it for them? The shadowees don’t stand to gain anything. The shadowers stand to gain everything.
   3. Orientation
   4. Actual Shadowing
   5. Bring Your Own Meals or Prepare to Go Out to Eat and Pay for Your Own Meals
F. Group Debriefing
G. Personal Reflection
H. Thank You Note

VIII. **Qualities of a Good Shadower**

A. Humble
B. Inconspicuous
C. Undemanding
D. Recognize that the Shadowees are actually busy doing their real-world work. Hence, do not impose yourself and interfere with their work.
E. Confidentiality issues
F. Don’t pass judgments; rather, ask questions (at an agreed upon time and place)
G. You are not the center of the universe. The focus is on them and their work, not on you or your work.
H. Learn about the Job for you are shadowing: Don’t talk about your job.
I. Don’t import or export a model. Rather, learn lessons.

**References:**


## Community Service Learning

Rey Ty

<table>
<thead>
<tr>
<th>I. Goal Setting</th>
<th>Why engage in service learning?</th>
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<tbody>
<tr>
<td>A. Service Learning Sessions</td>
<td>A teaching and learning approach that integrates volunteer community service with academic study to enrich learning, teach civic responsibility, and strengthening community (National Commission on Service Learning)</td>
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</tbody>
</table>
| B. Sample Community Partners | 1. Oak Crest Retirement Center  
2. Hope Haven Shelter for the Homeless  
3. Barb City Manor Retirement Center |
| C. Program Objectives | 1. To engage in inter-ethnic and multicultural dialogue (not bonding, but bridging; do not self-segregate yourselves)  
2. To develop a cadre of future leaders working toward lasting peace (leadership training through service learning)  
3. To promote a better understanding of the US (people, culture, values, and civic institutions) |
| D. Specific Objectives | 1. To sharpen your skills in conflict resolution and management, inter-ethnic cooperation and tolerance, leadership, coalition-building, & community activism  
2. To enhance the participants’ appreciation of their similarities and differences through various interactive activities that will serve as avenues for open dialogues  
3. To provide participants with tools for working collaboratively across ethnic and religious lines  
4. To develop in the participants an appreciation of the cultural, religious, and ethnic diversity of Midwest America |
| E. Service Outcomes | 1. Learning Outcomes  
   a. Enhanced learning  
   b. Active learning through meaningful work  
   c. Understanding of socio-economic issues affecting the community  
   d. Continuing reciprocal communication  
   e. Critical reflection  
2. Democracy Outcomes  
   a. Enhanced citizenship involvement  
   b. Increased understanding of issues related to diversity, ethnicity, social justice, and socio-economic tensions  
   c. Cultural awareness and breaking stereotypes  
   d. Civil participation  
3. Process Outcomes  
   a. Active involvement in community service  
   b. Mutual respect  
   c. Caring for others  
   d. Direct services  
   e. Interaction with homeless and senior citizens for which participants will normally will not have the chance |
| E. Three Views of | 1. Personally responsible citizen  
   a. donate canned goods  
2. Participatory citizen  
   b. help organize food drive |
<table>
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<tr>
<th>Citizenship</th>
<th>3. Justice-oriented citizen</th>
<th>c. work toward the elimination of hunger</th>
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<tr>
<td>F. Citizenship Commitments</td>
<td>1. “Thin” Commitment</td>
<td>a. charity-oriented church; surface; patronizing; perpetuate inequality</td>
</tr>
<tr>
<td></td>
<td>2. “Thick” Commitment:</td>
<td>b. deeper commitment; social justice &amp; social change-oriented church</td>
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### II. Preparation Component

#### A. Understanding the Service Learning Process

1. Philosophy of Service Learning:
   - Scholarship of engagement
   - Volunteer community work
   - Connections: Linking theory with practice
   - Problem Solving, critical reflection and critical social action
   - Personal transformation
   - Interpersonal development
   - Skills in Collaboration
   - Social transformation

2. Socio-Economic-Cultural Context
   - Understanding the community and its needs
   - Filling community needs
   - Social justice issues: inclusion and structures of inequality

3. Possible Placements
   - Hope Haven Shelter for the Homeless
   - Oak Crest Retirement Center
   - Barb City Manor Retirement Center

#### B. Linking Theory with Practice

1. Checklist of key concepts.
2. Matching what you have learned doing community work with the key concepts you have learned in the classroom.

- Prepare your checklist of key concepts you learn. Five-minute writing exercise.
- Critical reflection & writing: Have an e-Journal entry that shows the linkage between the concepts learned (theory) with the knowledge, skills and values you gain from the community work (practice)

#### C. Reflecting on the Experience

Answer the following questions:
1. What did you learn?
2. How do you feel?

- E-Journals and Critical Reflection Papers
- Reflection Discussion
### D. Cultivating Reciprocity by Understanding Yourself

Answer the following questions:

1. What are your social identities?
2. Assets?
3. Motivations?
4. Expectations?

Self-Inventory. Write them down.

### E. Cultivating Reciprocity by Understanding the Community

1. The agency
2. People with whom you will work
3. The neighborhood
4. Community Assets & Challenges
5. History with Northern Illinois University
6. Service Tasks
7. How to be Responsive to the Community
8. Reciprocity

Pre-Service Orientation. Take notes.

Match your “self-awareness” inventory with the needs of the community you are serving.

-Social Investigation: Social Mapping, Social Profiling

### III. Placement

1. Extent to which you are challenged
2. Active (not passive) observer
3. Engage in a variety of tasks
4. Positive contribution
5. Take some responsibilities
6. Inputs from the community partners

### IV. Conduct of Service Learning

1. Your community service is not about you: it’s about the community—the organizational partners and the beneficiaries. Keep that in mind. Don’t think of yourself as superior to them.

2. In general, practice mutual respect. Be sensitive. Don’t be rude. Don’t be disruptive. Don’t proselytize. Don’t make derogatory remarks (racist, homophobic, anti-women, etc.). Don’t condescend. For instance, don’t say: “That’s only for undergraduate students.” Don’t patronize. For instance, don’t say: “I’m doing this for the undergraduate students. They need my help. I’m helping them.” You will see for yourself that hunger and homelessness not abstract but real social issues. Your service learning puts a human face to social issues.

3. Do not self-segregate yourselves. Leave your pride at the door. Remember that first and foremost you are a in pluri-ethnic coalition engaged in social action to provide voluntary community service. Do not socialize and have fun just among yourselves (the “in-group”), such as by wearing disposable gloves, giggling, laughing, and taking funny pictures. You are there to show that you care and will provide caring services. Do not take photos of beneficiaries without their consent. Care from a belief in and feeling of connection to the others. Develop relationships.

4. Don’t be an outside voyeur looking in. Rather, be a collaborator. “Trade places” and try to think as though you were in their shoes. See yourself as the others in order to break the separation between the server and the served.

5. Link with community members. Talk with the service providers and the beneficiaries. Get emails of people you have met with whom you feel comfortable to communicate.
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<td>6.</td>
<td>Recognize differences but do not act or think that you are superior. Do not treat, look at, or talk to them as “the others.” Do not stereotype “the others.” Honor uniqueness.</td>
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<td>7.</td>
<td>Recognize similarities but do not assume too much sameness as to forget stark socio-economic-political-cultural differences. For instance, don’t think that “we are all basically similar, except that they don’t have homes.” Try to understand the underlying historical, economic, political, ethnic, gender, and cultural causes of homelessness.</td>
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<td>8.</td>
<td>Don’t judge the collaborating partners and the beneficiaries. For instance, don’t impose your cultural biases and judge that the American senior citizens are lonely because they live alone. There are different ways of experiencing how to be happy in different societies in different points in time.</td>
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<tr>
<td>9.</td>
<td>Integrate social justice issues in your service learning. Don’t call what you did as neutral and “good work.” Call oppression as oppression and work for social justice. If we cannot name oppression “oppression,” then we ourselves are involved in perpetuating it.</td>
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<tr>
<td>10.</td>
<td>Recognize that there is a power imbalance. The servers are powerful and the served as disadvantaged. Cultivate respect.</td>
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### V. Post-Service Activities

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<tr>
<td>1.</td>
<td>The requesting partners (ITO and participants) could give a certificate and tokens of appreciation. If possible, bring them along and give to the participating partner organizations upon leaving the premises. In that way, there will be no problems later regarding how to send your tokens to them.</td>
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<td>2.</td>
<td>Engage in critical reflection. In five minutes, write down what you have learned. Review the program objectives in terms of knowledge, skills and values that you are expected to learn. Match theory with practice. Your critical reflection paper is part of your journal entry for the day. Remember the principles of good writing vs. bad writing.</td>
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<tr>
<td>3.</td>
<td>Critical reflection and plenary discussions. Exchange papers, read, and discuss. Personal transformation? Implications for social transformation?</td>
</tr>
<tr>
<td>4.</td>
<td>Write a thank-you letter or email explaining what you have learned (not what you have done to help them). Do not give a critique. Send a personalized, home-made (not computer generated or printed) thank-you card.</td>
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### VI. Some Ideas for Your Mainstream or Alternative Project Plans for Implementation upon Returning to Your Own Community after the Program Ends: Charity Work or Social Change?

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| 1. | **Don’t Rock the Boat: Charity Work**  
   a. Donate canned goods and old clothes.  
   b. Provide meals for the poor.  
   c. Provide dinner once a week at a shelter for street children or orphans.  
   d. Volunteer as a clerk for a fund-raising dinner.  
   e. Donate your blood.  
   f. Tutor a poor student enrolled in a public school.  
   g. Give money to an organization with which you share a common cause (interfaith dialogue, land reform, indigenous peoples’ rights) |
| 2. | **Rock the Boat: Policy Reform or Social Reform**  
   a. Join a protest action about an important social issue (work toward the elimination of hunger).  
   b. Write a letter to a congressional leader about certain policies.  
   c. Join a non-profit non-governmental organization that works for social change.  
   d. Walk, ride a bicycle or take public transportation all the time to maintain good health, to save nonrenewable energy resources and to
keep the environment clean.

e. Organize your friends to work for a cause (environment, women’s rights, affordable housing).

f. Talk to a friend about a social issue of importance to you (racism, poverty, and social change).

g. Vote.

h. Run for public office

i. Money is important but think beyond profits alone by choosing a profession that makes a difference.

j. Develop a micro-lending project for low-income teenagers to start small businesses.
DEKALB, Ill.
IT is a Friday afternoon in this college town on the prairie, and the demonstrators at First Street and Lincoln Highway are raising a political ruckus. Some hoist signs that declare, “Stop the War!” But across the street, people are waving signs with other messages — “Support the Troops” and “Danger: Traitors” — gibing at the antiwar contingent.
Whatever their politics, a big share of the demonstrators on both sides of the street have one thing in common: retirement. Although this is the home of Northern Illinois University, with an enrollment of nearly 25,000, it is the retirees, far more than the students, who are taking to the streets to chant slogans and sing political anthems.
“People in cars drive by and wave at us,” said Cele Meyer, 84, a retired social worker who opposes the war. “Sometimes they use two fingers. Sometimes just one.”
As the number of older Americans grows, retirement for many of them means a chance to devote themselves to social and political causes. They have the time, and since they no longer need to worry about employers, they can speak out without fear of repercussions. Retirees represent a potent force in political movements of every stripe and are likely to become even more important as the number of older people increases.
Jerry Thompson, 71, a retired college-newspaper adviser, stands with the camp in DeKalb favoring military action in Iraq. “It wouldn’t have been appropriate for me to do this when I was a newspaper person,” said Mr. Thompson, who worked as a reporter and editor before joining the college.
But now he is liberated to show his conservative leanings. In retirement, Mr. Thompson became a Republican precinct captain and a village trustee. He also writes letters to editors calling for tax limits.

On the other side of the spectrum, Marilyn Kawakami, 64, a retired executive in the fashion industry, became so disillusioned with the war that she found herself “talking back to the TV at President Bush.”

She now spends much of her time volunteering for the liberal group MoveOn.org. She makes phone calls, gathers signatures for petitions and even cleans up after political rallies.

“I look at myself in the mirror sometimes and wonder where she came from,” Ms. Kawakami said. “But we’re at a period in our lives where it’s time to give back. As jaded and cynical as I am, I still think that we in America are the good guys, the guys in the white hats.”

Meanwhile in New Hampshire, Maureen Barrows, is working hard to advance the presidential cause there of Senator John McCain, Republican of Arizona. She had met him four years ago on a campaign stop, sensed “an instant rapport” and decided he was the right candidate to lead the nation.

“As people get older, they get more selective about what is paramount,” said Mrs. Barrows, 70. “And maybe it’s because I’ve now got two little grandchildren, but I think we’re coming up on the most important election of my time.”

Conservative or liberal, many older Americans are fighting for a cause, sometimes quietly, sometimes with bullhorns. Politicians know well that older people are more likely to visit the voting booth than their younger counterparts are. But sometimes it goes far beyond voting and recalls the tie-dyed demonstrations of long ago. For instance, members of the Granny Peace Brigade have been arrested in New York and Philadelphia in the last year in connection with protests over military recruitment.

Dr. Bill Pinsoff of the Family Institute at Northwestern University, said that retirement offered many people a chance to reshape their imprint on the world.

“Retirement represents an opportunity for spiritual or psychological rebirth or renaissance,” said Dr. Pinsoff. “In many cases, people engage in activities that have been long postponed. People who have devoted their lives to making money now have the opportunity to work for what they believe in.”

Dr. Phyllis Moen, a sociologist at the University of Minnesota, has written that Americans in the 21st century are witnessing the creation of a new life stage. “Just as we have seen the social construction of adolescence as a way station from childhood to adulthood during the first half of the 20th century, there is now emerging a life stage between the years of career building and old age,” she wrote. She calls this stage “midcourse.”

These are people roughly from age 50 to 75 who choose to scale back on careers, switch careers or leave the workforce. Many of them are healthy, wealthy and wise, and bring plenty of talents and experiences to whatever cause they follow.

The political clout of older people is scarcely a secret. One of the most powerful lobbies in America is AARP, which claims a membership of some 38 million people over 50, said Shereen Remez, a top official for the group. But nearly half of these “retired” people are still working, Ms. Remez added.

“The very word ‘retirement’ has taken on new meaning,” she said. “Now work — maybe a new career — is part of retirement.”

Ms. Remez said that AARP had an “e-active list” of about five million people at the ready to help push causes supported by the group. “Look back at what they were doing in the ’60s — on
the Vietnam War, on feminism, on civil rights,” Ms. Remez said. “Now the leading edge of boomers is in their 60s, and it’s just natural that they want to stay active in the affairs of the world.”

In DeKalb, activism is inspired by all sorts of earlier events. Mrs. Meyer, a former marine who was raised in the segregated South, would seem to have an unlikely background for a radical. When she was a child in Florida, she recalled, her parents would not let blacks enter the house. She joined the military at age 21 out of a sense of duty to defend America, which had been attacked at Pearl Harbor just a few years earlier.

While in the service, she read “Native Son” by Richard Wright, a book that brought home to her the cruelties visited upon blacks in American society.

In the years since, much of her life has been given over to protesting what she perceives as injustices. In DeKalb, she founded the Interfaith Network for Peace and Justice. The group has raised money for the poor in Nicaragua, staged a protest during a visit to the town by Vice President Dick Cheney and rallied against the war outside the offices of the local representative, J. Dennis Hastert, the former speaker of the House.

“I was physically dragged out of Hastert’s office,” Mrs. Meyer said with a triumphant chuckle.

Mr. Thompson, the former newspaperman, said that his group also wanted the war in Iraq done and the troops safely back home. He noted, too, that his fellow conservatives have grown frustrated at the length of the war and its rocky course.

Despite the words that were sometimes exchanged during the Friday protest and counterprotest, all the demonstrators said they celebrated the right of their foes to speak.

The rocking chairs can wait.
Ethics, Ethics as Social Equity, a Public Service Philosophy, and Combating Corruption
Curtis Wood

1. Introduce myself
2. Have them introduce themselves to me.
   a. Name
   b. Position
   c. Experience
   d. Education
3. The purpose of my talk this morning will be to elucidate three approaches to ethics and how the tensions between these three approaches to ethics can be resolved; examine the third pillar of public administration—social equity; articulate a public service philosophy that ensures the sustainability of a democratic society; postulate integrity and compliance strategies that public organizations can use to achieve the promise of democracy, and provide you with a list of resources pertaining to ethical government and public administration.
4. In the Federalist papers # 51, Hamilton, Madison, and Jay write “the aim of every political constitution is, or ought to be, first to obtain for rulers men [and women] who possess most wisdom to discern, and more virtue to pursue, the common good of the society; and in the next place, to take the most effectual precautions for keeping them virtuous whilst they continue to hold their public trust.”
5. What is ethics?
   a. According to Louis Gawthrop, ethics is morality in action (148), or applied morality. Ethics is therefore the study of moral values; ethics considers how best to think about moral values and how best to clarify, prioritize, and integrate them [moral values]” (Anthony Weston, A Practical Companion to Ethics, 2002, 3).
   a. To advance democracy in the following ways
      i. Value the rule of law,
      ii. Promote citizen participation and citizen trust in government and public administration,
      iii. Pursue the public interest,
      iv. Promote tolerance and respect for others,
      v. Promote social equity and justice,
      vi. Advance liberty
      vii. Build self-respect
      viii. What else?
7. The three approaches of Ethics
   a. Ethics as Virtue
      i. Aristotle
         1. Aristotle regarded ethics as moral virtues, to be learned and practiced as a life style.
         2. Preoccupied with the question of what is the good life?
         3. Aristotle said, “Know thyself.”
         4. Virtuous characteristics would include: prudence, courage, justice, and temperance.
         5. Other virtuous characteristics would include honor, integrity, good reputation, altruism, public spirit, wisdom, sense of personal responsibility, and character.
         6. Individuals must use their intuition, feelings, experience, and instincts to determine what is right and wrong.
ii. Alasdair MacIntyre
   1. He described virtue as the character traits that make it possible for one to engage effectively in the public administration practice by seeking to excel in achieving the public administration internal goods while keeping the external goods in a position of lesser importance.

iii. Michael Josephson (The Six Pillars of Character)
   1. Trustworthiness
      a. Honesty
      b. Integrity
         i. Acting the way one should even though no one is watching
      c. Reliability
      d. Loyalty
   2. Respect
      a. Civility
      b. Honor the worth and dignity of others
      c. Tolerance for individual differences and beliefs without prejudice
   3. Responsibility
      a. Having the capacity to reason and the freedom to choose thus making us morally autonomous. However, responsibility also means having a sense of duty for our work and obligations; thus, being accountable to others for pursuing excellence, persevering to finish the work begun, self-restraint, and for continuous improvement.
   4. Fairness
      a. Equality
      b. Impartiality
      c. Openness
      d. Due process
      e. Proportionality
      f. Equity
   5. Caring (benevolence)
      a. Caring is the heart of ethics; caring for others more than our own self-interest.

6. Citizenship

b. Ethics as deontology (principle)?
   i. Application of universal transcendent moral principles or rules such as the Golden Rule, democracy, human freedom, equality, justice, dignity, and the rule of law or internalized moral imperatives with reliance on duty and responsibilities.
   ii. Ethical principles preclude relativism (belief there are no a priori or universal transcendent principles or rules to guide administrative action) or situational ethics.
   iii. Results or consequences are not relevant, only principles matter.
   iv. Examples:
      1. Plato’s “eternal forms” through use of the intellect.
      2. Immanuel Kant’s Categorical Imperative
         a. “Act so that in your own person as well as in the person of every other you are treating mankind as an end, never merely as a means.”
      3. John Rohr’s claim that ethical standards emanate from the constitution and public administrators are constitutional trustees, which makes them statepersons and gives them great power to play the roles of administrator, legislator, and judge.
      4. John Rawls’s principles of justice
a. **Veil of Ignorance**
   i. We should design a society as if we were ignorant of what our individual position might be in that society
b. Equal distribution of rights and that any inequalities ought to be arranged for the benefit of the least advantaged.

5. H. George Frederickson
   a. Love for one’s fellow human being and loyalty to a democratic ethos.
   b. Pursuing the public interest is the primary moral obligation of the public service.

c. **Ethic as consequence (Utilitarianism/teleological)**
   i. Only consequences or results matter or are relevant.
      1. The focus is on ends, not means.
      2. Actions or intent have no intrinsic value, only results
   ii. The option with the least cost and the most benefit, financial or otherwise is therefore the best course of action.
   iii. Or the option that achieves “the greatest good to the greatest number’ or through majority rule is the most desirable
   iv. John Stuart Mill stated that all action is for the sake of some action, for example, happiness or utility (Jeremy Benthan).
      1. Mill stated that the goodness of ends couldn’t be proven; therefore he advocated a subjective reality rather than aobjective or a priori (absolute) truth.
   v. What are some shortcomings of Mill’s worldview of ethics?
      1. The editors argue that one cannot always predict consequences, and calculations that benefit the majority may not protect the minority.
      2. Desirable ends may only be achieved by violating laws or through unethical means.
         a. If laws or ethical means are ignored, then the philosophy “the ends justify the means” will prevail, and public officials will get their hands dirty.
   vi. Examples of consequentialist ethics:
      1. Machiavelli argued that persons must do whatever necessary to prosper and survive and achieve one’s objectives in an evil and ruthless world, even if it meant lying, deceiving, manipulating, tricking, and exploiting others.
      2. Thomas Jefferson was using the consequentialist ethos when he decided to purchase the Louisiana Territory without the consent of Congress and in clear violation of his strict constructionist constitutional principles to uphold and enforce the Constitution in order to preserve and protect the economic and national security of America.
      3. Abraham Lincoln was using a consequentialist ethics when he argued that it was necessary to deny citizens individual liberties to preserve the nation.
         a. He stated that one must cut off a branch to save the tree (nation), and one cannot save the branch by losing the tree.
      4. President Bush also practices an ethics of consequences by using the means of denying individual privacy or promoting secrecy through covert or to achieve certain ends such as winning the war against terrorism and to preserve national security.

d. **How are the three approaches to ethics are embodied in a professional ethics code?**
   i. Go over the ICMA and ASPA ethics codes (see overheads)
   ii. Break the group up into groups and have them read, answer, and then discuss the questions to the four ethics cases:
e. **How ethical of a public official are you?** Administer the Ethics test (11 questions)
   i. Go over the right answers and have them score themselves. Then go over the explanation for each answer, using the ICMA Codes of Ethics as the framework to discuss the answers.

8. **How does a public official resolve the tensions between the three approaches to ethics by operating within the Ethics Triangle?** (Show the overhead of the ethics triangle and explain)
   a. Go over the benefits and drawbacks of operating only on one point of the triangle.
   b. In the middle of the ethics triangle is the responsibility (duty) of a public official to pursue the public interest which embodies a commitment beyond self, obedience to regime values, accountability to the public, and a responsible steward of resources.
   c. The public interest can best be achieved by balancing or unifying the three approaches to ethics so that one can minimize the dirty hands problem, unify private (personal) and public values and convictions.
   d. By unifying the different approaches to ethics a public official can best resolve what Joseph Badaracco calls “right vs. right ethical dilemmas to achieve positive sum rather than zero sum outcomes.”
   e. Ethical dilemmas in action (Divide the class into small groups to discuss the answer to both cases):
      i. Bob, a supervisor in a large public organization, learned from his manager that their organization’s staff will be downsizing; it could be as little as 5 percent or as much as 30 percent. However, the manager told Bob that “we’re all under strict orders to keep it quiet” so that the agency’s best employees will not seek other jobs and other employees do not become upset. Soon thereafter Ron, one of the finest professionals in Bob’s unit and a longtime friend of Bob’s, told Bob that he had heard rumors of a possible downsizing. Ron asks Bob, “Will there be layoffs?”
         1. You are Bob, Ron’s direct supervisor. 1) Describe your ethical dilemma (the tensions between the three approaches to ethics) and; 2) Describe your response to Ron and the actions that you will take with others in the organization that will make it possible to operate within the ethics triangle by balancing/reconciling the three approaches to ethics.
      ii. You are the executive director of an advocacy organization, and funding is always difficult for such nonprofits, because most foundations are leery of supporting them. You have a donor who has been very generous; indeed, her gifts have underwritten a substantial portion of your budget. The organization takes a position on a local controversy in furtherance of and consistent with its mission. It turns out that the donor will be adversely affected if the organization prevails, and the donor makes it clear that support will stop if the organization doesn’t mute, or at least moderate, its position. If the donor acts upon her threat, there is no way to make up for the loss of income in the short term, and you will have to fire three long time staff members if the donor terminates support. It is possible to modify the organization’s position without looking as if you have backed off, so outside stakeholders will not know that you have succumbed to pressure unless there is a leak from inside the organization. What do you do?

9. **Ethics as Social Equity**
   a. **What is social equity?**
      i. Shafritz, Russell, and Borick (444) define social equity as “fairness in the delivery of public services; it is egalitarianism in action- the principle that each citizen, regardless of economic resources or personal traits, deserves and has the right to be given equal treatment by the political system”
      ii. H. George Frederickson says that social equity emphasizes equality in government services, responsiveness to the needs of citizens rather than the needs of bureaucracy.
iii. Social equity is the third pillar of public administration alongside economy and efficiency and other important democratic and public administration values such as individual rights, accountability, and the pursuit of the public interest.

iv. James Brunet and James Svara say, “Public administrators seek to address the effects of discrimination based on personal characteristics or the restricted prospects produced by inadequate socio-economic resources” (page 254).

b. Four types of social equity (Svara and Brunet, 2004)

i. Procedural fairness
   1. Due process and equal protection through procedural safeguards for all persons (horizontal equity)

ii. Access or distributional equity
   1. Services and benefits/obligations should be distributed equally for all groups (horizontal equity)
   2. However, it may mean that in achieving equal services and benefits less advantaged groups may receive more government resources (vertical equity).
      a. Administrative barriers that prevent those from receiving/accessing services should be rectified such as:
         i. Providing forms in multiple languages
         ii. Making programs and services accessible to the disabled
         iv. Scholarship programs for parks and recreation programs
         v. During the wintertime making allowance for low-income to have utility service and allowing them to pay their utility bill over time.

iii. Quality social equity
   1. Achieving consistency in the quality of services provided to all groups of people (horizontal equity).
   2. However, to ensure equal service quality it may mean in some situations that some persons receive more attention and resources than others (vertical equity). In order to provide safety in the inner city, for example, more police presence and resources may be allocated there.

iv. Outcomes/outputs social equity
   1. The results of government policies should be equal across groups (horizontal equity)
   2. However, a policy that applies to all persons may have different outcomes (consequences/impacts) for different groups of people and would not pass the vertical equity test demanded by the principle of social equity: For example, a law that forbids persons to sleep on park benches applies equally to all persons (in theory), but this law adversely impacts homeless persons.

c. Why is the pursuit of social equity an ethical issue?
   i. John Rawls (father of social equity) states that the equitable public administrator has the ethical duty to deploy his efforts on behalf of the less advantaged to achieve equal liberties (Horizontal equity). However, social and economic inequalities are to be arranged so they are to the greatest benefit to the least advantaged (vertical equity) The more advantaged have a moral duty to serve others and to protect their self-respect, and especially the disadvantaged because we are all interdependent and likely to share each others’ fates of their interdependence.
      1. His notion of original position (veil of ignorance) calls for policymakers to establish rules that would be acceptable to themselves regardless of their station in society
a. The veil of ignorance or original position doctrine is similar to the Golden Rule

ii. H. George Frederickson says the existence of unemployment, poverty, disease, ignorance, and hopelessness in an era of prosperity and growth is morally reprehensible and if left unchanged represents a threat to the survival of our democracy. Dr. Frederickson contends it is the moral responsibility of public administrators to seek to change law or policy that is unfair or inequitable. After all, he says, Gandhi exhorted us that poverty amid plenty is evil, and those policies and actions that favor the interests of those with plenty at the expense of those in poverty are likewise evil.

iii. Jimmy Carter, in his most recent book titled Our Endangered Values, exhorts us that the most important moral challenge we have in the 21st century is to reduce if not eliminate the disparity between wealth and poverty in the world. He says that what often divides us now is not just race but primarily between rich and poor.

d. Social Equity in Practice

i. Early Admission at Harvard
   1. Harvard’s decision to eliminate early admission beginning fall 2007. They said the current policy was unfair to low-income applicants who need to compare financial aid packages and who do not have the means and access to counselors to go through the early admissions process. At Harvard, most of the persons who use the early admissions process are wealthy students.

ii. Boston Affordable Health Care Program
   1. After 2 years of citizen input, Boston is launching a citywide “Disparities Project” aimed at reducing disparities in health care based on race and ethnicity.
   2. City has raised $1 million to implement the 12 recommendations found in the Blueprint (www.bphc.org/disparities), a plan to eliminate racial and ethnic disparities in health.

iii. Illinois Proposed Health Care Model
   1. There are 1.8 million medically uninsured in Illinois.
   2. In 2004, the Health Care Justice Act was passed that established a policy goal of ensuring that all residents have access to quality health care at affordable costs.
   3. The State of Illinois promised medical coverage to all children through KidCare, FamilyCare, and All-Kids.
   4. All Kids will extend medical coverage to about 250,000 uninsured children.
   5. A 29-member task force will deliver a reform proposal to the legislature in August to provide affordable medical coverage for all residents.
   6. The process has included public hearings in all legislative districts.
   7. The Act calls for implementing reforms by July 2007
   8. Possible reform proposals:
      a. Expand Medicaid
      b. Providing health insurance subsidies or tax incentives to small businesses.
      c. Creation of insurance pools

iv. Affirmative Action in the Chicago suburbs (Chicago Tribune, Susan Kuczka)
   1. More Latinos now live in the suburbs than Chicago (University of Notre Dame study).
   2. Despite increase in minority residents in the suburbs, there is a lack of diversity in Chicago suburban governments (Suburban Human Relations Commission).
a. 6.2% of employees at 37 suburban police departments were minorities
b. 1.2% of firefighters in 37 fire departments were minority.

3. Lake County Municipal League that represents 52 municipalities indicated that suburbs have been slow to react to demographic shifts.

4. Village of Gurney, Illinois:
   a. Has 20% minority population but hiring practices do not nearly reflect that (no minorities working at city hall).
   b. The new mayor (a woman) said that a diverse workforce makes minority citizens doing business with the city more comfortable.
   c. The Village has recently formed a panel to study ways to increase minority representation in the workforce.

5. The city of Aurora contract diversity urged (Jo Napolitano, Chicago Tribune, April 29, 2008)
   a. The Aurora city council wants to award more contracts to minority owned businesses so the contractors look like the makeup of the community and so minorities will have a better quality of life and enjoy the benefits of a prosperous community.
   b. They found that minorities make up 53 percent of the city’s population but minority owned businesses account for less than 2 percent of all contracts.
   c. The governing body will consider the following policies:
      i. An affirmative action program
      ii. A quota ordinance

v. Affordable Housing

1. The Illinois Law for Fair (Affordable) Housing
   a. In a 2003 Illinois law, the state passed an affordable housing law to make housing in suburban communities affordable to teachers, firefighters, and police officers, reduce congestion, and urban sprawl.
   b. Affordable housing is defined as a $160,000 home for a family of four.
   c. The state law mandates a minimum of 10% affordable housing stock.
      i. There are 49 cities on that list.
   d. Cities on the list are required to file an affordable housing plan with the Illinois Housing Development Authority to meet the requirement.
   e. If cities do not turn in plans or comply with the law they will be subject to a state affordable housing board that can override local zoning decisions starting in 2009.
   f. Home-rule communities are exempt from the statute.

2. Kane County
   a. County planning director Kai Tarum said that between 1990 and 2001 housing values increased 67% but income only increased 52%.
   b. Single-family home prices are growing 6 times faster than income.
   c. Tarum indicated the need for affordable housing is going to continue to increase.

3. Strategies used by cities in the region to promote affordable housing?
   a. Set asides
      i. City of Chicago
         1. Developers who receive bargain-rate financing through the city or who buy city owned property at
discount rates are required to set aside 20% of their units at affordable prices.

2. A plan offered by Alderman Preckwinkle would require a 15% set aside for developments of 10 or more units, applying to all new construction in the city.

ii. St. Charles has an ordinance that 10% of the new housing must be set aside for low to moderate income persons (60% of the area’s median income) or the developer must make a cash contribution.
   1. There is a Trust Fund that is financed by these donations and a real estate transaction fee when homes are sold in the city.
   2. Proceeds in the Trust Fund go to building or rehabbing housing.
   3. Non-profit organizations can obtain low interest loans to construct or renovate affordable homes.

iii. Spring Grove has set-asides.

iv. Evanston considering set asides that require developments of more than 24 units to set aside 10% of the units for affordable housing.

v. DeKalb does not have set asides.

b. Land trust in Highland Park
   i. A not-for-profit organization uses money from a land trust created from teardown fees to buy land and build affordable housing and then sell the building but not the land to eligible applicants.
      1. Applicants then lease the land from the not-for-profit and the money goes into the revolving Trust Fund.

c. Incentives such as impact fee and density exemptions (exemptions from smaller lot sizes, narrower streets) to developers that build affordable homes.

d. Federal and State low-income housing tax credits for developments that promote mixed-income housing.

e. Federal tax credits for companies that help eligible employees buy or rent homes.

f. Use of federal community development $ to renovate older buildings in downtown areas.

g. The City of DeKalb used a TIF project (Pond-Fisk neighborhood) to mandate the developer build affordable homes for a maximum amount.

h. Employer (including cities) assisted housing subsidies.

i. Cities such as Evanston contribute to a non-profit agency that subsidizes down payments or helps families obtain low-interest mortgages.

4. 2006 Illinois Affordable Housing Report
   a. A 35-member panel appointed by the Illinois Governor suggested steps to improve the use of $690 million in state and federal money earmarked for affordable homes and apartments.

vi. Economic Development
   1. Eminent domain
a. The U.S. Supreme Court has recently ruled in the New London, Connecticut (Kilo) casethat municipalities can condemn property for private economic development purposes and then transfer the land to a private developer provided the municipality pays a fair price for the property.

b. In Illinois, cities cannot condemn property until they determine an area is blighted, that economic development would not happen without acquiring private land, and property owners are justly compensated.

c. The City of DeKalb doesn’t condemn properties. Instead they buy up property when downtown commercial property goes on the market

vii. Racial Profiling

1. About 2/3 (22) of the 33 police departments in DuPage County stopped a disproportionately large number of minority drivers in 2004. (Tribune, June 14, 2005), in that the percentage of minority drivers stopped is higher than the percentage of residents of driving age who are minority—an indication there may be racial profiling going on.

2. Police stats in Mt. Prospect show that 31% of the drivers stopped in 2004 were minorities, although 24% of the driving residents were minorities (Tribune, July 1, 2005), an indication that this city is engaged in racial profiling.

a. Statistics are similar in Chicago, Elgin, Lake in the Hills, and Des Plaines.

3. However, Schaumberg, Arlington Heights, Crystal Lake, Woodstock, and McHenry stopped minorities at a rate equal to or less than their proportionate share of their driving minority population.

4. In 23 departments, minorities were more likely to be given a citation than whites and in 22 departments minority cars were more likely to be searched

5. What are some limitations with how racial profiling is measured?

a. The methodology does not take into consideration that many of the alleged violators do not live in the community where the alleged offense takes place.

i. The ratio can be skewed in cities where the daytime minority population swells substantially.

6. This limitation can be overcome by calculating the ratio on a regional basis, but then it is impossible to know how each municipality is performing.

viii. The War on Poverty: The Living Wage Ordinance

1. Advocates to fighting poverty, human dignity, and human rights have turned to states and cities for pursuing a living wage for underpaid workers who fall below the poverty line.

2. There are 22 states with minimum wages more than the federal level.

3. The first city living wage was in Baltimore in 1994. Since then, 140 municipalities have approved a living wage ordinance, but strong business opposition has blocked many attempts to approve a living wage ordinance.

4. Santa Fe, New Mexico recently approved a living wage of $8.50 now and rising to $10.50 by 2008 for all businesses in Santa Fe with at least 25 employees. The Santa Fe comprehensive ordinance applies to all businesses over 25 employees

5. New Orleans and Santa Monica, California enacted living wage ordinances nearly identical to Santa Fe’s but both were overturned by the state supreme court in Louisiana and by voters in Santa Monica.
6. Municipal living wage ordinances take many forms:
   a. Requiring government contractors to offer a living wage set by the municipality
   b. Requiring firms that receive a tax incentive/exemption to offer a living wage usually tied to some regional industry wide standard.

10. A Public Service Philosophy
   a. A public service philosophy emphasizes the pursuit of the public interest based on accountability to and love of regime (democratic) values, citizens, professional standards and ethics, personal virtues, and political and judicial superiors.
   b. This commitment will make it possible for individual, organizational, and community interests to be mutually and simultaneously realized (Jerome McKinney and Lawrence Howard, 1998)
   c. The goal of public service is to assist in promoting civility when finding the most efficient, effective, just, and equitable way to achieve public ends that achieve the public good (Jerome McKinney and Lawrence Howard, 1998)
   d. The establishment of a public service philosophy is in keeping with the highest purpose and expectations of our Founders who wanted public servants to have “firmness, courage, endurance, industry, strength, and above all unremitting devotion to the weal of the public corporate self, the community of virtuous men…. Every man gives himself totally to the good of the public as a whole” (Forest McDonald, 1985).
   e. In executing the public service philosophy, public administrators become the guardians of democracy (Jerome McKinney, 1995) and deliver democracy (Janet and Robert Denhardt, 2003)
   f. What are the tenets of a public service philosophy that establishes a sustainable democratic society? (Jerome McKinney and Lawrence Howard, 1998)
      i. Public administrators practice democratic governance by empowering subordinates, promoting citizen participation, good citizenship, and citizen sustainability.
      ii. Commitment to greater transparency and openness in government.
      iii. Committed to improved communication and decision-making.
      iv. Public administrators demonstrate ethics as virtue: personal integrity, honor, courage, and service to one’s community, state, and nation.
      v. Public administrators balance loyalty and accountability to professional standards and ethics, the constitution, the rule of law, regime (democratic) values, citizens, and political and judicial superiors in the pursuit of the public interest.
      vi. Pursue enlightened self-interest by advancing both self-interest and public interest, but making self-interest subordinate to the public interest when there is a conflict between the two.
      vii. Resist special interest pressures.
      viii. Integrate ethical incentives into decision-making processes and conduct ethics training.
      ix. Practice social equity
         1. When making a decision ask whether the decision will be efficient, effective, and fair for the least powerful and advantaged in the community.
      x. Recruit and advance the best-motivated and brightest minds.
   g. Be prepared to leave you office far more capable of meeting the needs of citizens than when you assumed office.
   h. I want you to take 15 minutes and write up a half page public service philosophy you would like to live by.

11. Corruption
   a. What is corruption?
i. Peter DeLeon defines corruption as “a cooperative form of unsanctioned, usually condemned policy influence for some type of personal gain, in which the currency could be economic, social, political, or ideological remuneration” (page 207 in Frederickson and ghere)

b. Types of corruption involving public officials or persons doing business with government?
   i. Waste
   ii. Fraud (Deception/misrepresentation)
   iii. Lying
   iv. Concealing information (Secrecy/cover-up) rightfully public knowledge
   v. Cronyism
   vi. Insider trading
   vii. Abuse of authority
      1. Bullying, intimidation, retaliation, discrimination, coerce, harassment, use of profanity, throwing furniture, improper use of power and authority.
      2. Acting as though one were above the law
      3. 
   viii. Bribery
   ix. Kickbacks
   x. Patronage for civil service positions
   xi. Conflict of Interest
      1. Financial
      2. Family
      3. Nepotism
   xii. Embezzlement
   xiii. Influence peddling
   xiv. Violating norms of professional integrity
   xv. Failure to take personal responsibility for unethical behavior
   xvi. Other forms of corruption?

c. Integrity and Compliance Approaches to Combat Corruption (Handout to Discuss)

12. Resource List Pertaining to Ethics and Social Equity (Handout)
13. Other Questions or Comments???
Integrity and Compliance Strategies to Combat Corruption and Build A More Ethical Organizational Climate
Curtis Wood

1. Integrity Approaches (positive; high road, internal controls; values approach)
   a. Teach and inculcate moral reasoning by unifying principles, virtues, and good consequences.
   b. Recruit, train, promote, and develop professional managers.
   c. Promote good management and leadership
      i. Lead by example. In other words, set the moral climate for the organization.
      ii. Managers should have an open-door policy and manage by walking around.
      iii. Practice a democratic style of management/leadership.
   d. As managers, embrace dissent by inviting a diversity of opinion from the people around you (Sean O’Keefe, former NASA administrator)
   e. Hire, train, and reward virtuous and public regarding employees
   f. Enhance accountability by promoting citizen involvement through informational, participative, and reputational strategies.
      i. Citizens should have the opportunity to participate in government through boards, commissions, advisory bodies, focus groups, citizen academies, citizen surveys, and e-governance methods.
   g. There should be regular press conferences
   h. Practice professional integrity
      i. Become a guerrilla bureaucrat when necessary (Rosemary O’Leary).
   j. Managers should consider whistleblowers as the canaries of government and not as disloyal or insubordinate.
   k. Keep white lies to a minimum as white lies can become a habit and lead to more serious lies and cover up (Sissela Bok).
   l. Practice openness through release of public information, health records and condition (Cory Franklin), tax records, and financial/economic interests.
   m. In some instances, preserve and protect the confidentiality of individuals to protect their privacy.
   n. Conduct an ethics audit
   o. **Other integrity strategies to combat corruption?**

2. Compliance Approaches (negative; low road; external controls)
   k. Enforce ethics codes and prosecute violators
   l. Develop, support, and enforce an ethics policies:
      i. De Minimus gift and meal regulations
      ii. Nepotism policies
      iii. Sexual harassment policies
      iv. Control of employees’ outside employment
      v. Conflict of Interest
      vi. Disclosure
   m. Institutional/structural characteristics for combating corruption
      i. Politics-administration dichotomy but policy-administration duality
      ii. Council-manager form of government
iii. System of checks and balances and internal purchasing, personnel, and accounting controls.

iv. Creation of an Ethics Commission or Ombudsperson

v. Create an independent private sector inspector general (Frank Anechiarico) to manage contractors and act as management consultants.

vi. Government should consider creating an independent central authority (centralized purchasing) to authorize purchases as is done in European countries or an independent third party.

n. Zero tolerance for corruption but do not exaggerate the presence of corruption (Ed Koch, former Mayor of New York)

o. Federal, State, or local laws
   i. Campaign finance reform
      1. Public financing of political campaigns (Ed Koch)
      2. Campaign contribution individual limits
      3. Laws restricting campaign contributions from firms that have contracts with the government.
   ii. Sunshine laws
      1. Disclosure requirements to prevent actual or perceived conflicts of interest
      2. Open meetings laws
      3. Open records laws
   iii. Revolving door regulations
   iv. Whistleblower protection statutes
   v. Lobbying regulations
   vi. Prohibit travel paid by private firms
   vii. Earmark restrictions
   viii. Conflict of interest statutes
      ix. Adopt a false claim act based on the logic of Qui Tam (One who brings the action for the king as well as for one’s self), allowing citizens or public/private employees to take action in court against the fraudulent activities of the contractor or the government.
      x. Approve a law requiring employees to report corruption or lose his/her job.
   p. Provide the necessary tools, wages, rewards, incentives, so that employees do not feel the need to satisfy these needs using extra-legal or unethical means.
   q. Enhance transparency by having televised meetings
   r. Government should only contract with reputable, honest, and transparent firms and provide diligent oversight and evaluation of contractor performance.
   s. When government contracts with the private sector, first consider doing more work in-house, use performance contracts, move away from no-bid or sole-source contracts, go to fixed-price or not-to-exceed contracts, and when contractors have been found corrupt suspend payments on the contract, prevent companies from bidding in the future, and file civil or criminal law suits to receive payment.
   t. Public administrators must be prepared to root out corruption among us.
   u. Conduct independent external and internal financial and performance audits as well as ethics audits that measure the ethical climate of an organization.
v. To counteract corruption, government should focus on outcomes and efficiency performance measures, thereby increasing accountability.

w. By making bureaucracy more efficient, there is less reason for political appointees to act in an extra-legal manner by taking matters into their own hands.

x. **Other compliance strategies to combat corruption?**
Are You an Ethical Official?
Curtis Wood

Everyday you, as a public official, face situations in which your personal and professional integrity and ethics are tested. Below there are eleven ethical dilemmas where you must answer either as a “Yes” or “No”. Please reference the ASPA and ICMA Codes of Ethics for guidance, when applicable, in answering the ten ethical dilemmas.

After you have completed your answer, please indicate why you answered the way you did in the space provided, referring to the appropriate section in either the ASPA or ICMA Codes of Ethics.
You can also score and interpret your responses in accordance with the instructions provided.

1. The board of directors of the chamber of commerce has an annual weekend outing at a resort some miles from your city. During the weekend there is golf, tennis, swimming, card games, dinner dances with entertainment, and many cocktail parties. During the day there are sessions at which the chamber board reviews progress for the past year and discusses plans for the coming year. For several years, the city has budgeted a membership fee for the Chamber. You are a council member or the city administrator, and you have been invited to the weekend outing with all expenses paid by the chamber. Do you accept the invitation and go for the weekend free of charge? Yes   No

2. You are the professional city manager of a city. You have been asked to speak at a Sunday brunch meeting of the city council of another city 5 miles away. They want you to tell them about your city’s cost-reduction program, in anticipation of a Proposition-13 type measure that is being proposed by the citizens of their community. At the conclusion of your appearance, the chairman hands you an envelope containing an honorarium check for $250 and explains that “This is in appreciation of you giving up your Sunday morning.” Do you accept the honorarium? Yes   No

3. You are a legislator/council member and you chair the committee that oversees procurement contracts, including plumbing supplies. For many years, you and Frank Jordan have been friends. Your spouses are also good friends. For many years Frank and his wife have taken you out to dinner for your birthday and paid the entire bill. Frank owns the largest plumbing supply business in the state and does more than $500,000 in business each year with your government. Your birthday is coming up and Frank and his wife have invited you and your spouse out to celebrate your birthday at the best restaurant in town. Do you accept? Yes   No
4. Police officers on three adjacent beats meet each day for lunch at a restaurant near a point where the three beats intersect. They usually have a sandwich, a drink, and a dessert. You are a police officer and you were just assigned to one of the beats. When you try and pay for your lunch, the proprietor says “No charge. I am glad to have you officers around.” The other officers leave without paying. Do you pay your check? Yes  No

5. You are the head of a government department that employs Henry Settles. Henry has worked in your department for a long time. He is conscientious, perhaps too much so in the view of many of his fellow workers. He is always at work on time, always puts in his hours, and works hard. But he expects others to do the same and frequently complains about others who are tardy or who take long lunch hours or call in sick when almost everyone knows they are not sick. Recently, Harry reported to you that some employees of the department were using city automobiles to drive to pro football games in a city about 70 miles away. You put a stop to that but Henry has been persona non grata with many of the employees of the department since he “ratted” on them. Henry is a leading candidate for a supervisory position in the department, supervising persons who do the kind of work that Henry has done for 20 years. Do you promote Henry? Yes  No

6. A new civic plaza is included in the plans to restore the downtown area of your city. The bond issue for developing the plaza that was passed three years ago is already too little to assure completion of the project due to inflation. A developer who wants to erect a high-rise building near the plaza offers to buy a large tract of undeveloped land in the plaza area and donate it to the city, as a trade-off for permission to construct his proposed building higher than the present zoning restrictions will permit. He has privately made this offer to you, the city administrator, and the developer has offered you a bonus of $5,000 if you forward the offer to the council with a positive recommendation, subject to a positive decision by the city council. Do you accept the deal? Yes  No

7. You are the city administrator of a small town. You have been asked by a city council member to place a campaign reelection sign in your yard and to make a campaign contribution to his reelection campaign. The council member has been very supportive of your policy recommendations and was on the first council that hired you. Do you agree to place the campaign sign in your yard? Yes  No
8. You are the mayor of a city who is the chair of the liquor board that makes decisions about liquor licenses. Your favorite brand of Scotch is Chivas Regal, but you don’t buy it too often because it is so expensive. You have told this to the liquor dealer from whom you buy your booze. It is kind of a joke between you two. “Think rich and drink cheap” you sometimes remark when you buy the least expensive brand. The liquor dealer gets in trouble for gambling and his license is in jeopardy. The week prior to the hearing on the suspension of his liquor license, you purchase an inexpensive scotch from the same liquor dealer. When you get home you surprisingly discover that in the sack with your bottle is also a bottle of Chivas Regal. Do you keep the liquor? Yes   No

9. You are the Finance Director of a small local government. The city administrator, who is leaving the city voluntarily to work in the private sector, has directed you to have the payroll clerk pay him for all accrued sick leave. He informs you that the mayor has approved the payment. The personnel manual permits a rank and file employee to receive 50% of all accumulated sick leave upon termination. You read the city administrator’s contract with the council and find a provision that authorizes payment for all accrued sick leave only if the administrator is fired. Do you obey the city manager’s directive? Yes No

10. You are a city administrator of a small town. The mayor has asked you negotiate a no-bid contract to a construction firm whose owner is a personal friend and financial supporter of the mayor. You were just hired last week and you are not certain about what the town’s procurement and bidding policies are. Do you comply with the mayor’s request? Yes   No

11. You are the department head of a large city government, and Hazel Smith is one of your most valued employees. She is an accounts payable clerk who pays the city’s bills. She has worked for you for years and is the kind of worker you can depend upon to put in the extra time and effort when it is needed. She has always been there during a crisis and several times she has handled situations that would have been uncomfortable for you. You really owe her a lot. Recently, Hazel came to you and admitted that for some time she has been having financial difficulty, and as a result she has been using the city credit card to pay personal bills, and then reimbursing the city when she could afford to pay it back. She is telling you because her conscience has been bothering her. Do you fire her? Yes No
How to score your answers

Points are awarded for each question on a weighted basis, as indicated below, for a “Yes” or “No” answer. Circle your score for the answer you gave on each question. Then add your total number of points for your “Yes” and “No” answers. Add the two sub-totals together to obtain a “Grand Total” score. The lower your score the more ethical you are. A perfect score is “11.” The highest possible score is 27.

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Sub- Total Score

Grand total score__________ (add the points in the two columns above)

Below are the possible ethical categories:

Score of 11-15 = High ethical standards- a dedicated public servant who sets an excellent example and makes excellent ethical choices.

Score of 16-21 = Marginal and inconsistent ethical behavior. You need to do some serious ethical reflection on your own vulnerability to unethical practices.

Score of 22-27 = Low ethical standards. You are not committed to upholding ethical values or pursuing ethical reasoning. You need ethical training and counseling.
Four Cases Involving Ethics  
Curtis Wood

1. You are the city administrator of a small town. You have been asked by a city council member to place a campaign reelection sign in your yard and to make a campaign contribution to his reelection campaign. The council member has been very supportive of your policy recommendations and was on the first council that hired you.

   a. What is your response and why?
   b. What approaches to ethics did you use?

Please cite the relevant ICMA and/or ASPA ethics code tenets. What approaches to ethics did you use?

2. You are a city administrator of a small town. The mayor has asked you negotiate a no-bid contract to a construction firm whose owner is a personal friend and financial supporter of the mayor. You were just hired last week and you are not certain about what the town’s procurement and bidding policies are.

   c. How do you respond to the mayor’s request? How do you defend your position?
   d. What approaches to ethics did you use?

Please cite the relevant ICMA and/or ASPA ethics code tenets. What approaches to ethics did you use?

3. You are the Finance Director of a small local government. The city administrator, who is leaving the city voluntarily to work in the private sector, has directed you to have the payroll clerk pay him for all accrued sick leave. The personnel manual permits a rank and file employee to receive 50% of all accumulated sick leave upon termination. You read the city administrator’s contract with the council and find a provision that authorizes payment for all accrued sick leave only if the administrator is fired.

   a. As the finance director, what action do you take?
   b. What is your response to the city administrator? Why? What approaches to ethics did you use?
   c. Please comment upon the behavior of the city administrator.

(Please cite the relevant ICMA and/or ASPA ethics code tenets. What approaches to ethics did you use?)
4. You, as the Finance Director of City X, have had a long and close working and personal relationship with a financial adviser from XYZ Company, a company who serves as the financial adviser for many cities around the country. The current contract allows the financial adviser to serve both as an adviser and to bid on bond issues. You are pleased with the service the city has received from the financial adviser and there has never been a conflict of interest situation due to the fact the adviser serves both as an adviser and a purchaser of bonds. The financial adviser’s underwriting firm seldom wins the bid to purchase the bonds and the city council has agreed to allow the adviser’s underwriting firm to submit a sealed bid for each bond sale.

You have been asked by the city administrator to develop a request for proposal (RFP) and go out for bids for a financial adviser because it has been 15 years since bids were done, there have been other companies putting pressure on the city council and administrator to do business with the city, and the council and some citizens believe you are too cozy with the current financial adviser. Three bids are submitted. One bidder is the current financial adviser. A second bidder doing business in City X has also proposed to serve both as adviser and potential bond underwriter. However, the local firm has had limited experience with municipal governments. A third bidder, an out of state firm with a national reputation, would only serve as the financial adviser on all bond issues—never as an underwriter (purchaser of the bonds).

The costs and fees are almost identical among the three bidders. A committee has been formed made up of yourself, the city administrator, the assistant finance director, a city council member, and the city attorney.

**a.** What position should you take on this issue? Why? How do you defend your position? Please cite the relevant ICMA and/or ASPA ethics code tenets. What approaches to ethics did you use?
A Responsible and Accountable Public Administration
Curtis Wood

1) How responsibility and accountability defined, and what is the distinction between responsibility and accountability?
   a. Responsibility (for)
      1. Definition of responsibility:
         a. Tasks, duties, obligations, and formal and informal power (authority) that are required to be performed by a public administrator and the personal qualities (competencies, virtues) required to efficiently, effectively, and equitably execute the tasks, duties, obligations, and authority (ASPA)
         b. It is the responsibility of the public administrator to balance/reconcile (unify) the three approaches to ethics to achieve the public interest (Wood).
      2. What are some responsibilities of a professional?
         a. To become competent and virtuous
            i. To achieve virtues such as trustworthiness, integrity, openness, and beneficence.
            ii. To take responsibility for errors or omissions, decisions, behavior of oneself and those who report to you (the buck stops with me).
         b. To uphold the rule of law
         c. To conform to professional standards, codes of ethics, laws, and constitutional principles.
         d. To achieve the greatest good to the greatest number without sacrificing minority rights, individual liberties, social equity, or one’s virtue (Pareto optimum outcomes).
         e. To support the democratic process.
   b. Accountability (to)
      1. Definition
         a. Public administrators are answerable to and must account to both external and internal controls:
            i. External controls:
               1. Political superiors, managerial superiors, employees, citizens, laws, standard operating procedures, the Constitution
            ii. Internal controls:
               1. Adherence to internalized virtues, personal and professional ethical principles, professional standards of excellence, and regime (democratic) values

2) What are the traits and qualities of a professional?
   a. William Hansell (2002)-former executive director of ICMA
      1. Commitment to pursue the public good and service to others.
      2. Mastery of a commonly accepted body of knowledge
3. Formal admission to the profession through a test or certificate of competence
4. Adherence to a Code of Ethics
5. Remain politically impartial but not morally or policy neutral

b. James Svara’s view of professionalism
   1. Professionals base policy on need rather than demands or wants
   2. There is an emphasis on long-term interests of the community as a whole
   3. Professionals promote equity and fairness
   4. Professionals recognize there is an interconnection among policies.
   5. Professionals advance broad and inclusive citizen participation
      a. They promote transformational rather than transactional (interest group) politics.

3) How can democracy and bureaucracy be reconciled: Two major theories of administrative power and democratic accountability
   a. Dichotomy of politics/policy and administration (independence)
      1. Politics is the expression of policy, the expression of state will, and Administration is the execution of the state will (Frank Goodnow)
      2. Woodrow Wilson (The Study of Administration, 1887)
      3. He said that administration and bureaucracy could be ideally reconciled with democracy by the separation of politics from administration and administration from politics.
      4. Wilson also advocated a science of management which advocates a separation from means and ends, with administration focusing on the means and elected officials focusing on the ends
         a. Neither politics nor administration should meddle with the other.
         b. The firewall between politics/policy and administration is the ideal (see Figure 2.1 on page 18 of Chapter 2)
   c. Why did Wilson believe the dichotomy was the ideal way to reconcile democracy with bureaucracy???
   5. However, in departure from the dichotomy and perhaps in contradiction to the dichotomy, Wilson thought public administrators could enforce the public interest and they deserved large powers and much discretion. Consequently, this role envisions that public administrators will make, interpret, enforce, and perhaps even adjudicate policy. This fact has led some PA theorists to claim that Wilson advocated a dichotomy between politics and administration but not policy and administration.
   6. Wilson advocated centralized authority of administrators rather than a diffusion of power as envisioned by the Constitution to ensure maximum accountability of lower and mid-level managers to the chief executive officer (either the city manager or the elected chief executive).

b. Bureaucratic Politics (overlap of policy and administration)
1. This theory contends there is and should be little separation between policy and administration, that public administrators are public spirited and can be trusted to act ethically and in the public interest, and that they should be given much discretion and independence (Frederickson, Carl Friedrich, John Rohr, and Charles Goodsell) Dwight Waldo, John Gaus, and Herbert Simon argued that one couldn’t separate policy from administration, fact from value.

2. According to John Gaus (1931) and Dwight Waldo (1952), a theory of public administration means in our time also a theory of politics (policy).

3. Etzioni saw the relationship between politics (policy) and administration as a continuum and not a dichotomy.

4. H. George Frederickson argues there may be as much bureaucratic control over policy as there is legislative control over administration.

5. Seidman and Norton Long said that government organization has more to do with power and politics than economy or efficiency.

c. Four models of bureaucratic politics (Show and explain the overhead)

1. Political control over bureaucracy (bureaucratic dependence)
   a. Rational choice theory assumes that bureaucrats are not responsible, self-interested, self-maximizing, and out of control and there is goal displacement (Gordon Tullock and William Niskanen; Theodore Lowi)
   b. Democracy and bureaucracy can be reconciled through more political and external control of administration (Finer).
   c. The rational choice model also assumes that public administrators should be given little discretion to make policy and to implement that policy (Finer).
   d. This theory is also characterized by the separation of policy/politics and administration and a hierarchical relationship between elected officials and public administrators.
   e. Principal-agent problems envisioned by rational choice theory
      i. Information asymmetry
         1. Agent (administrators) has undue power through information that the principal (elected officials) doesn’t have.
      ii. Moral agency
         1. The agent and the principal do not share the same goals or values
      iii. Adverse selection
         1. The principal cannot possibly know the actions or performance of the agent as the
agent has too much discretion and independence.

iv. As a result, overhead democracy (Emmett Redford) is required
   1. In order to hold the agent (administrators) accountable to the elected officials (principals) and the popular sovereignty, a hierarchical relationship is established between elected officials and public administrators.
   2. At the top of the hierarchy are the citizens who elect their leaders, and appointed professionals are subordinate to both citizens and elected officials.

f. Herman Finer (1940)
   i. He argued for little discretion for public administrators and comprehensive external controls by political principals to ensure administrative responsibility and accountability.
   ii. He argued that professional standards, duty to the public, and the pursuit of technical efficiency are auxiliaries and still require public and political control and direction.

g. Juridical democracy (Theodore Lowi)
   i. Lowi, in the *End of Liberalism* contends that interest groups capture bureaucrats and Congress needs to delegate little discretion to bureaucrats by making laws very specific.

h. Critique of the rational choice model
   i. Little evidence that bureaucrats are out of control and not responsive to their political superiors or citizens (H. George Frederickson)
   ii. According to Wood and Waterman (1994), capture theory does not hold water.

2. Public Service Model (political dependence and bureaucratic independence)
   a. Characterized by internalized professional, ethical controls by public administrators and much discretion and little external control from elected officials.
   b. Proponents contend that bureaucrats are guided by public service ideals to achieve the public good through democratic means.
   c. Proponents contend that bureaucrats have obligations beyond only allegiance and conformance to external superiors such as elected officials, but also must be responsive to other superiors such as citizens, the courts,
their personal and professional ethics, and constitutional (regime) values.

d. **George Frederickson** describes public administrators as citizen representatives who are able to define the public good on their own authority.

i. Consequently, public administrators should have much discretion and independence to make policy (Frederickson, Karl Friedrich (1940), John Rohr, and Charles Goodsell).

ii. In “Public Management and the Visible Hand”, Frederickson argues that the visible hand of the professional manager is essential for effective government and as such it is not wise to worry too much about democratic accountability of public managers to elected officials. Instead, elected officials must grant public managers considerable discretion and independence from the elected officials to implement and enforce policy.

e. **James Q. Wilson** demonstrated empirically that Federal agencies given clear objectives and autonomy are more successful.

f. **Steven Maynard-Moody, Lipsky, and Karl Friedrich** argue that bureaucrats improve upon policy by making it more humane and fair.

g. **Debra Stewart** argues that individuals in public organizations remain responsible for their actions and decisions regardless of their administrative role. Individuals are moral agents, not the organization. Individuals cannot hide behind their roles, behind organizational imperatives, or managerial superiors.

h. **Dennis Thompson** would agree that employees must avoid the ethic of neutrality and structure by remaining morally neutral in the face of injustice and inequity and by blaming others or the system rather than themselves.

i. **Adams and Balfour** also believe persons should not submit to the ethic of neutrality and structure but should exercise moral discretion and reasoning to defeat administrative evil. Those public administrators who conduct administrative evil (whether masked or unmasked) are responsible for their actions. They say that PA must become aware of the potential for evil by the state and its agents and PA must become infused with personal and professional ethics, social and political consciousness, and a public ethics that recognizes administrative evil and refuses to act as an accomplice.
3. **Representative bureaucracy model (political dependence and bureaucratic independence)**

   a. Contends that bureaucracy and democracy can be reconciled when bureaucracy has a diverse workforce that represents the profile of the American people.
      
      i. A representative bureaucracy will be positioned to better understand and represent the average American and the decisions and policies will be more reflective of the preferences of the American people.

   b. When bureaucracies are representative of the community demographically then bureaucrats become citizen representatives and have authority and legitimacy in their own right.

   c. Kingsley and Norton Long argue that bureaucracy is in fact more representative of American people in terms of decisions and policies because bureaucrats represent the diversity of the American people demographically, and more so than elite elected bodies such as the Congress or even the President (Kingsley).

   d. Case study: Chicago suburbs (Chicago Tribune, Susan Kuczka)
      
      i. More Latinos now live in the suburbs than Chicago (University of Notre Dame study)
      
      ii. Despite increase in minority residents in the suburbs, there is a lack of diversity in Chicago suburban governments (Suburban Human Relations Commission)
          1. 6.2% of employees at 37 suburban police departments were minorities
          2. 1.2% of firefighters in 37 fire departments were minority.

   iii. Lake County Municipal League that represents 52 municipalities indicated that suburbs have been slow to react to demographic shifts.

   iv. Village of Gurney, Illinois
      
      1. Has 20% minority population but hiring practices do not nearly reflect that (no minorities working at city hall).
      2. The new mayor (a woman) said that a diverse workforce makes minority citizens doing business with the city more comfortable.
      3. The Village has recently formed a panel to study ways to increase minority representation in the workforce.
e. Krislov suggests that it is not necessarily the case that bureaucratic decisions by persons who are women or minorities are more responsive or favorable toward minorities and women in the population.
   i. The research is mixed on this issue.
4. Constrained power and accountability models (interdependence)
   a. McKinney and Howard: Power and accountability must be reconciled and balanced through not only external controls from executives, legislatures, citizens, program beneficiaries, courts, media, and peers, but also through internal controls reflected in public administrators’ personal sense of right and wrong, professional norms and standards, and their loyalty to the constitution and regime (democratic) values.
   i. Administrators should have sufficient discretion and independence to effectively and efficiently administer to the day-to-day affairs of government on the ground but at the same time there must be sufficient accountability to and oversight by political superiors and citizens to ensure proper adherence to popular democracy.
   ii. Administrators who follow the “public service ethic” can reconcile democracy and bureaucracy.
      1. Public administrators practice democratic governance by empowering subordinates, promoting citizen participation, good citizenship, and citizen sustainability.
      2. Public administrators pursue the public interest
      3. Commitment to greater transparency (openness in government)
      4. Improved communication and decision-making with citizens, elected officials, and employees
      5. Public administrators exercise internalized controls
         a. Public administrators demonstrate personal integrity, honor, courage, virtue, and service to one’s community, state, and nation
      6. Public administrators accept external controls
         a. Public administrators demonstrate loyalty to the constitution, the rule of law, and overhead democracy
b. Robert Golembiewski’s “more and more hypothesis” (responsible freedom)-Show overhead
   i. Greater administrative responsibility and accountability leads to more trust of administrators by political and managerial superiors and citizens, which then results in more influence (power)/autonomy for public administrators, which then results in more responsibility/accountability, which then results in greater trust, ad infinitum in a circular fashion
   
   ii. Overhead of the more and more relationship

c. James Svara (2001; 2004) contends that elected officials and public administrators play reciprocal roles in that there is shared governance and interdependence, that which he calls “the zone of complementarity.” (See overhead)
   i. In the zone of complementarity there is medium to high political control over bureaucracy and also medium to high administrative independence and discretion.
   
   ii. Politicians blend control and delegation and administrators blend independence and deference.
   
   iii. City administrators hold elected officials accountable for “good public policy” and elected officials hold city administrators responsible for “good administration.”
   
   iv. Elected officials and public administrators:
       1. Are interdependent
       2. Share governance
       3. Have mutual respect
       4. Advise each other
       5. Have a continuing dialogue

d. In his Dichotomy-Duality Model, James Svara argues there is a dichotomy of mission and management functions and a duality (overlap or shared responsibility) of policy and administration (See overhead).
   i. The common and ideal model is a cooperative model of shared governance between policy and administration.
   
   ii. Svara calls this the Neo-traditional Public Administration

e. Robert S. Montjoy and Douglas J. Watson (1995, PAR) reinterpret the politics/administration dichotomy to suggest that Goodnow and Wilson wanted a separation between politics and administration but not policy and administration.
There should be a separation between politics and administration through non-partisan elections, merit systems, the pursuit of universal (the public interest) rather than particularistic interests, impartiality and evenhandedness (balance) toward elected officials by public administrators.

There should also be an integration or overlap between policy and administration in that public administrators are and should be involved in the design, formulation, recommendation, and interpretation of policy, and elected officials are and should be involved in the interpretation and evaluation of policy.

4) Barbara Romzek and Mel Dubnick: “Accountability in the Public Sector: Lessons from the Challenger Tragedy” (PAR)

   a. Describe the four types of accountabilities facing public managers that can oftentimes be involved in complex challenges that can sometimes result in dilemmas created by conflict or tension between the four different types of accountabilities (See the overhead)
      1. Describe what each type of accountability means.
   b. The challenge for public managers is to think inside the box by trying to find creative solutions that create positive sum (win-win) outcomes by reconciling the tensions between the different types of accountabilities.
   c. Describe the Challenger Case and then explain how the case relates to the four types of accountabilities.
      1. What were the tensions between the four accountabilities evidenced in the Challenger case? Go over the tensions faced by the NASA engineers, contracting engineers and managers, and the NASA managers.
      2. What were the dominant accountabilities used by the NASA managers when making the final decision to launch the shuttle?
      3. What dominant accountability or accountabilities should have prevailed? Why?
      4. What could the managers have done to reconcile the four types of accountabilities to prevent another disaster?

5) Cases of Accountability (See handout):
   a. Have the participants work in small groups to discuss each of the cases. Then have each group leader share with the entire class their solution and how they are able to navigate (or not navigate) within the accountability box.

6) Have each participant write down and describe a personal or professional accountability dilemma he/she has faced or is facing. What was the outcome? Which type of accountability is or was dominant? Was the outcome within the accountability box? How do you know? If not, what decisions should have been made or actions taken to navigate within the accountability box?
   a. Then have each participant describe their case or situation to the entire group.
Cases of Accountability

Curtis Wood

1. **To whom are Public Administrators Accountable: Cutting Hours of Service?**
   a. You are the county library director. Due to budget reductions, you must cut two hours of the day from the schedule of all the branch libraries- either 8:00 to 10:00 AM or 7:00 to 9:00 PM. Staff members strongly prefer to work morning hours rather than evening hours. Do you cut the evening hours from the schedule? Why or why not? When answering this question consider all the possible stakeholders to whom the Library Director must be accountable and then fashion a solution that navigates within the accountability box.

2. **To whom are Public Administrators Accountable: Relocate and/or Develop?**
   a. As the Director of Community Development in a city, you have been asked whether or not to recommend the approval of a downtown redevelopment project that will expand the tax base of the city and bring in much needed city revenues and jobs. However, if approved, the redevelopment project will require the relocation of 50 downtown residents, most who are poor and many who are elderly. Some citizens including 2 of the 5 city council members are opposed to the project because the developer has been promised public subsidies (tax credits, property tax exemptions, and incentives) and downtown residents may not be treated fairly. However, a majority of the city council seems to be in favor of the project despite the tax abatements and the resident relocation challenges. What is your recommendation to the city council? Why? When answering this question please consider to whom the Director is accountable and how the Director can best navigate within the accountability box when fashioning a recommendation.

3. **To whom are public administrators accountable: Budget recommendation?**
   a. In the county in which you are the manager, a majority of the voters in a recent county election supported a slate of candidates pledged to a substantial reduction in local taxes. Based on recommendations from department heads and the finance director you feel that a tax increase is needed to meet the pressing needs of the community. Do you recommend a budget with a modest tax increase? Why or why not? When answering this question please consider to whom the Director is accountable and how the Director can best navigate within the accountability box when fashioning a recommendation.

4. **To whom are public administrators accountable: Following Orders?**
   a. You are the senior caseworker in the state Social and Rehabilitative Services Department. Your office provides benefits to welfare recipients, some of whom are not always able to document their needs as fully as they should. In the past, your office has generally accepted a client’s word if you felt the client was telling the truth. Thus far the office has had no instances, as far as you know, of fraud or lying using this procedure. The new director of the SRS department, a political appointee, however, has recently ordered your office to be more stringent in requiring documentation from possible clients as a statewide effort of the new Governor to reduce the welfare rolls and reduce possible fraud and financial waste. You are
concerned that some deserving clients are going to be denied essential financial assistance and job training if your office implements the stricter requirements.

b. Question?
   i. What should you do? First develop all possible options. Then determine which option best makes it possible to navigate within the accountability box and the ethics triangle when coming up with a plan of action.

5. To whom are Public administrators Accountable: The Medicare Drug Bill Case
   a. The Director of Medicaid and Medicare Services in the Department of Health and Human Services (HHS), a political appointee in the executive branch, directed his chief cost analyst, a civil service employee in the executive branch, to withhold information from Congress about the true costs of the new Medicare drug bill (prescription drug benefit). True figures would have threatened passage of the bill that only passed the House by one vote. A short time after the vote took place, the Bush Administration released more accurate cost estimates to the Congress and to the American public. The HHS inspector general (IG) reported that the Director violated no law because the analyst was not independent enough to override the order of his boss. However, the Congressional Research Service opined that a 1912 statute says that a federal employee’s right to communicate with and provide information to Congress may not be interfered with or impeded. The General Accountability Office (GAO), the oversight arm of Congress, ruled that the Director violated the 1912 law by withholding vital information to Congress and that the Director (who has since left that office to return to private law practice) must return his salary of $80,000 as punishment for his actions. However, the Director does not believe he broke the law and is upset that GAO never interviewed him about his side of the story. The Bush administration contends the 1912 law is unconstitutional as it interferes with the separation of powers principle laid out in the constitution.
   b. Questions:
      i. Did the Director act ethically by directing the chief cost analyst to withhold information from Congress about the true cost of the Medicare prescription drug benefit? Why or why not? When answering this question you should explain to whom the Director is accountable and how he/she can resolve the accountability conundrum by navigating within the accountability box.
      ii. Did the chief cost analyst act ethically by obeying the Director? Why or why not? When answering this question you should explain to whom the chief cost analyst is accountable and how he/she can resolve the accountability conundrum by navigating within the accountability box.
Academic Resources
Curtis Wood

Public Service, Ethics, and Combating Corruption

24. Frederick Mosher, *Democracy and the Public Service: The Collective Services*
30. E. Pendleton Herring, *Public Administration and the Public Interest*
31. Martin Benjamin, *Splitting the Difference: Compromise and Integrity in Ethics and Politics*
32. H. George Frederickson, “Confucius and the Moral Basis of Bureaucracy.”

**Social Equity**

CAIR-Chicago Organization Description

CAIR-Chicago is a local chapter of the Council on American-Islamic Relations (CAIR). CAIR is the nation’s largest Muslim civil rights organization. The organization’s mission is to enhance the understanding of Islam, encourage dialogue, protect civil liberties, empower American Muslims and build coalitions that promote justice and mutual understanding. The organization serves a teeming metropolis of 400,000 American Muslims in the Chicagoland area.

CAIR was established in 1994 to present an accurate image of Islam and defend the rights of Muslims in America. Today, CAIR has established itself as the leading American Muslim advocacy organization in the country and is now widely recognized as the most credible Muslim civil rights group.

CAIR-Chicago operates several departments, each geared toward serving the needs of the local Muslim community. A description of the organization’s departments is included below.

CIVIL RIGHTS DEPARTMENT

CAIR-Chicago’s Civil Rights Department counsels, mediates and advocates on behalf of Muslims and others who have experienced religious discrimination, defamation, or hate crimes. The department works to protect and defend the constitutional rights of Muslims in the area, thereby supporting the rights of all Americans. The department also administers “Know Your Rights” workshops geared toward educating the local Muslim community of their legal rights in certain situations.

As of May 2008, the Civil Rights Department at CAIR-Chicago has documented a total of 1252 cases. Of these cases, 328 cases are currently being worked on by department personnel.

In addition to pursuing individual complaints of religious discrimination reported to CAIR-Chicago, the Civil Rights Department pursues several special projects that target important issues in our local community. These projects are: Citizenship Delay Project, Employment Project, Travel Free Project, Police Misconduct Project, Prison Project, Hate Crimes Project, and the Academic Freedom Coalition. Work done on these projects takes on three aspects: 1) individual complaint resolution; 2) community outreach to educate the community about their rights on these issues; and 3) policy advocacy that seeks to prevent further issues from arising.
As a rule, the Civil Rights Department always seeks to resolve incidents of discrimination amicably before resorting to litigation. Our policy is to always assume ignorance over malice. As a result, our efforts are always directed at mediation, rather than litigation. Only when the opposing party has proven to be hostile or uncooperative do we take on a more adversarial approach. In fact, the majority of the cases taken on by the Civil Rights Department at CAIR-Chicago are resolved without litigation. Cases are only litigated after all other avenues of dispute resolution have been exhausted.

**GOVERNMENTAL RELATIONS DEPARTMENT**

CAIR-Chicago’s Governmental Relations Department helps the Illinois Muslim community understand and utilize the political system to work for them through projects like voter registration drives, community workshops, and training of mosques and Muslim centers on how to facilitate communication with local and national politicians. Most recently, CAIR-Chicago’s governmental relations department launched the seminal “Project O.” CAIR-Chicago’s staff, interns and volunteers have gone through thousands of Chicago land poll sheets in order to identify “Muslim” names and isolate them into a multi-parameter database. This information is being used to organize and mobilize the Chicagoland Muslim community around their local political issues of interest and enhance the concept of local civic participation for Chicago area Muslims. The department also created and distributed the CAIR-Chicago 2006 Voter Education Guide, providing voters with the information necessary to make informed electoral decisions.

**COMMUNICATIONS DEPARTMENT**

CAIR-Chicago’s Communications Department currently monitors the five largest TV network stations, the five largest local newspapers and the five largest local radio stations closely and flags bias against Muslims. CAIR-Chicago responds accordingly to editors and producers with letters, phone calls, or meetings through mobilizing members of the community in letter writing campaigns to reinforce feedback sent to the media.

Within the past year, CAIR-Chicago has been featured, reported on, or quoted over 160 times in local, national, and international newspapers and magazines that include the Chicago Tribune, the Chicago Sun-Times, the Daily Herald, the Economist, the International Herald Tribune, and Crain’s Business; over 40 times in local and national radio stations that include NPR and BBC Radio; and over 50 times in local and national television newscasts that include CBS, NBC, ABC, WGN, FOX, MSNBC, PBS, and BBC world. For more information on CAIR-Chicago and our current projects, please visit: http://www.cairchicago.org.

**OUTREACH DEPARTMENT**

CAIR-Chicago’s Outreach Department coordinates a significant number of events, working with local Muslim communities to increase awareness on a broad range of issues that include educational and legal seminars. Additionally, CAIR-Chicago has been systematically reaching out to the Chicagoland non-Muslim community through a program entitled “Building bridges to Islam.” This day-long program brings a number of non-Muslims to a Chicago area mosque and provides the participants with a number of introductory lectures, a panel discussion and a Middle Eastern dinner. Additionally, the Outreach Department communicates with local universities and law schools regarding volunteer, internship, and externship opportunities at CAIR-Chicago.
Chapter 5: Program Development and Evaluation

Presentation by Laurel Jeris

COMMUNITY PROJECT DEVELOPMENT MODEL

Understanding the Community

Needs Assessment

Goals and Objectives

Assessment of Resources and Constraints

Planning Project Activities

Activity Plan  Time Frame  Responsibilities  Facilities & Services

Monitoring

Evaluation

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Module IV
Introduction to Developing Action Plans for GROW Model Villages

Session 10: Understanding Our Community
Session 11: Needs Assessment in a GROW Community
Session 12: Developing Goals and Objectives
Session 13: Assessing Resources and Constraints
Session 14: Developing Activities of the Action Plan
Session 15: Project Monitoring
Session 16: Project Evaluation
Developing Action Plans for GROW Model Villages

Introduction

This final module in the Training of Trainers Workshop will include seven sessions on how to plan, implement and evaluate a community action plan leading to building an enhanced civil society in the Model Villages they represent. The module will use a popular community project development model that the participants can apply in their community settings, ensuring enthusiastic participation of the community in their forward march towards an enhanced civil society. The techniques used will enhance the awareness of the participants in developing relevant, realistic, sustainable projects so that the participants will be able to apply the competencies gained in the workshop in their own Model Village settings. The sub-components of the community project development model used in the workshop are:

- Community Analysis
- Needs Assessment
- Developing Goal and Objectives
- Assessing Resources and Constraints
- Developing Activity Plan
- Project Monitoring
- Project Evaluation

The above steps connotes that if the members of the Model Village are developing action plans targeted at solving an issue they have recognized as the priority issue, they should first understand the context of the community relative to the issue they have selected, delve more deeply and understand the nature of the need relative to that environment, formulate a goal and a set of objectives based on the issue and its various components as evident from the needs analysis, assess the resources and constraints they may have at hand in meeting the need/s, and design their project activities accordingly. It should be emphasized that once the project activities have been identified it is necessary to sequence the activities, assign responsibilities, determine necessary facilities, materials and services, and (in some situation the budget). Once the implementation of the planned project has commenced it needs to be monitored and more importantly it needs to be evaluated to assess whether the expected outcomes are being met or have been met.

The framework used in this manual is based on a number of key principles that belie the foundation of community empowerment process that is being strengthened by the GROW Project in the Model Villages. These key principles are quite critical in the releasing the needed energy that drives the community members to rally around the GROW Project and work collectively in a passionate way to further strengthen the civil society they aspire to build during the project period: These key principles are:

- Community members can and should control and shape the direction of the future of their own community and therefore the members should participate in all aspects of the process in developing action plans.

- The action plans, if implemented with the participation of the people it will lead to empowerment and leadership development which are two critical corner stones for the developing and sustaining the civil society they aspire to build.

- Action plan development process emphasizes the significance of people’s participation, needs orientation, self-reliance, consciousness-raising and bottom-up approach to development.
Integration and sustainability are central to this approach, providing legitimacy to the activities carried out in the community.

Initiative, commitment, wisdom, creativity and energies of the people are harnessed to a high level through the democratic processes and voluntary efforts involved in planning and implementing the action plans.

If given the needed space, community members can become awakened to realize their own potentials and creativity, which are necessary ingredients to building an enhanced civil society in their Model Villages.
Session 10
Understanding Our Community

Session Objectives: At the end of the session the participants will be able to:

♦ Obtain an overview of a simple and a practical model to be followed in developing community action plans for their Model Villages.

♦ Identify diverse features that will enable them to get a clear understanding of the Model Village as an initial activity in the process of enhancing the democratic culture in the community.

♦ Design a methodology to acquire a close up view of the community environment and the context as a first step in developing an action plan.

Time: Two Hours

Materials: Newsprint, black/white board, chalk, and felt pens
Handout No. 10.1: Community Project Development Model
Handout No.10.2: Community Analysis Worksheet
Large size news print with an enlarged version of the handout on Community Analysis Worksheet

METHOD: COMMUNITY ANALYSIS

Step 1: Make a short presentation to the participants emphasizing that this final module in the training workshop is a very important module in which they will learn how to develop an action plan to address an issue affecting the community. The competencies they will develop in following the module used will be imperative for building a civil society in the GROW Model Villages. More importantly they will be able to become experts in developing community projects.

Step 2: Inform the group that during this workshop we will be using a very simple model in developing the action plans. It is a model that has proved to be very effective, realistic and practical. Distribute the handout no. 10.1 - Community Project Development Model that will be used in developing the action plans in this module of the workshop

Step 3: Give an overview of the different phases of the model presented, starting from the Community Analysis phase to the Evaluation Phase. Emphasize that even though the model has this series of steps spelled out in a linear way, show them that these steps are interconnected and more importantly are interactive, with links to other steps. Also indicate that the sequential order in the model presented is not a prescription to be followed strictly but to consider as a flexible set of guidelines. Inform that this is a very down-to-earth model that has been successfully implemented in different parts of the country by many community workers just like the participants in the current workshop. Clarify any issues the participants may have with regard to the model on action plans.

Step 4: Inform the participants that this current session, which is the first session in this last module of developing action plans, will focus on the first phase in the model. That first step is Community Analysis. Inform the group that this is a quite important step as it sets
the stage for systematic understanding of the project environment and provides a basis for the entire process of developing the action plan.

**Step 5:** Pose the following question to the entire group: “What possible aspects of the community we would like to know if we are to have a through understanding of the socio-cultural environment of our Model Village as a base for an action plan for the village? Ask them to silently brainstorm in their own minds and each person to write down those ideas in their notebooks. Give ample time for the activity.

**Step 6:** Direct them to get into pairs and review each other’s lists and then compile a common list. Emphasize that it is important to share all the ideas and have a good discussion before developing the common list.

**Step 7:** Instruct them to form into groups of four and develop a group list after discussing the two lists they already have. Ask them to put the list on a newsprint. Remind each group to select a spoke person to present the list to the entire group. Give ample time for the activity.

**Step 8:** Re-assemble the groups and invite the spoke persons from the sub groups to present their lists. Allow other members in the sub group to provide any additions, comments and observations.

**Step 9:** Commend the reports presented by the sub groups. Review the four lists provided with the participation of the entire group, looking for commonalities. As commonalities are identified and presented, write them down in the black/white board. (Some examples that may result from this activity would be political and administrative structures in the Model Village, demographic features of the village, leadership patterns and their influence, other organizations that work in the community, power relations in the community, nature of the issues such as crimes and violence in the community.)

**Step 10:** Explain to the group that, if these are the information we need at this point we have to figure out how to get such information. Distribute the handout no. 9.2 on Community Analysis Worksheet, with the following columns. (1) Sources for Information (2) Techniques/Methods and (3) Instruments Needed. Ask the participants to come up with the ideas to fill in the three columns in the grid as shown in the handout. Display the large sized grid drawn in the newsprint. As the participants present the ideas, fill the relevant columns in the newsprint sorting out the responses as needed.

**Step 11:** Inform the group that now they know what information is needed to better understand the current situation in the Model Village and how to get that information and what techniques and instruments they need to gather the information. Commend on the inputs just presented. Emphasize that these are very important but simple, realistic, doable and appropriate methods of collecting information in order to understand the community context.

**Step 12:** Sum up the session by taking the participants through the session process emphasizing the learning points. Conclude the session by reiterating when the group is back in their Model Village they can actually implement the process learnt in this session and apply these methods in order to get the necessary information.
COMMUNITY PROJECT DEVELOPMENT MODEL

Understanding the Community

Needs Assessment

Goals and Objectives

Assessment of Resources and Constraints

Planning Project Activities

Activity Plan
Time Frame
Responsibilities
Facilities & Services

Monitoring

Evaluation
Handout No. 10.2

Community Analysis Worksheet

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<th>Community Feature</th>
<th>Source/s for Information</th>
<th>Technique/Method</th>
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Session 11

Needs Assessment in a GROW Community

Session Objectives: At the end of the session the participants will be able to

♦ Identify the importance of needs assessment in developing action plans for GROW Model Villages.

♦ Apply a technique to identify the priority issue from a list of issues that has been already selected by the GROW Project leaders

♦ Transfer those competencies to any other similar situations, needs or issues in the community that the community groups wish to focus on.

Time: Two Hours

Materials: Newsprint, black/white board, chalk, and felt pens
Handout No. 11.1: Needs Assessment
Handout No. 11.2: Five Prioritized Characteristics of a Civil Society
Handout No. 11.3: Assessment of Relative Importance of Needs.

METHOD: NEEDS PRIORITIZATION

Step 1: Make a brief presentation emphasizing that this session will focus on the second step in the model we are following in this workshop - Needs Analysis. Explain in simple words what is meant by a needs assessment. Clarify to the group that a Needs Assessment means to find out the discrepancy or the gap between the current situation and the desired situation. Distribute the handout no. 11.1 on What is a Needs Assessment and ask the participants to take a few minutes to read the handout. Ask for any clarification needed and answer the questions from the participants until the concepts get clearer.

Step 2: Remind the participants that during the first module in this workshop they reviewed a list of 30 characteristics of the civil society that resulted from an extensive needs assessment process that was carried out earlier by the GROW project leaders. Reiterate that this group accepted those characteristics as the most important characteristics of the civil society that we are committed to build. Therefore, the participants in this workshop now subscribe to those characteristics.

Step 3: Emphasize that more importantly this group also accepted the five characteristics that the leaders of the partner NGOs had identified from that list of 30 characteristics, as a result of a prioritization process. Commend on the decision to subscribe to the five prioritized characteristics. Therefore, without re-inventing the wheel this module will start with that premise. Consequently, during this session we are going to identify a need out of the list of five prioritized needs that have been identified for us earlier as the focus of our action plan. Clarify any questions they may have until all the confusions have been cleared.

Step 4: Present the handout no. 11.2. on Five Prioritized Characteristics and ask the participants to reflect on those five characteristics again. Give five minutes to read the handout.
Inform the group that the next step in the session is to select one issue from this list of five issues, as a focus of the action plan for their Model Village.

**Step 5:** Distribute the handout no. 11.3 on Assessment of Relative Importance of Different Needs. Explain to the group (by taking an outside example) how to assess the relative importance of the needs using the methodology described in the handout. (Refer to the example in the handout)

**Step 6:** Divide the group into four sub groups based on the GROW Model Village they represent and ask them to select a comfortable place to get together to carry out this activity. Instruct the sub groups to select a leader. Ask the leaders to discuss the list of five prioritized list of characteristics with the subgroup members. As a next step, using the methodology spelled out in the handout just distributed, to select one theme out of the five prioritized themes to base their action plans. Give 15-20 minutes for this activity.

**Step 7:** Reconvene the four sub groups and ask the four leaders to present the priority issue the sub group has selected. (In the workshop that took place in January 2004, three out of four sub groups selected “Setting up of a Watch Group to combat violence, alcoholism, bribery and corruption” as the priority need.) While commending on the outcome of the exercise, indicate that during the following sessions in this module of the workshop that specific need will be used as the example to illustrate the steps in developing community action plans. Emphasize that is as an example only to learn skills in project planning. Once the needed competencies have been developed they will be able to transfer the competencies to any situation, need or an issue that the community groups wish to focus on.

**Step 8:** Summarize the presentations highlighting the important aspects covered in this session on needs assessment. Reiterate the importance of solving the problem they have chosen if the community is to engage in enhancing the democratic culture of the Model Village. Conclude the session by commending the group on the excellent work done.
NEEDS ASSESSMENT

Introduction

Needs assessment is one of the critical stages in the community project development process. Generally, needs are considered to be wants, aspirations, interests, and wishes of people. In development literature, needs are defined as the discrepancies between "what is" (current set of circumstances) and "what should be" (desirable set of circumstances). There is a growing consensus among development practitioners to consider needs assessment as a process to identify and measure gaps between "what is" and "what should be," prioritize the gaps, and determine ways of bridging them. A more accurate and scientific definition of a Needs Assessment is:

Who needs What as defined by Whom

Community development projects require accurate, reliable, and usable information that reflect the different facets of the needs in a specific community. The planning and implementation of projects should not be left entirely to guesses, hunches, views of experts or opinion leaders guided by the consideration, "it is the right thing to do." Needs should emerge directly from ideas articulated by representative groups of the target population and other stakeholders in a community. Project ideas and objectives should be based on such needs.

Needs assessments conducted with the participation of the target population strengthen community commitment and enthusiasm for a project. Besides igniting good ideas, it generates data to develop indicators for evaluation. Above all, needs assessment helps to create community ownership in a project. It is an effective system of inquiry that provides information to help decision makers.

Even though there could be many categories of needs definers, the needers themselves (in this specific case, members of the Model Village) are the best qualified group to identify their own needs or different facets of the major need they have already identified. However, there are situations where needers are not the ideal group to identify the needs, just as the needs of a patient can be best identified by a doctor, more than by the patient him/herself. In such situations expert viewpoint would be helpful.
Handout No. 11.2

Five Major Characteristics of a GROW Model Village

- Women and women are mobilized and are able to participate in community life and make joint decisions, including playing a major role in securing basic services such as water, roads, sanitation, and proper nutrition.

- Women have taken leadership positions in grassroots societies such as Gramodaya, DDS, Sanasa, ultimately leading to political positions in Pradesha Sabhas.

- Women and men involved in income generating activities, have access to needed information to start such enterprises; are economically empowered and have improved the quality of life of their families.

- Established watch groups to monitor violence against women, alcoholism, bribery and corruption in the community so that the community members can live in an enhanced civil society.

- Community members live in harmony enabling the government and people to be accountable and transparent in their work.
### Handout 11.3

**Assessment of Relative Importance of Different Problems or Needs**

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Legend
- X: Not very common (or serious or important)
- XX: Common (or serious or important)
- XXX: Extremely common (or serious or important)

(Source: David Werner and Bill Bower. *Helping Health Workers to Learn*. California: The Hesperian Foundation, 1984.)

### An Example

<table>
<thead>
<tr>
<th>Need or Problem Statement</th>
<th>How Common</th>
<th>How Serious</th>
<th>How Important</th>
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Session 12
Developing Goals and Objectives

Session Objectives: At the end of the workshop the participants will be able to:

♦ Describe the difference between a goal and an objective

♦ Explain the attributes of a goal statement and an objective statement

♦ Develop a goal statement and objective statements for the action plans that is being designed to meet the need identified in the earlier session

Time: Two Hours

Materials: Newsprint, black/white board, chalk, and felt pens
Handout No. 12.1: Goal and Objectives of GROW Project
Handout No. 12.2: Goal and Objective Statements

METHOD: SMART VISIONING

Step 1: Explain to the group in the systematic process of developing action plans, once you have delineated the problem to be solved or the need to be met, the next step in the process is to develop a goal statement and a set of objectives to meet that goal. Inform the group that in their work they must have come across the word goal and objectives quite often. Some of us even may have developed goal and objective statements. Ask the participants whether there are any members who have such prior experience.

Step 2: If there is a volunteer, ask that person to recall the goal or the objective statement he/she had developed. Depending on the response help the participant to describe to the rest of the group the difference between a goal and an objective. Take the response from the participant and rephrase for the group emphasizing that always a goal is a statement that defines very broadly what is expected of a project at the end while objectives are statements that lead to the goal.

Step 3: Distribute the Handout No. 12.1 on Goal and Objectives of GROW Project. Instruct the participants to reflect on the goal and the objective as stated and identify the difference between the two kinds of statements.

Step 4: Brainstorm the responses from the participants on the difference between a goal and an objective. When an important idea is presented reemphasize it and put it on the black/white board. After the process is completed, highlight that the goal is a broader statement and such a statement encompasses many objectives. The achievement of each objective covers the achievement of the goal. Therefore, goal is an umbrella statement that stands up above encompassing all the objective statements.

Step 5: Divide the group into sub groups as before, based on their Model Village affiliation and ask them to select a new leader for the sub group. (Encourage rotation of leadership) Instruct the sub groups to develop a goal statement and a set of objectives, ideally four, for their action plans on setting up a Watch Group in the Model Village. Give enough time for the group work. Inform them to use two separate newsprints to write the goal and the objectives.
Step 6: Reconvene the sub groups. Ask the leaders to present the goal statement first. Write down each goal statements in the black/white board as the leaders present them. After the completion of the activity take each statement and analyze it for its strengths and weaknesses. Track for good elements from the goal statements presented by the four sub groups and reframe and finalize a goal statement for the action plan in the black/white board. Reemphasize the important elements in the final goal statement.

Step 7: Now ask the group leaders to present the objective statements. Go through the same process again with the objective statements presented. Process the objective statements for its correctness in framing the statements. Identify the ones that adhere to good principles of an objective statement.

Step 8: Go through the selected objective statements from the four lists and analyze and show that they clearly cover the goal statement once achieved. Ask the group to spend 10 minutes in reading the handout no.12.2 on Goal and Objective Statements and check whether the ones the group had just developed confirmed what was stated in the handout. Encourage a good discussion until the participants are clear about the principles of developing good objective statements.

Step 9: Sum up the session reemphasizing the elements of a good goal statement and an objective statement. Reemphasize the learning elements. Conclude the session commending on the good work.
Handout No. 12.1

Goal and Objectives of GROW Project

GROW Project Goal
To enhance the capacities of leaders of four women's NGOs in Sri Lanka to face challenges and to create opportunities for strengthening women's participation in grassroots democracy; broaden the understanding and awareness of women's contribution to democracy strengthening among NIU faculty and students.

GROW Project Objectives
Provide an opportunity for selected women NGO leaders in Sri Lanka to engage in a dialogue with counterparts at NIU on democratic processes critical to women’s participation in sustainable grassroots democracy.

Broaden the understanding and awareness of women’s contribution to democracy strengthening among NGO leaders, NIU faculty and graduate students who will be involved directly or indirectly in the project.

Design and implement a capacity building program for the identified leaders of the four national level women NGOS, to enhance individual, institutional and community capacity for effective participation in grassroots democracy in Sri Lanka.

Strengthen the networking capabilities of NIU and the four selected women NGOs by establishing effective, responsive, democratic and “ordinary women-friendly” channels of communication, including an internet-based communication.

Sharpen the leadership skills of women’s coalitions in Sri Lanka through training in advocacy strategies for effective policy formulation on prioritized women's issues.
Handout No. 12.2

Goal and Objective Statements

Determining goals and objectives based on prioritized needs is crucial in developing action plans. The successful completion of an action plan depends on how well the goals and objectives are formulated. Goals and objectives set the directions for the project, clearly specify what must be accomplished, and provide the basis for project evaluation.

A goal defines, very broadly, what is expected of a project. It is an umbrella statement that encompasses and synthesizes the set of circumstances that should result from a project, such as "raising the standard of living" or "improving economic conditions." A goal is made up of several objectives. The achievement of each individual objective ultimately leads to the achievement of the goal.

An objective is a clearer statement that specifies the outcome of the project in more operational terms. For a project to have a clear direction and purpose, objectives should be formulated in a systematic manner. More importantly an objective statement should arise out of identified needs and be specific and clear. It is critical that objectives are measurable statements.

For an objective to be systematic, according to many activists in this field, it should be SMART. In more specific terms, an objective statement should spell out the following:

- **Specific:** It should address the questions **what**, **where**, **when**, **why**, and for **whom**.
- **Measurable:** It should denote the targets in measurable terms: e.g. how much
- **Action-Oriented:** It should indicate an achievement or an expected condition.
- **Realistic:** It should be specify whether the target is appropriate and achievable.
- **Time-Bound:** It should reflect a time period in which the outcome will be achieved.
Session 13

Assessing Resources and Constraints

Session Objectives: At the end of the session the participants will be able to:

♦ Identify and assess available resources in carrying out the suggested action plan in the Model Village

♦ Determine the constraints that may be encountered in carrying out the action plan

♦ Decide whether to go ahead with the project idea after weighing the resources and constraints.

♦ Mark the location of the resources available to carry out the planned project in a social map of the Model Village drawn by the group.

Time: Three Hours

Materials: Black/white Board, Newsprint, felt pens,
Handout No. 13. 1: Resource Mapping Worksheet
Handout No. 13. 2: A List of Human Resource Persons at Community Level in Sri Lanka

METHOD: SOCIAL MAPPING

Step 1: Introduce the session title and explain that even though we have secured community participation so far in developing this action plan that leads to enhancing the democratic culture in the Model village, yet before proceeding further we have to consider whether this is a doable project.

Step 2: In order to do so at this point planning process it is necessary to assess the resources and constraints that the community members have or may face in implementing the action plan. By any chance if the constraints out weigh the resources, at this point the group may have to rethink about the focus of the project i.e. need selected for the project.

Step 3: Emphasize that one of the major advantages of assessing the resources available to carry out the action plan is to build up necessary strength and motivation among the community members for the project.

Step 4: Inform the group now that they are ready to brain-storm the list of resources available for the successful planning and implementation of the project – Setting up a Watch Group in our Model Village to Combat Violence, Alcoholism, Bribery and Corruption. Divide the group into four sub groups as before, based on their Model Village affiliation and assign a new leader. Instruct the group leaders to return to their former place in the training room and conduct a brain-storming on the task.

Step 5: Instruct the leader to write down the ideas as the participants present them in a newsprint in three columns according to the following categories: (1) Physical (2) Institutional, and
(3) Human. Indicate that with the input from the group, the leader should decide the column to write a particular resource presented by a participant. If there are ideas that the leader or the group members are not so sure about the category those belong to, the leader should put them in a separate column titled (4) Other. Instruct the groups to start the brain-storming activity for the resources they can find for the planned project. (Refer to the handout no. 13.1 for the worksheet)

**Step 6:** Once the groups has completed identifying the resource list instruct them to go the constraints list. Elaborate on the fact that there can be many constraints that may hinder the implementation of the project. Explain that the failure to assess such constraints at this stage may cause frustration later. Emphasize that identification of constraints is also important in identifying strategies that will weaken or completely eliminate the constraints when they are developing the project activities.

**Step 7:** Advise the groups to rotate the leadership at this point to enable a new member to lead the discussion. Ask the new leader to start brain storming for the constraints list. Advise her/him to continue the constraints list until the group members have exhausted all the ideas. Give enough time to complete the activity.

**Step 8:** Once the task is completed reconvene the sub groups to form the major group. Instruct the four group leaders to present their constraints list, while adding necessary explanation as to why they think it is a constraint. Encourage other members from the group to add to the discussion.

**Step 9:** At the conclusion of the preparation of the two lists (resources and constraints), instruct the group to move back to their groups to weigh both sides, resources and constraints, and make a rough estimate as to which side seems heavier. Emphasize that after proceeding so far in the planning process, it is very rare that the "constraints" side would weigh heavier than the "resources" side. However, if it does, by any chance, it means that the proposed project is not a timely or appropriate one for the community. (In that case another project relevant to a priority need should be selected.). Go around the room and get the sub group decisions.

**Step 10:** Inform the sub groups now that we all have agreed to go ahead with action plan it is necessary to have a Resource Map. Instruct the sub groups to draw a map of their Model Village in a news print. Advise them to use their own imaginary scale and symbols in drawing the village map. Explain that this is only a "social map" and therefore, symbols drawn according to cartographic standards or scientific scales are not needed.

**Step 11:** Once the sub groups have completed drawing the maps of their Model Villages, instruct the group to mark the locations of their resource list in the maps prepared. Explain that, for example, they could even go to the extent of marking the exact location of the homestead of the resource persons. Also, mention that outside resources could be marked on the margin with arrows showing that they are located outside the area. Provide all the sub groups with necessary materials - felt pens and markers in different colors. Give enough time for the completion of the assignment.

**Step 12:** Reconvene the four sub groups and ask four spoke persons to present their group’s social maps to the major group. Encourage other members of the sub group to add any thing in explaining the resource list. Distribute the handout no. 13.2 as an example of human resources find in a typical village in Sri Lanka.
Step 13: Wrap up the session commending the very useful social maps they have developed and also the constraints lists resulted. Highlight the learning elements and the conclusions arrived in the session. Conclude the session saying that in the next session we will prepare our action plans to reach the agreed goal and objectives, taking into consideration the resources and constraints they may face.

Handout No. 13.10

Resource Mapping Worksheet

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Sri Lanka

G R O W

Grassroots Organizing by Women
An Example of Human Resources

A List of Resource Persons at the Local Level in Sri Lanka

- Agricultural Extension Officer
- Assistant Government Agent
- Ayurvedic Physician
- Cooperative Inspector
- Development Officer
- District Education Officer
- Divisional Council Overseer
- Divisional (Council) Secretary
- Divisional Medical Officer
- Family Health Worker
- Grama Seva Niladhari
- Health Volunteers
- Land Development Officer
- Non-government Organization leaders
- Principal in the local school
- Public Health Inspector
- Public Health Nurse
- Rural Development Officer
- Samurdhi Officer
- Teachers in the local school
- Women-in-.Development Officer
- Youth Services Officer
Session 14

Developing Activities of the Action Plan

Session Objectives: At the end of the session, the participants will be able to:

♦ Identify the activities needed to reach the goal and objectives of the action plan.

♦ Sharpen the skills needed to develop a systematic project activity plan.

♦ Develop their competencies to design a time chart, and charts for responsibilities and facilities/services needed to implement the action plan.

Time: Two hours

Materials: Newsprint, white/black board, felt pens, chalk,
Handout No. 14.1: Important Components of an Activity Plan
Handout No. 14.2 Project Activities in a Time Frame
Handout No. 14.3 Activities and Responsibilities and Facilities/Services Chart
Enlarged Gantt Chart drawn in a news print
Enlarged Responsibility, Facilities Chart drawn in a news print.

METHOD: STRUCTURED GROUP EXCERCISE

Step 1 Introduce the session, emphasizing that the focus of this particular session is the most important in the total process of developing action plans. Explain to the participants that during previous three sessions they have acquired an understanding of the community, have assessed the development needs of the community, developed the goal and objectives to meet the priority need and assessed the resources and constraints that determine the success and failure of the action plan. Inform the participants that they are now ready to develop the project activity plan.

Step 2 Distribute handout no. 14.1 to the group and ask them to take 15 minutes to read the handout. Inform them that they will have a lot of questions unclear at this point but by the end of the session we will come back to such questions for needed clarifications.

Step 3: Start brainstorming for ideas from the major group by posing the following question. “If we are to set up a Watch Group to combat violence, alcoholism, corruption, and bribery in our village what are all the things we should do?” Remind the rules of brainstorming that they should not allow questions at this stage even in their own minds as it will obstruct the free flow of responses. As soon as the participants start presenting the ideas write them in a newsprint. Continue the brainstorming until all ideas are exhausted.

Step 4 After brainstorming is completed go back to the items in the list and review each item asking the following questions:

1. Is the activity necessary for the accomplishment of the objectives?

2. Should the activity be broken down into sub-activities?
3. Is it necessary to clarify, delete, or add anything to the list?

Refine the list of activities based on the above discussion. Take ample time for this activity until a refined list has resulted.

**Step 5:** Commend the group for the excellent activity list they have developed. Inform them that in this refined activity list, as always, there is a very meaningful sequence. Indicate to the group that our next task should be to find that sequence. Review the refined list again with the participants asking to look for the sequential order in the activities presented. Emphasize that there are activities that could be done simultaneously, and there are tasks that should be completed before embarking on another activity. Accordingly, with the participation of the whole group, determine the right sequence.

**Step 6:** As the participants identify the sequential order in the activity list put the relevant serial number in front of each activity listed. If the participants go back and forth adjust the numbers of the items listed accordingly. Now review the total process with the participants and explain that they have just completed a systematic project activity plan.

**Step 7:** Inform the group that the next step in the process of developing the action plans is to put the activities into a time frame. Advise the group now that the group has developed this action plan in January, when they go back to their Model Villages they could straight away start implementing the action plan. Therefore, we can have a one-year time frame for the proposed project starting from January and ending in December.

**Step 8:** Divide the major group into the same sub groups as before, this time with a new leader and ask them to put the activities in to a time frame. Distribute the handout no. 14.2 on Project Activities in a Time Frame among the sub group to use in charting the time. Inform them that this charting using the handout is called Gantt charting which is a very popular method in project planning. Before they break out into sub groups take the first two items in the activity list as an example and put them in the enlarged Gantt Chart in the newsprint with the participation of the members in the group.

**Step 9:** Let the sub groups settle in their former places and start developing the time frame. Give the groups enough time to put the rest of the activities into the Gantt chart after necessary discussions.

**Step 10:** Once the groups have finished the assignment on developing the Time Chart, introduce the next step of assigning responsibilities, materials, and facilities necessary for the action plan. Inform the group once we have completed this step they will have a complete action plan, now ready to be implemented in the Model Village. Instruct the group to have enough discussions and get the consensus of the group in every step of the way. Distribute the handout no. 14.3 on Activities, Responsibilities and Facilities/Services, for the participants to fill in with the needed information. Take first two lines in the activity list and complete the columns as an example to follow.

**Step 11:** Wrap up the session, emphasizing the main learning elements in the process just completed and commend on the project plan developed. Energize the participants saying that now they have become specialists in planning community projects. Clarify any unclear issues they have at this point. Reiterate that they will be able to plan any future community based development projects by transferring the knowledge and the skills they gained in this session.
Handout No. 14.1

Important Components of an Activity Plan

Introduction

Developing the Activity plan is the most important phase of the community project development process. It involves the following major steps:

1. Identifying activities
2. Sequencing activities
3. Developing a time frame for activities
4. Assigning responsibilities for carrying out the activities
5. Assessing facilities, materials and services needed

Identifying Activities

Identifying project activities is the first step in this process. Time and effort invested in this specific step guarantees an increased potential for success. Identification of project activities has to be carried out with the involvement of all the stakeholders in a participatory way. The activities identified should be based on the objectives of the project, taking into consideration the resources and constraints. Systematic implementation of the project becomes possible only if the activities are spelled out in a detailed and thorough manner at the initial stage in the preparation of the action plan. In certain instances, there is a time gap between the planning and implementation of a project. When a project is launched, there is sometimes the possibility that those who were involved in the initial planning might not be around. In such a situation, systematic implementation of the project becomes possible only if the project planners have recorded the activities in detail. Therefore, it is essential to identify and list the major activities and sub-components of each activity.

Sequencing of Activities

Once the activities have been identified, it is essential to determine the right sequence of the identified activities early on in the planning stage. Careful attention given to sorting out the right sequence prevents waste of time and resources. There are some activities that have to be completed before others. Also, there are some activities that have to be conducted concurrently with others. Hence, sequencing them is imperative. Often, implementation of a community development project is carried out by a team of individuals. Therefore, from the moment the project is launched, it is necessary to monitor and coordinate the different activities that need to be completed, and also to follow the most appropriate sequence. In order to do this systematically, it is necessary to put the activities in the proper sequence at the initial stage of project preparation.

Time Frame

After identifying and sequencing the activities of a project, the next task is to determine when to do these activities. Therefore, project planners should develop a time frame for the activities. This helps to determine the earliest date that each activity will be started and completed within the framework of available resources and expected constraints. It also facilitates monitoring the project activities as they are implemented, and checking whether work is proceeding according to schedule, and if not, to take necessary corrective action. Gantt Chart and the Program Evaluation and Review Technique (PERT) are two major tools for developing a time frame of a project.
Assigning Responsibilities

Planning project activities will not be complete without assigning responsibilities for different activities to specific individuals. This has to be done in a systematic manner in order to secure the involvement of the community. One of the most important ingredients for project success is the motivation of the people who carry out activities. Motivation is generated if individuals are assigned responsibilities that they are willing to undertake and accomplish. Therefore, it is important to gather information about the skills and interests of the community members who will be actively involved in the project, and to take steps to match tasks with skills and interests of individuals.

Determining Facilities, Materials, and Services

Carrying out activities of a project requires various kinds of facilities, materials, and services. Community members have to collectively determine these for each activity in the project. For example, most projects will require facilities to conduct meetings, and vehicles to transport needed materials. These arrangements have to be made prior to the implementation of the project. The same applies to services. Planning has to be done to arrange for such services. The ability to determine the appropriate series of activities and the sub-components of each activity (that will ultimately lead to the achievement of the objectives) is an important skill that project planners should possess.
Handout 14.2

Project Activities in a Time Frame: Gantt Chart

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# Handout 14.3

Activities and Responsibilities and Facilities/Services Chart

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Session 15

Project Monitoring

Session Objectives: At the end of the session, the participants will be able to:

♦ Explain what monitoring is and the importance of monitoring in efficient implementation of a community project

♦ Decide how to monitor the different activities of a project systematically.

♦ Design a systematic monitoring system for the action plan developed for the Model Village

Time: Two hours

Materials: Newsprint, felt pens, White/black board
Handout No. 15.1: What is Monitoring.
Handout No. 15.2: Monitoring Worksheet
News Print with an enlarged version of the Monitoring Worksheet

METHOD: LECTURETTE AND RESPONSE TEAMS

Step 1: Inform the group that if they are to successfully implement the action plan they have developed - "Setting up a Watch Group in the Model Village to Combat Violence, Bribery and Corruption, monitoring is very necessary. Therefore, developing a monitoring design for the systematic implementation of the action plan should be an important part in the action planning process. Inform the group that such a monitoring plan is critical especially to see whether the activities are being carried out as indicated in the project plan and also to know whether any unexpected issues or problems are happening. Also, emphasize that a good monitoring plan is helpful in deciding strategies to solve those issues.

Step 2: Make a short presentation to the group saying that moment the project is launched, it is necessary to monitor the different activities to ensure that the planned activities and the sequence of the activities are being followed. This is known as project monitoring. The implementation of a project is a complex task and without project monitoring, the group will not know how they are progressing. Also, they will not know how to face the challenges confronted.

Step 3: Distribute the handout No. 15.1 on “What is Monitoring” and give 10 minutes to read the handout. Ask if any one need any clarification and address these until the concept is clear to all the participants. Specifically mention that combating violence, corruption and bribery is one of the most difficult, sensitive and yet a critical task if we are to strengthen the democratic culture in our Model Villages. Reiterate that therefore, knowing how to monitor the activities of such a sensitive project is very imperative.

Step 4: Instruct the same sub groups to take their former places with their activity lists with the time frame and also the list of responsibilities and facilities/services. Instruct the group to visualize a situation where this project is being implemented in the Model Village. In that situation what is necessary is to take each of the activities in the list and see whether
these are happening as planned. If these are not happening as specified in the list within the time frame, ask them to decide what they are going to do about it.

Step 5: Convene the larger group and display the enlarged worksheet on the black/white board. Take a couple of imaginary examples of a situation where the timeframe or the responsibility and facility chart is far way off, when compared to what is happening in the field. Get the group responses as to what they can do in such a situation. Include the responses in the relevant columns, as appropriate. (Refer to the example in the worksheet)

Step 6: Distribute the hand out no. 15.2 on Monitoring Worksheet to the group. Ask them to go back to their sub groups and start completing the worksheet by visualizing a situation where the project is been implemented. Direct them to think how they are going to monitor the activities against the timeframe, responsibility chart and the facility chart. Allow enough time for the activity. Take first two lines in the activity list and complete these two lines as an example in the newsprint.

Step 7: Give them special instructions to secure the participation of all the members in the sub group and get a recorder to insert the responses. Encourage them to elaborate on the problems that their sub groups have identified as realistic problems that may arise once the action plan is put into action in their Model Villages.

Step 8: Reconvene the major group. Ask each recorder for the sub groups to present their findings. As the recorders present their reports, pose the question that under the leadership and direction of the GROW project what could we do to succeed in situations when confronted with these problems or delays. Encourage the participants to respond. Allow enough time for the activity.

Step 9: Emphasize the fact that based on the responses, it is evident that always there is a solution we could generate when faced with such problems, if the group has the determination to move forward. That is why monitoring is very critical in project implementation.

Step 10: Conclude the session by commending on the good work done. Sum up the learning elements in the session. Reiterate that the most important learning element in this session is that meeting problems is a natural thing in implementing people-oriented projects and in order to get the project back into the track frequent monitoring is important.
Handout No. 15.1

What is Monitoring?

Monitoring is critical for improving the efficiency and effectiveness of a project undertaken by the community or any other organization. It is especially important in the case of projects focused on improving the conditions of the lives of the people in the community. Monitoring plays a crucial role in revealing whether the action plan is proceeding according to the decided plan. This information helps the stakeholders of the project to identify problems and take corrective action. Therefore, monitoring is a major contributing factor for the success of such projects.

Monitoring is basically checking the activities of a project to see whether the tasks are completed as planned. Monitoring verifies whether the project is on track. It is a continuous or periodic surveillance over the implementation of a project to ensure that input deliveries, work schedules, targeted outputs and other required actions are proceeding according to plan. It is a device for observing, detecting and recording operations of a project to check progress.

Monitoring is mainly connected with the implementation process and it checks whether the project is “on track.” If the work is not proceeding according to the plan, one of the major tasks of monitoring is to identify the problems and take immediate corrective action or to provide information to the project management to enable them to take necessary action.

Monitoring ensures the consistency between the work plan and its implementation. It checks whether things are going in the correct way and enables to take remedial actions if things are not going in the right direction. The lessons learned through monitoring could be used for future planning.
# MONITORING WORKSHEET

<table>
<thead>
<tr>
<th>1 Activity</th>
<th>2 Deadline</th>
<th>3 Monitoring Method</th>
<th>4 Progress</th>
<th>5 Barriers</th>
<th>6 Solutions</th>
</tr>
</thead>
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**An Example**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Deadline</th>
<th>Monitoring Method</th>
<th>Progress</th>
<th>Barriers</th>
<th>Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inviting community leaders to Watch Group</td>
<td>March 1</td>
<td>Contact the members in the list</td>
<td>Five have accepted and two have rejected</td>
<td>Force from thugs in the community</td>
<td>Find two replacements</td>
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Session 16
Project Evaluation

Session Objectives: At the end of the session the participants will be able to:

♦ Define what project evaluation is and recognize the necessity for carrying out systematic evaluations in implementing action plans in the community.

♦ Identify the major "dimensions" of a systematic evaluation process.

♦ Design a simple framework for evaluation of the action plan.

Time: Two hours

Materials: Newsprint, felt pens,
Handouts No. 16.1: Dimensions of Evaluation
Handout No. 16.2: Evaluation Design Worksheet.
An enlarged diagram of the Evaluation Design Worksheet.

METHOD: FRAMEWORK MAPPING

Step 1: Make a short introduction saying that everyone does some kind of evaluation in his/her normal day-to-day life. However, these evaluations are neither systematic nor scientific. This session will focus on a systematic way of carrying out a project evaluation. Ask each participant to reflect on how to define evaluation in his/her own words. Instruct them to put down their thoughts on a paper.

Step 2: Divide the participants into the four sub groups and ask each member to share his/her definition with the group in order to develop a group definition. Ask the group leader to get the responses from all the members in the group and formulate a group definition incorporating the important elements.

Step 3: Reassemble the four groups. Instruct the spokesperson from each sub group to present the group definition. Process the four definitions for similarities and differences. Combine the four definitions and develop a final definition.

Step 4: Rewrite the group definition on a newsprint and post it on the wall for the entire group to see. Display two or three standard definitions on evaluation developed by community development activists. Compare these definitions with the definition developed by the group and commend on the quality of the group definition emphasizing that it is also a very good definition of a project evaluation.

Step 5: Distribute the handout no. 16.1 on Dimensions of Evaluation and ask the group to take 15 minutes to read the contents in the handout. Ask for any clarifications needed and respond until there is complete clarity.

Step 6: Inform the group that now they have a clearer notion about what evaluation is and therefore, at this point we can start developing a systematic framework for evaluating the project. Ask the participants to imagine a hypothetical situation in which the project they had planned in this workshop, “Setting up a Watch Group in the Model Village to
Combat Violence, Corruption and Bribery” has been implemented in their Model Villages for the last six months. The members of the Village Society feel that an evaluation of the project should be done to assess its impact on the community. Ask the participants to think of how they should do the evaluation. Give few minutes to silently brainstorm the process in their minds.

Step 7: Instruct the members to present their ideas to the group. As the participants present their ideas, write these down on the board/newsprint, following a pattern that help later in categorizing the responses into a systematic framework. (For example, if the participants say that we have to know what the objectives of the project are in order to evaluate the project, write the responses in the most left hand corner in the board. If they indicate that they should decide what techniques should be used, list them towards the center.)

Step 8: After brainstorming for ideas, indicate that all the ideas presented are important parts of a systematic design for an evaluation. Review the ideas presented by the participants and put them in a logical pattern. Distribute the handout no. 16.2 on Evaluation Design Worksheet. Discuss the different columns in the worksheet and compare it with the pattern of ideas presented by the participants on the board/newsprint. Emphasize the similarity. Go through each column on the worksheet with participants. Consolidate the ideas further using examples from the participants.

Step 9: Ask the participants to go back to their small groups and complete the worksheet in order to design an evaluation framework for the action plan they implemented in the village six months ago. Remind them to appoint a spokesperson to present their framework to the whole group. Give them enough time to do the group work.

Step 10: Reassemble the groups. Ask a spokesperson from each group to present its framework/report. After all the four groups have presented their reports consolidate the four reports into one and develop it into a comprehensive or complete evaluation framework. Use the enlarged worksheet in the newsprint to do this activity so that the participants can clearly observe. Encourage the participants to ask questions for any clarification on column items or the framework.

Step 11: Review the process and conclude the session emphasizing that what they just completed is a systematic framework for an evaluation. Highlight the important learning elements. Commend the excellent work done. Inform that this session on evaluation concludes the workshop activities.
Handout No 16.1

DIMENSIONS OF EVALUATION

A. "Who" should carry out the evaluation?

* A special work group appointed by the community?
* Beneficiary group in the project?
* Funding agency?
* External evaluation specialists?
* All of the above categories combined?

B. "What" should be evaluated?

* Whether the project objectives have been achieved?
* Whether the results are satisfactory when compared to the resources invested?
* How can the project be improved?
* What components should be changed?
* What went right? What went wrong?
* What are the direct/indirect benefits and/or impact?

C. "Why" should the project be evaluated?

* To submit the results to the funding agency?
* For the project committee to know why it didn't yield the expected results?
* For beneficiaries to get an idea as to whether they have received the expected benefits?
* For project implementors to decide whether to extend the project to other communities?
* To learn to avoid similar mistakes in future projects

D. "When" should the evaluation take place?

* At the beginning? middle? end?
* Continuously? monthly? tri-monthly?
* Six-months after the project is over?

E. "How" should the project be evaluated?

Discuss and decide on the following points:

* What information is needed?
  Example: economic benefits gained by the beneficiaries
* What are the sources of information?
  Example: informal leaders in the community

* What techniques should be used in getting the information?
  Example: group discussions

* What tools are necessary to get the information?
  Example: a checklist

* How should the information be analyzed?
  Example: % of participants benefited by the project

* How will the evaluation results be used?
  Example: to make changes in policy directions

Handout No. 16.2

Evaluation Design Worksheet

<table>
<thead>
<tr>
<th>1 Objective to be Accomplished</th>
<th>2 Information Needed</th>
<th>3 Sources</th>
<th>4 Techniques/Methods</th>
<th>5 Instruments</th>
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PART III

Workshop Evaluation Forms

Sri Lanka

G R O W
Grassroots Organizing by Women
Evaluation of Today's Training

**Skills I was able to develop today**

1. ..........................................................
2. ..........................................................
3. ..........................................................
4. ..........................................................
5. ..........................................................

**Attitudes I was able to widen today**

1. ..........................................................
2. ..........................................................
3. ..........................................................
4. ..........................................................
5. ..........................................................
Evaluation Form II

Workshop Evaluation

1. What new idea did you learn about today?

2. What was the most interesting part of today’s session(s)?

3. What idea will you be sure to share with someone outside our group?

4. What was most meaningful to you today?

5. What was the least meaningful to you today?

6. Which of your behaviors will you change as a result of today’s session(s)?

7. Any other comments or suggestions.
How do you feel now?

EXHAUSTED  DISAPPROVED  DISAPPROVING

CURIOUS  ANXIOUS  CAUTIOUS

BLISSFUL  HAPPY  ECSTATIC
Form IV

Final Evaluation

1. How do you rate the learning experience gained during the workshop?
   Very valuable  5  4  3  2  1  not valuable

2. Please rate the overall usefulness of the workshop in carrying out your professional responsibilities.
   Very valuable  5  4  3  2  1  not valuable

3. What was your best learning experience in the workshop?
   Very valuable  5  4  3  2  1  not valuable

4. Throughout the workshop, efforts were made to secure the participation of everyone in learning activities. Do you think it was achieved?
   Very valuable  5  4  3  2  1  not valuable

5. Do you have any unmet expectations from the workshop?
   Yes No
   If yes, what were they?

6. What are your suggestions for further improvement of the workshop?

7. Any other comments.