



The Spirit of Consuelo

AN EVALUATION OF KE AKA HO'ONA

DANIEL STUFFLEBEAM, ARLEN GULLICKSON, & LORI WINGATE

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Consuelo

**AN EVALUATION
OF
KE AKA HO`ONA**

A VALUES-BASED, SELF-HELP
HOUSING AND COMMUNITY DEVELOPMENT PROJECT
FOR LOW-INCOME FAMILIES IN HAWAII

Sponsored and Operated by
CONSUELO FOUNDATION

DANIEL STUFFLEBEAM, ARLEN GULLICKSON, & LORI WINGATE

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An Evaluation of

Ke Aka Ho`ona

Daniel Stufflebeam, Arlen Gullickson, Lori Wingate

SUBMITTED BY THE EVALUATION CENTER
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Kalamazoo, Michigan 49008-5237

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The Spirit of Consuelo: An Evaluation of Ke Aka Ho`ona

Study period 1994 through 2001

April 2002

PRESENTED TO CONSUELO FOUNDATION

Patti Lyons, President and CEO

For the Foundation's discretionary use

Intended as feedback to those who made the project work as well as it did: the 75 families, Foundation leaders and board, and project staff.

Also intended as documentation, analysis, and assessment of this substantial, noteworthy undertaking that the Foundation may choose to share with interested audiences, including community developers, social workers, foundation personnel, government officials, and evaluators

This project not only assessed the participants' accountability, but yielded many valuable lessons about community development and self-help house construction. Examined matters included program planning, neighborhood plat, standard and duplex house designs, ethics and values, covenants, selection of participants, social integration, collaborative construction, energy conservation, stress and conflict management, financial counseling, creation and maintenance of crime- and drug-free environments, identification and employment of outside resources, programming for children and youth, leadership development, community organizing, and using evaluation to document and guide progress.



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*What matters in life is not great deeds, but great love.
St. Therese of the Child Jesus did what I want to do in life . . .
to let fall from heaven a shower of roses.
My mission will begin after my death.
I will spend my heaven doing good on Earth.*

—Consuelo Zobel Alger

*They were the project's homebuilders,
beneficiaries, and informants;
they accomplished much, developed
considerable expertise, and now hold
the project's future in their hands.*

The Ke Aka Ho`ona Homeowners

Luisa & Ricky Abarca, Bridget & Joe Abell, Imiola & Saff Aina, Zelda & Daniel Akana, Dennis Alimoot & Carolyn Leandro, Lela and John Ambrocio, Traci & Robert Asuncion, Carla & Ronaldo Belaski, Candace Bradley, Yolanda & Kimo Burke, Mady & Devin Burke, Jaime & Henry Burns, James Campbell, Debbie & Lloyd Canionero, Cheryl and Linton De La Cruz, Tamara & Ronald Desoto, Nadine Dudoit & Bobby Palakiko, Cathy & Joey Frederick, Naomi Garner, Charmaine & Kalani Gasper, Mari & Wilfred Goo, Kehau & Eddie Guzman, Carol & Kimo Hamilton, Kim & Emil Hanohano, Lei & George Hanohano, Cheryl & David Hauhio, Maleka & Augie Hauhio, Darlene & Jon Horswill, Rovenia & Romel Juan, Leihua & David Kaauwai, Pua & Alva Kaiwi, Nani & Kimo Kalaau, Brenda & Reggie Kalahiki, Deedee & Mana Kamakele, Staci & Leroy Kamealoha, Suki & Kimo Kaululaau, Cherylee Koko & Rhoel Domondon, Clarissa & Luke Kwiatkowski, Corinna & Abraham Kyle, Pebbles & James Laa, Tina & Masi Lafua, Shawna & Richard Landford, Jenny & Shylo Lopes, Liana & Lance Lopes, Lee & Ivan Loughmiller, Robert & Jonelle Lyau, Cheryl & Mike Martin, Alexis Maunakea, Je'nae & Alfred Meyers, Tita & Jason Miller, Kaai & Leighton Panui, Paulette & Ben Pokipala, Charrise & Ray Quon, Gemma Rellin, Steven & Dorothy Rivera, Hallie & Robert Robello, Tammy & Mike Romero, Jewel & Joe Romero, Yvette & Dennis Sakamoto, Leihua & Siva Savini, Keni & Royce Silva, Leona & Andy Tafiti, Lesley & Darren Torres, Melanie & Tom Uyeda, Susan & Ron Vea, Rosie & Frank Verano, Kai & Dell Victorino, Keala & Steve Vierra, Ui & Cris Visoria, Jeri & Dave Weber, Adrianne & Louis Wendt, Cassie & Jemery Willes, Kim & Peewee Yamamoto, Bruce Yamamoto, Marie & Kaleo Young.

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Prologue

The evaluation reported herein originated in a 1993 chance encounter in Quito, Ecuador, between President Patti Lyons of Consuelo Foundation and me. This was a most important, fortuitous meeting for me. I was in Ecuador to help the International Youth Foundation evaluate programs for youth in developing countries. President Lyons was attending the evaluation meetings as an observer. During a break she introduced herself to me and said she would like me to assist her foundation evaluate a community development/self-help housing project in Hawaii. At the time, I was conducting for the John D. and Catherine T. MacArthur Foundation a seven-year study of housing rehabilitation being done by Chicago's Local Initiatives Support Corporation and community development corporations throughout Chicago; and I was immediately interested to learn about the similar work in Hawaii.

Though funded at a level of more than \$10,000,000, the work in Chicago had been an uphill struggle. It was one thing to rehab run-down houses in a slum area. It was quite another matter to place poor families in the houses and see them succeed in maintaining the houses and also bringing order, safety, and stability to their crime-ridden neighborhoods. Unfortunately, many of Chicago's previously rehabbed houses in disadvantaged neighborhoods had become run-down and taken on their former blighted appearance. As told to me by an official of Chicago's South Shore Bank,¹ most inner-city rehab projects were prone to fail, not only because of the crime in the streets, but because the persons placed in the houses lacked employment and employable skills. Without resources for maintaining the properties, families could enjoy the houses for a while, but would inevitably fail to keep them up. Also, fixing up old houses had little to do with combating the deeper problems of crime, drugs, and poverty. This was especially so when isolated rehabbed houses were interspersed among rundown properties in slum neighborhoods.

As I considered President Lyons' invitation, I wondered if she and her colleagues had found or would find ways to provide housing for poor people such that they could succeed over the long haul in maintaining their homes, paying for them, and building a safe, healthy community environment for their families. I was glad to learn that President Lyons wanted answers to the same questions. Moreover, she wanted evaluation to be built into her foundation's project from its beginning. And, possibly most important, she wanted the project's staff to make systematic use of evaluation throughout the project in order to identify and address problems as they arose, assure the project's eventual success, and develop an understanding of how to succeed in community development.

My colleagues at The Evaluation Center and I are grateful for the opportunity we have had to closely observe and assess Consuelo Foundation's Ke Aka Ho'ona self-help housing project on Oahu's Waianae Coast from 1994 through March 2002. We issued formative evaluation reports throughout the project, and we have seen the Foundation's leaders and project staff take account of and use the

¹ In the 1980s and 1990s, Chicago's South Shore Bank was acclaimed as one of the United States' most productive rehabbers of run-down houses in urban slums.

evaluation findings. We have collected and assessed a great deal of information and learned much as we watched the Foundation's extensive, sustained community development efforts.

In 8 years the Foundation's staff and involved families have converted a vacant 14-acre plot of agricultural land in the midst of one of Hawaii's most depressed environments to a beautiful, values-based community, now housing 75 low-income families, including approximately 235 children. Mainly, the families built the houses themselves. The houses are of high quality, beautifully landscaped, and none of the properties have become run-down. At this writing, only one family has defaulted on a mortgage and left the community. Because they were selected for their employability, virtually all of the families are gainfully employed. Upon entering the project, almost all of the families' incomes ranged between 40 percent and 80 percent of Oahu's median income. The Ke Aka Ho'ona community has remained virtually crime-free, while its surrounding environs have continued to see high rates of drug abuse, thefts, violence, and other crimes. At this writing, the Foundation is working with the Ke Aka Ho'ona families to establish a homeowners association, so that the residents can take over the community's governance and operations and sustain and build upon what has been achieved.

More than eight years after we began this study, I look back on the experience as one of The Evaluation Center's most fascinating, educational, and professionally fulfilling evaluation assignments. As evaluators, we issue our findings as we see them—stating weaknesses as well as strengths. We will do so in this summative evaluation report. We have never been reluctant to judge a project a failure when the data so indicated. However, it is a welcome if rare privilege to report that a project met or exceeded expectations for quality and significance. We have such a privilege in presenting this report. I would like to think that our evaluation work has played an important part in what we now conclude to be a truly unique and quite successful community development/self-help housing project, with promising prospects for sustained success.

I am glad that I met Patti Lyons in 1993. She, her colleagues at Consuelo Foundation, and most especially the involved 75 low-income families have struggled through a complex, difficult project and produced a vibrant, healthy community. While much remains to be done in sustaining and going beyond what has been accomplished and in making a positive impact on the surrounding environment, this project has clearly earned a judgment of achievement, high quality, and significance.

Daniel L. Stufflebeam

Evaluation of Ke Aka Ho`ona: A project to serve Hawaii's working poor by promoting the community values and philosophy of Consuelo Zobel Alger, who sought to create communities of families with children who would be free from physical, drug, and alcohol abuse and in which each person would give back to the community as a whole the support and care he or she received from the community

Introduction

Millions of families throughout the U.S. need but have been unable to secure decent, affordable houses located in safe, supportive, and healthy environments where they can confidently and successfully rear their children. This report tells the story of and critically examines how a charitable foundation mounted and conducted an innovative project to address housing and community development needs in one of Hawaii's most depressed and crime-ridden areas, the Waianae Coast on Oahu. The subject project engaged and assisted 75 families to build their own houses in a community grounded in positive values for community living.

We construe this effort as one of the Foundation's signature projects. Its title—Ke Aka Ho`ono—is intended to convey in Hawaiian “The Spirit of Consuelo.” This label not only honors the memory of its benefactress Consuelo Zobel Alger, but also is meant to stress the fundamental importance of the positive family and community values she mandated for the Foundation's work.

This composite of three reports is directed first to help Consuelo Foundation, which conducted the Ke Aka Ho`ona self-help housing project and also contracted for this independent evaluation, to take stock of and critically examine what it accomplished. Because the subject project addressed an area of pervasive national (and worldwide) need, the sponsor requested that the final report also be aimed at the broad audience of organizations and professionals who need to find better means of improving the housing and living conditions of low-income families. Included in this second audience are other charitable foundations; local, state, and national government agencies; and social workers and community development specialists. A third audience includes the families that the Ke Aka Ho`ona project served; they are the project's main stakeholders and contributed mightily to the information used to prepare this report. Finally, this study employed evaluation strategies and procedures that could be of use to the wide variety of groups that commission or conduct evaluations of self-help housing/community development projects. These include foundations, government agencies, university research and evaluation centers, evaluation companies, and professional evaluation societies.

This document is comprised of three distinct reports that address the potential interests of this full range of audiences. Following this introduction, Report One focuses on the project's antecedents—Consuelo Foundation, the project's genesis, and the project's context are described. Report Two conveys information on the project's implementation, with an overview of the project and more detailed descriptions of its main operations. Report Three—on the project's results—presents the evaluation design, findings, and overall conclusions. We have kept the sections in the three reports discrete, so that the different readers can go directly to the information that most interests them, without necessarily having to read the entire document from beginning to end.

Report One opens with our characterization of Consuelo Foundation. To fully appreciate the nature and achievements of the Ke Aka Ho`ona project, one needs to understand the background and orientation of its sponsoring foundation. This organization, founded in 1988, is quite new and

unique. Especially interesting is the Foundation's grounding in an explicit set of values and its main approach as an operating foundation that functions both in Hawaii and the Philippines. Given this introduction we subsequently describe how and why Consuelo Foundation undertook the Ke Aka Ho'ona self-help housing/community development project. This includes an account of an initial mis-start, in which the Foundation sought to serve the poorest of the poor with a mortgage-based strategy of self-help housing. This was followed by some needed redefinition of the target audience. The section also notes the Foundation's systematic search for self-help housing projects that succeeded elsewhere. To conclude Report One, we describe the Waianae Coast area where the Ke Aka Ho'ona project is operating. This section is designed to help the reader appreciate the area's location in Oahu, its geography and climate, its economic and social conditions, its strong points, and the needs and problems of its residents.

Report Two details the project's implementation. First, we provide a holistic overview of the Ke Aka Ho'ona project. This overview acquaints the reader with the project's goals, main procedures, staffing, timetable, and financial plan. The remaining sections in Report Two respectively provide descriptions of the project's recruitment and selection of builders, home financing and financial support, construction process, and social programs and community development efforts. This report on project implementation conveys our conception of how the project was designed and operated. It reflects our annual observations and data collection and the documentation we were able to obtain. We tried to keep the accounts of project implementation descriptive, while reserving our judgments for Report Three. Report Two should be of interest especially to groups that plan to launch similar housing and community development projects and need information on how to organize, schedule, staff, and carry out the various required activities.

Report Three focuses on the evaluation approach and results. First, we describe the evaluation approach we followed. This section presents our concept and general model of evaluation, identifies the main methods employed, and summarizes our schedule of data collection and reporting. Next, we present our findings. The findings section is organized in accordance with the evaluation plan, which called for assessments of context, inputs, process, impacts, effectiveness, sustainability, and transportability. Basically, this section assesses the project's soundness and feasibility of design; quality of implementation; success in reaching qualified applicants; effectiveness in meeting assessed and targeted needs, particularly in serving the beneficiaries; long-term viability; transportability; and overall significance. To conclude Report Three, we summarize what we see as the project's main strengths and weaknesses and present our overall judgment of the project's merit and significance. In issuing our judgments of project strengths and weaknesses, we gauged the project against the participant families' needs upon entering the project, the pertinent community and individual human needs we were able to discern, and the Consuelo Foundation values undergirding the project.

The epilogue stresses the importance of ongoing efforts to assure and document the project's success. Among the needed continuing efforts are community organizing and governance and follow-up evaluations.

In the three reports, we attempted to tell the story of Ke Aka Ho'ona in both words and pictures. At the end of Report One on project antecedents, we provide photographs to help the reader appreciate

the nature of Consuelo Foundation and the environment surrounding Ke Aka Ho`ona. Following Report Two on project implementation, we present a series of photos to show how the project was carried out and to acquaint the readers with the principal participants. At the end of Report Three on project results, photos depict the visible outcomes of the 8-year project, including beneficiaries by their homes and in the community and the neighborhood's tangible features.

Nine appendices document what we did in conducting the evaluation and how we did it. The information in the appendices may help other evaluators conduct similar studies and also provides a basis for judging the adequacy of this evaluation. Included are a list of evaluation reports, a handbook that guided traveling observer work, records of when families were interviewed for case studies, copies of interview protocols, a list of the involved evaluation personnel, our attestation of the extent to which the evaluation met each of the 30 Joint Committee (1994) standards for program evaluation, an executive summary, and a checklist derived from this evaluation and intended to help guide future applications of the CIPP Evaluation Model.

REPORT ONE

Project Antecedents

There is a lot of needy people out there, but we was fortunate enough that Consuelo had a giving heart and the will to help people. She might have died, but her spirit lives through us.

—Ke Aka Ho'ona Resident

A candle loses nothing by lighting another candle.

—Erin Majors

1

Consuelo Foundation

Consuelo Zobel Alger Foundation was founded in 1988 by its namesake, Mrs. Consuelo Zobel Alger. The Foundation's mission is "to operate or support programs in Hawaii and the Philippines that improve the life of disadvantaged children, women, and families." The Foundation "envision[s] communities in Hawaii and the Philippines in which disadvantaged children, women, and families achieve dignity, self-esteem, and self-sufficiency resulting in renewed hope for those who have lost it and hope to those who never had it." Consuelo Foundation has three overarching programmatic goals:

1. Reduce the incidence of child abuse and neglect and improve the quality of life of exploited children.
2. Strengthen families and neighborhoods.
3. Enhance the well-being and status of underprivileged women. (Consuelo Zobel Alger Foundation, 1999).

Mrs. Alger charged the Foundation to especially serve the poorest of the poor and, in its Hawaii work, to give priority to native Hawaiians but also to serve persons of other ethnic backgrounds.

A set of eight values guide the Foundation's work as it seeks to fulfill its mission, vision, and goals. These values are spirituality, individual worth, caring and nurturing, participation and reciprocity, prevention, creativity and innovation, teamwork and collaboration, and Philippine and Hawaii connectedness (Consuelo Zobel Alger Foundation, 1999).

Consistent with its guiding values, the Foundation's approach to serving the underprivileged is holistic. In tackling deep-rooted and systemic social problems, piecemeal and quick-fix approaches are of little value. Terry George, Chief Program Officer, described the Foundation's community development approach as follows:

Our community development approach is comprehensive rather than piecemeal, preventive rather than palliative, and long-term rather than short-term. We also take an assets approach rather than a deficit approach to community building. In other words, we look for what is right in families and communities and seek to deepen that, rather than looking for what is wrong and seeking to treat that. We also believe that communities everywhere contain the talent and potential to solve their own problems if they adhere to common values and if they receive the kind of support they need to strengthen their capacity to work together. Our work, therefore, is in essence the building of capacities: in individuals, in families, and in communities. (George, 2000, p. 118)

Consuelo Foundation's headquarters are located on Hotel Street in Honolulu's Chinatown. The Foundation also has offices in Manila, Philippines, and at the Ke Aka Ho'ona community center in Waianae on the leeward coast of Oahu. A six-member board governs the Foundation. The Foundation's initial endowment from Mrs. Alger was \$100 million. In allocating resources to projects, the Foundation devotes approximately three-fourths of available funding to Philippine

efforts and one-fourth to projects in Hawaii. The Foundation generally prefers to operate its own initiatives, such as the Ke Aka Ho`ona self-help housing project, but also contracts with other organizations to conduct projects and awards a small number of grants.

2

Genesis of the Ke Aka Ho`ona Project

In 1988, the Consuelo Foundation's board faced a major challenge. Through what development strategies and projects could they best address Mrs. Alger's mandate that her foundation serve the poorest of the poor in Hawaii and the Philippines, especially the needs of native Hawaiians and neglected, abused, and exploited women and children in both target areas?

Foundation President Patti Lyons had substantial experience in providing social services on Oahu's Leeward Coast. She and her Foundation colleagues knew that this area was blighted and unsafe; had many disadvantaged women and children; had a substantial population of needy native Hawaiians and persons of a wide variety of other ethnic backgrounds; and lacked affordable, decent housing.

In considering the Foundation's mission, its areas of expertise and experience, and how other foundations were serving poor people, the board decided to conduct community and housing development projects for poor people. The Foundation's leaders saw the development of housing as a concrete, feasible way to address the needs of Hawaii's poor and press forward with a major community development initiative. Through this approach, they hoped to help beneficiaries depart from their crime-ridden, depressed neighborhoods and become residents of healthy communities. Self-help housing was selected as a potentially strong and workable approach to empower and assist underprivileged families to live in and maintain good houses; reside in healthy, secure neighborhoods; develop their talents; build positive futures for their children; and undertake the challenges of productive, responsible community citizenship and leadership.

It is important to consider that Consuelo Foundation, established in 1988, was relatively new when it started the Ke Aka Ho`ona project. Its personnel had limited expertise and background in the project areas it would pursue. Nevertheless, the Foundation had important assets to support its projects.

Board members had substantial expertise in architecture, engineering, finance, law, and social work. Moreover, they had valuable contacts in Hawaii's government and power structure. Also, Patti Lyons had extensive social work experience and a strong network of colleagues in the social work community, nationally and internationally. Moreover, her close, personal friendship with Consuelo Zobel Alger gave President Lyons a deep understanding of Mrs. Alger's wishes for her foundation. The group that started the Foundation's work knew that low-income persons in the Waianae area had an acute need for affordable housing and safe, drug-free neighborhoods. They confirmed with area leaders and service groups that the Foundation could pursue no more important undertaking than developing affordable housing for the poor. Foundation personnel became committed to do whatever was in their collective powers to effectively address that need. Finally, and of fundamental importance, all Foundation efforts were to be grounded in the organization's values of spirituality, individual worth, caring and nurturing, participation and reciprocity, prevention, creativity and innovation, teamwork and collaboration, and Philippine and Hawaii connectedness.

What distinguishes Consuelo Foundation from other foundations is its commitment to operate most of its own projects, rather than fund other organizations to conduct the work. Following this approach, Foundation personnel increasingly have developed their insights in the area of community development.

Since the Foundation initially had no experience in operating any major project, its leaders sought project ideas from other nonprofit organizations. They desired a project that would take advantage of the board's expertise, could be operated in a depressed and problematic region, and could be employed as a learning laboratory. In considering how to proceed, Foundation personnel visited and studied 13 self-help housing projects in California that possibly could serve as models.

Afterwards, the board deliberated and made basic programmatic decisions. They would employ a self-help housing strategy, with the client families building their own houses. This decision was bold, since the new Foundation's leaders had little direct involvement in many aspects of community development and, in particular, had no experience in self-help housing. Also, the Foundation was still hiring its staff.

To launch the Foundation's first major project, the board decided to work in a particularly depressed area of Oahu, Hawaii. In 1990, the Foundation had purchased a 14-acre plot of land near the Waianae Coast for \$1.5 million. Consistent with Mrs. Alger's mandate, the Foundation would deliver the project to this area's poorest of the poor.

During the project's early stages, the Foundation allowed the state of Hawaii to place a Weinberg Village of small cabins for housing homeless families on one side of the 14-acre plot. The state agreed to relocate the occupants and remove these structures and its infrastructure after 5 years. After some difficulty and about 6 years into the project, the Foundation succeeded in getting the state to fulfill this agreement.

The Foundation's leaders and project staff soon found that it was not feasible to target a self-help housing project to the area's poorest of the poor. Such persons could not qualify for mortgages, a key project requirement. For example, residents of the Weinberg Village, which for more than five years sat on the Ke Aka Ho'ona site, arguably included some of Hawaii's poorest of the poor when the project began. However, almost none of them could secure the mortgages required to be accepted into the project. Two of the Weinberg families did acquire mortgages and later were admitted to the project, but on the whole the Ke Aka Ho'ona self-help housing strategy lacked feasibility for serving Hawaii's poorest of the poor.

Whereas it might seem that the Foundation's leaders had been naive in thinking that self-help housing could serve the poorest of the poor, they had no experience against which to judge this assumption's viability. For example, they didn't know, but would soon discover, the limits of risks the available lending institutions would accept. The Foundation's leaders had pursued a trial-and-error approach and soon found their learning curve to be quite steep.

At this point, the Foundation's leaders might have abandoned self-help housing and pursued a strategy more suited to the poorest of the poor. However, they knew that many of Hawaii's low-

income people needed but could not obtain decent, affordable housing. They recognized that the Foundation's personnel needed to learn how to conduct housing projects effectively and accepted that experience would likely be their best teacher. They also saw in self-help housing a potentially powerful approach, not just to developing houses, but building values-based communities of strong families.

Thus, the Foundation's leaders decided not to abandon self-help housing, but instead to redefine the target audience—not for the Foundation as a whole, but for this project. The project subsequently focused on serving those people in Hawaii who, because of their economic situations, would probably never own a home, but who could qualify for mortgages and meet the project's other requirements. The project targeted families with incomes between 40 and 80 percent of Oahu's median income. Without such a project this group of low-income families would continue to be trapped in crowded and unsafe living circumstances and would be unlikely to become homeowners.

Being mindful of the Foundation's mission to serve the poorest of the poor, the board took steps to honor this mission while simultaneously conducting the Ke Aka Ho'ona self-help housing project. Seventy-five percent of the Foundation's project resources would go to projects targeted to serve the poorest of the poor in depressed areas of the Philippines. Example Philippines-based projects that followed this decision included shelters for abused women and children, livelihood training for the poor, programs for street children, assisting and constructing facilities for orphanages, and building houses for low-income Filipinos. Also, across the eight increments, the project accepted about eight families that were at high risk of failing. These families brought such personal challenges as being a single parent, having a history of abuse and neglect in their own lives, having previous problems of substance abuse, having a history of domestic violence, and being too poor or debt-burdened to qualify for a mortgage. The Foundation assisted the poorest of these high risk families by providing them with rent-to-own agreements. By accepting and assisting these very needy participants—few though they were—the Foundation honored the spirit of its basic mission to serve the poorest of the poor.

3

Waianae Coast Context

Much of the information presented in this section is based on the environmental analysis and program profile reports prepared during the first half of the eight-year evaluation. The environmental analysis and program profiles procedures were discontinued after 1998 due to a request from the Foundation that evaluation costs be reduced. Therefore, some of the information provided is dated. However, we do not think conditions have changed much since that time, and the section provides a good picture of the conditions present during the project's early years.

Waianae is a semirural community on the leeward coast—western shore—of the island of Oahu. Nestled against the ocean, the community of approximately 40,000 people lies between and is isolated by the Waianae mountain range and the ocean. As suggested by the term *leeward*, this portion of the island receives little rainfall and is an arid, sunny part of the island. As noted in the 1997 *Program Profile*, because of the dry climate and for other reasons, homeless persons and families have tended to congregate on leeward coast beaches.

The Waianae community is economically depressed. As the 1997 *Program Profile* states, “Economically, Waianae and the leeward coast is perceived as one of the poorest sections of the island” (p. 24). The community does not benefit from the large tourist trade on other parts of the island (e.g., Honolulu and Waikiki), and there are no major hotels in the area. Nor are there any major industries in the community. The largest area “businesses” include an electricity generating plant to the southeast of Waianae and U.S. military reservations both to the southeast and the northwest (there is no military housing in this area).

The two-lane Farrington Highway runs generally southeast to northwest following the coastline and is the only publicly available highway from Honolulu, one-hour distant to Waianae. Mountains to the east preclude construction of an additional highway in that direction, and a previous road around the island's northwest corner, Ka'ena Point, has been closed for several decades. Because Farrington Highway is the only road access to the community, road construction or auto accidents significantly increase commute times. Closing the highway, which happens in emergency situations, effectively cuts off the community from the rest of the island and sometimes separates family members who may be on different sides of the closure—for such reasons as school, jobs, and home activities. In one case, we and many others were prevented from entering (or leaving) Waianae for most of a day due to a hostage situation that occurred on Farrington Highway. This example underscores the relative isolation and illustrates the volatile atmosphere of Waianae.

To the southeast and northwest of Waianae, as well as along the west side of the Waianae community, are beautiful extended beaches and rocky outcroppings. Families in Ke Aka Ho'ona regularly use these beaches for their family gatherings, fishing, and swimming. Just to the north of Waianae is Makaha. Makaha has a larger though struggling tourist trade, with smaller hotels and 2 golf courses near the Makaha Beach. Makaha Beach, one of the world's most spectacular, is a

popular site for surfing contests. About a 20-minute drive to the northwest, the highway ends abruptly at a beach. A dirt path, a road at one time, extends from that stopping point to the Ka'ena Point State Park at the very northwest end of the island (approximately a 1-hour hike). Another hour hike along the north coast is required to reach the highway along the northern coast. Throughout the project's life, we have noticed that along the highway route northwest of Waianae, near the end of the highway, many people set up semipermanent ramshackle camps that apparently serve as long-term shelter. To the southeast of Waianae, the highway passes through two small communities, Maili and Nanakuli, before turning to the east where it becomes a 4-lane Interstate Highway (H1) to Honolulu.

Waianae is a bedroom community. That is, most persons living in Waianae are employed in jobs outside Waianae. Many persons we interviewed at Ke Aka Ho'ona work in military-based communities such as Pearl City, in Honolulu, or even more distant locations, such as Kaneohe on the island's east (windward) side. Commute time often requires an hour or more one way. In the eight years we have been evaluating the Ke Aka Ho'ona project, the Waianae community has grown to include several fast food restaurants and gas stations, indicators the community population is holding its own and increasing. On the other hand, it is common to see boarded up commercial buildings, where businesses have failed.

Houses in the Waianae community tend to be small and single story. Most housing in the community is of poor construction or poorly kept. Neatly kept neighborhoods are an exception, and disabled cars, other equipment, junk, and overgrown vegetation are commonplace in the small yards.

As is typical of rural/isolated communities, prices for regular commodities tend to be a bit higher than can be obtained from the city. For example, the 1997 *Goal-Free Evaluation* report noted,

the [Ke Aka Ho'ona] project does not buy its building supplies and equipment from businesses in the Waianae community because, according to the contractors, these are less expensive and more available "in town" (Honolulu). As a result, the Waianae Coast community misses out on an economic ripple effect from the construction of these homes. (p. 12)

The following excerpt from the 1997 *Program Profile* provides additional perspective on the depressed character of the Waianae area and some insight into the nature of Waianae residents:

The Waianae Coast has long been regarded as one of the poorest communities on Oahu. Still, in recent years, economic conditions for the community's 38,000 residents have deteriorated. An article in the Sunday, August 27, 1995, *Honolulu Advertiser* (pp. F1-F3) listed evidence of the worsening economic conditions in the community:

1. 1994 unemployment in the community was 10.7 percent—more than twice the Oahu rate of 4.7 percent and nearly double the statewide rate of 6.1 percent.
2. One supermarket owner reported that the number of people using food stamps has risen 20-25 percent since 1993.

3. The closing of 2 landmark businesses—the Sheraton Makaha² with 170 employees and the Cornet store with 20 employees—is likely to throw many Waianae people out of work.
4. The Waianae Coast office of the Honolulu Community Action Program—a nonprofit agency that helps people who need food, clothing, and housing—reported a dramatic increase in the number of clients it serviced in the first half of its fiscal year.
5. A Waianae bank branch reported that commercial and consumer loan delinquencies are on the rise.
6. A Makaha realtor has evicted 6 people in the last year, compared to only 3 in the previous 15 years.
7. Approximately 9 percent of Waianae’s residents are college graduates.
8. According to state officials’ estimates, approximately 10,200 people from Makakilo up the Waianae Coast (25 percent of the area’s residents) receive welfare from the state and federal governments. Sixty-six percent of these recipients are children.
9. The Waianae public school system has one of the highest truancy rates in the state (*Honolulu Star Bulletin*, 1996). Waianae High School’s truancy rate is the highest in the state with 21 percent of the student body being absent on any given day. As many as 400 students are absent from the public school system in Waianae each day. (*Program Profile*, 1997, pp. 11-15)

The nature and extent of Waianae’s depressed condition is more apparent when it is juxtaposed against the larger Oahu population. The income of Oahu’s families is low, the cost of housing is high, the quality of education is among the lowest in the U.S.A., and crime is an ever-present fact of life for residents. These factors, as reported for Oahu in general, are particularly onerous for Waianae residents. Again, factors listed in the 1997 *Program Profile* help to make this point:

1. An article in the May 30, 1996, *Honolulu Star Bulletin* claimed that "nearly half of Oahu's renters don't make enough to afford an average one-bedroom home, forcing many to live in overcrowded quarters," although there was a slight improvement in the percentage who could afford one-bedroom housing in 1996 over 1995 figures. In 1996, 53 percent of the renters earn less than the average needed for a two-bedroom house, despite the fact that the rents have gone down 9 percent between 1995 and 1996.
2. An article in the June 18, 1996, *Honolulu Star Bulletin* reported that refurbished plantation homes in Ewa [a community closer to Honolulu], slated to be sold to former plantation workers, were out of their price range at \$118,000 to \$135,000 (special prices for former plantation employees). The same units "affordably priced" sold between \$147,400 and \$178,900 and increased to \$260,000 for the same units at "market price."
3. A [1997] report compiled by *Education Week* gave Hawaii the lowest mark in the nation for teacher quality and the second lowest mark in funding for public education. The study ranked Hawaii last nationally for the number of fully licensed teachers, adding that the state lacks an effective means to evaluate teacher performance, offers few incentives for professional development, and pays teachers the lowest salary (adjusted for the cost of living) in the country. The report also cited poor working conditions, few professional development opportunities, and low salaries as obstacles that make teaching in Hawaii difficult. In addition, because of limited construction budgets, many classrooms are overcrowded. Finally, the study found that Hawaii spent \$4,724 per student in 1995 (a 3 percent drop in 10 years) compared with

² This facility and its grounds have since been converted to condominiums within a gated community.

New Jersey, the state with the highest marks in funding, at \$8,118 per student (a 58 percent increase over the same period).

4. In 1995, a Household Survey Report inquiring about crime victimization found that 45 percent of those who responded indicated they were a victim of a crime (most were property) in 1994. The respondents ranked crime second only to the cost of living as the issue that worries them most. The crime rates for offenses known to the police in Hawaii for 1993 and 1994 were 6,310 and 6,685 respectively, both higher than the national rate. (*Program Profile*, 1997, pp. 13-14)

Education Week's most recent study on the quality of education in all 50 states (Meyer, Orlofsky, Skinner, & Spicer, 2002) suggests the state is improving its funding of education. In 1997, Hawaii received a grade of D- for adequacy of funding (Hawaii Data, 1997); in 2002, funding adequacy raised to a B-. However, there has been little change in student achievement. In 1994, 19 percent of fourth graders in Hawaii scored at or above proficient in reading; in 2000, 17 percent were proficient or above. In 1992, 14 percent of eighth graders scored at or above proficient in math; in 2000, 16 percent were proficient or above (Meyer et al., 2002; Hawaii Data, 1997). Hawaii's students rank well below the national average on student achievement measures. Twenty-five percent of fourth graders nationwide were proficient or higher in reading in 2000. Twenty-six percent of eighth graders were proficient or higher in math (Meyer et al., 2002).

Consistently, residents of Ke Aka Ho`ona and the Waianae community refer to the high crime rate and high drug use in the area. Yet, despite the accumulation of factors that contribute to difficult living situations, the people in this community are outwardly happy and are pleasant and friendly.

As noted in earlier reports (1997 *Goal-Free Evaluation*, 1997 *Program Profile*), area residents were either unaware of the Ke Aka Ho`ona project or mildly supportive of it. Local community groups such as the Neighborhood Board did not stand in the way of the community development effort. Other arrangements (e.g., Consuelo's agreement to allow the state to temporarily use five acres of land for the Weinberg Village) suggested strong and productive relations with multiple levels of government. The Weinberg Village, a state-provided group of small temporary "houses" for homeless persons, existed on part of the Ke Aka Ho`ona property at the outset of this project. That village served as a visible reminder of the needs and problems of the larger community.

If you follow Farrington Highway into Waianae from "town" (Honolulu), you drive past the community shopping center. Near the community's north edge you reach Plantation Road, the old plantation valley road that goes away from the coast toward the mountains a short distance inland. The Ke Aka Ho`ona community development is on that road, about three-fourths of a mile from the highway, a short distance beyond the Waianae Elementary School and just beyond the community's recreation fields for baseball, football, and associated sports. The athletic fields are regularly thriving with youth sports activities. A Boys and Girls Club stands adjacent to the elementary school. The activities in these facilities remind that Ke Aka Ho`ona is focused on children and families.

**Consuelo Foundation pursues its mission
by planning and carrying out its own projects**



Consuelo Zobel Alger



Consuelo Foundation office, Hotel Street, Honolulu

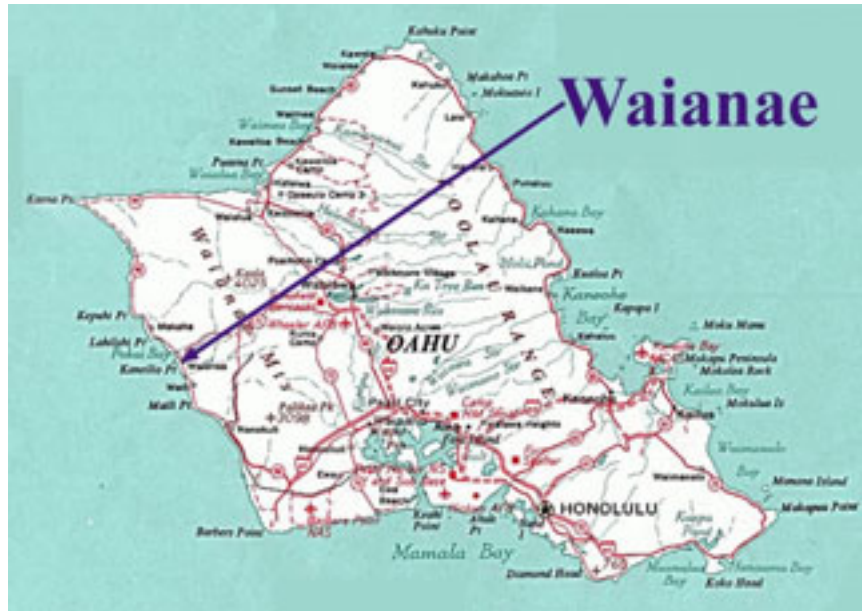


Planning for Phase II of construction



Patti Lyons, Consuelo Foundation President &
CEO

Waianae: An area with many needy families



Squatters living on the beach



Weinberg Village

Serving a community with many needs and problems



Closed hotel converted to gated condominium community

Area resources



Waianae Elementary School



Waianae Elementary School teacher tutors Ke Aka Ho'ona children at the community center



Boys & Girls Club



Local shops & restaurants



Makaha Beach



Local park

Pristine surroundings



Contrasts of beauty and blight



REPORT TWO

Project Implementation

*Plans are only good intentions unless they immediately
degenerate into hard work.*

—Peter F. Drucker

4

Project Overview

Begun in 1993 and located on a 14-acre plot near Oahu's Waianae coast, the Ke Aka Ho'ona project was initially targeted to support 79 low income families to construct their own houses and together develop a healthy, values-based community. This project was named in honor of the Foundation's benefactress, Consuelo Zobel Alger. Loosely translated, the Hawaiian phrase "Ke Aka Ho'ona" means "the spirit of Consuelo." In creating her foundation in 1988, Mrs. Alger charged it to serve poor people in Hawaii and the Philippines and especially to address the needs of abused and neglected women and children. This new foundation launched the Ke Aka Ho'ona project both to address Mrs. Alger's mandate and to learn how to operate housing projects.

It is noteworthy that Foundation President Patti Lyons decided to build systematic evaluation into this project from its inception, both to maintain accountability and to obtain feedback of use in problem solving and project improvement. The Foundation staff's assessments of self-help housing projects in California in order to obtain input for project planning further illustrates the Foundation's commitment to evaluation. In consideration of Mrs. Alger's vision for the Foundation, this project—as well as all other Foundation projects—was grounded in and assessed against the Foundation's core values of spirituality, individual worth, caring and nurturing, participation and reciprocity, prevention, creativity and innovation, teamwork and collaboration, and Philippine and Hawaii connectedness.

In each year of this project, from 1993 through 2001, the Foundation engaged and assisted between 6 and 17 families to build their houses together over a period of 9 to 10 months. The result is 8 increments of houses, totaling 75, residing in an attractive, well-maintained, and tranquil community that is home to about 390 people, including approximately 235 children and their parents/guardians. This community is situated near a range of picturesque mountains and magnificent beaches, but stands in stark contrast to the economically depressed and crime-ridden community environment immediately outside Ke Aka Ho'ona. Throughout the project, the Foundation sponsored an array of social services in support of the families and especially their children. These included counseling, tutoring, courses, communitywide meetings and events, and field trips. At this writing, the Foundation—which directly planned, controlled, and operated all aspects of the project—is working to turn the community over to the residents. Foundation staff are helping the residents form a community association; organize and operate covenants, planning, and other committees; and assume responsibility for the community's governance and management, as well as maintenance of common facilities, including the community center and adjacent playground. Community covenants included rent-to-own agreements, and land lease contracts are designed to help assure that the community will sustain its adherence to the project's mandated values. By engaging local banks to hold mortgages on 69 of the homes, making rent-to-own agreements on the other 6 houses, and negotiating a land fee purchase agreement with each homeowner, the Foundation will recoup a large part of its investment in this project. It deeded the streets to the local government, thus assuring city services and maintenance of streets and related infrastructure. Overall, this project provides a

cogent example of how a charitable organization attempted to employ a fiscally sound and values-based approach to self-help housing in order to address low-income families' needs for affordable housing. The project's orientation is to lend a helping hand, not a handout.

The project's goals were to

1. Build a community of low-income working families with children who commit to live in and help sustain a nurturing neighborhood free from violence and substance abuse and devoted to helping others
2. Increase Waianae's supply of affordable housing
3. Develop a sound approach to values-based, self-help housing and community development

To be selected, the builders were not required to have construction experience, carpentry skills, or mechanical aptitude. Among the entry requirements were not already owning a home, having a family income of not more than 80 percent of Oahu's median family income, being able to qualify for a mortgage or rent-to-own agreement, having lived positive family values, having at least one child under age 18, committing to meet the project's schedule of work, and arranging for child care during the construction period weekends. Applicants were sought by various means, including newspaper and radio advertisements, flyers, letters to area school and social service agency administrators, and word of mouth.

The Foundation assessed applicants and helped those who met the project's admittance criteria to prequalify for mortgages. The induction process included background checks, home visits, credit reports, interviews, group meetings that included role playing, sociopsychological assessments, and meetings with bank representatives. Ultimately, a team of Foundation personnel examined the evidence to screen out unqualified applicants and subsequently to choose the builders for each increment.

Overall, at this writing 69 families held mortgages and land fee purchase agreements. Six families had agreements to proceed on a rent-to-own basis for two years, after which they must obtain a mortgage. Occupations of the selected builders included, among others, warehouse laborer, sanitation worker, construction worker, hospital assistant, teacher, bus driver, custodian, secretary, mechanic, supermarket clerk, fish processor, and cook. Families' ethnicity included, among others, Hawaiian, Chinese, Filipino, Portuguese, Samoan, Japanese, African-American, and Caucasian backgrounds.

The home building was conducted through a combination of self-help construction, supervision by licensed contractors, and contracted construction of certain house features. A builder and cobuilder from each family worked 10 hours each Saturday and Sunday over a period of 9 to 10 months to construct the houses. The builders were required to purchase their own hand tools. Under the supervision of licensed general contractors, the builders learned home building skills and worked together as a group to construct their houses. The supervising contractors provided the supporting generators, power tools, storage sheds, and vehicles for moving materials. The Foundation assigned an on-site project manager to assure that all aspects of the project moved forward according to plan and that problems were promptly identified and addressed.

An especially important practice was the assignment of houses by lottery only after construction was completed. This stimulated the builders to work equally hard and cooperatively on all the houses in their increment. After completion of the first two increments, only four-bedroom houses were built in Increment 3 and only three-bedroom houses in Increments 4 through 8. The first two increments included both three- and four-bedroom houses and families knew their category of house from the start. This situation apparently influenced some participants in Increment 2 to work hardest on the houses that contained the number of bedrooms they would get. Inclusion of all four-bedroom houses in Increment 3 eased this problem. Subsequently, inclusion of only three-bedroom houses in the remaining four increments both reduced costs of the houses and helped assure that participants would work equally hard on all the houses. These observations are in no way an indictment of the builders, only a reflection that construction plans need to deal with motivation and human nature as well as architectural and other “bricks and mortar” matters.

The builders’ tasks included digging holes for foundation posts; constructing the foundations, interior walls, and ceilings; framing; drywalling; siding; installing hurricane clips; roofing; installing tile, cabinets, doors, windows, and fixtures; and interior and exterior painting. Licensed contractors installed carpets and performed the plumbing, electrical, and concrete work. The entire process was subjected to systematic inspections and approvals by government inspectors.

The Foundation paid the full cost of the general contractors’ labor and reimbursable expenses (which included ladders, air hammers, pneumatic nailers, saws, and hauling of refuse). The Foundation also provided a community center building, an adjacent playground for the children, landscaping around the community center and other common areas, and perimeter fencing.

The families provided “sweat equity” in lieu of the down payment on their homes. Most families secured 25-year mortgages, ranging from \$48,000 to \$59,000.

In addition, the project plan called for each family to pay the Foundation monthly rent for their home site over a period of 30 years. At that point, the total amount of rent paid—about \$52,000—is to be credited against the lot’s total value—about \$183,000. The interest earned on the rent payments over the 30 years—about \$7,500—will also be credited against the land’s value. Then the land lease agreements call for the homeowner to make a balloon payment for the remaining cost of the land—about \$123,000. Having paid off their home mortgages, Ke Aka Ho`ona staff reported that homeowners will then likely take out a new mortgage to pay off the remaining cost of the land. At this writing, we understand, based on an April 2002 discussion between the evaluation director and President Lyons, that the Foundation’s Board will consider lowering the price of the Ke Aka Ho`ona lots.

The Foundation staffed a number of key positions, including chief program officer; on-site project manager; full-time construction contractors; subcontractors in various specialty areas; coordinator for recruitment and selection; community development specialist; specialist in services for children, youth, and families; and consultants to address a wide range of administrative and support tasks. The Foundation’s president exercised leadership, policymaking, and oversight functions throughout the project; and members of the Foundation’s board were also frequently involved in the early years.

It should be emphasized that project personnel regularly delivered or arranged for delivery of key services to families, such as financial and personal counseling.

In the end, 75 single-family houses were built. These include 51 three-bedroom houses, 12 four-bedroom houses, and 12 duplex homes (6 units). The duplex units and 3- and 4-bedroom houses have 2 baths and a 2-car carport. Residents are required to plant grass and maintain a neat, well-cared-for lot around their house. Most residents installed walls/fences around their homes at their own expense.

The 14-acre plot on which these houses sit is in the shape of a triangle and has 1 entrance from Plantation Road. It was thought that having only 1 entrance would make the community more secure from burglaries and other crimes originating outside Ke Aka Ho`ona. The plot is about three-fourths of a mile north of Farrington Highway, which runs along the Waianae coast. Most of the 75 houses are arranged around 7 cul-de-sacs.

When each increment of houses was completed, the Foundation held a blessing of the new homes and families; all staff and residents of Ke Aka Ho`ona plus selected guests were invited to participate in and celebrate this event. The Foundation assigned staff to help address and arrange for others to address the community development needs of the residents and the development needs of the community's children. This support included outings, parties, and courses for children and their parents; education grants; leadership training; instruction in community organizing; drug prevention education; a computer room; community meetings facilitated by Foundation staff; conflict resolution assistance; and financial management assistance.

Toward the end of construction, the Foundation began assisting the residents think about and plan for taking over and running the community while sustaining its values. Beginning about three years ago, the Foundation's coordinator for recruitment and selection has been working with residents to help them learn about and actually go through the process of forming a homeowners association.

A safeguard against gentrification (a process wherein poor people are displaced as a consequence of affluent persons moving into a neighborhood and upgrading property values) of Ke Aka Ho`ona is that no family can sell its house outright without first offering it for sale to the Foundation at the cost of the family's actual investment in the property. If, for whatever reasons, a Ke Aka Ho`ona family leaves the community, it can take away only its actual dollar investment, including the sweat equity amount. This safeguard provides the Foundation with control to assure that Ke Aka Ho`ona will for the foreseeable future be reserved for service to low-income families.

5

Recruitment and Selection of Project Participants

The recruitment and selection process for Ke Aka Ho`ona project participants typically took about nine months and involved three major steps. Initially, there was a call for applicants—through advertising, word of mouth, and/or letters to unsuccessful applicants from earlier increments—followed by a period of time for families to submit a formal application. Second, all formal applications were subjected to a careful screening process to ensure applicants met both community-specific criteria (e.g., the family must have at least one child, not rely solely on welfare for their income, and not already own a home) and financial requirements for a home mortgage. Third, once the set of eligible applicants was determined, the Foundation’s staff reviewed the applications and met with applicant families; then the Foundation’s selection committee determined which applications would be approved. The three phases of recruitment and selection—publicity, application, and final selection—are described in this section.

The procedures for publicity, application, and final selection were developed and refined during the early increments, stabilized midway through the project, and continued with little change through the later increments. One important change/deviation in the selection process came in Increment 8 when the Foundation decided to relax the financial requirements, enabling some families to enter the project on a rent-to-own basis. The Foundation intended to accept two families into Increment 8 on a rent-to-own basis. Although prequalified by the bank, two other Increment 8 families are renting-to-own because of financial problems that arose following their mortgage prequalification. (T. George, personal communication, April 16, 2002.)

For this description of the recruitment and selection process, we rely heavily on the 1998 *Program Profile*, which provides details about recruitment and selection through Increment 6. (Since, due to a lack of funds at the Foundation the program profile procedure was discontinued after that edition, we did not update our data on the recruitment and selection process for Increments 7 and 8).

Publicity

Especially for the latter increments, word of mouth from Ke Aka Ho`ona residents and their friends and relatives served as a primary tool for disseminating information about the project. At most, only a modest amount of publicity was provided. Means employed included advertising the opportunity in the local newspaper, posting notices at nearby grocery stores and the Boys and Girls Club, and sending letters to local school principals and social service agencies. The Foundation also notified unsuccessful applicants from earlier increments of the opportunity to reapply to the project. This pattern of minimal publicity continued for most of the remaining increments.

The willingness of individuals to apply more than once pervades the application process across the latter increments. For example, five families in Increment 7 were admitted after their second application, and one was not successful until a third attempt.

Application

The Foundation established 11 criteria for the selection of builder families:

1. Two healthy and dedicated builders (not necessarily the same two people who will live in the house) are needed to apply.
2. The potential home owner(s) must have children.
3. The family that will live in the house must have a household income of no more than 80 percent of Oahu's median family income. This limit is flexible as long as the majority of selected families in a given increment fall within the 80 percent range. The income used to determine eligibility is not from the builders but from the people who will live in the house, though these are usually the same two people.
4. The applicants must have a demonstrated need for affordable housing.
5. At least one of the potential home owners must have a stable employment history.
6. The applicants should demonstrate fiscal responsibility, strong credit, adequate income to qualify for a mortgage, and reasonable or no debt obligations as determined through budget meetings and the bank application process.
7. The applicants must persevere through the application process, attending every scheduled meeting. Families who have made multiple applications often demonstrate the level of perseverance needed to succeed.
8. Families must demonstrate an ability to interact well with others during group meetings.
9. Families must have the strong support of family, friends, and employers as demonstrated by the recommendations and references.
10. Families must display strong evidence of Consuelo Foundation values, especially during the home visits.
11. Families must be first time home buyers. (*Program Profile*, 1998, pp. 27-28)

Additionally, the selected families must arrange for the care of their children on weekends through the 9- to 10-month construction period.

Though not used as an initial screening tool, each applicant was required to commit two able-bodied adults who could help construct the houses. In most cases, the builders and homeowners were the same—typically the mother and father in the family. In some cases, participants had to recruit someone else—an adult relative or friend—who would not live in the house—to complete a builder pair. Single parents, for example, had to find someone to commit to build with them for the entire construction process. In effect, the requirement for two builders served as an additional screening tool that reduced the initial applicant pool to a smaller group of eligible families. If one person in a builder pair became medically unable to participate in some of the construction, the pair had to replace him or her.

Persons interested in applying were instructed to contact Consuelo Foundation by telephone. When they called the Foundation office, they were preliminarily screened on four of the criteria: items 2, 3, 6, and 11. Basically, they were asked if they had children, if their family's income was at or below 80 percent of the median, if they relied solely on public assistance for their income (a disqualification), and if they were first time home buyers. Persons who passed this initial screening

were sent an application packet, which included a brochure describing Ke Aka Ho`ona, an introductory letter that outlined the basic project criteria, an application form, and a table showing income limits according to family size needed to qualify for the project at the 80 percent of median income level. (*Program Profile*, 1998, p. 28)

On the application form, applicants provided basic identifying information and a list of persons who would live in the household. The form asked if the applicants intended to live in the house (a requirement) and if they owned a home already (a disqualification). Applicants were asked to describe their current living conditions, including the number of people in the household and the size of the dwelling. In addition, they were asked to list their debt obligations, including car loans, credit card balances, and other loans. All items had to be completely filled out before the application would be considered. Applicants were also asked to provide copies of their two most recent federal tax returns and two most recent pay stubs. (*Program Profile*, 1998, p. 29)

Project staff screened all applications received to ensure they were complete. Applicants who submitted incomplete forms were contacted by project staff in an effort to obtain the needed information. Complete applications were then forwarded to the bank for mortgage preapproval, the next step in the application process.

Upon receipt of the completed applications from the Foundation, a loan officer at the involved bank ordered and reviewed credit reports for these applicants, then made final decisions regarding the applicants' prequalification for a mortgage. The loan officer then mailed applicants a letter indicating whether they had prequalified. The prequalified applicants could then proceed with the remainder of the selection process. Unsuccessful applicants were usually encouraged by the Foundation to reapply for later increments.

In Increment 4 the Foundation selected American Savings Bank (ASB) as its financial partner in the building process. The relationship with ASB continued through all the remaining increments. The bank played a vital role in the selection process, because it determined who met the financial requirements. Additionally, ASB took on added responsibilities for collecting land lease payments and remitting those payments to the Foundation. This significantly reduced collection problems that occurred with homeowners. Some of the factors that were viewed as important in the arrangement with ASB are indicated by the following statement from the 1997 *Program Profile*:

Joey reported being pleased that both top and midlevel staff of [ASB] were present at the initial meetings. Joey says they sent seven loan officers (plus three VPs) out to Waianae to meet with the families in the preconstruction orientation. They set up little private areas (allowing each family to have their own officer) and worked well with each family. On the first day of construction, Marlene Lum, the VP in charge of the project, came on-site at 6:30 a.m. to take pictures of the builders as they started. (p. 19)

Final Selection

Once bank approval was received, applicants were required to provide a significant amount of additional information and participate in meetings and home visits. Specifically, they were required to

1. attend a scheduled orientation session
2. complete a questionnaire
3. prepare a family budget
4. attend a scheduled group meeting
5. submit a reference list for both builders
6. sign a release and authorization to allow the Foundation to obtain and use information
7. obtain employer references for both builders
8. obtain general references for both builders
9. obtain medical references for both builders
10. attend a second scheduled group meeting
11. attend a final budget meeting
12. accommodate a home visit by a selection committee member

The questionnaire (item 2 above) asked for basic information such as date of birth, number and age of children, education and employment histories, and current living situation. It also asked about the applicants' personal lives, including their marital/relationship history, what it was like for them growing up, and their current relationship with their families. Many of the questionnaire items addressed the applicants' personal characteristics—their values, attitudes, and behaviors. Questions of this nature on the form for Increment 7 included the following, among others:

- How might [Consuelo's] goal of no alcohol abuse make it difficult for you to relax after work, or be hospitable with friends?
- How do you handle anger?
- What qualities (strengths, abilities) would you bring to this community?
- If you heard your neighbor abusing his or her spouse, child, or other household member, what would you do?

The applicants' responses to these questions provided some insight into the type of community members they would be and whether they could live up to the community's values.

Single parents who applied to the program also had to have his or her cobuilder (even if the cobuilder was not going to live in the community) complete a questionnaire, sign the releases, attend group meetings, submit references, and have a home visit. Cobuilders did not have to be involved in the budgeting or prequalification activities, however. (*Program Profile*, 1998, p. 30)

After the applicants completed all the steps, a summary sheet was prepared for each family that was not disqualified and had not dropped out. This summary sheet indicated the number of family members, income, education, employment history, and current living situation. It also provided the impressions and recommendations of the committee member(s) who were familiar with the family. The selection committee met to review and discuss the information for each family and to make the final selection.

Selected families were first notified by phone and subsequently by a formal letter. Similar actions were taken for those not selected. As can be expected, the builders often recall their joy at receiving the phone call. Many persons interviewed provided detailed descriptions of where they were and

what they were doing when they received the call and how they reacted. The care taken in informing persons not selected is attested to by Foundation staff and evidenced by the several repeat applicants. The following excerpt from the 1996 *Traveling Observer Report* provides details of how important this matter was viewed even at the very highest levels of the Foundation.

It has long been the concern of Board member Bob Tsushima that nonselected applicants not be harmed by the disappointment of going through the . . . process of selection. In Increment 3, all but one applicant received the news amicably. The exception was a single mother applying for the second time who felt that she had done everything she could to qualify. She expressed a high level of hurt and frustration. Patti asked Joey to call and follow up with this applicant later. (pp. 3-4)

As staffing changed in the Foundation, so did participation on the selection committee. The selection committee typically included five people in addition to Consuelo Foundation President Patti Lyons. In early increments, all committee members were asked to attend all the group meetings to ensure that they got to personally meet and know all of the applicants. In later increments, the process was streamlined so that just two to three committee members attended group meetings and home visits. One committee member prepared a one-page summary and rating of each family, in addition to a more detailed report. (T. George, personal communication, March 27, 2002).

This selection process resulted in a broad diversity of ethnic groups. The builder groups included single parents and unmarried couples who met the application requirements. There was constant attention to the values base of the builder applicants.

General Comments on the Selection Process

As Table 1 shows, 75 families were selected to participate in the building project. Sixty families were selected on their first try, 12 on their second try, and 3 persevered through 3 applications before being selected. The numbers in this table show the high number of initial application requests and the high attrition resulting from application requirements, the banks' lending requirements, and families' decisions to not continue with the application process to a final selection determination. Through such attrition the large pool of potential homeowners was reduced to a relatively small number of families by the time the selection committee commenced its work. Even with the considerably smaller applicant pool—typically 20 to 30 families—the selection committee carried a heavy load in reviewing files, meeting with and interviewing applicants, and making home visits to applicants.

Table 1
Ke Aka Ho'ona Selection History

| Inc. | Application Requests | Applications Received | Pre-Qualified | Denied by Bank | Dropped Out | Considered by Selection Committee | Selected | Selected on: | | |
|------|----------------------|-----------------------|---------------|----------------|-------------|-----------------------------------|----------|--------------|---------|---------|
| | | | | | | | | 1st Try | 2nd Try | 3rd Try |
| 1 | 306 | 91 | 30 | 28 | 1 | 29 | 8 | 8 | | |
| 2 | 532 | 220 | 51 | 94 | 25 | 26 | 6 | 4 | 2 | |
| 3 | 104 | 49 | 33 | 6 | 10 | 14 | 6 | 5 | 1 | |
| 4 | 209 | 88 | 47 | 36 | 21 | 26 | 8 | 8 | | |
| 5 | 129 | 46 | 39 | 4 | 3 | 32 | 9 | 7 | 1 | 1 |
| 6 | 109 | 67 | 50 | 8 | 30 | 29 | 9 | 6 | 2 | 1 |
| 7 | 182 | 94 | 63 | 31 | 30 | 33 | 17 | 11 | 5 | 1 |
| 8 | 158 | 62 | 32 | 30 | 13 | 17 | 12 | 11 | 1 | |

Source: T. George, personal communication, February 28, 2002.

The several steps and long time span for completing the selection process gives some hints to the arduous nature of this process and the care with which it was done. Not directly spoken to in the description above is the large amount of paperwork gathered and used in evaluating large groups of applicants. The handling, organizing, filing, and maintaining confidentiality of information and security of these files became a major undertaking. Early in the evaluation process we observed the difficulties of this management process and the problems that accrue when people are not fully trained for such matters and the process is not carefully monitored.

Over time, the Foundation clarified the project's policies and improved its organization of information, especially through the efforts of Julia Mizer and Linda Roberts. In the early years, the project experienced a steep learning curve and evolved project policy accordingly. To facilitate this process, early in the project Ms. Mizer regular scrutinized staff meeting minutes to identify group conclusions and agreements that seemed to denote new or solidified project policies. She highlighted the pertinent passages to help the project's leadership deliberate and formalize project policies. Ms. Mizer's employment of this simple, effective procedure of highlighting policy-relevant material in meeting minutes could beneficially be applied by any innovative project. Also, Ms. Roberts developed the project's filing system into a better organized information management system.

6

Home Financing and Financial Support

The Foundation took several measures to make home ownership affordable for project participants. As a project cornerstone, the beneficiaries provided sweat equity valued at about \$7,700 in lieu of a down payment on their homes (40 hours/week for 32 weeks of construction time at \$6.00/hour) (*Program Profile*, 1997). The Foundation paid for the contractors' labor and reimbursable expenses (e.g., ladders, saws, disposal of refuse). Mortgages were based on the cost of materials and subcontractors' (plumbers, electricians, masons) labor only, not on the home's appraised market value (George, 2000). Mortgages ranged between \$48,000 and \$59,000 (prices increased gradually based solely on the increased cost of building materials and subcontractors' labor). In addition, the families pay the Foundation monthly rent for their home site over a period of 30 years. At this writing,³ the plan is that after 30 years, the total amount of rent paid—about \$52,000—will be credited against the lot's total value—about \$183,000. The interest earned on the rent payments over the 30 years—about \$7,500—will also be credited against the value of the land. Then the homeowners are to make a balloon payment for the remaining cost of the land—about \$123,000. Having paid off their home mortgages, project staff projected that the homeowners will take out a new mortgage to pay off the remaining cost of the land.

Foundation documents confirm that the above payment plan was in force when this report was finalized. However, in reviewing a draft of this report in March 2002, President Lyons informed the evaluation team that the Board would soon consider how to modify the plan so that homeowners, after paying off their house mortgage over a 25-year period, won't face such a large land purchase debt. This is an especially critical issue, since upon paying off their mortgages, most Ke Aka Ho'ona homeowners would be approaching retirement age and not in a good position to take on a new large mortgage. President Lyons agreed and said she would recommend that the Board substantially reduce the amount the families will have to pay for their lots. In the March 2002 telephone conference with the evaluation team and Foundation personnel, Chief Program Officer Terry George remarked that this was another example of how the evaluation had helped the Foundation surface and address key policy issues in the project.

The Foundation provided its own interim home construction financing, paying for expenses between the time a construction activity started and the time the banks reimbursed the Foundation and issued the mortgage. Three banks worked with the Foundation in securing mortgages for Ke Aka Ho'ona project participants. First Hawaiian Bank provided mortgages for Increments 1 and 2 (1993-1995); Bank of Hawaii provided mortgages for Increment 3 (1995-1996); and American Savings Bank provided the mortgages for Increments 4 through 8 (1996-2001). The banks contributed to the affordability of the homes by rolling the closing costs into the mortgages and requiring no down

³ In an April 2002 discussion, President Lyons informed the evaluation director that the Foundation may modify its requirements for families' purchase of their lots.

payment beyond the builders' sweat equity, no points, and no private mortgage insurance (George, 2000, p. 5).

The Foundation took additional measures to make home ownership affordable for the participating families. Beginning with Increment 7, the Foundation enrolled interested families in the Home Start Individual Development Account (IDA) program of the Federal Home Loan Bank of Seattle. This opportunity was made available to the builders through the initiative of Consuelo Foundation Chief Program Officer, Terry George, who described the project as follows:

Each family in this program starts a modest savings account during the construction period. At the end of construction, every dollar saved by the family is matched 3-for-1 by the Home Start program, and the total amount goes to reduce closing costs and the mortgage principal. Families can save a maximum of \$1,667 to generate a \$5,000 match, which means that \$6,667 goes toward paying off the principal and mortgage. The result is far lower monthly P&I repayment rates. (George, 2000, p. 119)

In the last increment, the Foundation relaxed the financial requirements and approved four families to enter the project on a rent-to-own basis for two years, after which they must obtain a mortgage. The Foundation allowed two other families from early increments to switch to a rent-to-own agreement when financial hardship and other developments made it difficult for them to meet their mortgage payments. The rent-to-own families are required to meet with the Foundation's financial consultant, Helen Wai, on a monthly basis to make sure they stay on track to obtain mortgages within two years of moving in (T. George, personal communication, February 20, 2002).

To help the families take advantage of the tax benefits of home ownership, including the Hawaii Energy Conservation Income Tax Credit, the Foundation paid the tax preparation fee for families in their first year in the community. For most families, this resulted in an income tax refund. (George, 2000, p. 119)

The houses have roof-mounted solar water heating panels and a ground-mounted solar water heater storage tank. From 1998, these units were built to Hawaiian Electric Company HECO standards, making homeowners eligible for a \$1,000 to \$1,500 rebate. This rebate opportunity was brought to the Foundation's attention by a Ke Aka Ho'ona resident. The Foundation passed the rebates to the homeowners and thereby reduced each new home's purchase price. The solar systems continue to save the homeowners money, due to lower electricity bills. According to Terry George (2000), all Increment 7 families reported that their electricity bills for their new homes were "significantly lower" than their previous dwellings. One resident reported that his bill "dropped from \$200 per month to \$70 per month" (p. 119).

In 2000, the Foundation started an Individual Development Account (IDA) program for the teen residents of Ke Aka Ho'ona and a Home Repair and Renovation IDA program for the homeowners. For the teen IDA program, the Foundation matches every dollar saved by participating teens 2 to 1, thereby encouraging and assisting them to save for post-high school education expenses. Unfortunately, the teen IDA program was suspended in November 2001 because the participating teens had failed to save monthly. The Foundation will restart the program in late 2002 (T. George, personal communication, February 13, 2002).

The IDA program for homeowners assists them save money for home repairs and renovations. Participant homeowners save \$25 to \$50 per month, and their savings are matched 2 to 1. The Foundation and the Office of Hawaiian Affairs contribute equally to this savings assistance program. If participants do not contribute to the savings account for three months, they are dropped from the program. Of the 27 families who initially signed up for the two-year IDA program, 16 dropped out and 11 were successful in meeting their savings goals. They may use money from the account for preapproved home repairs and renovations; checks are made out directly to the parties supplying the materials and/or labor for the home improvement, not to the homeowners. (T. George, personal communication, March 27, 2002)

As a housewarming gift and also to offset the cost of setting up a new home, the Foundation provided each family with a refrigerator. Also, the project manager assisted some families to obtain donated beds for their new homes, since many were previously sharing housing with other families and therefore did not own enough beds for every family member.

7

Construction Process

With the completion of the eighth and final building increment at Ke Aka Ho`ona, the construction process is complete. In this section, we attempt to provide a complete picture of the construction process, including key roles and responsibilities, the actual building process, the resulting homes, and postconstruction activities and expectations.

Roles and Responsibilities

Construction was a complex and cooperative effort, involving many people, including Foundation board and staff members, attorneys, city and county officials, architects, bank officers, building contractors, and project participants. Here we focus on the key roles and responsibilities of the Foundation, building contractors, builders, and project manager.

Foundation. The Foundation was responsible for all aspects of the planning and oversight of construction. They hired a Honolulu architectural firm, Group 70, and worked with it to design and plan the homes. Both original plans and changes in site designs, such as shapes and configurations of cul-de-sacs, were reviewed by city and county officials to ensure acceptance of dedicated streets. All site improvements were completed to code, and title to the streets was turned over to city and county. Deeding of the streets to the local government provides for their long-term maintenance and renewal via local taxation revenues. Phase II site work was completed in 1997 after removal of the Weinberg Village.

Though not part of the community's original design, Foundation personnel identified a need for and decided to construct a community center with both a playground area and parking lot for Foundation staff and visitors. This community center area takes the space originally allocated for 3 homes. The community center's structural design differs substantially from the homes. It sits on a concrete foundation and has concrete block walls, rather than post-and-pier and clapboard walls. The building is well lighted, with many windows throughout. The ceilings in meeting rooms are high, providing greater comfort on hot days, and the center has air conditioning. The center's office has a burglar alarm system that connects to the local police department. Ordinarily, the facility is locked, with the office area open during the workday and other parts opened for community activities and events. Two Foundation staff members spend about 90 percent of their time working out of the offices in the community center.

Contractors. The Foundation contracted with Trim Line Contracting for general contracting service in constructing the first increment and continued working with them for the entire building project. Trim Line's head, Mr. Lee Kong, was assisted primarily by Mr. Joe Harrington. Other carpenters worked for Trim Line, especially during a period when Mr. Harrington

was ill, and in constructing Increments 7 and 8, when building, respectively, 17 homes and 6 duplexes placed especially heavy demands on the contractors.

While most of the building tasks were completed by the participant builders, TrimLine and/or subcontractors were responsible for installing plumbing systems; concrete driveways and carport foundations; carpets; shower trees; and wiring for electricity, telephone, and cable TV.

As general contractor, Trim Line was responsible for an extensive and specific list of duties. The *1997 Program Profile* elaborated some of the key responsibilities:

1. The contractor handles the bid process for materials and subcontracts. Subcontractors are used for electrical work, masonry, plumbing, termite protection, stakeout, and grading. For Increment 3, a carpeting subcontractor was also added because all of the families in the first two increments carpeted their homes. The contractor assumes the risk of the bid if costs exceed [Consuelo's] lump sum contract amount.
2. The contractor provides a schedule of house construction that includes self-help labor, materials delivery, subcontractor work, holidays, and make-up days. This schedule is updated regularly at meetings with Foundation staff and the architect. The schedule includes an agreement to complete a specified number of homes in a specified period of time.
3. The contractor provides the Foundation with a list of tools and must maintain and replenish tools the Foundation agrees to purchase. Tools are also purchased by the builders on the advice of the contractor.
4. The contractor is responsible for constructing dust screens between the increment under construction and the rest of the community, controlling erosion, protecting trees, repairing damaged sprinklers, trash removal, and clean-up at the end of construction to "open house" standards.
5. The contractor establishes a training program and trains the builders. Training occurs on [weekends], 10 hours each day, prior to beginning construction. This is a trial period; builders are given difficult and strenuous tasks to complete in the hot Waianae sun. The intent is to provide a final test of the builders' resolve to participate and succeed in the program. The contractor is also responsible for safety on the site and providing first aid equipment.
6. The contractor produces two weekly reports to the Foundation on (1) builders' absences and tardiness, including keeping track of sweat equity time and make-up time, and (2) overall management of the work force including a review of builders' efforts and the contractor's plans for staying on schedule. (*Program Profile*, 1997, pp. 33-34)

All of these requirements placed a great deal of responsibility on the shoulders of the general contractor. Because of the project's uniqueness, however, and the desire to produce a quality home, the stipulations are important.

Builders. Builders were required to work from 7 a.m. to 5:30 p.m. every Saturday and Sunday until the homes were completed (amounting to a period of nine to ten months).

The builders were required to

- purchase their own hand tools
- make child care arrangements for all weekend workdays during the full construction period—no children were allowed at the construction site
- attend every scheduled workday, recorded by signing a log book
- arrive to work on time (no tardiness accepted)
- make up excused absences and tardiness on scheduled make-up days
- put forth effort consistent with the values of the Foundation and the other builders
- adhere to all safety provisions, which is enhanced by being well rested, ready to work, and in physical shape

Project manager. Ms. Joey Kahala has been project manager for all eight building increments. Her position grew in responsibility, authority, and clarity during these construction cycles. In Increment 1 she was named project manager and placed in control of the site, although her exact responsibilities were still being defined. As Increment 4 was starting its work, Ms. Kahala was given added responsibility for the *builders* and the *construction process*, including recruitment, building, and the planning of each increment. At this writing, she continues to monitor architectural and financial matters and covenant compliance in the community.

As project manager, Ms. Kahala worked 10 hours a day on Saturdays and Sundays with the builders and contractors while the homes were being constructed, often lending a hand in the actual construction process. As part of her management obligations, she made sure all builders showed up for work and contributed to the building process. She was a stickler for adherence to rules and working agreements, but was fair. She helped the builders succeed and, when needed, to work through their problems. She regularly resolved disputes between individuals and groups and worked to maintain a strong esprit de corps. Largely due to her continued presence, great human and management skills, work ethic, and active management, even excused absences were rare.

The project manager conducted monthly meeting with the builders—usually on a weekday evening. These meetings were used to cover a range of topics. For example, the contractors reported on completed work and next stages in the construction process. Builders provided feedback on their efforts and attitudes and provided input to make the building process go better. These meetings also were used to identify and plan for use of volunteer builders, persons in other increments or friends of the builders who were willing to contribute time and effort to the building process. Ms. Kahala addressed matters such as schedule changes (e.g., due to rain) or arranging for individuals to make up time missed on the job in the event of a personal emergency. Topics pertinent to owners taking possession of their homes (e.g., insurance requirements) were also addressed.

Ms. Kahala prepared weekly building reports, which documented special circumstances, such as delays in receiving materials; the weather conditions; the builder group's moods, health, stress level, and communication; progress on the homes, including what needed to be done and what was accomplished by the end of the weekend; and any concerns related to delays, injuries, and other problems. Each report included comments about each builder pair, concerning both their

construction ability and effort and their interactions with the rest of the group. The reports were a valuable resource for monitoring and evaluating implementation of the project.

The Building Process

Six to 8 homes were constructed per increment in early increments; the number of homes substantially increased in the final increments—17 homes were built in Increment 7 and 6 duplexes (12 homes) were constructed in Increment 8. The size of a given increment was dependent on Foundation staff's assessment about their, and the contractor's, capacity to effectively manage the process. Table 2 indicates the number of houses and the house designs constructed per increment.

Table 2
Number of Houses and House Design in Each Increment

| Increment | House Design |
|-----------|---|
| 1 | 4 four-bedroom and 4 three-bedroom houses |
| 2 | 2 four-bedroom and 4 three-bedroom houses |
| 3 | 6 four-bedroom houses |
| 4 | 8 three-bedroom houses |
| 5 | 9 three-bedroom houses |
| 6 | 9 three-bedroom houses |
| 7 | 17 three-bedroom houses |
| 8 | 12 three-bedroom duplex houses |

The first increment served as a learning process for the Foundation, contractors, and project manager. Upon seeing what did and did not work well for Increment 1, they made modifications that improved the building experience for subsequent increments. For example, during Increment 1 construction, there was essentially no infrastructure—no facilities to store materials, no indoor restrooms. Also, materials for Increment 1 construction were stockpiled in advance, which led to some theft and deterioration due to rain. To avoid this problem, in subsequent increments materials were scheduled to be delivered when they would be used. Early in the project—before storage sheds were obtained—the community center, which was constructed after completion of the first increment, provided a secure location for construction materials and tools. This facility also made the building process more comfortable for subsequent builders, with restrooms and air conditioning. To reduce the potential of burnout, a few weekends off were scheduled for later increments.

Also, the number of houses and the time frame for building was reduced for Increment 2. Increment 2 homeowners and the project staff reported less burnout and an overall smoother construction process. Several factors appeared to contribute to this: a more appropriate work schedule, better

training, higher quality materials, scheduled days off, improved organization of the building plan, and the presence of the community center.

By Increments 5 and 6 the contractors and project manager were sufficiently confident in their capabilities that it was decided to speed the building process by more than doubling the number of homes to be constructed in Increment 7. This was a significant challenge, but the 17 homes were completed on schedule. Increment 8, the last building increment, offered a different challenge: duplex home designs. The homes were completed in 9 months—about 1 month before the scheduled and budgeted completion date. Builders and Foundation officials reported that the latter construction stages were rushed, resulting in some deficiencies in the finished product.

Although the building process somewhat stabilized after Increment 1, the building experience was different for each increment. The increments varied in numbers of builders and homes, involved different personalities, and, to a lesser extent, home designs (both three and four bedrooms in Increments 1 and 2, three bedrooms in Increments 3 through 7, and duplexes in Increment 8). Such differences inevitably made the construction of houses in each increment a unique experience.

Drawing on the project manager's weekly building reports, we traced the building process for Increment 7. Acknowledging that no two increments were alike, this account should provide a good sense of the general building approach.

The first hands-on experience for builders was always training in the use of tools and equipment. The following excerpt from the week 1 (August 17-18, 1999) building report describes the training exercises:

The mood was excellent since everyone was excited and raring to go. They were however a little nervous about their skills. So, after introductions, Lee and Cliff began by reviewing the builder's tools. Then each couple began to build a sawhorse. This exercise produced one argument among one husband and wife, but the rest worked well together. Our next assignment was to build 8 picnic tables. The teams were made up of 4-5 people and no one really knew each other. It was a fun experience and the builders learned new things about how to communicate, how to work together, and how to share their knowledge. As usual, one team did exceptionally well because they utilized all their team and finished first with a good result. One of the worst teams had a leader who was gonna do everything for everybody! His team got tired, bored, frustrated and had to take the table apart 4 times! The lesson learned by all at the end, was we'd better learn to work together, ask questions, and take our time.

In addition to the hands-on training, the builders also received instruction in math. Some builders were unfamiliar with and/or unsure of themselves in using a measuring tape, using fractions, etc., so some remedial work in basic math was necessary.

Following training, construction of the homes began with digging post holes. Even with the use of electric jackhammers, this digging process was an especially grueling beginning. The project manager's report for work progress that weekend indicates that they needed to prepare 28 footing holes on each of 4 lots; the work was successfully accomplished by the end of the weekend. Digging the holes every increment was a major accomplishment, because of the very hard, gravelly

ground. Once the holes for the foundation posts had been dug, construction of the piers and framing of the houses quickly became the routine.

By week 12 (October 23-24, 1999), all houses were framed and work on projects such as siding, roofing, and installation of windows was in full stride. The following excerpt from the building report for that week suggests the builders were becoming accustomed to the work and getting to know one another socially; it also notes the assistance of a Ke Aka Ho`ona resident volunteer:

The mood was still good this weekend. Everyone had either settle[d] into their new tasks or were given new tasks, such as siding. When the builders saw how finished the houses looked with siding on, they were very happy. Saturday night, Rick⁴ [a volunteer] invited the builders over to his house. Several couples went, stayed for dinner and had a good time. On Sunday they were a little tired, but it brought Rick much closer to this group. Since he volunteers almost every weekend it was nice to know that these builders can finally appreciate all his hard work.

The reports of the starting and ending points indicate what was accomplished by the builders during their twelfth weekend of work:

Starting point at the beginning of each day: Lots 4 - 7 needed siding installed, lots 1, 2, 44, 43 & 42 needed roof sheathing, lots 1 - 45 needed front and back porch landings, Lots 40, 41, 20, 21, 22 & 23 needed windows.

Ending point at the end of each day: Completed siding on lots 4 - 7, lots 40, 41, 20, 21, 22 & 23 had windows installed, lots 1, 2, 44, 43 & 42 had roof sheathing installed, lots 1 - 7, 20- 21 had porch landings installed.

As was customary, the builders took a break over Christmas and returned to the construction in the new year. The builders found the break refreshing and invigorating, as indicated by the project manager's week 23 (January 8-9, 2000) building report:

The group was in an excellent mood this weekend. The builders were rested and eager to go. Most of them said they had gotten lazy over the two-week Christmas and New Years break. They also shared how their babysitters had loved being off for two weekends. So, they worked with great enthusiasm and laughed and got along very well. It seemed as if they had missed each other. They were very productive and wanting to finish all the little jobs that are left before they begin drywall next week.

By this time the exteriors of the houses were nearing completion and the interiors had been prepared for drywall. The reports of the starting and ending points for that weekend again reveal substantial progress:

Starting point at beginning of each day: Lots 1 - 7 needed drywall stacked, stairs completed, storages completed and cleaning. Lots 40 - 45 needed garage roof on 40, 42, stairs completed & storages completed on all 6 lots, and cleaning. Lots 20 - 21 needed garages framed and sheathed and roofed.

Ending point at the end of each day: Lots 1 - 7 had drywall stacked, stairs completed, storages completed and were cleaned. Lots 40 - 45 had garage roofs completed, stairs completed and storages completed. Lots 20 -23 had garage roofs framed and sheathed, and almost finished roofing.

⁴Names have been changed

By the middle of March the building process had been under way for about 8 months. This was a trying time, because the builders had become weary of the long work weekends on top of their already heavy week's work and other responsibilities. Keeping people working, on task, and addressing frayed relationships became a major consideration in the building process. The project manager's week 32 (March 11-12, 2000) report clearly conveys the stressed conditions:

The mood was not good when I arrived in the morning. Since I had been gone the previous week (to a conference on the mainland) and had not seen the group since we'd had the "women's meeting", I was perplexed. So, I spent the day going around and talking in small groups to find out what was working well for the group and what wasn't. I talked with the contractors and we decided to have an early morning meeting on Sunday. On Sunday, we cleared the air with the fact that we had a lot of work to do, needed everyone's cooperation, and asked if anyone had something to say. Some builders spoke up and said, "we need to remember what we're here for." Others agreed, and then the builders and contractors had a real good session where everyone revealed their feelings. We cleared up a lot of confusion, rumors, and the group felt very good about everything. I closed the meeting with some of Consuelo's words, and asked the group to please cooperate, be on time, arrive with a good attitude, work well together, and end the day with everyone joining the group and saying aloha.

On Sunday afternoon, as I was waiting for all the builders to join the contractors and myself so we could say goodbye, I noticed that one builder, Tom⁵ was not with the group. I asked his wife, Diane, "Where is Tom?" She said, "He's not coming to the meeting and I'll speak to him tomorrow." I said in front of the whole group, "No, I'll speak to him now." I walked over to his truck and asked why he was not joining us. He said "I don't feel like it." I said, "You need to join us, now." He said again, "I don't feel like it." I said, "I didn't ask if you felt like it, I said you need to join us now. Did something happen today, would you like to talk about it?" He said, "Nothing happened, I just don't understand why I have to say goodbye to everyone." I said, "Because it's the polite thing to do, and I reminded him of how much we had talked this morning about putting the group back together. He said, "I still don't understand why I have to go over there." I said, "Because it's rude not to join the group." Tom finally got up from his truck and followed me back to the group. I felt that if this was a power struggle, I had just matched him, mano a mano. I was determined to not have one person ruin the harmony again. I was glad that everyone witnessed this display of attitude on his part and noticed that I did not let him get away with it.

I marched back over to the other builders and contractors and said "Does anyone have anything to say?" Several people said they enjoyed the fact that the group was together and thanked me for caring about them. The contractors said what a good job they had done, and everyone said goodbye to each other.

The report on progress on the homes shows the amount of work that was accomplished in spite of the attention that had to be given to resolving tensions among the builders.

Starting point at beginning of each day: Lots 1 - 4 needed drywall texture sprayed, Lots 40 - 45 needed drywall taping second coat.

Ending point at the end of each day: Lots 1 - 4 had drywall texture sprayed, Lots 45, 44 & 43 had drywall taping 2nd coat.

By week 40 (March 6-7, 2000) the builders had completed their homes. All that remained were review and approval of the homes (punch lists) and the lottery. The punch lists provided a means

⁵Names have been changed.

for each family to review particulars of every home and sign off their approval. Where approval was not given, corrections or final touch-up work had to be completed before the lottery could take place. Unlike the week before, which had been more lighthearted when the builders knew they were finishing their long task of building, this week was stress laden since all homes would be assigned by lottery that day. The following excerpts from the project manager's week 40 report describe the mood and communication that weekend:

Mood: The mood was completely different this weekend. They knew they had to go through every house and prepare a punch list, then had to go back and fix anything on that list. They hoped that some of the builders wouldn't be too picky, because most of them just wanted to finish on Saturday and do the lottery on Sunday. As it turned out, it took them 3 hours to go through the 17 houses, but they did complete all the work by 12 noon on Sunday. Most were relieved that the picky ones had not caused too many delays.

By the time, they came to the lottery, they were nervous but excited. It was all over in about 5 minutes, with builders yelling and laughing and crying at the same time. For the most part, they were happy with their draw, and started bonding with whomever was going to live next to them. It was a very good day on Sunday . . .

Communication: Communication was better than I expected this weekend. I felt that some of the builders were going to nitpick on the punchlist and cause others to get frustrated, but lo and behold, all went pretty well. I guess they finally decided to cooperate and get this over with. Some brought their children to the lottery, but most invited their kids and parents after the lottery. We had a cookout and had a lot of fun. I finally had to lock their houses at 6 p.m. but they stayed afterward and partied in their garages.

While that part of the weekly report describes a solid completion of the work, additional comments by the project manager note just how stressful this process has been, for the builders, the contractors and her—especially given the huge number of homes being built in this increment:

It was with relief that we ended this increment. Everyone was tired and just wanted it over. They were excited about picking their houses, but really just wanted it to be over . . . This was one of the toughest increments we had . . . it was exhausting. I'm proud that we built the 17 houses at once, but I think it took a real toll . . . Maybe by next week when everyone's not so tired, the fun will begin.

Once all the homes are completed, they are assigned to the families by lottery. The sales contract required that builders accept whichever house they drew in the lottery. In Increment 1, the builders convinced project staff to hold the lottery one week early. Builders, project staff, and contractors all reported that following this lottery, some builders worked harder on their own home than others, which caused bad feelings among the group. After this experience, the lottery was held only after construction was finished. In spite of this, however, Increment 2 experienced a similar problem concerning builders working harder on certain houses. Increment 2 included both three- and four-bedroom homes (as had Increment 1), and the builders knew which type of house they would get. Those Increment 2 builders who would get a three-bedroom home worked harder (or so was the perception) on those homes than others—likewise for builders getting four-bedroom homes. This issue was resolved for following increments, which were made up exclusively of four-bedroom homes for Increment 3 and only three-bedroom homes for all the remaining increments. Starting with Increment 3 all homes, with one exception had the exact same design and size. In one of these increments, all families knew that a certain family would get the house that had been specially

designed to accommodate the needs of their handicapped child. Staff report that this exception to the lottery process caused no problems.

In spite of the inherent fairness of a lottery, some homeowners reportedly identified with a house and were bitterly disappointed if they didn't get the house they hoped for. To alleviate that problem in subsequent increments, the Foundation built into the final day of construction a time for all builders to walk through each of the homes to identify and list especially good characteristics of each. Builders reported that this process helped new homeowners accept their houses even when they did not get the one hoped for.

The homes were regularly subjected to rigorous inspections by building inspectors and Foundation consultants. A high standard of quality in all aspects of construction was expected and maintained throughout the building process.

The Homes

In all, 75 houses were constructed in 8 separate building increments. The community includes 51 three-bedroom houses, 12 four-bedroom houses, and 12 duplex homes (6 units). In addition to either 3 or 4 bedrooms, standard features of the homes include the following:

- Homes have two baths, a two-car carport, a kitchen with eating area, a living room, and laundry area.
- Carports include storage cabinets.
- Laundry areas are situated on concrete slabs at the rear of the house and have sliding doors. The area includes a laundry tray, a laundry sink, solar water heater storage tank with timer, and washer and dryer hookups.
- The kitchen and bathrooms include vinyl tile flooring.
- Houses are painted in neutral tones.
- Tub walls have ceramic tile.
- The kitchen has a stainless steel sink and an electric range and vent hood.
- Telephone jacks are in the kitchen, bedrooms, and living room.
- Cable television outlets are in the living room and master bedroom.
- Living rooms in the duplexes have vaulted ceilings.
- Construction is double-wall, post-on-pier.
- Front and rear entries have stepped wooden landings.
- The interior walls are textured drywall. Duplex walls were specially constructed to provide soundproofing between homes. Ceilings for the duplexes, because of their size and vaulting, required heavy-duty drywall.
- The exterior walls are 4' by 8' sheets of clapboard, with simulated vertical tongue and groove siding.
- All houses have roof-mounted solar water heating panels and ground-mounted solar water heater storage tanks.
- Houses include special roofing materials to reduce heat, attic spaces are ventilated, and the attics and vaulted ceilings are insulated to reduce heat transfer into the homes from the roof.
- Houses are treated for termites.

- Houses are strongly reinforced with hurricane clips.
- The living rooms and bedrooms have wall-to-wall carpeting.

As Table 2 (p. 37) shows, early on both three- and four-bedroom homes were built. Beginning with Increment 4, only 3-bedroom dwellings were built. Respectively, the 3- and 4-bedroom house and 3-bedroom duplex designs have living spaces of 1,104, 1,248, and 1,127 square feet. All homes were designed as post-on-pier buildings so that the house sits on the posts with a crawl space between the house floor and the ground. The posts are dug into the ground, but since the ground does not freeze, there was no need to bury the post bases deep. Rather, the key concern is making sure the foundation is solid. Also, home designs do not include furnaces or air conditioning. As a result, the houses have no ductwork for moving heated or cooled air throughout the house.

All utilities are brought to the houses underground, including telephone, television, electricity, water, and sewer. One direct “visible” consequence of this design plan is that there are no telephone or electric wires and poles within Ke Aka Ho`ona. The uncluttered character of the community is also protected by covenants that expressly forbid construction of antennas or satellite dishes that are visible from a neighboring lot.

The house designs consistently favor frugality in long-term costs. For example, both lack of central heating and cooling equipment and use of solar water heaters help to keep monthly utility costs low. The absence of a heating unit for the houses likely causes little discomfort. However, the absence of cooling equipment does mean the homes get uncomfortably warm from time to time. In many of the homes where we interviewed, ceiling fans were running to move the air and provide a more comfortable living space. Fortunately, the families frequently enjoy tropical breezes through their houses because of the plot’s location near the ocean and mountains.

The duplex design includes several special considerations. First, the Foundation did not want these duplexes to appear “second rate” within the community. The homes were designed with amenities, such as a vaulted living room ceiling, that made them more attractive and comfortable. Also, special care was given to the dividing wall between duplex units to ensure that noise from one side of the duplex did not carry across to the opposite unit. Since houses in the community are fairly close to one another and noise from one house travels easily to the next, the duplexes tend to be quieter than the other homes.

Each house stands on a lot ranging in size from 5,250 square feet to 8,810 square feet, averaging 6,300 square feet. The duplex lots range from 3,757 square feet to 5,650 square feet, averaging 4,164 square feet. As those figures show, on average duplexes have a third less ground space than the single family dwellings.

Ke Aka Ho`ona’s 14-acre site is triangular in shape. Within that site the community’s main thoroughfare creates a loop that is itself triangular. The streets and buildings were oriented within this triangular frame to maximize the building space and minimize traffic from the adjacent street. One street enters the community from Plantation Road and provides the only access to the community. That street forms one leg of a triangle and couples with two additional streets to form a triangularly shaped inner “island” of 12 homes and the community center. Seven cul-de-sac streets

lead off from the 3 main streets. All homes are constructed to face inward to the streets in the community. None face Plantation Road, the street passing by the community. In addition to the 12 homes in the inner triangle, 11 homes face the triangle of streets. The driveways of the remaining 52 homes are within cul-de-sac sections of the community.

The single street entry to the community significantly reduces access by nonresidents. Hedges along part of Plantation Road deter vision into the community, and a large concrete-walled stream, Kaupuni Stream, blocks access to the community from another side. Only from the third side could someone directly access the community from an adjacent lot. This side of the community has a high, ungated chain-link fence. Thus, by design the community faces inward and is substantially isolated from traffic and other intrusions by surrounding Waianae residents.

Postconstruction

At the conclusion of the building process for a given increment, the Foundation held a blessing of the families and their new houses. The Foundation president warmly congratulated the families on their achievements; stressed the vision and values laid out by the Foundation's benefactress, Consuelo Zobel Alger; and invited all present to celebrate with the families on this dramatic achievement. Testimonials were subsequently given by the families. These were very emotional, with sincere thanks going to the Foundation, to those persons in the background who watched their children during the stressful building period, and to the project staff and contractors. Local clergy provided special blessings of the homes of the builders who desired this. Additionally, all present enjoyed a good feast, including a range of local foods.

After moving into their new homes, the homeowners must maintain them according to the rules set forth in the *Ke Aka Ho'ona Declarations of Covenants, Conditions, and Restrictions*. Sections 3 and 4 of the covenants address matters most directly related to the homes themselves. Section 3 dictates ten main matters related to the purposes and uses of the property including that the homes will be single family dwellings, solely for residential use; and temporary structures such as trailers, tents, garages, barns, or other outbuildings are not allowed. A number of the covenants directly addressed requirements for maintenance and appearance of the homes and yards.

Section 4, Architectural Controls, includes seven main points. They specify what homeowners must do upon taking possession of the completed home and what the homeowners cannot do without specific permission from the Foundation. For example, Section 4.5 dictates that the homeowner is solely responsible for landscaping and exterior maintenance of lots. One aspect of that dictate requires the homeowner to grass the entire lot within 90 days after completion of the dwelling. The homeowner is compelled to maintain that grass except in areas of the backyard set aside for garden, aquaculture, or other uses approved in writing by the Foundation.

Section 4.4 mandates that the homeowner provide for maintenance of the dwelling and all improvements on the lot. Generally, this covenant requires that the dwelling and improvements be kept in good repair and maintained to keep the same exterior appearance and quality of construction as was the case when the property was purchased.

Section 4.1 specifically prohibits any improvements, repair, excavation, fill, or other work that alters the exterior appearance of the lot. Each homeowner is also responsible for maintaining the exterior appearance.

It may be the covenants, the strong new pride in having constructed their own homes, or a combination of those and other factors, but new homeowners almost immediately set about taking care of their lawns and beautifying their lots. When the first increment moved into their houses, a pattern was established. The families beautified their lawns, created magnificent gardens, and almost invariably set up fences to mark the boundaries of their property. Due to the Foundation's stringent standards of quality, these fences are attractive and do not detract from the overall appearance of quality and pride in the homes and yards. In many cases the fences are built on lava-stone walls that are both beautiful and expensive to build. There have been few instances where homeowner-inspired modifications have been stopped or the homeowner required to remove changes made.

The result of these eight increments of home construction efforts is a polished set of beautiful homes, lawns, fences, gardens, that together make a sparkling jewel in the Waianae community. The continuing challenge of homeowners will be to use the skills they developed in construction to maintain these fine homes for the long term.

8

Social Services and Community Development

The Foundation recognized that project participants would need continued support—beyond the construction phase—to strengthen their families and build a cohesive, values-based community. Therefore, the Foundation has provided an array of services, programs, and assistance to families intended to promote the well-being of individual residents, family units, and the community as a whole.

A critical part of the community development process was the construction process. Builders worked together and got to know one another—their future neighbors—over the 9- to 10-month building period. Once a month, families from one of the earlier increments served lunch to the builders, which provided an opportunity for the builders to meet other members of the community. Under the supervision and guidance of the project’s on-site manager, participants learned how to cooperate with one another and resolve conflicts. Builders were encouraged to work out their differences with one another rather than letting resentments build. When the builders moved into their homes, they already knew their neighbors—their fellow builders—and could draw on the conflict resolution skills they learned during the building phase to address any disagreement that might arise among neighbors.

Consuelo Foundation approached community development and social support at Ke Aka Ho`ona from several angles. It provided an infrastructure to facilitate interaction among residents, including a community center, centralized mailboxes, basketball court, and tot lot. At the outset, it established community covenants to preserve the quality and character of the community. It sponsors activities for children, adults, and families. It assigned Foundation personnel to organize community activities, facilitate committees, and address family needs as they arose. It is working with residents to develop a homeowners’ association that will take over responsibility for the community after the Foundation withdraws. Infrastructure, covenants, staff, programs, and association development are each discussed below.

Infrastructure

The community center was added to Ke Aka Ho`ona in 1994, after completion of the first increment, and enlarged in 1997. The centrally located building has a conference room, a common area that can be used as a food serving area for parties, a kitchen, rest rooms, a computer room, an enclosed lanai for special events and community meetings, and a separate office complex with its own bathroom and small meeting room. The office is large enough to comfortably serve three staff members including their desks and computer equipment, with space for visitors to sit. Residents’ mailboxes are located on the outside of the building. Next to the center is a parking lot for visitors.

A playground, including a tot lot and basketball court, provides a safe place for resident children to play. With completion of all increments, the playground area is being fenced to provide the adjacent properties with better separation from playground activities.

Covenants

Community covenants were established by the Foundation to preserve the quality and character of the community. All participants must agree to adhere to the covenants prior to starting construction. A section of the *Ke Aka Ho`ona Declaration of Covenants, Conditions, and Restrictions* (1994) document is titled “Community Life Commitments.” This section defines the values that residents are expected to embrace and abide by. The following excerpt explains the basis and purpose of the Ke Aka Ho`ona values:

These community life commitments are derived from the values and philosophy of the foundress of [the Foundation] whose intention it was to create a community of initially low-income working families with children which embodies the following values: peacefulness; empowerment; reciprocity; cultural sensitivity; cooperation; freedom from physical, drug, and alcohol abuse; spirituality; quality of excellence; creative atmosphere; and quality of life. These values would in turn translate into neighbors and families peacefully resolving conflicts; absences of child, sex, or spouse abuse; families that take pride in their homes and community as exhibited by well-maintained dwellings, yards, driveways, streets and other common areas; responsible management of finances by Homeowners, including timely mortgage and lease payments; families using resources wisely as exhibited through recycling efforts, development of aquaculture projects and building of solar ovens; families working and playing together happily and constructively, e.g., through the sharing of services like babysitting and car pooling, weekend neighborhood barbecues and participating in neighborhood crime-watch programs; and families “giving back what they take” to their ohana, neighborhood, and community. (pp. 10-11)

In addition to the values, residents are required to agree to and follow several specific rules. The small sampling of items extracted from the *Ke Aka Ho`ona Declaration of Covenants, Conditions, and Restrictions* (1994), which appear below, illustrates the range of rules for living in the community:

- Each Dwelling Unit shall at all times be occupied solely by the Homeowner . . . (p. 5)
- No more than three (3) motor vehicles, all of which shall be in operating condition, shall be parked upon any Lot . . . (p. 6)
- No structure of a temporary character . . . shall be built or used on any Lot . . . (p. 6)
- No animals, livestock, pigs, poultry or rabbits (except for one (1) dog or cat or other household pet . . . Pit bull dogs and fighting roosters are specifically prohibited. (p. 8)
- Each Homeowner shall, within ninety (90) days after completion of the Dwelling . . . grass the entire Lot and thereafter satisfactorily maintain said grass, except in areas of the backyard of a Homeowner’s Lot which are used for gardens, aquaculture and such other users approved in writing . . . (p. 9)
- No building, structure, or fence or wall shall be erected, placed, or altered on any Lot until [Consuelo Foundation] has given its prior written consent to the location, construction plans, and specifications therefore . . . (p. 8)
- NO CRIMINAL ACTIVITY. (p. 11)
- NO MANUFACTURE, SALE OR DISTRIBUTION OF ILLEGAL DRUGS (p.11)
- NO ACTS OR THREATS OF VIOLENCE (p.11)
- NO ABUSE OF ALCOHOL OR OTHER INEBRIATING NON-NARCOTIC SUBSTANCES RESULTING IN ACTS OR THREATS OF VIOLENCE . . . (p. 12)

It should be noted that such rules were periodically updated based on deliberation between the homeowners and the Foundation. For example, originally the number of motor vehicles a homeowner could have on his or her property was limited to 3. Now, homeowners may have as many vehicles as they can fit in their driveways and carports (no vehicles may be parked in the yards). Also, the pet limitation has changed from 1 to 2 per household.

In 2000, the Foundation established a “covenant walk” committee. At this writing, five residents are active members. The group is facilitated by Ms. Joey Kahala, the project manager. The committee walks through the community on a quarterly basis to check on compliance with covenants dealing with landscaping, cars, boats, pets, and neatness of carports and yards (T. George, personal communication, February 7, 2002). The committee issues citations if it finds violations. The cited residents must then take immediate steps to correct the deficiency or show cause that the citation is incorrect.

Staff

The Foundation assigned personnel to support the growing number of residents and the community as a whole. Ms. Zee Suzuki, coordinator for recruitment and selection, and Ms. Joey Kahala, project manager, both devote part of their time to social services and community development. Formerly serving in these areas were Macki Abenoja—community development specialist, and Nalani Tavares—community development specialist for children, youth, and families.

About two-thirds of Ms. Suzuki’s time is devoted to recruitment and selection for the new self-help housing project that the Foundation is working on with the Department of Hawaiian Home Lands. She spends the remaining one-third on Ke Aka Ho’ona matters. According to Terry George, Chief Program Officer (personal communication, February 20, 2002), Ms. Suzuki’s Ke Aka Ho’ona responsibilities include the following:

- meet monthly with the Planning Committee to plan the formation of the Homeowners Association
- meet monthly with the activities committee to plan, organize, and fund family outings, field trips, communitywide meals, movie showings, education activities for children, and other activities
- meet with applicants to the Foundation’s Educational Assistance Program to help them fill out applications, request supporting documents, and present the applications for decisions by a committee comprised of Consuelo Foundation staff
- occasionally counsel and tutor children and problem solve for adult residents who need help
- refer residents to social service agencies for counseling, conflict resolution, and financial assistance as needed
- operate the Foundation’s Youth Individual Development Account (IDA) program, which helps teenagers save money and set goals for post-high school education
- provide staff support for the monthly homeowners meetings by coaching the co-chairs (selected from among the homeowners) to set the agenda and to stick to it
- provide staff leadership in organizing annual Christmas celebrations

As project manager, Ms. Kahala's responsibilities overlap somewhat with Ms. Suzuki's. Ms. Kahala spends about three-fourths of her time working on Ke Aka Ho`ona matters and one-fourth on the Foundation's new self-help housing project. In addition to her important oversight role during construction, Ms. Kahala also works with families after they have moved into the community. Her responsibilities fall primarily in the area of financial and architectural matters. According to the chief program officer (T. George, personal communication, February 20, 2002), Ms. Kahala's Ke Aka Ho`ona responsibilities include the following:

- work with the covenant walk committee—organize the meetings, provide guidance and facilitation, and help resolve problems and conflicts within the committee
- meet monthly with the new home improvement/design guidelines committee to decide on all homeowner requests for walls, fences, sidewalks, air conditioners, etc.
- work with rent-to-own families to make sure they meet monthly with the Foundation's financial consultant and stay on financial track to get mortgages for their homes within two years of moving in
- make appointments for other families who would like to meet with the financial consultant
- serve as liaison between the Foundation and all families who are behind in their lease rent and mortgage payments—this involves calling each of them to see why they did not make a payment and offering to have the financial consultant work with them
- serve on the Foundation's lease rent and mortgage committee, which meets monthly to review each case of late payment
- operate two IDA programs, one for homebuilders who are saving toward home ownership and one for homeowners who are saving toward the cost of major home repairs and renovations
- occasionally counsel and tutor children and problem solve for adult residents who need help
- refer residents to social service agencies for counseling, conflict resolution, and financial assistance as needed
- manage the maintenance of common areas, i.e., the community center and playground
- provide staff leadership in organizing blessing celebrations

Programs, Activities, and Other Support

Both Ms. Kahala and Ms. Suzuki spend 90 percent of their time in the offices located in the Ke Aka Ho`ona community center and 10 percent in the main Foundation office in Honolulu, where they work with the chief program officer to plan their work, resolve issues, and set and implement policies (T. George, personal communication, February 20, 2002).

Over the years, the Foundation has provided an array of programs and services for Ke Aka Ho`ona children, adults, and families. The activities are intended to enrich the lives of residents and promote relationships among residents. Example programs and services follow:

- trips to the Honolulu Zoo, Hawaii Nature Center, Bishop Museum, Sea Life Park, the Ice Palace
- enrichment classes for youth to improve self-esteem and self-confidence
- pizza parties to welcome and introduce new community members

- education on responsible pet ownership (visits from representatives from Hawaii Humane Society)
- first-hand information on gangs from two “redirected” gang members
- tutoring
- summer woodcraft class
- Ke Aka Ho`ona Educational Assistance Program, small-grants program for residents (adults and children) who need funds for some of their educational pursuits. Grants have been provided for the following, among other things:
 - participation in the Maori immersion program in New Zealand by one Hawaiian immersion language student
 - educational trips to the Big Island for two elementary students
 - summer school programs for four other students
 - summer camp for two siblings
 - graduation gifts for all high school graduates
 - participation in the Down Under Bowl and later junior college in California to one graduate who excelled in football
 - a notebook computer to an outstanding academic graduate.
- Strengthening Hawaii Families, a 14-week series developed by the Coalition for a Drug-Free Hawaii. The program seeks to help families improve communication skills, focusing on Hawaiian values.
- Self-improvement classes, led by a former teacher at John Powers Modeling School. Topics included developing positive attitudes; skin care and good grooming; exercise, diet, and nutrition; hair care; basic wardrobe and color coordination; posture; make-up application; etiquette and social courtesies; and diction and public speaking.
- “Kids for Peace,” led by the Institute for Family Enrichment. The three-week program is for 8-12 year olds and looks at peaceful ways of conflict resolution. (*Program Profile*, 1998; C. Oda, personal communication, January 19, 2000)

An occasional community newsletter, *Ka Leo Ke Aka Ho`ona*, keeps residents up to date on community activities and residents’ accomplishments (e.g., children’s graduations and awards, etc.). It also includes parenting tips, recipes, and suggestions for healthy family activities.

Through the on-site staff, the Foundation also offers special assistance to families on a case-by-case basis. Included among the responsibilities of both Ms. Kahala and Ms. Suzuki are counseling, tutoring, problem solving, and referring residents to social service agencies as needed. An example is reported in the 1995 *Traveling Observer’s Report*: Two teenage residents were not getting along. The community development specialist arranged for one of the girls to attend a summer leadership camp, while the other girl attended a city recreational program. This helped diffuse the conflict and helped the girls mature.

Development of a Homeowners Association

Over the past three years, the Foundation's coordinator for recruitment and selection has been educating residents about how to develop and manage a homeowners association. In the fall of 2000, a planning committee was established, consisting of about 16 residents, with representatives from each increment. Preparation for the establishment of the homeowners association involves planning for taking over and preparing to run the community while sustaining its viability as a values-based community, learning how to incorporate as a nonprofit organization, and developing bylaws. Ms. Suzuki schedules the planning committee meetings, develops the agendas, and facilitates the meetings. She is also providing training workshops and materials to the committee and identifying attorneys whom they can use to draft their bylaws and articles of incorporation. The planning committee also selects, with Foundation input, families for vacant houses. (T. George, personal communication, February 7, 2002, & February 20, 2002).

Pursuing Consuelo Zobel Alger's dream



Al Rodriguez, Linda Roberts, Joey Kahala, Macki Abenoja



Increment 3 builders

The dream expands and the work continues



Community center



Preparation of Phase II construction site



Basketball court



Tot lot

The project provides variety in house designs



Cul-de-sacs foster togetherness and play areas



“You win with people.”–Woody Hayes



Increment 4 builders



Terry George, Chief Program Officer, & Patti Lyons, President

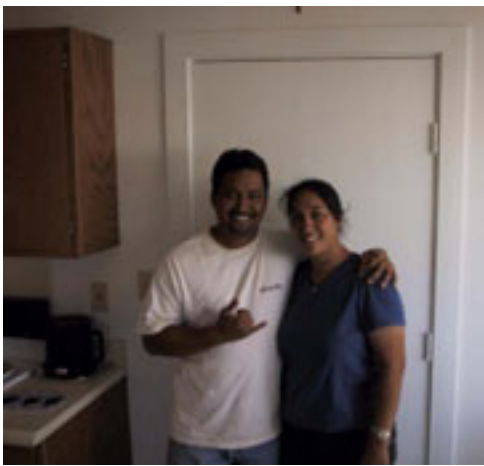


Jeffrey Watanabe, Consuelo
Foundation Board Chairman



Increment 4 builder

Needed: Families with some resources and great potential



The project thrived on competence as well as commitment



Terry George, Nalani Tavares, Joey Kahala, Linda Roberts



Patti Lyons



Lee Kong, contractor (middle)



Caroline Oda

Making the project work and improve



Joe Harrington, contractor (right)

**“Never give up. Never ever give up.”
—Patti Lyons, quoting Winston Churchill**



Patti Lyons



**The end of construction:
A time to rejoice and give thanks**



Steps toward community living



Zee Suzuki, Recruitment & Selection Coordinator



Joey Kahala, Project Manager, with resident children

REPORT THREE

Project Results

It is the fulfillment of a dream to own our own home, where kids would be safe—never thought this would be possible.

—Ke Aka Ho`ona Increment resident

9

Evaluation Approach

In 1994, Consuelo Foundation engaged The Western Michigan University Evaluation Center to evaluate the Ke Aka Ho`ona project. The evaluation spanned nearly eight years; assessed all eight building increments; examined the project's construction, social support, and community development components; and concluded with this April 2002 summative evaluation report. This section describes the evaluation approach employed across the evaluation's eight years.

Initial Planning Grant

Upon being invited to conduct a comprehensive, long-term evaluation of Ke Aka Ho`ona, we requested and obtained an initial short-term planning grant of about \$12,000. The evaluation team was thus enabled to become acquainted with the project, its participants, and the project's environment before designing and contracting for the long-term evaluation. In this and other evaluations, The Evaluation Center's staff have found that such initial planning grants enable evaluators, clients, and other stakeholders to develop sound understanding, rapport, and agreements on which to base the ensuing years of evaluation work. However, having worked out a sound plan to guide the ensuing years of evaluation work, it remains important to revisit the evaluation plan regularly and revise it as appropriate. We did this by means of periodic feedback workshops, which are described later in this section.

Audiences and Reports

During the project, the Center annually presented reports to provide the Foundation's leaders and project staff with up-to-date external assessments of the project's progress (3-4 reports in the early years of the evaluation and 1-2 in the later years; a list of reports is provided in Appendix A). In accordance with contractual agreements, the reports were addressed to the Foundation's board and staff for their discretionary use. At the request of President Patti Lyons, this evaluation report is designed for the Foundation's use for project improvement and accountability, for sharing with the project's beneficiaries, and for sharing with outside audiences of the Foundation's choice.

The reports included feedback from beneficiaries and Foundation staff, plus our evaluator perspectives. Basically, each report presented findings from a main procedure employed during that year. Every year, one report was based on the interview responses of the builders who had recently completed and moved into their new houses. Depending on the year, other reports could include an environmental analysis, feedback from the traveling observer, case study findings, a goal-free report, and/or an updated program profile. Together, each year's reports mainly examined the project's environment, documented project operations, identified strengths and weaknesses, and sometimes identified issues requiring the Foundation's attention. Each year we supplemented the main reports

with a brief synthesis report—usually in the form of a computer-based visual presentation. This was designed to assist Foundation staff in sharing the latest evaluation findings with the board and other audiences. The annual reports were in the vein of project improvement-oriented evaluation, whereas this final report provides an overall summative assessment. In the original document our executive summary was included as a laminated insert; the summary is included in this book's appendix.

Purposes

The evaluation's purposes were fourfold. First, we provided information to help the project staff take stock of, assess, and improve the ongoing process. Second, we helped the Foundation maintain an accountability record, especially for keeping the Foundation's board apprised of the project's performance in carrying out planned procedures. Third, we sought to analyze the project's background, process, and outcomes in order to promote better understanding of ways and means of using self-help housing to conduct community development. Finally, the evaluation was keyed to helping the Foundation inform developers and other groups about this project's mission, objectives, structure, process, and outcomes and thereby help them consider the project as a possible model for adaptation and use elsewhere. Thus, the evaluation's purposes are improvement, accountability, understanding, and dissemination.

Design

The evaluation design was based on the CIPP Evaluation Model (Stufflebeam, 2000). This model presents a comprehensive approach to assessing *context*, including the nature, extent, and criticality of beneficiaries' needs and assets and pertinent environmental forces; *input*, including the responsiveness and strength of project plans and resources; *process*, involving the appropriateness and adequacy of project operations; and *product*, meaning the extent, desirability, and significance of intended and unintended outcomes. To gain additional insights into project outcomes, the product evaluation component was divided into four parts: (1) impact, regarding the project's reach to the intended target audience; (2) effectiveness, regarding the quality, desirability, and significance of outcomes; (3) sustainability, concerning the project's institutionalization and long-term viability; and (4) transportability, concerning the utility of the project's meritorious features in other settings.

The CIPP model, as implemented in this project, combined formative and summative evaluation. Formative evaluation presented Foundation leaders and staff with periodic feedback keyed to helping them review and strengthen project plans and operations. The composite final report is largely retrospective; it summarizes and appraises what was done and accomplished.

Evaluation Questions

The main questions that guided this evaluation were derived from the types of evaluation noted above. The questions are as follows:

1. Context: To what extent was the project targeted to important community and beneficiary needs?
2. Input: To what extent were the project's structure and procedural and resource plans consistent with Foundation values, state of the art, feasible, and sufficiently powerful to address the targeted needs?
3. Process: To what extent were the project's operations consistent with plans, responsibly conducted, and effective in addressing beneficiaries' needs?
4. Impact: What beneficiaries were *reached*, and to what extent were they the targeted beneficiaries?
5. Effectiveness: To what extent did the project *meet* the needs of the involved beneficiaries?
6. Sustainability: To what extent was the project institutionalized in order to sustain its successful implementation?
7. Transportability: To what extent could or has the project been successfully adapted and applied elsewhere?

Basis for Judging the Project

To the extent that this evaluation finds positive answers to all of the above questions, the Ke Aka Ho'ona project would rate high on merit, worth, and significance. Negative assessments regarding any of the questions would point up areas of deficiency that would at least diminish the judgments of soundness and quality or that could discredit the project entirely. The above evaluative questions denote a range of important assessment criteria. They include the project's adherence to Foundation values, relevance, state-of-the-art character, efficiency, feasibility, responsiveness, quality, viability, adaptability, and significance. It is emphasized that the bottom line criterion concerns the extent to which the project met the assessed needs of the targeted beneficiaries. If the project failed on this criterion, it would fail overall.

Data Collection

Multiple methods were used to gather data for each component of the evaluation. Table 3 lists the primary methods used. The checkmarks in the matrix's cells indicate which parts of the evaluation model were addressed by which evaluation methods. Each part of the evaluation model was addressed by at least three different methods.

Table 3
Evaluation Methods Related to Evaluation Types

| | Context | Input | Process | Impact | Effectiveness | Sustain- ability | Transport- ability |
|--|---------|-------|---------|--------|---------------|---------------------|-----------------------|
| Environmental Analysis | ✓ | | ✓ | | | | |
| Program Profile | | ✓ | | | | ✓ | |
| Traveling Observer | | | ✓ | ✓ | ✓ | ✓ | |
| Case Studies | | | ✓ | | ✓ | ✓ | |
| Stakeholder Interviews | ✓ | | ✓ | ✓ | ✓ | ✓ | ✓ |
| Goal-Free Evaluation | | | ✓ | | ✓ | | ✓ |
| Task Reports/ Feedback Workshops | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Synthesis/Final Report | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |

Table 4 shows the data collection methods in relationship to project years. Not every method was applied every year, but at least three methods were employed during each project year. It is noteworthy that the evaluation's collection of pertinent information was reduced by discontinuation of the environmental analysis and program profile procedures about midway into the study, due to the Foundation's need to cut the evaluation budget.

Table 4
Evaluation Methods Related to Project Years

| | 1994 | 1995 | 1996 | 1997 | 1998 | 1999 | 2000 | 2001 | 2002 |
|------------------------|------|------|------|------|------|------|------|------|------|
| Environmental Analysis | ✓ | | ✓ | | | | | | |
| Program Profile | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |
| Traveling Observer | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |
| Case Studies | | ✓ | | ✓ | | | ✓ | | |

| | 1994 | 1995 | 1996 | 1997 | 1998 | 1999 | 2000 | 2001 | 2002 |
|-------------------------------------|------|------|------|------|------|------|------|------|------|
| Stakeholder Interviews | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |
| Goal-Free Evaluation | | | ✓ | | ✓ | | | | |
| Task Reports/ Feedback Workshops | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Synthesis/Final Report | | | | | | | ✓ | ✓ | ✓ |

Each method is characterized below.

Environmental analysis involved gathering contextual information in the forms of available documents and data concerning such matters as area economics, population characteristics, related projects and services, and the needs and problems of the targeted population. It also involved interviewing persons in various roles in the area and visiting pertinent projects and services. Individuals interviewed for this aspect of the evaluation included area school teachers and administrators, government officials, Catholic Charities' personnel, Department of Hawaiian Home Lands personnel, local social workers, etc.

The environmental analysis was considered by the Foundation to be important and useful early in the project's development when the Foundation was still in the process of clarifying the target population and examining its needs in the context of Hawaii's economy. The procedure was discontinued when the Foundation experienced serious financial problems, especially in its stock holdings in the Philippines, and needed to cut back our evaluation as well as other Foundation efforts. Foundation staff decided that a continuing environmental analysis was not among their high priorities and asked us to concentrate on observing and analyzing what was happening at the project site. This change in the evaluation somewhat limits what we can now say about the relevance of a Ke Aka Ho'ona approach to Hawaii's current economic and social environment.

Program profiles characterized the project, including its mission, goals, plan, constituents, staff, timetable, resources, progress to date, accomplishments, and recognitions. From the project's beginning, we wrote and periodically updated a relatively large and growing document that profiles the project as it was established and as it evolved. While serving the same purpose as a database, the profile is more of an information base with a concentration of qualitative information. Especially included is commentary concerning which project features remained stable, which ones changed, and which ones were added. Early in the evaluation, we prepared the Program Profile report, submitted the draft to the Foundation staff, and then discussed it with them. In following years, as the report grew in size, the staff found that they were reading a lot of what they had read before. For subsequent editions, they therefore asked us to highlight the information that had changed or was added and engage them in verifying its accuracy and clarity. Like the environmental

analysis, the program profile procedure was also discontinued during the final three years because of the need to cut costs.

The **traveling observers** (also called resident observers) designed and carried out a systematic procedure to monitor and assess both project implementation and project outcomes along the way. The traveling observers live on Oahu, but not in the immediate Waianae community area. They served as liaisons for the Michigan-based evaluation team who were at the project site only periodically. The employment of a traveling observer according to an explicit protocol is a method in that, as in naturalistic inquiry, the observer is the instrument.

Over time, three different traveling observers participated in evaluating Ke Aka Ho`ona. These individuals, in general, conducted interviews with project participants, maintained a newspaper clippings file pertaining to the project or pertinent issues, served as advance persons for preparing the way for the Western Michigan University investigators to be both efficient and effective during their periodic visits, collected and reviewed documents pertaining to the project, especially helped identify and assess the project's effects on the children and youth, and conducted interviews pertaining to case studies involving selected families in the community. An invaluable aspect of the traveling observers' work was their briefing of the Western Michigan University visitors on their arrival in Hawaii to help them become as up to date as possible with recent issues and events in the project and in Hawaii.

Case studies were conducted as repeated interviews with a panel of participants over time, followed by a synthesis of their perspectives on the project. Case studies were undertaken in project years 2, 4, and 7. Additional families were added each year. Originally, the case studies were intended to track the experiences of individual families over time. However, it was deemed that anonymity of the families included in the case studies was important but could not be guaranteed in such a small community. Therefore, instead of risking the families' privacy, the case study focus shifted from individual families to the collective perceptions of the selected families about the project and its impacts on them.

Case study interview questions focused on the project's impacts on the families' quality of life and relationships, needs of children, the Ke Aka Ho`ona and Waianae communities, and the extent that beneficiaries were influenced to help other needy parties. A special protocol was used to guide the case study interviews. The interviewers especially looked for changes over time in the perceptions of the families interviewed regarding the project's quality and success, particular issues, and how well these issues were being resolved.

Interviews were conducted with the builders of each increment about three to six months after they moved into their new homes. These interviews provided information about the builders' perceptions of the community, the process they experienced in building the houses, the nature and quality of the construction and community development outcomes, the project's impacts on their lives, and matters related to sustaining and improving their community. The interviews were guided by a protocol, which changed only slightly from year to year. The families were highly cooperative and forthcoming in helping the investigators understand the developing project, identify key issues

related to project improvement, and assess the project's success in relationship to their family's needs and the broader values-based vision for the community projected by Consuelo Foundation.

Goal-free evaluations were conducted in Years 3 and 5. A goal-free evaluation is one that is conducted by a highly competent evaluator who is not knowledgeable of the project being studied. This technique is especially useful for identifying and assessing unexpected project outcomes. The goal-free evaluators are told that their study of background information pertaining to the project will not include any information concerning the project's goals. The goal-free evaluator's assignment is to enter the project area and the surrounding community and find out what the project actually did and achieved. Questions addressed included What positive and negative effects flowed from the project? How are these effects judged regarding criteria of merit, such as quality of construction, quality of communication and collaboration within the community, quality of organization and administration, etc.? How significant were the project's outcomes compared with the needs of the involved families and the needs of the surrounding environment? Thus, this technique seeks not to determine whether the project achieved what it set out to achieve, but to determine and judge what it actually did and achieved. Observed achievements are credited irrespective of project goals and then assessed for their significance. Significance is gauged against the participants' assessed needs and those of the surrounding, broader community. A goal-free evaluator gives a project credit for what it did and achieved and how important that was, not necessarily for whether it achieved what it was intended to achieve.

Throughout the evaluation, the evaluation team held **feedback workshops** with project staff to go over draft reports. Each report was keyed to one or more particular techniques and one or more of the evaluation model's components. Draft discussion reports were submitted to project staff well in advance of the time for finalization. Following staff review of draft reports, feedback workshops were conducted involving the evaluation team, project leaders and staff, and other stakeholders that the Foundation's leaders invited. These workshops were devoted to discussing the findings, identifying areas of ambiguity and inaccuracy in each report, and updating evaluation plans. Program personnel used the feedback workshops to apply evaluation to their own assessments and decision processes. The evaluators used the feedback both to strengthen and finalize reports and make needed adjustments in evaluation plans. Based on our employment of feedback workshops in this evaluation, we developed a checklist for conducting feedback workshops. It is available at <www.wmich/evalctr/checklists>.

The final method in our approach was that of **synthesizing findings** and **finalizing the evaluation report**. This composite final report is the result of that process, which included reviewing 7 ½ years of previous reports, examining Foundation documents, gathering additional information from Foundation staff, and reflecting on our experience with the project. As with all of our reports, we submitted a draft to the Foundation and discussed it with Foundation leaders and project staff. We also presented the findings and conclusions to the Foundation's board at its April 2002 meeting. We then finalized the report.

Personnel

Being an eight year evaluation, it is perhaps not unusual that a succession of staff members helped conduct the evaluation. The constants were the principal investigator, Daniel Stufflebeam, and the project editor, Ms. Sally Veeder. Three project managers—Mr. Carl Hanssen, Dr. Jerry Horn, and Dr. Arlen Gullickson—successively managed the evaluation. Transition from one to the other was relatively seamless.

Constraints

The evaluation team enjoyed a constructive working relationship with Foundation staff and received high levels of cooperation from project participants. Thus, the evaluation proceeded relatively smoothly over its eight years. The distance of The Western Michigan University Evaluation Center from the project site in Hawaii limited the amount of direct observation that the primary evaluators could do. This was somewhat offset by having an on-site traveling observer and by regularly receiving documents from Foundation staff. Toward the evaluation's end, funding for the evaluation was reduced, which necessitated discontinuing or reducing certain components of the evaluation, including the project profiles and environmental analyses. These cuts detracted from the evaluation team's ability to examine project outcomes in the context of up-to-date environmental conditions.

Cost of the Evaluation

A hallmark of this evaluation was its frugality. From the beginning the evaluators and the sponsor agreed that full cost budgets would be approved, that these would be cost-reimbursable, and that the evaluators would constantly seek ways to cut costs. During one period when the Foundation encountered fiscal difficulties due to a downturn in the Asian stock markets, the evaluation's director charged for only half his time on the evaluation. Also, The Evaluation Center agreed to cut out some of the evaluation tasks that the Foundation considered less important than others. Additionally, the evaluation team was able to save the Foundation substantial money for the evaluation by such means as sharing travel costs with other Center projects being conducted in Hawaii.

While the full cost budgets negotiated for this evaluation totaled \$947,815, at this writing The Evaluation Center has actually billed \$509,980. The \$947,815 figure should be reduced by approximately \$216,788, since the former figure includes two 2-year budgets that were renegotiated after the first year of the budget period. Using this adjustment, the evaluation's budgeted full cost was \$731,027, compared with the \$509,980 so far expended. At this writing, the evaluators have saved the Foundation approximately \$221,047 or 30 percent of the budgeted amount. This savings will be reduced by up to about \$50,000 when the Center submits its final bill, but the savings will still be 23 percent or more.

The important points learned from this evaluation's costs are as follows:

- Evaluators should submit and clients should approve full cost budgets in order to assure that the essential evaluation tasks can be successfully performed.

- Evaluators should constantly seek and implement cost-saving measures that will not detract from the evaluation.
- Sometimes the evaluation's scope should be reduced in the face of unanticipated problems in order to carry through the evaluation's core aspects without canceling it entirely.

We consider that these points are so important that both parties to an evaluation should at least consider making them a part of the basic working agreements, if not the formal contract. At the evaluation's outset, we made clear our intentions on these matters to Foundation personnel, which they welcomed. Both parties followed through in implementing these points. At the start of each budget period, we were able to proceed with confidence that we could obtain the funds needed to complete the agreed-upon tasks. The Foundation saved substantial funds from what it had expected to spend. Some of the evaluation tasks and budgets were cut, so that the evaluation could survive some of the Foundation's financial difficulties. Most of the intended evaluation work got carried out in what we judge to be a demonstrably cost-effective manner.

Metaevaluation

In Appendix G we provided our judgments, along with supporting commentary, of this evaluation's adherence to the Joint Committee (1994) *Program Evaluation Standards*. The important point is that throughout the evaluation we endeavored to meet the requirements of all 30 standards. In our judgment—which is well-informed but hardly independent—the evaluation fully met 29 of the standards and partially met the Disclosure of Findings standard. The evaluation's limitation on the latter standard is that we agreed that the Foundation would retain discretion over sharing the findings with external audiences. Clearly, that is the Foundation's right since it is not bound by federal law on freedom of information. Overall, we have given our attestation that the evaluation met the Joint Committee Program Evaluation Standards requirements for utility, feasibility, propriety, and accuracy.

In the spirit of the Program Evaluation Standards, we would be supportive of duly commissioned, competent metaevaluation of this report and the underlying evaluation project.

10

Evaluation Findings

The evaluation findings are presented in this section in response to the evaluation questions listed in the previous section (Evaluation Approach).

Context Evaluation

To what extent did the project target important community and beneficiary needs?

We preface this section by excerpting material from a discussion with President Patti Lyons (on March 22, 2002) focused on a prior draft of this report. She described in poignant detail how and why, in 1994, the young Consuelo Foundation launched the Ke Aka Ho`ona project.

President Lyons reported that initially she and her Foundation colleagues didn't know what they should do to best pursue the Foundation's mission. She said they queried many area groups, asking them "What is Hawaii's most critical need?" The answer, she continued, came back loud and clear. It was low-cost housing for the poorest of the poor and Hawaii's hidden homeless (families that, lacking their own homes, reside in crowded houses with parents, other family members, or friends). She proposed that the Foundation use 14 acres of land it had purchased in the Waianae area in 1990 to provide houses for the poor. She said the new board chairperson initially was upset and resistant to this idea, asserting that the Foundation's staff of social workers were unqualified to build houses. Her response, she said, was "It's simple. Housing is the most important need." According to President Lyons, another board member, also skeptical about the proposal, asked a long list of questions about cost, infrastructure, mortgages, etc. President Lyons said she told him "The answers will come out as we go along." And so they did. All involved in this project became engrossed in a challenging and rich learning process, which President Lyons proceeded to describe in colorful detail.

She said, "The first increment of eight houses involved a big learning curve." The eight families and the assisting contractors built one house first. She said initially the builders didn't like the contractors, that getting to know and have confidence in them was all part of the learning curve. The contractors hadn't built whole houses before, were inexperienced in the realm of self-help housing, and initially didn't evoke confidence in their abilities. She explained further that the total group experienced a lot of problems, which, she said, was to be expected and provided many valuable object lessons. President Lyons concluded, "We couldn't have done it differently." She also said that during the process of selecting families to build houses, the Foundation learned that they couldn't—at least in that early stage of the learning process—serve the poorest of the poor. She explained that this group had too many problems and limitations. Especially, these families couldn't get conventional mortgages. Instead of serving the poorest of the poor, the Foundation decided that this seminal project would serve families that could be classified as the working poor or hidden homeless.

President Lyons emphasized that Ke Aka Ho`ona differs from other housing approaches, such as Habitat for Humanity, which, she said, “gets in and gets out.” In contrast, Ke Aka Ho`ona is grounded in values, oriented not just to building isolated houses, but to building a community, engages the homeowners to build their own houses rather than depending on volunteers, and employs mortgages to assure that the beneficiaries will pay for the homes.

As indicated above, Ke Aka Ho`ona targeted the Waianae region’s acute needs for more affordable, decent housing. It invoked positive family and community values and, within the project’s immediate environment, attempted to help combat the area’s problems of crime, drug and alcohol abuse, and violence. While President Lyons reported that some Foundation board members were initially resistant to the project, she stated further that “The board has been nothing but supportive since the second increment.”

Because the project was aimed at families with incomes of no more than 80 percent of Oahu’s median family income, the intended beneficiaries were among Hawaii’s working poor. We agree with the Foundation staff’s position that without this or a similar project, it is unlikely these families would ever own a desirable home. Locating the project on the Waianae Coast was conducive to serving the Foundation’s priority group of indigenous Hawaiians and also mirroring Hawaii’s diverse ethnic composition. It is noteworthy that most participants entered the project with needs to improve or even develop new skills in construction and also to improve their physical conditioning. The project had to and did target these needs in order to succeed. In compliance with the Foundation’s mission, only families with children could qualify for the project.

The project aimed to meet a wide range of needs of the involved families. These needs included affordable housing; budgeting skills; safe, drug- and violence-free community living; and community development capabilities. Additionally, as future homeowners, they needed home maintenance skills. By demonstrating its values-oriented, self-help housing approach, the project also fortuitously addressed the needs of area community development specialists and organizations for better housing and community development approaches, especially such needs of the state’s Department of Hawaiian Home Lands.

For the immediate future of this project, the Foundation set aside its initial intention to address the housing needs of Hawaii’s poorest of the poor. The project should be credited for the needs it did target. Especially, it succeeded in defining and aiming services at a group that, although different than the original targeted beneficiaries, had clear housing needs.

The homeowners’ descriptions of their previous living arrangements attest to the need for safe, spacious, and affordable housing for the project’s revised target population of the working poor. In our interviews, the homeowners spoke of having to share housing with multiple families, with as many as 17 people living in a single-family house or apartment. The previous housing of almost all the families was located in crime- and drug-infested areas, which made them fearful for their children’s well-being. The following quotes from the homeowners provide a sense of the substandard living conditions they had before entering the project:

Before we paid \$800 per month. Mortgage is low. Living space is so much better. We lived with 17 in a 3-bedroom house. (Increment 1 resident, quoted in The Waianae Self-Help Housing Initiative, 1994, p. 6)

[This project] enabled us to get out of drug-and crime-infested area. Got away from guns. (Increment 3 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 3, 1996, p. 6)

The community is safer and totally better than where we were. We were in a housing project building. There were a lot of gangs, drugs, and violence among the residents. (Increment 4 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 4, 1997, p. 6)

We lived in Ewa Beach where there was crime, drug dealing, and gangs. We had no choice—that was what we could afford. (Increment 4 resident, quoted in 2000 case study interview notes)

We rented a house, an apartment, but much earlier we lived with my in-laws (mother- and father-in-law), my husband's brother and sister, and his sister's three kids and her boyfriend. It was very overcrowded. There were about 15 people living in the one apartment. (Increment 5 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 5, 1998, p. 7)

It's much better than before. We were in a structure 18' by 30' with 2 bedrooms, an apartment-sized kitchen, 2 coil hotplate. Five years there—no running water and bathroom. Outside sink and outside shower and bathroom. Big yard and animals. Now we have so many bedrooms. (Increment 6 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 6, 2000, p. 10)

We had a 2-bedroom apartment. The neighborhood was good for kids. Before, we didn't have any privacy. We lived with our family. Where I came from was rough. There were 13 in the house. We were paying someone else's mortgage. (Increment 7 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 7, 2000, p. 8)

The context evaluation yielded relevant information about the overall environment. As we reported in our 1997 *Environmental Analysis Report*, Catholic Charities personnel indicated that although they had little trouble in finding housing in Oahu for the settlement of Weinberg Village, there was a need for more than 50,000 rental units statewide. This shortage forced many area families to share housing with two or three other families in order to afford rent (*Environmental Analysis Report*, 1997, p. 23). Around this time, the Department of Hawaiian Home Lands received more than \$150 million in a settlement with the federal government (for its illegal use of land), enabling the Department to expand its efforts to provide affordable land and housing to native Hawaiians (*Environmental Analysis Report*, 1997, p. 23). This major development somewhat reduced but did not eliminate the need for the Foundation to conduct additional self-help housing projects in the target area and for a group that included but was broader than indigenous Hawaiians. This is affirmed by the fact that the Foundation received many more qualified applications than it could

accept, even with its modest advertising efforts. Waianae is relatively isolated. It is a depressed area lacking in decent, affordable housing. Thus, Ke Aka Ho`ona addressed an important need in that community.

It is well established that building houses alone is not enough to meet the housing and related needs of poor people. They need livelihood to maintain their properties; skills to make repairs; structures to insure a safe, healthy environment; and a lot of moral support and technical guidance. Through its values orientation and self-help approach, the Foundation targeted needs for more effective approaches to housing and community development. Such needs are ongoing in the area and still being addressed by Consuelo Foundation. The Department of Hawaiian Home Lands has partnered with the Foundation to apply the Ke Aka Ho`ona values-based, self-help model to a new housing development for low-income native Hawaiians.

Input Evaluation

To what extent were the project's structure and procedural and resource plans consistent with Foundation values, state of the art, feasible, and sufficiently powerful to address the targeted needs?

The basic project plan was grounded in clear, important requirements. The beneficiary families must have children. Each family's income was to be no more than 80 percent of Oahu's median family income. The selected families would possess moral character consistent with the Foundation's values. The project would address the housing and housing-related needs of the selected families and would meet the codes and other regulations of the Waianae Coast community.

In this discussion of input evaluation findings, a caveat is in order. As noted previously, the project's target population had to be changed because the Foundation had chosen a project strategy of self-help housing that proved unworkable with the original intended group of the state's poorest of the poor. Typically, such a practice is akin to putting the proverbial cart before the horse. We find the particular decision of first choosing the self-help housing strategy defensible in this case, because the Foundation was new, in a learning mode, and needed a feasible project through which to learn how to mount and run projects. Now that the needed learning has been accomplished (through experiences with Ke Aka Ho`ona and other projects), in future efforts the Foundation is advised to define and assess the needs of its intended beneficiaries first and only subsequently to search for and, as needed, invent appropriate, responsive project strategies.

Before involving the Western Michigan University Evaluation Center, the Foundation conducted most of its input evaluation by visiting 13 self-help housing projects in California. This exploration reflects the commendable practice of investigating the current state of the art and searching out and assessing alternatives before determining the project strategy to be pursued.

The Foundation's plan for its self-help housing project was built initially on what its personnel learned by studying the California projects. The Foundation also shaped its project design by considering its guiding values, the targeted families' characteristics and needs, the possibilities and constraints associated with the 14-acre plot it had set aside for the project, the requirements associated with bank mortgages, and bureaucratic and government codes and constraints in the

targeted geographic area. The Foundation also consulted various experts, exchanged information with area social support groups, and made use of its board's expertise in fleshing out and approving planned actions and financial allocations.

The planning of this project included initial decisions, especially layout of the lots, infrastructure, and provisions for assigning houses to families. The latter is especially noteworthy and instructive for other self-help housing projects. From the outset, President Lyons said she insisted on having a lottery after completion of all houses in an increment for assignment of houses to families. This procedure influenced builders to work together and equally hard on all houses, since a family might end up with any one of the houses. The importance of the lottery was demonstrated when the procedure was not fully implemented as intended during construction of the first increment of houses. A staff member reported that the Increment 1 families convinced the then Chief Program Officer to conduct the lottery one week before the houses were completed. Reportedly, some of the builders immediately turned their best efforts to the house they knew would be theirs and devoted less effort to the others. This resulted in some controversy among the builders.

A further complication on assigning houses to families involved the number of bedrooms in the homes. Increments 1 and 2 included both three-bedroom and four-bedroom houses. While the lottery for Increment 2 was not conducted until after all houses had been completed, all families knew whether they would get a three- or four-bedroom house. Consequently, some families allegedly worked harder on the houses having the number of bedrooms they would get, again resulting in some complaints and hard feelings. The Foundation solved this problem by thereafter building only three- or four-bedroom houses in each increment and conducting the lottery only after construction was complete. Starting with Increment 3, builders tended to work equally hard on all their increment's houses. In a subsequent increment, the builders knew which house one family would get because of an adapted plan to meet the needs of a handicapped child; however, there were no apparent resulting problems. In interviews, builders consistently identified the lottery as one of the most important elements of the building process.

In commenting further on the project's planning process, President Lyons related that she had been annoyed with the engineers who laid out the initial plan for the lots. There were gross inequities in the sizes of lots, ranging from about 5,000 to nearly 10,000 square feet. Since all families pay the same amount for their land, the variation in lot sizes raised questions of fairness in what families are charged for the land they received. Following construction of the initial houses, the engineers redesigned the layout of lots so that they averaged about 6,000 square feet and varied little from this amount.

As seen in the preceding discussion, the initial plans for Ke Aka Ho`ona were imperfect/incomplete, but also flexible and amenable to improvement as more was learned. As another example, when the desirability of adding a community center became clear, the Foundation eliminated about three houses from the plan and replaced them with space for the center. Still other examples of changes in the project design included adding hurricane clips in the wake of hurricanes that devastated neighborhoods in the region and changing the carport design to add stability.

The ongoing planning process provided the needed direction and constraints to promote efficiency and assure high quality outcomes. Weekly reports on happenings and progress at the building site aided the ongoing review and planning process in regular staff meetings, which usually were well documented. With experience, the initial project plan was refined throughout the project's first eight years. In general, the Foundation periodically revisited and updated its plans as the project proceeded; this contributed to a process of continuous project improvement.

Major design changes occurred when the Foundation decided to have builders in the last increment construct duplexes rather than three- or four-bedroom houses. It was judged that such housing would maximize use of the remaining available space and thus allow for including more families in the community.

Because difficulties were encountered in completing the duplexes, several of the involved builders said that the plan's timetable for this new type of construction had been inadequate. This judgment was echoed by a project staff member who also described difficulties and said that she would advise against building duplexes in future projects. This same staff member also called into question the Foundation's decision and plans for including some families that could qualify only for rent-to-own home purchasing agreements. This staff member noted in a 2001 interview that, "Rent to own is a key issue. It is failing miserably. Two fell into it, incurred more debt after this. Their debts are frivolous, and they are off track in terms of money management." Money management is clearly a key matter in this project. While the Foundation assisted homeowners with their financial planning, staff learned that some families will require considerably more money management counseling.

In discussing the above two issues with the Foundation's president, we were provided a quite different perspective. It was acknowledged that building the duplexes provided a whole new set of challenges and that rushing to complete the construction in nine months undoubtedly brought about some deficiencies in quality, especially in the late stages of building. However, it was also noted that the Foundation had paid for ten, not just the nine months of contractor assistance that was utilized. Had the builders and contractors used all of the available time for construction, the problems of quality might have been solved.

Regarding the complaints about employing the duplex design, all 11 of the families we interviewed said they love their duplex. Also, the duplex option accommodated about twice the number of families that would have been served with 3- or 4-bedroom houses. President Lyons said that duplexes have an important advantage, since Hawaii must make efficient use of limited land.

On the matter of serving very poor families with acute personal and social problems and employing the rent-to-own arrangement, we acknowledge President Lyon's point that this relatively high risk effort is defensible. Addressing the housing needs of such a group goes in the direction of the Foundation's mission to serve the poorest of the poor. Also, the Foundation approached this level of risk cautiously by learning how to serve lower risk beneficiaries in the first seven housing increments. With this backlog of successful experience, the Foundation increasingly became qualified to try to serve higher risk families with the self-help housing strategy. Admitting people who could only qualify for rent-to-own agreements was consistent with the Foundation's mission to serve very needy people.

Taking prudent risks is appropriate for organizations that seek to push the frontiers of what they can achieve in serving poor people. We also acknowledge and concur with President Lyons' point that it is too early to assess whether the rent-to-own approach will succeed. As she stated, "We haven't given it a chance yet. These are people who have failed all their lives. They've been in jail and on drugs. They didn't get that way overnight. They aren't going to change overnight. Some of them have been victims of child abuse, etc. We have to have some patience. That is what Consuelo would want."

Ultimately, the Foundation used lessons learned from the experiences of the eight increments of housing development to improve its project design and enrich it with an option for including different types of housing. A stable, key feature of the project plan was its grounding in a clear set of values, enforceable by invocation of pertinent community covenants.

The plan included a heavy support role for the Foundation. It would provide the infrastructure, needed heavy equipment, and facilities for storing materials and equipment. It would recruit and provide liaison to a lending organization that would then negotiate mortgages with project participants. It would order and pay for materials and supervise the construction; provide on-site contractors to train and assist the builders; and arrange for specialized electrical, plumbing, and masonry work. It would arrange to provide special programs and other support to children and arrange for families to receive social services support.⁶ It would deliver community development training and also act as a counseling/problem-solving agent. At the end of each increment, the Foundation would host a communitywide celebration aimed at blessing each new house. In the end the Foundation would teach the residents how to form a community association and take over management of the community.

By the end of the 8 years being reported here, the project plan had become solidified and included a number of notable features. It provided for building 8 increments of houses over about an 8-year period, with 1 increment being built each year from approximately August through April. The plan included 8 groups of builder pairs (from 6 to 17). Originally, the plan called for constructing 79 houses and had been modified to provide 75 houses. There were some provisions for publicizing the project via news media, but the publicity plan was not extensive.

Most of the community's houses are located around one of seven cul-de-sacs. This configuration was intended to foster closeness and cooperation among neighbors and provide safe play areas for children. We perceived that the combination of building in an increment and living within a cul-de-sac tended to produce groups of families with close ties. Interviewed builders often remarked that Ke Aka Ho'ona had "incrementness" rather than cohesiveness. However, builders and staff alike agreed that the children didn't evidence such isolation. As Terry George remarked in reviewing a prior draft of this report, "The children were in the lead in integrating the community." Our interviews of families, especially in Increments 7 and 8 confirm this observation. Mr. George

⁶ In responding to a prior draft of this report, a Foundation representative stressed that the Foundation didn't want responsibility for directly delivering social services, because of potential problems of conflict of interest and legal jeopardy. Instead it would arrange for and, as needed, financially support such services.

remarked further that recent months (subsequent to our completion of data collection in December 2001) have seen dramatic improvements in community-based leadership and problem solving, as well as improved communication in the community. This observation was echoed by project staff members who reported on the matter to the evaluation director when he visited Ke Aka Ho`ona in April 2002. They said that the progress toward integrating the community had progressed remarkably well and unexpectedly so during the past three months. This progress, they said, was especially evident in the work of two communitywide committees tasked to plan for takeover of the community and to enforce the community's covenants.

Clearly, the development of community in this neighborhood of 75 families is a long-term proposition. It is encouraging to hear from Foundation officials and staff that residents are increasingly assuming responsibility for managing the community and developing more cohesiveness. These trends were only beginning when we completed our data collection in December 2001.

To be tentatively approved applicant families had to agree to provide a builder and cobuilder (usually a husband and wife) who would spend 20 hours a week each (on Saturdays and Sundays) working with the increment's other families to build their houses. These families also had to arrange care for their children during the involved construction weekends.

Applicant families that met the screening criteria would be assisted to prequalify for a mortgage. A partner bank would assist each selected family secure a mortgage. Each increment would work over a 9- to 10-month period in building the number of houses they would later occupy. Each family's financial liability for purchasing the house would be reduced by \$7,700 of sweat equity they invested in constructing the houses. The plan provided for the Foundation to receive a partial return on its investment through land lease payments and through selling the houses to the builders via bank mortgages.

The land leases included covenants to assure that the project's values would be upheld. The leases also provided safeguards against community gentrification (affluent persons' taking over low-income neighborhoods and displacing the low-income residents) by requiring that residents wanting to sell their houses must first offer them to the Foundation at a price equaling the homeowner's investment in the home. The plan provided for ongoing maintenance of streets by deeding streets to the local government.

The Foundation provided staffing to assure the process's ongoing integrity and effectiveness. Included were an experienced, credible on-site manager; two licensed contractors, who were sometimes assisted by carpenters, to train and assist the builders; a recruitment and selection coordinator; and on-site staff to arrange for and provide programs and services, especially to the children. During the project's last three years, a staff member was engaged to help the residents prepare to set up a community association and assume authority and responsibility for running the community.

The planning was strongest and most specific in the area of house construction. There was a general provision for supporting the families' social and community development needs and especially the

needs of the community's children. Mainly, this was evident in the employment of community development specialists and a requirement that families meet once a month to address community development matters. In general, planning for the social support of families and children and community development was incremental and evolved in response to the emerging needs of the growing group of families. It did not culminate in anything like the detailed, comprehensive plan that can be reconstructed for the project's house construction component. This is understandable, since the community was growing increment by increment and programming needed to respond to the needs of families. These could be identified and assessed only after the families and especially their children moved into the community and began interacting with other families and the Foundation's staff.

We judge the Foundation's planning process to have been professionally sound and functional. Following postponement of an objective to serve the poorest of the poor, the process and resulting plans were responsive to the targeted needs of the selected low-income families and the community. Planning for house construction was strong. Plans in this area drew from the state of the art in self-help housing and also took account of pertinent local forces and constraints. These plans proved to be sound and feasible within the Foundation's available resources and amenable to improvement. Planning was less preordinate and detailed in the area of social services and programs for children and families, but it was ongoing and functional. Plans for the residents' takeover of the community remained unclear until late in the eight-year process. While we are uncertain whether sufficient planning and preparation have occurred to enable the residents to succeed in taking over and running the community, Foundation officials told the evaluation director during his visit to the project site in April 2002 that the needed planning is continuing and yielding positive results. Overall, the Foundation did a systematic, concrete job of planning its house construction efforts and also carried on responsive and functional planning of social support and community development activities.

A need for continued planning remains, especially concerning residents' takeover of the community and concerning what programmatic efforts they will pursue to fulfill Mrs. Alger's mandate that they give back a part of what they received to their less fortunate neighbors. In responding to a prior draft of this report, President Lyons was especially complimentary of Ke Aka Ho'ona's recent successful experience in addressing a resident's serious violation of community covenants, saying "They handled it beautifully, and this shows growth in the community's self-management and self-governance." With regard to giving back, she said, "It's true they haven't given as much to the broader community as we'd like, but they are making progress."

The Foundation has conducted an effective process of planning. It will become increasingly important that Ke Aka Ho'ona's residents do likewise. Ms. Kahala and Ms. Suzuki are carrying on very important work in assisting the residents organize for and conduct their own regular planning sessions.

Process Evaluation

To what extent were the project's operations consistent with plans, responsibly conducted, and effective in addressing beneficiaries' needs?

The orientation of the process evaluation was to track implementation, provide the Foundation with an institutional memory of the project, and note issues and areas of deficiency or difficulty that needed to be addressed either in implementing or improving plans. Annually, we provided information to assist the Foundation's decision makers take stock of their progress and make decisions as needed to sustain or improve the process. The Foundation's staff conducted much additional process evaluation via regular monitoring and staff meetings to discuss progress and ways to improve the project.

In general, the process evaluations revealed close management of the effort and an effective, ongoing, problem-solving approach. One staff member noted, however, that "Consuelo is trying to be too much of a fixer." He stressed the need to view problems as a basis for learning rather than only difficulties to be corrected. Of course, he is correct; but this statement brings to mind the old saw that "When you're up to your waist in alligators, it's a poor time to reflect on the best ways to drain the swamp." Clearly, those who are directing action need to confront and solve problems of the moment before they do irreparable harm. Later, when conditions have stabilized and there is time to reflect, project personnel should and often do reflect on and seek insights about what went wrong and why and how similar difficulties might be avoided or addressed better in the future.

The Foundation employed various methods, including word of mouth, flyers in the local area, letters to area leaders, and some media advertisements, to recruit candidates for the project. These methods were adequate, since project staff identified more qualified families than they could serve and admitted 75 families. Consistently, from Increment 4 through Increment 8, builders noted that not much publicity was provided about the opportunity to build in Ke Aka Ho`ona. Most heard about it through word of mouth. Yet, there were many more eligible applicants for each increment than the project could accept. This suggests that Foundation personnel may have viewed providing additional publicity as significantly increasing their selection process workload with minimal return in identifying more qualified applicants, while also increasing the number of disappointed applicants. It also suggests that the Waianae area needs more affordable housing and healthy living environments and more projects like Ke Aka Ho`ona.

This selection process, though long and difficult, was generally lauded by the participants. The importance of this process comes through in the words of the homeowners:

The prebuilding phase was excellent. We saw value in the group meeting and role playing. It gave us a perspective on the types of persons who would be our neighbors and provided reality checks on whether we could make the needed commitment and investment to succeed in the program. (Increment 3 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 3, 1996, p. 8).

Before building, I didn't realize how important selection and the 9 months of building was. Selection took 9 months and led to getting along; building determined whether we would like each other as neighbors. You realize you can count on the people to watch out for your kids, borrow sugar or rice. They've seen you at your best and worst. We've laughed and argued—so you can be more personal. You see the wisdom of the whole thing. (Increment 6 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 6, 2000, p. 15)

It was good the way they picked everybody. It was a very unique selection process—looking for people who would fit well. We just gave straight answers. (Increment 7 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 7, 2000, p. 14)

Some homeowners stated that even with the significant amount of effort made by the Foundation, some applicants were able to mask information about themselves and appear different in the selection process than their true selves. We emphasize that only about six of the families we interviewed pressed this point. They tended to be zealous and idealistic in their championing of the Foundation's values. The following quotes reflect this area of complaint:

The beginning was the selection process. Sometimes people have masks and use them very well. Hard to know the inner self. Even with the video, you can't judge people very well. But in working with people for 10 months, you get to know people. Some people had masks—it's a shame that they did that to get in the program. (Increment I resident, quoted in The Waianae Self-Help Housing Initiative, 1994, Appendix C).

The screening process wasn't accurate as far as the values. Many don't have the values. (Increment 8 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 8, 2002, p. 10)

Better screening might help weed out those who just say what they think you want them to say during the interview/selection process. (Increment 5 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 5, 1998, p. 15)

While the above quotes show that some residents saw weaknesses in the selection process, this concern was not pervasive. Most respondents judged the Foundation had succeeded in conducting a thorough, systematic, fair, clear, and reasonable process of judging and selecting from among the applicants. We turn next to the construction process.

It should be noted that during the first increment, there were essentially no structures to shelter the builders during their breaks and lunch periods. They worked in the very hot sun, amidst the project site's sometimes muddy conditions. As the different increments built their houses and the community acquired adequate infrastructure and took on the appearance of an emerging suburban community, the construction context became increasingly conducive to the needed hard work in building the houses. With the construction of a community center, the addition of vehicles to transport materials, the provision of secure, dry places to store materials and tools, etc., the Foundation made the work setting increasingly hospitable to the hardworking families. Basically, the houses were produced on schedule, and most of the participating builders effectively carried their loads. Though construction required much of the builders—especially in terms of time and physical exertion—they had generally positive perceptions of this aspect of the project:

I think I didn't realize until after the [building] was over, but when you are out there giving your 100 percent and so are you and so are you and so was I, but everybody's 100 percent is a different 100 percent, you know, and I think it wasn't until after that I realized that I

could not judge another person's work by my work. (Increment 3 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 3, 1996, Appendix C)

We all helped each other out. There was a lot I needed to learn. I had to rely on my neighbors a lot. The contractors paired the weak with the strong, so everybody could learn and stay together. (Increment 8 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 8, 2002, p. 35)

I loved the work process, meeting new people; never knew before I could work so hard. (Increment 8 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 8, 2002, p. 35)

A key aspect of the construction process was the engagement of licensed contractors to teach and guide the builders. At first, the contractors were confused, timid, and intimidated by the task of getting unskilled, often overweight people to build their own houses. Following a process of trial and error, the contractors increased in both their confidence and abilities to train and supervise the builders.

Based on the reports of the homeowners, the performance of the contractors improved following the initial increment. About half of the Increment 1 builders cited instances of miscommunication and “poor attitudes,” as in the following quotes from our report on interviews with Increment 1 homeowners (*Waianae Self-Help Housing Initiative*, 1994):

The contractors forget we were unskilled builders. (Appendix, p. 4)

Sometimes we had misunderstandings. That happens in such work. They just don't have enough guys to supervise. We don't know who had the final word in handling our requests. (Appendix, p. 4)

They should have inspected better and insisted on getting nails in all the way. A video would have helped to show what happens when things aren't done right. They didn't tell us why things should be done one way. (Appendix, p. 4)

Builders from subsequent increments generally had very positive perceptions of the contractors' abilities and demeanors, as noted in the following quotes from builders across increments:

Contractors were good at training—without them, we wouldn't know where to start—they explained things well. (Increment 2 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 2, 1995, Appendix, p. 3)

Contractors were patient—listened to opinions, explained well. (Increment 2 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 2, 1995, Appendix, p. 5)

Contractors encouraged and supported builders. (Increment 3 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 3, 1996, Appendix, p. 9)

The contractors were good to work with. (Increment 4 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 4, 1997, Appendix, p. 5)

The contractors were patient and have good hearts. They stayed with us to the end. I guess they wanted to make your life happier too, you know. (Increment 5 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 5, 1998, Appendix, p. 12)

The contractors were great and they listened to our concerns. They were excellent. They can build, but also are people persons. (Increment 6 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 6, 2000, p. 28)

We had good contractors, had good teaching. (Increment 7 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 7, 2000, Appendix, p. 13)

I like the contractors. We got along well. I felt really comfortable with them. I want to work with them again. (Increment 8 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 8, 2002, p.18)

During the construction period, it was important for the on-site project manager to constantly look out for and preemptively address problems associated with fatigue and stress. It also proved essential to be vigilant in identifying potential or actual conflicts between builders and to be proactive and firm in resolving the conflicts. In the detailed weekly reports prepared by the project manager, Joey Kahala, some of which are excerpted in the section on construction, there are numerous accounts of instances when she stepped in to resolve conflicts between builders. In our interviews with homeowners, which were conducted just a few months after an increment's construction was completed, many people expressed appreciation for Ms. Kahala's competence and effectiveness in keeping construction on track and mediating conflicts:

Joey was a key strength. That helped tremendously. There to make peace, like a referee—someone we could talk to. Made sure things were going okay. Got our input. She stayed committed. (Increment 7 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 7, 2000, p. 13)

Contractors and Joey made us successful. When it was going off track, they said, "Remember, this is for you." It showed us their commitment. (Increment 7 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 7, 2000, p. 13)

Joey was a big help—coworker, boss, mom. Always there for everyone. She helped with problems, helped resolve conflict. (Increment 2 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 2, 1995, Appendix, p. 3).

These sentiments were echoed by a project advisor, who stressed that "the 'Joey element' must be built in" to such projects. He said she brought the essential toughness without breaking the spirit of the people. President Lyons emphasized that the importance of Joey Kahala's role—as on-site project manager—cannot be stressed too much. She added that, in retrospect, it would have been

better if Ms. Kahala always was at the project site both days each week when construction was underway. She stated that when Ms. Kahala wasn't there the building suffered as did the relationships between builders.

Fortunately, there were few project-related injuries during the project's eight years. One injury occurred due to builders from Increment 8 violating the rule that they bring their children to the site only at times authorized by the Foundation. On that occasion, one child reportedly released the brakes on a construction utility vehicle, which then rolled into another child, breaking her leg. Fortunately, accidents were few and, excepting the one noted above, minor.

The process evaluation results showed that training in the safe use of tools was more effective when provided on the job rather than in a classroom. The builders appreciated the steps the Foundation took to ensure their safety during construction, as expressed in the following remarks:

They really walked us through the training and steps to prepare for each task/job. (Increment 5 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 5*, 1998, p. 11)

They always stressed safety and, if someone did something wrong, they didn't get upset or anything. (Increment 5 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 5*, 1998, p. 11)

Lessons learned about construction included that materials should not be stockpiled but should be delivered when needed. This deters both theft and deterioration due to inclement weather. Also, as noted in other sections of the report, the lottery employed to assign houses was widely praised, worked to virtually everyone's satisfaction, and influenced builders to carefully and cooperatively construct all the houses.

Beyond monitoring construction, the process evaluation also noted and assessed the project's social support elements, including special services for adults and children. Most of the features added to the project along the way occurred as a function of the project's ongoing planning, a response to participants' evolving needs, or ideas by staff, rather than forethought in the original planning.

The Foundation has continued to provide on-site staff to give leadership and support for children's programs, skill building and problem solving for parents, and planning the community's future. As the number of families living in the community grew with the completion of each increment of houses, the project added such important features as courses and field trips for children; family living and community organizing courses for parents; an impressive community center and playground; and covenant walks.

Implementation of a formal neighborhood watch program was sporadic and shallow—probably because crime within Ke Aka Ho`ona was low and because community members were reluctant and often too tired to patrol the area late at night. However, Chief Program Officer Terry George noted that there is an effective informal system in place:

Informally, we have one of the most effective neighborhood watches I've ever seen. At least three thieves were caught by homeowners within minutes of the theft. Leihua Kaauwai, the former head of the formal Neighborhood Watch, remains in contact with a key community police officer regarding security issues in the neighborhood. (T. George, personal communication, February 7, 2002).

A few homeowners also noted the existence of an informal, yet effective neighborhood watch. For example, one person remarked,

Here we have a very strong sense of security. We are observant of who is here. Our strongest bond is a natural Neighborhood Watch. Before, we had trouble with theft. (Increment 7 resident, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 7, 2000, p. 7)

A component introduced during years 5 through 8 involved preparing the families to take over the community. While this activity proceeded diligently during the last three years of the period being reviewed, it seems clear that many of the details required to make the turnover succeed still needed to be determined. We detected that there was far from communitywide involvement and understanding of this effort, that many residents were apprehensive about the approaching transition, and also that the Foundation remained unsure about how to turnkey authority and responsibility for the community and about what role it would play afterwards. The following comments from the report on interviews with Increment 8 (*Ke Aka Ho`ona Homeowner Interviews: Increment 8, 2002*) builders illustrate residents' uncertainty about a homeowners association:

Many of us are worried about the transition. We need to become a community before forming an association. (p. 39)

We're scared of getting sued and stuff like that if we're an association. (p. 39)

We have to take over the community one way or another. We have to learn how to stand strong. There is no plan yet. (p. 39)

The collection and use of process evaluation information to improve the project was dynamic and influential in helping the Foundation's staff conduct this project. The apparent attitude of the Foundation staff was to be continuously vigilant over the project's execution and to do whatever was required to make the project succeed. The implementation of house construction plans was especially strong. Quality efforts were also made in the social support and community development areas; these were more ad hoc and responsive than preprogrammed. With all the learning that occurred along the way, the Foundation evolved an outstanding, detailed, and well-documented approach to developing a values-based, attractive community of houses constructed by the residents. A wide range of high quality social services were delivered. While participants have received competent training and preparation to take over the community, this process started late and communitywide participation is still being developed.

One point in favor of the late start that should be acknowledged is that beginning early would have risked the divisive influence of unduly empowering the initial residents to determine community rules. In-groups that result from early, separate involvement in an enterprise can soon become out-groups. The question of when to start empowering residents to take over a community that is growing according to an incremental plan is clearly a “catch 22” issue. Problems attend either a late start or an early state.

Impact Evaluation

What beneficiaries were *reached*, and to what extent were they the targeted beneficiaries?

The project reached an appropriate group of 75 families. All families selected to build their homes in this community were approved based on the Foundation staff’s judgment that these families would buy into and support the underlying values. Almost all of them had incomes below 80 percent of Oahu’s median family income. All had children. Selected participants include individuals of Hawaiian, Samoan, Chinese, Japanese, European, Hispanic, Filipino, and African descents. Further evidence of diversity is that there was considerable variability in age levels of parents and children, parents’ educational backgrounds and areas of employment, and family religious preferences. The participants included single parents, unmarried as well as married couples, and some persons with disabilities. A few residents have college educations and professional specialties, while most have a high school education or less. Some participants have stable employment, while others experience intermittent unemployment. The latter applies especially to those in the skilled trades, such as concrete masonry work. Many families are closely involved with their church, and several send their children to schools other than the area’s public schools.

While this project did not target persons who could be considered among the poorest of the poor, it partially addressed this aim in Increment 8, when it included four families that could not qualify for mortgages. These families were provided rent-to-own agreements. Also, two families in other increments were given rent-to-own agreements when they could not keep up their mortgage payments. A few other persons from across the increments had problematic backgrounds, including being victims of abuse, having previous drug-related problems, and having lived in a homeless shelter.

While the Consuelo project is grounded in the value that a project’s beneficiaries should help strengthen the outlying community, only modest impacts were seen in this area. Many Ke Aka Ho`ona residents provided individual services, such as coaching children’s teams, helping friends and family in need, and assisting with community events. However, there has not as yet been the concerted Ke Aka Ho`ona-wide efforts that are a part of this project’s vision. Perhaps this is because project resources and activities so far basically have been concentrated inside the boundaries of the Ke Aka Ho`ona community.

It is noteworthy that this new community within Waianae potentially is a strong resource for helping to strengthen the local area’s public schools. The local schools are an important resource for Ke Aka Ho`ona and are widely considered to be in need of improvement. During a visit to the project site in April 2002, the evaluation director was pleased to meet a teacher from the Waianae Elementary

School who has been tutoring Ke Aka Ho'ona children several times a week in the project's community center. We think there is great potential for the community and the local schools to forge a symbiotic, helping relationship to everyone's benefit.

The local schools certainly could benefit from grass-roots community assistance. According to a report in *Education Week* (Meyer et al., 2002), Hawaii's students rank well below the national average on National Assessment of Educational Progress (NAEP) measures. Table 5 compares achievement data for students in Hawaii with students nationwide.

Table 5
Comparison of Student Achievement in Hawaii and the Nation

| | Student Achievement (percent scoring at or above proficient) | | | | | | |
|--------|---|---|--|--|--|--|--|
| | 4 th grade NAEP math (2000) | 8 th grade NAEP math (2000) | 4 th grade NAEP science (2000) | 8 th grade NAEP science (2000) | 4 th grade NAEP reading (1998) | 8 th grade NAEP reading (1998) | 8 th grade NAEP writing (1998) |
| Hawaii | 14 | 16 | 16 | 15 | 17 | 19 | 15 |
| U.S. | 25 | 26 | 28 | 30 | 29 | 31 | 24 |

Source: (Meyer et al., 2002, p. 71)

Repeatedly, interviewees said the local schools are poor, such as in the following comments:

The elementary school could be better—compared with town. They need more teachers. The buildings and equipment are secondhand compared with Kapalama in Kalihi—although Kalihi has just as much crime. (Increment 4 resident, quoted in 2000 case study interview notes)

Schools are poor. Books and programs are not available—not stressed, not enough money to keep updating. Kamehameha schools should help educate all Hawaiian kids. I'll get help for my kids (like from Sylvan Learning Centers) if they need it. (Increment 5 resident, quoted in *Ke Aka Ho'ona Case Study Report*, 2000, p. 11)

The kids are educated at a lower standard here in Waianae. The schools didn't meet my expectations. We'd like to see real educational field trips—possibly careers, readiness for the future. My kids can't have sports without education. Education isn't valued here. I want to help my kids explore the outside world—first Mililani and Kapolei and then Honolulu and even outside Hawaii. From the time I was young I saw that there was a way to get ahead, to get outside the Waianae world and its mind-set. Here it's the beach and football and domestic life, so kids think that other things (opportunities) are only for those kids from the

outside community. (Increment 6 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 6*, 2000, p. 21)

Based on her personal exchanges with the Foundation's benefactress, President Lyons stressed that Mrs. Alger wanted none of her money to support public organizations, including public schools, since these are the responsibility of government agencies. However, since Mrs. Alger wanted the beneficiaries of her charity to give back to their surrounding community, it would seem highly appropriate for the Ke Aka Ho`ona community in the future to use its influence and talents toward strengthening the local schools. It should not be forgotten that many children of the Ke Aka Ho`ona community, as well as other children, would benefit from such service.

In general, Ke Aka Ho`ona succeeded in reaching an appropriate target audience. It has substantially increased the stock of affordable housing in Waianae. It has shown what can be done in housing and community development through concerted, collaborative, values-driven efforts. And it has developed the potential to exert positive influence in the area through more community development work including, but not limited to housing. Significant, concerted outreach by the Ke Aka Ho`ona residents to the surrounding community is yet to occur.

Effectiveness Evaluation

To what extent did the project meet the needs of the involved beneficiaries?

After closely observing this project for nearly 8 years, we judge that it effectively addressed the housing and community development needs of 75 families. The project provided the families with safe and affordable housing. The Foundation's board and staff insisted on and did whatever was necessary to build excellence into all aspects of the project. The houses passed rigorous inspections. They are well constructed, functional for the families, and aesthetically appealing. The infrastructure—including roads, cul-de-sacs, lighting, landscaping, and playground—is first class, as are the impressive community center and playground. The homeowners have landscaped their properties beautifully and properly maintained their houses. When families wanted to build fences, the Foundation gave exacting specifications. The results are attractive, usually impressive stone and chain-link fences that harmonize with the surroundings. The project's consistent focus on positive values helped generate a community context that is beautiful; essentially free of violence and substance abuse; supportive of children; grounded in much teamwork, especially in building the community; and oriented toward making the surrounding community a better place.

Ultimately, this project substantially addressed the housing and related needs and directly affected the lives of about 390 people. This includes 155 adults and 235 children. Through participation in the project, the beneficiaries achieved

- a sense of great accomplishment in constructing the houses
- functional and beautifully landscaped homes
- mortgages and land lease purchase agreements (or in the case of 6 families, rent-to-own agreements)
- pride of ownership (for 69 families)

- community living guided by explicit values, covenants, and rules
- a community of values-oriented neighbors
- a safe, drug-free environment
- increased knowledge of budgeting
- skills to maintain their houses
- new friendships with the members of their increment, the project staff, and persons in the larger community
- access to a wide range of Foundation services

The residents take pride in their new homes and the skills they gained during the construction phase. Pride and self-confidence are evident in the following comments from the homeowners:

I didn't know 8 feet 3/4 inches or 8 and 7/8, and I was like, "what's 8 7/8?" you know. [The contractors would] personally go and show you how to read it, how to measure the wood, how to cut it and then put it in and nail it and that felt good. It makes you want to do, you know, do it on your own, and you feel the satisfaction that, "yeah, I made a window, I made a wall." (Increment 3 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 3, 1996, Appendix C)

I didn't know anything about building a house, and we learned a lot in 9 months. I am not afraid to do anything around the house now. (Increment 5 homeowner quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 5, 1998, p. 11)

In the beginning, we [the females] were scared and would wait for the men to cut everything. But after the first few months, we were doing the cutting by ourselves. (Increment 5 homeowner, quoted in Ke Aka Ho`ona Homeowner Interviews: Increment 5, 1998, p. 14)

The families are grateful for the affordability of the houses, with almost everyone reporting that their mortgage payments are lower than the rent they paid before entering the project. In our annual interviews with homeowners we obtained information from some of the families about what they paid in rent prior to entering the project, compared with their current mortgage payments. While our data on this topic are incomplete, Table 6 presents the figures the families shared with us during our interviews.

Table 6
Comparison of Select Families' Housing Costs Before and After Moving to Ke Aka Ho`ona

| | Before (Monthly rent) | After (Monthly mortgage payment) | Difference |
|--------------------|--------------------------|--|------------|
| Increment 2 family | \$900 | \$450 | -\$450 |
| Increment 2 family | \$750 | \$440 | -\$310 |

| | Before (Monthly rent) | After (Monthly mortgage payment) | Difference |
|--------------------|--------------------------|--|------------|
| Increment 2 family | \$975 | \$538 | -\$437 |
| Increment 4 family | \$800 | \$500 | -\$300 |
| Increment 4 family | \$800 | \$600 | -\$200 |
| Increment 5 family | \$850 | \$650 | -\$200 |
| Increment 7 family | \$750 | \$550 | -\$200 |
| Increment 7 family | \$700 | \$530 | -\$170 |
| Increment 7 family | \$650 | \$539 | -\$111 |

After reading our draft report, Ms. Kahala searched her files and gave us the information presented in Table 7 contrasting the housing costs Increment 6 families were paying before moving into Ke Aka Ho`ona with their mortgage amounts.

Table 7
Comparison of Increment 6 Families' Housing Costs Before
and After Moving to Ke Aka Ho`ona

| Family Size | Before (Monthly rent) | After (Monthly mortgage payment) | Difference |
|-------------|--------------------------|--|------------|
| 6 | \$600 | \$482 | -\$118 |
| 3 | \$900 | \$493 | -\$407 |
| 7 | \$857 | \$482 | -\$375 |
| 6 | \$300 | \$482 | +\$182 |
| 5 | \$715 | \$482 | -\$233 |
| 6 | \$600 | \$482 | -\$118 |
| 5 | \$550 | \$482 | -\$68 |
| 4 | \$632 | \$482 | -\$150 |

Source: J. Kahala, personal communication, March 28, 2002.

Ms. Kahala said she believes the above Increment 6 contrasts are representative of most increments. She reported that "About 80 percent of them paid more rent than owning their own home, and if

their rent was cheaper than their mortgage, they lived with others, lacked privacy and therefore still benefitted from homeownership” (J. Kahala, personal communication, March 28, 2002).

In describing the prior circumstances of one family, Ms. Kahala related that a family of six “was living in a one room shack and complained about an ‘outside shower in the cold.’” When she met them, they lived in a homeless shelter; “after that they lived on the beach, then built a one room shack at her parent’s homestead land.” Another family of five, she said, “was living in one bedroom at her mother’s house, hated the wild parties and drinking, and no privacy.” Still another of these families had previously lived in a Weinberg homeless shelter. The move to Ka Aka Ho`ona was for most Ke Aka Ho`ona families a win-win event. They vastly improved their living circumstances and also lowered their housing costs.

When we concluded our data collection in December 2001, we concluded the community had remained essentially drug-free and violence-free, in stark contrast to the situations from which many of the families came and the surrounding Waianae area. In our interviews, the families often commented on drug activity—and related dangers—in their old neighborhoods:

The issue of crime and drugs is a lot different here. It’s all over where we were before. We were scared even to go to sleep. There was dope and crystal meth. A couple of houses were raided. Happily, there are no drugs here. (Increment 7 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 7*, 2000, p. 7)

My children—they are outside playing. We know our neighbors. Our kids are happy. They couldn’t go outside before. There were addicts where we were before. It’s bad outside of Ke Aka Ho`ona, but our kids are safe here—like it was when I was a kid. (Increment 8 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 8*, 2002, p. 5)

[Without this project] we’d probably be living in the duplex with a drug house next door—1 [a.m.] and 2 a.m. a lot of people were there, coming and going. [My husband] got mugged once—1 or 2 guys. I was always afraid. It was hard to sleep—you’d never know who was going to come in the window. (The windows) had those casement kind of locks that never fit right. Here I can send the kids out to play. Before we had to share the yard with the drug house. (Increment 2 resident, quoted in 2000 case study interview notes)

We need to acknowledge that during the evaluation director’s April 2002 visit to Ke Aka Ho`ona, a staff member reported that evidence had recently surfaced that one person in Ke Aka Ho`ona almost certainly was dealing drugs. The good news, she said, was that the community’s leaders were working with the local police department to effectively address the matter and take appropriate action. We have no hard evidence to confirm that drug dealing has entered the project. However, any fact of drug dealing there must be dealt with promptly, decisively, and effectively if Ke Aka Ho`ona is to sustain its hard-won status as a drug- and violence-free community and a safe, healthy place for children.

In fact, the community has become a highly supportive environment for children. One cannot talk to and observe the many spirited, involved, well-dressed children on this community's streets, at the playground, and in their homes without concluding that things are good with these children. Many seem to have high aspirations for developing their knowledge and skills through advanced education and subsequently obtaining good, well-paying jobs. In our interviews, parents frequently remarked on the project's effects on their children's well-being:

I didn't let my kids go out where we lived before. I fell in love with this place because I knew here we could let our kids go outside. (Increment 8 resident, quoted in *Ke Aka Ho'ona Homeowner Interviews: Increment 8*, 2002, p. 5)

This is a safe enough neighborhood with a loving environment. My children haven't had that before, and something they can do now that they couldn't do before is interact with other kids. (Increment 8 resident, quoted in *Ke Aka Ho'ona Homeowner Interviews: Increment 8*, 2002, p. 5)

The kids are happy. I like Consuelo's program to help the family, helping kids to help themselves, getting educated, having all the different programs that Consuelo sets up. (Increment 7 resident, quoted in *Ke Aka Ho'ona Homeowner Interviews: Increment 7*, 2000, p. 11)

The playground is a big plus for the community. There is always somebody organizing things for the children. How many communities can you go to and see a playground for the kids? (Increment 5 resident, quoted in *Ke Aka Ho'ona Homeowner Interviews: Increment 5*, 1998, Appendix D)

Our daughter is more outgoing. She used to be in the house all the time and very shy. She has playmates and is out of the house. I love that. She learned to ride a bike, has lots of friends, gets to do kickball and pool. We signed her up for the Boys and Girls Club—kids her age, sports. (Increment 6 resident, quoted in *Ke Aka Ho'ona Homeowner Interviews: Increment 6*, 2000, p. 34)

Only two families have defaulted on their mortgage payments, and one of these stayed in the community under a rent-to-own agreement reached with the Foundation; the other family left the community and sold their house back to the Foundation. Some families were habitually late in making lease payments; and through the project's first seven years, the Foundation was lenient in this area. As we were completing our data collection, we saw communications to residents indicating that the Foundation would toughen its stance; require on-time payments; and, in their absence, at least threaten foreclosure.

Families have made education a priority. That is, to date none of the community's children has dropped out of education prior to completing high school; several obtained a GED rather than a high school diploma.

Among the 75 families, only 1 couple has divorced. Eight teenage, unmarried girls bore children during the project's first 8 years. One staff member stated that the project should devote much more effort toward reducing the number of pregnancies among the adolescent girls. This respondent said the project's design should be strengthened by including prevention measures such as distributing condoms. He also noted that the community is split on this particular remedy and implied that a communitywide problem-solving process is needed to address the matter. In responding to a prior draft of this report, President Lyons identified pregnancy of unmarried, teenage girls as a problem to which the community should accord high priority. She emphasized that the community should do much more than distribute condoms. She said part of the problem is attitudinal, since some parents actually have encouraged out-of-wedlock pregnancies of their daughters in order to get grandchildren.

The community center continues to be the site of meetings, courses, and activities that serve the community's children and adults. It is a spacious, well-appointed, light and airy, inviting place. Curiously, the computer room seems not to have had much use. One homeowner remarked that computers are readily available in the families' homes and the children's schools. Perhaps this is another example of why the Foundation should conduct needs assessments before making substantial investments in project components.

While the community organizing meetings haven't always been well attended, they have proved functional for community involvement in decision making and problem solving. The chief program officer noted that the homeowner meetings have good attendance when compared with other communities. He estimated that other communities typically have about 10 percent of the families in attendance, even for an annual meeting. This is compared with Ke Aka Ho'ona, where roughly 40 percent attend on average, sometimes as many as 70 percent. (Terry George interview, October 2001)

At the project's outset, every family experienced needs related to sustaining their attention to and support of children. All families experienced great difficulty and probably stress in being away most weekends for nine to ten months while someone else watched their children. The Foundation did not address these needs, instead requiring that the selected families provide for the support of their children during the weekends when parents were away building their houses. While the construction period was undoubtedly stressful on all members of the involved families, we could find no lasting negative effects on the children or their parents.⁷ At the blessings that followed the completion of each increment of houses, builders often emotionally expressed their heartfelt thanks to those family members and friends who had cared for their children during the long construction period.

Considering the project's goal that its beneficiaries give back a part of what they received in order to help others, the project's results are mixed. While the community as a whole may not yet be "giving back" to the extent envisioned by Mrs. Alger and the Foundation, there is important activity

⁷In commenting on this observation, President Lyons noted that our finding—that children suffered no long-term negative consequences of being away from their parents on weekends during the construction period—is consistent with what she has found in studying the children of working mothers. She said that if the children are well cared for during the mother's absence, the children suffer no ill effects.

in this area, especially on the part of individual community members. Interviews with homeowners for the 2000 *Case Study Report* revealed a variety of ways in which residents are attempting to give back and help others:

- assisting other increments' builders during construction, such as by dry-walling, painting, and serving lunches
- helping with community activities, such as parties, outings, parades, and blessings
- coaching football, baseball, and/or soccer
- tutoring
- helping with Special Olympics
- working on political campaigns
- participating in highway clean-up efforts
- babysitting for other families
- teaching Sunday school and other church activities

President Lyons also praised the contributions of individual residents, noting examples such as building and maintaining the tot lot and taking in family members who are in distress. Project staff told the evaluation director, during his visit to the project site in April 2002, that they were continually discovering acts of kindness, charity, and service on the part of Ke Aka Ho`ona members and said there is probably a lot more giving back than is known or that the givers would care to talk about.

This news is encouraging and it possibly reflects a growing trend of altruism in the community. We need to report, though, that our interviews of families throughout the project revealed that most people reported the project had not yet achieved its goal of giving back to the broader Waianae community and making it a better place. It would be unfortunate if Ke Aka Ho`ona becomes an enclave for the 75 privileged families without making effective and continuing efforts to improve the conditions in the surrounding area. It will take concerted effort for the Ke Aka Ho`ona community as a whole to reach out and make positive impacts on the greater Waianae community. In recent interviews (*Ke Aka Ho`ona Homeowner Interviews: Increment 8, 2002*), Increment 8 residents addressed this issue:

People tend to think of increments instead of community. We're getting to know nice people in other increments. There's no outreach to the bigger community except for the Hawaiian Homes project. The meetings are pretty good. (p. 38)

The Foundation is trying to get us away from increments. We should be just Ke Aka Ho`ona. We're close with 7, but so far there's not a relationship with the larger community—not yet. (p. 37)

We still have to do development of the community work here. We aren't ready to impact on the bigger community. (p. 38)

Development of the community starts when you meet the people you will build with. You gotta give people time to jell. They all have pressures for their time. (p. 38)

Staff and advisors associated with the project also judged that only modest progress has been made in giving back to the broader community. This is reflected in the following comments:

Another key issue is the larger Waianae area. Very few within Ke Aka Ho'ona reach out. They are not a part of the larger community.

Trying to pay back to the larger Waianae community never happened. . . . They are not giving back to the larger community.

The community is still caught up in wanting to be a showcase. The Foundation needs to look at this community in a larger perspective and be a change agent for Waianae.

Giving back to the larger community is yet to come. . . . There has been limited nurturance of community.

To sum up this discussion of effectiveness, this project has successfully addressed the housing and community development needs of the involved families, but some intended outcomes are still to be achieved, especially giving back to the larger community.

Sustainability Evaluation

To what extent was the project institutionalized in order to sustain its successful implementation?

A sustainability objective concerns engaging the residents to take over and run the community and continue and improve on what has been achieved. It is important to note that our data collection ended in December 2001, only about five months after the Increment 8 families moved into their houses. Therefore, we have an inadequate basis for judging the project's success in sustaining and building upon its many noteworthy achievements. We will report what we saw the project doing in helping the families prepare for the long-term flourishing of the community. Also, we will reference information we obtained following completion of our formal data collection through telephone conference calls and the evaluation director's visit to the project in April 2002. Nevertheless, we must remain cautious and circumspect in reporting about the project's prospects for long-term success. Seeing this limitation, President Lyons has requested The Evaluation Center to make a follow-up assessment in 2005, which we are willing to do.

Over the past three years, the Foundation held meetings with community members to help them prepare to run the community. The Foundation plans to turn over the community center to the homeowners and discontinue the Foundation's oversight role. Most respondents expressed their willingness to help carry out the oversight, quality control, and management functions and said the community can do this. Virtually all the residents we queried on this matter said they hope the Foundation will maintain a supportive presence in the community. Foundation leaders reported they are contemplating only a low profile presence in the community.

The project faces a range of challenges associated with institutionalizing and sustaining its successes. Many residents expressed concerns that the community is not yet sufficiently mature to assume the role the Foundation has played throughout the project. For example, some respondents doubted the community's ability to enforce covenants and rules. The covenants have built-in protections of community quality and integrity, in that violators can be removed from the community and forced to sell their property back to the Foundation or the community at an established price. During our period of data collection, the Foundation occasionally approached but never actually invoked this instrumentality.⁸ Community members told us they were not sure they knew how or could successfully expel violators of the covenants if the occasion for such a decision and action were to arise under their watch. During the course of our data collection it was evident that residents were generally apprehensive about taking over responsibility for the community, as expressed in the following comments:

The Foundation is pulling back . . . I was thinking that this foundation would always be here. They want the community to do the walk-throughs (to check for violations of the agreements the way Joey does). That's kind of not right. There would be a lot of hard feelings and bitterness between the homeowners. Now they send us a reminder and then follow up and some don't follow through. If they're not listening now, would they be listening when the homeowners do it? It's gonna get bad. We need someone to stay back and still have control. (Increment 4 resident, quoted in 2000 case study interview notes)

I'm afraid that we won't be able to solve our problems on our own if the Foundation isn't here. (Increment 4 resident, quoted in 2000 case study interview notes)

There should still be one more person from outside who can arbitrate. Without that, it will break down the community. (Increment 8 resident, quoted in *Ke Aka Ho'ona Homeowner Interviews: Increment 8*, 2002, p. 20)

I hope the Foundation won't go. The Foundation is like our parents, with final say. If they go, we might fall apart. Everybody interprets values differently. We won't be ready for takeover in five years. We'll still want the Foundation's presence. They are a good balance. (Increment 7 resident, quoted in *Ke Aka Ho'ona Homeowner Interviews: Increment 7*, 2000, p. 19)

Foundation staff members also cited the project's provision for and progress in sustainability as an area of weakness, as seen in the following comments:

⁸ In a response to a prior draft of this report, Foundation personnel told us that the community has made significant progress recently in addressing covenant violations and other problems through its increasingly effective planning committee.

Primarily they didn't start building community early enough. The community became dependent on Consuelo. . . . This financial preparation problem has been pervasive . . . Many require financial counseling. . . . They should have gotten it earlier.⁹

They should have provided for self-governance from the outset.

No one wants to enforce the rules.

After interviewing residents and staff in September 2001, Traveling Observer David Hirano offered the following summation:

I don't have the answers, but I think that self-determination is the critical issue at Ke Aka Ho`ona, and if the Foundation can develop processes to make that happen, the community will have a chance to be a shining example of what it means to live together in this complex world.

While plans were still being formulated when we concluded our data collection, the Foundation clearly intends to take steps to help assure the community's long-term success. Foundation staff are working to help the residents form a community association. Following turnover of the community to the association, the Foundation plans to rent office space in the community center. President Patti Lyons reported that the Foundation is considering providing assistance, such as helping the association set up an endowment. Through the endowment and other means, the Foundation intends to help the association have a continuing source of resources for maintaining the community. Foundation representatives have also expressed willingness to entertain proposals from the community to support particular projects.

The Foundation's leaders have a rich perspective on what it will take for this project to truly succeed over time. Certain signs of success will be evident, they say, when the community achieves independence, engages in self-governance, inculcates the project's values, and shoulders the work necessary to sustain and continually strengthen the community in all its essential aspects.

President Lyons reported that she is looking for still other indicators. In a March 2001 conference call with the evaluation team, she said additional signs of success will be if we can rescue those who have a background of bad behavior, also when we see the children succeeding in school. She continued that she will be looking for residents' smaller, but so important, acts of compassion, contribution, and achievement. She emphasized that it is not always the big things that show success, but the cumulation of many, many acts of kindness, service, and self-improvement on the part of many individuals.

⁹President Lyons addressed this observation by saying that the Foundation tried hard to help the residents strengthen their skills and discipline in financial management but were frustrated by the families' lack of receptivity to help in this area. While the Foundation's financial officer conducted several meetings on this topic at the project site, attendance was poor. The meetings were eventually discontinued due to homeowners' lack of participation.

Our judgments about the project's long-term sustainability remain to be determined. Only time can tell whether this well-formed and presently successful community of Ke Aka Ho`ona will sustain its character, quality, and financial stability and whether it will make profound contributions to improving the Waianae area.

The Foundation has made many of the right moves in grounding the project in positive life values; carefully selecting families with a measure of financial stability and positive values; establishing firm covenants; exercising close, supportive oversight; holding land lease payment agreements; working with the residents to help them form a community association and assume responsibility for the community; placing excellent infrastructure within the community; deeding the streets to the local government; planning to provide the association with an endowment and rental income; and holding open opportunities for Foundation grants to the association. In the coming years, though, the community's viability will depend on the concerted, value-oriented, and effective efforts of the residents. The Foundation has requested—and we have agreed—that we return, approximately in 2005, to assess the extent to which the community succeeded in installing and sustaining all that was accomplished through the community development process.

Transportability Evaluation

To what extent could or has the project been successfully adapted and applied elsewhere?

As the Foundation's leaders learned from their observations of other self-help housing projects, a project design implemented elsewhere is never exactly right for application in one's home situation. Local context always has to be considered. Thus, neither this project nor any other provides a precise model for exact duplication in other settings. The Foundation developed this approach to succeed in its own setting and not necessarily anywhere else. However, the Ke Aka Ho`ona approach is an example rich with well-developed components, a record of success, and much documented instructive experience. It is clear that much of what was learned through this project is relevant to the work of other groups with similar missions and indeed to the Foundation's future housing and community development projects.

At this writing, the Department of Hawaiian Home Lands is teaming with the Foundation to conduct a similar housing project in Waianae. That project will follow Consuelo Foundation's self-help model, employing the lessons learned from Ke Aka Ho`ona. The requirements for participation mirror those for Ke Aka Ho`ona, with the exception that applicants must be native Hawaiians. The development will include 32 homes and a community center. This adaptation of the Ke Aka Ho`ona self-help housing approach is in contrast to positions of Hawaiian Home Lands administrators who stated early in our environmental analysis interviews that the Ke Aka Ho`ona approach, which required intensive self-construction of houses and a set of underlying values, was unrealistic and unworkable for that agency. It seems now that Ke Aka Ho`ona's success has caused Department of Hawaiian Home Lands administrators to think differently about the merit, feasibility, and desirability of using Ke Aka Ho`ona ideas and experiences.

While it is too early to conclude much about the transportability of the Ke Aka Ho`ona process, we judge that it has promise for dissemination. A paper by William Ryan (1999), titled "Balancing

Acts: Building Community in Waianae,” describes the Ke Aka Ho`ona community-building approach, including the challenges and lessons learned. The paper was prepared for the Community-Centered Initiatives of the Alliance for Children and Families’ occasional paper series, which explores “issues that agencies may face as they attempt to develop new community strengthening strategies.” This paper, as well as other past and future publications and presentations, serves an important function in disseminating information about the project to organizations that wish to undertake similar, if not identical projects.

In discussing the Ke Aka Ho`ona approach with a colleague of ours from New Zealand, she said her country has a great need for new solutions to the housing and community development needs of its indigenous population. She said the Ke Aka Ho`ona approach seems potentially useful to New Zealand because of the approach’s focus on serving low income indigenous Hawaiians, its self-help approach, and its apparent success. She stated that community developers and government officials in New Zealand and countries with similar housing problems undoubtedly would be very interested in learning the details of the Ke Aka Ho`ona experience.

Clearly, Ke Aka Ho`ona has generated many important lessons for developers. The project’s success to this point provides sufficient grounding for sharing it as a possibly superior strategy to many of the real estate development projects now being used to serve the working poor. The Ke Aka Ho`ona process has been documented sufficiently so that the Foundation should consider disseminating pertinent information to interested development organizations, government agencies, and charitable foundations. In accordance with the Foundation’s value of giving back, it would seem perfectly appropriate for the Foundation to disseminate what it has learned through this productive endeavor.

Summary Statements

As a concluding capstone statement, it is noteworthy that almost every Ke Aka Ho`ona resident interviewed reported that participation in this project greatly enhanced his or her overall quality of life. Illustrative testimonials follow:

The luxury is in being in the house and having running water. Before I showered outside; it was cold. I get dirty doing the work required for my job. I’d have to come home in the cold and take a shower and walk back to the house. I dreaded it. Having these luxuries made me realize we were really roughing it. We were working so hard. It’s not right to not be able to wash your hands in your own home. (Increment 6 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 6*, 2000, p. 11)

We changed a lot ever since this program started. I feel different, more secure, safer in my own home. . . . I am so happy. (Increment 1 resident, quoted in *The Waianae Self-Help Housing Initiative*, 1994, Appendix C, p. 8).

Sometimes we get up and think it’s a dream or something, that we own our home. (Increment 5 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 5*, 1998, Appendix D)

We feel more stable—one of our concerns was to be more stable. We feel fortunate that we don't have to look for another place. We lived in three places in four years—looking for better locations. This is perfect—close to school, stores, beaches, families. And it's ours! There's a good breeze in this house. (Increment 5 resident, quoted in *Ke Aka Ho`ona Case Study Report*, 2000, p. 5)

Our prayers were answered. We were overcrowded and now the kids have their own rooms. (Increment 6 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 6*, 2000, p. 10)

This has gotta be the proudest moment of my life. I've always dreamed of owning a house. (Increment 6 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 6*, 2000, p. 11)

This program has meant a big change for us. We had moved a lot, always seeking safety. Our child was raised in an apartment without a yard. This is a big change for her and us. (Increment 7 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 7*, 2000, p. 8).

We have a lot more stability and are more independent. (Increment 8 resident, quoted in *Ke Aka Ho`ona Homeowner Interviews: Increment 8*, 2002, p. 6)

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Conclusions

In the late 1980s and early 1990s, Consuelo Foundation began its work to serve the poorest of the poor in Hawaii and the Philippines with virtually no background of needed expertise and experience. It chose self-help housing as an initial approach through which to contribute significantly to the Foundation's target audience and develop its ability to plan and operate projects.

Soon finding that self-help, mortgage-based housing development was not amenable to serving the poorest of the poor, the Foundation kept to this project strategy and redefined its target audience to essentially include Hawaii's working poor. Retaining this approach benefited the Foundation in its organizational learning process. The resulting project also provided housing assistance to about 390 beneficiaries, including 155 parents/guardians and their 235 children. At the same time, the Foundation did not abandon its commitment to serve the poorest of the poor, since it invested heavily to assess and address a wide range of needs of abused women and children and very poor people in the Philippines, its other target area; in Hawaii, it also supported and/or established programs to help prevent child abuse, assist homeless youth, and mentor young people who have been sexually abused. During the project's early stages, it also served dozens of homeless families by allowing the state to place a Weinberg Village of temporary houses on 5 acres of the Ke Aka Ho`ona site.

The project's mandated values and covenants and systematic development activities influenced the Ke Aka Ho`ona community to evolve into a much more desirable place than its surrounding environment. The aspect of Ke Aka Ho`ona most prized by beneficiaries was the environment free of drugs, crime, and violence. The value that apparently was tacitly accepted but not yet collaboratively and rigorously pursued was "participation and reciprocity" in helping the broader Waianae community, i.e., giving back a part of what was received. It must be acknowledged, however, that many individuals in the community are contributing their time and talents to help others. Of course, many individual efforts of charity can add to major impacts. Nevertheless, as the residents themselves reported to us, the project's aim of helping to transform and strengthen the community outside Ke Aka Ho `ona has yet to be systematically addressed on anything like a communitywide basis. On the other hand, the project has understandably been consumed with meeting the huge challenges of construction and establishing an integral, viable community. Now that all the houses are built and the families have moved in, there will likely be increased time and opportunity to help address the needs and problems of Waianae. It will be interesting to follow this community's response to the needs of its neighbors.

As the community developed, the Foundation offered a range of special services, activities, and courses that enhanced the development of the community's children. It is noteworthy—as reported by the project's staff in 2001—that no child from the community had dropped out of high school. However, the staff also reported that there were about eight teenage pregnancies in the community. While belated but good progress was made to help the residents develop a community association,

as of October 2001 the families were not yet confident they could sustain and further develop a sound community. It is noteworthy that while the Foundation will recoup a considerable proportion of its investment from the families' land lease payments and reimbursement for house costs from the mortgage-holding banks, it also invested heavily in providing services and facilities to the beneficiaries. These include programs, field trips, parties and other events, study grants, and the community center and park.

In sum, we applaud the Foundation for its responsible and effective actions in launching this project, using it as a learning laboratory, addressing housing and personal and community development needs, insisting on and effectively providing high quality in everything it did, employing an ongoing process of evaluation and improvement, making the project as fail-safe as possible, and overall continuing to ground the project and other Foundation efforts in the positive community and family values ordained by the Foundation's benefactress, Mrs. Consuelo Zobel Alger. Foundation leaders consistently stressed the importance of keeping Mrs. Alger's vision and mission in the forefront of Foundation projects. She wanted to spend her heaven doing good on Earth. Especially, she wanted to help poor people—especially abused and neglected children and women—to live happy, fulfilled lives in supportive environments grounded in positive values. Moreover, through the Foundation's beneficiaries she wanted to multiply attitudes and acts of service, kindness, and uplifting others.

Notable Project Strengths

Many features contributed to this project's success. The project's noteworthy strengths are so numerous that we have space here only to list them. Community developers might find the following strengths useful as a kind of checklist of items to consider when planning a self-help housing and community development project. The features that made this project succeed especially included the following:

1. *A foundation that provided strong, sustained leadership; was firm and not a "pushover"; was responsible and flexible*
2. *A basic set of positive guiding values*
3. *High standards for construction and landscaping*
4. *An orientation to extend a helping hand, not a handout*
5. *A sweat equity arrangement by which the builders could invest their hard work toward the purchase of their homes*
6. *Strong covenants correlated with the Foundation's values, conceived and applied to ensure the community's long-term integrity and quality*
7. *Stress on keeping the neighborhood drug- and violence-free*
8. *Taking the long view to make the project succeed over about 40 years*

9. *The vision, sustained involvement, effectiveness, and creativity of President Patti Lyons, who assured that the project embodied the values ordained by Consuelo Zobel Alger and that all aspects of the project be held to high standards*
10. *Planning guided by a quest for excellence and an ongoing process of inquiry and deliberation*
11. *Oversight by a competent, involved, and politically strong governing board*
12. *A process by which the families would pay for their homes and lots*
13. *Financial counseling provided to the families*
14. *Management and execution of the project by a competent, dedicated staff, especially Ms. Joey Kahala, who served as on-site project manager throughout the project, and Mr. Terry George, who added greatly to the final years of the project with his creativity, resourcefulness, and strong management skills*
15. *A guided process for developing a community association and taking over management of the community*
16. *Effective conflict management by the on-site project manager*
17. *A plot of land conducive to developing a whole community*
18. *House designs that satisfied construction standards and met the families' housing needs*
19. *Availability of needed equipment*
20. *The Foundation's championing of diversity throughout the process*
21. *Excepting the advertising of the project, a screening and selection process that was thorough, painstaking, and systematic, resulting in 75 families that succeeded in the construction process*
22. *Seventy-five committed, hardworking families*
23. *A pair of licensed contractors who, after a difficult beginning, learned how to teach and support the builders, who mainly lacked construction experience and skills, to construct their houses*
24. *Collaborative construction by subsets of builders that brought families together and produced the needed houses and that entailed dedication and hard work by the builders*

25. *A building process that taught construction and problem-solving skills and built relationships*
26. *Support to the involved families from family and friends during the building process, especially care of children when parents were away building their houses*
27. *Regular and rigorous inspections of all aspects of the houses under construction*
28. *President Lyons' willingness for staff to engage in a trial-and-error process coupled with insistence that errors be corrected and high standards maintained*
29. *The Foundation's investment of whatever resources were required to provide the project with needed infrastructure, equipment, expert consultants, and facilities*
30. *A pervasive orientation to support and nurture the community's children and keep them safe*
31. *A community center that supported the construction process and provides a facility for bringing community members together*
32. *An orientation to create a neighborhood that fosters happiness, friendships, cooperation, and healthy development of children*
33. *A playground that provides the children with a safe, common play area*
34. *The Foundation's effective work with local and state government to secure needed approvals and cooperation*
35. *Strong, legally enforceable land lease agreements, including covenants that require long-term adherence to the Foundation's values*
36. *Banks that were willing and able to provide mortgages to low-income families*
37. *The Foundation's safeguard against gentrification of the community (i.e., displacement of low-income residents by affluent newcomers) by requiring that residents wanting to sell their property would have to offer it first to the Foundation at a price equal to the family's actual dollar investment*
38. *Employing a lottery at the end of construction to assign homes to builders*
39. *Foundation leaders' compassionate, caring, and understanding treatment of problems and even violations of rules by builders and cobuilders*
40. *Foundation leaders' encouragement and reinforcement of residents' organizing and acting in behalf of self-governance*

41. *Staffing and programming to meet the special interests and needs of the children and their parents*
42. *Regular problem-solving and learning meetings sponsored, overseen, and assisted by the Foundation*
43. *Blessings that promoted thanksgiving and a sense of community*

Notable Project Weaknesses

Weaknesses were relatively scarce in this project. For the most part, the project lived up to its values and covenants. But there were deficiencies and limitations that would merit a developer's consideration in similar community development projects.

1. The self-help housing, mortgage-based approach was not conducive to serving the Foundation's priority audience of the poorest of the poor.

This was so primarily because very poor people could not qualify for mortgages, a main feature of the project. While this limitation was understandable in the context of the Foundation needing a project on which to learn, it should be kept in mind that needs assessments should precede selection of project approaches and even project components (e.g., setting up a computer room that apparently was little used).

2. Through the project's first five years, the project's leaders provided the residents with little clear guidance about whether and, if so, how the Foundation would turn over responsibility and authority for running the community to the residents.

When, late in the project, the Foundation made known its intention to turnkey the community and leave it to the residents, many residents told us in interviews that they were confused about how the transition would take place and not confident that they could successfully run the community. In the project's years 6, 7, and 8, the Foundation addressed this issue by engaging an expert in community development to teach and help the residents develop a community association. She reported to us in December 2001 that the process was proceeding well but would require about two more years.¹⁰

In December 2001, the Foundation was also clarifying moves it would make to help assure that the residents could succeed in taking over and running the community and sustaining its values orientation. In reflecting on these matters, the Foundation's Chief Program Officer, Mr. Terry George, said the community organizing work probably should have been started at the project's beginning and pursued systematically through the eight years of construction. Such a community

¹⁰ In a subsequent meeting in April 2002, the community development expert commented further on this estimate. She stated that during the past three months the Ke Aka Ho'ona residents had made remarkable progress toward setting up a community association. She predicted they would be able to do so by the end of 2002. However, she said it would probably still take a couple of years before the Foundation could completely turn over the community to the residents.

organizing process would have faced difficulties of according most power in the organizing process to the early increments. Nevertheless, the project's ability to turn over authority and responsibility for running the community to the residents no doubt would have been enhanced by ongoing study and deliberation about the needed decisions and available options from the project's outset.

3. A weakness, from the perspectives of Foundation staff and quite a few of the families we interviewed, is that in October 2001 the community had less than the desired level of cohesion.

Many respondents said the community has too much of an increment orientation, that families within each increment know and support each other, but have far from the same level of attachment and involvement with the overall community. Possibly, bonding through building together had the double-edged character of making families in each increment coalesce, but also insulating them from the rest of the community. The community center and communitywide meetings have helped, but were insufficient to develop a strong sense and fact of community in Ke Aka Ho`ona.¹¹ It also is important to acknowledge that both staff and residents said in interviews that—in contrast to the adults—the community's children had bonded together across increment boundaries. Unlike their parents, children from each increment did not spend extensive time together during the 9-month construction period and the playground, outings, parties, and other activities for children undoubtedly fostered familiarity and friendships.

4. Another area of weakness concerns the residents' orientation and concrete efforts to strengthen the broader community outside Ke Aka Ho`ona.

We acknowledge that many families and individuals contributed importantly to the outside community through their churches, involvement with recreation programs, etc. However, many Ke Aka Ho`ona residents have yet to make the concerted efforts—that both they and we think are consistent with the project's values and within the residents' capacity—to help their neighbors in the Waianae area address their many community-related problems. Possible areas for assistance include helping the Ke Aka Ho`ona area improve its schools, combat crime, address problems of poverty, and even clean up the littered street adjacent to Ke Aka Ho`ona.

5. The project is vulnerable to failure in the long run, because of the residents' long-term debt for buying their lots.

According to present agreements and commitments, residents who pay off their mortgages after 25 or 30 years will be faced with taking out a new mortgage for as much as \$123,000 to pay off their land. Most residents likely will be in this situation when they are in their 50s or 60s. It seems clear that at that stage in their lives they will have difficulty obtaining yet another large mortgage and paying it off. In a March 2002 conference phone call and in an April 2002 discussion with the

¹¹ During his April 2002 visit to the project, the evaluation director heard that substantial progress has been made in integrating the community. Staff who had in December concurred that the community evidenced "incrementness" and a lack of cohesion now said the community is rapidly coming together. They cited as evidence the effective work of committees, especially the Planning and Covenants Committees, which have representation from each increment.

evaluation director, President Lyons said she intends that families be asked to pay a much lower amount for the land and that she would be discussing this with the board. At the least, clarity is needed on this matter. We believe that lowering the land lease amount would enhance the project's prospects for long-term success.

Key Lessons Learned

As reflected in the preceding presentation of strengths and weaknesses, this project was rich with lessons that can be applied to other community development efforts.

1. Needs assessment should be a first order task.

A main lesson from the Foundation's inaugural self-help housing project is that, in general, assessed needs of intended beneficiaries should be identified and examined before selecting an appropriate project strategy. In project selection processes aimed at serving a particular audience—such as the poorest of the poor—first order consideration should be given to identifying members of the intended target group and assessing their needs and capacities.

2. Values make a positive difference.

Grounding a project in positive values within a community whose members are marked by diversity of cultures, ethnic backgrounds, and religious orientations is both a feasible and powerful approach. The Foundation required that all features of the project be consistent with an explicit set of values, and none of the participants we interviewed objected to any of the values. We conclude that, in general and through December 2001, the project staff and beneficiaries lived up to the values, did not markedly violate any of them, and the values-based approach was a strong contributor to the project's success.¹²

3. Covenants are needed to help assure consistent application of the values.

Covenants appear to be a functional means of enforcing a community development project's values.

4. Legally binding contracts are essential instruments for assuring that important factors (especially values and covenants) are maintained in the long term.

In addition to using the values as a selection tool, both the values and covenants were explicitly included in the land lease contract. The contract makes it possible to evict persons from the land and their homes in the event that the contract is broken (e.g., sale of drugs). Such contractual language provides an important means to maintain the Foundation's intentions for the community.

¹² The caveat here is that as we were completing this report, we learned that there may be an isolated, but serious problem of drug dealing in the community.

5. You win with people.

Self-help housing grounded in positive values is no easy path. It is not for lazy persons or those who lack commitment and resilience or those who shy away from risks. A challenging, innovative project, such as Ke Aka Ho`ona, absolutely requires strong, motivated leaders, staff, and beneficiaries. Individual effort and teamwork are required as is a pioneering spirit. Firm, visionary, competent, consistent leadership is required from the top. Staff must be committed, caring, and competent. Beneficiaries must be goal directed and carry their load through and beyond the project. All must communicate and work together in a creative, often very difficult, journey.

6. Careful selection of families pays off in positive outcomes.

President Lyons stressed (in a 2001 interview with Stufflebeam) that “the selection process is absolutely crucial.” She said, “We took people one might not take—reforming alcoholics, people with a drug history, people who had been in prison, tough, hard core. We wanted to take poor people. We deliberately chose high-risk persons.” In a subsequent interview in April 2002, President Lyons stressed that throughout the program the Foundation selected a number of high-risk participants. These included, among others, two families who originally had lived at the project site’s previous Weinberg Village and two single parents. She said the Foundation also offered entry to Ke Aka Ho`ona to a woman who had lived with her child in a bus. She got accepted by Hawaiian Home Lands, but the Foundation let her live in its farmhouse for six months until she could take up residence in her Hawaiian Home Lands house. While the Foundation selected a limited number of high-risk persons, it is noteworthy that throughout the program, the Foundation found and implemented ways, including the rent-to-own arrangement, to serve those who could be classified among Hawaii’s especially needy families. A lesson here is that despite the elusiveness of some goals, like serving the poorest of the poor, incremental progress can be made through ongoing, limited trial and error efforts and an enduring commitment to achieve the goal.

7. Selection of builders with jobs is a key to maintaining the community.

Ke Aka Ho`ona lends a helping hand not a handout. The project’s long-term success will depend on the residents’ abilities to maintain and build on what has been achieved. If this community is to sustain its character and quality, its residents will have to have continuing sources of livelihood. The Foundation enhanced this project’s prospects for success by selecting only families with at least one member holding a job.

8. Men and women from their 20s to 60s with no construction experience can learn on the job and succeed in building houses.

The successful construction of the 75 houses by men and women in a wide range of ages and most with no construction experience confirms that such men and women can succeed in self-help housing. Moreover, the learning that the Ke Aka Ho`ona residents gained by building their own houses undoubtedly instilled pride in the quality of what they achieved and equipped them to maintain the houses in good order.

9. Families could and did secure effective child care during the construction.

The Foundation insisted that families be responsible for reliable care of their children during the approximately 38 weekends devoted to construction. Moreover, families were prohibited from bringing their children to the work site. Clearly, these requirements placed stress on the participants and undoubtedly on their children. However, all families were able to secure child care from family or friends and to make this needed sacrifice. The concerns the families reported to us during our visits to the construction site seem to have been short-lived. No family has reported any long-term negative effects of the period of weekend separations on its children. On the contrary, almost all families told us the sacrifice was well worth the outcome for the whole family. They say they love their new homes and are glad they persevered during the construction period. They also unanimously have expressed great gratitude to those who cared for their children during the construction period.

10. Project plans should remain flexible and be updated regularly.

Ke Aka Ho`ona has been a highly creative endeavor. While it has consistently paid close attention to rigor, it has also changed and improved on plans frequently throughout the process. The project demonstrates that while it is important to begin with good plans, it is also critically important to regularly revisit and revise the plans as needed.

11. Roles clarification requires trial and error and sustained attention.

This project demonstrated that, in initial stages, arriving at the most functional role definitions for different staff members can be elusive. We observed that early in the project the on-site Foundation staff and licensed contractors arrived at clear and functional differentiation of roles only after some difficulty, confusion, and extensive trial and error efforts. Even during the work of Increment 8, the families expressed confusion about how much assistance the contractors should be providing. We think that project leaders and staff should expect difficulties in defining and executing appropriate roles and that they should work at role clarification throughout the project.

12. Strong, on-site supervision is required to foster civil relationships, collaboration, problem solving, conflict resolution, keeping to schedule, safety, and quality work.

There is a continuing need for close oversight and supervision throughout the duration of such a complex project. In a March 2002 interview, President Lyons emphasized that an on-site manager should be present and fully involved whenever construction is under way and whenever the homebuilders are authorized to be at the construction site. She added that this is especially important near a project's end, when builders might tend to relax their efforts and become careless and risk accidents. President Lyons also stated that it is important to assure that contractors do not reduce their presence, relax their hands-on involvement, or rush to completion during the project's last months. She said future projects will place added emphasis on assuring that strong oversight, supervision, and contractor assistance are maintained to the end of the construction period.

13. Building in increments fosters collaboration but may produce in-groups.

A “catch 22” is that construction by increments spawned in-groups that worked against achieving cohesion in the full community. Also, cul-de-sacs drew the members of some increments together, but tended to isolate them from the rest of the community. These are not fatal difficulties, but underscore the need for sustained and effective steps to develop cohesion in the whole community.

14. Assigning houses by lottery after construction fosters teamwork and high quality for all houses.

The end-of-construction lottery proved essential to get builders to work equally hard on all houses in their increment. We would definitely recommend against informing beneficiaries as to which house would be theirs before the houses are completed.

15. Systematically engaging the builders, on the final day of construction, to walk through each home and identify and list its especially good characteristics helps prepare them to accept the house they will be assigned in the lottery.

The Foundation designed and introduced this procedure after certain families expressed disappointment in the house they were assigned. Staff reported that builders’ systematic look for and acknowledgment of each house’s desirable features prepared them to accept and value any one of the houses. Builders also reported that this process helped new homeowners accept their houses even when they did not get the one hoped for.

16. It is important to have building materials delivered when needed.

During Increment 1, materials were delivered in quantity and stockpiled. This proved problematic, since rain and heat negatively affected the materials and since they proved vulnerable to theft between weekends when no project staff were at the site. The decision was made to order materials so they were delivered when needed. Later solutions to the problems of securing materials—also tools—were to utilize the community center and portable, lockable steel storage sheds.

17. The community center provided an invaluable resource for construction, community development, and management.

At the project’s outset there was no plan for a community center. During the travails of the first increment, it became clear to project personnel that they needed some type of facility for such basic matters as securing tools and materials and providing shelter for the builders during bad weather, rest rooms, and a place for meetings. Consequently, the Foundation decided to build a community center where it previously had planned to construct three houses. Foundation leaders had the foresight to build a multipurpose center that could house the project’s business office, a place to secure construction materials and equipment, and a facility to serve the long-term needs of the community, especially for meetings and special events. The community center proved to be an invaluable resource for the project’s varied activities.

18. Self-help housing projects can successfully build as many as 17 houses at a time.

At the project's outset it was important to keep the number of houses under construction to a manageable level. Thus, the project built from 6 to 8 houses at a time. As project staff developed confidence and competence, they considered that they could speed up the completion of the 75 homes by increasing the number of houses built in given increments. It was demonstrated in Increment 7 that this project could successfully produce 17 houses on schedule. Moreover, interviews with project staff and Increment 7 members indicated that this increment was one of the most harmonious increments.

19. The families loved the duplexes; the staff didn't.

All 11 Increment 8 families that we interviewed were highly positive about the duplex designs. Their only complaint was that quality suffered when there was a rush to complete the houses during the ninth month of construction. Staff were very negative about the duplex design and advised against using it in the future. However, the Foundation's president said the problem was not in the design but in the staff's and contractors' rush to finish the houses ahead of schedule. She reported that while the contractors were paid for 10 months' work, they used only 9 months. She stressed that, given Hawaii's limited land, the duplex design is highly defensible because it can serve twice as many families as can single houses in the same amount of land. On balance, we think the duplex design is defensible. Based on this experience, construction of duplexes may require a full 10 months.

20. Rent-to-own is a means of extending the utility of self-help housing.

Through the first seven increments, the project was restricted to serving only families that could qualify for mortgages. This restricted the project from serving poorer people who fit the Foundation's primary mission of serving the poorest of the poor. In Increment 8 the Foundation began to assess and demonstrate the potential utility of the rent-to-own arrangement for serving very financially strained families. Staff members have expressed skepticism that the rent-to-own scheme will work in the Ke Aka Ho'ona context. Considering the Foundation's mission, the risks in testing this approach were justified. Follow-up evaluation will be needed to determine its success and feasibility for future use.

21. Many area low-income families still need affordable housing.

While the Foundation devoted little advertisement to this project, there were many more qualified applicants than could be served. It seems clear that through Ke Aka Ho'ona the Foundation has only begun to address the needs of poor people for low cost housing in safe, values-based neighborhoods.

22. Conducting regular communitywide meetings is an essential, but not sufficient means to achieving community cohesion.

The regular community meetings contributed to community bonding, but only in a limited way. While many builders we interviewed expressed disappointment that the communitywide meetings

were not well attended, we concluded that attendance—which was reported to be typically more than 40 percent—was better than might have been expected. We think that community developers should include regular meetings with beneficiaries, but will need to supplement these with other creative means to effect communitywide communication and collaboration. Examples are the establishment of committees with representation from each increment. Based on reports heard during the evaluation director's visit to the project site in April 2002, Ke Aka Ho`ona's Planning and Covenants Committees—which have representation from all the increments—are adding greatly to the community's cohesion.

23. Given proper consideration of Ke Aka Ho`ona's context, many of its features may be amenable to adaptation and use elsewhere.

It is too early to make definitive conclusions about the transportability of the Ke Aka Ho`ona process. This strategy cannot be considered apart from the context in which it was applied. In its first housing projects in the Philippines, the Foundation decided that self-help construction and enforcement of values would not be feasible. In an April 2002 interview, President Lyons reported that the Foundation actually did successfully apply the Ke Aka Ho`ona approach in its Bloomington Farms project in the Philippines. Also, at this writing President Lyons reported she is optimistic that the Foundation and the Department of Hawaiian Home Lands will successfully apply the Ke Aka Ho`ona approach in their collaborative Hawaiian Home Lands self-help housing project.

The potential for successful adaptations is probably enhanced when the project's leaders have and can exercise relevant controls. Needed controls include deciding who gets into the project, specifying what they must do to participate, issuing enforceable requirements for remaining in the community plus provisions for removing families that violate the covenants, and establishing resale conditions aimed at preventing gentrification. Potential adopters of the strategy should review carefully, not only the project's characteristics and features, but also how these were influenced by Hawaii's political, economic, and cultural contexts.

Moreover, the Foundation's experience with this strategy should not be considered apart from the values on which the effort was based. Running such a project, with the values clearly in mind for all of its features, is something that many organizations, especially public organizations, could not mandate and enforce. Nevertheless, we believe this limiting factor is a feature that made this project especially meritorious and successful.

24. Evaluation is needed at the outset, throughout, and following a project such as Ke Aka Ho`ona.

From the project's outset President Lyons insisted on including ongoing evaluation. The evaluation provided a systematic, continuing look at the project and outside perspectives. It also provided a means for independent investigators to obtain reactions from the real experts in this process: the people who built the houses. Moreover, the external evaluation was but a part of the overall spirit and fact of evaluation and the many forms in which it occurred. Project staff and outside inspectors exercised quality control by systematically evaluating progress. The Foundation's board also regularly examined the project's progress in its meetings and via site visits. Finally, President Lyons has decided that a follow-up evaluation should be done in 2005. This will be especially important

to assess the project's continued success after the families take over the community. All in all, this project has been highly accountable and has made productive use of evaluation to continually improve project plans and activities.

Bottom-Line Assessment

Through this project, the Foundation has developed substantial expertise and credibility in the area of values-based, self-help housing. Moreover, this project has essentially transformed the lives and significantly enhanced the well-being of the 75 participating families. President Lyons and Joey Kahala reported that as of about April 1, 2002, the project had served approximately 235 children and 155 adults. The involved families are a powerful resource for helping to revitalize and improve the Waianae coast community. Time will reveal whether this potential is successfully applied.

Perhaps this project's community development effort would have moved faster and better if more planning and active work had started earlier and paralleled the project's "bricks and mortar" activities at the level of resources and effort. In the April 2002 interview, President Lyons concurred. She said "The Foundation could do it better now. We didn't know how then. We weren't ready to do much more. Even now we are learning about how to do it by doing it."

In retrospect, it seems that plans and action steps for starting and installing a community association were delayed too long. Much work in this area remained when we completed our data collection in December 2001. At that time, both residents and staff expressed uncertainty and apprehension about taking over the community any time soon and sustaining its success. In interviews with project staff in April 2002, we heard that the residents' work to take over the community had progressed unbelievably well and has remarkable momentum. Apparently, the Covenants Committee and the Planning Committee—which both have members from each increment—have confidently and effectively carried out their roles. Staff members who in December 2001 projected that such developments were two years off now express confidence that the families will soon be able to form and operate an effective community association and take over the running of the community.

Moreover, the recent encouraging reports from staff suggest that the community will soon have the capacity to seriously and powerfully pursue Mrs. Alger's desire and challenge that her Foundation's beneficiaries make concerted efforts to build on the blessings they received to help their neighbors in need in the broader community.

The project still has vital work to be done. Among the remaining challenges are clarifying the land lease payment arrangement, forming the community association, clarifying the role the Foundation will play in the community's future, turning over the community to the residents, setting up the projected endowment, and conducting follow-up evaluation.

This project has an impressive record of success. In the coming years, it will be most interesting to track the project's progress and sustainability, its impacts on Waianae, and its contributions to other housing and community development efforts.

They weren't sure they could. Then they did it.



It was worth the sacrifice and toil.



From humble beginnings to fulfilled dreams



Increment 3 construction



Increment 8 construction



For the sake of the children



Creativity and pride go hand-in-hand



**“I want to spend my heaven doing good on Earth.”
—Consuelo Zobel Alger**



Epilogue

As we complete our role in the regular evaluation efforts of the Ke Aka Ho`ona community, we want to emphasize the importance of evaluation. The Foundation has been an exceptionally strong user of evaluative information. Over the eight years of this evaluation effort, Consuelo Foundation has facilitated and directly helped us in our data collection efforts. Additionally, it has employed its own evaluation efforts (e.g., videotaping of builders and construction reports) as decision-making tools. We believe that the Foundation's use of evaluation is an important factor in its remarkable success to date. We hope that it will build on its strong evaluation beginnings and build evaluation into the fiber of the community development process.

We encourage the Foundation to incorporate regular evaluation in its collaboration with Hawaiian Home Lands as construction of homes on the dairy farm begins and plans are made for using the acreage across Plantation Road from the Ke Aka Ho`ona community. For example, Joey Kahala's weekly reports are an especially good tool for keeping staff posted on progress and helping to spot and rectify problems in a timely way. Such reporting coupled with regular feedback sessions with staff (e.g., weekly meetings) will significantly aid the Foundation and its collaborating partners in maintaining and improving its strong construction project. We also encourage the Foundation to build such an assessment and reporting process into its current community development efforts within Ke Aka Ho`ona.

Acknowledgments

The preparation of this final report on the eight year evaluation of the Ke Aka Ho`ona project required the support and assistance of a wide range of people. The evaluation team is especially indebted to the Ke Aka Ho`ona homeowners who helped us see the project from their close-up, well-informed perspectives. Although too numerous to name, we will never forget the invaluable exchanges we had with these wonderful, accomplished people.

Special appreciation is due President Patti Lyons. Her strong belief in the utility of candid, independent evaluation and support of our work were essential to the conduct of this complex evaluation and especially in engaging the Foundation's staff and others to consider and apply the findings.

Foundation personnel facilitated our collection and reporting of information and provided their own assessments of the project. We are especially mindful of the excellent cooperation and assistance we received from Macki Abenoja, Terry George, Joey Kahala, Julia Mizer, Caroline Oda, Jane Pakaki, Linda Roberts, Al Rodrigues, Zee Suzuki, Nalani Tavares, and Jack Webb. Throughout the evaluation, the on-site contractors—Lee Kong and Joe Harrington—were responsive to our questions and provided useful perspectives on the construction process's various features.

We also received useful inputs from members of the Foundation's board and advisors. These included Chairperson Jeffrey Watanabe, Rosemary Clarkin, Constance Lau, Alejandro Padilla, David Powell, and Robert Tsushima. This evaluation's success will depend in no small way on the board's review and use of this report's findings.

As the evaluation's director, I am pleased to acknowledge the evaluation team members who excelled in contributing their talents to the evaluation process. The evaluation managers included Carl Hanssen, Jerry Horn, and Arlen Gullickson. Sally Veeder edited all evaluation reports. Lori Wingate managed information, developed computer-assisted presentations, and helped prepare the final report. Our succession of traveling observers—Janet Sumida, Caroline Oda, and David Hirano—provided on-site support and information. Doris Segal Matsunaga and Rachelle Nui Enos conducted the goal-free evaluations. At various times, the project was assisted by graduate students, including Malathy Chandrasekhar, Martin Hill, and Sandy Taut.

Finally, the most important acknowledgment is to Mrs. Consuelo Zobel Alger. Her vision and generous contribution in establishing the Consuelo Foundation made possible the Ke Aka Ho`ona project and this evaluation. The values she mandated for the Foundation were of fundamental importance in focusing the evaluation. As we believe she would have desired, we assessed Ke Aka Ho`ona for its success in supporting low-income Hawaiians to build a community of caring, peace-loving residents who keep their homes and environment beautiful and free of drug and alcohol abuse and domestic violence; ground their child rearing in sound family values; and give back to others a part of the blessings they received.

Daniel L. Stufflebeam

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About The Evaluation Center

The Evaluation Center is located at Western Michigan University in Kalamazoo, Michigan and is the nation's oldest and largest university-based center devoted to the discipline of evaluation. Our mission is to provide national and international leadership for advancing the theory and practice of program, personnel, and student/constituent evaluation, as applied to a wide range of disciplines and service areas, including especially education and human services. The Center's principal activities are research, development, dissemination, service, instruction, and leadership. The Center is the home base of the national Joint Committee on Standards for Educational Evaluation. The Center's evaluation clients have included the National Science Foundation, U.S. Department of Education, U.S. Marine Corps, numerous state education departments and school districts, NASA, Argonne National Laboratory, the World Bank, United Way, several foreign governments, about a dozen charitable foundations, and various other organizations. Evaluation topics addressed include community and economic development; science, math, and technology education; teacher and administrator education; personnel evaluation systems; programs for children and youth; house weatherization; charter schools; professional development; substance abuse programs; systems of student assessment; and others. The staff's disciplinary backgrounds include statistics, measurement, research design, educational psychology, science and mathematics education, technology, political science, counseling and family psychology, special education, evaluation, organizational and industrial psychology, business, and sociology. The Center's work has been conducted throughout the U.S. and in a range of other countries. Its staff are widely recognized for their regular contributions to influential publications.

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**The most important purpose of evaluation
is not to prove but to improve**



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Appendix A: Evaluation Reports

| Title | Date |
|--|----------------|
| The Waianae Self-Help Housing Initiative Ke Aka Ho`ona: Highlights Report | October 1994 |
| The Waianae Self-Help Housing Initiative Ke Aka Ho`ona: Program Profile | October 1994 |
| The Waianae Self-Help Housing Initiative: Ke Aka Ho`ona: Report on the Results of Builder/Homeowner Interviews | October 1994 |
| Ke Aka Ho`ona Program Profile (2 nd Edition) | October 1995 |
| Ke Aka Ho`ona Homeowner Interviews: Increment 2 | November 1995 |
| Ke Aka Ho`ona Year 2 Interim Highlights Report | November 1995 |
| Ke Aka Ho`ona Homeowner Interviews: Increment 3 | June 1996 |
| Ke Aka Ho`ona Program Profile (3 rd Edition) | September 1996 |
| Ke Aka Ho`ona Evaluation Highlights Report | October 1996 |
| Goal-Free Evaluation of the Alger Foundation's Waianae Self-Help Housing Project | February 1997 |
| An Environmental Analysis Report for the Ke Aka Ho`ona Self-Help Housing Project | November 1997 |
| Ke Aka Ho`ona Case Study Report | November 1997 |
| Ke Aka Ho`ona Homeowner Interviews: Increment 4 | November 1997 |
| Ke Aka Ho`ona Program Profile (4 th Edition) | December 1997 |
| A Goal-Free Evaluation of the Impact of Ke Aka Ho`ona on the Waianae Coast Community | October 1998 |
| Ke Aka Ho`ona Homeowner Interviews: Increment 5 | December 1998 |
| Ke Aka Ho`ona Program Profile (5 th Edition) | December 1998 |
| Ke Aka Ho`ona Homeowner Interviews: Increment 6 | March 2000 |
| Ke Aka Ho`ona Case Study Report | November 2000 |
| Ke Aka Ho`ona Homeowner Interviews: Increment 7 | November 2000 |
| Ke Aka Ho`ona Homeowner Interviews: Increment 8 | January 2002 |

Appendix B:

TRAVELING OBSERVER HANDBOOK

FOR THE

KE AKA HO`ONA WAIANAE SELF-HELP HOUSING PROJECT

OF THE

CONSUELO ZOBEL ALGER FOUNDATION

(REVISED JULY 1997)

**THE EVALUATION CENTER
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TRAVELING OBSERVER FOR SELF-HELP HOUSING PROJECT OVERVIEW OF ROLE AND RESPONSIBILITIES

This document is intended to provide a framework for fulfilling the Traveling Observer function as part of the Ke Aka Ho'ona evaluation. Consuelo Foundation has commissioned the Western Michigan University Evaluation Center to conduct a longitudinal study of its Waianae Self-Help Housing Initiative. The evaluation has a dual purpose: to provide feedback for program improvement and to provide documentation for accountability.

The *Evaluation Design and Work Plan* (March 1994) provided for the addition of a Traveling Observer (TO) to the evaluation team. The TO must be an individual who can establish credibility with program clients, adhere to the methodology and protocols developed by the evaluation team, and prepare concise and well-written reports on evaluation questions. There is a critical need for a TO because the principals of the evaluation team reside in Michigan and are only in Hawaii for short periods of time on a quarterly basis. Thus, overall the TO is responsible for being the evaluator's "eyes and ears" during periods of regular program operation.

Primary TO Roles

In accordance with the *Evaluation Design and Work Plan* and based on the experience of the evaluation team after conducting the evaluation for more than three years, the following primary TO roles have been identified:

1. Provide the evaluation team with descriptive analyses of the major Ke Aka Ho'ona processes as they are implemented. This role entails documenting program implementation.
2. Provide the evaluation team with context information regarding Ke Aka Ho'ona. This entails exploring other self-help housing programs for comparative purposes, gathering impressions of external program stakeholders, and documenting relevant events and activities that impact on the project.
3. Provide the evaluation team with information about homeowners and families selected for case studies and documentation of the development of Ke Aka Ho'ona.

TRAVELING OBSERVER HANDBOOK

EVALUATION OF THE WAIANAE SELF-HELP HOUSING INITIATIVE

An integral part of the evaluation of the Waianae Self-Help Housing Initiative is the selection of a Traveling Observer (TO). Typically, a TO is an area resident who is knowledgeable in the subject area relevant to the project being evaluated. A TO is asked to study program operation in the absence of professional evaluators. In this project, the need for a TO is more acute because the evaluators reside in Michigan and will be in Hawaii for only short periods of time on a quarterly basis. In this sense, the TO is responsible for being the evaluators' "eyes and ears" during periods of regular program operation.

The primary responsibility of the TO will be to implement a protocol described in this Traveling Observer Handbook. The handbook will be produced collaboratively by the evaluators, program staff, and the TO. For this evaluation, the protocol will emphasize program implementation and results. The TO will also be asked to submit reports on specific assignments and participate in semiannual feedback workshops. These workshops will afford evaluators and project staff an opportunity to interact and discuss evaluation practices, procedures, and findings.

This handbook articulates the process used by the TO in gathering information and compiling needed reports. It is anticipated that it will be updated as the need arises. The handbook appendix also provides an accounting of TO activities over time through compilation of TO reports. Overall, reference to the handbook will afford the reader an opportunity to examine procedures used by the TO in gathering information, as well as a review of the TO's activities, findings, analysis, and recommendations.

Traveling Observer Selection

The following criteria should guide the selection of a Traveling Observer. Individuals meeting a substantial number of the criteria should be identified and considered for the role. Also, other individuals who might be able to identify potential TOs should be named and contacted.

1. The TO must be highly perceptive, competent, and credible to program personnel and must display cultural sensitivity toward project clients and other stakeholders.
2. The TO must be able to put interviewees at ease and develop rapport with program personnel, clients, and other stakeholders.
3. The TO must be able to work independently and without regular direction from the Principal Investigator or Project Manager.
4. The TO must be free of preconceived notions and/or bias regarding the program.
5. The TO must be mature and able to operate objectively and independently of project personnel.

6. The TO should have experience in the following areas:
 - A. *Social issues* including homelessness, intergenerational poverty, substance abuse, family violence, and interracial relations
 - B. *Public policy* issues including intervention strategies to combat homelessness, land use policy, and governmental operations in Hawaii
 - C. *Real estate development* knowledge including an understanding of the development process, construction practices, home finance, and land leases
7. The TO should have knowledge of formal evaluation practices or display competency in research endeavors. This criterion is geared toward the need for a TO to be thorough, meticulous, and articulate.
8. The TO must be able to write timely reports that are clear, complete, and concise.
9. The TO must be able to commit approximately 10 days per year to observations and report writing. In addition, the TO will be asked to participate in semiannual feedback workshops.
10. The TO will be compensated. An honorarium will be provided, and a stipend to cover expenses and travel will be allocated.

The TO will be selected collaboratively by Consuelo Foundation and the evaluation team. Following the evaluators' initial screening of candidates suggested by the Foundation and the evaluation team, one candidate will be selected to carry out the TO role. It is important to stress that the TO must be an individual acceptable to both parties.

Traveling Observer Assignments

TO assignments are agreed upon by the Principal Investigator, Project Manager, and the TO. The focus of assignments is on program implementation and outcomes. Two basic questions are to be asked: Is the program being implemented as intended? What are the results of that implementation?

By using this broad foundation, the TO can be asked to explore (1) issues directly related to program operation, (2) adjunct issues that may ultimately impact program operation, or (3) background data that will offer explanations or a historical perspective on program operations. Overall, there is a great deal of flexibility in the tasks assigned to the TO. This is done to ensure the relevance of TO reports to the needs of program staff and the evaluators.

Typically, because of time and budget constraints, between two and five questions will comprise an assignment. Assignments will be made quarterly during each evaluation team site visit. A date for submission of a TO report to the evaluation team is also agreed upon.

Process for Completing TO Assignments

Typically, the following process will be used to complete TO assignments. The TO and/or evaluators may make changes as needed.

1. An assignment is made by the Principal Investigator and the Project Manager. A date is agreed upon for submission of a TO report.
2. All parties brainstorm for possible sources of information. These may be individuals, organizations, library materials, or other sources.
3. The TO verifies sources of information as to their names, addresses, locations, or other relevant information needed to ensure contact.
4. In cases where interviews are needed or documents are being requested from specific organizations, the TO prepares a one-page letter of introduction, giving the reason for seeking an interview with the source or the referenced information. If an individual is known to the TO or the TO has received a referral to that individual, in Hawaii a phone call with an introduction and a short explanation of the project is preferred. An introductory letter giving a substantive explanation of the project could be sent following the initial contact. Although phone calls are the usual method of doing business in Hawaii, at times an introductory letter for the initial contact is helpful because the letter can be substantive enough to avoid the need for an extended verbal explanation of the program during follow-up contacts.

Avoiding extensive verbal explanations is one advantage of using an introductory letter for the initial contact with the source. Another benefit is that when the name of the contact person is not known, the agency staff will be able to trace the names of individuals involved with Consuelo Foundation. The letter is also used as a reference in scheduling a personal or phone interview.

5. If the name of an individual is not available, address an introductory letter to the organization, providing a phone number for contacting the TO, or inquire by phoning the organization for the appropriate person. The introductory letter can then be sent either preceding or following a phone call.
6. The TO should then wait a reasonable amount of time (1 week) for the addressee to contact him/her. If the TO judges that the letter did not generate the desired response, a follow-up phone call should be made to schedule a personal or phone interview or to verbally request needed information.

The remaining steps refer mainly to cases where individuals will be interviewed, but may be adapted for other needs.

7. Schedule a personal or phone interview at a mutually convenient time for both the source and the TO. If appropriate, the TO may send a preliminary list of questions to the source

prior to the interview. The TO should also provide the source with alternative means of contacting him/her if the interview needs to be rescheduled on short notice.

In deciding to schedule a personal or phone interview, the following guidelines may be applied:

- A. In Hawaii, a phone interview is generally not appropriate but can be used if there is no other alternative.
 - B. If other staff members of the source's agency are to be involved as additional resources, a face-to-face interview definitely should be used.
 - C. If documents or additional reference materials are available from the source, a personal interview should be arranged. This will save the source the burden of mailing materials to the TO.
8. The TO should then conduct the interview, utilizing the prepared questions. Additional probing questions will be appropriate and are encouraged. The TO should attempt to limit the interview length to one hour. The TO should take notes or tape-record the interview if that is agreeable to the source.

At the end of the interview, the TO should thank the source for his/her time and ask if there are other individuals, organizations, or resources that the TO might explore to gain further insights. Names, titles, addresses, and phone numbers can be confirmed at this time.

9. Following the interview, the TO may wish to send a thank-you letter to the source, include an accounting of the discussion, and request feedback on the report. This will afford the source the opportunity to add information, review the notes for accuracy, and confirm the appropriateness of any analysis presented by the TO.

The TO should include a self-addressed, stamped envelope for facilitating the source's response. The TO should also double-space all material to allow ample space for comments.

10. The Traveling Observer will also interview residents of Ke Aka Ho'ona as requested by the evaluation team. It is expected that there will be an annual interview of at least two residents from each increment. The residents to be interviewed will be selected from those who have signed compliance forms stating an agreement to participate in this way.
11. Upon request, the Traveling Observer will submit reports on social issues, public policy, real estate development, and other contextual issues affecting the Ke Aka Ho'ona community or the economic, political, or social environment on O'ahu.

Traveling Observer Reports

Traveling Observer reports offer excellent insights into program process, impacts, outcomes, and sustainability. They provide first-hand accounts and offer a means of assessing program implementation and progress in reference to program design and goals. Reports may also provide insights into the prospects for sustainability by documenting effective implementation and helping to identify problem areas.

On an annual basis, the TO will submit two regular reports (March and August) to the Project Manager. The information in these reports will be used in feedback workshops and reports to the Foundation. However, the TO reports will not be submitted to the Foundation or shared with families of Ke Aka Ho'ona. These are intended to be internal information documents to aid in the overall evaluation of the project.

Other reports will be required as appropriate to document specific assignments, e.g., interviews of homeowners, etc. Following data collection via interviews, document reviews, or library research, the TO will prepare a report on the assignment.

All reports will be prepared and presented to the evaluation team at the agreed-upon time. One hard copy of the complete report and a 3.5" computer diskette containing the report are requested. It is not necessary for the TO to give regular progress updates to the evaluation team. A single report at the conclusion of the assignment will be adequate to meet the evaluation team's needs. Single assignment reports may be summarized in or appended to the biannual reports.

The TO report should adopt the following format:

I. Explanation and Purpose of the Assignment

This section should list the elements (questions) in the assignment and present a rationale for exploring these issues.

II. Presentation of Findings

This section presents a narrative of the results of the TO work. Each element of the assignment will be broken out in the order presented in the previous section.

III. Analysis

Any analysis offered by the TO is presented here. Note: the TO may wish to include analysis of each element of the assignment directly after presenting the findings, in which case II and III will be combined.

IV. Recommendations

Any recommendations to program staff or the evaluation team are presented here.

V. Appendices

- A. List of sources with names, addresses, phone numbers, etc. Also indicate which portions of the assignment the source contributed to.
- B. Sample introductory letters
- C. Specific interview questions pertaining to each assignment topic
- D. Accounting of all interviews indicating source, date, topic, and whether the interview was conducted by phone or in person
- E. Supporting documentation, if appropriate

Appendices C-E may be broken down into subsections according to the various elements of the assignment. Thus, reference to those appendices in the narrative may take the form "refer to Appendix D1."

TO Participation in Feedback Workshops

The TO will be asked to participate in semiannual feedback workshops. These workshops will focus on discussing of program and evaluation activities of the past six months and will include representatives from the Foundation program staff and the evaluation team. Other individuals or stakeholders may be asked to participate if their input is sought. Feedback workshops will provide a forum for discussing findings; suggesting improvements in program design and implementation; modifying service targets in the light of impact and outcome data; and suggesting methods to ensure the sustainability of the program.

Traveling Observer Compensation

The TO will receive an honorarium for work completed. The amount paid will be according to the project budget outlined in the Evaluation Design and Work Plan. There is also a small travel and expense stipend allocated to the TO.

The honorarium and reimbursable expenses will be paid quarterly upon the TO's submission of an invoice to The Evaluation Center. The invoice should enumerate the following:

- 1. Dates worked and number of hours worked on each date
- 2. Total number of hours worked
- 3. Rate of pay
- 4. Total honorarium for hours worked (total hours x rate of pay)
- 5. Itemized of expenses (supplies, mileage, postage, phone calls, etc.)
- 6. Total amount of expenses
- 7. Total invoice (sum of honorarium + expenses)
- 8. The invoice shall be dated and signed by the Traveling Observer

For the first evaluation year (April 1, 1994 - March 31, 1995) the TO rate of pay will be \$400 per 8 hour day, or \$50 per hour. The TO will be expected to work approximately 10 days per year.

The first year travel and expense allowance is \$500.

These figures may be adjusted on an annual basis upon review of the project budget, past expenditures, and anticipated needs.

Appendix C:
Involvement of Case Study
Participant Families Across Increments and Years

| Family | Increment | Years | | |
|--------|-----------|---------------------------|---------------------------|---------------------------|
| | | 2 (1995) | 4 (1997) | 7 (2000) |
| A | 1 | 1 st interview | 2 nd interview | 3 rd interview |
| B | 1 | 1 st interview | 2 nd interview | 3 rd interview |
| C | 1 | 1 st interview | 2 nd interview | 3 rd interview |
| D | 2 | 1 st interview | 2 nd interview | 3 rd interview |
| E | 2 | 1 st interview | chose not to continue | chose not to continue |
| F | 1 | | 1 st interview | 2 nd interview |
| G | 2 | | 1 st interview | 2 nd interview |
| H | 3 | | 1 st interview | 2 nd interview |
| I | 3 | | 1 st interview | 2 nd interview |
| J | 1 | | | 1 st interview |
| K | 2 | | | 1 st interview |
| L | 2 | | | 1 st interview |
| M | 3 | | | 1 st interview |
| N | 3 | | | 1 st interview |
| O | 3 | | | 1 st interview |
| P | 4 | | | 1 st interview |
| Q | 4 | | | 1 st interview |
| R | 4 | | | 1 st interview |
| S | 4 | | | 1 st interview |
| T | 4 | | | 1 st interview |
| U | 4 | | | 1 st interview |
| V | 5 | | | 1 st interview |
| W | 5 | | | 1 st interview |
| X | 5 | | | 1 st interview |
| Y | 5 | | | 1 st interview |

Appendix D: Case Study Interview Protocol

Families—Impacts:

1. How has your family changed since you moved to Ke Aka Ho`ona?
2. From this project, what has benefited your family most?
3. If your family had not been selected for this project, where do you think you would be living and how would you describe the environment in which you would be living?

Families—Relationships:

4. Have you continued your relationships with your relatives since moving to Ke Aka Ho`ona? How often do you see them? Where do you usually get together?
5. How does your family spend time together?

Families—Future Challenges:

6. What do you consider to be the greatest challenges your family will encounter over the next 3 to 5 years?

Children:

7. How are your children's lives like they were before and how are they different?
8. What are their goals and interests?
9. What do your children need most to reach their fullest potential academically and socially?

Community:

10. What do you enjoy most about the Ke Aka Ho`ona community?
11. What are the greatest weaknesses of living in the Waianae area?

Giving Back:

12. What can your family contribute to Ke Aka Ho`ona? To the Waianae area? Can you think of some examples of ways you and your family have been able to “pay back” the community?

Appendix E: Builder Interview Protocol

ORIENTATION TO THE PROCESS AND RATIONALE FOR THE INTERVIEWS

The purpose of our work in studying the Self-Help Housing Program is to provide independent documentation and assessment of the Consuelo Foundation's efforts and achievements in building this community. It is anticipated that the knowledge we gain will be used by the Foundation and other organizations to plan similar projects. Thus, the importance of documenting program progress and lessons learned extends beyond the current context to potential future uses.

The families who have dedicated time and energy to help build houses and the community are vitally important sources of information in documenting program progress. They have made a long-term commitment to the community and therefore are much more than recipients of a service. They are community stakeholders who have assumed responsibility for the community's well-being. They are also experts in the process, since they learned firsthand about this project's successes and problems. You and other builders are thus highly qualified to inform outsiders about the project.

Future projects could benefit from lessons learned in this pioneering venture. Such lessons include especially what practices worked best, which ones didn't work well, what hardships had to be endured, and what obstacles had to be overcome. In short, the residents of Ke Aka Ho'ona are highly knowledgeable witnesses to an innovative, complex community development process.

As researchers and program evaluators, we view you and other builders as valuable partners in our efforts to help others understand this complex and significant project. As a key participant and witness in the process, you can help us develop an accurate and meaningful picture of the project.

We plan to report the results so that the Foundation will have an objective view of the program's strengths and weaknesses and especially what contributed to its success. If this process of documentation and evaluation is conducted thoroughly, then future initiatives will not begin from scratch. Rather, they will benefit from the knowledge and experience of those who have participated in a similar experience.

A. Introduction

1. We appreciate your taking time to speak with us.
2. The purpose of this meeting is to learn about your experience and gather your assessment of issues, strengths, weaknesses, and problems with the program. We also are seeking your recommendations for the future of the program.
3. We would like the discussion to be free flowing.
4. But we do have a few key areas of interest.
 - Selection of builders
 - Construction of homes
 - Development of the community
 - Meaning of the program for children
 - The extent to which the Consuelo values have been accepted and become a part of the community's culture
 - Any other issues you feel are important
5. This exchange is confidential. We will not attribute anything you tell us to you. We will take notes so that we can faithfully report the content of what is learned. Is that okay?
6. We will summarize and report responses given by all the families in your increment. We will release this information only to the Consuelo Foundation.
7. This meeting should last about 50 minutes.
8. The information is vital to our 8-year study of the program.
9. Thank you again.

B. Primary Questions

1. What has this program meant to you and your family? How is your living situation different now from what it was before you entered the program?
2. What do you see as the program's most important strengths?
3. What are the most significant weaknesses?
4. What's the meaning of this program for the children?
5. Are there any other key issues, either negative or positive, that planners of similar initiatives should be aware of and be sure to address? What are they?

C. Specific Issues

Now we would like to obtain your reactions to a number of specific issues. Please refer to the Builder/Homeowners' Topics sheet. Please take a couple of minutes to look over these items.

Now would you comment about each section and about each specific item? If you have nothing of importance to say about an item, just say so and skip to the next one.

Okay? Any questions?

Then let's go ahead.

Builder/Homeowners' Topics

I. Application and Selection of Builders

- A. Publicity regarding opportunity to apply
- B. Selection criteria
- C. Group meetings and home visit
- D. Mortgage application and finances
- E. Notification
- F. Orientation and training
- G. Relations with Consuelo staff
- H. Other

II. Construction of Homes

- A. Work schedule
- B. Construction timetable
- C. Builder responsibilities
- D. Construction quality
- E. Inspections
- F. Contractor performance and qualifications

III. Development of the Community

- A. Community relations
 - 1. Families and builders
 - 2. Foundation
 - 3. Weinberg Village (previously on the Ke Aka Ho`ona site but removed)
 - 4. Schools
 - 5. With the larger Waianae Coast community
- B. Community rules and covenants
- C. Community center
- D. New and potential initiatives and services
 - 1. Homeowners association
 - 2. Neighborhood Watch
- E. Plans and progress regarding the residents' takeover of the community
 - 1. The community center
 - 2. Meetings and communications
 - 3. Upkeep of grounds and facilities

- 4. Enforcement of the covenants and rules
- 5. Maintenance of the core values
- 6. Services and programs for families and children
- 7. Other

IV. Values

- A. Cooperation
- B. Creativity
- C. Cultural sensitivity
- D. Drug-free environment
- E. Empowerment of self and others
- F. Giving back to the greater community
- G. Improvement of quality of life
- H. Nurturance, especially children
- I. Peacefulness
- J. Reciprocity
- K. Spirituality
- L. Working toward excellence

Appendix F: Evaluation Personnel

| Name | Role | Relevant Experience | Period of Involvement |
|--------------------|---------------------------|---|-----------------------|
| Daniel Stufflebeam | principal investigator | program evaluation and evaluation of community development projects in Cleveland, Chicago, and the Philippines | throughout |
| Carl Hanssen | first evaluation manager | political science | 1994-1996 |
| Jerry Horn | second evaluation manager | management of program evaluations | 1996-1999 |
| Arlen Gullickson | third evaluation manager | management of program evaluations; construction expertise | 1999-2002 |
| Sally Veeder | report editor | administrative support expertise; editing | throughout |
| Janet Sumida | first traveling observer | evaluation and measurement expertise; familiarity with Hawaii; had done the traveling observer procedure before (TO experience) | 1994-1997 |
| Caroline Oda | second traveling observer | social work background and familiarity with Hawaii and this particular project; experience with Foundation | 1995-2000 |
| David Hirano | third traveling observer | Hawaii clergyman | 2001-2002 |

| Name | Role | Relevant Experience | Period of Involvement |
|--|------------------------------------|--|------------------------------|
| Doris Segal Matsunaga (Community Health Associates) | goal-free evaluator | social work and evaluation, experience in Waianae, Hawaii resident | 1997-1998 |
| Rachelle Nui Enos (Community Health Associates) | goal-free evaluator | social work and evaluation, experience in Waianae, Hawaii resident | 1997-1998 |
| Malathy Chandrasekhar | graduate assistant | research and computer skills | 1995 |
| Martin Hill | graduate assistant | sociology | 1996-1997 |
| Sandy Taut | graduate assistant | psychology and program evaluation | 1999-2000 |
| Lori Wingate | research and evaluation specialist | evaluation, computer, and reporting skills and experience | 2000-2002 |

Appendix G: Metaevaluation: Evaluators' Attestation of the Evaluation's Adherence to Professional Standards for Program Evaluation

The Joint Committee Program Evaluation Standards were developed for educational program evaluation. However, they have been applied successfully in a diverse array of other fields, such as business, the military, and industry, and in other countries, including Germany, Israel, the Philippines, Australia, and Spain. The 30 Standards are grouped into 4 categories:

- | | |
|--------------|--|
| Utility: | The utility standards are intended to ensure that an evaluation will serve the information needs of intended users. |
| Feasibility: | The feasibility standards are intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal. |
| Propriety: | The propriety standards are intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results. |
| Accuracy: | The accuracy standards are intended to ensure that an evaluation will reveal and convey technically adequate information about the features that determine worth or merit of the program being evaluated. |

Each standard is listed in the following table. Comments about the evaluation relevant to each standard are provided in the second column. The final column indicates whether the standard is judged to be met, partially met, or not met.

This assessment was prepared by Daniel Stufflebeam and Lori Wingate. Our assessment was guided by the Program Evaluations Metaevaluation Checklist, which is available at www.wmich.edu/evalctr/checklists/.

| STANDARD | COMMENTS | JUDGMENT | | | |
|--|--|-----------------|-----------|-----|-----|
| | | Standard was... | | | |
| | | Not Met | Partially | Met | Met |
| U1 Stakeholder Identification Persons involved in or affected by the evaluation should be identified, so that their needs can be addressed. | The evaluation's primary stakeholders are the board and staff of Consuelo Foundation. All evaluation activities and reports clearly identified the Foundation as the stakeholder. Other primary stakeholders were the project's beneficiaries. Their input was systematically obtained and given strong consideration in our presentation of findings. | | | ✓ | |
| U2 Evaluator Credibility The persons conducting the evaluation should be both trustworthy and competent to perform the evaluation, so that the evaluation findings achieve maximum credibility and acceptance. | The Evaluation Center staff are highly qualified and experienced. Extensive information about the Center and its staff is available at <www.wmich.edu/evalctr>. | | | ✓ | |
| U3 Information Scope and Selection Information collected should be broadly selected to address pertinent questions about the program and be responsive to the needs and interests of clients and other specified stakeholders. | Information scope was broad at the beginning of the evaluation. It was narrowed as the evaluation progressed in accordance with what Foundation personnel identified as their priorities and because the Foundation had to reduce its funds for the evaluation. | | | ✓ | |
| U4 Values Identification The perspectives, procedures, and rationale used to interpret the findings should be carefully described, so that the bases for value judgments are clear. | The Foundation's values and the values of the Ke Aka Ho'ona community are noted in each evaluation report and were closely considered in collecting and interpreting information. | | | ✓ | |
| U5 Report Clarity Evaluation reports should clearly describe the program being evaluated, including its context, and the purposes, procedures, and findings of the evaluation, so that essential information is provided and easily understood. | Multiple reports were submitted annually to the Foundation, each focusing on certain evaluation questions and certain methodologies. Formative reports submitted over the 8 years of the evaluation did not always include a description of the project, since reports were directed at audiences familiar with the project. The final report provides a comprehensive description of the project and its context. The evaluation approach and findings are described in detail. | | | ✓ | |
| U6 Report Timeliness and Dissemination Significant interim findings and evaluation reports should be disseminated to intended users, so that they can be used in a timely fashion. | Multiple reports were submitted to the Foundation during each year. Formal reports were supplemented with PowerPoint™ presentations and memos. | | | ✓ | |

| STANDARD | COMMENTS | JUDGMENT | | | |
|---|--|-----------------|-----------|-----|-----|
| | | Standard was... | | | |
| | | Not Met | Partially | Met | Met |
| U7 Evaluation Impact Evaluations should be planned, conducted, and reported in ways that encourage follow-through by stakeholders, so that the likelihood that the evaluation will be used is increased | Multiple reports were submitted annually. Prior to submission of final drafts, feedback sessions were conducted with staff to clarify ambiguities in the report and correct errors. Draft reports were provided to staff about 2 weeks in advance of feedback sessions to allow time for careful review. | | | ✓ | |
| F1 Practical Procedures The evaluation procedures should be practical, to keep disruption to a minimum while needed information is obtained. | The employment of a local Traveling Observer (TO) made the evaluation feasible for the Michigan-based evaluation team. Most project participants were asked to contribute to the evaluation only once, in interviews conducted after completion of construction. A handful of other homeowners participated in case study interviews, which were conducted 3 times over 8 years. | | | ✓ | |
| F2 Political Viability The evaluation should be planned and conducted with anticipation of the different positions of various interest groups, so that their cooperation may be obtained, and so that possible attempts by any of these groups to curtail evaluation operations or to bias or misapply the results can be averted or counteracted. | The evaluation team enjoyed a cooperative, supportive relationship with Foundation staff and project beneficiaries. Politics were not a significant issue in this evaluation. When Foundation board members raised concerns about tape-recording interviews, audio recording was discontinued. | | | ✓ | |
| F3 Cost Effectiveness The evaluation should be efficient and produce information of sufficient value, so that the resources expended can be justified. | The evaluators expended less on the evaluation than was budgeted. When possible, travel to Hawaii was coupled with travel for other projects to reduce costs. When the Foundation requested that evaluation costs be cut, program profiles and environmental analyses were discontinued, in accordance with the Foundation's information priorities. | | | ✓ | |
| P1 Service Orientation Evaluations should be designed to assist organizations to address and effectively serve the needs of the full range of targeted participants. | Reports on interviews with project participants provided the Foundation with insights as to their needs and concerns. We also examined and commented on the matter of the Foundation modifying its plans regarding service to the poorest of the poor. | | | ✓ | |

| STANDARD | COMMENTS | JUDGMENT | | | |
|---|--|-----------------|-----------|-----|-----|
| | | Standard was... | | | |
| | | Not Met | Partially | Met | Met |
| P2 Formal Agreements Obligations of the formal parties to an evaluation (what is to be done, how, by whom, when) should be agreed to in writing, so that these parties are obligated to adhere to all conditions of the agreement or formally to renegotiate it. | Agreements were in the form of negotiated work plans and budgets. | | | ✓ | |
| P3 Rights of Human Subjects Evaluations should be designed and conducted to respect and protect the rights and welfare of human subjects. | Information provided by project participants during interviews was kept confidential (no names attached to the information provided). The plan for case studies to track individual families was changed midstream when it became apparent that the anonymity of respondents could not be guaranteed. | | | ✓ | |
| P4 Human Interactions Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed. | As outlined in the interview protocols, respondents were informed of the purpose and use of the interview information and given opportunities to ask questions. Interview questions focused on the project and its impact on the families. Personal and intrusive questions were avoided. Respondents selected the location for their interviews where they would be most comfortable—their homes or the community center. Tape- recording of interviews was discontinued at the Foundation's direction. Draft reports were prepared and submitted well in advance of report deadlines to allow time for staff review and feedback workshops to help catch and correct inaccuracies and ambiguities. | | | ✓ | |
| P5 Complete and Fair Assessment The evaluation should be complete and fair in its examination and recording of strengths and weaknesses of the program being evaluated, so that strengths can be built upon and problem areas addressed. | Each evaluation report included a discussion of both strengths and weaknesses. Interview respondents were asked to comment on project strengths and weaknesses. We noted our distance from Hawaii and the curtailment of the environmental analysis and program profiles. | | | ✓ | |

| STANDARD | COMMENTS | JUDGMENT | | | |
|---|--|-----------------|-----------|-----|-----|
| | | Standard was... | | | |
| | | Not Met | Partially | Met | Met |
| P6 Disclosure of Findings The formal parties to an evaluation should ensure that the full set of evaluation findings along with pertinent limitations are made accessible to the persons affected by the evaluation and any others with expressed legal rights to receive the results. | All evaluation reports were submitted to the Foundation's board and staff, to be used/disseminated at their discretion. | | ✓ | | |
| P7 Conflict of Interest Conflict of interest should be dealt with openly and honestly, so that it does not compromise the evaluation processes and results. | Three different traveling observers were employed. Two had potential for conflict of interest due to prior association with the project. A TO handbook was employed to help assure that the TO would collect and report the needed information in an unbiased manner. Also, the TO reports were used by the evaluators and not given to the evaluation audience. Thus, the evaluators looked for and did not use information that appeared to reflect the TO's bias. | | | ✓ | |
| P8 Fiscal Responsibility The evaluator's allocation and expenditure of resources should reflect sound accountability procedures and otherwise be prudent and ethically responsible, so that expenditures are accounted for and appropriate. | Expenditure of the evaluation budget had two levels of administration and oversight: The Evaluation Center has its own budget analyst and the University's grants office also oversees the budget. | | | ✓ | |
| A1 Program Documentation The program being evaluated should be described and documented clearly and accurately, so that the program is clearly identified. | Program profiles provided comprehensive documentation of project activities and progress. Annual interviews with new homeowners provided a more detailed picture of the building process for individual increments. Program profiles were discontinued at the Foundation's request in order to reduce evaluation costs. The final report describes how the Foundation redefined its target audience as the project was being developed. | | | ✓ | |
| A2 Context Analysis The context in which the program exists should be examined in enough detail, so that its likely influences on the program can be identified. | An environmental analysis report provided detailed information about the local context in which the project was being conducted. Environmental analysis was discontinued at the Foundation's request in order to reduce evaluation costs. The final report describes in detail the context in which the project operates. | | | ✓ | |

| STANDARD | COMMENTS | JUDGMENT | | | |
|---|---|-----------------|-----------|-----|-----|
| | | Standard was... | | | |
| | | Not Met | Partially | Met | Met |
| A3 Described Purposes and Procedures The purposes and procedures of the evaluation should be monitored and described in enough detail, so that they can be identified and assessed. | Work plans and reports describe the evaluation procedures used and when. Some procedures (program profile and environmental analysis) were discontinued at the Foundation's request. | | | ✓ | |
| A4 Defensible Information Sources The sources of information used in a program evaluation should be described in enough detail, so that the adequacy of the information can be assessed. | A variety of data collection methods and sources were used. Interview protocols were included in annual interview reports, as well as in this technical supplement. An important source of information for this final report was the evaluation director's personal insights and observations, since he participated throughout the 8 year period. | | | ✓ | |
| A5 Valid Information The information-gathering procedures should be chosen or developed and then implemented, so that they will assure that the interpretation arrived at is valid for the intended use. | We used multiple procedures keyed to the CIPP evaluation model. Included were interviews, observations, TOs, goal-free evaluation, case studies, document review, group discussions, and submission of draft reports to identify factual errors. Questions addressed pertained to beneficiary needs, plans, processes, reach to targeted beneficiaries, effects, sustainability, transportability, and costs. | | | ✓ | |
| A6 Reliable Information The information-gathering procedures should be chosen or developed and then implemented, so that they will assure that the information obtained is sufficiently reliable for the intended use. | All findings were reviewed and corrected as needed by the evaluation teams and according to feedback from Foundation staff during feedback sessions. Interviews and observations were conducted by more than one investigator. Information from different sources that pertained to the same questions was cross-checked for consistency. | | | ✓ | |
| A7 Systematic Information The information collected, processed, and reported in an evaluation should be systematically reviewed, and any errors found should be corrected. | The same, or slightly modified, protocols were used each year. There were multiple checks on information, including feedback workshops, review by multiple members of the evaluation team, and review of reports by an editor. | | | ✓ | |
| A8 Analysis of Quantitative Information Quantitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered. | Not applicable | | | | |

| STANDARD | COMMENTS | JUDGMENT | | | |
|---|---|-----------------|-----------|-----|-----|
| | | Standard was... | | | |
| | | Not Met | Partially | Met | Met |
| A9 Analysis of Qualitative Information Qualitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered. | We analyzed and reported project context, inputs, processes, and outcomes separately. We identified and discussed the recurrent themes in interview responses. | | | ✓ | |
| A10 Justified Conclusions The conclusions reached in an evaluation should be explicitly justified, so that stakeholders can assess them. | Conclusions were derived from separately presented findings buttressed with quotes and other supporting information. Findings and conclusions in draft reports are reviewed in feedback workshops with Foundation staff. | | | ✓ | |
| A11 Impartial Reporting Reporting procedures should guard against distortion caused by personal feelings and biases of any party to the evaluation, so that evaluation reports fairly reflect the evaluation findings. | We have an independent perspective. We report the perceptions of stakeholders and our own judgments, which are based on multiple sources of information. Evaluation team members check one another's work. We conduct a feedback workshop prior to completion and submission of final reports. | | | ✓ | |
| A12 Metaevaluation The evaluation itself should be formatively and summatively evaluated against these and other pertinent standards, so that its conduct is appropriately guided and, on completion, stakeholders can closely examine its strengths and weaknesses. | The Program Evaluation Standards guide all work conducted by The Evaluation Center. This assessment is provided to aid other parties in judging the extent to which the Standards were met over the course of the 8-year evaluation. Formal, external formative and summative metaevaluations were not included in the evaluation work plan and budget. | | | ✓ | |

Appendix H: Executive Summary

The Spirit of Consuelo

Evaluation of Ke Aka Ho`ona by the Western Michigan University Evaluation Center

The summative evaluation of Ke Aka Ho`ona describes and critically examines how Consuelo Foundation mounted and conducted an innovative program to address housing and community development needs in one of Hawaii's most depressed and crime-ridden areas, the Waianae Coast on Oahu. The subject self-help housing program engaged and assisted 75 families to build their own houses in a community grounded in positive values for community living.

The program's goals reflect the vision of benefactress Consuelo Zobel Alger:

1. Build an intentional community of low-income working families with children who commit to live in and help sustain a nurturing neighborhood free from violence and substance abuse and devoted to helping others
2. Increase Waianae's supply of affordable housing
3. Develop a sound approach to values-based, self-help housing and community development

At the request of President Patti Lyons, the summative evaluation report is designed for the Foundation's use for program improvement and accountability, for sharing with the program's beneficiaries, and for sharing with outside audiences of the Foundation's choice.

The evaluation is comprised of three distinct reports. Report One focuses on the program's antecedents, including Consuelo Foundation, the program's genesis, and its Waianae context. Report 2 examines the program's implementation, with an overview of the program and more detailed descriptions of its main operations—recruitment and selection, financing, construction, and social services and community development. Report Three—on the program's results—presents the evaluation design, findings, and overall conclusions. In the three reports, we attempted to tell the story of Ke Aka Ho`ona in both words and pictures.

From 1994 through 2001 the evaluation assessed all 8 building increments, examining the program's construction, social support, and community development components. Steps taken to prepare the composite final report included reviewing 7 ½ years' of previous reports, examining Foundation documents, gathering additional information from Foundation staff, and reflecting on our experience with the program.

Ultimately, this program substantially addressed the housing and related needs and directly affected the lives of 75 families, about 390 people, including 155 adults and 235 children.

Through participation in the program, the beneficiaries achieved

- vastly improved living circumstances
- a sense of great accomplishment in constructing the houses
- functional and beautifully landscaped homes
- affordable mortgages and land lease purchase agreements (or, in the case of 6 families, rent-to-own agreements)
- pride of ownership (for 69 families)
- community living guided by explicit values, covenants, and rules
- a community of values-oriented neighbors
- a safe, drug-free environment
- increased knowledge of budgeting
- skills to maintain their houses
- new friendships with the members of their increment, the program staff, and persons in the larger community
- access to a wide range of Foundation services

The community has become a highly supportive environment for children. Family stability is strong, with only one divorce, all children completing their education at the elementary and secondary levels, and only one family having left the community. An area of concern is that there have been eight teenage pregnancies.

The program made only modest progress toward the goal of giving back to and strengthening the broader Waianae community. Also, much work remains in forming a community association and engaging the residents to take over and manage the community.

On balance, the evaluation found the program to have many more substantial strengths than weaknesses. Especially, it was guided and carried through by a cadre of dedicated, effective Foundation officers and staff and hardworking, responsible program participants.

The evaluation also reveals that the program is rich with lessons that can be applied to other community development efforts. Clearly, Consuelo Foundation has demonstrated features and benefits of a learning community guided by systematic evaluation and ongoing efforts to improve. The evaluation report provides the Foundation with an institutional memory it can use to guide future efforts and inform interested parties about the program's approach, procedures, accomplishments, and problems.

Through this program, the Foundation has developed substantial expertise and credibility in the area of values-based, self-help housing. Moreover, this program has essentially transformed the lives of 390 men, women, and children and significantly enhanced the well-being of the 75 participating families. The involved families are a powerful resource for helping to revitalize and improve the Waianae Coast community. Time will reveal whether this potential is successfully employed.

Overall, this program stands as a rich example worthy of consideration by other community developers.

Appendix I:

CIPP EVALUATION MODEL CHECKLIST

A tool for applying the *Fifth Installment of the CIPP Model* to assess long-term enterprises
Intended for use by evaluators and evaluation clients/stakeholders

Daniel L. Stufflebeam

June 2002

The CIPP Evaluation Model is a comprehensive framework for guiding evaluations of programs, projects, personnel, products, institutions, and systems. This checklist, patterned after the CIPP Model, is focused on program evaluations, particularly those aimed at effecting long-term, sustainable improvements.

The checklist especially reflects the eight-year evaluation (1994-2002), conducted by the Western Michigan University Evaluation Center, of Consuelo Foundation's values-based, self-help housing and community development program—named Ke Aka Ho'ona—for low income families in Hawaii. Also, It is generally consistent with a wide range of program evaluations conducted by The Evaluation Center in such areas as science and mathematics education, rural education, educational research and development, achievement testing, state systems of educational accountability, school improvement, professional development schools, transition to work, training and personnel development, welfare reform, nonprofit organization services, community development, community-based youth programs, community foundations, and technology.

Corresponding to the letters in the acronym CIPP, this model's core parts are context, input, process, and product evaluation. In general, these four parts of an evaluation respectively ask, What needs to be done? How should it be done? Is it being done? Did it succeed?

In this checklist, the "Did it succeed?" or product evaluation part is divided into impact, effectiveness, sustainability, and transportability evaluations. Respectively, these four product evaluation subparts ask, Were the right beneficiaries reached? Were their needs met? Were the gains for the beneficiaries sustained? Did the processes that produced the gains prove transportable and adaptable for effective use in other settings?

This checklist represents a *Fifth Installment of the CIPP Model*. The model's first installment—actually before all 4 CIPP parts were introduced— was published more than 35 years ago (Stufflebeam, 1966) and stressed the need for process as well as product evaluations. The second installment—published a year later (Stufflebeam, 1967)—included context, input, process, and product evaluations and emphasized that goal-setting should be guided by context evaluation, including a needs assessment, and that program planning should be guided by input evaluation, including assessments of alternative program strategies. The third installment (Stufflebeam, D. L., Foley, W. J., Guba, E. G., Hammond, R. L., Merriman, H. O., & Provus, M., 1971) set the 4 types of evaluation within a systems, improvement-oriented framework. The model's fourth installment (Stufflebeam, 1972) showed how the model could and should be used for summative as well as formative evaluation. The model's fifth installment—illustrated by this checklist—breaks out product evaluation into the above-noted four subparts in order to help assure and assess a program's long-term viability. (See Stufflebeam, in press-a and -b.)

This checklist is designed to help evaluators evaluate programs with relatively long-term goals. The checklist's first main function is to provide timely evaluation reports that assist groups to plan, carry out, institutionalize, and/or disseminate effective services to targeted beneficiaries. The checklist's other main function is to review and assess a program's history and to issue a summative evaluation report on its merit, worth, and significance and the lessons learned.

This checklist has 10 components. The first—contractual agreements to guide the evaluation—is followed by the context, input, process, impact, effectiveness, sustainability, and transportability evaluation components. The last 2 are metaevaluation and the final synthesis report. Contracting for the evaluation is done at the evaluation's outset, then updated as needed. The 7 CIPP components may be employed selectively and in different sequences and often simultaneously depending on the needs of particular evaluations. Especially, evaluators should take into account any sound evaluation information the clients/stakeholders already have or can get from other sources. CIPP evaluations should complement rather than supplant other defensible evaluations of an entity. Metaevaluation (evaluation of an evaluation) is to be done throughout the evaluation process; evaluators also should encourage and cooperate with independent assessments of their work. At the end of the evaluation, evaluators are advised to give their attestation of the extent to which applicable professional standards were met. This checklist's final component provides concrete advice for compiling the final summative evaluation report, especially by drawing together the formative evaluation reports that were issued throughout the evaluation.

The concept of evaluation underlying the CIPP Model and this checklist is that evaluations should assess and report an entity's merit, worth, and significance and also present lessons learned. Moreover, CIPP evaluations and applications of this checklist should meet the Joint Committee (1994) standards of utility, feasibility, propriety, and accuracy. The model's main theme is that evaluation's most important purpose is not to prove, but to improve.

Timely communication of relevant evaluation findings to the client and right-to-know audiences is another key theme of this checklist. As needed, findings from the different evaluation components should be drawn together and reported periodically, typically once or twice a year. The general process, for each reporting occasion, calls for draft reports to be sent to designated stakeholders about 10 days prior to a feedback workshop.¹ At the workshop the evaluators should use visual aids, e.g., a PowerPoint presentation to brief the client, staff, and other members of the audience. (It is often functional to provide the clients with a copy of the visual aids, so subsequently they can brief members of their boards or other stakeholder groups on the most recent evaluation findings.) Those present at the feedback workshop should be invited to raise questions, discuss the findings, and apply them as they choose. At the workshop's end, the evaluators should summarize the evaluation's planned next steps and future reports; arrange for needed assistance from the client group, especially in data collection; and inquire whether any changes in the data collection and reporting plans and schedule would make future evaluation services more credible and useful. Following the feedback workshop, the evaluators should finalize the evaluation reports, revise the evaluation plan and schedule as appropriate, and transmit to the client and other designated recipients the finalized reports and any revised evaluation plans and schedule.

Beyond guiding the evaluator's work, the checklist gives advice for evaluation users. For each of the 10 evaluation components, the checklist provides checkpoints on the left for evaluators and checkpoints on the right for evaluation clients and other users.

For more information about the CIPP Model, please consult the references and related checklists listed at the end of this checklist.

1. CONTRACTUAL AGREEMENTS

CIPP evaluations should be grounded in explicit advance agreements with the client, and these should be updated as needed throughout the evaluation. (See Daniel Stufflebeam's *Evaluation Contracts Checklist* at www.wmich.edu/evalctr/checklists)

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities—Contracting</i> |
|--|--|
| <input type="checkbox"/> Develop a clear understanding of the evaluation job to be done. | <input type="checkbox"/> Clarify with the evaluator what is to be evaluated, for what purpose, according to what criteria, and for what audiences. |
| <input type="checkbox"/> Secure agreements needed to assure that the right information can be obtained. | <input type="checkbox"/> Clarify with the evaluator what information is essential to the evaluation and how the client group will facilitate its collection. |
| <input type="checkbox"/> Clarify for the client, in general, what quantitative and qualitative analyses will be needed to make a full assessment of the program. | <input type="checkbox"/> Reach agreements with the evaluator on what analyses will be most important in addressing the client group's questions. |
| <input type="checkbox"/> Clarify the nature, general contents, and approximate required timing of the final summative evaluation report. | <input type="checkbox"/> Assure that the planned final report will meet the needs of the evaluation's different audiences. |
| <input type="checkbox"/> Clarify the nature, general contents, and timing of interim, formative evaluation reports and reporting sessions. | <input type="checkbox"/> Assure that the evaluation's reporting plan and schedule are functionally responsive to the needs of the program. |
| <input type="checkbox"/> Reach agreements to protect the integrity of the reporting process. | <input type="checkbox"/> Assure that the reporting process will be legally, politically, and ethically viable. |
| <input type="checkbox"/> Clarify the needed channels for communication and assistance from the client and other stakeholders. | <input type="checkbox"/> Assure that the evaluation plan is consistent with the organization's protocol. |
| <input type="checkbox"/> Secure agreements on the evaluation's time line and who will carry out the evaluation responsibilities. | <input type="checkbox"/> Clarify for all concerned parties the evaluation roles and responsibilities of the client group. |
| <input type="checkbox"/> Secure agreements on the evaluation budget and payment amounts and dates. | <input type="checkbox"/> Assure that budgetary agreements are clear and functionally appropriate for the evaluation's success. |
| <input type="checkbox"/> Clearly define provisions for reviewing, controlling, amending, and/or canceling the evaluation. | <input type="checkbox"/> Assure that the evaluation will be periodically reviewed and, as needed and appropriate, subject to modification and termination. |

2. CONTEXT EVALUATION

Context evaluation assesses needs, assets, and problems within a defined environment.

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities—Program Aims</i> |
|--|--|
| <input type="checkbox"/> Compile and assess background information, especially on the intended beneficiaries' needs and assets. | <input type="checkbox"/> Use the context evaluation findings in selecting and/or clarifying the intended beneficiaries. |
| <input type="checkbox"/> Interview program leaders to review and discuss their perspectives on beneficiaries' needs and to identify any problems (political or otherwise) the program will need to solve. | <input type="checkbox"/> Use the context evaluation findings in reviewing and revising, as appropriate, the program's goals to assure they properly target assessed needs. |
| <input type="checkbox"/> Interview other stakeholders to gain further insight into the needs and assets of intended beneficiaries and potential problems for the program. | <input type="checkbox"/> Use the context evaluation findings in assuring that the program is taking advantage of pertinent community and other assets. |
| <input type="checkbox"/> Assess program goals in light of beneficiaries' assessed needs and potentially useful assets. | <input type="checkbox"/> Use the context evaluation findings—throughout and at the program's end—to help assess the program's effectiveness and significance in meeting beneficiaries' assessed needs. |
| <input type="checkbox"/> Engage an evaluator ² to monitor and record data on the program's environment, including related programs, area resources, area needs and problems, and political dynamics. | |
| <input type="checkbox"/> Request that program staff regularly make available to the evaluation team information they collect on the program's beneficiaries and environment. | |
| <input type="checkbox"/> Annually, or as appropriate, prepare and deliver to the client and agreed-upon stakeholders a draft context evaluation report providing an update on program-related needs, assets, and problems, along with an assessment of the program's goals and priorities. | |
| <input type="checkbox"/> Discuss context evaluation findings in feedback workshops presented about annually to the client and designated audiences. | |
| <input type="checkbox"/> Finalize context evaluation reports and associated visual aids and provide them to the client and agreed-upon stakeholders. ³ | |

3. INPUT EVALUATION

Input evaluation assesses competing strategies and the work plans and budgets of the selected approach.

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities—Program Planning</i> |
|---|--|
| <input type="checkbox"/> Identify and investigate existing programs that could serve as a model for the contemplated program. | <input type="checkbox"/> Use the input evaluation findings to devise a program strategy that is scientifically, economically, socially, politically, and technologically defensible. |
| <input type="checkbox"/> Assess the program's proposed strategy for responsiveness to assessed needs and feasibility. | <input type="checkbox"/> Use the input evaluation findings to assure that the program's strategy is feasible for meeting the assessed needs of the targeted beneficiaries. |
| <input type="checkbox"/> Assess the program's budget for its sufficiency to fund the needed work. | <input type="checkbox"/> Use the input evaluation findings to support funding requests for the planned enterprise. |
| <input type="checkbox"/> Assess the program's strategy against pertinent research and development literature. | <input type="checkbox"/> Use the input evaluation findings to train staff to carry out the program. |
| <input type="checkbox"/> Assess the merit of the program's strategy compared with alternative strategies found in similar programs. | <input type="checkbox"/> Use the input evaluation findings for accountability purposes in reporting the rationale for the selected program strategy and the defensibility of the operational plan. |
| <input type="checkbox"/> Assess the program's work plan and schedule for sufficiency, feasibility, and political viability. | |
| <input type="checkbox"/> Compile a draft input evaluation report and send it to the client and agreed-upon stakeholders. | |
| <input type="checkbox"/> Discuss input evaluation findings in a feedback workshop. | |
| <input type="checkbox"/> Finalize the input evaluation report and associated visual aids and provide them to the client and agreed-upon stakeholders. | |

4. PROCESS EVALUATION

Process evaluations monitor, document, and assess program activities.

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities—Managing and Documenting</i> |
|---|--|
| <input type="checkbox"/> Engage an evaluation team member to monitor, observe, maintain a photographic record of, and provide periodic progress reports on program implementation. | <input type="checkbox"/> Use the process evaluation findings to control and strengthen staff activities. |
| <input type="checkbox"/> In collaboration with the program's staff, maintain a record of program events, problems, costs, and allocations. | <input type="checkbox"/> Use the process evaluation findings to strengthen the program design. |
| <input type="checkbox"/> Periodically interview beneficiaries, program leaders, and staff to obtain their assessments of the program's progress. | <input type="checkbox"/> Use the process evaluation findings to maintain a record of the program's progress. |
| <input type="checkbox"/> Maintain an up-to-date profile of the program. | <input type="checkbox"/> Use the process evaluation findings to help maintain a record of the program's costs. |
| <input type="checkbox"/> Periodically draft written reports on process evaluation findings and provide the draft reports to the client and agreed-upon stakeholders. | <input type="checkbox"/> Use the process evaluation findings to report on the program's progress to the program's financial sponsor, policy board, community members, other developers, etc. |
| <input type="checkbox"/> Present and discuss process evaluation findings in feedback workshops. | |
| <input type="checkbox"/> Finalize each process evaluation report (possibly incorporated into a larger report) and associated visual aids and provide them to the client and agreed-upon stakeholders. | |

5. IMPACT EVALUATION

Impact evaluation assesses a program's reach to the target audience.

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities—Controlling Who Gets Served</i> |
|---|---|
| <input type="checkbox"/> Engage the program's staff and consultants and/or an evaluation team member to maintain a directory of persons and groups served, make notations on their needs, and record program services they received. | <input type="checkbox"/> Use the impact evaluation findings to assure that the program is reaching intended beneficiaries. |
| <input type="checkbox"/> Assess and make a judgment of the extent to which the served individuals and groups are consistent with the program's intended beneficiaries. | <input type="checkbox"/> Use the impact evaluation findings to assess whether the program is reaching or did reach inappropriate beneficiaries. |
| <input type="checkbox"/> Periodically interview area stakeholders, such as community leaders, employers, school and social programs personnel, clergy, police, judges, and homeowners, to learn their perspectives on how the program is influencing the community. | <input type="checkbox"/> Use the impact evaluation findings to judge the extent to which the program is serving or did serve the right beneficiaries. |
| <input type="checkbox"/> Include the obtained information and the evaluator's judgments in a periodically updated program profile. | <input type="checkbox"/> Use the impact evaluation findings to judge the extent to which the program addressed or is addressing important community needs. |
| <input type="checkbox"/> Determine the extent to which the program reached an appropriate group of beneficiaries. | <input type="checkbox"/> Use the impact evaluation findings for accountability purposes regarding the program's success in reaching the intended beneficiaries. |
| <input type="checkbox"/> Assess the extent to which the program inappropriately provided services to a nontargeted group. | |
| <input type="checkbox"/> Draft an impact evaluation report (possibly incorporated into a larger report) and provide it to the client and agreed-upon stakeholders. | |
| <input type="checkbox"/> Discuss impact evaluation findings in a feedback workshop. | |
| <input type="checkbox"/> Finalize the impact evaluation report and associated visual aids and provide them to the client and agreed-upon stakeholders. | |

6. EFFECTIVENESS EVALUATION

Effectiveness evaluation assesses the quality and significance of outcomes.

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities—Assessing/Reporting Outcomes</i> |
|---|---|
| <input type="checkbox"/> Interview key stakeholders, such as community leaders, beneficiaries, program leaders and staff, and other interested parties, to determine their assessments of the program's positive and negative outcomes. | <input type="checkbox"/> Use effectiveness evaluation findings to gauge the program's positive and negative effects on beneficiaries. |
| <input type="checkbox"/> Conduct in-depth case studies of selected beneficiaries. | <input type="checkbox"/> Use the effectiveness evaluation findings to gauge the program's positive and negative effects on the community/pertinent environment. |
| <input type="checkbox"/> Engage an evaluation team member and program staff to supply documentation needed to identify and confirm the range, depth, quality, and significance of the program's effects on beneficiaries. | <input type="checkbox"/> Use the effectiveness evaluation findings to sort out and judge important side effects. |
| <input type="checkbox"/> Engage an evaluation team member to compile and assess information on the program's effects on the community. | <input type="checkbox"/> Use the effectiveness evaluation findings to examine whether program plans and activities need to be changed. |
| <input type="checkbox"/> Engage a goal-free evaluator ⁴ to ascertain what the program actually did and to identify its full range of effects—positive and negative, intended and unintended. | <input type="checkbox"/> Use the effectiveness evaluation findings to prepare and issue program accountability reports. |
| <input type="checkbox"/> Obtain information on the nature, cost, and success of similar programs conducted elsewhere and judge the subject program's effectiveness in contrast to the identified "critical competitors." | <input type="checkbox"/> Use the effectiveness evaluation findings to make a bottom-line assessment of the program's success. |
| <input type="checkbox"/> Obtain information on the nature, cost, and success of similar programs conducted elsewhere and judge the subject program's effectiveness in contrast to the identified "critical competitors." | <input type="checkbox"/> Use needs assessment data (from the context evaluation findings), effectiveness evaluation findings, and contrasts with similar programs elsewhere to make a bottom-line assessment of the program's significance. |
| <input type="checkbox"/> Compile effectiveness evaluation findings in a draft report (that may be incorporated in a larger report) and present it to the client and agreed-upon stakeholders. | |
| <input type="checkbox"/> Discuss effectiveness evaluation findings in a feedback workshop. | |
| <input type="checkbox"/> Finalize the effectiveness evaluation report and present it to the client and agreed-upon stakeholders. | |
| <input type="checkbox"/> Incorporate the effectiveness evaluation findings in an updated program profile and ultimately in the final evaluation report. | |

7. SUSTAINABILITY EVALUATION

Sustainability evaluation assesses the extent to which a program's contributions are successfully institutionalized and continued over time.

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities: Continuing Successful Practices</i> |
|---|---|
| <input type="checkbox"/> Interview program <i>leaders</i> and staff to identify their judgments about what program successes should be sustained. | <input type="checkbox"/> Use the sustainability evaluation findings to determine whether staff and beneficiaries favor program continuation. |
| <input type="checkbox"/> Interview program <i>beneficiaries</i> to identify their judgments about what program successes should be sustained. | <input type="checkbox"/> Use the sustainability findings to assess whether there is a continuing need/demand and compelling case for sustaining the program's services. |
| <input type="checkbox"/> Review the evaluation's data on program effectiveness, program costs, and beneficiary needs to judge what program successes should and can be sustained. | <input type="checkbox"/> Use the sustainability findings as warranted to set goals and plan for continuation activities. |
| <input type="checkbox"/> Interview <i>beneficiaries</i> to identify their understanding and assessment of the program's provisions for continuation. | <input type="checkbox"/> Use the sustainability findings as warranted to help determine how best to assign authority and responsibility for program continuation. |
| <input type="checkbox"/> Obtain and examine plans, budgets, staff assignments, and other relevant information to gauge the likelihood that the program will be sustained. | <input type="checkbox"/> Use the sustainability findings as warranted to help plan and budget continuation activities. |
| <input type="checkbox"/> Periodically revisit the program to assess the extent to which its successes are being sustained. | |
| <input type="checkbox"/> Compile and report sustainability findings in the evaluation's progress and final reports. | |
| <input type="checkbox"/> In a feedback workshop, discuss sustainability findings plus the possible need for a follow-up study to assess long-term results. | |
| <input type="checkbox"/> Finalize the sustainability evaluation report and present it to the client and agreed-upon stakeholders. | |

8. TRANSPORTABILITY EVALUATION

Transportability evaluation assesses the extent to which a program has (or could be) successfully adapted and applied elsewhere.

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities—Dissemination</i> |
|--|--|
| <input type="checkbox"/> Engage the program staff in identifying actual or potential adopters of the program by keeping a log of inquiries, visitors, and adaptations of the program. | <input type="checkbox"/> Use the transportability evaluation findings to assess the need for disseminating information on the program. |
| <input type="checkbox"/> Survey a representative sample of potential adopters. Ask them to (1) review a description of the program and a summary of evaluation findings; (2) judge the program's relevance to their situation; (3) judge the program's quality, significance, and replicability; and (4) report whether they are using or plan to adopt all or parts of the program. | <input type="checkbox"/> Use the transportability evaluation findings to help determine audiences for information on the program. |
| | <input type="checkbox"/> Use the transportability evaluation findings to help determine what information about the program should be disseminated. |
| | <input type="checkbox"/> Use the transportability evaluation findings to gauge how well the program worked elsewhere. |
| <input type="checkbox"/> Visit and assess adaptations of the program. | |
| <input type="checkbox"/> Compile and report transportability evaluation findings in draft reports. | |
| <input type="checkbox"/> Discuss transportability evaluation findings in a feedback workshop. | |
| <input type="checkbox"/> Finalize the transportability evaluation report and associated visual aids and present them to the client and agreed-upon stakeholders. | |

9. META-EVALUATION⁵

Metaevaluation is an assessment of an evaluation's adherence to pertinent standards of sound evaluation (See Stufflebeam, Daniel. *Program Evaluations Metaevaluation Checklist*. www.wmich.edu/evalctr/checklists)

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities–Judgment of the Evaluation</i> |
|--|--|
| <input type="checkbox"/> Reach agreement with the client that the evaluation will be guided and assessed against the Joint Committee Program Evaluation Standards of utility, feasibility, propriety, and accuracy and/or some other mutually agreeable set of evaluation standards or guiding principles. | <input type="checkbox"/> Review the Joint Committee Program Evaluation Standards and reach an agreement with the evaluators that these standards and/or other standards and/or guiding principles will be used to <u>guide and judge the evaluation work</u> . |
| <input type="checkbox"/> Encourage and support the client to obtain an independent assessment of the evaluation plan, process, and/or reports. | <input type="checkbox"/> Consider contracting for an independent assessment of the evaluation. |
| <input type="checkbox"/> Document the evaluation process and findings, so that the evaluation can be rigorously studied and evaluated. | <input type="checkbox"/> Keep a file of information pertinent to judging the evaluation against the agreed-upon evaluation standards and/or guiding principles. |
| <input type="checkbox"/> Steadfastly apply the Joint Committee Standards and/or other set of agreed-upon standards or guiding principles to help assure that the evaluation will be sound and fully accountable. | <input type="checkbox"/> Supply information and otherwise assist as appropriate all legitimate efforts to evaluate the evaluation. |
| <input type="checkbox"/> Periodically use the metaevaluation findings to strengthen the evaluation as appropriate. | <input type="checkbox"/> Raise questions about and take appropriate steps to assure that the evaluation adheres to the agreed-upon standards and/or other standards/guiding principles. |
| <input type="checkbox"/> Assess and provide written commentary on the extent to which the evaluation ultimately met each agreed-upon standard and/or guiding principle, and include the results in the final evaluation report's technical appendix. | <input type="checkbox"/> Take into account metaevaluation results in deciding how best to apply the evaluation findings. |
| | <input type="checkbox"/> Consider appending a statement to the final evaluation report reacting to the evaluation, to the evaluators' attestation of the extent to which standards and/or guiding principles were met, to the results of any independent metaevaluation, and also documenting significant uses of the evaluation findings. |

10. THE FINAL SYNTHESIS REPORT

Final synthesis reports pull together evaluation findings to inform the full range of audiences about what was attempted, done, and accomplished; what lessons were learned; and the bottom-line assessment of the program.

| <i>Evaluator Activities</i> | <i>Client/Stakeholder Activities: Summing Up</i> |
|---|--|
| <input type="checkbox"/> Organize the report to meet the differential needs of different audiences, e.g., provide three reports in one, including program antecedents, program implementation, and program results. | <input type="checkbox"/> Help assure that the planned report contents will appeal to and be usable by the full range of audiences. |
| <input type="checkbox"/> Continuing the example, in the <i>program antecedents</i> report include discrete sections on the organization that sponsored the program, the origin of the program being evaluated, and the program's environment. | <input type="checkbox"/> Help assure that the historical account presented in the <i>program antecedents</i> report is accurate, sufficiently brief, and of interest and use to at least some of the audiences for the overall report. |
| <input type="checkbox"/> In the <i>program implementation</i> report include sections that give detailed accounts of how the main program components were planned, funded, staffed, and carried out such that groups interested in replicating the program could see how they might conduct the various program activities. These sections should be mainly descriptive and evaluative only to the extent of presenting pertinent cautions. | <input type="checkbox"/> Help assure that the account of program implementation is accurate and sufficiently detailed to help others understand and possibly apply the program's procedures (taking into account pertinent cautions). |
| | <input type="checkbox"/> Use the <i>program results</i> report to take stock of what was accomplished, what failures and shortfalls occurred, how the effort compares with similar programs elsewhere, and what lessons should be heeded in future programs. |
| <input type="checkbox"/> In the <i>program results</i> report include sections on the evaluation design, the evaluation findings (divided into <i>context, input, process, impact, effectiveness, sustainability, and transportability</i>), and the evaluation conclusions (divided into <i>strengths, weaknesses, lessons learned, and bottom-line assessment of the program's merit, worth, and significance</i>). Contrast the program's contributions with what was intended, what the beneficiaries needed, what the program cost, and how it compares with similar programs elsewhere. | <input type="checkbox"/> Use the full report as a means of preserving institutional memory of the program and informing interested parties about the enterprise. |
| <input type="checkbox"/> At the end of each of the three reports, include photographs and graphic representations that help retell the report's particular accounts. | |
| <input type="checkbox"/> Supplement the main report contents, throughout, with pithy, pertinent quotations; a prologue recounting how the evaluation was initiated; an epilogue identifying needed further program and evaluation efforts; an executive summary; acknowledgements; information about the evaluators; and technical appendices containing such items as interview protocols, questionnaires, feedback workshop agendas, and an | |

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RELATED CHECKLISTS

(available at www.wmich.edu/evalctr/checklists)

Checklist for Negotiating an Agreement to Evaluate an Educational Program by Robert Stake

Checklist for Developing and Evaluating Evaluation Budgets by Jerry Horn

Evaluation Contracts Checklist by Daniel Stufflebeam

Evaluation Plans and Operations Checklist by Daniel Stufflebeam

Evaluation Values and Criteria Checklist by Daniel Stufflebeam

Feedback Workshop Checklist by Arlen Gullickson & Daniel Stufflebeam

Guiding Principles Checklist by Daniel Stufflebeam

Program Evaluations Metaevaluation Checklist (Based on *The Program Evaluation Standards*) by Daniel Stufflebeam

NOTES

1. The feedback workshops referenced throughout the checklist are a systematic approach by which evaluators present, discuss, and examine findings with client groups. A checklist for planning feedback workshops can be found at www.wmich.edu/evalctr/checklists/.
2. Applications of the CIPP Model have typically included evaluation team members who spend much time at the program site systematically observing and recording pertinent information. Called Traveling Observers when program sites are dispersed or Resident Observers when program activities are all at one location, these evaluators help design and subsequently work from a specially constructed Traveling Observer's Handbook containing prescribed evaluation questions, procedures, forms, and reporting formats. Such handbooks are tailored to the needs of the particular evaluation. While the observers focus heavily on context and process evaluations, they may also collect and report information on program plans, costs, impacts, effectiveness, sustainability, and transportability.
3. Whereas each of the seven evaluation components includes a reporting function, findings from the different components are not necessarily presented in separate reports. Depending on the circumstances of a particular reporting occasion, availability of information from different evaluation components, and the needs and preferences of the audience, information across evaluation components may be combined in one or more composite reports. Especially, process, impact, and effectiveness information are often combined in a single report. The main point is to design and deliver evaluation findings so that the audience's needs are served effectively and efficiently.
4. A goal-free evaluator is a contracted evaluator who, by agreement, is prevented from learning a program's goals and is charged to assess what the program is actually doing and achieving, irrespective of its aims. This technique is powerful for identifying side effects, or unintended outcomes, both positive and negative, also for describing what the program is actually doing, irrespective of its stated procedures.
5. See the RELATED CHECKLISTS section on to identify a number of checklists designed to guide metaevaluations.