

**Draft Report for
Evaluation
of
PEN International's
International Programmes**

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Contact person: Rod MacLeod
Email: rmacleod@intrac.org
Tel: +44 (0) 1865 263043

Executive Summary

1. Introduction

In 2012, the Swedish International Development Agency (SIDA) awarded PEN international a three year grant to support the implementation of its strategic plan. This evaluation was commissioned to assess what has been achieved and to feed into the next stage of PEN International's development. It involved the combination of an on-line questionnaire survey, a literature review and visits to the Philippines, Sierra Leone, Puerto Rico, Central Asia, the PEN International Secretariat and attending the 2014 Annual PEN Congress in Bishkek.

2. The SIDA Programme 2012-14

The programme has been focused on three key areas: rebuilding the organisation, developing the membership worldwide and growing the international voice of PEN. The 13.1 million SEK (£1.22 million) grant was substantially greater than previous funding and was intended to bring about a step change for the organisation.

The programme was slow to get going - just 50% of the budget was spent in 2012. The first tranche of funding was only received in June that year, it took time for new staff to be recruited and get up to speed, while further delays were caused by staff changes through the implementation period. Despite this slow start, progress was made in the second and third years. At least the basis for the desired step change was laid, even if it would be too much to claim that it was completely achieved.

3. Achievements

Important achievements during the programme include the following:

- PEN International was able to develop a strategy for 2012-14, which was felt to have helped it achieve its objectives more effectively. A new strategy for 2015-18 is in draft form to chart the way for PEN to reach the next level.

Centre Development and Projects

- Six new Centres were established during the course of the programme: Myanmar, Delhi, Sierra Leone, Wales Cymru, Honduras and Eritrea in Exile. Others such as Burundi, Mali and Dominican Republic are in the pipeline. A Centres Handbook and Guidelines were produced to help in this process, in addition to direct contacts.
- A number of Centres were revitalised with additional members, renewed leadership and stronger programmes, such as Russia, Argentina and Puerto Rico.
- A system was established for the Beacon Centre and Civil Society Programme. Through this, 13 Centres were assisted as Beacon Centres (some of which also received Civil Society project funding), while another six Centres received Civil Society project funding alone. This same system was also used when additional external funding for Centres was secured from Clifford Chance.
- A wide range of local level projects were supported including: workshops for writers, training for teachers on teaching literature, publications and anthologies, translation of literature, PEN Clubs in Schools, libraries, advocacy to promote literature in education, festival support, a human rights summer school and advocacy on freedom of expression.

Advocacy and Campaigns

- PEN was involved in 20 Universal Periodic Review (UPR submissions), collaborating with various partner organisations. For the first time, PEN was able also to carry out advocacy on recommendations in Geneva and in a sustained way at the local level.
- Global campaigns were carried out on Impunity, Digital Freedom and Cultural and Linguistic Diversity.
- The Writers in Prison work continued as a major part of PEN's freedom of expression work, which involved research to produce the Case List with 900 cases from 84 countries and related advocacy on individuals from the list.

International Secretariat

- A number of new staff were brought in, enhancing the Secretariat's ability to support the Centres and to carry out its international advocacy role more effectively.
- Problems have been clearly identified in relation to the financial management and IT systems. It was expected that there would have been more progress than this and these systems received some of the lowest ratings in the questionnaire survey, but at least there is a plan to address them in the coming months.

4. Outcomes and Impact

It is hard to assess the impact of the programme work supported by SIDA with great accuracy due to the fact that a) much of the work indicated above was only started in the second half of the funding period, which is not enough time to show significant change and b) there is an absence of systematic monitoring and evaluation carried out, including in-depth local project evaluations looking at impact on beneficiaries.

Nevertheless, while somewhat impressionistic, the following was observed:

- The Secretariat is now much better placed to support the organisation in achieving its objectives, particularly with the new leadership and other staff coming on board. The emerging new strategy will help PEN fulfil its potential over the next period.
- There are now more PEN Centres on the ground and PEN Centres, which have been revitalised with the help of support received. Some Centres are now also able to reach further outside the capital city and promote PEN's objectives in the regions too.
- Many Centres are now able to develop, plan, implement and report on projects, which is new to many, since they are frequently not from a traditional NGO background.
- From interviews on the ground, there are children who feel their education has been enhanced and they have greater confidence through their involvement in PEN Clubs (Sierra Leone). There are teachers who feel better equipped to teach literature as a result of the training they have received and resources that have been developed (Philippines, Sierra Leone and Puerto Rico). There are writers who feel they have been assisted and encouraged in writing and getting published (the Philippines, Sierra Leone and Puerto Rico). There are writers in prison who feel their case has been helped through PEN's support (e.g. Ericson Acosta in the Philippines).
- A number of the UPR submissions in which PEN was involved resulted in take up in the subsequent Office of the High Commissioner for Human Rights (OHCHR) report, such as with Vietnam, Eritrea and Ethiopia. Uzbekistan, Mexico and Vietnam had the best take up of free expression concerns and in Mexico this actually translated into federal reforms.
- PEN has defined some clear policy positions around such issues on Digital Freedom and built strategic relations at the UN and with other actors to promote its agenda.

In these terms, the grant resulted in a substantial increase in work and potential impact and as such represents good value for the money invested.

5. Recommendations

General

R1 PEN International needs to professionalise the ways in which it works without compromising its identity as a voluntary organisation of writers.

R2 PEN needs to prioritise activities that reflect its niche as a literary writers' organisation, while considering what other similar organisations are (and are not) doing.

Programme Approaches

R3 The current relatively flexible menu of project options against which local Centres can seek support should be maintained to allow for variations in the local context.

R4 Programme activities carried out by Centres will be more effective with a stronger design process during which desired changes are clearly articulated.

R5 Monitoring and evaluation needs strengthening both at the Centre level and for international advocacy campaigns.

R6 Underlying policy issues should be analysed as part of initial project design and appropriate advocacy strategies should complement practical work.

R7 Follow-up to activities to some one-off events (e.g. teacher training workshops) need to be designed to enhance prospects for lasting change.

International Advocacy and Campaigning

R8 Consider reducing the number of UPR submissions so as to invest more in those which are selected for greater effectiveness.

R9 Consider reducing the number of thematic advocacy issues to be addressed so as to invest more time and effort. Sustained pressure over time is usually needed for successful advocacy work, which is hard to exert if trying to take on too many issues.

R10 Ensure that thorough research is carried out as the basis for international advocacy work with a focus on PEN's particular niche.

R11 Involve more Centres in global freedom of expression campaigns.

R12 The Writers in Prison Case List must be based on robust research (as is now recognised and being addressed).

Secretariat

R13 Financial management needs to be strengthened as a matter of priority.

R14 The IT and data management system also needs to be improved.

R15 Review how the Secretariat staffing numbers and structure can best meet the evolving needs of the organisation.

R16 Plan future geographical priority areas strategically. Developing Africa and revitalising Latin America (which seem to be the current priorities) makes sense.

R17 Coordinate the work between the International Secretariat and other PEN Centres more effectively. This is not just a case of agreeing *where* support should be provided, but also *how* it should be provided, so that everyone is working towards a shared vision.

R18 Work more systematically to develop and share knowledge on good practice. There are many interesting examples of PEN work and approaches, which need wider sharing.

Governance

R19 The respective roles of the International Board and Secretariat need to be kept under review and adjusted accordingly.

R20 The ways in which the PEN International Committees are working needs reviewing.

Centre Development and Support

R21 Centre development should be framed around locally defined priorities. It does not make sense to impose a blue-print for a model that has been defined externally.

R22 PEN Centres should incorporate both the leading renowned writers as well as reaching out to less recognised, emerging writers in a given context.

R23 Adopt different levels of PEN membership to meet the needs of different constituencies such as, Regular Members, Student Members and Friends.

R24 Seek to extend PEN's footprint further to regions outside capital cities.

R25 Grants to Centres should be kept at the current relatively low levels and longer time frames for grants should be considered.

R26 The selection process for grants should more explicitly include an assessment of the Centre's capacity.

R27 Secretariat staff need to travel to Centres they are working with to assess, to gather information for decision making, to provide support and to learn.

R28 Invest in local fundraising rather than making centres dependent on foreign funding.

R29 There needs to be continued emphasis on capacity building as part of Centre development in areas such as: strategic planning, project planning, monitoring and evaluation, advocacy, financial management and fundraising.

R30 Identifying and leveraging strategic relationships with other organisations should also be seen as an intrinsic part of capacity development.

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Abbreviations Used

FCO	Foreign and Commonwealth Office
IACHR	Inter-American Centre for Human Rights
ICORN	International Cities of Refuge Network
IFEX	International Network Promoting Freedom of Expression
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
NGO	Non Governmental Organisation
OAS	Organisation of American States
OHCHR	Office of the High Commissioner for Human Rights
OSCE	Organisation for Security and Cooperation in Europe
RAN	Rapid Action Network
SEK	Swedish Krona
SIDA	Swedish International Development Agency
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UPR	Universal Periodic Review
WiPC	Writers in Prison Committee

1. Introduction

1.1 Background to the Evaluation

In 2012, the Swedish International Development Agency (SIDA) awarded PEN International a three year 13.1 million SEK (£1.22 million) grant to support the implementation of its strategic plan. The programme has been focused on three key areas: rebuilding the organisation, developing the membership worldwide and growing the global voice of PEN.

As PEN draws to the end of this cycle of work, it is looking to enhance the effectiveness of its programme work as well as to strengthen the overall organisation. Accordingly, this evaluation was commissioned to assess what has been achieved over the past three years and to feed into the next stage of PEN International's development.

1.2 Terms of Reference for the Evaluation

According to the Terms of Reference (ToR) (see **Annex A**), the purpose of this evaluation is:

'To assess the impact of SIDA's three year grant in the following areas:

- 1. The extent to which the PEN International Secretariat has been strengthened to effect a step change in its internal capacity through funding for key roles and updating its systems to develop a platform from which it can deliver a step change in its programmes.*
- 2. The extent to which PEN International has enhanced collaborative working (including across teams on center development, policy, programmes and literary work); developed capacity and created new spaces and channels for dialogue and communication amongst its membership through support to its PEN Centers, Beacon centers and standing committees towards the development of a truly global and grassroots network.*
- 3. The extent to which the civil society programme and participating centers have been effective in their chosen activity – literacy, higher education, libraries, community programmes, translation and linguistic rights, and support for human rights defenders*
- 4. The impact of PEN International's advocacy including UN e.g. through the Universal Periodic Review (UPR) - with States both under review and allies in the review process; the UN Commission on the Status of Women; European Bodies (Council of Europe and OSCE), the Inter-American Commission on Human Rights and digital freedom bodies including the Internet Governance Forum.*
- 5. The impact of strategic partnerships and global campaigning on the key thematic issues of the organisation from 2012 – 2014.*
- 6. Verify funds were used effectively and efficiently to deliver results.*
- 7. The evaluation will assess what has been achieved and what has been learned, with a special focus on impact and effectiveness, sustainability and replicability.*
- 8. Make recommendations as to which areas of our work are for set for expansion and at what rated as well as identifying areas which would benefit from continued investment and support to achieve capacity for step change.'*

Scope

It should be noted that the scope of this evaluation is restricted mainly to PEN's international work directly supported by SIDA's grant. There is also a significant amount of international work that falls outside this such as support between PEN Centres (e.g. Norwegian PEN support to Afghanistan, American PEN support to South African PEN). Furthermore, while the Writers in Prison Committee (WiPC) work had historically comprised a large part of the international work of PEN, it did not feature so heavily in the proposal (just 7% of the total budget), so is not covered in great depth here. This WiPC work includes developing the

Case List, follow up on specific individuals on the list and working with the International Cities of Refuge Network (ICORN) to offer persecuted writers a safe haven where they can live and work without fear of being censored or silenced.

Evaluation Audience

The evaluation audience specified in the ToR comprises both PEN International itself as well as the programme funder, SIDA. In an interview with a SIDA representative, it was emphasised how they feel it is important that a partner organisation owns its evaluation process. Hence this evaluation has had a strong focus on learning and improvement as well as accountability. With a new management team in the International Secretariat, this is a particularly appropriate time to take stock and consider the best way forward.

1.3 Structure of Report

This report is structured as follows:

- Methodology.
- PEN International Context and SIDA Programme
- Findings
- Summary of Conclusions and Lessons Learned
- Recommendations

The eight areas of enquiry from the ToR mentioned above have been used to provide the framework within the section on Findings and Recommendations. The order in which they are presented has been changed to allow a more logical flow and there has been an additional heading on Relevance introduced.

At the end of the report (in **Annex E**), some reflections are presented for each of the countries visited.

2. Methodology

2.1 Main Elements of Methodology

The main elements to carry out the Review have been as follows:

- A review of relevant documents (see **Annex B** for list).
- Interviews with key informants (see **Annex C** for details). The evaluation included visits to three PEN Centres: the Philippines, Sierra Leone and Puerto Rico. These countries were selected in consultation with PEN International Secretariat to reflect a cross section of Centres which had been supported using SIDA funds in terms of the range of activities and locations. A second INTRAC consultant attended the Freedom of Expression Summer School, Bishkek in June. During each visit, the consultants held meetings with a range of informants: board members, staff, volunteers, participants and others with an interest in the work of PEN such as government officials, schools and university departments. There were also visits to the International Secretariat in London to meet staff there and some Skype Calls with other key informants (e.g. with SIDA). During these interviews, semi-structured formats were used to ensure that the main points were covered, but allowing flexibility to adapt according to the circumstances and to pursue points of particular interest.
- Attendance at the PEN Annual Congress at Bishkek, Kyrgyzstan. This enabled the evaluator to observe proceedings at the Congress, the subsequent Board Meeting and to have side meetings with participants, who are also listed in **Annex C**.
- An on-line questionnaire was administered using Survey Monkey. (See **Annex D** for questionnaire used and a Summary of Results). There were 55 responses to the

questionnaire including 36 Centres (out of 150 in total), 17 staff from the International Secretariat and 2 elected officials.

- Throughout the process, there were periodic calls with the Secretariat to discuss emerging findings and to set up further meetings or access additional documents.

2.2 Constraints of the Evaluation

The main constraints for this review were as follows:

- It is recognised that the three countries selected for visits were amongst the better examples of those supported by PEN and therefore these may not be entirely representative in terms of the quality of their work. This made sense as it would not have been sensible to travel to countries where there was not so much to observe. However, staff were open in their interviews about where there had been less success and problems were frankly discussed.
- Within PEN, there is currently little experience of evaluation (as with other aspects of the project management cycle). This meant that participants did not always fully understand the process, for example seeing it more as an exercise in auditing or else feeling that they should present information in the most positive possible way. However, once the process had been explained in more depth, there was more willingness to share challenges as well as achievements.
- The lack of monitoring and evaluation means that there is also relatively little already existing documented evidence of achievements and impact. Work on the ground was based on interviews and group meetings insofar as the limited time allowed, but could not be expected to provide a comprehensive picture of impact on beneficiaries.
- On the questionnaires, there was a limited response (24% of the Centres), although these included many of those most aware of the SIDA programme.
- It should be stressed that the evaluation was not intended to be an exercise in detailed financial auditing. Financial issues are addressed here more at the overall management level.

3. PEN International Context and Overview of the Programme

3.1 PEN International Founding and Development

Since PEN was founded in 1921, it has come a long way. PEN prides itself on being one of the world's first non-governmental organisations (NGOs) and claims to be the only international organisation for writers.



During the 2014 Congress in Bishkek, Kyrgyzstan, four more Centres were accepted into the PEN family, making 150 in total around the world (see <http://www.pen-international.org/pen-world-map/> for full list).

During its lifetime, the organisation has attracted many of the world's leading writers and addressed some of the major contemporary issues around writers' freedom of expression such as dissenters within 1930s Germany, the death sentences for Arthur Koestler in Spain and

Wole Soyinka and Ken Saro-Wiwa in Nigeria, the rights of writers in the Soviet Union and the Rushdie Affair. The PEN International Charter has evolved out of this fundamental commitment to freedom of expression and the promotion of literature across national borders (PEN International, 2003).

Historically the organisation was conceived by its founders as a club, that is, an association of people who would meet to discuss their shared interests (Blokh, undated). Writers remain at the centre of PEN to this day and it has not sought to extend its membership to non-writers. But from the beginning, PEN has sought to go beyond what would be widely understood by a club to an organisation with a growing range of programmes requiring planning and management, making it more like an international NGO. This transition has gathered pace in recent years. Until quite recently (the mid 1990s), the Secretariat of PEN in London had been very small with just one or two staff members and a budget of around £300,000 per year. In fact, the Writers in Prison Committee (WiPC) was better resourced and more active programmatically than the organisation's central body. The first Executive Director was only instituted in 2004 and the numbers of specialised staff to support the work of the organisation has grown significantly, in recent years. In 2014, there are 17 staff (full time and part time) and expenditure is expected to be more than £1 million.

The Centres are quite varied in nature, but some of these (e.g. American PEN, English PEN) have similarly grown and recruited professional staff. Others depend more on the voluntary contributions of their boards and wider membership, particularly in the Global South.

These changes have occurred against a background of rising grants from SIDA and other institutional donors towards the work of PEN. Such donors increasingly require clear evidence of change, high quality documentation, professional management and proper accountability. Increased grants and the expansion of the Secretariat clearly provide opportunities for organisational growth and development.

Yet this transition to a more professionalised approach has met with some suspicion internally. There has been an understandable fear of NGO-isation meaning that the essence of PEN as a writers' organisation will be lost. Hence the process of organisational change has been somewhat slower and more tortuous than might have been expected. It was against this background that the current SIDA funding was designed and agreed.

3.2 SIDA Grant 2012-2014

SIDA had supported PEN International with a number of smaller scale grants in for about 10 years preceding the current agreement. However, there was a feeling that PEN was not changing quickly enough and tended to be doing the same things over and over again. Therefore a step change was needed.

To achieve this, the intention was to bring about substantial changes to PEN in line with its three year strategic plan (2012-14).

Objectives Articulated in Current Strategic Plan (2012-14)

1. **Rebuilding the Organisation** . PEN will conduct a full system review and up-date all systems (Financial, Monitoring and Evaluation, IT, Human Resources, Communications etc.) for ensuring that the organisation is robust and that it has a solid platform from which enables them to do the intended step-change.
2. **Developing the Membership** . PEN will create new spaces and channels for membership communication for improving the communication between PEN International and the Centres, between the Centres and with external stakeholders. PEN will revise the committee structures and the consultation processes. Invest in exchanges, fellowships and implement a partner/mentoring program for congress and committee engagement.
3. **Growing the International Voice of PEN** . PEN will develop an integrated Advocacy, Policy and Communication plan, for clarifying key PEN positioning and messages. Expand and coordinate the UN and UPR engagement and work with regional organisations, such as the Council of Europe. PEN will run global campaigns on Impunity, Digital Freedom, Cultural Diversity/Anti-terror. Further PEN intends to formalise the programmatic relationships with International NGOs for being able to act more strategically.

The scale of the SIDA grant was significantly greater than before. In 2011 (i.e. in the year before the current agreement), the £83,374 grant from SIDA represented 11.9% of PEN International's total income of £695,000. However, in 2012, the £452,804 SIDA grant constituted 47.4% of PEN International's total income for the year of £955,484 (International PEN Trustees Report and Accounts for Year Ended 31 December 2012).¹

3.3 Usage of the 2012-2014 SIDA Grant

Progress was initially slow in the usage of the SIDA grant. Although the Agreement indicates that it was to run from January 2012 to December 2014, it was actually signed in April/May 2012 and the first tranche of funding was only received in late June (PEN International, 2013a).

At the time of the original agreement (signed in April/May 2012), PEN had only developed a Resource Framework, which was quite broad and non-specific, but this was subsequently developed (with the assistance of a consultant) into a Results Framework, with specified Activities, Outputs, Outcomes and Performance Indicators against which progress could be reported. The remainder of 2012 was primarily spent on preparatory activities such as reviewing the organisation's systems, designing the Beacon Centre and Civil Society programme, developing a monitoring and evaluation framework and recruiting new staff. Inevitably new staff take a period of time to be recruited, orientated and brought up to speed, so this contributed to further delays. In addition, there were significant staff changes at all levels of the Secretariat during the funding period, including at the most senior levels, which also contributed to delays.

In 2013/14, the focus was more on supporting PEN membership and bringing in new models for centre development, capacity building and management. The intention was that by strengthening capacity of the PEN network, it would enable future scaling up of programme delivery in country. This gradual build-up of activities is reflected in the expenditure figures.

SIDA Programme Budget and Expenditure

Item	2012 £ Budget	2012 Actual	2013 Budget	2013 Actual	2014 Budget
Executive Director	40,000	40,000	40,000	40,000	30,000
Deputy Director, Programmes, Centres, Networks and Policy	50,000	49,447	50,000	23,839	40,000
Programme & Centres Officers	35,000	18,189	35,000	54,140	35,000
Policy Officer (p/t)	13,000	3,129	13,000	26,748	13,000
Executive Assistant	14,000	12,904	14,000	17,715	14,000
Finance Director	10,500	10,500	10,500	10,500	10,500
Finance and Programme Administration	12,000	7,600	12,000	12,815	12,000
Communications	23,000	11,350	23,000	39,795	23,000
International Programmes Delivery (Beacons, Clustering Capacity Building)	177,000	20,958	150,000	108,797	110,000
Travel	22,000	19,271	22,000	22,909	22,000
Freedom of Expression (WiPC)	33,000	35,586	25,000	25,699	25,000
ICT-IT upgrade	22,000	8,238	10,000	6,914	10,000
Website hosting	4,000	-	4,000	-	4,000
Programme Audit	2,000	-	2,000	1,800	2,000

¹ These figures refer to the income for the PEN International Secretariat only. The 150 PEN Centres are independent and have their own accounts.

Less Capital		(7,309)		(6,533)	
Total	457,500	229,642	410,500	385,139	350,500

Sources: PEN International Proposal to SIDA (2012-14) (PEN International, 2013a)
 2012 Report, SIDA and PEN International Partnership 2012-14 (PEN International, 2012c)
 2013 PEN International Financial Report SIDA (PEN International, 2013b)

It can be seen that in 2012, expenditure was only around 50% of the available budget and significantly less than that on the international programmes delivery. Work picked up in 2013 and this trend has continued into 2014.

The process of supporting local Centres required setting up the revised grant making process (with accompanying documentation), making contacts and circulating information, receiving proposals and making selections followed by agreements, transfers and implementation. Again, this has taken time to get fully under way as the table below shows.

Centre Programme Funding

Region	Centre	2012 (£)	2013 (£)	2014 (£)
Africa	Ethiopia			5,000 (CS)
	Ghana		5,000 (CS)	7,000 (BC) 2,222 (CC)
	Guinea		5,000 (CS)	7,000 (BC) 2,222 (CC)
	Kenya		2,340 (CS)	2,222 (CC)
	Malawi		5,000 (CS)	7,000 (BC)
	Nigeria			2,222
	Sierra Leone		9,494 (BC)	5,000 (CS) 2,222 (CC)
	South Africa		3,000 (CS)	5,000 (CS)
	Zambia		8,826 (BC)	4,625 (CS) 2,222 (CC)
Asia	Afghanistan		9,813 (BC)	
	Cambodia		4,500 (CS)	
	Philippines		9,062 (BC)	4,810 (CS)
	Tibet			7,000 (BC)
	Myanmar			5,000 (CS)
	Nepal		4,700 (CS)	
Central Asia & Europe	Central Asia	10,000 (BC)	5,250 (CS)	7,000 (BC)
	Bosnia			7,000 (BC)
Latin America and the Caribbean	Bolivia			2,222 (CC)
	Puerto Rico		5,000 (CS)	7,000 (BC)
	Haiti		9,375 (BC)	5,000 (CS)
	Mexico			2,000 (BC)
Middle East	Lebanon			4,446 (CC)
	Jordan		2,700 (CS)	
	Annual Total	1 country 1 programme	15 countries 15 programmes	19 countries 23 programmes

Source: PEN International (2014), *Programme Funding 2007-14 with Amounts*

BC = Beacon Centre; CS = Civil Society; CC = Clifford Chance (funding from global law firm)

Activities are described in more detail in the relevant sections of the Findings.

4. Findings

The findings of the evaluation are structured around the eight questions posed in the ToR, but re-ordered to make the flow more logical. An additional initial heading has been put in on the relevance of the chosen activities. Corresponding recommendations to the findings are presented in the same order in the final section.

4.1 Relevance of Chosen Programme Focus

The first question to be considered is whether the programme focused on doing the right things. Regardless of what actually happened, were the most important priorities chosen?

The Nature of PEN International

This question cannot be answered without first considering what is (and what should be) the nature of PEN as an organisation. As has been mentioned earlier, PEN has a distinct identity as an international writers' organisation. In other words, it is not just an organisation *working for* writers, but an organisation *comprised of* writers. A fundamental organisational principle is that to become a member and a Board Member of PEN (whether at a local or international level), you must be a recognised writer. This has given PEN a unique character, which has proven to be of great practical value over the past 90 years, providing opportunities to address vital issues from an angle not covered by any other organisation. Indeed, SIDA's decision to enter into a strategic partnership with PEN is based on this perception: that with 150 centres around the world PEN can play a key role in mobilising writers and intellectuals on emerging issues around freedom of expression.



Organisational Themes

There can be little doubt that the continuing struggle for writers' **freedom of expression** remains both relevant and important. Trends vary at different times in different countries: while Myanmar (for example) may have opened up to a degree in recent years, there are increasing restrictions on freedom of expression in (for example) Ethiopia. Authoritarian governments continue to clamp down on dissident writers' voices in many parts of the world (as illustrated by the 84 countries featuring in PEN's Case List), while technological advances, such as digital surveillance, present new ways in which freedom can be restricted. There are few countries which do not have any issues at all around freedom of expression and continuing vigilance is required. Highlighting individual writers in prison (or at risk) on the PEN Case List may affect relatively small numbers, but these few are emblematic and represent deeper issues, going beyond the fates of the individuals concerned. Broader thematic campaigns on pertinent freedom of expression issues, which have increased markedly over this period, also make sense.

However, it is important to take account of the fact that increasing numbers of organisations have entered the field of freedom of expression, which is in itself beneficial, but challenges PEN to be clear about its specific added value. For example, ARTICLE 19, Index on Censorship, Freedom House, Amnesty International, Human Rights Watch and Reporters Without Borders all work on different aspects of freedom of expression (and are mostly fellow members of IFEX – the international network promoting freedom of expression as a human right). When it comes to writers, the target group for many of these organisations tends to be journalists. This is perhaps not surprising as journalists frequently come into conflict with governments if they report on current events in a way seen as too critical. But it does raise

questions over possible duplication and dilution of efforts. It is not easy to separate writers into distinct categories. Many poets, essayists and novelists also work in journalism. However, it is important for PEN continuously to reflect on how it can carve out its niche in relation to others.

In developing the SIDA proposal, some within PEN would feel that the Writers in Prison Committee (and its associated work) did not receive sufficient emphasis and this should certainly be considered and addressed in the next phase.

The other main strand of PEN's work is the ***promotion of literature***. There is more of an open field here. Certainly there are many development organisations working on the more functional aspects of basic education and literacy. Also there are cultural organisations that promote national literatures at the international level such as the Romanian Cultural Institute and organisations with a remit to promote cross-boundary exchanges such as Literature Across Frontiers. But where PEN is distinct is in having its own network of writers' organisations across the world, each indigenous but connected through a shared commitment to the PEN Charter.

The benefits of a vibrant local literature are particularly hard to articulate and measure in terms of quantifiable targets such as human development goals. However, these may be seen in terms of stimulating creative and critical thinking, helping to forge communities of ideas and stimulating the debates on which a dynamic civil society depends. Wellbeing is also enhanced through the satisfaction resulting from act of creation and through reading and discussion. Literature is knowledge for living as one interviewee in the Philippines said. The importance of linguistic diversity and encouraging writers and readers in minority languages links to minority rights in a broader sense.

It is important to reflect on what precisely this means in different contexts. Where, for example, should PEN position itself in contexts of high illiteracy? How should it be distinct from other organisations working on basic education? Again, the answer to this would relate back to PEN's role in focusing on local high quality literature, even if it is linked with basic education to be locally relevant.

Selection of Activities to Support

Having established that freedom of expression and the promotion of literature remain valid overall priorities, there is the question as to what specific activities PEN International should support when working with Centres around the world². In the PEN International Civil Society Programme 2013/14 Guidelines and Full Application Form (PEN International, 2014d), the choices of what programme funding can be used for are quite flexible:

- Education and/or libraries.
- Social inclusion and community access to reading and writing.
- Training and support for human rights defenders of Freedom of Expression.
- Projects, campaigns, events or publications focusing on one or more of the following fields:
 - Writers in Prison or at risk and Freedom of Expression
 - Translation and linguistic rights
 - Women writers
 - Promotion of peace and conflict resolution through literature
 - Digital freedom.

These fall within the two major organisational themes and allow sufficient flexibility for local PEN centres to determine activities that seem most relevant within their local context.

² The call for proposals was sent to 80 PEN Centres. Only those based in countries outside the highest Human Development Index category were eligible for funding.

It is interesting to note that of the 38 proposals received through the two open calls during this SIDA funding period, 28 (74%) were in the field of education and youth programmes. In many countries (e.g. in Africa), it is the promotion of literature that resonates more with local communities. At the same time, some Centres do not feel that freedom of expression is such a local priority and that there are limits as to how far they can challenge their government as shown in the proposals submitted and was apparent through discussion. If PEN Centres are to be strong, they must reflect the priorities of their organisations as well as be relevant to their wider societies. There is nothing wrong with this preference for education and youth work, but it is noticeable that there is something of a divergence of views here with those who see PEN primarily as an organisation focused on freedom of expression. In many ways the two themes complement each other and PEN can work on both, albeit with varying emphases depending on circumstances.

Choice of Activities

Of the four countries visited, they had carried out the following activities supported with SIDA funds through PEN International:

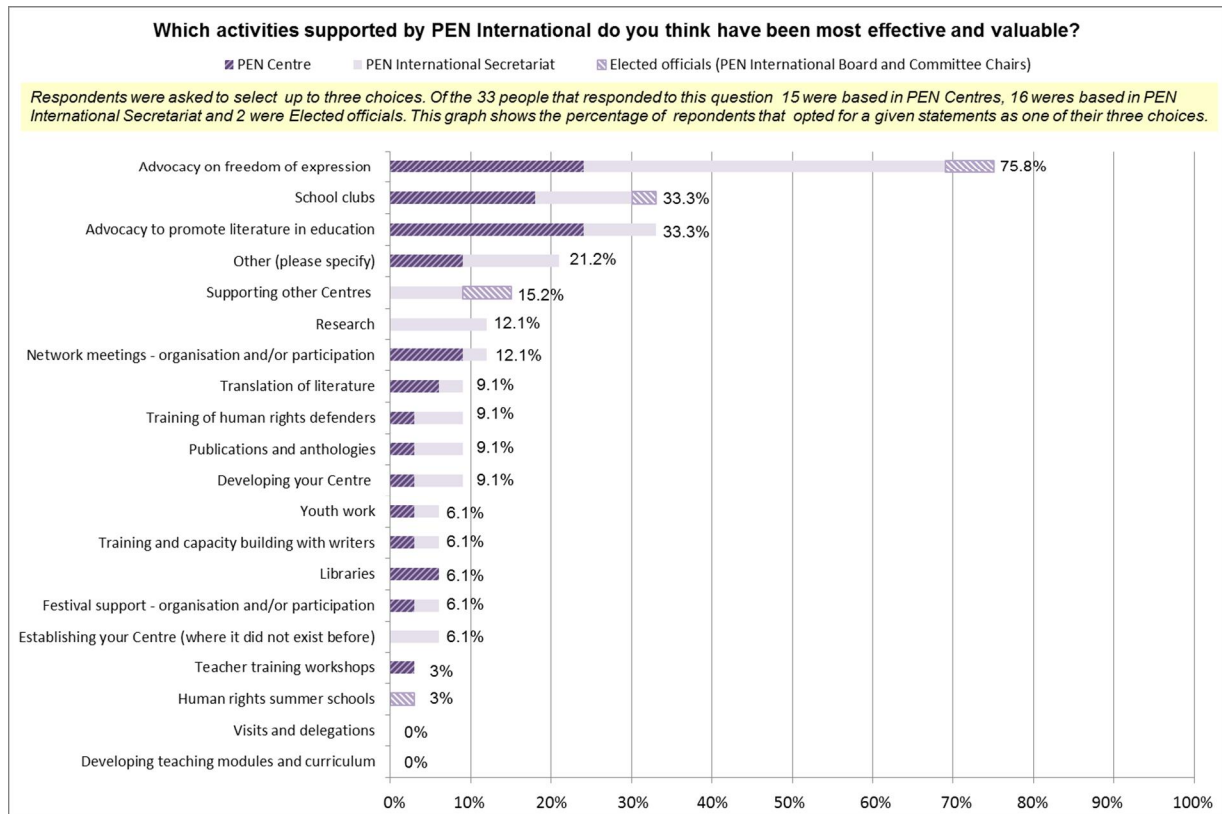
Location	Activities
Central Asia	Central Asian PEN organised its fourth human rights summer school in Kyrgyzstan in July 2014. The programme promoted dialogue to raise awareness on a range of human rights issues including freedom of expression and encourages critical thinking amongst young people.
Philippines	Philippines PEN held a series of teacher training workshops with the aim of promoting Philippine literature. It also produced <i>A Manual for Teaching Philippine Literature</i> and an anthology <i>Peace Mindanao</i> featuring writers from different communities from the conflict affected island.
Puerto Rico	PEN Puerto Rico has run creative writing workshops to bring literature closer to communities and public schools. It has also started a process of establishing five Regional Centres to have presence in all the main regions of the island.
Sierra Leone	PEN Sierra Leone has expanded its programme of school clubs and library development. This is to promote a culture of writing and reading, which had been disrupted by the war.

Source: Beacon Centre Programme (PEN International 2014e)

From the evaluation visits, the selected activities in each context seemed relevant to the local needs and fully owned by the relevant PEN Centres. Clearly, in a situation like Sierra Leone where there is 59% illiteracy according to the United Nations Development Programme (UNDP) and the country is still recovering from conflict, then a programme that looks at the pressing needs of local communities makes sense. On the other hand, where there is greater development and stability as in Puerto Rico, then the promotion of local literature (particularly in Spanish) as a main focus is more relevant. In each case, there are questions to be raised as to the effectiveness of each activity and some additional aspects are suggested in **Annex E**. For some of the countries, freedom of expression was a lower priority, but there does seem scope and benefit to engaging on this (whether locally or joining international campaigns) even if this is not the main focus of their PEN supported programme work.

4.2 Effectiveness of Chosen Activities

There was quite a wide range of activities supported through the grants given to Centres with the support of SIDA. From the Survey carried out as part of the evaluation, when asked to state which three activities were the most effective, those that were chosen most frequently were Advocacy on Freedom of Expression, Advocacy to Promote Literature in Education and School Clubs as shown in the diagram below.



To some extent, these preferences correlate with the number of activities actually supported. In other words, respondents were voting for what the activities with which they are most familiar. In breaking down the responses, it is interesting to note that PEN International Secretariat staff prioritised Advocacy on Freedom of Expression, while the PEN Centres responding gave equal weight to Advocacy to Promote Literature in Education and almost as much to School Clubs.

Each of the above activities could be explored and analysed in great depth as they each have their own complexities³, but for the purposes of this report, some reflections are presented here on what was observed from the country visits. For each of the countries visited, there is a summary of the findings in **Annex E**.

Advocacy on Freedom of Expression

The main freedom of expression witnessed first hand during the evaluation was the Central Asian Freedom of Expression School Programme, held in Bishkek in July 2014 with 19 university students participating in a three day course. This is certainly an interesting approach to promoting freedom of expression in a region where there are many challenges. From what was observed, the lecturers were professional, while the participants were engaged and enthusiastic. In feedback discussions, participants indicated that they had gained a lot of new information and learned about tolerance, respect and conflict resolution. They indicated that they would be passing on what they had learned to their friends and families.

³ One instance where this was done previously was the evaluation of the Sierra Leone PEN School Club Project (Kamara, 2011)

At the same time, it was felt that there are a number of areas in which the workshops could be improved. The workshop sessions could be part of a coherent whole to achieve an overall objective, rather than a series of individual inputs without clear and logical connections. The overall thinking underlying the workshop could be explained at the outset and then used as a basis for evaluating it during and at the end of the process. Towards the end of the workshop, there could be a setting of individual goals as to what participants would do next and a system for longer term follow-up could be established as participants put their plans into practice.

Supporting Writers in Prison

As indicated in the Introduction, there was relatively little emphasis on the Writers in Prison aspect of PEN's work in the original proposal. However, there was a £25-30,000 allocation given each year towards the WiPC work, which essentially went to support the cost of the researchers. The one country visited where this had particular resonance was the Philippines, which has had longstanding freedom of expression issues.



Ericson Acosta is a poet and songwriter, as well as an activist and journalist. He was charged with being a member of the New People's Army (NPA), but had his case dismissed and was released in February 2013 after two years in prison. As part of his incarceration, he described how he was initially held incommunicado and deprived of sleep and medical attention for a while. PEN supported his case (along with a number of other organisations), but it can not be known for sure to what extent this support contributed to his release. He himself feels that it can only have had a positive effect and, in addition, it helped him to deal with his predicament: *It really gave me high morale and optimism*

Another interesting dimension to the WiPC work is the boost can give to Centres which are involved. Puerto Rico was regarded as something of a dormant Centre for a number of years. Part of its process of awakening was described as when it became involved in campaigning on a couple of Writers in Prison cases in other countries. In other words, this work can not only benefit the writers involved, but can also bolster the organisation itself.

School Clubs

Support for School Clubs has been the principal area of support for Sierra Leone PEN. As mentioned earlier, this makes sense in a country with very high illiteracy. One frequently heard comment was that there is a lack of a reading culture . partly due to the war, but also due to the rival attractions of video games and televised football, soap operas and films. The Schools Club approach was initiated in 2004 with five school clubs and has been expanded since. The current funding was given with the intention of supporting an additional 20 School Clubs making 50 in total, most of which are government-assisted secondary schools and many of which are located outside Freetown. Altogether, it was estimated that there are approximately 34 such schools with at least one active teacher on which the whole approach hinges. Teachers that lead the School Clubs receive a small amount of money for attending workshops, but are otherwise not paid, which was said to be a limiting factor. However, to start paying teachers beyond this would raise questions about the sustainability of the model. Other critical success factors are the support of the School Principal and the extent to which schools can be bolstered by regular monitoring visits from PEN, which is limited by the cost of transportation.

From the School Clubs visited in Freetown, Waterloo, Bo and Western Area Rural Area there were some variations in the level of engagement and activity. But in the best cases, there were significant numbers

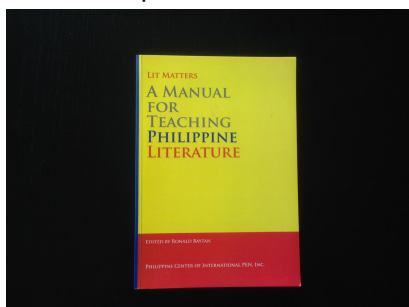


of students involved, writing their own compositions, reading and debating. During meetings, students indicated that they felt that this helped enhance their broader educational, as well as building their self confidence.

An interesting complementary activity of PEN Sierra Leone is the production of local reading books for school age children (of which there are currently very few . most come from other parts of Africa or further afield). This helps promote local writers who are providing the stories as well as providing materials rooted in the local culture.

Advocacy to Promote Literature in Education

Overlapping with the idea of the School Clubs, have been activities to promote the usage of literature in education. A common approach for this on the practical front have been workshops with teachers on how to teach literature (e.g. the Philippines, Puerto Rico). This is in a context where the promotion of literature, particularly local literature, is not considered an educational priority as compared to more functional (and more easily measurable) core subjects. As a consequence, it is frequently the case that teachers themselves do not know how to approach the teaching of literature and students are not encouraged to be creative and develop their critical skills.



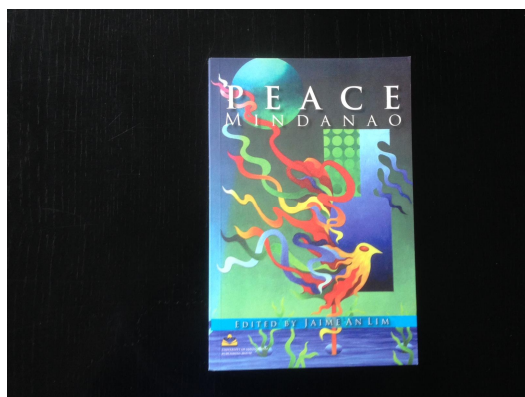
From the countries visited, these workshops seem to have been appreciated by both facilitators and participants, particularly given the lack of emphasis in this area from educational authorities and others. In the case of the Philippines, the workshops have been supplemented by the production of 1,000 copies of a manual, which was the first aimed at promoting local literature. The workshops were carried out by eminent and qualified people in this field. They seem to have taken the form

more of lectures; more participatory learning methods could be explored in the future. Again, as with any form of capacity building, there are questions as to the impact of the workshops and how much follow-up is required after the workshops to ensure that learning does indeed translate into changed practice.

In Sierra Leone, PEN is discussing with the Ministry of Education to produce an expanded series of locally written books for school children in partnership with another CODE, a Canadian NGO which specialises in working in this area. There also seem opportunities to engage with the Ministry of Education in the Philippines, seeking more space for the usage and promotion of local literature within the new national curriculum, as well as securing some Master Teachers in literature. Engagement has not yet started with the education authorities in Puerto Rico, so there is scope for linking practical capacity building of teachers with advocacy here too.

Publications and Anthologies

Writers are always interested in opportunities to get the work published. An interesting example of where this programme was able to support this while also addressing its objectives around translation and peace-building was with the anthology, *Peace Mindanao* in the Philippines. This brought together writers from the different communities on this conflict-affected island, where many people have little understanding of the perspectives of the other. Short stories were translated into English from different local languages and 1,000 copies were printed.



It would have been good to have been able to translate the entire anthology into the local languages too, but the publishers felt that there was insufficient market to make this feasible.

There has been no research done on who has actually read the anthology and what is its impact. The area of reconciliation and peace building is addressed by many other organisations and it would be worth investigating what linkages might be built, so that this useful resource is part of wider efforts in this area.

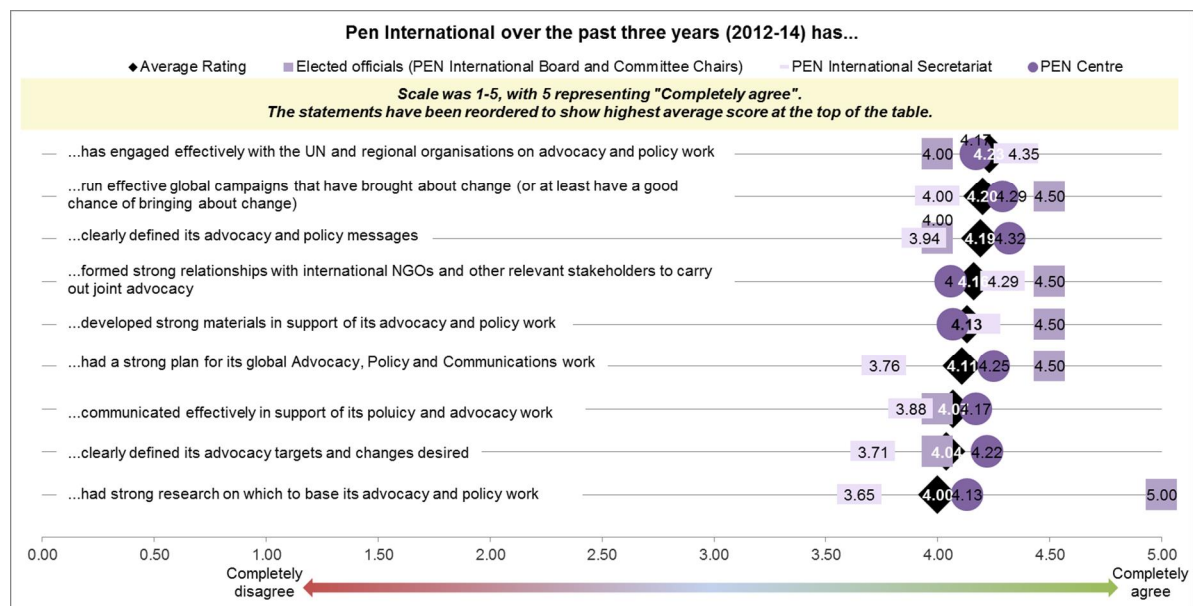
4.3 Impact of International Advocacy

Growing the International Voice of PEN was one of the three objectives of the current strategic plan. The SIDA grant has allowed PEN International to make a significant additional investment in its international advocacy work. As part of this, an International Policy and Advocacy Officer was appointed to work with other staff and the Centres in this area.

PEN's international advocacy work has essentially occurred at two levels. Firstly PEN works on specific countries in the form of submissions for Universal Period Reviews (UPR). This is a mechanism of the UN Human Rights Council that was established in 2006 and periodically examines human rights performance in all 193 UN Member States. Secondly, PEN works at the overall thematic issue level, which is addressed in the next section.

A three year advocacy strategy was elaborated on how to develop relationships to amplify PEN's voice and influence on these three policy positions at the international level.

Overall, the survey carried out as part of this evaluation showed that within PEN at least, it was felt that significant progress had been made in this area. Respondents were asked to score from 1 (completely disagree) to 5 (completely agree) to different statements about PEN.



As can be seen, all the average scores for these questions were over 4 out of 5, which compares well with the assessment of PEN's performance in other areas (see later sections). This high average can be seen across all categories or respondent. The most critical answers were from PEN International Secretariat staff, who gave relatively lower scores for strong research (3.65 average score), having clearly defined advocacy targets and changes desired (3.71), a strong plan for advocacy policy and communications (3.76) and communicating effectively in support of policy and advocacy work (3.88).

UPR Advocacy

Between January 2013 and November 2014, PEN International made 20 submissions on Uzbekistan, Russia, Azerbaijan, Cameroon, Mexico, Nigeria, China, Vietnam, Cambodia, Eritrea, Ethiopia, Nicaragua, Iran, Kazakhstan, Kyrgyzstan, Turkey, Kenya, Honduras, USA and Malawi. The selection process for these was based on the freedom of expression context in that country, PEN's expertise on that country and whether there was a PEN Centre with which to collaborate. For most of the 20 submissions, PEN also collaborated with other organisations such as Article 19, Freedom Now and Index on Censorship. It is felt that joint submissions result in a higher take up of recommendations by the Office of the High Commissioner for Human Rights (OHCHR) and by recommending states. Including local PEN Centres enables primary information from that state to be included in the report. Partnership with International Cities of Refuge Network (ICORN) meant that they could fund writers in exile to come and talk about free expression in their country . a powerful way to convey messages.

Prior to January 2013, PEN International had made submissions to the UPR, but had not carried out advocacy on the recommendations in Geneva or in a sustained way at the local level. It was therefore able to carry out a more thorough approach to UPRs during this period. As well as emailing recommendations, PEN carried out advocacy meetings with 22 permanent missions. PEN International sends all recommendations to PEN Centres who lobby their own foreign offices to push for those recommendations through letters and meetings.

The submissions with the largest take up in the OHCHR report have been Vietnam, Eritrea and Ethiopia. The reason for this is felt to be that the PEN submission was the primary source on free expression information for those countries. The submissions with the largest take-up by permanent missions have been Uzbekistan, Azerbaijan, Cameroon, Vietnam, China, Eritrea, Mexico, Ethiopia and Cambodia. This has been attributed to the priorities of the permanent missions, the free expression situation in that country as compared to other human rights and level of lobbying by civil society and the international media.

The states under review with the best take up of free expression concerns (as opposed to noted/rejected) were Uzbekistan, Mexico and Vietnam. Only in Mexico have these recommendations actually translated into federal reforms (PEN International, 2014j).

It is well recognised that advocacy on such fundamental issues take a long time and, when changes do occur, they are often the result of a combination of factors. Therefore, it is not possible categorically to state that PEN International has brought about major policy changes through its UPR work in the relatively short time that the more intensive approach has been adopted. However, PEN has clearly been able to work more strategically on in its submissions and put more effort into subsequent advocacy, which can only enhance the prospects for success. One question that has been raised for the future is whether it makes sense to work on so many UPR submissions or whether PEN should focus on those with greater prospects for success.

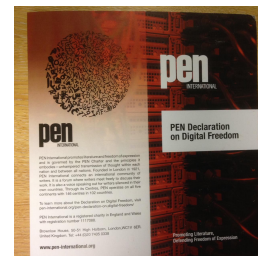
4.4 Impact of Strategic Partnerships and Global Campaigning

The PEN International Strategic Plan 2012-14, (PEN International, 2012b) indicated that there would be different global campaign focus each year:

- 2012 . Impunity
- 2013 . Digital Freedom
- 2014 . Cultural and Linguistic Diversity

In the second half of 2012, the Write Against Impunity Campaign focused on Impunity in Latin America and the Caribbean. An anthology was produced to be used as a campaigning tool for Centres in the region. Over 45 leading authors, journalists and PEN members contributed and it was turned into an e-book in collaboration with IFEX.

PEN International had developed and ratified the 10 point Girona Manifesto on Linguistic Rights in 2011. A programme was developed to advocate around the Girona manifesto, including initiating International Mother Language Day, working with the United Nations Education, Social and Cultural Organisation (UNESCO) for research on minority languages and organising panels on linguistic rights. Work was also done at the national level on, for example, the status of Catalan within Spain.



Digital Freedom was the thematic focus for PEN's work in 2013, which proved a timely choice given the Edward Snowden revelations that emerged about mass surveillance during that year. There was a policy and advocacy programme developed around the PEN International Declaration on Digital Freedom. The Declaration is a four point document which was the result of work from freedom of expression scholars and ratified by PEN's Assembly of Delegates in 2012. It addresses emerging threats to freedom of expression online and categories them under: targeting individuals, privacy, surveillance and business and human rights. The Declaration was translated into 17 languages, a website section was developed and a position was adopted for the Internet Governance Forum in November 2013. PEN International also worked with PEN American Centre and English PEN on their study on surveillance and legal proceedings.

To facilitate its advocacy work, PEN sought to build its influence at the UN: with the Human Rights Council, the High Commissioner for Human Rights, the UN Commission on the Status of Women, UNESCO, the UN Plan of Action on the Safety of Journalists and the UN Internet Governance Forum. PEN also sought to engage more systematically for advocacy purposes with regional institutions such as the Organisation of American States (OAS), the Organisation for Security and Cooperation in Europe (OSCE), the Council of Europe and the Commonwealth Foundation.

This programme has therefore enabled PEN International to scale up its advocacy work and build strategic relationships that will help enable progress. However, the question must again be raised whether, as a relatively small organisation and taking into account the fact that any advocacy work takes a long time, it makes sense to address so many advocacy issues, changing the focus each year.

Writers in Prison Committee Work



As already mentioned, the Writers in Prison Committee work was partially covered by the SIDA grant, but formed a relatively small part of the overall SIDA programme. This is a longstanding area of PEN's work and for many Centres remains a core and emblematic strand in PEN's identity. Some use the Rapid Action Network (RAN) as a key tool to satisfy their members wish to be engaged in freedom of expression work (e.g. Danish PEN).

A central document in this work is the Case List, which features 900 cases from 84 countries. However, the case list is currently not digitalised, so is not easily searched and analysed. With a new WiPC Director, over the past year the approach to developing and using the Case List is being reviewed. A key concern is that the research behind each case highlighted is robust and meets with high quality standards. This may mean a reduction in numbers being brought onto the list, but makes good sense as the credibility of the organisation and its advocacy depends on its research being rock solid. Secondly there will be more emphasis on obtaining consent from writers featured in Case Studies, which can be

a challenge if they are incarcerated and there are few linkages. Thirdly, the way the Case List is used is under review, moving beyond just writing a letter in a traditional fashion to getting coverage in the media and taking advantage of opportunities afforded by social media.

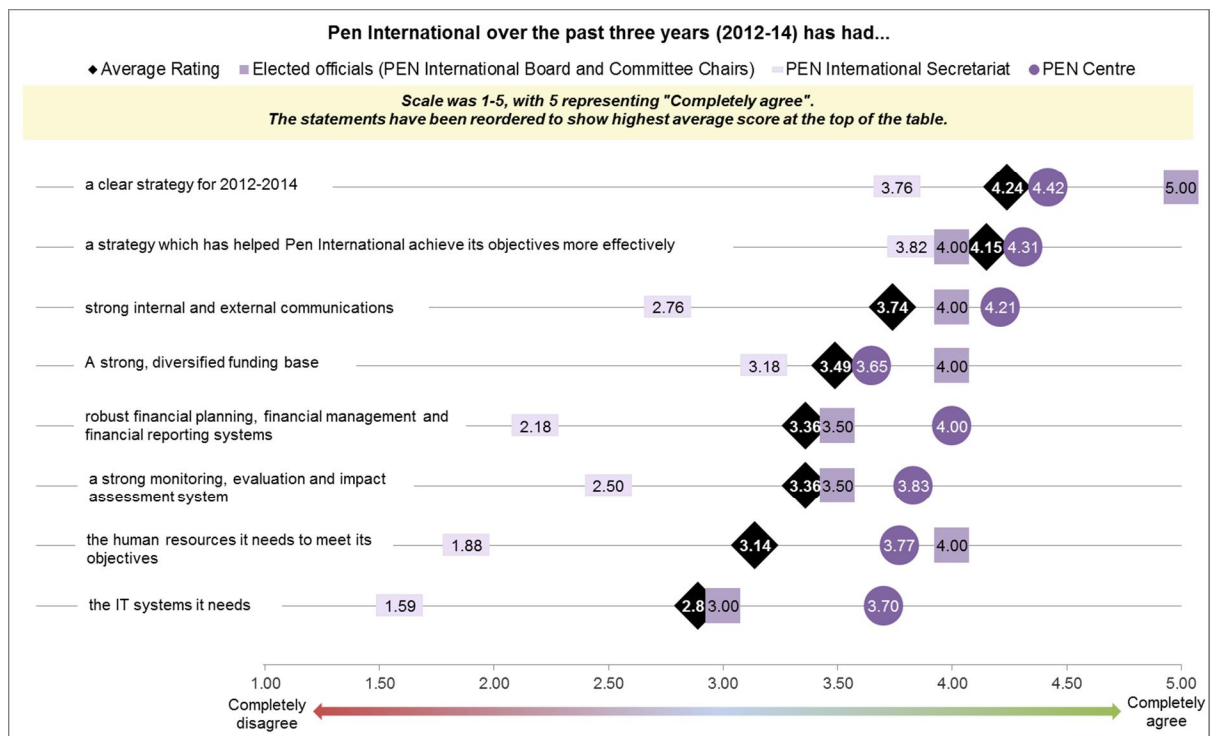
As pointed out when describing the case of Ericson Acosta from the Philippines, even when a profiled writer is released, it is hard to know exactly how much of this can be attributed to the work of PEN. However, such work is also important in terms of how it contributes to the morale of the writer (and their families) and is emblematic in underlining the importance of freedom of expression more generally.

For historic reasons, the WiPC work has sometimes operated in a semi-detached way from the rest of the organisation. Since the team is working with many of the same countries as the expanded programmes teams, it makes sense to explore ways in which the two can be brought closer together and, possibly, integrated.

4.5 PEN International's Internal Capacity

A major intention behind the significantly increased SIDA funding for this grant was to bring about a ~~step change~~ for the organisation itself. ~~Rebuilding the Organisation~~ was one of three objectives set out in the Strategic Plan 2012-14. This section focuses on the Secretariat, while the following section reviews development of the network of Centres.

The idea of an organisation of writers might be considered to be something of a contradiction in terms. Speaking at the 2014 Congress in Bishkek, Yann Martel pointed out that writing is essentially a solitary activity. However, when literature is written, it develops communities of ideas around the themes it develops. In this sense, PEN is the embodiment of shared ideas on freedom of expression and the promotion of literature. The strength of the organisation is intrinsically linked to its composition . writers coming together around a shared objective. But at the same time, this can create challenges in the diversity of views they hold. More specifically, the challenge for PEN over the past few decades is around the extent to which it should professionalise, while retaining what is best about its nature as a writers' organisation. Some fear that PEN's distinct identity is threatened, which is partially why changes have come slowly and sometimes painfully.



The survey shows that there is considerable variation in the different functions of the Secretariat as the end of the current phase approaches. On the positive side, the 2012-14 strategy seemed to mark a clear improvement in the way the organisation sets its future direction. However, there were low scores for the IT system, human resources, financial planning and management and monitoring and evaluation systems. Once again, the average scores for Secretariat staff tended to be even lower, with IT averaging just 1.59, human resources 1.88, financial planning and management 2.18 and monitoring and evaluation 2.50. This points to the fact that much still needs to be done in these areas in the next phase of the programme.

Human Resources

The past 10 years has seen unprecedented development in the International Secretariat. In the past three years of the SIDA funded programme alone, new staff have included: a Communications Officer, a Literary Manager, a Centres and Committees Officer, a Policy and Advocacy Officer and a Programmes Officer. There is no doubt that this has significantly increased the capacity of the Secretariat to deliver on new work as the previous sections on the international programmes and advocacy show. However, as the survey demonstrates there are still considerable pressures on human resources in a number of areas.

While these new appointments have been important (and there seems to be no suggestion that any of the above positions were not needed), there has not been a corresponding increase in the WiPC team. With researchers each being responsible for two regions/continents, this puts a lot of pressure on them. At the same time, now there are more staff linking into the worldwide network of Centres, which potentially leads to duplication of efforts.

In order to provide support to Centres in developing proposals and make informed decisions on what should be supported and how, it is important to have a good knowledge of the local context. Currently Secretariat staff visit the Centres rarely, which makes their task much more difficult. It is understandable that in a situation of limited resources that there is a

reluctance to spend a lot on international travel, but the current limitations seem too constraining.

Board-Secretariat Relationships

When an organisation is essentially comprised of a volunteer Board (and Members), then they are responsible for governance, management and implementation of the work. This remains the case for many PEN Centres, which currently have no paid staff (e.g. Puerto Rico, the Philippines). But as a professional staff body develops and grows, then there are challenges for any organisation in adjusting and determining who is exactly responsible for what: where does governance oversight end and management responsibility begin?

Experience has shown that this question can prove highly destabilising for an organisation. There is no suggestion that PEN has approached this point, but with increased staff and a new management team (and with changes in the Board over the next year), this is an important issue to keep under review. Interestingly English PEN have undergone such a process of self-examination, taking advantage of an external person to help them define the boundaries.

Programme Management and Processes

The period of this SIDA grant (together with other donors like Clifford Chance) has allowed substantially increased grant funding to local Centres. The procedures and formats for this have been defined are relatively straightforward. This is important when many Centres sometimes have very little experience of producing the type of proposals and reports that are routine in the world of INGO-local NGO funding relationships. In the most recent round of funding, the previously separate Civil Society Programme and Beacon Centre/Centre Development Programme were brought together into one application, which makes sense (although the emphasis on developing Centres as well as implementing programmes should be retained). Centres still struggle to define the intended outcomes and impact of their work (as distinct from the outputs) and could benefit for more accompaniment and support when doing this. The criteria for evaluating proposals also seem reasonable, although there could also be a systematic assessment of a Centre's capacity as part of the process.

The timeframe for proposals has been one year up to now, which can be difficult for Centres if they are waiting for fund transfers, dealing with the inevitable start-up delays and so on. It would be easier for their planning and implementation if they could have longer term proposals to work with, particularly when they are better known to the Secretariat and have proven reliable in carrying out their plans.

Monitoring and Evaluation

In general, monitoring and evaluation is not yet woven into the fabric of PEN and it remains challenging for Centres to carry out and for the Secretariat to obtain, despite the production of simple guidelines. In particular, going beyond descriptions of activities is problematic. At the Beacon Centres meeting in Bishkek in September 2014, participating Centres were asked to present their stories of change. In nearly all cases, these comprised a summary of outputs rather than real, substantiated evidence of change in terms of improved freedom of expression and promotion of literature. Overall reports contain some figures on, for example, the number of children benefiting, but without it being clear how this has been reached and in what ways they have benefited. Similarly, for the advocacy work, most of the documentation is focused on what was done, rather than the changes brought about, backed up by evidence.

While there can be little doubt that much strong, effective work has been carried out, it is hard to justify this statement without stronger monitoring and evaluation. The relatively low

average survey score (3.36) shows that this is recognised and must be addressed in the future.

Knowledge Management

Linked to monitoring and evaluation is the issue of knowledge management. What was striking during the evaluation was that three Centres visited were all doing interesting work, but did not necessarily know what was being done by other Centres, which might be applicable in their context. Examples of this are the open mic literary events in a shopping mall in Puerto Rico, the development of local reading books in Sierra Leone and Manual for Teaching Literature in the Philippines. This kind of knowledge can be passed on through documents, via websites, through meetings/workshops and visits from Secretariat staff.



Financial Management

While the evaluation did not include a detailed audit of the financial systems nor examine the books, it was clear from the survey and interviews that this is an area that needs addressing. It is felt by a number of respondents that financial information is produced too slowly and not in a form that managers need. The current system is very detailed, but it is hard to extract the essentials. At the moment, accurate projections over the next six months are lacking, making investment decisions difficult. There also needs to be better invoicing of Centres and sometimes transfers to Centres have been delayed, slowing project implementation.

While there was no evidence of misuse of resources encountered during the evaluation, this is an area in which the systems must inspire complete confidence for both internal and external management and accountability purposes. It is recognised that this is an area that probably should have been addressed sooner, but at least now plans are in hand. Meetings with Senior Managers and Board Members confirmed that they are taking these issues into account in their recruitment of a new Finance Director, which is about to take place and in their plans for the future..

IT and Data Management

The IT system was not examined as part of the evaluation, since it was already being examined separately. But this was the issue which attracted the very lowest score of any in the survey, so this clearly needs attention. The NGO Equalit.ie has now undertaken a comprehensive review of PEN's ICT systems and produced a report with a range of recommendations for strengthening systems and securing data and communications. This is currently under review by staff, the current support company and Clifford Chance. A decision on an upgraded service was imminent at the time of this report being written.

4.6 Capacity Development and Collaborative Working

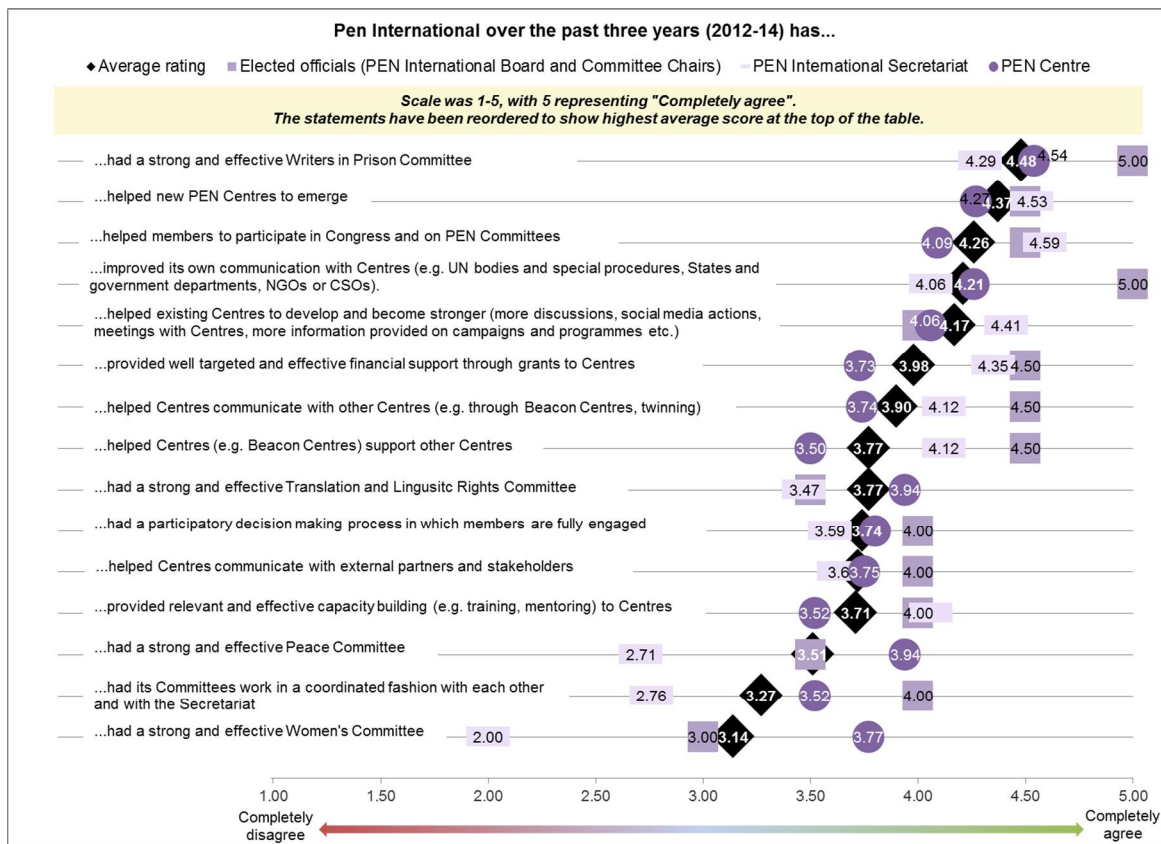
This section examines the work done to develop PEN's wider network, particularly the Centres: Developing the Membership was one of the three objectives articulated in the current strategic plan supported by SIDA.

The Beacon Centre Programme was initially run as a separate fund, later jointly with the Civil Society Programme. Beacon Centre Funding was intended to support Centres in less developed countries; 76 were listed in the 2013/14 Call for proposals, mostly located in Africa, Asia, Latin America and the Caribbean. The aim of the Call was to:

- Support Centres to develop and deliver strengthened civil society programmes.

- Increase Centres capacity and skills in order for Centres to become strong and sustainable NGOs.
- Support Centres in sharing best practices throughout the PEN global network.

The survey showed quite a wide range of responses:



Scoring particularly well was how PEN had helped existing Centres to emerge (4.37 average), how Centres have been helped to develop and become stronger (4.17), communication with Centres (4.21) and supporting Centres to attend Congress (4.26). While the Writers in Prison Committee was seen as particularly strong (4.48), the Women's Committee (3.14) and the Peace Committee (3.51) scored less well, while coordination between committees and with the Secretariat as also seen as relatively weak (3.27) It should be pointed out that the Centres themselves rated the work of the Committees rather better than the Secretariat staff did.

a) Helping New Centres Become Established

A major element was to help establish new Centres and enable them start off on a sound footing. This meant building contacts, encouraging groups of writers to become active, conveying the objectives and opportunities afforded by PEN and assisting with the administrative procedures involved (PEN International, 2014j). The Secretariat developed a Centre Handbook as well as Guidelines for establishing new Centres. During the course of the programme, the following new Centres were established, or had initiated the process:

Year	New Centres
2013	Myanmar and Delhi PEN Centres accepted at Congress
2014	Liberia, Wales Cymru, Honduras and Eritrea in Exile Centres accepted at Congress
2015	Burundi, Mali writers are being supported with the hope that they will be accepted in 2015. Contacts are also continuing with a number of other countries/communities of writers, such as the Dominican Republic.

This represents a significant increase of PEN's network. The International Secretariat worked with nearby centres that have provided a mentoring and supporting role, such as Liberia being mentored by Sierra Leone and Guinea. This seems a sound strategy, which also helps establish horizontal linkages for the future.

b) Revitalising Existing Centres

Not every Centre that exists on paper is necessarily strong and active. Ultimately any organisation is only as strong as the people involved. A previously vibrant Centre can lose members, the leadership can lack drive, younger writers can feel excluded or political considerations can stifle enthusiasm. The cycle of birth, growth, maturity and decline is common for many types of civil society organisation. The question is how to ensure that revitalisation does occur when decline threatens to set in.

During the course of this programme period, there have been some notable examples of Centres which had become moribund receiving a new lease of life, such as Russia, Argentina and Puerto Rico. In all these cases, the leadership was weak, their membership was small and they were not seen as relevant by leading writers in their countries, especially younger and emerging writers. Each case was different as were the remedial actions undertaken. However, what these successful examples had in common was concerted action by the International Board (i.e. senior writers), working together with the Secretariat staff. When addressing a tricky problem of leadership, eminent visiting writers can sometimes open doors which might be closed to staff members. There are real synergies to be achieved when they both work together in this way on a common problem. Another common factor to successful revitalisation processes seems to be bringing in a new generation of writers to re-energise the Centre.

There appear to remain challenges with a number of other Centres that were not visited during the evaluation. For example, Israel has become inactive, Nepal has a small membership and lacks dynamism, Ivory Coast has become dormant, India has not taken root as it should have, while there are questions over how much China is genuinely promoting freedom of expression and is ready to accommodate dissident voices. These and other similar cases will continuously need to be addressed in the future as part of keeping the network strong and healthy.

c) Attracting a Strong Membership

A strong membership is indispensable to an effective PEN Centre. In addition to the issues that PEN works on, an equally important element of PEN's identity is that it is an organisation exclusively made up of writers. This goes back to its origins as a club where English members would entertain foreign writers visiting London with the aim that, as John Galsworthy wrote, "[a]nything that makes for international understanding and peace is to the good..." (Thompson). This idea is just as relevant today, as manifested in the recent meetings between Russian and Ukrainian writers organised by PEN.

Being autonomous, many Centres deal with membership in different ways. But it seems important both to attract the senior, renowned writers in a given context, while also ensuring a regular in-flow of younger, emerging talent. If a Centre is seen as being monopolised by

an aging elite who want to maintain an exclusive club, then newer writers will stay away and there is the danger of stagnation.

There can be interesting generational differences. For example, Philippines PEN has managed to ensure the involvement of most of the country's best known writers, including the prestigious National Artists for Literature. Many of these writers were originally strongly politically motivated (having lived through the Marcos era), whose work lies in the realm of social realism. Meanwhile there is a younger generation of less politicised writers, who are more interested in speculative fiction and do not necessarily see PEN as being for them. Conversely, in Sierra Leone, PEN has been successful in reaching out at the community level through the schools programme, but is seen less as space where the top Sierra Leonean writers meet, share ideas and mentor others. The challenge is to combine both: the senior well-known writers are essential for the credibility and influence of the Centre, while the younger writers are needed to keep the Centre relevant.

d) Leadership

The importance of strong leadership has already been mentioned. The difference it can make was demonstrated in Puerto Rico where, after just three months under new management, the membership has doubled, regional PEN Centres are being opened, exciting new ideas like open-mic sessions in a shopping mall are being developed and ambitious plans for the 2016 Congress are being put into practice. This is underpinned by a dynamic new Board, which is bringing about major changes after decades of relative decline.

In Puerto Rico, as in many other countries which have been supported by the Beacon Centre programme, there are no paid staff, so all the work has to be done by the volunteer leadership and membership. An efficient way to manage this work (and this is apparently also the case in South Africa) is to give each Board Member particular responsibilities depending on their skills (financial, engaging social media etc.) and work plans with specified tasks and timeframes.

e) Capacity Development

Capacity development work with Centres has included: helping them develop their proposals; advice on establishment and governance arrangements; capacity building for writers and publishers, suggestions on how to work on issues like Freedom of Expression campaigns and support for monitoring and evaluation. Since Secretariat staff were not able to travel a great deal, this was either done at meetings for groups of participants or else was done from distance by email and Skype and sometimes with supporting documents, such as the Centres Handbook.

Clearly there has been substantial progress in many of these areas, although in the absence of systematic monitoring, this statement is based on impressions rather than documented evidence. But Centres described how, for example, they had benefited from planning and designing projects for the first time in this way, enabling them better to approach other funding partners in the future.

Of course, there remain many needs for further capacity building of Centres in the future. Financial management needs strengthening in some. While no instances of impropriety were encountered, when managing donor funds, this needs to be particularly robust. Another area which clearly needs more support is that of planning, monitoring and evaluation. If Centres are going to access further donor funds (and also for internal purposes), then project activities need to be conceptualised and planned in terms of changes, not just activities. Monitoring and evaluation then needs to be carried out against these changes on the basis of indicators substantiated by real evidence.

f) Physical Space for a PEN Centre

It is a great advantage to have a suitable space in good location. This was demonstrated in the Philippines, where PEN is lucky enough to be able to use the space above the Solidaridad bookshop (with an excellent selection of books) in Central Manila in a building belonging to the PEN Founder. This has provided a place for literary gatherings, Board meetings and other events and has been a magnet for Filipino and visiting writers (including Nobel Laureates) over the past few decades. If PEN is meant to be providing a forum for writers to meet, debate and share opinions, then suitable facilities can make a great difference. Of course, Philippines PEN is lucky to have this facility and it would not make sense for other PENs to enter into expensive rental agreements, which cannot be sustained without donor funding in the future. But it may be possible to identify organisations or individuals, who are able to provide such facilities at no (or very little) cost.



g) Reaching Out Beyond the Capital City

On the other hand, it is possible for a PEN Centre to become too capital city centred. It is natural in many ways for writers and intellectuals to congregate the capital city. But if the work of PEN is concentrated on only one city, it is missing out on the opportunities and needs in the rest of the country. Periodic one-off workshops are probably only going to have a limited impact unless there is a sustained mechanism for follow-up. One way of addressing this was observed in Sierra Leone, where the 50 selected schools for PEN clubs are in a number of different locations outside as well as inside Freetown.



Another was seen in Puerto Rico, where an agreement for a PEN Centre was being signed during the evaluation with the Mayor of Hormigueros. Present at the meeting were staff from the University, schools, local media and others. This provides the basis for a sustained longer term presence to promote literature and address freedom of expression issues at the local level. Such regional Centres can also play role in supporting work in local languages where relevant. The success of regional Centres depends on attracting and retaining

interested, dynamic members and leadership. Local Centres have started promisingly then foundered where this did not occur.

h) Financial Sustainability

This leads into the question of sustainability. As well as the personnel issues mentioned above, there is the question of financial sustainability. While the International Secretariat and some larger PEN Centres in the Global North (e.g. English Pen, American PEN) have their own staff, many other PEN Centres rely entirely on the voluntary efforts of their membership. Under these circumstances, it is remarkable what many of them manage to achieve with very few financial resources. It is very important that these voluntary efforts are not undermined in the future by developing an over-reliance on international funds. For example, it would not make sense to fund four new staff positions in a Centre where there had previously been none, knowing that the funds to support them would end at some point in the future and there were few prospects for replacing them.

The grants provided by PEN International using SIDA funds have been relatively small scale (by INGO standards), not exceeding £10,000 in any one year to a specific Centre. This is sensible and it is not recommended drastically to increase the scale of such funds, thereby establishing inflated cost structures, which can not be maintained.

At the same time, some Centres have been quite successful in obtaining funds from local sources (e.g. government departments, local wealthy individuals). This is particularly

valuable as these resources are more likely to be sustainable in the longer run and also confer greater legitimacy by rooting the organisation within that context, rather than transplanting it from elsewhere. Entrepreneurial skills and good relationship building are required to attract such money, plus some guidance on how to proceed, which PEN International could facilitate.

i) Coordination with Other Centres

A positive aspect of the PEN network has been the way in which different Centres help each other. This has both been from the Global North to the Global South (e.g. American PEN supporting South African PEN) and between neighbouring countries (e.g. Nicaraguan PEN supporting Honduras). Sometimes these relationships have occurred spontaneously (e.g. through contacts made at Congress or regional meetings); sometimes the International Secretariat has played a more proactive role in twinning.

This seems a very sensible way of working and taking full advantage of the fact that PEN is a genuine international network. Not a body with a headquarters managing a series of vertical relationships as seen with some other international organisations. However, it does seem that in some cases, there are several PEN Centres wishing to become involved (e.g. Myanmar and Turkey), while in others, there is much less support available. This raises questions both over the most effective use of limited resources and also of coordination.

j) Other External Relationships

It is increasingly recognised that for an organisation to achieve its goals, an essential element is the relationships it builds with other external actors. Some of the major external relationships at the international level have already been discussed (ICORN, UN bodies, Regional bodies, IFEX and its constituent members).

At the local level, external relationships are vital too and there were many examples of how PEN Centres have built these to leverage greater impact. For example, in Puerto Rico, agreements have been signed with different institutions to collaborate at both national and local levels. In Sierra Leone, there are some good linkages with the Ministry of Education⁴ and the Canadian NGO CODE collaborating on the production of books for schools. In the Philippines, there are relationships with major Universities with Creative Writing Departments, the media and many others⁵.

But still there are opportunities that are not yet exploited, particularly with institutions which are not necessarily nature bedfellows. For example, the *Peace Mindanao* publication's impact could be enhanced by using it through organisations in the Philippines already working on peace building. In Sierra Leone, there could be stronger links with Fourah Bay College to engage emerging writers at that level too.

4.7 Usage of Funds

Were the SIDA funds used effectively and efficiently to deliver results? The amount of money allocated for this programme by SIDA was very significant for PEN International, constituting nearly 50% of the International Secretariat's income. However, in terms of SIDA's overall aid disbursements, the three year budget of £1.22 million is not exceptionally large.

⁴ The Evaluator was able to meet the Executive Secretary for Basic Education and the Executive Secretary for Tertiary Education at the same time, facilitated by PEN Sierra Leone.

⁵ The Evaluator requested to meet someone who could discuss making local literature more prominent in school curricula, and Philippines PEN was able to set up a meeting with the former Under Secretary for Education who was Curriculum Adviser for the Government the next day.

With this money, despite delays in the early part of the programme funding period, PEN has been able to support the establishment of six new Centres and a number of others are now in the pipeline. PEN has also been able to support 20 PEN Centres, 13 with Beacon Centre funding to strengthen them institutionally, in addition to projects funded through the Civil Society Fund, reaching thousands of children, teachers, community groups and writers.

PEN has also been able to scale up its international advocacy work considerably, strengthening the way in which it has approached and followed up the 20 UPR submissions made during this period. It is now able to take a more strategic approach to its global campaigning work on the major themes it addresses.

Leveraging New Funds

The SIDA grant has not only been important in itself, but has in turn been useful in leveraging grants from other donors, who appreciate ~~matching grants~~ to maximise the impact of their own contributions. For example, Clifford Chance supported a school club programme with a £50,000 grant in the first year in 11 countries, many of which were already supported by a £24,000 allocation from the SIDA grant. UNESCO complemented SIDA funding for research to map minority language publishing in support of PEN's Girona Manifesto. Another example is the Commonwealth Foundation contributing £30,000 (60%) of the cost of a participatory governance project in Africa, with SIDA providing the remaining £20,000 (40%).

Areas Needing Attention

While there has been considerable investment in staff at the Secretariat level, it is clear that in some areas, progress has not been as quickly as expected. For example, the IT system and financial management are not yet fully meeting the needs of a growing organisation. Monitoring and evaluation, both for Centre level work and international advocacy has considerable scope for improvement (making it hard to assess impact, let alone attempt any precise cost-benefit analysis). Some of the PEN Committees do not seem effective enough, or well enough coordinated with each other and the Secretariat.

Conclusion

Nevertheless, both at the Secretariat level and in the wider organisation, there can be no doubt that considerable progress has been made and that the building blocks are now in place to take another step forward on the basis of the new strategy currently being finalised (PEN International, 2014i). As such, SIDA funding has already delivered significant results and the organisation is now well placed to realise its potential more fully in the next phase.

5. Summary of Achievements and Lessons Learned

While the programme was initially slow to get going, substantial progress was made in the second and third years. At least the basis for the desired ~~step change~~ was laid, even if it would be too much to claim that it was completely fulfilled.

Important achievements during the programme include the following:

- PEN International was able to develop a strategy for 2012-14, which was felt to have helped it achieve its objectives more effectively. A new strategy for 2015-18 is in draft form.
- A number of new staff were brought in, enhancing the Secretariat's ability to support the Centres and carry out its international advocacy role more effectively.
- At least the problems have been clearly identified in relation to the financial management and IT systems and there is now a plan to address them in the coming months.

- Six new Centres were established during the course of the programme: Myanmar, Delhi, Sierra Leone, Wales Cymru, Honduras and Eritrea in Exile. Others such as Burundi, Mali and Dominican Republic are in the pipeline. A Centres Handbook and Guidelines were produced to help in this process, in addition to direct contacts.
- A number of Centres were revitalised with additional members, renewed leadership and stronger programmes, such as Russia, Argentina and Puerto Rico.
- A system was set up and put into practice for the Beacon Centre and Civil Society Programme to support local Centres. Through this, 13 Centres were assisted through the Beacon Centres programme (some of which also received Civil Society project funding), while another six Centres received Civil Society project funding alone. This same system could also be used when additional funding for Centres was secured from Clifford Chance.
- A wide range of local level projects were supported including: workshops for writers, training for teachers on teaching literature, publications and anthologies, translation of literature, PEN Clubs in Schools, libraries, advocacy to promote literature in education, festival support, a human rights summer school and advocacy on freedom of expression.
- PEN was involved in 20 UPR submissions, collaborating with a number of organisations. For the first time, PEN was able also to carry out advocacy on recommendations in Geneva and in a sustained way at the local level.
- Global campaigns were carried out on Impunity, Digital Freedom and Cultural and Linguistic Diversity.
- The Writers in Prison work continued as a major part of PEN's freedom of expression work, which involved research to produce the Case List with 900 cases from 84 countries and related advocacy on individuals from the list.

It is hard to assess the impact of the programme work supported by SIDA with great accuracy due to the fact that: a) much of the work indicated above was only started in the second half of the funding period, which is not enough time to show significant change; and b) there is an absence of systematic monitoring and evaluation carried out (including in-depth local project evaluations looking at impact with beneficiaries).

Nevertheless, while somewhat impressionistic, the following has been observed during this evaluation.

- The Secretariat is now much better placed to support the organisation in achieving its objectives, particularly with the new leadership and other staff coming on board. The emerging new strategy will help PEN fulfil its potential over the next period.
- There are now more PEN Centres on the ground and more effective PEN Centres, helped by the programmes inputs. Some Centres are now able to reach further outside the capital city and promote PEN's objectives in the regions too.
- Many Centres are now able to develop, plan, implement and report on projects, which is new to many of them, who are frequently not from a traditional NGO background.
- From interviews on the ground, there are children feel that their education has been enhanced and they have greater confidence through their involvement in PEN Clubs (Sierra Leone). There are teachers who feel better equipped to teach literature as a result of the training they have received and resources that have been developed (Philippines, Sierra Leone and Puerto Rico). There are writers who feel they have been assisted and encouraged in writing and getting published (the Philippines, Sierra Leone and Puerto Rico). There are writers in prison who feel their case has been helped through PEN's support (e.g. Ericson Acosta in the Philippines).
- PEN has defined some clear policy positions around such issues on Digital Freedom and built strategic relations at the UN and with other actors to promote its agenda.
- A number of the UPR submissions in which PEN was involved resulted in take up in the subsequent OHCHR report, such as with Vietnam, Eritrea and Ethiopia. Uzbekistan, Mexico and Vietnam had the best take up of free expression concerns and in Mexico this actually translated into federal reforms.

An example cited by PEN International of how the SIDA grant was able to dovetail with other PEN initiatives to help establish a new Centre and catalyse new areas of work with some encouraging results was Honduras.

Case Study – Honduras

In 2013, a research trip was carried out by PEN Canada and a partner to investigate impunity. A PEN International staff member participated and was able to meet a group of Honduran writers at the same time with a view to setting up a PEN Centre. The resulting report, *Honduras: Journalism in the Shadow of Impunity*, was launched in 2014 with a SIDA contribution (£800) for design, printing and translation.

The report gained PEN a hearing at the Inter-American Centre for Human Rights (IACHR), which resulted in a landmark decision to suspend the 16-month work ban imposed on journalist and founding member of PEN Honduras, Julio Ernesto Alvarado, for alleged defamation of a public official.

SIDA funding was also useful leveraging an additional grant from the UK Foreign and Commonwealth Office (FCO), which was used for training on UPRs, personal and psycho-social training, congress participation. The relationship with the UK Embassy in Guatemala (which oversees Honduras) was in turn helpful in getting the UK to raise concerns in relation to Honduras.

The new Honduras PEN Centre was approved at the 2014 Bishkek Congress. A Honduran writer will participate at the International Poetry Festival in Nicaragua in February 2015.

Source: Honduras Project Trajectory (PEN International, 2014p)

Lessons Learned

The following is a summary of some of the key lessons learned. This by no means seeks to capture everything from the whole evaluation process, but rather to highlight some of the most interesting and important points which emerged.

Some Key Lessons Learned

- PEN still has a unique role to play as the only international writers' organisation. The membership base is an important element of this.
- Necessary improvements in professionalism need to be balanced with protecting the ethos and spirit of the organisation.
- In an increasingly crowded marketplace it is necessary to reflect on what is the specific niche PEN can occupy. Freedom of expression and the promotion of literature remain relevant and complementary as organisational themes. But there needs to be emphasis that PEN is related in particular to literature when defining PEN's role in relation to other writing and human rights advocacy organisations.
- A great deal can be achieved with remarkable few financial resources if the people and the commitment to PEN's Charter are present. PEN carries out more work and achieves greater impact than many organisations which a much higher turnover. The experiences of others show that excessive funding has the potential to undermine and damage organisations.
- Project activities need to be built around the changes they are seeking to achieve. If they do not have the necessary follow-up and address underlying causes (e.g. through advocacy), they are less likely to be effective.
- Advocacy work is hard to carry out effectively if too many issues are addressed simultaneously.
- Unless strong monitoring and evaluation systems are in place, there is less likely to be learning and improvement and it is harder to satisfy donor requirements.
- A healthy Centre manages to incorporate both the leading writers in that country as well as reaching out to younger, emerging talent. There needs to be a continuous process of bringing in new writers to help a Centre remain vibrant. Different types of membership can help achieve this.

- Strong leadership of a Centre is essential. Where Boards are allocated specific tasks, they can be more effective.
- The way a Centre develops and the programmes it carries out need to be locally owned, even if outsiders can add value by suggesting, questioning and challenging.
- Locally secured income can be more sustainable and enhances legitimacy.
- As the organisation grows, this can potentially lead to complications in relationships, such as between the Board and Secretariat. Clarity is needed to avoid confusion and possibly conflict in the future.
- External relationships are vital to leverage greater influence and impact.
- Issues such as financial management and IT need to be addressed more promptly in order to reduce negative impacts on the rest of the programme.

Many of these points are reflected in the recommendations below.

6. Recommendations

The final section contains the recommendations derived from the findings in the previous section. They are presented in the same order as the findings for ease of reference.

Overall

6.1 PEN International needs to professionalise the ways in which it works without compromising its identity. To achieve better results and also to satisfy the donors it needs to attract to ensure continued growth, PEN must improve the ways in which it plans, manages, implements and manages its work for greater impact and sustainability. Progress has been made over the past three years, but in a context where basic project cycle management is still quite new for many Centres, much more needs to be done. However, in doing this, PEN needs to ensure that it does not lose its unique identity as a voluntary organisation of writers, so a balance needs to be struck. A number of the other recommendations flow from this fundamental point.

6.2 PEN needs to prioritise activities that reflect its niche as a literary writers' organisation, while considering what others are (and are not) doing. The promotion of literature should be at the heart of PEN's choices of activities. With freedom of expression, this means prioritising literary writers' freedom of expression and less on journalists, if their issues are being adequately addressed by others. When working on the promotion of literature, this means distinguishing PEN from others working on basic education by supporting local writers and use of indigenous literature in education curricula.

Programme Approaches

6.3 The current relatively flexible menu of project options against which local Centres can seek support should be maintained. It is important to ensure that there is local ownership of project activities, so seeking to impose a particular approach or blue-print from outside would be a mistake. However, choices should be based on a solid analysis of the local situation, prioritisation of how PEN can most contribute bearing in mind its overall thematic priorities and its organisational capacity. Ideally all PEN Centres would be engaging with at least some activities relating to freedom of expression as well as the promotion of literature.

6.4 Programme activities carried out by Centres will be more effective with a stronger design process during which desired changes are more clearly articulated. Many Centres have not really thought about how to carry out project activities at all previously, so the current programme is already helping them in this regard. However, there is still work to be done in thinking through desired changes more clearly and then analysing alternative

strategies to achieve these changes, rather than jumping straight to project activities without due reflection.

6.5 Monitoring and evaluation needs strengthening both at the Centre level and for international advocacy campaigns. Currently reporting is focused primarily on activities and outputs and there is much less on outcomes and impact (change). Strengthening this area is essential both for continuous learning and improvement and for external accountability. It will be hard to maintain and expand donor funding unless robust, documented evidence of change can be provided. Many Centres find this challenging, so they could benefit from accompaniment as they define key indicators and determine means of measurement. It would also be helpful to share examples and case studies, which show change based on evidence, not just assertions. It must be recognised that some areas of PEN's work (e.g. freedom of expression advocacy) are quite hard to measure progress against. But more can be done in assessing intermediate changes as well as ultimate goals and estimating PEN's contribution to these. Since this is a new area for many in PEN, this requires substantial support, possibly including a dedicated Secretariat position.

6.6 Local level advocacy should be strengthened. Much of the current programme work is supporting the promotion of literature through education, but without necessarily addressing the underlying policy issues. Local level practical support such as teacher training should therefore be complemented by advocacy work (as appropriate in the context) to try to ensure that local literature features in the national curriculum for schools, locally produced books are available for students and so on. Underlying policy issues should be analysed as part of initial project design and advocacy strategies should be designed accordingly.

6.7 Follow-up to activities needs to be factored in to increase the prospects for lasting changes. A number of activities such as publications or workshops have essentially been one-off interventions. This is perhaps not surprising in the context of one year project funding. But for these activities to translate into strengthened capacity and then changed behaviour, experience suggests that there needs to be a planned process of accompaniment, support and follow-up after such an event.

International Advocacy and Campaigning

6.8 Consider reducing the number of UPR submissions so as to invest more in those which are selected for greater effectiveness. The current number is quite high and it appears that the impact they make varies significantly. If there were fewer submissions, then it would be possible to work more intensively on those selected. Criteria for selection would be based on the seriousness of the issues, the added value that PEN can bring to the table and the likelihood of success given the context, PEN's capacity and opportunities for collaborating with other institutions.

6.9 Consider reducing the number of thematic advocacy issues to be address so as to invest more time and effort in those selected. The same argument applies to the number of advocacy themes that PEN is seeking to address. For an organisation with a relatively small Secretariat team, it is taking on quite a substantial portfolio of advocacy issues. There is an argument to be made for focusing mainly on one issue over a period of years, clearly defining changes (and intermediary goals) and devoting all the organisations efforts in an area which corresponds closely with the overall organisational goals.

6.10 Ensure that thorough research is carried out as the basis for international advocacy work with a focus on PEN's particular niche. In the Survey, the staff average score (3.65) was rather lower than for other aspects, indicating that this needs some attention. Research can be mined from existing sources, carried out by PEN personnel or else by others (whether contracted or acting in partnership). It must be very solid if it is to stand up to the scrutiny of others, who may hold opposing views to PEN's position.

6.11 Involve more Centres in global freedom of expression campaigns would be beneficial both in terms of supporting those campaigns, but also in giving the sense that a local PEN Centre is part of a broader international movement. Mobilisation of support from around the world in campaigns demonstrates a truly global concern on an issue (and not just pressure from an essentially western entity, which can more easily be dismissed). It also has the potential to strengthen local Centres in underlining that they are part of an international movement.

6.12 The Writers in Prison Case List must be based on robust research. This is a central and historic part of PEN's work, even if it has not formed a major part of the SIDA funded programme. It has already been recognised that all featured cases need to be based on solid evidence and the consent of the person involved. The focus should be literary writers reflecting PEN's niche, who are incarcerated due to their writings and less on journalists if they are being adequately covered by other organisations. The need for robust research of course also applies to other global freedom of expression campaigns. If there are any assertions which cannot be substantiated, this undermines credibility and makes success less likely.

Secretariat

6.13 Financial management needs to be strengthened as a matter of priority. This needs to be extremely tight to give confidence to all stakeholders that resources are being properly utilised. Also timely, accurate financial information in a form that can be easily digested is necessary for effective decision making. This ideally means providing monthly management accounts both at the Centre and Secretariat level. The new Finance Director should have a clear agenda to take up the analysis of current problems and introduce new financial systems as appropriate. The role should include supporting and overseeing financial management in the Centres (e.g. when the Secretariat is providing grants, which are part of a chain of accountability).

6.14 The IT and data management system also needs to be improved. This was the single issue that received the lowest average ratings during the survey, so clearly needs attention. This evaluation did not probe into this as a review has already been carried out.

6.15 Review how the Secretariat staffing numbers and structure can best meet the evolving needs of the organisation. This has been a period of unprecedented growth, but there is still demand for more human resources. Possible areas for expansion include more support for research for the Writers in Prison Committee work, greater capacity to manage grants to Centres, more research capacity for international advocacy and monitoring and evaluation. But of course, resources are limited and not every wish can be accommodated. One possible way to address some of the issues is to consider whether the current structure represents the most suitable use of existing resources. It may make sense, for example, to merge the existing WiPC and International Programme Teams, so that there can be more concentrated staff on specific regions with good knowledge and at least some of the relevant language skills. The experience of restructurings in other organisations show that in solving some perceived problems, they can create others, so the ramifications of any changes should be carefully thought through beforehand.

6.16 Plan future geographical priority areas strategically. While the Secretariat has a duty to support the organisation globally, it makes sense to have particular focus areas at given points. Developing Africa and revitalising Latin America (which seem to be the current priorities) makes sense. Other areas which are currently weak (e.g. MENA, South Asia) may have to be dealt with further down the line. Another factor is the role that can be played in these latter cases by other PEN Centres (see next point).

6.17 Coordinate the work between the International Secretariat and other PEN Centres more effectively. It is major advantage of the network that Centres in the Global North as well as neighbouring Centres are there to support new and emerging Centres in the Global

South. However, it is better if relationships are coordinated so that inputs are deployed where there is the greatest need, rather than having some Centres linked with several mentors, while others receive comparatively little support. This is not just a case of agreeing *where* support should be provided, but also *how* it should be provided, so that everyone is working towards a shared vision.

6.18 Work more systematically to develop and share knowledge on good practice.

There is much good practice and experience throughout the PEN network, but many do not know about it. Therefore, lessons need to be captured and then disseminated in forms that people find easy to digest and use. The Secretariat can play a role here in its privileged position where it is in contact with many Centres around the world. Other ways to pass on ideas include: working with local Centres to produce pithy change stories, producing short videos to be posted on the website and including peer Centre members in programme review processes.

Governance

6.19 The respective roles of the International Board and Secretariat need to be kept under review and adjusted accordingly. As the Secretariat has grown and taken on more staff, it now does some of the things previously carried out by board members. To ensure that roles are clear and relationships remain strong, it is important to re-examine and define respective responsibilities periodically. A key question here is who is best placed to do what and has the time and capacity to do it effectively. Where there are areas of overlap (and potential confusion), how can this be managed? Linked to this, a review of the state of relations should be carried out once a year and adjustments made as appropriate.

6.20 The ways in which the PEN International Committees are working needs to be reviewed. The surveys showed that there is some concern about the effectiveness of some of the PEN Committees, particularly the Women's and Peace Committees and also how they coordinate with each other and the Secretariat. In some ways, it could be argued that such committees are an inevitable part of being a membership organisation, which has many other benefits. But in terms of the international programme, it was not clear to see how some of their deliberations are related to PEN's core mission (e.g. general resolutions for peace or against climate change) or feed into plans, which are well-thought through and result in effective subsequent actions. The WiPC Committee is much better regarded and there may be lessons there as to how its experience can revitalise the others.

Centre Development and Support

6.21 Centre development should be framed around locally defined priorities. The directions a Centre takes should be based on locally defined needs rather than imposed from outside. Of course, any Centre, to be accepted by the organisation as a whole needs to be committed to the PEN charter and meet minimum standards. But within this, the approaches it takes need to be informed by the local context and what is likely to work. Of course, there is always scope for outsiders to raise questions, challenge and make suggestions. That is all part of a healthy dialogue between partners. But it does not make sense to impose a blueprint for a model or ways of working that have been defined externally.

6.22 PEN Centres should incorporate both the leading writers as well as reaching out to emerging writers at the grassroots level. For credibility and profile, a PEN Centre should try to ensure that the most prominent writers in that context are members/engaged and see PEN as a forum where they meet, share ideas, discuss. But at the same time, a PEN Centre should seek ways to reach out to younger writers who are not well known, but represent the future and the changing nature of the local literary scene and can keep the PEN Centre vibrant. There are possible synergies here too: senior writers can then support more junior writers through mentoring relationships and other forms of engagement.

6.23 Adopt different levels of PEN membership to meet the needs of different constituencies. Linking to the above point, some Centres already have different categories

of membership. For example, Puerto Rico has introduced four categories: Regular Members, Graduate Students, Undergraduates and Friends with varying publishing requirements, membership fees and benefits. In doing so, it has doubled its membership over the past three months. Examples of different structures can be shared for local Centres to decide what best suits them.

6.24 Seek to extend PEN's footprint to regions outside the capital city. There can be a tendency for a writers' organisation to be too concentrated on the capital city, where the universities, publishers and media are located. But PEN will have limited reach if it just works at this level and fails to engage with the wider population. To have an impact in a local region probably requires a sustained presence, not just occasional workshops. Examples from Sierra Leone and Puerto Rico show different ways of achieving this and there are many for other countries too, which could be shared and promoted.

6.25 Grants to Centres should be kept at relatively low levels, as has been the case to date and longer time frames should be considered. The temptation can be, as more funding resources become available, to increase the size of transfers. Examples from other NGOs (e.g. following major disasters when available funds can suddenly multiply) show that this can be detrimental and ultimately undermine local self-reliance. An impressive aspect of PEN's work is how much can be achieved small amounts of money backed by a strong voluntary ethos and this should be preserved. If a Centre had previously had no staff positions, and an outside donor, for example, funds four new staff for a period of three years, this can present real challenges when that funding ends, by which time the Board may have stepped back from its voluntary role⁶. While grants should not become too large, it would be helpful if some of them could be for a longer time duration to allow Centres to plan and work more strategically with fewer interruptions. For those Centres which have proven to be reliable, 2-3 year grants would be appropriate, rather than having to re-apply each year.

6.26 The selection process for grants should more explicitly include an assessment of the Centre's capacity. Overall the forms used seem well structured and not too complicated. But as part of the decision making criteria, it would be useful to assess whether a Centre has the ability to utilise grants effectively. An adaptation of the BOND organisational health check could be useful for this and also to help determine future capacity development interventions.

6.27 Secretariat staff need to travel to Centres they are working with to assess, gather information for decision making, provide support and learn. Currently there is very little travel by Secretariat staff to the Centres they are supposed to be supporting. This is understandable in view of limited resources, but restricts their ability to provide support in the most appropriate ways. Each Centre is different and has its own nuances and complexities, which need to be factored in, so more travel would be beneficial.

6.28 Invest in local fundraising. Rather than focusing solely on increasing international funding to be passed through the Secretariat, locally generated resources are more likely to be sustainable and makes the local PEN more rooted (and hence legitimate) in that society. Some Centres already generate substantial local income from sources such as government departments, local government, wealthy individuals, foundations and corporations. The opportunities for this would be greater in some countries than others, and funding targets and approaches need to be tailored accordingly. For capacity building in this area, it would be preferable to go beyond one-off workshops on fundraising to a more sustained process of support over time (possibly coaching over Skype), accompanying Centres as they put fundraising plans into practice. One or more Board Members could be selected and tasked to work on mobilising resources, as it does require specific skills and the right personality.

⁶ But one area where paying full or part-time staff may be considered more favourably is with respect to financial management if the necessary skills are not available on a voluntary basis.

6.29 There needs to be continued emphasis on capacity building as part of Centre development. Already mentioned widespread capacity needs include strategic planning, project planning, monitoring and evaluation, advocacy, financial management and fundraising. Of course, needs and priorities vary, so there needs to be some identification of needs through correspondence, visits and self-assessment. Already there has been good practice in capacity building through meetings, workshops, visits by PEN staff/writers and the provision of written resources. Future capacity building work should develop this further, exploring the use of local support organisations and experimenting with on-line seminars.

6.30 Identifying and leveraging strategic relationships with other organisations should also be seen as an intrinsic part of capacity development. Already there are some good examples of PEN Centres, which have built strong relationships. But there are also gaps can be observed and opportunities that could be exploited. For example, there are linkages that could be made with other NGOs to use resources that PEN has produced as part of their programmes, there are government departments that could be engaged with to bring about policy changes or wealthy individuals who could be approached for financial support. Each Centre could map out what actors it needs to approach and for what purposes, and then plan how it will approach them, using its contacts and allies.



Annex A – Terms of Reference

Background to PEN International

Founded in 1921, PEN International is a global grassroots community of writers who adhere to the PEN Charter and are united in celebrating literature as well as upholding and pressing for lasting improvements in respect of freedom of expression and other rights. The PEN family spans more than 100 countries, represented through over 146 local autonomous centres, with an International Secretariat based in London. These centres are engaged in work at the local, national, regional and international level to advance PEN's core values of freedom of expression, mutual respect and tolerance across cultures, and opportunity for all to participate in, and contribute creatively to, both local and global literary culture.

PEN has a long-established record of defending writers, protecting free expression. It challenges threats to the right to write, and to freedom of expression in general, through an arc of intervention points, from providing direct emergency assistance and protection to writers at risk to researching and publicizing information about threats to individual writers to mobilizing dynamic coalitions of writers, activists, media, and civil society partners to campaign against broader threats to freedom of expression to advocating before national and international fora to seek redress for rights violations and strengthen legal and policy frameworks for the protections of these rights going forward. PEN has a similarly long history of promoting cross-cultural understanding through the shared values of literatures, and building truly international networks of writers that demonstrate and reinforce the universality of the right to freedom of expression.

Introduction

In 2012 the Swedish International Development Agency (SIDA) awarded PEN international a 3 year grant (2012 - 2014) to support the implementation of its strategic plan. The programme focuses on 3 key areas, specifically strengthening and developing the impact of the organisation, supporting the membership worldwide and growing the global voice of PEN. SIDA funding has been critical in enabling PEN to invest in key staff including the creation of a public policy unit and investment in systems development and implementation (in particular, financial reporting, monitoring and evaluation and impact assessment) leading to improved governance and accountability. Through PEN's new civil society and Beacon centers programmes, new, emerging, and revitalized PEN centres in Africa, Asia, Europe, and Latin America are promoting access to education; conducting education programs that promote literature; reading and critical thinking; establishing school clubs and libraries; and supporting human rights schools, teacher training, and community-learning through civil society projects. As these centres build capacity to carry out project work in their own countries and communities, they are becoming more active and influential voices in the international PEN community as well, and partnerships between PEN International and these developing centres are producing creative new advocacy opportunities and more effective advocacy strategies at the local and the international level.

As a grassroots membership organization the programme has sought to encourage the wide participation of its members particularly from the global south to be more connected to the movement and the work through new structures such as Beacon Centers and Networks. We have encouraged and supported collaborative working, better communications, knowledge sharing and learning between members and centers.

As PEN draws to the end of this cycle of work, we are looking to build on our successes and continue to invest in areas where the work has been slower or more challenging than expected.

The learnings from recent years show that PEN International has greatest impact when initiatives fully engage the grassroots membership and help strengthen the capacity of that network of writers, journalists and activists. We see scope for much wider development of our programmes and aim to strengthen our education work building on PEN Centres' programmes which have three main areas of focus: improving the quality of education; widening community access to literature, in particular minority language literature; and promoting human rights education. Giving a voice to young people will continue to be an integral part of PEN's work - recognising that engaged citizenship, reading, writing and speaking out from an early age provide the basis for healthy civil societies where literature and freedom of expression can blossom. In addition we shall seek to continue to support the next phase of development for our centres to further extend our programmes through direct support as well as through promoting dialogue and taking action to ensure freedom of expression recommendations are taken up by their own governments, as well as supporting them in building sustainable membership and governance models.

The evaluation aims to assess the impact of SIDA's 3 year grant on the following areas:

9. The extent to which the PEN International Secretariat has been strengthened to effect a step change in its internal capacity through funding for key roles and updating its systems to develop a platform from which it can deliver a step change in its programmes.
10. The extent to which PEN International has enhanced collaborative working (including across teams on center development, policy, programmes and literary work); developed capacity and created new spaces and channels for dialogue and communication amongst its membership through support to its PEN Centers, Beacon centers and standing committees towards the development of a truly global and grassroots network
11. The extent to which the civil society programme and participating centers have been effective in their chosen activity . literacy, higher education, libraries, community programmes, translation and linguistic rights, and support for human rights defenders
12. The impact of PEN International's advocacy including UN e.g. through the UPR - with States both under review and allies in the review process; the UN Commission on the Status of Women; European Bodies (Council of Europe and OSCE), the Inter-American Commission on Human Rights and digital freedom bodies including the Internet Governance Forum.
13. The impact of strategic partnerships and global campaigning on the key thematic issues of the organization from 2012 - 2014
14. Verify funds were used effectively and efficiently to deliver results
15. The evaluation will assess what has been achieved and what has been learned, with a special focus on impact and effectiveness, sustainability and replicability.
16. Make recommendations as to which areas of our work are set for expansion and at what rate as well as identifying areas which would benefit from continued investment and support to achieve capacity for step change.

The evaluation audience:

- The programme funders: SIDA
- Pen International's centres and members

The evaluation will provide a rigorous analysis of the programme's achievements and learning by an external and independent consultant, which is validated by the centers involved.

It will enable PEN International to strengthen its approach, particularly analysing how the international programme has supported organizational capacity building and broader policy and advocacy work. It will also help local centers to gain a clear sense of what they have achieved, to draw out what each of them has learned and to help them further strengthen their programmes to increase the impact and sustainability of their work. The evaluators will triangulate information from stakeholders, including those benefitting from the project (school children, teachers, communities) and key duty-bearers, so centers can demonstrate what has been achieved and learned and communicate it both to those involved in the project and an external audience.

Evaluation Approach

It is proposed that the evaluation will take a participatory approach, which enables centres, beneficiaries and duty-bearers to reflect on and analyse what is working well, what has been learned and what could be strengthened. The evaluator will aim to ensure that the views of centres, writers and beneficiaries emerge clearly in the evaluation by drawing out their contribution from project documents, interviews with centres and field visits. In order to facilitate meaningful participation, the evaluator will not only involve stakeholders in discussions and interviews, but also use participatory tools, where appropriate, to engage children and others more deeply. Tools would be agreed with centres to ensure they are both relevant and culturally appropriate. Information should be triangulated, where feasible, through a range of sources. The evaluation could involve the following steps, subject to centres' input:

Development and agreement of terms of reference and approach

This needs to be agreed with PEN International and participating centres. The consultant will discuss the approach with PEN International through telephone calls and a face-to-face meeting. PEN International will consult with local centres about the ToR, choice of consultant, approach and timeframe. PEN International will also approach SIDA as the funding partner for their input and provide feedback to the consultant who will make any agreed amendments to the approach before finalising a contract with PEN International.

Review of documents

Documents delivered to the consultant will be prioritised for review, using criteria of relevance and efficiency:

- Project information: proposal, logframe (original and revised), budget, MOUs, annual reports and accounts
- Centres' basic information: membership, strategic plan, budget and programme proposals and needs assessment.
- Reports: from centres to PEN International under the International programme, country monitoring visits, centre meetings, information and reports from Centres and Committees; materials and reports on activities around our campaigns
- Submissions made to UN special procedures and other relevant human rights bodies
- Relevant contextual reports or information . global and in-country
- Baseline and monitoring information, including statistical summaries, case studies, advocacy materials and media reports
- Donor information and correspondence, including SIDA and feedback
- Relevant government and meeting minutes/ reports (especially regarding policy change)

These secondary sources will be used to hone in on crucial areas to cover in the survey, interviews and field visits to maximise efficiency.

Interviews

The evaluator will interview PEN International staff and Board to draw out their expectations and priorities for the evaluation and their perspectives on the project design, achievements, concerns and lessons for the future.

The evaluator will also carry out five to six interviews with partner organisations working in the same field to gain a perspective on PEN International at international level through this programme. Interviewees (to be agreed with PEN International and on the basis of project documentation) may include UN and IACHR Special Rapporteurs on Freedom of Expression and UN permanent missions); other NGOs (eg A19, UPR Info, IHRIP, ICORN).

Detailed design of evaluation framework

After this initial phase, the consultant evaluation team will design the methodology in more depth and send a draft outline of the questions and activities, timeline and ethical framework for the participatory research to PEN International for approval as an acceptable basis on which to proceed. Following this, the assessment phase of the evaluation will take place as outlined below. It will include a survey across all XXX countries involved in the project and visits to two local centres. The consultant will also liaise with the centres to be visited to adapt and agree the specific visit activities in line with their local context and ways of working.

Survey Monkey

In addition to reviewing all the secondary sources of information, the evaluator will develop and use a short Survey Monkey to gather quantitative data (using mainly tick boxes and numerical responses) from all participating centers and committees in a consistent way. The survey will also include three to five qualitative questions that will give centers an opportunity to provide feedback on more sensitive issues. The evaluator will protect confidentiality of this feedback, and information gathered more generally in the evaluation, as appropriate.

Local center interviews

The review of documentation and responses from the Survey Monkey qualitative responses will also help to identify key areas for research. For partners in countries that will not be visited, the evaluator will undertake a phone/Skype interview with the local centre. The interviews could include two to three people from each local centre, to be agreed with local, but including both the leadership of the centre and someone directly involved in the project work . and with consistency across countries and regions. The interviews will draw out qualitative information, including specific case studies and examples.

Meeting the membership and centers

The evaluator will travel to Bishkek, Kyrgyzstan in September 2014 where PEN International will hold its annual congress. The consultant will hold meetings with a range of participants ranging from board members, committee chairs, beacon centers and centers having participated/benefitted from the international programme.

Country and field visits

The evaluator will travel to two countries to undertake in-depth visits, working with a facilitator from the local center. The activities could include:

- An initial meeting with local center leadership to introduce the research and evaluator; talk through plans, tools, timetable and any concerns; and make small last minute changes to plans, as needed.
- Some initial interviews of with centre members including any staff to orient the consultant.

- A meeting with all centre members to explore achievements, learning, concerns and programme relationships.
- Non-community based interviews: Interviews, as feasible and warranted, with government officials, NGO partners and other stakeholders. Further interviews with project staff and review of systems.
- Field work with beneficiaries: groups will be invited to participate in the evaluation that represent different geographic locations/ target groups/ gender/ needs/ and progress. Field work could include the following: participatory activities (to be agreed with centres partners after the initial document review and interviews); case studies (successful, average and difficult); focus group discussions and semi-structured interviews as well as group participatory activities (Venn diagrams, ranking, scoring, timelines).

Analysis and write-up

Draft report of maximum 30 pages including:

- Title page, Contents page, Abbreviations / acronyms page
- Executive summary (maximum 3 pages)
- Background to the evaluation:
- A short introduction to the programme
- Centers, project and target group and context
- The evaluation methodology
- Findings in relation to standard review criteria; and other unexpected findings.
- Conclusions: innovation and lessons learned
- Recommendations with respect to growth and investment towards achieving global step change
- Specific recommendations for local centres, PEN International and SIDA
- Annexes: achievement rating scale, terms of reference, evaluation schedule and participants, documents consulted statistical data and a two-page summary of centre visits.

The draft report shall be sent to PEN international . a meeting shall be held with the evaluator to cross-check factual information, obtain center feedback on the analysis and discuss the recommendations for the way forward.

Annex B – References

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- Blokh, Alexandre (undated), *International PEN and Its Secretariat*
- Kamara, Iyasha (2011), *Report on the Evaluation of the Sierra Leone PEN School Club Project*
- Lim, Jaime An [ed.] (2013), *Peace Mindanao*
- Malawi PEN Centre (2014), *Malawi PEN Centre: the Impact of the Beacon Centre Programme*
- PEN International (2014a), *Results Framework Progress Update*
- PEN International (2014b), *Annual Progress Report – PEN International 2013/March 2014*
- PEN International (2014c), *2013 PEN International Financial Report SIDA*
- PEN International (2014d), *PEN International Civil Society Programmes 2013/14: Guidelines and Full Application Form*
- PEN International (2014e), *Beacon Centre Programme*
- PEN International (2014f), *PEN International/Civil Society Programmes 2014 – Full Application Assessment Sheet*
- PEN International (2014g), *Programme Fund Agreement and Reporting Requirements 2014*
- PEN International (2014h), *PEN International Guidance Notes for PEN Centres: 6. Monitoring and Evaluation*
- PEN International (2014i), *Draft PEN International Four Year Strategic Plan: 2015 -18*
- PEN International (2014j), *Overview of UPR Analysis: January – November 2014*
- PEN International (2014j), *Draft SIDA Report*
- PEN International (2014k), *Writers in Prison Committee: Report on Consultation with Centres*
- PEN International (2014l), *Overview of UPR Analysis: January 2013 – November 2014*
- PEN International (2014m), *Summer School: Freedom of Expression in Central Asia 'Kashka-Suu'*
- PEN International (2014n), *Programme Funding 2007-14 With Amounts*

PEN International (2014o), *History*, (from PEN International's Website)

PEN International (2014p), *Honduras Project Trajectory*

PEN International (2013a), *2012 Report, SIDA and PEN International Partnership 2012-14*

PEN International (2013b), *International PEN Trustees Report and Accounts for the Year Ended 31 December 2012*

PEN International (2013c), *PEN International Civil Society Programmes 2013/14: Guidelines and Full Application Form*

PEN International (2013d), *PEN International Writers in Prison Committee Case List: January – December 2013*

PEN International (2012a), *PEN International Proposal to SIDA (2012-14)*

PEN International (2012b), *Strategic Plan 2012-14*

PEN International (2012c), *PEN International Three Year Plan 2012-14*

PEN International (2012d), *PEN International Beacon Centre Programme Funding Pack 2012/13*

PEN International (2012e), *PEN International Writers in Prison Committee: Case List July to December 2012*

PEN International (2011), *Girona Manifesto on Linguistic Rights*

PEN International (2012f), *PEN Declaration on Digital Freedom*

PEN International (2006a), *The Constitution of International PEN consisting of the PEN Charter, the Regulations and the Rules of Procedure*

PEN International (2006b), *Memorandum and Articles of International PEN*

PEN International (2003), *PEN International Charter*

SIDA (2012), *Agreement Between SIDA and PEN International on Core Support During 2012-14*

Thompson, Josephine Pullein (undated), *Standing Aside from Politics*

Von Vegesack, Thomas (undated), *PEN History*

Zambia PEN Centre (2014), *Zambia PEN Centre*

Note: There were also a number of other documents such as brochures, proposals, reports etc. picked up within individual country visits, which are not mentioned here.

Annex C – List of Interviews and Meetings

Date	Person(s)	Position/Organisation
Various dates	PEN International Romana Cacchioli	Director of International Programmes, PEN International
Kyrgyzstan		
20-22 nd June	Freedom of Expression Summer School, Bishkek* Dalmira Tilepbergenova Shoista Ravshanova-Mavaddat Sultan Sarygulov Alisher Khamidov Aizada Nurmanbetova Tamila Zeynalova	Coordinator Central Asia Board Member of PEN Central Asia Board Member of PEN Doctor of Political Sciences UNICEF Red Cross
20-22 nd June	Participants at Bishkek Summer School* Zarlykova Markhabat Myrzabaev Beksultan Kvarihntivili Tarnike Orozalieva Fatima Iskenova Nargiza Assanova Nargis Erkinova Pardina Melikov Ramiz Baijumanova Aidan Ibragimova Malika Tokoeva Aidai Ryskulova Aizhan Mullanhunova Madina Abdurahmanova Ranogul Arupova Said Tashtanova Nurzhamal Erkinbekov Adilet Mahmadali Tahir Anarbekova Nuriza	International University in Kyrgyzstan % % % % % % % % % % American University in Central Asia Kyrgyz-Turkish University, Manas Bishkek Humanitarian University % % % % School Class 11 Medical Academy %
27 th June	US PEN Larry Siems	Various Positions including Director of Freedom to Write
PEN International		
3 rd July	PEN International Carles Torner Romana Cacchioli Ann Harrison	Acting Executive Director, Director of International Programmes Programme Director, Writers in Prison Committee
%	Sarah Clarke Paul Finegan Emese Kovács	International Policy and Advocacy Officer Centres and Committees Officer International Programmes Officer
%	James Tennant	Literary Manager
%	Cathy McCann Emma Wadsworth Jones	Researcher Asia/Middle East WiPC Research/Campaigns Assistant

Philippines		
7 th July	Philippines PEN Joselito B Zulueta Dr Shirley O Lua	National Secretary, Project Coordinator and Treasurer
♀	Mylene N Urriza	Project Development Officer, National Commission for Culture and the Arts
‰	Prof. Emeritus Cristina Pantoja Hidalgo	Director, Center for Creative Writing and Literary Studies, University of Santo Tomas
♀	Chuckberry J Pascual Zendy Victoria Sue G Valencia Rina Garcia Chua	Young Philippines Writer . non PEN Member ‰ ‰
♀	Ericson Acosta	Poet, Peasant Movement
8 th July	Dean Francis Alfar	Creative, Logik, Philippines Speculative Fiction
‰	Board and Other Philippines PEN Members Francisco Sionil Jose Bienvenido Lumbera Cynthia Lumbera Karina Bolasco John Jack Wigley Ailil Alvarez Jaime An Lim Ronald Baytan Glen Sevilla Mas Ricardo Soler Jun Cruz Reyes Maria Carmen Menchuq Sarmiento Angelo Sargeq Lacuesta Mookie Katigbak Lacuesta Carlomar Daoana Santiago Villafania	National Artist for Literature, Founder National Artist for Literature, Chairperson Member Publisher of Anvil Publishing House Director, University of Santo Tomas Publishing House Dep. Director, University of Santo Tomas Pub. Hse. Editor of Peace Mindanao Editor of Lit Matters Board Member Board Member Board Member, PEN Writers in Prison Committee PEN Rep. to National Commission for Culture & Arts Fictionist and Editor of Maximum Volume Poet Poet Board Member and PEN Philippines Webmaster
9 th July	Baguio Delfin Torentino Jr. Grace Celeste Subido Cristian Carlo Suller Ana Isabel Caguilla	Dept. of Language, Literature and the Arts, UP Baguio ‰ Department of English and Mass Com., St Louis Univ. Dept. of Language, Literature and the Arts, UP Baguio
10 th July	Philippines PEN Ronald Baytan	Editor of Lit Matters
10 th July	Book Launch for Naming the Ruins by Dinah Roma Dinah Roma and others	
11 th July	Dr Isagani Cruz	Former Under Secretary for Education, Govt. of Philippines
♀	Philippines PEN Joselito B Zulueta Dr Shirley O Lua	National Secretary, Philippines PEN Project Coordinator and Treasurer

Sierra Leone		
21 st July	Sierra Leone PEN Allieu Kamara Walter Davis	Administrative Secretary Assistant Secretary
	Sierra Leone PEN Mohamed Sheriff Arthur Smith	President Board Member
22 nd July	Fawe School, Kroo Bay, Freetown George Amare Christiana Salamata Koromo	Teacher Teacher
‰	Ministry of Education Horatio Nelson-Williams David Koroma	Executive Secretary, Basic Education Executive Secretary, Tertiary Education
‰	Sierra Leone PEN Nathaniel Pearce	Chair of PEN School Committee
‰	St Joseph's Secondary School, Freetown Belinda Karabo PEN Club Members	Teacher Counsellor and PEN Club Facilitator
‰	Peninsular Secondary School, Waterloo Facilitators Students	
‰	Rural Education Committee Primary School Sattia, Western Rural Area Head Teacher	
23 rd July	St Andrew's Senior Secondary School, Bo Ambrose M Masakuoi	Teacher and PEN Facilitator
‰	Queen of the Rosary School, Bo PEN Facilitators and Students	
‰	Christ the King College, Bo	
‰	Bo School - Presentation Students from five Bo Schools	
24 th July	Writers' Guild, Freetown Moses T Kainwo	Secretary General
‰	Meeting of Sierra Leonean Writers Aisha Kaira Veronica Nat-Davies Amadu Tarawallie	Writer Writer Illustrator
‰	Sierra Leone PEN Allieu Kamara	Administrative Secretary
Puerto Rico		
11 th Aug	PEN Puerto Rico Jose E Muratti Melvin Rodriguez	President Secretary

%	Center for Advanced Studies of Puerto Rico and the Caribbean Miguel Rodriguez	Chancellor
11 th Aug	Dr Ignacio Olazagasti	Facilitator
12 th Aug	PEN Puerto Rico Elsa Tio Mara Daisy Cruz	Former President Former Treasurer
%	Plaza Las Americas Open Mike Evening: Short Stories	About 50 participants
13 th Aug	Hormigueros Convention Center Hon. Pedro Garcia Felix Ponce-Labiosa About 30 others	Mayor of Hormigueros School of Beaux Arts Director
14 th Aug	PEN Puerto Rico Ricardo Rodriguez	Treasurer
%	Screen Writers Course Tia Marie Pamela Ochnic	Facilitator Student
%	Sacred Heart Writers Organisation Maria Zamparelli	Former President
%	PEN Puerto Rico Alineluz Santiago Kristina Plaza	Board Member %
15 th Aug	PEN Puerto Rico Carlos Vazquez Cruz	Facilitator
%	PEN Puerto Rico Jose E Muratti	President
80th PEN International Congress #		
28 th Sept	Beacon Centres Meeting	
%	John Ralston Saul	PEN International President
29 th Sept	Writers in Prison Committee	
%	Financial Board Members Jarkko Tontti Eric Lax Antonio Della Rocca	PEN International Treasurer PEN International Co-opted Member PEN International Board Member
%	Women Writers Committee	
30 th Sept	Joanne Leedom-Ackerman	PEN International Vice President
30 th Sept . 2 nd Oct	Assembly of Delegates	
%	Writers for Peace Committee Anton Perzak	PEN International Writers for Peace Committee Chair
%	Translation and Linguistic Rights Committee Josep-Maria Terricabras Noguera Simona Skrabec	PEN International Translation and Linguistic Rights Committee Outgoing Chair EN International Translation and Linguistic Rights Committee Incoming Chair
%	Writers in Prison	PEN International Writers in Prison Committee

	Committee Marian Botsford Fraser	Chair
1 st Oct	Swedish PEN Ola Larsmo Martin Kaunitz	
‰	American PEN Dominic Moran	
‰	Argentinian PEN Carlos Gamarro	
2 nd Oct	Myanmar PEN Dr Ma Thida	President
‰	South African PEN Margaret Orford	President
‰	Women Writers Committee Lucina Kathmann	PEN International Vice President
3 rd Oct	PEN International Board Meeting	
PEN International		
10 th Oct	PEN International Staff Emese Kovács	International Programmes Officer
‰	Ann Harrison	Programme Director, Writers in Prison Committee
‰	Sarah Clarke	International Policy and Advocacy Officer
‰	Paul Finegan	Centres and Committees Officer
23 rd Oct	Carles Torner	Executive Director
SIDA		
17 th Oct	SIDA Louise Bermsjö	Former Programme Manager, Global Programmes (responsible for managing the relationship with PEN International)

*All meetings were conducted by Rod MacLeod, except for those at the Freedom of Expression Summer School in Bishkek, which were conducted by Kulnara Djamankulova.

Apart from the meetings mentioned here, there were many other conversations with participants outside the formal sessions.

Annex D – Survey

A questionnaire (see below) was developed and distributed as part of the evaluation of PEN International's international programmes.

Just one questionnaire was asked to be filled in from each Centre. Depending on circumstances, this could be done by a group of people through a process of discussion around each question, or else a smaller number of people if that is not possible. Staff at the PEN International Secretariat were asked fill in the questionnaire on an individual basis as were Board Members and Chairs of PEN International Committees.

Participants could respond to the questionnaire in English, French or Spanish. The questionnaire went out in early August with an original closing date of 15th August; this was later extended to 20th August to allow more people to respond.

The questionnaire was designed as follows:

A. Background Information

1. Where are you based?

Tick one of the following:

- PEN Centre
- PEN International Secretariat (If PEN International Secretariat, go straight to Question 8)

2. Which region are you based in?

Tick one of the following:

- Africa
- Asia-Pacific
- Europe
- Latin America and the Caribbean
- Middle East
- North America

3. When was your Centre established?

Tick one of the following:

- 1921-1949
- 1950-1959
- 1960-1969
- 1970-1979
- 1980-1989
- 1990-1999
- 2000-2009
- 2010-2014
- Do not know

4. Have you received funding (e.g. programme or travel support) from PEN International Secretariat during 2012-14?

Tick one of the following:

- Yes
- No (If No, go straight to Section B)
- Do not know (If do not know, go straight to Section B)

5. How many years have you received PEN International Secretariat funding for?

Tick one of the following:

- 1 year
- 2 years
- 3 years
- More than 3 years
- Do not know

6. How much was your grant from PEN International Secretariat in the most recent financial year?

Tick one of the following:

- 0 - \$4,999 USD
- \$5,000 - \$9,999 USD
- \$10,000 - \$14,999 USD
- \$15,000 - \$19,990 USD
- More than \$20,000 USD
- Do not know

7. What activities was your PEN International grant used for?

Tick all of the following options that apply:

- Advocacy on freedom of expression (in-country or at international fora, for example the Inter-American Commission on Human Rights (IACHR), the United Nations Human Rights Council - Universal Periodic Reviews (UPRs)
- Advocacy to promote literature in education
- Developing your Centre (membership, office, staffing, statutes, policies, committees etc.)
- Developing teaching modules and curriculum
- Establishing your Centre (where it did not exist before)
- Festival support . organisation and/or participation
- Human rights summer schools
- Libraries
- Network meetings . organisation and/or participation
- Publications and anthologies
- Research
- School clubs
- Supporting other Centres (through presentations at PEN events, visiting other Centres, communication with other Centres)

- Teacher training workshops
- Training of human rights defenders
- Training and capacity building with writers
- Translation of literature
- Visits and delegations
- Youth work
- Other (please specify)

8. Which activities supported by PEN International do you think have been most effective and valuable?

*Tick a maximum of **three** activities that you think were most effective and valuable:*

- Advocacy on freedom of expression (in-country or at international fora, for example the Inter-American Commission on Human Rights (IACHR), the United Nations Human Rights Council - Universal Periodic Reviews (UPRs)
- Advocacy to promote literature in education
- Developing your Centre (membership, office, staffing, statutes, policies, committees etc.)
- Developing teaching modules and curriculum
- Establishing your Centre (where it did not exist before)
- Festival support . organisation and/or participation
- Human rights summer schools
- Libraries
- Network meetings . organisation and/or participation
- Publications and anthologies
- Research
- School clubs
- Supporting other Centres (through presentations at PEN events, visiting other Centres, communication with other Centres)
- Teacher training workshops
- Training of human rights defenders
- Training and capacity building with writers
- Translation of literature
- Visits and delegations
- Youth work
- Other (please specify)

B. Qualitative Assessment of PEN International

Please rate the **different aspects** of PEN International's work during the period 2012-14. For each of the following aspects, please indicate the extent to which you agree with the statements in the left hand column. Give just one rating for each statement:

i) Strengthening the Organisation

PEN International over the past three years (2012-14) has had...	1	2	3	4	5	-
	Completely Disagree	Moderately Disagree	Neither Agree Nor Disagree	Moderately Agree	Completely Agree	Do not know/ Not applicable
9. a clear strategy for 2012-14.						
10. a strategy which has helped PEN International achieve its objectives more effectively.						
11. robust financial planning, financial management and financial reporting systems.						
12. the human resources it needs to meet its objectives.						
13. the IT systems it needs.						
14. strong internal and external communications.						
15. a strong, diversified funding base.						
16. a strong monitoring, evaluation and impact assessment system.						

ii) Supporting the Membership Worldwide

PEN International over the past three years (2012-14) has...	1	2	3	4	5	-
	Completely Disagree	Moderately Disagree	Neither Agree Nor Disagree	Moderately Agree	Completely Agree	Do not know/ Not applicable
17. helped new PEN Centres to emerge.						
18. helped existing Centres to develop and become stronger (more discussions, social media actions, meetings with Centres, more information provided on campaigns and programmes etc.).						
19. improved its own communication with Centres (e.g. UN bodies and special procedures, States and government departments, NGOs or CSOs).						
20. helped Centres communicate with external partners and stakeholders.						
21. helped Centres communicate with other Centres (e.g. through Beacon Centres, twinning).						
22. helped Centres (e.g. Beacon Centres) support other Centres						
23. had a strong and effective Peace Committee.						
24. had a strong and effective Women's Committee.						
25. had a strong and effective Writers in Prison Committee.						
26. had a strong and effective Translation and Linguistic Rights Committee.						
27. had its Committees work in a coordinated fashion with each other and with the Secretariat.						
28. had a participatory decision making process in which members are fully engaged.						
29. helped members to participate in Congress and on PEN Committees.						
30. provided relevant and effective capacity building (e.g. training, mentoring) to Centres.						
31. provided well targeted and effective financial support through grants to Centres.						

iii) Growing the International Voice of PEN

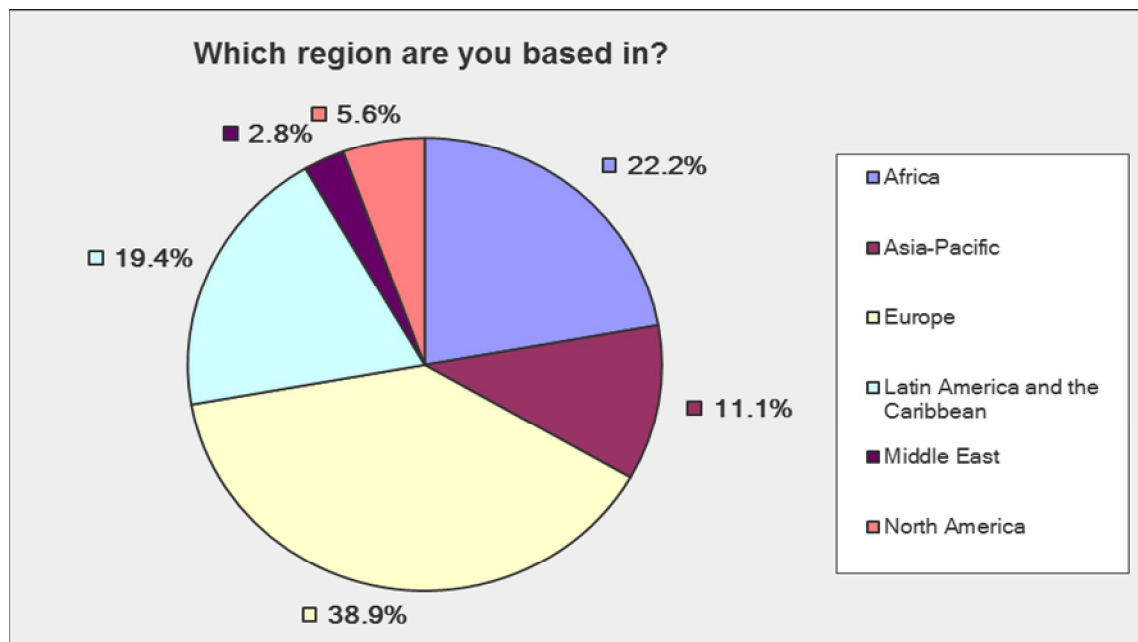
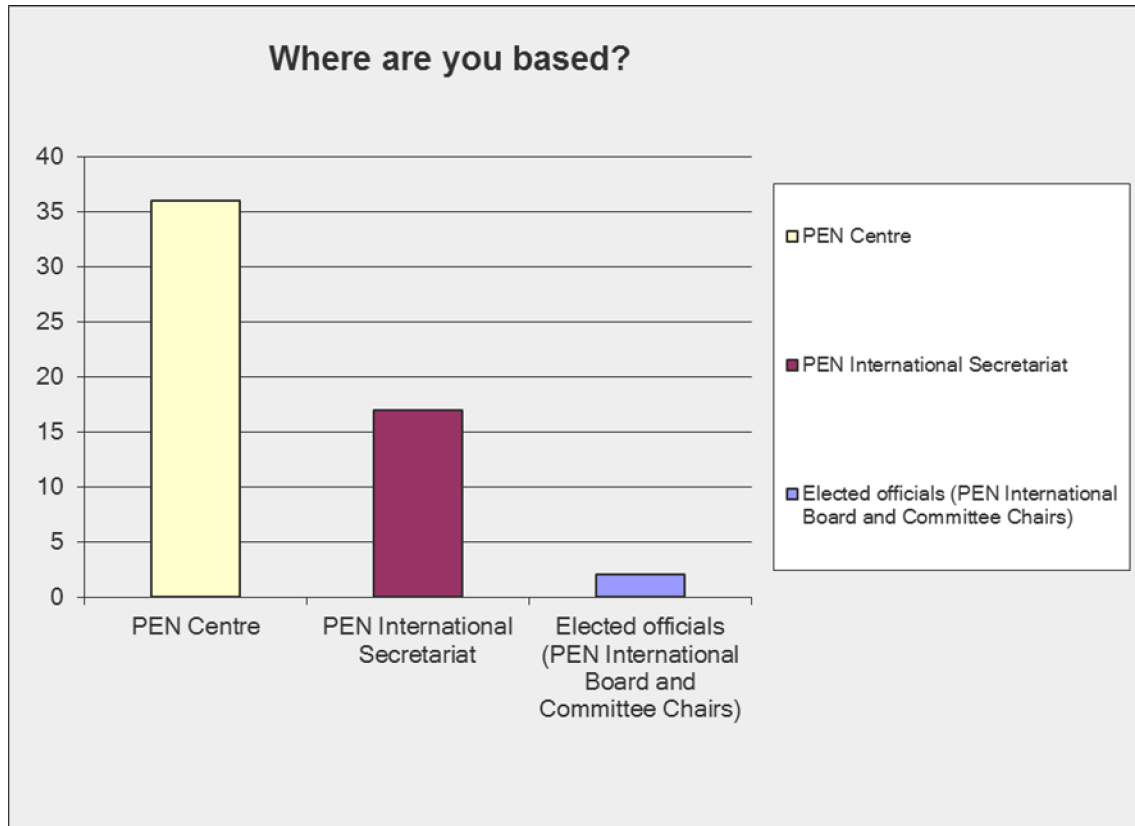
PEN International over the past three years (2012-14) has...	1	2	3	4	5	-
	Completely Disagree	Moderately Disagree	Neither Agree Nor Disagree	Moderately Agree	Completely Agree	Do not know/ Not applicable
32. had a strong plan for its global Advocacy, Policy and Communications work.						
33. had strong research on which to base its advocacy and policy work.						
34. clearly defined its advocacy and policy messages.						
35. clearly defined its advocacy targets and changes desired.						
36. formed strong relationships with international NGOs and other relevant stakeholders to carry out joint advocacy.						
37. has engaged effectively with the UN and regional organisations on advocacy and policy work.						
38. developed strong materials in support of its advocacy and policy work.						
39. communicated effectively in support of its policy and advocacy work.						
40. run effective global campaigns that have brought about change (or at least have a good chance of bringing about change).						

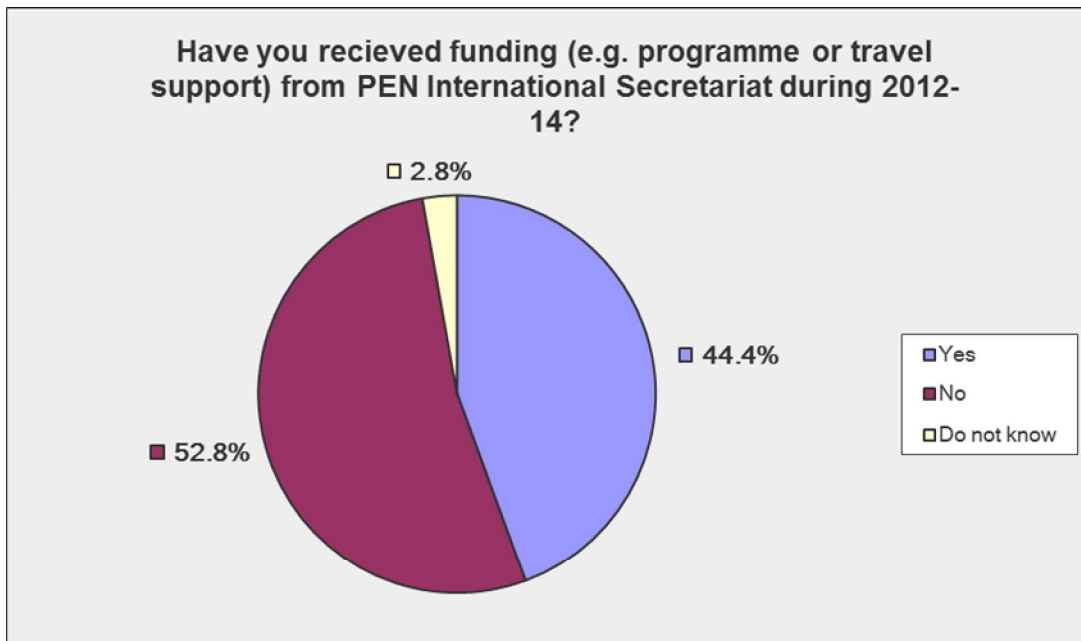
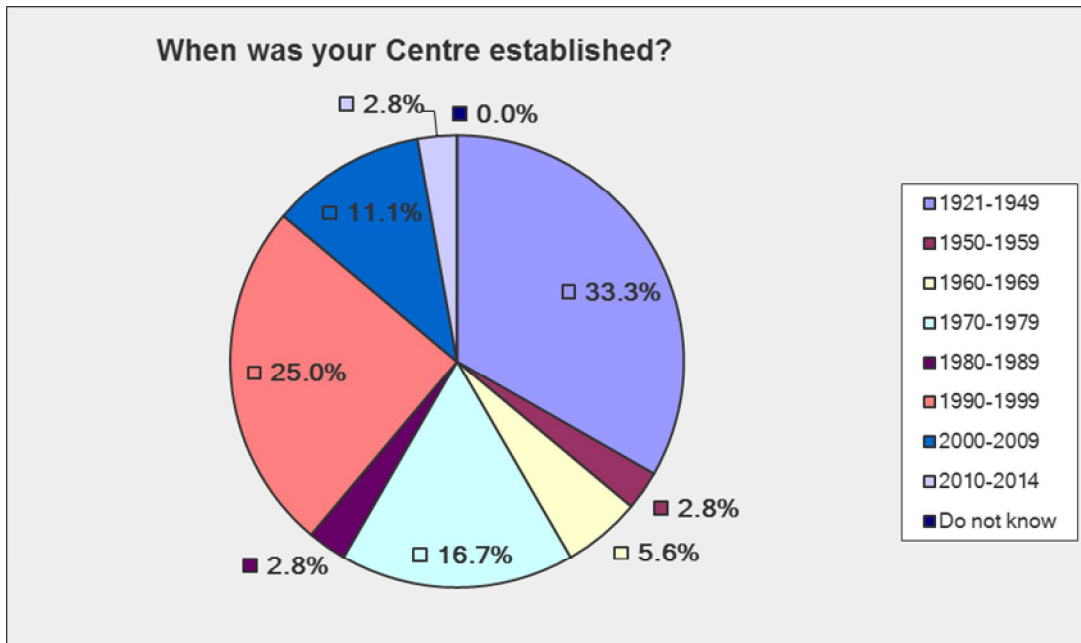
41. What aspect of PEN International's work supported by SIDA has been most successful and beneficial? Why?

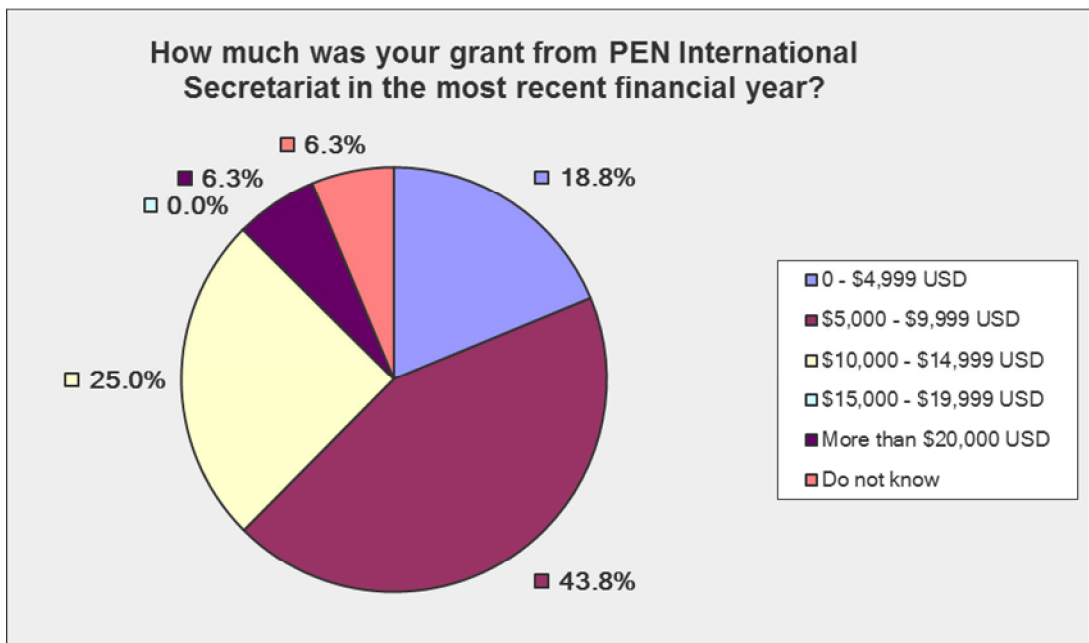
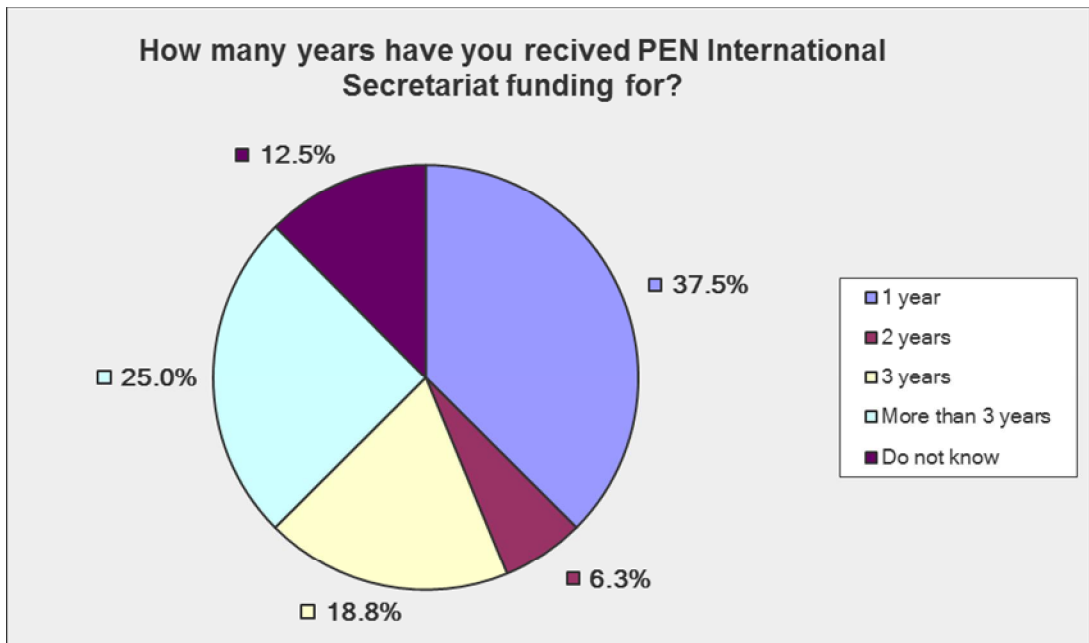
42. What aspect of PEN International's work supported by SIDA has been least successful and beneficial? Why?

43. If there was further SIDA support to PEN International without any restrictions, how do you think it could most effectively be used?

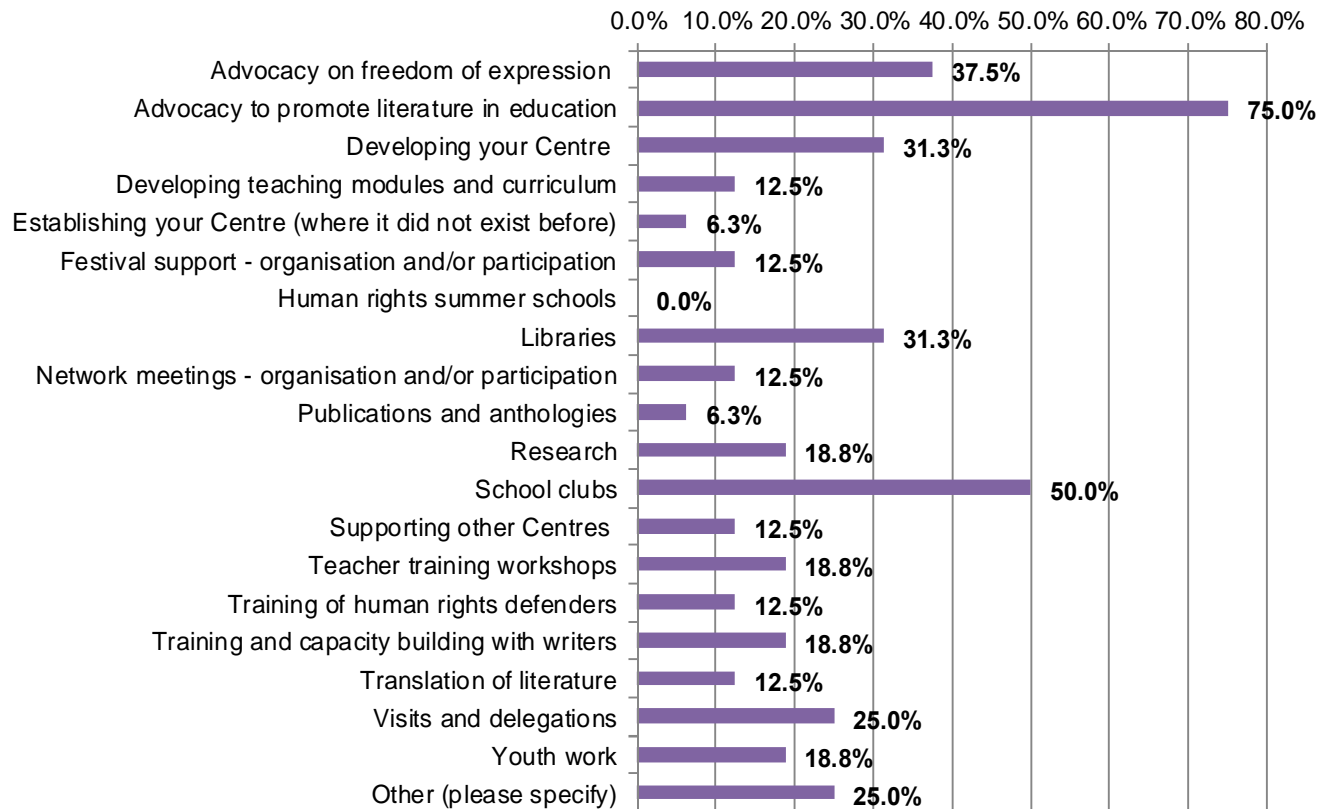
Summary of Results from Questionnaire



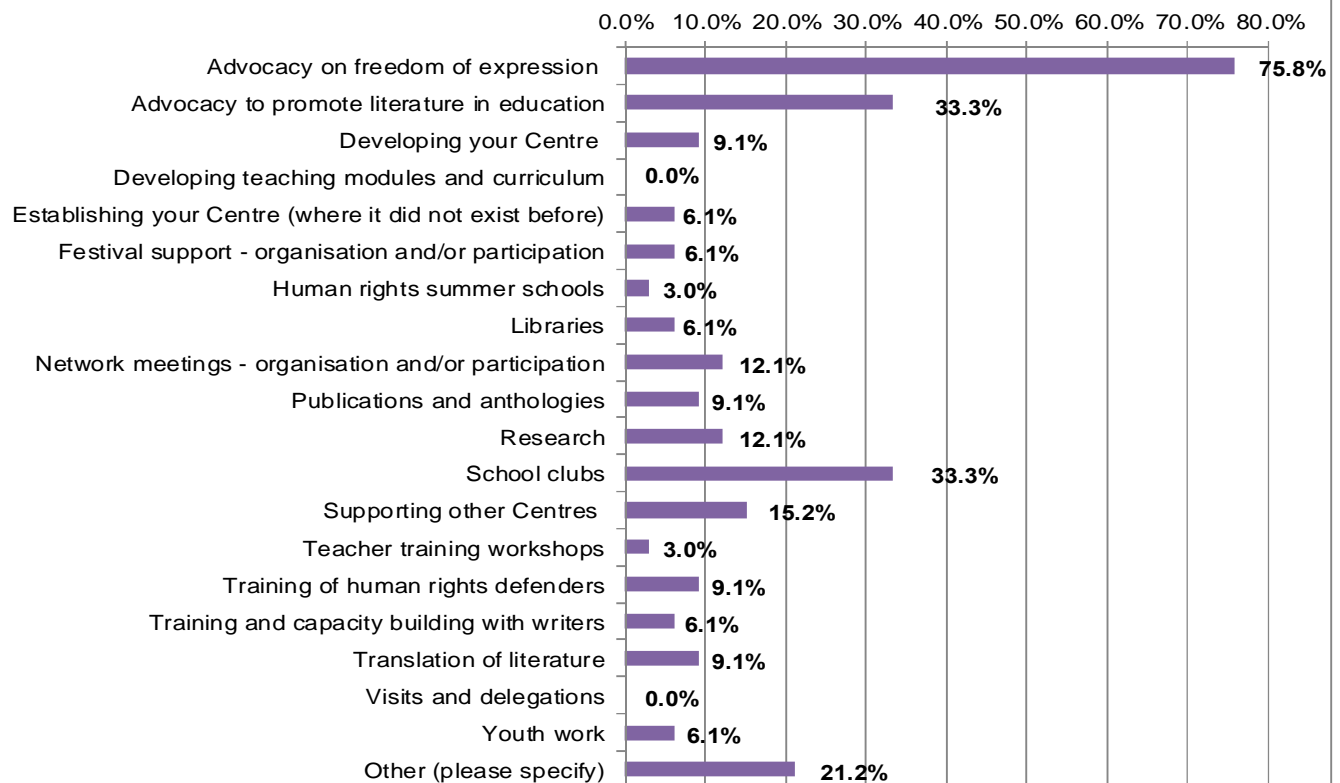


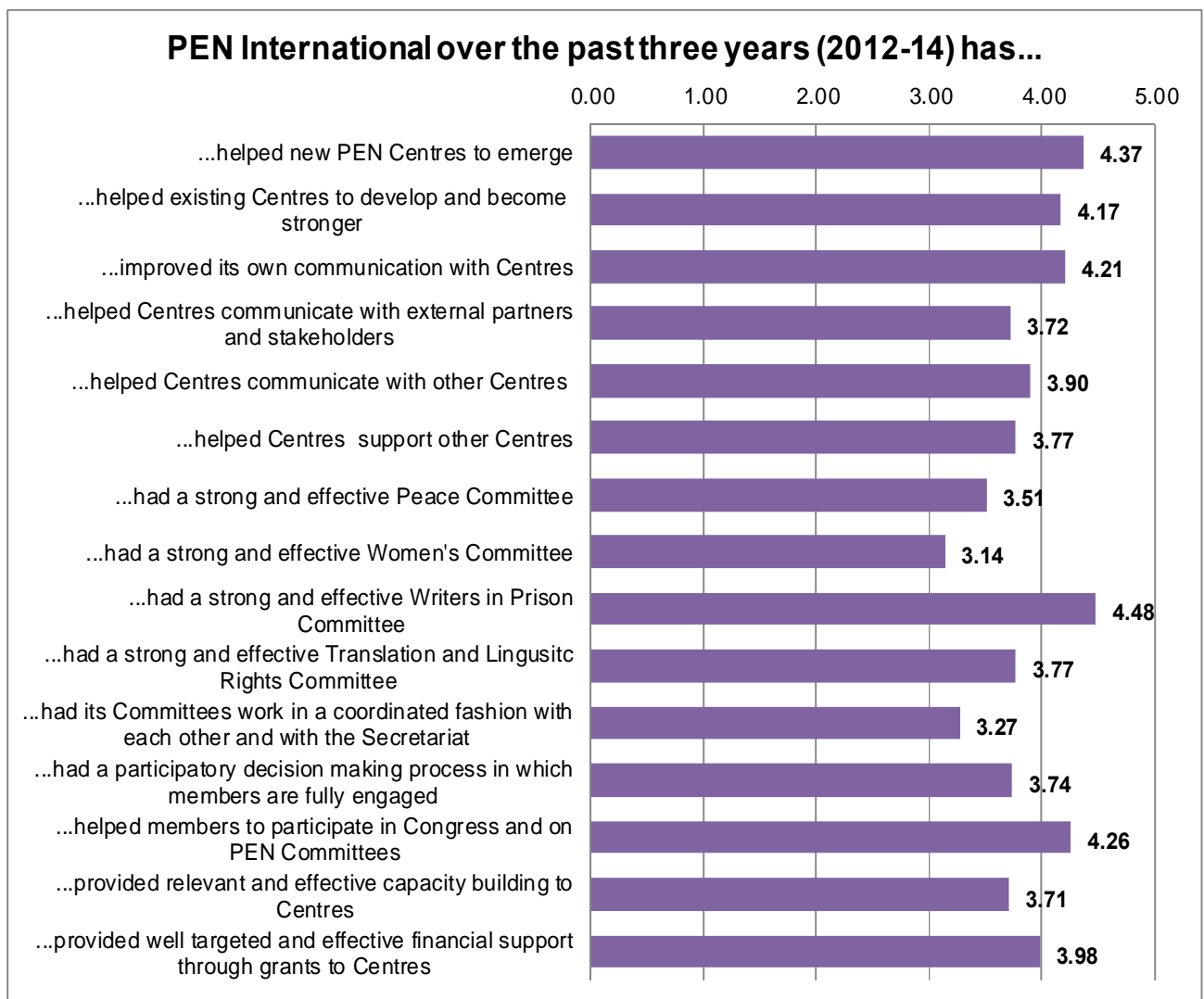
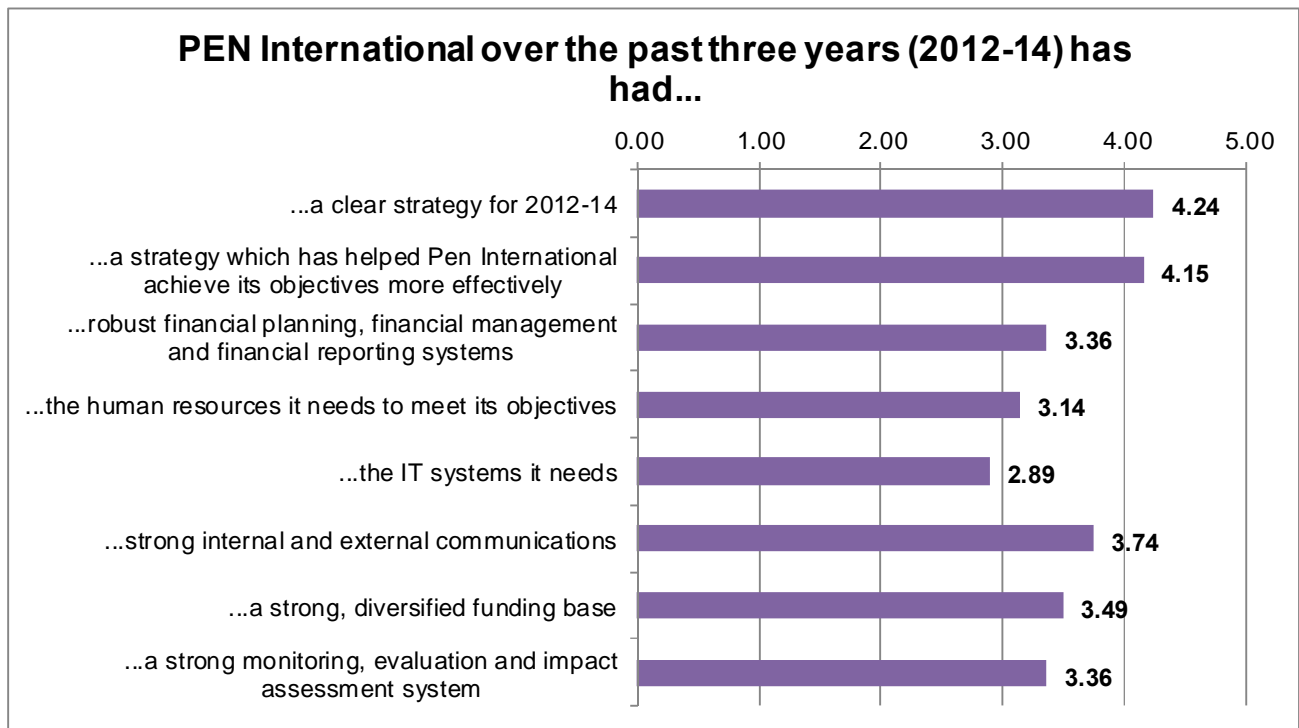


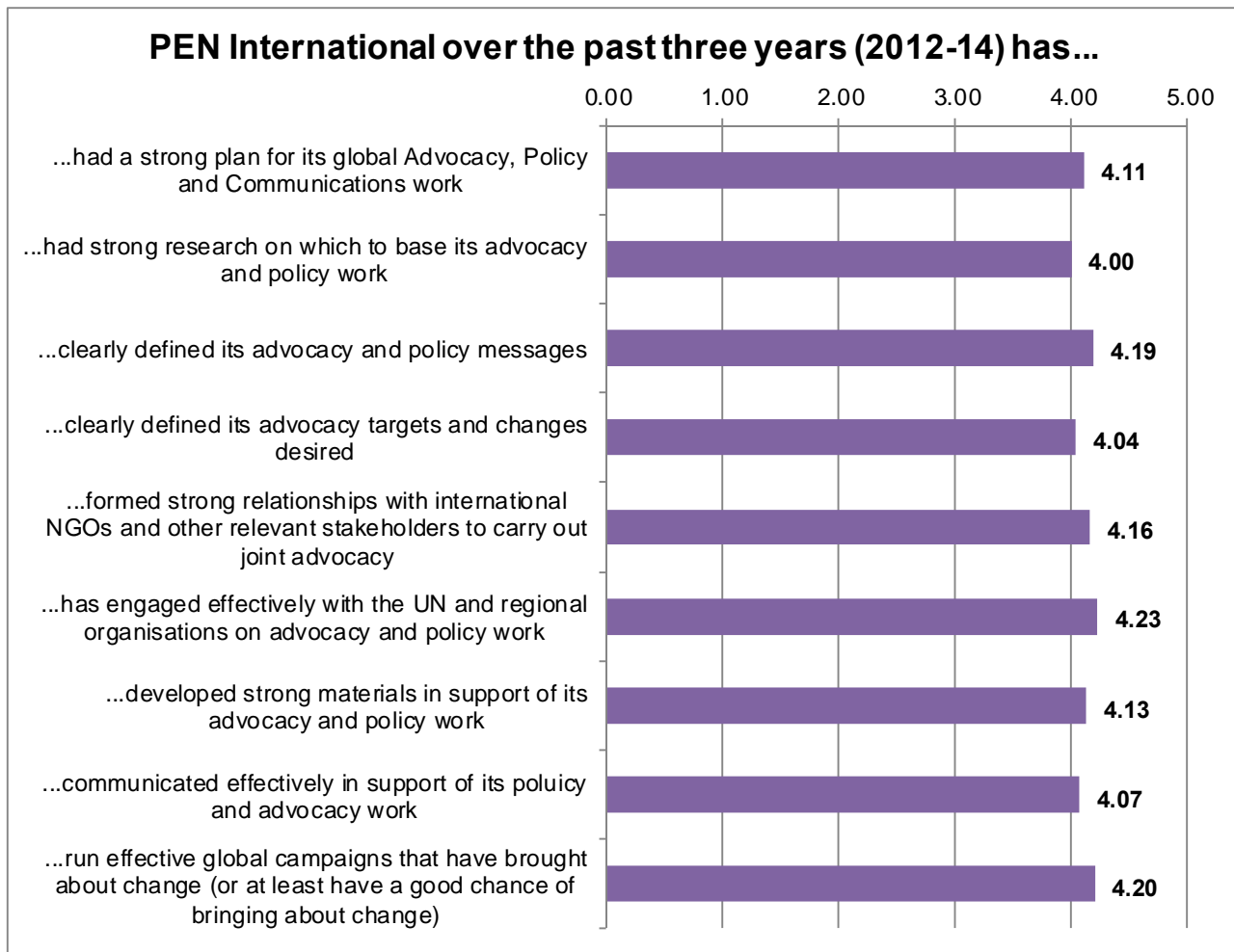
What activities was your PEN International grant used for?



Which activities supported by PEN International do you think have been most effective and valuable?







The last three questions in the survey were open – that is respondents wrote in their answers, rather than ticking a limited choice of options. The answers to these responses have been clustered into similar answers, summarised and are presented here in descending order of importance.

41. What aspect of PEN International's work supported by SIDA has been most successful and beneficial?

Comment	Number of Mentions
Advocacy and policy work	9
School clubs and education	7
Support to Centres	7
Literary work	7
Civil society programme	5
Beacon Centres programme	5
Human rights work, training Human Rights defenders	5
Support to local writers	4
Youth work	3
Promotion of freedom of expression	3
Writers in Prison	1
Investment in technology	1
Increased access to information	1
Financial support	1
Regional meetings	1
Review of programmes	1
Do not know/unable to answer	16

42. What aspect of PEN International's work supported by SIDA has been least successful and beneficial?

Comment	Number of Mentions
Internal and external communications	4
Writers in Prison Committee work not supported enough	4
Financial systems and management	3
IT system . limited vision and planning	3
Centre development still too limited	2
Promotion of linguistic rights weak	1
Peace and Women Writers Committees not effective	1
More for Translation and Linguistic Rights	1
Strengthening the impact of the organisation	1
Lack of clarity of roles between WiPC and Advocacy/Policy	1
Funding for Centres/established programmes	1
Do not know/cannot answer/not stated	36

43. If there was further SIDA support to PEN International without any restrictions, how do you think it could most effectively be used?

Comment	Number of Mentions
Increase research, advocacy, campaigns capacity	13
Investment in networks and opportunities for exchange	11
Capacity building of Centres	10
Investment in new staff	8
Increased support for literary work and programmes	4
Investment in Secretariat	4
Increased resources for education and school clubs	4
Support and funding for Writers in Prison Committee	4
Human rights work	3
Improved communications	3
Publications	3
Translation	3
Improved financial systems	3
Support to writers at risk	3
Festivals	2
Improved IT systems	2
Support for Centres operating in difficult contexts	2
Investment in Board	2
Rewarding high performing Centres	1
Investment in Committees	1
Increased PEN representation at the international level	1
Engage Centres in implementation	1
Training of staff	1
Make membership in International Congress less expensive	1
Do not know/unable to answer	12

Annex E – Country Visit Summaries

To be completed for Central Asia Freedom of Expression Workshop, Philippines, Sierra Leone and Puerto Rico