About the value of evaluation, collaboration, and empowerment given scarce resources and the need to have local buy in¹

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So, as you just heard, I'm going to be speaking a little bit about the value of evaluation, collaboration and empowerment given scarce resources and the need to have local buy-in. As you can see, I picked an appropriate symbol - that time is running out for all of us - given scarce resources and the need to have things done quickly.

Experts' role in empowerment evaluation

I want to show one of the many viewpoints - the classic one - which is that "We are the experts". The problem with the "We are the experts" classic perspective is the faulty assumption that expertise is sufficient. Expertise is necessary, without question. All of us



here have expertise. We've been trained. We've studied a long time. We have kept capacities that are very useful. But those things are only necessary. They are not sufficient to do the job. They are only one piece. So the assumption from the model is faulty. This morning Adolfo highlighted some of the history of that kind of perception, or that kind of viewpoint, and how we've evolved to today.

The next part of it is "What do they know". Typically what is joined with the assumption of "We're the experts" is the binary combination, the contrast, the polar opposite, which

¹ Transcription of the lecture given by Professor David M. Fetterman at the Conference "Empowerment Evaluation: Tools to Inform Decision Making and Strategic Planning" in Madrid, May 5, 2006.

is that if "We are the experts then we know everything". Very often we devalue local knowledge, which is usually fatal. Ignore local knowledge at your own peril because local knowledge is usually what makes things practical. It's usually what makes things doable. And, don't forget, that's where the buy-in exists. What we should say is "We are the experts so what do they know".

In these days of faulty foundations, lack of understanding of the community, the context of a situation, what's practical, or where things are on the developmental scale, let's consider a quick example. We work with women battered women and battered women's shelters. Some people say: "Well, we should make sure these women are trained for jobs, receive higher education, and are provided with other needed skills". In reality some of these women just need to have a van that they can sleep in with their kids so they have some place to stay. Is that wonderful? No. But it's realistic for their current training level versus the wonderful idea that they should have a perfect executive job. However, they don't have the education yet. They don't have the discipline. They don't have all of the social skills. Often they don't have an interest in that position yet.

In other words, I could have a perfect answer as an expert, but that solution could be totally irrelevant in a particular situation. That's why local knowledge is critical. You need to know what's appropriate for the situation. Even though you are trying to be helpful, it is important that you do whatever you do correctly. If you don't pay attention to the local knowledge so that you understand where people are, your foundation for building a social intervention will be faulty. In addition, you will have no buy-in which is critical if you expect people to follow through with these kinds of projects.

Along with "We are the experts, what do they know" comes the classic assumption that "We know best as the experts". That's not really true. We have very good ideas, wonderful ideas, but these ideas are often irrelevant or they're off target.

I want to highlight this concept as very, very important for what we've been talking about today - and yesterday as well. This has to do with what is called the EMIC perspective of

reality. As I mentioned yesterday, both the perception of reality and an individual's developmental stage are critical. If you remember, yesterday I mentioned that I used to work in a psychiatric ward doing evaluations. I mentioned that some of the men there - it was a Veteran's Administration hospital - thought that they could fly. Not like we flew over here, you know, but I mean fly. From an objective perspective, I may not believe that they can do that, but, as I said yesterday, there can be real consequences for their perception of reality if they are on the third floor of a building with no bars on the



windows. Ok? True? You don't have to know whether a person can or can't fly. But you must understand that an individual's perception of reality directly impacts that person's behavior. That's why, whether you agree with their perspective or not, you have to think from their point of view as you plan. As I mentioned before, you have to look at an individual's

developmental stage so that you can help that person on their level and not at some another level that is irrelevant to their concerns.

What I am pointing out is that there are relatively straightforward fallacies associated with the "We are the experts" viewpoint. It still is a very important viewpoint that is maintained globally - not just here in Spain - not just in the United States. Wherever you go this viewpoint is still an artifact of mentality for planning. It is a viewpoint that has not succeeded. While it is a useful viewpoint, it has significant limitations that prevent you from making substantial progress because your foundation is faulty and you don't have the proper building blocks to move forward.

So you move from "We are the experts" viewpoint to understanding that the expert perspective has placed a padlock on the potential of our communities. A padlock locks in people's creativity. It locks in people's innovation. It prevents people from speaking up,

being creative and joining new ideas. The expert's point of view creates dependency that then closes down the conversation. The innovation that we need comes from free-flowing conversation, dialogue. In Spain, and throughout the world, there is a need for new ideas, new concerns, new issues, new medical developments, new biotech developments that are appropriate and useful for our daily living and our quality of life. The problem with the expert perspective is not just that it is paternalistic, somehow demeaning, and not as humanitarian. While those are the things people say are the biggest concerns, in reality the biggest concern is that reliance on an expert's perspective dampens the creativity needed for additional productivity and global competition.

If you change the model, as we've said can be done using empowerment evaluation, from "We're the experts" to "They're the experts" or "You're the experts", we - the experts - become coaches and you've changed the whole nature of the playing field. You've changed the mindset of the people you're working with and yourself.

Yesterday I talked about working in the townships in South Africa where we were starting to build plots for land so that people could have their own gardens to sustain them. Now I have a little knowledge about horticulture, learned from my mother who was in agriculture. Not much, but a little. I was sitting there watching people working away and said "Oh, I have an idea". The reply was "No, no, David. We're busy right now". When that happens to an old evaluator, a traditional expert, he or she is likely to respond with "I'm so insulted. I come from so many miles away and you don't want to hear what I have to say? What's going on here?" That would be a traditional expert's view. If you turn it around and think "They're the experts" and "We're the coaches", your response would be "Good!" The evaluation of the same event becomes positive rather than negative. The expert recognizes that the people are acting on their own.

A critical point that we haven't really highlighted in the last couple of days is that while we're socialized to believe in the expert, and we have a transition to make as being coaches and facilitators, the people we work with are also socialized to expect us to be the experts - to tell them what to do. They don't always like it, but they're still used to

that model. So while we have to be socialized, or re-socialized, the people we work with also have to be re-socialized. For example: People may say they want empowerment – more control - but sometimes in the middle of an empowerment evaluation they'll say "Ah, there's a little too much work. David, why don't you just do this?" You've got to watch for this and not automatically respond with "I'll do it" like a dad who cleans up after his children. The expert's response should be "No. We'll do it together." If the expert cleans up all the time the result is that the group becomes dependent on the expert. What I'm pointing out is this: While we've been highlighting the last couple of days how experts have to be re-socialized to understand our role as coaches, you can't underestimate how much the people who say they want empowerment, and do want to have control, are still socialized to see the expert as the one who's going to take care of them. This makes it easy for you to regress into the wrong model. And you'll be blamed for being the expert and taking charge if anything goes wrong. So you must be on guard for that possibility.

The key in our transition process from experts to coaches is to use the "teach a person to fish" approach. Instead of just giving someone a fish to eat, you teach them to fish so that they can fish – and eat - forever. At the same time, I don't believe you abdicate your responsibility. You don't simply say "Go, do the evaluation" and you're done. You stay in there. You facilitate. You coach. And you are a critical friend. You are a friend in the sense that you believe in the program and the project and the goals. However, you must remain critical about whether things are happening and being done correctly. Let me give you a quick example: I've evaluated programs for high school dropouts on a national basis. Personally I happen to be in favor of schools that help drop outs get back into school and into a career. From an evaluation perspective someone could say: "Oh, he's biased. He's going to give a very positive report no matter what". Wrong. Because I believe in these kinds of programs so much, I am even more critical of them. I want these programs to work. I'll do everything I can from a critical perspective to make sure that these programs are doing the right things for these kids. So you see, my perspective is just coming from a slightly different angle. Being a critical friend is part of the expert's

role change. You are transforming your role from expert to expert that assists. But you are still on their side trying to help them improve.

Process use in empowerment evaluation

Yesterday we mentioned process use. This is another part of the empowerment evaluation process where the coach and facilitator (expert) gets more people involved in every way to conduct their own evaluations. Remember, the more the people are involved in taking the picture the better. Someone took the picture yesterday like he's taking now. He's



taking a shot over here. It's just further technology - take a shot, right there; push the button, right there; and now you've got it. José María has just now documented one more piece that we'll put into the slide show - like we just put it on the wall - and it documents what we've just done here. If anyone asks what

we've accomplished, we have the documentation. And it's not just me. You just helped to document it. José María has just been documenting. We've all been taking pictures and participating in it. The group who showed us what to do yesterday was wonderful. They were the model. You were the model at the same time.

The first reaction most people had to this transfer of technology and evaluation tools is "Oh, how can anyone know complex statistics and be able to do all this complex evaluation work?" Well, this is how simple it is. Part of it is taking pictures; part of it is keeping tabs on the attendance level for the different workshops you provide. Those are the very basic parts of evaluation. Yes, sometimes it can get sophisticated enough to require another evaluator to help, but a lot of it can be done as a team. The more that people do their own assessments, the more they will buy into it because the assessments are made with their findings and their recommendations.

Partnership and ownership

Remember the ratings we had yesterday in the workshop? The sixes and sevens? We talked about why things weren't working – about the disorganization and the lack of collaboration. If I came in and evaluated your team or department after knowing you for two hours you'd say "That American. What does he know? Get him out of here. He doesn't know anything!" But, if you assess yourself and give the scores to yourself you don't have the same problem because you're pointing to yourself. See the difference? What we just did yesterday is very powerful. The key is that you own those findings; you own those recommendations because they're you. The key in this process is to make the transition from being experts to being critical friends, coaches, and facilitators and seeing that the people are much more in charge and that you are respecting community knowledge and inviting community participation. In addition you're talking about - and this is a key word - a partnership. It's not that you abdicate your responsibility, give up or decide that they know everything or vice versa. It's a partnership. You combine their local knowledge with evidence based on expert knowledge.

Expert knowledge is valuable. We don't want to throw it all away. We worked hard to build a lot of knowledge about how things work. But is it always appropriate to adopt expert knowledge? No. Adapt it, yes. You take expert knowledge and adapt it to local circumstances. Adoption and replication are biological concepts. An adaptation is much more a human, sociological and psychological concept. We adapt to new environments. We don't replicate. We're different people. We live in different environments. You don't want to replicate. You probably would fail. If a classic idea such as an agriculture or education program, works in one community, the temptation is to replicate it everywhere. Is this a good idea? No. It will fail everywhere. It's a different community. The people are different. The circumstances are different. The finances are different. What you do instead is take the model and adapt it to the different environments. You have a better shot at being successful. That then becomes the partnership. With a partnership you create a sense of ownership and responsibility in everyone. If I'm the expert and I'm in charge and calling the shots, what happens to the commitment the moment I leave? It's

gone, too. The people know that a new group is going to come in and they're going to change the rules. Why should they have any commitment if that's what will happen? If you're creating rules; if you're creating the whole plan for the future and beginning to implement it, it could disappear with you when you leave and it doesn't matter. There'll be some stumbling but someone else will be in my place to help facilitate. You maintain momentum because you have a plan in place.

When we write a mission; when write up taking stock; when we write our plan for the future, a new person coming in can read those documents and be socialized to what has already been done. They don't take over just by sheer personality or force or position. They have to read and become a part of the value system and structure that you have created as a community. That's the sense of ownership and responsibility.

Why are we saying all this? We're not saying it because of the obvious humanitarian part – that it is respectful, appropriate. Those are not the reasons. The reason is simply economic. It's just money. It's just success. It's just being able to implement. If you use a model that is simply the expert model and you don't build capacity, you have no sustainability. That's a poor ROI - Return On Investment. You'll have a very poor return on investment.

Long-term impact and sustainability

The question in Spain today is a very simple: Are you planning - and this is a question that all of you have to ask yourselves - are you planning to build a building or are you building a community? That's the question. It's your future. If you're building only a building, that's all you'll have, and you'll be repairing it forever and you will not have any sustainability. If you're building a sense of community through building buildings, you will have a long-term investment. With a short-term accomplishment you can build a house. No question. It's not that hard anymore. You will be building a building that will not last, however. It will have to be maintained and it will not be maintained because no one will have been a part of the process of building it. To have long-term impact, you must empower a community to build and maintain that structure. Obviously this is a

metaphor. It doesn't apply to just housing. It applies to health, education, security, everything. If you place people in charge of doing this work, they'll know how to maintain it because they will have been involved in building it.. They will own it and they will respect it.

In the urban areas where I work, the absence of graffiti is a good indicator of people taking ownership. I know it's the same everywhere and in every country I've been in. But sometimes you'll be in certain communities where you expect to see graffiti, and you don't. Why? Because residents of those communities have taken ownership, not just of the buildings, but of the whole environment. As a result they immediately take care of any problems they see. The people in the community do this because care of their environment has been placed in their hands. They watch over the building so you don't see graffiti. Graffiti is one of the indicators that I take pictures of in communities. Has it spread? Has it been reduced or is it under control? The presence or lack of graffiti is just an indicator of what's going on in the community and the level of respect residents have for it. So, once again, you have must face the question: Are you building toward the future, or are you putting yourself in a position to simply put out fires?



Communities will always be just tinkering around the edges if only an expert tells them what to do. When the community is involved, shaping what's going on, building for the future of the next generation is also taking place.

One of the things Hank Levin, a

colleague of mine from Stanford, now at Columbia, taught me is to quit thinking the way I normally think. I normally think in terms of three-year or five-year demonstrations. He taught me to think in terms of generations. Think in terms of 20 years, 30 years, 40 years. When you invest in that mindset, you go much further toward sustainability. It makes you

think beyond yourself; even beyond the people you're working with right now. It used to be that if I lost a person from one of my projects who was a wonderful colleague and staff member, I would tear my hair out saying: "Oh my god! I lost one of my great people." Now I think differently. Now I think I'm planting a seed. If I truly believe in comprehensive community change I'm helping to plant a seed in another community where that person will do good. I'm still upset because I still have to get my project done, but I think differently about the real accomplishment. This is the difference between constantly putting out fires in your office or in the community, or focusing on building the direction of the community and the country.

The bottom line, and I'll close very quickly, is that there is a fundamental reality we must recognize. That fundamental reality is that there is not a limitless supply of resources. In reality there's a scarce set of resources. The issue becomes a simple economic one of return on investment. So, yes, I believe in humanitarian goals. But there are very fundamental economic reasons for using this kind of model.

Being inefficient

Now, this is going to sound very strange; it'll be one of the stranger quotations you'll have from Dr. Fetterman. But I must tell you that it is important to try to be as inefficient as possible rather than efficient. Let me give you an example: We have a project going in the hospital at Stanford right now aimed at helping the hospital become more family-oriented. Well, I'm a very goal-oriented person and I said "Ok, why don't you take this task and come back in two weeks and let us know where we are in the communication. Why don't you take care of funding and tell me what you're going to do with your committee on funding when we meet next week. Same thing for resource development products." I did that. Everybody came back and started telling me about what they were doing on communication. Everyone said: "No! What? I don't believe in those goals. What are you talking about? Ok, let's come back to yours. I go to the next one. Funding." Again I hear: "I don't believe in any of that stuff. What are you talking about? For that funding." It went on and on that way. In reality was it was better for me to be inefficient. It was better for me to take more time and allow us to figure out our goals and strategies

together as a group - like we did yesterday in the workshop - then spin it off into a smaller group.

It is better to be inefficient and make sure we're all on the same wavelength than to waste time. These groups were going off and doing things, spinning their wheels, and then coming back to meet and finding that no one agreed with what they'd done – and doing this again and again. Sit down, wait. While it may not be as efficient for all of us to meet together instead of going off to separate units, it ends up being more efficient to be inefficient because more gets done sooner. The perspective may be a little unusual, but definitely the result is true.

Keep this in mind when you're focusing on a formula for your own future success or the success of Spain as a country. You want to look at the limit of available funds and your return on investment. If you invest short-term you'll get a minimal return on your investment over time. You'll get what you put into it. If you put a small amount into it and you don't have community participation, you will limit the possibilities. You're going to have a very small return on the investment. If, on the other hand, you turn it around and invest for a longer term, like a CD bond, you know, a savings bond, you'll get a higher interest rate because you're involving more people and you're getting their input. You're leveraging the talent over time. You get to use people much longer because you're invested in the situation. I've had situations where the money has dried up and the people stayed on the project because they were so invested in it. I can assure you if it's a simple top-down structure, the moment the money's gone the people are out of there, gone. They have no investment. They have no commitment. This process allows you to leverage it over a much longer period of time so you can maximize what you learn.

Long term investment

None of us get it right away. Most of us figure out issues slowly, piece by piece. But by staying in there we learn more and more through our mistakes, our trials. New people come into the community. We really have a package that we know how to work with. If you don't allow people to mature and develop, you lose their potential - which is what we

talked about yesterday in terms of innovations, potential for this country and where things will go, and that programs can't be replications of other people's or ideas.



Spain, like every other country, has to constantly create its new ideas here. I'm not saying you shouldn't grab some from others and generate new ideas that are stimulated by other countries, but this has to be the center. I've been learning more and more about Spain's history; going back further and further. I'll tell you

something: The potential here has already been maximized in some places. Now it's time to reinvest, from my perspective. I think the United States also has to keep on working on it. The moment the United States slows down, it's going to go backwards. You can't stand still anymore.

For me, fiscal equations are human equations. You can do the math. The real equation isn't just the simple formula that we see; about what adds up mathematically. People - understanding people; the equation of interacting with them; getting their feedback, investing in people; building their capacity - that's the real equation. This is important for their personal pride and growth and self-respect, of course. If you really want to maximize your investment, you maximize it and the most important thing you have. The most important resource in Spain is people. It's not tourism. It's not the buildings. It's not the foliage. It's people. It's you. This is the investment that I think has to be made and it's why I believe in empowerment as one of the tools to obtain collaboration as an investment for your future. If you look at it even in a graph form you see this is not totally theoretical, at least that's true in projects I've worked on. To be honest with you, some of my short term projects yielded double the amount I've gotten from long-term investments. Building capacity and training people takes a long time. I'll train people and

I won't get that much out of them. But we're here for the long-term investment - for projects where I'm not doing a lot of training, or I'm doing very little training, just to go ahead and get the project finished, done. In the second year, I'll get about the same. So if I stopped here you'd say: "David, why are you bothering with empowerment evaluation? I'm getting what I need out of this thing and I'm going to be, you know, done with the project".

If you look into the third year the difference you'll see is that the people who only have a short-term investment will be gone. They're not part of any commitment so they go down in productivity. Because I lose most of them they have no knowledge to be able to move forward exponentially. When you learn, you learn in bits and pieces and then you make leaps. But it takes a little while before you can make those leaps. You have to have an investment in the basic knowledge. When you see the training investment paying off as people go from this to this, and you look out further to 2007, the people who have longerterm investments grow exponentially and then are able to really do leaps and bounds. They know how the organization works. They know the ins and outs, the things that none of us know initially. We waste time and our approach is very, very inefficient. But by this time, these people have invested in it. They know the community. They know who's really kind of cynical, who's positive, and who's productive. They know the game players and the local information. They know where to go to focus their energy to get things done. They're effective. These are newcomers. This has been a tremendous turnover. They don't know anything so they're starting from square one all over again meaning I get very little productivity.

So it's deceptive to look at the short run. It looks like: "David, don't bother with it". If you look at the long run, however, you see that there's a decline typically. There are short-term investments where you don't invest in people. If you invest in people, you will have continuity with people. Every time you can hold onto a group and have it last for a fairly long time, you'll see ideas that are creative, that you had never even thought, even imagined, when you first started. That's the exponential growth of long-term investment. Once you think this way and open up your mind, you have the combination to unlock the

empowering potential of your communities. It's a combination lock and you know the number! It's right in front of us. It's us. If you want more information about it, like yesterday, as we mentioned before, I'm always available.

I think we've hit a little bull's-eye on the key topic we've concentrated on for the last day and a half or so. I think I'll end on that note. I hope I was helpful in crystallizing where we are, where we've come, and why the investment is so important, from either a humane perspective or from an economic perspective, in building capacity in the people we work with. I hope that's helpful.

Final comments

I just wanted to come up with a couple of key points. A number of you have already highlighted some key elements in your questions. At least as I was listening, I heard some crystallization of the issues, concerns and frustrations. I think what I want to focus on, however, in terms of summary of comments, particularly today, but obviously they reflect yesterday as well, is the issue of the metaphor of a lens.

I think today and yesterday represent the opportunity to share a lens in which to see the world in a specific way, an evaluation way, in a specific kind of evaluation way and they're all focused on the same thing: the amelioration of social problems, whether it's hunger, housing, education, security, welfare. We refer to a number of different issues and we're all focused on the same thing, actually. When you look at what Adolfo and José María presented, they provided us with a contextual framework, an evaluation framework that allowed us to understand where things were so we can better appreciate where they are today. The learning context provided us with a better insight into the level of participation that is understood. We respect the contributions of evaluators in the past, and also planners. We wouldn't be where we are today if it wasn't for their work. So while we criticize much of what has been done, we also must respect what's been done because it's a building block of knowledge. In essence, that contextualization allows us to meaningfully interpret today.

If we move forward from there, what we saw when we looked at Juan's piece on the statistics was that what he kept was actually a marvelous instrument for monitoring. Monitoring is one of the lenses that you need to be able to follow to track data as it goes along. We may have brushed along pretty fast because in the spirit of critique we all had ideas in which to enhance that kind of thing with visuals, with additional kinds of verbatim quotations, case study, etc. But we need to understand that in its own right, as a monitoring tool, that many LGOs, NGOs, small organizations, government agencies do not have these tools and without them people can say what they want and when without having some sort of data to fall back on - evidence, the culture of evidence - that we were talking about.

So I think that was an instrument in the lens in which to see how to evaluate where we



are. It needs to be sort of appreciated and respected even though we all had refinements and very good insights in terms of where monitoring differs from evaluation. As you pointed out very nicely earlier, it's one thing to monitor and it's another thing to assess how well you have accomplished your objectives. Monitoring is simply a tool to help you do that. It's not the assessment itself. So we need to always take a step further although it's a critical lens in the process.

Benjamin provided a very interesting insight. If

you build on the concept Juan presented in terms of monitoring data, Benjamin highlighted how a lot of the information that you have about what's going on indicates that you're doing a wonderful job in terms of the program. Now, in spite of the data that's positive - usually it's in spite of the data that's negative - people sort of ignore it. In spite of the positive indications, you feel that there's a change that needs to be done. So

sometimes you have to transcend the actual data in front of you, however negative or positive.

In this case we're talking about positive indicators being put aside because, yes, they are necessary but not necessarily sufficient for where we need to go because he has the insight to be able to, once again, use that lens to focus on where they need to go for the future. That was a powerful one because typically you're talking about massive institutional resistance to change when you get negative comments and we're talking about a situation where there are positive comments about contributions that have been made over the years. Can you imagine the degree of difficulty we're talking about? And add to it the perception of reality that "We're doing fine".

So the power of this lens is not simply the power of data that Juan was pointing out, which is very powerful by itself. It's a step beyond that. It's a step beyond looking just at the data and being satisfied with it. It's looking into the future to see whether this is going to be sufficient. "Simple projections" is another way of phrasing it from an economic perspective, but the reality is it's more than that. It's really getting closer to what Ignacio was focusing on. He hinted at it earlier and we talked about it during the break. It is the music that you listen to in your soul. What Ignacio pointed out was a way to look at the data.

We've looked at first Juan's data. We've looked at Benjamin talking about the idea of looking beyond the data even when it's positive. What we now have is very interesting: the concept of the ratio. The ratio is not an insignificant factor. It is a way to contextualize the data so that you can meaningfully interpret it. If you look at it without that context, for example, the United States, I don't know how that example came up, looks phenomenal by itself if you consider just the gross amount of money. But if you put it in perspective in terms of the ratio, suddenly you realize, worldwide, never mind just the United States, that it's tiny.

It is the scandal that you speak of, but we wouldn't know that unless we take the time to use the lens. This lens in particular happens to be the ratio. The last part of the lens, from my perspective, is simply, of course, empowerment evaluation is a tool. It's not the answer; it is simply another tool, a vehicle, another part of our entire arsenal. None of us have all the tools. Once we all become, hopefully, the age we're all at now, we've made enough mistakes. We know we don't know everything and that there's no one tool that does it all. However, we are very acute about finding some tools that are effective and wanting to jump on them and use them because we know how serious the issues are and



how short the time is. All of our lives we notice how quickly, at the blink of an eye, time is going by. We can't really afford to wait. We have to find the most efficient tools.

Today and yesterday, for me, are summarized in the metaphor of the lens - the lens in which to focus on our problems that we all have focused on for many years now; to be more efficient and effective at trying to ameliorate those conditions. So I want to thank you very much for sharing and creating that knowledge with us through the workshops, through discussion. The exchange

wasn't a one-way street. It was a wonderful way of collaborating and building on our cumulative knowledge to once again use that as a lens when we walk out of here to more effectively and efficiently address the issues that we need to face on a day-to-day basis. So thank you very much for inviting all of us. Thank you.