

IPDET

Handbook

Module 12

Managing for Quality and Use

Introduction

Now that you know about development evaluation and the procedures for performing an evaluation, you can take a step back and look at a bigger and very important part of evaluation. Here, you will learn how to manage evaluations, how to assess the quality of an evaluation, and how to get your evaluation results used.

This module has nine topics. They are:

- Managing an Evaluation
- Planning an Evaluation
- Project Management
- Managing People
- Managing Tasks
- Development Evaluation Questions
- Management Tips
- Assessing the Quality of an Evaluation
- Using Evaluation Results.





Learning Objectives

By the end of the module, you should be able to:

- describe the importance of planning for development evaluation
- define terms of reference
- identify information that should be included in a terms of reference
- describe the roles and responsibilities of: evaluation manager, evaluator, team leader, client, stakeholder, and consumer
- describe techniques to use to help people work together to make decisions, including: brainstorming, affinity diagrams, and concept mapping
- describe how to use an evaluation design matrix to design an evaluation
- define project management and the components of project management, including: scope, time, money, and resources
- describe a project management process and how it relates to evaluation projects
- describe ways to manage people
- describe ways to manage tasks
- answer common questions about development evaluations
- discuss management tips
- describe ways to assess the quality of an evaluation
- describe ways to use evaluations.



Key Words

You will find the following key words or phrases in this module. Watch for these and make sure that you understand what they mean and how they are used in the course.

- terms of reference
- manager
- evaluator
- team leader
- client
- evaluation design matrix
- project management
- scope management
- time management
- money management
- resource management
- brainstorming
- affinity diagram
- concept mapping
- initiating
- planning
- executing
- controlling
- closing
- meta-evaluator
- sources of influence
- effects
- pathways



Managing an Evaluation

The key to successful development evaluations is planning. If the evaluation is poorly planned, no amount of later analysis – no matter how sophisticated it is – will save it.

You were introduced to the evaluation design matrix in an earlier module. The evaluation design matrix is a visual way to map your evaluation. It also makes it easier to identify the skills and resources needed to carry out the evaluation. Of course, not all evaluations seek to answer all three types of questions, so feel free to adapt the evaluation design matrix to best suit your needs.

Some people find the matrix helpful since it focuses attention on each of the major components for evaluating a program. This technique of systematically mapping out the evaluation design helps you to keep track of all the tasks necessary to answer your questions. It is unlikely that you will have all the information you need as you go through each step of the evaluation design process. As you get new information, you may have to revise some of your initial ideas and approaches.

It takes time to complete a design matrix since not all the information you need to know and include is available to you at the outset of the process. This is a common experience in development evaluation. You will find that planning is an iterative process. Sometimes you will run into dead ends (information you thought would be available isn't) or the methods that are apparently best are not appropriate or practical for a variety of reasons. Building and streamlining the evaluation design is an on-going process until all the details have been worked out.

Table 12.1 shows an example of a completed **evaluation design matrix** that links descriptive, normative, and impact evaluation questions to an evaluation design and data collection methods.

Table 12.1: Example of Evaluation Design

Questions	Sub-Questions	Approach	Measures	Source of Information/ Data Collection Methods	Sample	Analysis	Comments
What is the intervention doing? (descriptive question)	Who is it serving?	Rapid assessment	Number and characteristics of people served	Program records and documentation	Snowball sample of a variety of participants;	Frequencies and means	Should document any discrepancy between intended and actual implementation, and reasons
	What happens to participants?	Descriptive research	Description of intervention activities	Brief observation of activities in intervention	2-3 staff per site	Summarize steps in intervention	
	How does it work?	Checking against plan		Interviews with participants and staff		Extract themes from comments	
Is the intervention meeting its targets? (normative question)	Output goals met?	Multi-site evaluation	# participants served	Goal statements (at policy, program, project levels, as appropriate)	Stratified random sample of participants at each site;	Comparison of actual performance measures relative to targets	Where target exceeded or not met, note size of difference;
	Outcome goals met?	Comparison of performance against targets	Improvements in skills or conditions relative to targets	Program records and documentation	Selected staff	Extract themes from comments	Make note of any obvious side effects for follow-up
	On time?		Timeline	Surveys, observations, and expert ratings			
	Within budget?		Costs				
What is the impact of the intervention? (impact question)	On target recipients?	Consumer-oriented needs-based approach	Levels of performance assessed against needs	In-depth needs assessment → identify key outcomes	Census - all participants	Comparison of actual needs-related performance with that achieved by other programs;	Is this the most cost-effective way of addressing identified needs? Need recommendation re: implementation in other villages
	On others?	Open-ended tracking of downstream impacts	Benchmarked against other interventions	Survey, observation, expert assessment	Snowball sample of family members (to track ripple effects)		
	Ripple effects?						
	Compared to what?						



Guide for Using the Evaluation Design

You can change the format of the evaluation design matrix to fit your style and interests. For example, if you are only planning to address a normative question, you might want to write the sub-questions in detail, and include much more specific measures, and sources for finding them.

For each question, complete all the columns of the matrix. You want one row for each question. If you have two major questions, each question should have its own row in the design matrix, showing the data that you want to collect, where the information resides, how you will collect data, and what analysis you will use.

As mentioned before, the planning process is iterative and it will take time to determine the best way to conduct the evaluation. As you develop your design, you may discover that some of your original assumptions were incorrect.

Alternatively, you may be able to state your information more accurately and in greater depth than you first expected: for example, agency report # 2001 issued May 1998 can be specifically cited, not the entire database. Even if you do not feel you have enough information to complete the matrix, an evaluation design matrix can still be enormously valuable for clarifying the main steps involved, and for communicating these to others.

The comment section may be helpful in keeping track of unresolved issues, concerns you have as you go along, or names of contacts that might be helpful. Use it in any way that helps you.

Two useful tools (available online) for designing evaluations are:

- Evaluation Plans and Operations Checklist (Stufflebeam)¹
- Checklist for Program Evaluation Planning (McNamara).²

As with all the tools presented and referenced in these modules, it is often useful to look carefully at several of them, and then create a version of your own that will fit your particular situation, and the way you organize and understand information.

1 Available online: <http://evaluation.wmich.edu/checklists> and in the annexes

2 Available online: <http://www.mapnp.org/library/evaluatn/chklist.htm> and in the annexes



Reviewing Your Design

Once your design is complete, you want to make sure all of the pieces connect and will actually give you the best chance of obtaining the data necessary for you to answer the evaluation questions.

Pre-testing is essential. Every data collection instrument and procedure should be pre-tested.

Pre-testing allows you to identify any component of your data collection approach that is not going to work *before you actually begin to collect data*.

If you are pre-testing a data collection instrument, have several people use it in a real setting; then compare what their findings. If your instrument is standardized and structured, they should have collected the same data in the same way.

If you are pre-testing a survey or focus group, conduct them as if they were real. This means that a person being interviewed or being asked to complete a mail survey will actually go through the entire survey as if were the real thing.

Afterwards, have your data collectors and participants tell you what worked and what did not; what was clear and what was not. You need to de-brief the respondents. You can ask them how they might fix some of the problems they found.

Similarly, conduct one or two focus groups with a small group of the people that are similar to those who will be in your study. Go through the entire process. Again, at the end, ask them for feedback and suggestions.

You may also find it helpful to have experts review your plans and instruments. They can provide useful feedback and suggestions.

Lastly, have a proofreader who is unfamiliar with the material review your surveys to make sure they are clear, grammatically correct, and error free. You will be too familiar with it to find all the typographical errors.



Planning an Evaluation

According to a Chinese adage, even a thousand-mile journey must begin with the first step. The likelihood of reaching one's destination is much enhanced if the first step and the subsequent steps take the traveller in the correct direction. Wandering about here and there without a clear sense of purpose or direction consumes time, energy, and resources. It also diminishes the possibility that one will ever arrive. So, it is wise to be prepared for a journey by collecting the necessary maps, studying alternative routes, and making informed estimates of the time, costs, and hazards one is likely to confront – in other words, “think before you leap.”

In evaluation, front-end planning is equally necessary to ensure successful design and implementation. Issues that must be addressed (among others) will include:

- timing of the evaluation
- time management for the evaluation)
- the selection of actors and resources involved in the evaluation
- role of program logic and program theory (In Module 4)
- evaluation design (in Modules 4, 5, and 6)
- identifying required data and their availability, and how to overcome barriers to availability (in Modules 5 and 6).

This module discusses these and other aspects of front-end evaluation planning, including presenting some tools and techniques to assist you. In addition to providing practical information, this module will also discuss the role of theories in evaluation design and planning. In order to provide benchmarks by which quality can be assessed, methodological standards will also be presented and discussed.

Remember that front-end planning is only one aspect of the evaluation cycle. It is impossible to predict precisely what will occur when the evaluation proceeds, so that the evaluator must monitor and adapt as required. In this way, front-end planning functions as a reference point, from which planning can evolve in response to changing contingencies.



Timing of the Evaluation

As you are considering the use(s) of the evaluation, you should also consider the timing of the evaluation. If you have an evaluation that emphasizes use, time it so that your findings are available when decisions are being made or actions being taken. For example, many projects plan an evaluation at the end of the project, when the results may be observable. In many cases an evaluation might be more useful if done when critical decisions about the project are being made.³

Patton,⁴ identifies the following questions to assist you in establishing the evaluation's intended influence on decisions.

- What decision if any, is the evaluation finding expected to influence?
- When will decisions be made? By whom? When, then, must the evaluations findings be presented to be timely and influential?
- What is at stake in the decisions? From, whom? What controversies or issues surround the decision?
- What is the history and context of the decision-making process?
- What other factors (values, politics, personalities, promises already made) will affect the decision-making? What might happen to make the decision irrelevant or keep it from being made? In other words, how volatile is the decision-making environment?
- How much influence do you expect the evaluation to have – realistically?
- To what extent has the outcome of the decision already been determined?
- What data and findings are needed to support decision making?
- What needs to be done to achieve that level of influence?
- How will we know afterward if the evaluation was used as intended?

³ Carol Weiss (2004). *Identifying the intended use(s) of an evaluation*. IDRC. http://www.idrc.ca/ev_en.php?ID=58213_201&ID2=DO_TOPIC p 3.

⁴ Michael Q. Patton (1983) in Weiss *Identifying use(s) of an evaluation* (2004).



Why Plan for Evaluations?

There are several reasons why evaluators should plan and organize their evaluations.

1. *Characteristics of the evaluand influence the evaluation design*

Characteristics of the program, project or organization to be evaluated, including the circumstances, have a direct influence on the evaluation design. During the planning of an evaluation, the prospective evaluator should be 'guided by a careful analysis of the evaluation context'.⁵ Context issues include:

- timing of an evaluation
- purposes of an evaluation
- characteristics of the program, project, policy or organization to be evaluated
- resources available to the evaluator.

These issues influence the way(s) in which an evaluation can be done and what is to be expected from it. The following are examples.

- If the evaluation focus is on management problems or accountability, an audit-type evaluation will often be enough. However, when the effectiveness of a program needs to be established, a (quasi-)experimental design should be considered.
- Timing is an important element for an evaluation. First, evaluators must be aware of the difference between "evaluation time" and "political time." The program/policy worlds often move at a faster pace than the evaluation world, with its data collection, analysis and reporting. In addition, timing is an important aspect of planning because there can be a discrepancy between the appropriate time for measuring program impact according to the principal or sponsor of the program and the time it takes for that program to be implemented, to mature and to be ready for such an assessment. If one is urged to evaluate too soon, there is a real danger of the program being considered a failure simply because the evaluator did not allow enough time for the desired impact to become measurable.

⁵ P. Rossi, H. Freeman and M. Lipsey (1999). *Evaluation: A systematic approach*. Thousand Oaks: Sage. Chapter 2.



2. *Implementation problems due to inadequate evaluator preparation*

If the evaluator erroneously assumes that a rich data-infrastructure is available to do the job, the evaluator will need the ability to change the course of the evaluation. If, to give another example, the evaluator relies on the presence of “champions” and does not find them, it will lead to problems in implementation and in the utilization of findings. Implementation problems will also occur if not enough time has been allocated for the identification of stakeholders, as discussed in Module 3.

3. *The increasing incidence of monitoring and evaluation activities*

Thousands of evaluative reports (including meta-evaluations) in the field of development programs and projects have been done in recent years (Cooksey & Leeuw, 2004). According to the Campbell Society, over 10,000 randomized experiments have been carried out in such diverse fields as corrections, education, public information programs and labour force. While impressive, these numbers may cause problems of information overload, selectivity bias and (under)utilization of findings.⁶

Front-end planning is important to guarantee that evaluations (and programs) are built on the best available evidence, and the large body of work available represents a valuable resource upon which the evaluator can draw.

The evaluator needs to be cautious, however, in using methodologies, approaches and theories from the literature, to avoid imitating the wrong examples and producing substandard studies.⁷ Schwartz has listed several threats:

One threat stems from political and organizational pressures. Observers of program evaluation practice have long warned that political and commercial pressures on evaluation clients and on evaluators lead to a priori bias in evaluation reports (Wildavsky 1972; Weiss 1973; Chelimsky 1987). Administrators’ interests in organizational stability, budget maximization and the promotion of a favourable image all contribute to a general preference for evaluations and performance reports that cast programs in a positive light. A second

⁶ R.C. Rist and N. Stame (2006). *From Studies to Streams: Managing Evaluative Systems*. Piscataway, N.J.: Transaction Publishers.

⁷ R. Schwartz, J. Mayne (2004). *Quality Matters, Seeking Confidence in Evaluating, Auditing, and Performance Reporting*. Piscataway, NJ: Transaction Publishers.



threat to the credibility of evaluative information comes from poor practice. Unlike professions such as law, medicine and architecture, neither performance measurement – the data for performance reporting - nor evaluation has an accreditation system. Anybody can call themselves an evaluator and bid for evaluation contracts. Purchasers of evaluations and performance reports often lack the expertise to distinguish professional evaluators and competent performance measurers from well-intentioned amateurs or worse.⁸

The equation is simple: if an evaluation is not planned and organized properly, the chances are high that it will be a waste of money.

When Should an Evaluation Be Planned/Organized?

An evaluation should always be planned. But in this section we discuss five instances where investing in and planning for evaluative activities are particularly critical,⁹ including the following:

- policy or program theory is vague or unarticulated
- competition exists between programs/policies that are striving for the same impact
- divergence between planned and actual performance is expected
- a need to identify the cause of observed impacts
- conflicting evidence of outcomes emerges.

⁸ Schwartz (2004): “Where evaluation findings and performance information are used in decision-making this can have grave consequences. Muir (1999) provides evidence to this effect in a recent article on the use of evaluation findings for education reform policymaking. 116 evaluation studies which constituted the evaluative support base for twenty-four common school reform programs were assessed on the basis of: scope, objectivity of measurement instruments, construct validity, internal validity, sample bias, use of appropriate statistical technique, and external validity. “Out of the two dozen programs examined, only three had both adequate research base and strong evidence of success.”

⁹ Front-end planning resembles what the World Bank calls a readiness assessment of Monitoring & Evaluation systems to be implemented in countries. Then investigators check a number of criteria indicating to what extent a country (or an organization) is ready for the development and implementation of M and E –systems. — J.Z. Kusek & R.C. Rist (2004). *Ten steps to a results-based monitoring and evaluation system: A Handbook for Development Practitioners*. Washington, DC: World Bank.



Vague or Unarticulated

It is critical that an evaluation be planned/organized when the program theory or policy has been unarticulated or vaguely stated, but the program/policy has been implemented and is nevertheless expected to have an impact.

This situation is not uncommon in many fields. The Urban Institute was one of the first organizations to discuss the problem:¹⁰ evaluators often find it difficult if not impossible to undertake evaluations of public programs and policies. This led to the view that a qualitative assessment of whether minimal preconditions for evaluation were met should precede most evaluation efforts. Wholey and his colleagues termed this process ‘evaluability assessment.’ Evaluability assessment involves usually three primary activities:

- Describing or articulating the program theory with particular attention to defining the program goals, objectives and instruments/tools (used for realizing these goals);
- Assessing how well defined and evaluable this program theory is; and
- Identifying the stakeholders’ interest in evaluation, including the likely use of the study.¹¹

Rossi et al state that evaluators doing this kind of work ‘operate much like program ethnographers,’ digging into why actors want the program to be implemented, and how they think it will happen. Documentary evidence, including interoffice communications/e-mails is part of the data collection effort. Although this process involves considerable judgment and discretion on the part of the evaluator, practitioners and scientists have attempted to codify its procedures so that evaluability assessments will be reproducible by other evaluators (Rutman, 1980;¹² Wholey, 1994;¹³ Leeuw, 1991,¹⁴ 2003¹⁵).

¹⁰ J.S. Wholey (1979). *Evaluation: promise and performance*. Washington, DC: The Urban Institute.

¹¹ Rossi, Freeman, and Lipsey (1999). *Evaluation: A systematic approach*. Thousand Oaks: Sage Publications. Pp 157-160.

¹² L. Rutman, (1980). *Planning useful evaluations: Evaluability assessment*. Thousand Oaks: Sage Publications.

¹³ Wholey, (1994). “Assessing the feasibility and likely usefulness of evaluation,” in *Handbook of practical program evaluation*, Wholey, Hatry, and Newcomer, editors. San Francisco: Jossey-Bass.

¹⁴ , Frans Leeuw (1991). Policy Theories, Knowledge Utilization and Evaluation. OECD World Forum on Statistics: Knowledge and Policy, 4:73-91.

¹⁵ Leeuw Frans (2003). Source not available at time of print.



Scenario-studies, pilot investigations and the Delphi-method are also part of this approach.

Evaluations before a program, project, or policy is implemented are also useful to improve the design. An evaluability assessment "...can be used to determine if it will be effective to proceed with an evaluation. This includes working with program [project/policy] managers to determine if goals and program models or theories are clearly articulated and feasible and if identified audiences will use the information." It can help managers and stakeholders better conceptualize a project/program/policy before actual implementation, and while necessary adjustments can still be made.

Here the recent developments in *research syntheses* are of great importance for program designers and evaluators. In particular *realist syntheses* have a lot to say to evaluators that aim at assisting program designers and policy makers to use the most relevant information from earlier evaluations and studies to develop their program or policy. In *section 6* more (practical) information on this type of synthesis will be presented.

Evaluability assessments – in the end—strive for creating a climate favourable to evaluation work and an agreed-on understanding of the nature and objectives of the program or policy.

When doing an evaluability assessment, it is wise to be knowledgeable about the role evaluations play in the larger political context. All evaluations take place within a political context, reflecting the interests, needs and demands of internal and external stakeholders with respect to a given project/program/policy. Bureaucratic pulling and hauling and trade-offs often come into play, particularly where allocation of scarce resources is concerned.



Competition between Programs/Policies

Planning for an evaluation is especially critical when there is competition between two or more program/policies that strive for the same or almost the same impact

Competition between programs or policies is not uncommon. Sometimes principals are in favour of persuasion-oriented approaches, while others favour a more legal ('coercive') approach. "Sticks, Carrots and Sermons"¹⁶ is a nice illustration of the different tools policy makers can apply, sometimes concurrently. The concepts of 'policy windows' and 'policy paradigms' are indicators of this phenomenon. The recent UK government program on preventing and reducing crime has this idea of *program competition* as one of its core dimensions (Tilley, 2004).

When such a 'cognitive competition' takes place, evaluation can play the role of outlining what the expected impact of the competing programs will or can be.

Divergence between Planned and Actual

Planning for an evaluation is especially critical when a divergence between planned (or expected) and actual performance is expected.

When regular measurements of key indicators suggest a sharp divergence between planned performance and actual performance, evaluative information can be crucial. Principals and managers need to know why. "What is going on that either we are falling behind our planned performance so badly or that we are doing so well that we are ahead of our own planning frame?"

Managers and stakeholders will recognize from their own experience that planned and actual performances are most often not identical, and some variation is to be expected. But when that divergence is dramatic, sustained, and has real consequences for the policy, program, or project, it is time to step back, evaluate the reasons for the divergence, and assess whether new strategies are needed (in the case of poor performance), or learn how to take the accelerated good performance and expand its applications.

¹⁶ M.L. Bemelmans Videc, R.C. Rist, and E. Vedung (1997). *Sticks, Carrots and Sermons: Policy Instruments and their Evaluation*. Piscataway, NJ: Transaction Publishers.



To Learn What Caused Observed Impacts

Planning for an evaluation is especially critical when one wants to find out what has *caused* observed impacts, the design/program itself or the way it was implemented?

Evaluation information can help differentiate between the contributions to the outcomes that are attributable to the *design* of the program as opposed to the way it has been *implemented*.

Figure 4.1 illustrates the relationship of strong/weak design to strong/weak implementation.

When Is it Time to Make Use of Evaluation?

When you want to determine the roles of both design and implementation on project, program, or policy outcomes

		Strength Of Design	
		Hi	Lo
Strength of Implementation	Hi	1.	2.
	Lo	3.	4.

Fig. 4.1: When is it time to make us of/plan an evaluation?

In Figure 4.1, *square 1* is the best place to be – the design (a causal model of how to bring about desired change in an existing problem) is strong and the implementation of actions to address the problem is also strong. Very probably managers, planners, and implementers would like to spend their time and efforts here – making good things happen for which there is demonstrable evidence of positive change.



Square 2 generates considerable ambiguity in terms of performance on outcome indicators. In this situation there is a weak design that is strongly implemented—but with weak to no evident results. The evidence suggests successful implementation, but few results. The evaluative questions – “why?” – should then address the strength and logic of the design. For example, was the underlying program theory correct? Was it sufficiently robust, which if implemented well, would bring about desired change? Was the problem well understood and clearly defined? Did the proposed change strategy directly target the causes of the problem?

Square 3 also generates considerable ambiguity in terms of performance with respect to outcome indicators. Here is the situation of a well-crafted design that is poorly implemented—and again, with weak to no evident results. This is the reverse situation of Square 2, but with the same essential outcome– no clear results.

The evaluative questions focus on the implementation processes and procedures:

- Did what was supposed to take place actually take place? When, and in what sequence?
- With what level of support?
- With what expertise among the staff?

The emphasis is on trying to learn what happened during implementation that brought down and rendered ineffective a potentially successful policy, program, or project.

Square 4 is NOT a good place to be. A weak design that is badly implemented leaves only the debris of good intentions. There will be no evidence of outcomes. The evaluation information can document both the weak design and the poor implementation. The challenge for the manager is to figure out how to quickly close down this effort so as to not prolong its ineffectiveness and negative consequences for all involved.

Here, both *formative (or process evaluation)* and *summative (ex post) evaluations* can be applied.



Conflicting Evidence of Outcomes

Planning for an evaluation is also especially critical when there is conflicting evidence of outcomes.

Evaluation information can help when similar projects, programs, or policies are reporting different outcomes. Comparable initiatives with clearly divergent outcomes raise the question of what is going on and where. Among the questions that evaluation information can address are the following: Are there strong variations in implementation that are leading to the divergence? – Or – do key individuals not understand the intentions and rationale of the effort so are providing different guidance leading to essentially different approaches? Or, as a third possibility, are the reporting measures so different that the comparisons are invalid?

The Evaluation Team

Conducting an evaluation involves working with other people. Evaluators work with the client (the commissioner of the evaluation) and other stakeholders. For some evaluations, evaluators collaborate with other evaluators in a variety of jobs, with a variety of skills, knowledge, and responsibilities.

Establishing and agreeing upon what to do, who will do it, and when it will be done are essential for managing evaluations. If you establish clear terms of reference and roles and responsibilities, your evaluation should have fewer problems, be completed in a timely manner, and ensure relevant outputs.

If evaluation is so useful, why do people generally fear evaluation? If you ever had a program or project that you managed, evaluated by someone else, you may recall that fear! The fear is that the evaluation will be detrimental to a good program. Evaluator bias may be feared or the fear may be that the evaluators will only be looking for, or concentrating on negatives. The fear may also be in part of that lack of difficult-to-measure program impact may result in an erroneous conclusion that the program is ineffective with consequences to its funding.

Evaluators should recognize fear of evaluation. Involvement of program managers in planning the evaluation and opportunities to review evaluation work plans, findings, and recommendations are ways to address such fears.



Terms of Reference

Terms of Reference (TOR) describe the overall evaluation and establish the initial agreements prior to the work plan. The process for developing the Terms of Reference can be very useful in ensuring that all stakeholders are included in the discussion and in decision-making about what evaluation issues will be addressed. It establishes the basic guidelines so everyone involved understands the expectations for the evaluation and the context in which the evaluation will both take place.

According to the *Glossary of Key Terms in Evaluation and Results Based Management*¹⁷, Terms of Reference are a written documentation that present:

- the purpose and scope of the evaluation
- the methods to be used
- the standard against which performance is to be assessed or analyses are to be conducted
- the resources and time allocated
- reporting requirements.

Terms of Reference typically include:

- Title: short and descriptive
- Project or Program Description
- Reasons for the evaluation and expectations
- Scope and focus of the evaluation: the issues to be addressed and questions to be answered
- Stakeholder involvement: who will be involved, defined responsibilities, and accountability process
- Evaluation Process: what will be done
- Deliverables: typically an evaluation work plan, interim report, final report and presentations
- Evaluator qualifications: education, experience, skills and abilities required
- Cost projection based on activities, time, number of people, professional fees, travel and any other related costs.

¹⁷ OECD, DAC, *Glossary of key terms in evaluation and results based management*, (OECDE, 2002.) p 36.



According to the Planning and Managing an Evaluation website from the UNDP:

It is always good to have written TOR. The TOR serves as the basic tool for an evaluation manager to ensure the high quality of the exercise at different points - from the time the evaluation team is organized to the time that the exercise itself is conducted and the final report is prepared. Of course, the TOR has to be well written, emanating from consultations with evaluation stakeholders and clearly directed at some very specific issues¹⁸.

The following guidelines for writing evaluation terms of reference are modified from the UNDP Planning and Managing an Evaluation website.

- State clearly the objectives of the evaluation:
 - identify the stakeholders of the evaluation
 - the products expected from the evaluation
 - how the products are to be used
 - the specific issues to be addressed
 - the methodology
 - the expertise required from the evaluation team
 - arrangements for the evaluation.
- Do not simply state the objectives in technical or process terms. Be clear on how the evaluation is expected to help the organization.
- Focus on key issues to be addressed by the evaluation.
- Avoid too many issues. It is better to have an evaluation that examines a few issues in-depth rather than one that looks into a broad range of issues superficially.

Fitzpatrick, Sanders, and Worthen¹⁹, suggest that clients and evaluators should also consider agreeing upon ethics and standards in contract agreements.

¹⁸ UNDP, Planning and managing an evaluation:
http://www.undp.org/eo/evaluation_tips/evaluation_tips.html

¹⁹ Jody L. Fitzpatrick, James R. Sanders, & Blaine R. Worthen. *Program evaluation: Alternative approaches and practical guidelines* (New York: Pearson Education, 2004.) p. 286.



There are some useful checklists available for drawing up evaluation contracts and budgets. In particular, the following resources should be helpful:

- Evaluation Contracts Checklist (Stufflebeam)²⁰
- Checklist for Developing and Evaluating Evaluation Budgets (Horn)²⁰
- Key Evaluation Checklist, Michael Scriven.²¹

You can find copies of these online and in Annexes III.1, III.2, and III.3 of this course.

Contracting Evaluations

There may be times when human resources are not available in your organization to complete an evaluation with in-house resources. You may need to consider hiring one or more people to assist. In these cases you need to bring them in on a contract.²²

Contractors can be brought in for the whole study or only parts of the study. Using contractors has advantages and disadvantages.

- Advantages:
 - a fair and transparent process likely
 - the best people undertake the evaluation.
- Disadvantages:
 - expensive (tender process can cost more than the price of the contract)
 - loss of in-house knowledge building.

The process for hiring a contractor involves two main steps:

- developing a request for proposal (RFP)
- use a selection panel to choose a contract evaluator.

²⁰ Available online: <http://www.wmich.edu/evalctr/checklists/contracts.pdf>

²¹ M. Scriven. *Key Evaluation Checklist*. Oct 23, 2005. pp. 5-7.
http://www.wmich.edu/evalctr/checklists/kec_october05.pdf

²² P. Hawkins (2005). "Contracting evaluation," IPDET workshop, June 2005. Slides 1-18.



Hawkins²³ suggests the following items be included in a RFP for contract evaluators:

- purposes of the evaluation
- background and context for the study
- key information requirements
- evaluation objectives
- deliverables required
- time frame
- criteria for tender selection
- contract details for the project manager
- deadline for proposals
- budget and other resources.

Once you have set the TOR, you can begin setting up a process to hire a contractor. Hawkins suggests using the following selection process:

- Select a panel comprising people with:
 - evaluation knowledge and experience
 - knowledge of the program area
 - knowledge of the culture
 - ownership of the findings and their uses.
- Have the panel select the proposal using the criteria in the TOR and RFP.
- Keep a record of the selection process.

Hawkins also suggests using the following criteria for selecting the contractor:

- What is the contractor's record of accomplishment?
- Has the RFP been adequately addressed?
- Is there a detailed explanation of implementation?
- What is the communication and reporting strategy?
- Is there evidence of competencies?
- What is the cost — is it specified in detail?

²³ P. Hawkins (2005). "Contracting evaluation," IPDET workshop, June 2005. Slides 6 – 8.



Once you hire a contractor, you still have responsibilities towards the contractor and the evaluation. Hawkins²⁴ suggests the purchaser has the following responsibilities:

- keeping goals and objectives clear
- maintaining ownership of the study
- monitoring the work and providing timely feedback
- decision making – in good time
- if changes are required to the contract, being open to negotiation with the contractor.

Roles and Responsibilities

Many people can work on an evaluation. They will have different capacities and will fill different roles and responsibilities. People can be engaged with an evaluation as:

- evaluation managers
- evaluators
- clients
- providers of information (stakeholders)
- consumers (impacted).

The important thing is that each person has their roles and responsibilities clearly defined and agree to them.

Evaluation Manager

The **evaluation manager** is the person who will manage the design, preparation, implementation, and follow-up of an evaluation. The evaluation manager may have several evaluations to manage at the same time. In some cases, where there is no evaluation manager, an evaluator will have the responsibilities of the evaluation manager as well as those of the evaluator.

Responsibilities of Evaluation Managers

The following is a list of responsibilities that may be required of an evaluation manager. The list is adapted from UNFPA, *Programme Manager's Planning, Monitoring and Evaluation Toolkit*.²⁵

²⁴ P. Hawkins (2005). "Contracting evaluation," IPDET workshop, June 2005. Slide 18.

²⁵ UNFPA, *Programme manager's planning, monitoring and evaluation toolkit*. <http://www.unfpa.org/monitoring/toolkit.htm>

***Preparation:***

- determine the purpose and users of the evaluation results
- determine who needs to be involved in the evaluation process
- together with the key stakeholders, define the evaluation design, objectives, and questions
- draft the terms of reference for the evaluation; indicate a reasonable time-frame for the evaluation
- identify the mix of skills and experiences required in the evaluation team
- oversee the collection of existing information/data; be selective and ensure that existing sources of information/data are reliable and of sufficiently high quality to yield meaningful evaluation results; information gathered should be manageable
- select, recruit, and brief the evaluator(s)
- ensure that background documentation/materials compiled are submitted to the evaluator(s) well in advance of the evaluation exercise so that the evaluator(s) have time to digest the materials
- decide whose views should be sought
- propose an evaluation field visit plan
- ensure availability of funds to carry out the evaluation
- brief the evaluator(s) on the purpose of the evaluation; use this opportunity to go over documentation and review the evaluation work plan.



Implementation:

- ensure that the evaluator(s) have full access to files, reports, publications, and any other relevant information
- follow the progress of the evaluation; provide feedback and guidance to the evaluator(s) through all phase of implementation
- assess the quality of the evaluation report(s) and discuss strengths and limitations with the evaluator(s) to ensure that the draft report satisfies the TOR, and that evaluation findings are defensible, and recommendations are realistic
- arrange for a meeting with the evaluator(s) and key stakeholders to discuss and comment on the draft report
- approve the end product; ensure presentation of evaluation results to stakeholders.

Follow-up:

- evaluate the performance of evaluator(s) and place it on record
- disseminate evaluation results to the key stakeholders and other audiences
- promote the implementation of recommendations and use of evaluation results in present and future programming; monitor regularly to ensure that recommendations are acted upon.

One of the most time-consuming responsibilities of evaluation managers is helping the evaluators do their work. To enable evaluators, they may find themselves using the telephone, electronic mail, or conferences to communicate with evaluators to:

- clarify the TOR for the evaluation team
- answer questions
- check on status of responsibilities
- ask if they need additional resources
- helping the evaluation team to learn more about each other, their responsibilities, their areas of strength, and means of contacting each other.



The evaluation manager may serve as a facilitator during team meetings. As a facilitator, the evaluation manager will enable all participants to share their views and ideas. A facilitator is responsible for:

- setting an agenda
- helping the group stick to the agenda (topics and times schedule)
- ensuring that all views are heard
- overseeing a process for decision-making (a consensus or a voting process).

Evaluation managers may also need to choose the staff – either in-house or consultant – that will work on evaluation projects.

One of the most important responsibilities of an evaluation manager is to review the strength of the evidence underlying the evaluation findings and recommendations made by the evaluation team.

The evaluation manager also checks that:

- the final report represents the findings and recommendations of the team as a whole
- all of the issues specified in the TOR are addressed
- there is a clear explanation if one or more issues has been dropped.

On some evaluations, one member of the team may have strong, dissenting views on a particular issue. In such cases especially, the evaluation manager must carefully review the evidence before proceeding.

Evaluators

Evaluators are the people who do the actual work in an evaluation. There may be from one to many evaluators on an evaluation, and they may be internal or external; that is, in-house or contract evaluators. The number of people involved depends on the size of the evaluation, the budget, and the number of people available.

Evaluations with more than one evaluator usually assign one evaluator as the **team leader**.



Evaluators may be chosen to participate on an evaluation for different reasons. The UNDP²⁶ suggests characteristics that might be important in an evaluator. The following list is adapted from the UNDP materials:

- expertise in the specific subject matter
- knowledge of key development issues especially those relating to the main goals or the ability to see the "big picture"
- familiarity with organization's business and the way such business is conducted
- evaluation skills in design, data collection, data analysis, and preparing reports
- skills in the use of information technology.

Some organizations have evaluators on staff. Those organizations will usually use their evaluators. Other organizations may need to contract with people outside of their organization to work on evaluations.

In either case, there are advantages and disadvantages for working with in-house evaluators and contract evaluators.

If what the organization needs is relatively straightforward and the organization has someone on their staff with the capabilities to do the evaluation, they should be able to complete this evaluation internally.

The organization might also consult some evaluation resources and/or talk to people outside the organization who have extensive experience in evaluation.

If the needs of the evaluation go beyond the in-house expertise, then the organization will need to hire one or more outside evaluation experts to supplement the existing staff expertise.

²⁶ UNDP, Planning and managing an evaluation:
http://www.undp.org/eo/evaluation_tips/evaluation_tips.html



Responsibilities of Evaluators

The following is a list of potential responsibilities of evaluators modified from the UNFPA²⁷ list.

- provide inputs regarding evaluation design; bring refinements and specificity to the evaluation objectives and questions
- conduct the evaluation
- review information/documentation made available
- design/refine instruments to collect additional information as needed; conduct or coordinate additional information gathering
- undertake site visits; conduct interviews
- in the case of a participatory evaluation, facilitate stakeholder participation
- provide regular progress reporting/briefing to the evaluation manager
- analyze and synthesize information; interpret findings, develop and discuss conclusions and recommendations; draw lessons learned
- participate in discussions of the draft evaluation report; correct or rectify any factual errors or misinterpretations
- guide reflection/discussions if expected to facilitate a presentation of evaluation findings in a seminar/workshop setting
- finalize the evaluation report and prepare a presentation of evaluation results.

²⁷ UNFPA, *Programme manager's planning, monitoring, and evaluation toolkit*.
<http://www.unfpa.org/monitoring/toolkit.htm>



Responsibilities of Team Leader

In some organizations, the evaluation team leader writes the report. This can help to ensure that the evaluation team satisfies the TOR. In some cases, another member of the evaluation team may write the report making sure to satisfy the TOR.

The UNFPA²⁸ includes the following additional responsibilities for team leaders.

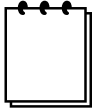
- supervise team members and manage the day-to-day process of carrying out the evaluation; make sure all aspects of the evaluation are covered
- act as mediator if there are dissenting views within the evaluation team.

Client

Your client is the person who officially requests the evaluation and, if it's a paid evaluation, pays for or arranges payment for the evaluation. Hopefully this is the same person to whom you will report.

Case 12-1 describes an example of a timetable and organization of an evaluation in China.

²⁸ UNFPA, *Programme manager's planning, monitoring, and evaluation toolkit*.
<http://www.unfpa.org/monitoring/toolkit.htm>



Case 12-1: The ORET/MILIEV Programme in China

In this Chinese evaluation the organization and timetable of the project were identified as follows²⁹:

The Steering Committee will make decisions on the evaluation. The Steering Committee includes the following people:

[list of Steering Committee members' names and titles]

- Co-chairs
- Project coordinators
- Reference Group.

The Reference Group will provide advice and support. The following will be invited to become members of the Reference Group:

- Chinese MOF
- SDRC.
- UNDP China
- RNE Beijing
- FMO Chinese Expert.

Team leaders will organize the field work and other studies.

The key moments in the evaluation, in which the Reference Group will be involved and the Steering Committee will make any necessary decisions, are as follows:

- design of the filed/desk/case studies
- preparation of draft filed study reports
- preparation of the draft synthesis report.

²⁹ Chinese National Centre for Science and Technology Evaluation (NCSTE) (China) and Policy and Operations Evaluation Department (IOB) (the Netherlands) (2006). *Country-led Joint Evaluation of the ORET/MILIEV Programme in China*. Amsterdam: Aksant Academic Publishers. p.167.



Project Management

Project management is about managing all the facets of a project, at the same time. This includes managing:

- **time:** duration of tasks, dependencies, and critical paths
- **scope:** project size, goals, requirements
- **money:** costs, contingencies
- **resources:** people, equipment, material.

Project management is analogous (similar to) juggling. Like a juggler who must keep many balls continuously in the air, the project manager must keep track of many things at one time and be responsible for their success.

Project Management Process

Most experts in the field agree that project management is a process, *involving* phases or stages. There are many project management models. Michael Greer, a well-known authority on project management, has developed a model which was chosen here because of its emphasis on actions and results. Your organization may have its own model or you may choose another model. The important thing is that you understand the many things a manager is responsible for and actions and results that should be included.

Greer's model divides project management into five phases. The information in this section is adapted from his Project Management Resources web site.³⁰ His five phases are:

- initiating
- planning
- executing
- controlling
- closing.

Figure 12.2 shows a diagram of this five-phase process.

30 C) Michael Greer. *Michael Greer's Project Management* 2004.
<http://www.michaelgreer.com>.

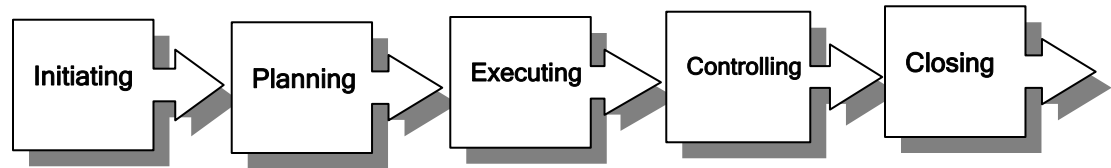


Fig. 12.2. Michael Greer's Five Phase Project Management Process.

Each of these phases is divided into steps, which Greer calls *actions*, and for which he includes a description of its results.

Initiating

In this first phase, Greer identifies three of the 20 actions. They are

1. Demonstrate project need and feasibility.
2. Obtain project authorization.
3. Obtain authorization of the phase

Most projects begin by confirming that there is a need for the project. For evaluation projects, this is usually the beginning of the terms of reference (TOR, covered in Module 3, *Initial Planning of an Evaluation*).

The second action in Greer's initiation is authorization. In evaluations, you will probably need to get an approval to proceed from the stakeholders. You agree to the terms of reference and the stakeholders approve the TOR in writing.

The last action in this phase is to authorize that the initiation phase is complete and work can begin on the planning phase. For evaluations, this step might include a sign off on the initiation phase.

Planning

The planning phase has the most steps. Many argue that the success of a project begins with good planning. Managers will spend much of their time planning. The plan for an evaluation project will be documented and agreed upon in the TOR.

Greer's planning phase has 13 actions. Some of the steps are optional, and the number of steps you need to do will depend on the size of the project and the need for additional guidelines or agreements.



The following are the 13 actions (numbers 4 through 17 of 20) of the Planning phase and their results.

4. Describe project scope, producing:
 - statement of project scope
 - scope management plan
 - work breakdown structure (WBS)
5. Define and sequence project activities, producing:
 - an activity list (list of all activities that will be performed on the project)
 - updates to the work breakdown structure
 - a project network diagram.
6. Estimate durations for activities and resources required: producing:
 - estimate of durations (time required) for each activity and assumptions each estimate is based on
 - statement of resource requirements
 - updates to activity list.
7. Develop a project schedule, producing:
 - a project schedule in the form of Gantt charts, network diagrams, milestone charts, or text tables
 - supporting details, such as resource usage over time, cash flow projections, order/delivery schedules, etc.
8. Estimate costs, producing:
 - cost estimates for completing each activity
 - supporting detail, including assumptions and constraints
 - cost management plan describing how cost variances will be handled.
9. build a budget and spending plan, producing:
 - a cost baseline or time-phased budget for measuring/monitoring costs
 - a spending plan, telling how much will be spent on what resources at what time.



10. Create a formal quality control plan (optional), producing:
 - quality control management plan, including operational definitions
 - quality control verification checklists.
11. Create a formal project communications plan, (optional) producing:
 - collection structure
 - distribution structure
 - a description of information to be distributed
 - schedules that list when information will be produced
 - a method for updating the communications plan.
12. Organize and acquire staff, creating:
 - role and responsibility assignments
 - a staffing plan
 - organizational chart with detail as appropriate
 - assembled project staff
 - project team directory.
13. Identify risks and plan to respond, (optional) compiling:
 - a document describing potential risks, including their sources, symptoms, and ways to address them.
14. Plan for and acquire outside resources, (optional), creating:
 - procurement management plan describing how contractors will be obtained
 - statement of work (SOW) or statement of requirements (SOR) describing the item (product or service) to be procured
 - bid documents, such as RFP (request for proposal), IFB (invitation for bid), etc.
 - proposal evaluation criteria (the means by which contractors' proposals are scored)
 - contract with one or more suppliers of goods or services.



15. Organize the project plan, creating:

- a comprehensive project plan that pulls together all the outputs of the preceding project planning activities

16. Close the project planning phase, obtaining:

- approval in writing that the project plan is complete and authorized by appropriate authorities, and that work can begin.

17. Review the project plan and re-plan if needed, creating confidence that:

- the detailed plans to execute a particular phase are still accurate and will effectively achieve results as planned.

Executing

During the execution phase, the manager will be making sure that every task is being completed: the questions are developed, the model is chosen, the data collected and analyzed and the report is written.

Greer identifies one action (number 18 of 20) and six results.

18. Execute project activities, ensuring that:

- work results (deliverables) are produced
- requests for changes to project scope, called “change requests” are identified and documented
- periodic progress reports are created
- team performance is assessed, guided, and improved if needed
- bids/proposals for deliverables are solicited, contractors (suppliers) are chosen, and contracts are established
- contracts are administered to achieve desired work results.



Controlling

As the evaluation is being conducted, the manager needs to keep track of people, activities, money, and the scope of the project.

Greer identifies one action (number 19 of 20) in this phase, with six results.

19. Control project activities by making/taking
 - decisions to accept inspected deliverables
 - corrective actions such as rework of deliverables, adjustments to work process, etc.
 - updated project plan and scope as required
 - a list of lessons learned for future reference
 - actions to ensure improved quality
 - completed evaluation checklists (if applicable).

Closing

Greer's last phase in his project management process is closing. In evaluation, a project manager will finalize the report, and find ways to get the report's recommendations implemented. A manager will also archive information, including data, for later use such as future evaluations. Managers should also document successes and challenges encountered in the project. This might assist future evaluators in learning to work more efficiently or effectively.

Greer has one action (number 20 of 20) for this phase, with four results.

20. Close project activities, resulting in:
 - formal acceptance, documented in writing, that the sponsor has accepted the product of this phase or activity
 - formal acceptance of contractor work products and updates to the contractor's files
 - updated project records, ready for archiving
 - a plan for follow-up and/or transfer of work products.



Managing People

Typically, a group, rather than an individual, works together to complete an evaluation. When more than one stakeholder is involved, more time is necessarily spent on communication. Participatory evaluations add to the complexity: still more people are involved, and communication becomes a central and major responsibility of the manager.

The evaluation leader must work with the evaluation team to clearly articulate the goals, objectives, and values of the evaluation. The roles and responsibilities of each group member must be clearly articulated, and team members need to know what is expected of them. If you want to have the team do their best, you have to give them all of the information they need to succeed.

The following are suggestions for working as a manager of an evaluation.

- Clearly describe the desired end product.
- Describe what it was that you liked about any relevant previous efforts.
- Involve the evaluator(s) in the planning.
- Monitor the progress of the evaluation.
- Establish a timeline.
- Motivate the evaluator(s) to produce their best.
- Avoid micro-managing the evaluator(s).
- Thank the evaluator(s) for their work.

As a manager, you are managing people, NOT evaluations.

People are complicated. They are not machines any more than you are. Their behavior will change from day to day. Be sure to stay alert to what is going on with each person.

At the beginning of each evaluation, sit down and get to know your staff. Find out what other projects they are doing, what their goals are, what they like to do in their free time, etc.

You will find that you do not need to put your unique handprint on everything. Some things probably work just fine already. Also do not think or act like you know everything, because nothing breeds resentment more than arrogance. You may be smart, but there are many people who are smarter.

If you were promoted from an evaluator to a manager, you will need to let go of your previous responsibilities as an evaluator. You have different responsibilities now.



You, as the manager, are responsible for everything that happens within your scope of authority. Do not ever think that just because you may not be doing the actual work, you are not responsible – you **are**.

The United Nations Development Program (UNDP) provides the following tips to managers for working with evaluators.³¹

- Clarifying the TOR for the evaluation team is important. Electronic mail and other means of communications should be used fully to get this done even before the traditional briefing that is held for the team upon arrival in the countries to be visited.
- Providing basic documentation that the team should analyze well ahead of time should help clarify some issues at an early stage.
- Agreeing on the program for the evaluation mission is critical. Remember that it is not enough that evaluators visit relevant institutions. Make sure that they interview the "right" persons in those institutions, e.g., those who are experts on the subject, familiar with the project and its beneficiaries, and have the level of authority who could speak adequately about certain policy issues.
- Getting the evaluation team to know each other builds teamwork. Having the team members share their CVs and contact information even before they meet each other is usually helpful in breaking the ice. It also enables them to have an idea of the strengths and contributions that each one of them can offer to the exercise.

³¹ UNDP, *Planning and managing the evaluation*:
http://www.undp.org/eo/evaluation_tips/evaluation_tips.html



Meeting with Client for Contextual Information

As you know, your client is the person who officially requests the evaluation and, if it is a paid evaluation, pays for or arranges payment for the evaluation. Hopefully you will report to this same person.

Michael Scriven's³² Key Evaluation Checklist describes the importance of meeting with your client before beginning work on the evaluation. He writes that you need to meet with your client to identify the details of the job or jobs, as the client sees them—or encourage the client to clarify their thinking on details where that has not yet occurred.

You meet with your client to determine the:

- source and nature of the request
- need or interest leading to the evaluation.

Scriven continues by suggesting that you ask questions such as:

- Is the request or the need for this evaluation to investigate worth *or* merit — or *both* worth and merit? An evaluation of worth involves serious cost analysis. An evaluation of merit investigates the significance.
- Exactly what are you supposed to be evaluating?
- How much of the context is to be included?
- How many of the details are important?
- Are you supposed to be evaluating the effects of the program as a whole or the contribution of each of its components, or perhaps additionally the client's theory of how the components work?
- Are you to consider impact in all relevant respects or just some respects?
- Is the evaluation to be formative, summative, ascriptive, or more than one of these?
- Should the evaluation yield grades, ranks, scores, profiles, or apportionments?
- Are recommendations, explanations (i.e., your own theory), fault-finding, or predictions requested, or expected, or feasible?
- Is the client *really* willing and anxious to learn from faults or is that just a pose?

³² Michael Scriven, *Key evaluation checklist*, October 23, 2005. p. 2.
http://www.wmich.edu/evalctr/checklists/kec_october05.pdf



- Your contract, or, for an internal evaluator, your job, depends on getting the answer to this question right. You might consider trying this test: ask them to explain how they would handle the discovery of extremely serious flaws—you will often get an idea from their reaction to this question whether they have ‘the right stuff’ to be a good client.) Have they thought about post-report help with interpretation and utilization?

Foundations

As you work with your client, you will want to learn as much as you can about the foundations of the project, program, or policy. Scriven’s Key Checklist goes on to identify these as:

- background and context
- descriptions and definitions
- consumers (impactees)
- resources
- values.

Background and Context

Once you meet with the client and clearly understand the needs and parameters of the evaluation you begin to investigate the context and nature of the evaluation. Do this by learning more about the background and context for the evaluation.

According to Scriven³³ you need to identify historical, recent, simultaneous, and any projected settings for the program. To do this:

- Identify any ‘upstream stakeholders’ and their stakes – other than clients. That is, identify people, groups, or organizations that assisted in implementation of the program or its evaluation. For example, people who assisted with funding or advice or housing.
- Identify enabling (and any more recent relevant) legislation/policy, and any legislative/executive/practice or attitude changes since the start-up.
- Identify the underlying rationale, also known as the official program theory, and political logic (if either exist or can be reliably inferred). Neither is necessary, but they are sometimes useful.

³³ M. Scriven (2005). *Key evaluation checklist*, p. 3. Available online at: http://www.wmich.edu/evalctr/checklists/kec_october05.pdf



- Identify the general results of the literature review on similar interventions. Include ‘fugitive’ studies, those not published in standard media, and the Internet, including the ‘invisible web,’ and the latest group and web log (blog) search engines.
- Identify previous evaluations, if any.
- Identify their impact, if any.

Descriptions and Definitions

Another important part of the meetings with your client is to standardize descriptions and definitions. Scriven³⁴ suggests the following ways to do this:

- Record any official description of program, components, context/environment, but do not assume it is correct.
- Develop a correct and complete description in enough detail to recognize the evaluand, and perhaps – depending on the purpose of the evaluation – to replicate it.
- If you are not operating in a goal-free mode, get a detailed description of the goals/mileposts. Explain the meaning of any ‘technical terms,’ such as those that will not be in the prospective audiences’ vocabulary.
- Note any significant patterns/analogies/metaphors that are used by (or implicit in) participants’ accounts, or that occur to you. These are potential descriptions and may be more enlightening than literal prose, whether or not they can be justified.
- Distinguish the instigator’s efforts in trying to start up a program from the program itself. Both the effort and program itself are interventions; only the program itself is (normally) the evaluand.

³⁴ M. Scriven, *Key evaluation checklist*. Oct. 2005. p. 3.
http://www.wmich.edu/evalctr/checklists/kec_october05.pdf



Resources

Scriven³⁵ also advises to learn about the resources for your evaluation, also known as a “strengths assessment.” To look at your resources, you identify any:

- financial assets
- physical assets
- intellectual-social-relational assets.

As you investigate, be sure to look at the abilities, knowledge, and goodwill of:

- staff
- volunteers
- community members
- other supporters.

Your resources should cover what *could now* use or what *could have been* used, not just what *was* used. When you do this you are defining the “possibility space;” that is, the range of what could have been done – often an important element in the comparisons that an evaluation considers.

It may be helpful to list specific resources that were *not* used/available in this implementation. For example, to what extent were potential impactees, stakeholders, fund-raisers, volunteers, and possible donors *not* recruited or *not* involved as much as they could have been involved? As a check, and as a complement, consider all *constraints* on the program.

Values

The last of Scriven’s foundations from his Key Evaluation Checklist is values. He states that a knowledge of the values is important for learning about the context of the evaluation. He suggests that you check the values shown in Table 12.3 for relevance and look for others.

³⁵ M. Scriven (2005). *Key evaluation checklist*, p. 4. Available online at: http://www.wmich.edu/evalctr/checklists/kec_october05.pdf



Table 12.3: Values to Check for Relevance

Value	Description
Needs of the impacted population	Use a needs assessment Distinguish: - performance needs from treatment needs - met needs from unmet needs - meetable needs from ideal but impractical or impossible-with-present-resources needs.
Criteria of merit from the definition of the evaluand and from standard usage	Since a program is usually regarded as better (by definition) if it reaches more people and has a larger good effect on them (other things being equal), the criteria of merit typically include the number of people impacted by the program and the depth of desirable impact).
Logical requirements	For example, consistency
Legal and ethical requirements (they overlap)	Usually including (reasonable) safety, confidentiality, perhaps anonymity, for all impactees..
Personal and organizational goals/desires	If not in conflict with ethical/legal/practical considerations (if you are not doing a goal-free evaluation); these are usually much less important than the needs of the impactees, but are enough by themselves to drive the inference to an evaluative conclusion about, for example, which apartment to rent.
Fidelity to alleged specifications	This is also know as “authenticity,” “adherence,” or “compliance. It is often usefully expressed via an “index of implementation”; and - a different but related matter - consistency with the supposed program model (if you can establish this beyond reasonable doubt)
Sub-legal but still important legislative preferences	
Professional standards of quality that apply to the evaluands ³⁶ ;	
Expert judgment	
Historical/traditional/cultural standards	
Scientific merit (or worth or significance)	
Technological merit, worth, significance	
Marketability	
Political merit,	If you can establish it beyond a reasonable doubt
Resource economy	How low-impact is the program with respect to money, space, time, labor, contacts, expertise and the eco-system

³⁶ Since one of the steps in the evaluation is the meta-evaluation, in which the evaluation itself is the evaluand, you will also need, when you come to that checkpoint, to apply professional standards for *evaluations* to the list, currently the best ones would be those developed by the Joint Committee (*Program Evaluation Standards 2e*) (Sage).



Techniques for Teamwork

There may be times when you will need to work closely as team members to make decisions. There are techniques that you can use to help you. They include:

- communication skills
- teamwork skills
- brainstorming
- affinity diagrams
- concept mapping
- conflict resolution
- communication strategies.

Communication Skills

Communication skills are essential for the success of any evaluation. You must be able to communicate among the team members, stakeholders, and subjects. There are two types of communication: non-verbal and verbal. As you work with others you will be continually exchanging these two types of communication.

Non-Verbal Communication

Non-verbal communication is often defined as communication without words. Non-verbal communication refers to all aspects of a message which are not conveyed by the literal meaning of words. It is not always just *what* you say, it is also *how* you say it. Non-verbal communication can involve:

- your eyes
- your posture
- your overall body language
- your appearance at the time the communication is exchanged
- the voice in which you offer the exchange.

When you are communicating with words, you are also sending messages that rely on nonverbal cues, such as gestures, eye contact, facial expressions, even clothing and personal space.



Nonverbal cues are very powerful, making it crucial that you pay attention to your actions, as well as the nonverbal cues of those around you. If, during your meeting, participants begin to doodle or chat amongst themselves, they are no longer paying attention to you: an indication that your message has become boring or your delivery is no longer engaging.

You need to be mindful of cultural differences when using or interpreting nonverbal cues. For instance, the handshake that is so widely accepted in Western cultures as a greeting or confirmation of a business deal is not accepted in other cultures, and can cause confusion.

While eye contact, facial expressions, posture, gestures, clothing, and space are obvious nonverbal communication cues, others strongly influence interpretation of messages, including how the message is delivered. This means paying close attention to your tone of voice, even your voice's overall loudness and its pitch.

Be mindful of your own nonverbal cues, as well as the nonverbal cues of those around you. Keep your messages short and concise. This means preparing in advance whenever possible. And for an impromptu meeting, it means thinking before you speak.

Giving People Time

Setting aside a specific time for meetings and regular communications is essential. This allows time for everyone involved to prepare. Also, keep in mind that listening is oftentimes much more productive when working to communicate effectively, and can very well be more important than talking. Allow everyone involved the time they need to communicate effectively.



Moderating Group Activities³⁷

Moderators of group activities must be able to communicate with participants and listen to what they have to say.

Moderators should do what they can to improve communication within the group. The following are some suggestions.

- Use name tents so people can refer to others using names.
- Respond positively to a person's initial attempts to communicate and invite further contributions – this will affect whether the participant will risk contributing again.
- Avoid passing over group members.
- Respond in a positive manner to comments that are not quite on the mark and invite further input:
 - “now let's take a step further”
 - “keep going”
 - “that will become important later”
 - “don't forget what you had in mind.”
- Avoid “put down” and close-off comments.

Moderation depends on very good listening skills. To be a good moderator you may need to improve your listening skills. The listening process is more than hearing. You need to use active and reflective listening. Active listening involves paying attention to what is being said and then paraphrasing what you heard to the person who spoke. As you paraphrase, you describe what you thought the person said and meant. After your paraphrased response, you ask for an acknowledgement that what you heard was what the person meant.

³⁷ Janet Mancini Billson, *The power of focus groups: A training manual for social, policy, and market research: Focus on international development*. Slides 61-72.



There are many techniques for improving listening skills. The following is a short list of techniques:

- Recognize that both the sender and the receiver share the responsibility for effective communication.
- Listen actively and neutrally.
- Listen with an inner ear for what is actually *meant*, rather than for what is *said*.
- Tune in to the speaker's non-verbal cues.
- Be aware that your posture affects your listening.
- Restate or paraphrase the main ideas to ensure that you have heard them correctly.

As a moderator, you will also need to pay close attention to non-verbal cues. People communicate by their actions as well as their words. The following nonverbal cues indicate that there is a problem with communication:

- silence
- arms folded
- head nodding
- finger tapping
- yawning
- looking at watch
- frowning.



Ways to Enhance Your Communication

- Because gestures can both compliment and contradict your message, be mindful of these.
- Eye contact is an important step in sending and receiving messages. Eye contact can be a signal of interest, a signal of recognition, even a sign of honesty and credibility.
- Closely linked to eye contact are facial expressions, which can reflect attitudes and emotions.
- Posture can also be used to communicate your message more effectively.
- Clothing is important. By dressing for your job, you show respect for the values and conventions of your organization.
- Be mindful of people's personal space when communicating. Do not invade their personal space by getting too close and do not confuse communications by trying to exchange messages from too far away.

Teamwork Skills

Working with others can be challenging as well as rewarding. When working closely with others you will need to use teamwork skills. The following are some of the most important skills for working with others in a team.

- listening – good active listening skills by all on the team can be a team's most valuable skill
- questioning – team members should ask questions to clarify and elaborate on what others are saying
- persuading – team members may need to exchange ideas, elaborate, defend, and rethink their ideas
- respecting – team members should respect the opinions of others and should encourage and support the ideas and efforts of others
- helping – team members should help each other by offering assistance to each other when it is needed.



Brainstorming

Brainstorming is a technique used to gather large amounts of information in a short time from a group of people. In brainstorming, each person contributes an idea for an evaluation question that is written on flip chart. Each person gives one idea and then the next person gives one idea. The facilitator keeps circling the group until no more ideas are offered. The basic rule is that every idea goes up on the flip chart—there are no bad ideas and no discussion of the idea occurs at this point. In this way, all ideas are heard without regard to status. The group as a whole then begins to identify common ideas (in this situation, common questions) and a new list is created which captures all the questions.

Affinity Diagrams

An alternative to brainstorming is an approach called an **affinity diagram**. In this approach, everyone writes his or her ideas for evaluation questions on a piece of paper or a note card. Only one idea can go on each card or piece of paper. This occurs in silence. When people have listed all their comments, suggestions, or questions, they place their cards or pieces of paper on a wall. Again, this is done in silence. Then the group begins to arrange the ideas into common themes. This process begins in silence and then when there is a rough sort, the facilitator goes through what is on the wall and leads the group in identifying the common themes.

The choice between brainstorming and affinity diagram is based on the group. Brainstorming works well if people cannot write and if the facilitator can handle dominant people. It works less well for shy people. The affinity diagram works well in terms of being a fairly anonymous process so that everyone can get his or her idea posted, regardless of status or any fears about speaking. However, it requires that people be able to write and are comfortable with this process.



Concept Mapping

When working with stakeholders, one approach that might be useful is **concept mapping**. Concept mapping is a group process that provides a way for everyone's ideas to be heard and considered.

The first step is to generate ideas. One way is to brainstorm another ways is using affinity diagrams. In either case, concept mapping then includes a validation process. If the ideas are grouped together, they should represent a similar concept or theme.

The group can then discuss the concepts (big evaluation questions) and why they are important or not.

Next, the group can rate each concept in terms of importance, with 1 being not important and 5 being very important. Or you can ask people to rate each of the questions as being essential, important but not essential, or nice to know but not important. Each person rates each question posted on the wall. Again, this provides some anonymity so everyone can feel free to express his or her view.

Conflict Resolution

When working with people in groups, there is a good chance that conflicts will occur among the team members. Not all conflict should end up with a winner and a loser. The most constructive conflicts end up with both parties "winning". The two skills most needed in resolving conflict are communication skills and listening skills.

Important communication skills include, using "I" statements instead of "you" language. People in conflict should discuss their own feelings. Owning your own feelings and your own communication is a much more effective way to communicate and goes a long way toward reducing conflict.

Use active listening skills. Active listening involves trying to understand what the other person is saying, and then communicating to the other person that you do indeed understand what they are saying. You may say, I hear you saying ... is that correct?



The following are suggestions for ways to help you resolve a conflict.

- Bring those with the conflict to a meeting. Allow each to briefly summarize their point of view, without interruption. If one person does not allow the other to finish or begins to criticize, you need to stop him or her. Each must present their side.
- Ask each person involved to describe the actions they would like to see the other person take.
- Listen to both sides. Ask yourself if there is anything about the work situation that is causing this conflict? If so, consider ways of changing the work situation to solve the conflict.
- Do NOT choose sides. Remind the participants of the goal or objective of the evaluation and strive to find a way to help both sides reach the goal.
- Expect the participants to work to solve their dispute. Allow them to continue to meet to address the conflict. Set a time to review their progress.

Communication Strategies

A communication strategy helps you plan the way you communicate with the public, other stakeholders, and the public. A communication strategy defines the why, what, where, and how for giving and receiving information. If your evaluation involves sensitive information, you may want to consider establishing a communication strategy.

A communication strategy establishes a plan for communicating. It usually involves a list of messages designed to be delivered to different audiences at events or through the media.

These might include:

- presentations at
 - celebrations/special events
 - community visits
 - public meetings
 - visits to schools
 - workshops
- Internet pages



- media, including:
 - television
 - display ads
 - news releases
 - press conferences.

The Economic and Social Research Council (ESRC)³⁸ offers ten tips for putting together a communication strategy. The following are five items adapted from the ESRC list.

1. Begin with a statement of your objectives in communicating the project; do not simply restate the objectives of the project itself. Make them clear, simple, and measurable.
2. Develop some simple messages and model how these might work in different contexts – a press release, a report, a newspaper article, a website page. Make sure your project is branded in line with your communication objectives.
3. Be clear about your target audiences and user groups and prioritise them according to importance and influence relative to your objectives. Do not just think about the 'usual suspects'.
4. Think about both the actual and preferred channels your target audiences might use and challenge yourself about whether you are planning to use the right ones for maximum impact.
5. Include a full list of all the relevant communications activities, developed into a working project plan with deadlines and responsibilities. Keep it flexible but avoid being vague.

³⁸ Welcome to ESRC today. *Top ten tips*
http://www.esrc.ac.uk/ESRCInfoCentre/Support/Communications_Toolkit/communications_strategy/index.aspx



Managing Tasks

Managing the tasks may be easier than managing people. It helps to stay focused on the evaluation goal and the most important tasks. A task map can help by listing everyone’s particular assignments along with the start and completion dates (see Table 12-1).

Table 12.1: Hypothetical Task Map - first portion (7/1 to 8/31)



Task	Name	Start date	Due date
Review prior reports	Linda	7/1/	7/31
Schedule meeting with stakeholders	Ed	7/15	7/31
Conduct stakeholder meetings	Linda and Ed	8/1	8/15
Design the evaluation	Ray	7/1	8/31
Develop data collection instruments	Ray	8/01	8/31

Another tool is the Gantt chart (see Table 12-2). A **Gantt chart** is a popular type of chart, showing the interrelationships of projects, schedules, and other time-related systems progress over time. In project management, a Gantt chart shows the task assignments and when the tasks start and finish.

Activities must be monitored to ensure assignments are completed in a timely fashion. If progress is not being made, the evaluator needs to figure out the barriers and how to remove them. It is important that the team members feel safe to report problems; it is often easier to fix a problem that is detected early. While it is important to have a plan, it is also important to remain flexible in the face of insurmountable obstacles. Adjustments can be made: more time or resources may be needed or fewer tasks will be included.

Table 12.2: Example of Gantt Chart.



Task	Month						
	1	2	3	4	5	6	7
Review	▲						
Meetings		▲					
Design		▲					
Implement			-----	-----	-----	▲	

*



Contracting out the evaluation (paying an outside group to conduct the evaluation) still requires management. You may be asked to write a contract that specifies the **scope of work (SOW)** or **terms of reference (TOR)** in addition to the evaluation objectives, methods, team composition, schedule, required reports, and budget.

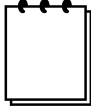
Sometimes a contract uses a SOW instead of a TOR. to provide clear instructions about how the evaluation should be conducted:

- identifies what is to be evaluated
- provides a brief background on the intervention
- identifies existing data
- states the purpose of this evaluation along with its intended audience and use
- identifies the questions
- specifies the methods to be used
- discusses the composition of the team and participation of partners
- specifies the schedule and budget.

The contract needs to be monitored to ensure that the work is done as planned. It is likely, however, that unanticipated events will occur; some flexibility will be needed. How these unanticipated events should be managed needs to be specified in the contract as well.

Ultimately, the managing evaluator is responsible for the overall quality of the evaluation and ensuring that the findings are defensible (capable of being justified). If the team wants to make recommendations, the managing evaluator must ensure that they flow from the evidence and are realistic.

Case 12-2 describes a plan to manage the tasks set out for a country implementation review.



Case 12.2: Mozambique: Country Implementation Review

A team set forth to conduct a country implementation review. The team leader decided to do it in a participatory way. The first task was to identify the stakeholders. Banks officials, government officials were easily identified. At the country level, core ministries and agencies implementing the projects were identified. Their target was to get all the Central Bank and Finance staff handling World Bank supported projects plus the project director and/or coordinator of each project.

All were invited to a four-day workshop with an outside facilitator. An ice-breaker exercise was used to break through the formal relationships. Using a facilitated process, the group developed the agenda for the review:

- The role of project implementation agencies
- Procurement
- Disbursements
- Planning and monitoring (budget, accounting, audit and evaluation)

Additional dialogue surfaced to more issues:

- Information needs
- Pay and remuneration

People could work on the agenda items of greatest interest to them. They wrote the summary reports and the annexes. A long list of recommendations emerged.

They achieved three objectives: identify obstacles to project implementation, develop ways to overcome obstacles, and create spirit of teamwork and dialogue.

“We have no choice but to practice participation because development is a social process. It occurs when people come together and choose new behaviors that they have learned about by working together. There is simply no other way to build ownership and a productive network of relationships other than by involving the relevant stakeholders in participatory sessions...it is the process of collaboration that creates ownership and lasting relationships.” (Jacomina de Regt, 1996, Mozambique: Country Implementation Review. In *The World Bank Participation Sourcebook*. p.87. Available online: www.worldbank.org/wbi/sourcebook/sb0211.pdf)



Development Evaluation Managing Questions

The UNDP's web site offers hints for managing and planning evaluations, which you adjust to your needs. The following are some of the questions and answers they give.³⁹

1. How do you handle an evaluation expected to address some sensitive issues?

Get the evaluation stakeholders (i.e., those likely to be affected by the evaluation results) involved, starting from the initial stage of designing the evaluation. Listen to their views. It is good to clarify with them the nature of the issues to be examined by the evaluation. You have achieved something important the moment they appreciate the need to look at those issues, for it means that they are ready to have an open mind about the evaluation. Then, you concentrate on the next challenge: maintaining the integrity of your evaluation, that is, making sure that the evaluation findings, conclusions and recommendations rest on solid ground, in other words, objective and based on accurate information.

2. How do you organize your evaluation team?

Organizing the evaluation team is another critical step to ensuring the success of an evaluation. The simple rule? Get the best. Sometimes you do not even have to look far to get the most qualified persons for your team. They may be associated with renowned national institutions or may even be UNDP staff members themselves.

Consider **EVALNET**⁴⁰, for example. *Evalnet* is the trading name of *Sciencetech Evaluation (Pty) Ltd*, a private company committed to sound evaluation practice in Africa. They are an example of one organization offering the service of locating trained evaluators. (Make sure, however, that you choose UNDP staff who have not been directly involved in the programs or projects to be evaluated as a measure for ensuring the independence of the evaluation.) Tap your networking abilities. Ask around - such as relevant technical units within and outside of UNDP - for consultants or experts in the field. Make sure that your team has the necessary combination of knowledge and skills required by the evaluation.

³⁹ UNDP, *Planning and Managing the Evaluation*
http://www.undp.org/eo/evaluation_tips/evaluation_tips.html

⁴⁰ Online at <http://www.evalnet.co.za/services/>



3. What do you consider as the good mix of qualifications for a team evaluating initiatives?

- expertise in the specific subject matter (e.g., decentralization)
- knowledge of key development issues especially those relating to the main goals of UNDP or the ability to see the "big picture" (e.g., link between decentralization and poverty alleviation)
- familiarity with UNDP business and the way such business is conducted (e.g., UNDP policy advisory assistance in the field of governance and the role of the different bureau, offices and units concerned)
- evaluation skills (e.g., results orientation, use of analytical tools)
- skills in the use of information technology

Not only are evaluators expected to master all the technical skills necessary for evaluation (designing evaluations, collecting data, analyzing data, and writing reports), they are also expected to manage both the people and the process. The evaluators may conduct the evaluation themselves or contract it out. In either case, they must work with others to obtain agreements about goals, milestones, methodology, due dates, and resources. They also must oversee the implementation of the evaluation, and be able to solve any problems that arise.

4. Sometimes, evaluators have the tendency to deviate from the TOR. How do you avoid this?

It is true that sometimes, either the evaluators fail to address one or two of the issues outlined in the TOR or they deal with issues that are not included in the TOR. This is the reason why it is important for the evaluation manager to invest on clarifying the TOR for the team, including the context in which the evaluation is being undertaken in the first place.



However, in some cases, deviating from the TOR may not be avoidable, or perhaps may even be necessary. Certain developments may have taken place in the course of the evaluation that have some implications for the issues being addressed by the evaluation. For example, the Government may have made an unanticipated policy announcement on the subject that changes one of the premises of the evaluation. An open line of communication between the evaluation manager and the evaluation team leader should help in refocusing or redirecting the evaluation as may be necessary.

5. How do you help the evaluators in their task of finalizing their findings and recommendations?

As evaluation manager, it is your task to ensure that the evaluation findings are defensible and the recommendations are realistic.

You should get a "debriefing" from the evaluation team and arrange as well a presentation of the main results of the evaluation to other key people (e.g., Resident Representative, Deputy Resident Representative, and Programme Managers).

It is also useful to organize a stakeholder meeting which enables the evaluation team to present its emerging findings and recommendations to a broader group. This meeting serves two purposes: a) verification of information and clarification of issues, and b) "testing" the viability of the recommendations. The second is particularly important as it helps the evaluators in subjecting their preliminary recommendations to closer scrutiny and eventually in coming up with strategic and solid recommendations supported by the stakeholders themselves. It is worth investing some time to have this kind of meeting a day before the evaluation mission leaves.



6. How do you know that you have a good evaluation report?

A good evaluation report satisfies the spirit of the TOR fully. Clarity is also important so that the key messages of the report are easy to understand. The ultimate test, however, is whether you and your office could defend the report yourselves. You could do this, of course, when you are convinced that the evaluation is objective, accurate, and offers you something concrete that could be useful. It should provide you and the evaluation stakeholders with some very specific points for action, presenting different options for addressing issues.

7. What do you do after an evaluation is completed?

The key word is follow-up. Remember that an evaluation is undertaken with very specific objectives. An evaluation manager's next responsibility is to take stock of the main evaluation findings and recommendations to see what follow-up actions are necessary, and to facilitate the process of bringing them to the attention of management. Some of the recommendations may be implemented immediately by the country office, or by project management, or by the executing agency. In some cases, however, a decision by a high-level body may be needed.

8. What should an evaluation manager do in so far as lessons from evaluation are concerned?

Disseminating lessons drawn from the evaluation should always be part of follow-up actions. There are certain things that you, as the evaluation manager, should do yourself. For example: sharing lessons with colleagues in the office as part of your overall briefing for them on the evaluation results and discussing with them how the lessons could be applied in the way you conduct your business. However, those directly involved in the initiatives that were evaluated (e.g., project management or implementing agency) should engage in dissemination efforts themselves.



Dissemination of lessons could be done in many different ways, depending on the type of evaluation conducted (e.g., an evaluation of a single project or a cluster of projects). Sometimes a simple note circulated by project management among its staff could serve the purpose of imparting lessons that could be useful in improving project operations. A workshop – one attended not only by those directly involved in the projects but also by development partners involved in similar initiatives – may be considered when you want to compare your lessons with those based on the experience of others in a given theme or subject. Bear in mind, however, that regardless of the means, the ultimate objective is to get to an understanding or agreement on how to apply or use the lessons.

Management Tips

The following list of management tips is adapted from F. John Reh's Management Tips.⁴¹

Management Tips for Planning

- **A good start saves you time.** If a project or a job gets off to a bad start it can be difficult to catch up. Do your planning up front so you get a good start and you will not regret it.
- **Set S.M.A.R.T. Goals.** Goals you set for yourself, or others, should be Specific, Measurable, Achievable, Realistic, and Time-based.
- **Know your GPM.** In management, GPM is an acronym for Goals, Plans, and Metrics. To achieve your goals, you must first determine what your **G**oals are. Then you have to develop a **P**lan that gets you to your goal. Finally you need **M**etrics (measurements) to know if you are moving toward your goal according to your plan.
- **'Quality' is just conformance to requirements.** You get the behavior you critique for, so set your standards and then require conformance to them. Quality will come from that effort, not from slogans, posters, or even threats.
- **Learn from the mistakes of others.** You cannot live long enough to make them all yourself.

⁴¹ F. John Reh, *Management Tips*:
http://management.about.com/cs/generalmanagement/a/mgt_tips03.htm



- **Train your evaluators.** The key to your success is the productivity of your employees. Invest in training your evaluators. It will pay off.

Management Tips for Leading People

- **Tell people what you want, not how to do it.** You will find people more responsive and less defensive if you can give them guidance not instructions. You will also see more initiative, more innovation, and more of an ownership attitude from them.
- **You cannot listen with your mouth open.** Your stakeholders, your evaluators, your co-workers, your subjects all have something of value in what they have to say. Listen to the people around you. You will never learn what it is if you drown them out by talking all the time. Remember, the only thing that can come out of your mouth is something you already know. Shut up and learn.
- **Lead by example.** If you ask your employees to work overtime, be there too. Be a leader – it is tougher than being a manager, but it is worth it.
- **Delegate the easy stuff.** The things you do well are the things to delegate. Hold on to those that are challenging and difficult. That is how you will grow.
- **Set an example.** One of the most significant parts of a manager's job is for them to become a positive role model that can pull a team together and deliver the level of service expected from their customers.
- **Practice what you preach.** To lead, you have to lead by example. Do not expect your people to work unpaid overtime if you leave early every day. Do not book yourself into a four star hotel on business trips and expect your employees to stay in a cheap motel.



Management Tips for Working Style

- **Fix the problem, not the blame.** It is far more productive, and less expensive to figure out what to do to fix a problem that has come up than it is to waste time trying to decide who's fault it was.
- **Manage the function, not the paperwork.** Remember that your job is to manage a specific function within the organization, whatever that may be. There is a lot of paperwork for managers, but do not let that distract you from your real responsibility.
- **Do not get caught up in 'looking good'.** Work happily together. Do not try to act big. Do not try to get into the good graces of important people, but enjoy the company of ordinary folks. And do not think you know it all. Never pay back evil for evil. Do things in such a way that everyone can see you are honest clear through.
- **Leaders create change.** If you lead, you will cause changes. Be prepared for them and their impact on people within, and outside, your group. If you are not making changes, you are not leading.
- **Do not DO anything.** Your job as a manager is to plan, organize, control, and direct. Do not waste valuable time by falling back on what you did before you became a manager. You probably enjoyed it and were good at it. Now you need to concentrate your efforts on managing, not on "doing".
- **Doing it right costs less than doing it over.** Have you ever been asked, "Why is there never enough time to do it right, but always enough time to do it over"? Save the costs, including customer dissatisfaction and lower worker morale, by concentrating on doing the job right the first time.



Assessing the Quality of an Evaluation

The final step in pulling it all together is to critically assess the quality of your evaluation. A good evaluation:

- meets stakeholder needs and requirements
 - is relevant and realistic scope
 - uses appropriate methods
 - produces reliable, accurate and valid data
 - includes appropriate and accurate analysis of results
 - presents impartial conclusions
 - conveys results clearly – in oral or written form
 - meets professional standards (see Module 1).
- Rist⁴² discuss six characteristics of quality evaluations. They are:

- **Impartiality:** The evaluation information should be free of political or other bias and deliberate distortions. The information should be presented with a description of its strengths and weaknesses. All relevant information should be presented, not just that which reinforces the views of the manager or client.
- **Usefulness:** Evaluation information needs to be relevant, timely, and written in an understandable form. It also needs to address the questions asked, and be presented in a form desired and best understood by the client and stakeholders.
- **Technical adequacy:** The information needs to meet relevant technical standards – appropriate design, correct sampling procedures, accurate working of questionnaires and interview guides, appropriate statistical or content analysis, and adequate support for conclusions and recommendations, to name but a few.

⁴² Jody Zall Kusek and Ray C. Rist. *Ten steps to a results-based monitoring and evaluation system*. (Washington D.C.: The World Bank) pp126 – 127.



- **Stakeholder involvement:** There should be adequate assurances that the relevant stakeholders have been consulted and involved in the evaluation effort. If the stakeholders are to trust the information, take ownership of the findings, and agree to incorporate what has been learned into ongoing and new policies, programs, and project, they have to be included in the political process as active partners. Creating a façade of involvement, or denying involvement to stakeholders, are sure ways of generating hostility and resentment toward the evaluation – and even toward the manager who asked for the evaluation in the first place.
- **Feedback and dissemination:** Sharing information in an appropriate, targeted, and timely fashion is a frequent distinguishing characteristic of evaluation utilization. There will be communication breakdowns, a loss of trust, and either indifference or suspicion about the findings themselves if:
 - evaluation information is not appropriately shared and provided to those for whom it is relevant
 - the evaluator does not plan to systematically disseminate the information and instead presumes that the work is done when the report or information is provided
 - no effort is made to target the information appropriately to the audiences for whom it is intended.
- **Value for money:** Spend what is needed to gain the information desired, but no more. Gathering expensive data that will not be used is not appropriate – nor is using expensive strategies for data collection when less expensive means are available. The cost of the evaluation needs to be proportional to the overall cost of the initiative.



There are several useful checklists available for assessing the quality of an evaluation, and it is useful to apply at least two of them as you look over your (or someone else's) work to make sure you are not forgetting anything. Some particularly useful checklists, available at

<http://www.wmich.edu/evalctr/checklists/checklistmenu.htm#meta>

and offering different perspectives include:

- The Key Evaluation Checklist (Scriven)
- Program Evaluations Metaevaluation Checklist (Based on The Program Evaluation Standards) (Stufflebeam)
- Utilization-Focused Evaluation Checklist (Patton)
- Guidelines and Checklist for Constructivist (a.k.a. Fourth Generation) Evaluation (Guba & Lincoln)
- Deliberative Democratic Evaluation Checklist (House & Lowe)
- Guiding Principles Checklist (For evaluating evaluations in consideration of The Guiding Principles for Evaluators) (Stufflebeam)

Using a Meta-evaluator

If you can possibly build it into your budget, it can be extremely valuable to hire an experienced **meta-evaluator**. This is someone with evaluation expertise who is not involved in conducting the evaluation, but who you can use as a sounding board, advisor, and helpful critic at any stage during the evaluation process.

Helpful Hints for Meta-evaluation

Unable to afford a meta-evaluator? Here are some creative options available for those on a low budget. Perhaps you can think of some more to add to the list!

1. Consider getting a “rapid assessment” meta-evaluator – get an expert to quickly look over your evaluation plan (or report) and identify any gaps and make suggestions. For a stronger enhancement, have two evaluators with complementary skills and perspectives to take a look at your work. The combined value of their feedback will be much more than double!
2. Offer to act as meta-evaluator/reviewer for someone else, provided they will return the favor sometime. Even a quick look from a fresh set of eyes can add some real value.



Evaluation is a very challenging (sometimes daunting) task, so the more feedback and advice you can get, the better quality product you can deliver to stakeholders. After all, being an evaluator is all about believing in the value of feedback to maximize quality and effectiveness. What better way to convey the importance of this than to do it yourself?

Using Evaluation Results

As you recall, the purpose of an evaluation is to provide information that can be used to:

- learn what we did not know
- modify programs
- modify policies
- develop new programs and/or policies.

In the early stages of planning your evaluation, you should have spent time identifying how the evaluation will be used. If you cannot identify the primary intended users and how the information in the evaluation will be used, you should not conduct the evaluation.⁴³

As you probably recall, the purpose of formative evaluations is learning. For this reason, most formative evaluations focus on improvement and tend to be more open-ended. They usually gather information from a variety of data sources about the strengths and weaknesses of a project, program, and or policy, and encourage reflection and innovation to improve outcomes. You will probably also recall that the purpose of a summative evaluation is accountability. For this reason, summative evaluations are usually used by “third party” interests, such as donor organizations, board members, key stakeholders, and so on. They will form an opinion about the overall effectiveness, merit, or worth of the project, program, and or policy.⁴⁴

⁴³ Carol Weiss. *Identifying the intended use(s) of an evaluation*. 2004. The International Development Research Center. p. 1
http://www.idrc.ca/ev_en.php?ID=58213_201&ID2=DO_TOPIC

⁴⁴ Weiss. *Identifying the intended use(s) of an evaluation*. 2004. p. 2



Kusek and Rist⁴⁵ describe the following kind of information that evaluations can supply:

- Strategy: are the right things being done?
 - rationale or justification
 - clear theory of change.
- Operations: are things being done right?
 - effectiveness in achieving expected outcomes
 - efficiency in optimizing resources
 - client satisfaction.
- Learning: are there better ways?
 - alternatives
 - best practices
 - lessons learned.

Kusek and Rist⁴⁶ also describe the following uses for evaluations:

- Pragmatic uses of evaluation:
 - help make resource allocation decisions
 - help rethink the causes of a problem
 - identify emerging issues
 - support decision-making on competing or best alternatives
 - support public sector reform and innovations
 - build consensus on the causes of a problem and how to respond.
- Answering eight types of management questions:
 - descriptive
 - normative or compliance
 - correlational
 - impact or cause-and-effect
 - program logic
 - implementation or process
 - performance
 - appropriate use of policy tools.

⁴⁵ Kusek and Rist. *Ten steps to a results-based monitoring and evaluation system*. p117.

⁴⁶ Kusek and Rist. *Ten steps to a results-based monitoring and evaluation system*. p115 – 118.



Michael Quinn Patton⁴⁷, identifies additional uses for the findings from evaluations as shown in Table 12.3.

Table 12.3: Three Primary Uses Of Evaluation Findings

Use of Evaluation	Examples
Judge merit or worth	Summative evaluation Accountability Audits Quality control Cost benefit decisions Decide a program's future Accreditation/licensing
Improve programs	Formative evaluation Identify strengths and weaknesses Continuous improvement Quality enhancement Being a learning organization Manage more effectively Adapt a model locally
Generate knowledge	Generalizations about effectiveness Extrapolate principles about what works Theory building Synthesize patterns across programs Scholarly publishing Policy making

Source: Patton, 2005

Patton also discusses four primary uses of evaluation logic and processes, as shown in Table 12.4. These uses describe situations where the impact comes primarily from the application of evaluation thinking and from engaging in an evaluation process. Note the contrast between uses and situations where impacts come from using the content of evaluation findings.

⁴⁷ Michael Quinn Patton, in a presentation to the International Program for Development Evaluation Training (IPDET) June, 2005



Table 12.4: Four Primary Uses of Evaluation Logic and Processes.

Uses of Evaluation Logic and Processes	Examples
Enhancing shared understandings	Specifying intended uses to provide focus and general shared commitment Managing staff meetings around explicit outcomes Sharing criteria for equity/fairness Giving voice to different perspectives and valuing diverse experiences
Supporting and reinforcing the program intervention	Building evaluation into program delivery processes Participants monitoring their own progress Specifying and monitoring outcomes as integral to working with program participants
Increasing engagement, self-determination, and ownership	Participatory and collaborative evaluation Empowerment evaluation Reflective practice Self evaluation
Facilitating program and organizational development	Developmental evaluation Action research Mission oriented, strategic evaluation Evaluability assessment Model specification

Source: Patton, 2005

Evaluation occurs in a political context. It is not the only information considered by policy makers. How can evaluations be managed to increase their use?



The following are some of the suggestions for ways to improve the use of evaluations.

- Gain support from the top.
 - Increase the awareness of upper level personnel of the role that evaluations can play and ways that the evaluation can help them.
 - Help upper level personnel set realistic expectations.
- Involve the stakeholders at every level – the top, bottom, and sides.
- Integrate the evaluation into the workings the institution.
 - Use formal mechanisms and incentives, and wherever possible link your recommendations to budget processes.
- Plan your evaluations.
 - Planning is a major success factor; the evaluation should be well-designed from the outset, with each step of the process anticipated and planned for, including the final presentation.
 - Set a high standard for quality in methodology.
 - Be sure to identify everyone involved, particularly the people who are most likely to be willing to implement changes and have the ability to make change happen, and plan to meet their needs.
- Consider your timing: *timing is everything*.
 - Evaluations must be timed appropriately to the life of a program. Do not do an impact evaluation too soon.
 - A good evaluation that arrives after the decision has been made is useless.
 - A politically sensitive evaluation might be received better after an election.
- Communication is important.
 - Present an early draft of the evaluation to stakeholders for comment and revision.
 - Make final reports available to the public. Include information with negative findings.
- Maintain credibility at every step.
 - How well the evaluation is used is always proportional to its credibility. Credibility is increased by trust in the competence of the evaluator.



Influence and Effects of Evaluation

Once you have completed the evaluation, you face a major challenge. How do you to bring the information that you learned to the attention of the decision-makers, when they make the decisions? *How can you be in the right place, at the right time, with the right information?*

An ideal way to accomplish this is to attend the meeting where the decisions regarding issues that have been addressed in the evaluation will be made, and to brief the decision makers on your results. By doing so, you ensure that everyone is clear about the results, implications, and the recommendations you are advocating, if any.

But keep in mind that, in reality, evaluation results are often only one important source of information among several that will be considered.

Carol Weiss⁴⁸ suggests a primary step in getting the information from your evaluation used is to identify the “evaluation users”. These are the people with the willingness, authority, and ability to put what they have learned from the evaluation to work in some way.

Weiss offers the following questions to help determine the intended users of an evaluation.

- Who are the primary intended users of the evaluation? For whom are you doing the evaluation?
- Who are the target audiences of the evaluation (i.e., who is interested in knowing about the evaluation findings)?
- Which groups or individuals are most likely to be affected by the evaluation?
- Which groups or individuals are most likely to make decisions about the project/program being evaluated?
- Whose actions and/or decisions will be influenced by their engagement with the evaluation process or evaluation findings?
- How can the intended users of the evaluation be involved?
- What challenges/barriers might you face in identifying and involving users, and how can you overcome them?

⁴⁸ Carol Weiss, *Identifying the intended user(s) of an evaluation*. (2004). International Development Research Center. <http://www.idrc.ca/uploads/user-S/108739486317Guideline.pdf>



Once you identify the evaluation users, you need to foster evaluative thinking among them. Most evaluation users will be unfamiliar with evaluations and how to best use them. You will need to introduce a general awareness and understanding of the practices and procedures of evaluation.

Patton⁴⁹ suggests the following characteristics of evaluative thinking that you may try to foster. Evaluation methods:

- provide increased clarity, specificity, and focus
- assist users in being systematic and making assumptions explicit
- assist users to translate program concepts, ideas, and goals into operational plans
- help in distinguishing inputs and processes from outputs
- encourage users to place higher value on empirical evidence
- are useful in separating statements of fact from interpretations and judgments.

When stakeholders participate in an evaluation, the process can:

- draw their attention to issues they have not considered
- create dialogue among the stakeholders.

This process can produce intended and unintended results long after the evaluation results are presented.⁵⁰

⁴⁹ Michael Quinn Patton (1997) in Weiss *Identifying user(s) of an evaluation 2004*.

⁵⁰ K. E. Kirkhart (2000). "Reconceptualizing evaluation use: An integrated theory of influence". In V.J. Caracelli and H. Preskill (Eds.) *The expanding scope of evaluation use. New Directions for Evaluation*, No. 88. San Francisco: Josey-Bass.



Summary



From the checklist, check off those items that you can complete and review those that you cannot.

- describe the importance of planning for development evaluation
- define terms of reference
- identify information that should be included in a terms of reference
- describe the roles and responsibilities of: evaluation manager, evaluator, team leader, client, stakeholder, and consumer
- describe techniques to use to help people work together to make decisions, including: brainstorming, affinity diagrams, and concept mapping
- develop an evaluation plan matrix
- define project management and the components of project management, including:
 - scope
 - time
 - money
 - resource
- describe a project management process and how it relates to evaluation projects
- describe ways to manage people
- describe ways to manage tasks
- answer common questions about development evaluations
- discuss management tips
- adapt an evaluation plan matrix to fit the needs of your evaluation
- identify checklists to use to help you plan an evaluation
- assess the quality of an evaluation
- use an evaluation to influence change



Quiz Yourself

Answer the following multiple-choice questions to help test your knowledge of how to manage an evaluation, assess its quality and to have your findings and recommendations used.

You will find the answers to the questions on the last page of this module.

1. Which of the following is the **main purpose of terms of reference**?
 - a. list the responsibilities of the evaluation manager
 - b. list the names of the stakeholders
 - c. state rules for ethical behavior
 - d. describe the overall evaluation and establish the initial agreements prior to the work plan
2. Which of the following is the definition of **an evaluation manager**?
 - a. the person who will manage the preparation, implementation, and follow-up of an evaluation
 - b. the person or representative of an organization that has a “stake” in the intervention
 - c. the person who will do the actual work for an evaluation
3. Which of the following is the definition of **an evaluator**?
 - a. the person who will manage the preparation, implementation, and follow-up of an evaluation
 - b. the person or representative of an organization that has a “stake” in the intervention
4. Which of the following best describes the **purpose of an evaluation design matrix**?
 - a. to define descriptive, normative and evaluation questions
 - b. to systematically map out the evaluation plan to help you to keep track of all the tasks necessary to answer your evaluation questions
 - c. to define the roles and responsibilities of the personnel working on an evaluation and set the timetable for completing tasks
5. Which of the following describes the meaning of **managing the scope of a project**?
 - a. managing the duration of tasks, dependencies, and critical paths
 - b. managing project size, goals, requirements
 - c. managing costs, contingencies
 - d. managing people, equipment, material



6. Which of the following describes the **meaning of managing resources of a project**?
 - a. managing duration of tasks, dependencies, and critical paths
 - b. managing project size, goals, requirements
 - c. managing costs, contingencies
 - d. managing people, equipment, material
7. Which of the following are the **phases in Greer's project management model**?
 - a. initiating, planning, executing, controlling, closing
 - b. planning, budgeting, executing, monitoring, reporting
 - c. planning, executing, recording, budgeting, closing
 - d. initiating, planning, executing, controlling, reporting
8. For what reason does a manager use a **task map**?
 - a. to manage the budget for a project
 - b. to manage the work load and dates for completion of a project
 - c. to manage the control of the quality of the data collection of a project
 - d. to identify the terms of reference for a project
9. What is the purpose of a **Gantt chart**?
 - a. to help plan the terms of reference
 - b. to help define the data collection techniques
 - c. to help establish quality standards
 - d. to help plan the schedule of resources and time
10. List **six "Management Tips for Leading People"**.
11. List five of the eight **means to critically assess the quality of an evaluation**.
12. List the **five factors that research has shown influence the use of evaluations**



Reflection

Think back about previous evaluations with which you have been involved.

- What was omitted from the Terms of Reference that would have assisted your evaluation?
- What did you learn about Terms of Reference that will help you complete your evaluations with better quality?
- What would you change about the evaluation plan?

Think about managers you have had and the role they played in your evaluations.

- Consider the role of the manager. What are the differences between managing an evaluation project and being the manager for the project?
- What skills do you need to improve to be a good manager?
- Do you see any differences between being a manager and being a leader?
- What are your strongest skills for working with people and tasks? How can you improve these?



Application Exercise 12.1

Individual Activity: Terms of Reference



Instructions:

Review the following Terms of Reference and critique the Integrated Framework for Trade Development's Terms of Reference.⁵¹

Review of the First Two Years:

At the suggestion for the World Trade Organization (WTO), the interagency group that manages the Integrated Framework (IF) program asked the World Bank to take the lead in conducting a review of the implementation of the Integrated Funding project over the past two years. The IF is a joint undertaking of several agencies and its objective is to help the least-developed countries to take advantage of opportunities offered by the international trade system, its ambit (sphere) is trade-related assistance, from seminars on WTO rules to improvement of ports and harbors. It functions basically by helping individual countries to identify their needs, then to bring a program of requested assistance to a Round Table meeting for support from donors.

As a result of several meetings, the interagency group agreed that the review should cover the following six topics:

1. Identify perceptions of the objectives of the IF by exploring the views of involved parties;
2. Evaluate the implementation of the IF with regard to the process of the IF, output, implementation, pledges, assistance and new money, impact of the IF in terms of its relevance to enhancing the contribution of trade to development of least developed countries;
3. Review of trade-related assistance: institution-building, building human and enterprise capacity and infrastructure;
4. Policy considerations, including the enlargement of the IF, the trade and macroeconomic policy environment;
5. Administration of the IF; and,
6. Recommendations for the future.

⁵¹ Universalialia—WBI, World Bank training, based on exercise in Module 3, p. 12-13.



In covering these topics, the consultants should assess the relevance of the IF operations to IF objectives. The cost-effectiveness of the IF in achieving its objectives should also be assessed. The consultant should also assess the effectiveness of the coordination between the core agencies that oversee the IF, the Round Tables and other activities.

The consultant is expected to examine documentation available on IF implementation, carry out interviews with operational staff of all agencies involved, and seek out the reviews of the representatives of the Least Developed Countries, as well as government and business representatives in at least two Least Developed Countries who have benefited from the IF, one of which should be from Africa (Bangladesh and Uganda are proposed). Representatives of the key donor will also be consulted.

The report will be about 20 pages long, with annexes (appendices) as needed.

Group Activity:

Working in pairs (if possible), answer these questions:

1. Does the TOR have all the necessary elements?
2. Which elements are complete?
3. Which elements could be improved?



Application Exercise 12-2

Are You Ready to Be a Manager?



Instructions.

Read through this list of Characteristics of a Manager compiled by F. John Reh.⁵² Identify the skills you have and those you need to improve.

As a person:

- You have confidence in yourself and your abilities. You are happy with who you are, but you are still learning and getting better.
- You are something of an extrovert. You do not have to be the life of the party, but you cannot be a wallflower. Management is a people skill - it is not the job for someone who does not enjoy people.
- You are honest and straight forward. Your success depends heavily on the trust of others.
- You are an “includer,” not an “excluder.” You bring others into what you do. You don’t exclude others because they lack certain attributes.
- You have a ‘presence’. Managers must lead. Effective leaders have a quality about them that makes people notice when they enter a room.

On the job:

- You are consistent, but not rigid; dependable, but can change your mind. You make decisions, but easily accept input from others.
- You are a little bit crazy. You think out-of-the box. You try new things and if they fail, you admit the mistake, but don’t apologize for having tried.
- You are not afraid to “do the math”. You make plans and schedules and work toward them.
- You are nimble and can change plans quickly, but you are not flighty.
- You see information as a tool to be used, not as power to be hoarded.

⁵² F. John Reh, How to be a better manager in *Your guide to management*,
Online at:
<http://management.about.com/cs/midcareermanager/a/htbebettermgr.htm>



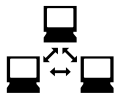
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Answers to Quiz Yourself

1. d
2. a
3. c
4. b
5. b
6. d
7. a
8. b
9. d
10.
 - Tell people what you want, not how to do it.
 - You cannot listen with your mouth open.
 - Lead by example.
 - Delegate the easy stuff.
 - Set an example.
 - Practice what you preach.
11.
 - meets stakeholder needs and requirements
 - is relevant and realistic scope
 - uses appropriate methods
 - produces reliable, accurate and valid data
 - includes appropriate and accurate analysis of results
 - presents impartial conclusions
 - conveys results clearly – in oral or written form
 - meets professional standards
 - relevance of the evaluation to decision makers and/or other stakeholders
 - involvement of users in the planning and reporting stages of the evaluation
 - reputation or credibility of the evaluator
 - quality of the communication of findings (timeliness, frequency, method)
 - development of procedures to assist in the use or recommendations for each action.

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