

IPDET

Handbook

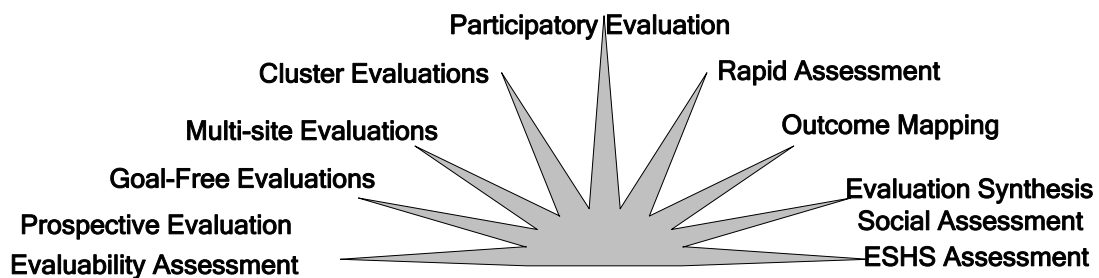
Module 7

Approaches to Development Evaluation

Introduction

As development has moved from a project only approach to including programs, and policies, evaluation of these interventions also needed to change. To address these more complex interventions, a wide variety of approaches have been used. In this module we will look at some of these approaches.

- Introduction to Evaluation Approaches
- Evaluability Assessment
- Prospective Evaluation
- Goal-Free Evaluations
- Multi-site Evaluations
- Cluster Evaluations
- Participatory Evaluation
- Rapid Assessment
- Outcome Mapping
- Evaluation Synthesis
- Social Assessment
- ESHS Assessment.





Learning Objectives

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

- describe evaluability assessment
- describe prospective evaluation
- describe goal-free evaluation
- describe multi-site evaluation
- describe cluster evaluations
- describe participatory evaluation
- describe rapid assessment
- describe outcome mapping
- describe evaluation synthesis
- describe social assessment
- describe ESHS assessment



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.

evaluability assessment
prospective evaluation
goal-free evaluation
multi-site evaluations
cluster evaluations
participatory evaluations
rapid assessment
outcome mapping
outcome journal
strategy journal
performance journal
boundary partners
evaluation synthesis
social assessment
ESHS assessment



Introduction to Evaluation Approaches

In the 1960s and 1970s, assistance for development focused on projects. Evaluation of these development projects was focused on efficiency and effectiveness.

The 1980s showed a greater attention to structural adjustment policies, moving beyond evaluating at the project level to looking at programs.

Since the 1990s, the international community has been developing partnership approaches to development assistance. Cooperative approaches include more stakeholders and more complex operations. In addition, donors are communicating with other donors and agreeing to work together to meet development goals, including working cooperatively on interventions.

Since 2000, the task for evaluation has become even more complex. The Millennium Development Goals (MDGs) were developed and agreed upon by the international community. This new set of standards assists with cooperation among multilateral organisations, donors, and partner countries.

A variety of approaches and strategies have been developed to meet the changing requirements of development evaluation. Some approaches have been used and tested for many years and continue to be valuable.

To meet the demands for fast, flexible, and participatory evaluations, approaches are recently being used that are somewhat different than traditional program evaluation.

The choice of evaluation approach may be implemented in a variety of locations and may be implemented differently to meet local requirements.

No matter what approach is chosen, each approach still requires the same planning steps. All approaches define evaluation questions, identify measures, collect and analyze data, and report and use findings.



Evaluability Assessment

Evaluability assessment is a brief preliminary study to determine whether an evaluation would be useful and feasible. This type of preliminary study can also help define the purpose of the evaluation, identify what data resources are currently available and accessible, identify key stakeholders and clarify their information needs, and consider different methods for conducting the evaluation. The process can save time and help avoid mistakes.

Joseph S Wholey and his colleagues developed evaluability assessment in the early 1970s to address their belief that many evaluations failed because of discrepancies between “rhetoric and reality”¹ Wholey and his colleagues saw evaluability assessment as a means for facilitating communication between evaluators and stakeholders. They proposed evaluability assessment as a means for determining whether a program was “evaluable” and for focusing the evaluation.²

Although evaluability assessment was originally developed as a precursor to summative evaluation, its role has expanded. Now it is also used to clarify the purposes of a formative study or as a planning tool.³

The decision here is one of whether or not the intervention is sufficiently clear so that one can conduct an evaluation. You need to do preliminary work to ascertain if an evaluation can be conducted. For example, if an objectives-based evaluation is proposed, it may be problematic if program objectives are not sufficiently clear or lack shared agreement among all stakeholders. Sometimes measures are not available and need to be developed, or data may be inaccessible.

These are all questions about the feasibility of conducting an evaluation. If it is not feasible to design an evaluation from all the information that is available, it is a warning sign that key gaps exist somewhere — in the description of the goals, in the lack of clarity on who is the target population, on what outcomes are to be evident in the near future, and so on.

The evaluability assessment serves a useful purpose in helping a proposed intervention refocus its goals, outcomes, and targets to be absolutely clear on what is to be achieved.

¹ Nay J., and P. Kay (1982). *Government oversight and evaluability assessment*. Lexington, MA: Heath. p.225.

² Fitzpatrick, Sanders, and Worthen (2004). *Program evaluation: Alternative approaches and practical guidelines*. New York: Pearson. p 182.

³ M.F. Smith (1989). *Evaluability assessment: A practical approach*. Boston: Kluwer Academic.



Evaluability assessments are usually conducted by a group of people. Ideally the group should comprise the stakeholders, implementers, and administration.

The steps in the evaluability assessment process can include:

- reviewing materials that define and describe the intervention
- identifying any modifications to the implemented intervention from that which was originally planned
- interviewing intervention managers and staff about the goals and objectives
- interviewing stakeholders
- developing an evaluation model
- identifying sources of data
- identifying people and organizations that can implement any possible recommendations from the evaluation.

One of the biggest benefits of evaluability assessment is that it can lead to a more realistic and appropriate evaluation.

According to Smith⁴ and Wholey.⁵ evaluability assessments have additional benefits. These include:

- the ability to distinguish between program failure and evaluation failure
- accurate estimation of long term outcomes
- increased investment in the program by the stakeholders
- improved program performance
- improved program development and evaluation skills of staff
- increased visibility and accountability for the program
- clearer administrative understanding of the program
- better policy choices
- continued support.

Evaluability assessments are usually conducted by a group of people composed of the stakeholders, implementers, and administration.

⁴ M.F.Smith, (1989). *Evaluability assessment: A practical approach*. Clemson: Kluwer Academic.

⁵ J.S. Wholey, (1987). Evaluability assessment: Developing program theory. In L. Bickman (Ed.) *Using program theory in evaluation*. New Directions for Program Evaluation, No. 33. San Francisco: Jossey-Bass.



The challenges of an evaluability assessment are that they can be time consuming and costly, especially if the group conducting the assessment does not work well together.



You can see an example of an evaluability assessment, named “An Evaluability Assessment of Responsible Fatherhood Programs” at the following website:

<http://fatherhood.hhs.gov/evaluaby/intro.htm>

Prospective Evaluation

A **prospective evaluation** is one in which a project is reviewed before it begins, in an attempt to:

- assess the project’s readiness to be implemented
- predict its cost
- analyze alternative proposals and projections.

Many prospective evaluations are done by the United States General Accounting Agency (GAO). The GAO evaluators assist government decision-makers by furnishing analytical information on issues and options they are considering⁶. The GAO is asked to answer questions about the future. The questions they are asked involve analyses of alternative proposals and projects. Table 7.1 identifies four kinds of forward-looking questions the GAO is asked to do.

⁶ United States General Accounting Office (1990). *Prospective evaluation methods: The prospective evaluation synthesis*. Available online at: http://www.gao.gov/special.pubs/10_1_10.PDF



Table 7.1: Types of GAO Forward Looking Questions⁷

Question type	What GAO is asked to do	
	Critique others' analysis	Do analyses themselves
Anticipate the future	1. How well has the administration projected future needs, costs, and consequences?	3. What are future needs, costs, and consequences?
Improve the future	2. What is the potential success of an administration or congressional proposal?	4. What course of action has the best potential for success and is the most appropriate for GAO to recommend?

Most prospective evaluations involve the following kinds of activities:⁸

- a careful, skilled textual analysis of the proposed project, program, or policy
- a review and synthesis of evaluation studies from similar projects, programs, or policies
- a summarized prediction of likely success or failure, given a future context that is not too different from the past.

A prospective evaluation is different from evaluability assessment. It is done **before** a program exists. An evaluability assessment determines evaluability of an **existing** program.



You can see an example of prospective evaluation, named “Textbooks and Test Scores: Evidence from a Prospective Evaluation in Kenya” at the following website:

http://www.econ.yale.edu/~egcenter/infoconf/kremer_paper.pdf

⁷ United States General Accounting Office (1990). *Prospective evaluation methods: The prospective evaluation synthesis*. Available online at: http://www.gao.gov/special.pubs/10_1_10.PDF p. 11

⁸ United States Government Accounting Office, *Prospective Evaluation Methods*. (1990). p. 11. <http://www.gao.gov/special.pubs/pe10110.pdf>



Goal-Free Evaluations

Another recent approach to evaluation is **goal-free evaluation**. Fitzpatrick, Sanders, and Worthen⁹ describe the following characteristics of goal-free evaluation:

- The evaluator purposefully avoids becoming aware of the program goals.
- Predetermined goals are not permitted to narrow the focus of the evaluation study.
- Goal-free evaluation focuses on actual outcomes rather than intended program outcomes.
- The goal-free evaluator has minimal contact with the program manager and staff.
- Goal-free evaluation increases the likelihood that unanticipated side effects will be noted.

For example, an evaluator may be told the following goals:

- bring school dropouts into a vocational training program
- train them in productive vocations
- place them in stable job.

The evaluator may choose a design to measure these. If there are additional effects of the program that were not anticipated, such as the crime rate of others not in the program, who are not receiving training, increases, these will not be measured in the evaluation. A goal-free evaluator will be more likely to identify this problem, than an objectives-oriented evaluator with blinders on.



You can see examples of goal-free evaluations from the Evaluation Center of Western Michigan University at the following website:

<http://www.wmich.edu/evalctr/project-pub.html>

⁹ Fitzpatrick, Sanders, and Worthen (2004). *Program evaluation: Alternative approaches and practical guidelines*. New York: Pearson. p 84-85.



Multi-Site Evaluations

Rather than look at a single intervention, it is sometimes more useful to look at interventions that have been implemented in a variety of locations. These are called **multi-site evaluations**. The intervention may have been implemented in the same way in all locations or implemented slightly differently in each location. A multi-site evaluation provides information about the overall experience of the intervention as well as a deeper understanding about the variations. It may answer questions, such as:

- What features of intervention implementation are common to all locations?
- Which features vary and why?
- Are there differences in outcomes based on those variations?

Of course, it may be hard to determine whether the variations in the intervention made a difference. Sometimes interventions have different impacts because of differences in the setting, such as strong intervention leadership or a community with active citizens.

The evaluation must capture the political climate in which the interventions operate, as well as any cultural differences that might affect variation in experiences and outcomes. Stakeholders' participation is important since they can help the evaluator to better understand the local situation.

The advantage of a multi-site evaluation is that it is typically a stronger design than an evaluation of a single intervention in a single location. A multi-site evaluation can more credibly summarize across a larger population because it includes a larger sample and more diverse set of intervention situations. Overall findings, as well as consistent findings across interventions, provide stronger evidence of intervention effectiveness.

The comparisons of the interventions within their contexts are likely to provide a range of lessons learned and strategies for dealing with a variety of situations. Best practices may also emerge from a multi-site evaluation.

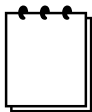


Challenges for Multi-Site Evaluations

Conducting multi-site evaluations poses unique challenges. First, data collection must be as standardized as possible. The same data collected in much the same way is necessary for comparisons to be meaningful. This requires well-trained staff, access to all sites, and sufficient information ahead of time to design the data collection instruments. It also assumes that the same data are generally available at every site. In addition, data need to be collected in order to understand differences within each intervention and their communities.

Yet, each location is different. Some indicators may be comparable (such as amount of resources invested, infant mortality rate, incidence of infectious diseases, fertility rates, utilization of health care resources), but each site may have a slightly different focus.

When looking across countries, the political, social, economic and historical contexts are notable in shaping the evaluation, as can be seen in “*Investing in Health: Development Effectiveness in the Health, Nutrition, and Population Sector.*”¹⁰



Case 7-1 Summary: Investing in Health

After 30 years of supporting health, nutrition and population (HNP) projects in over 92 countries, what is the overall impact of funding these efforts and what are the lessons to be learned for the future? This evaluation used data available from donor records and conducted four country case studies (Brazil, India, Mali, and Zimbabwe). Efforts have shifted from a focus on providing basic services to improving health policies and promoting health sector reforms.

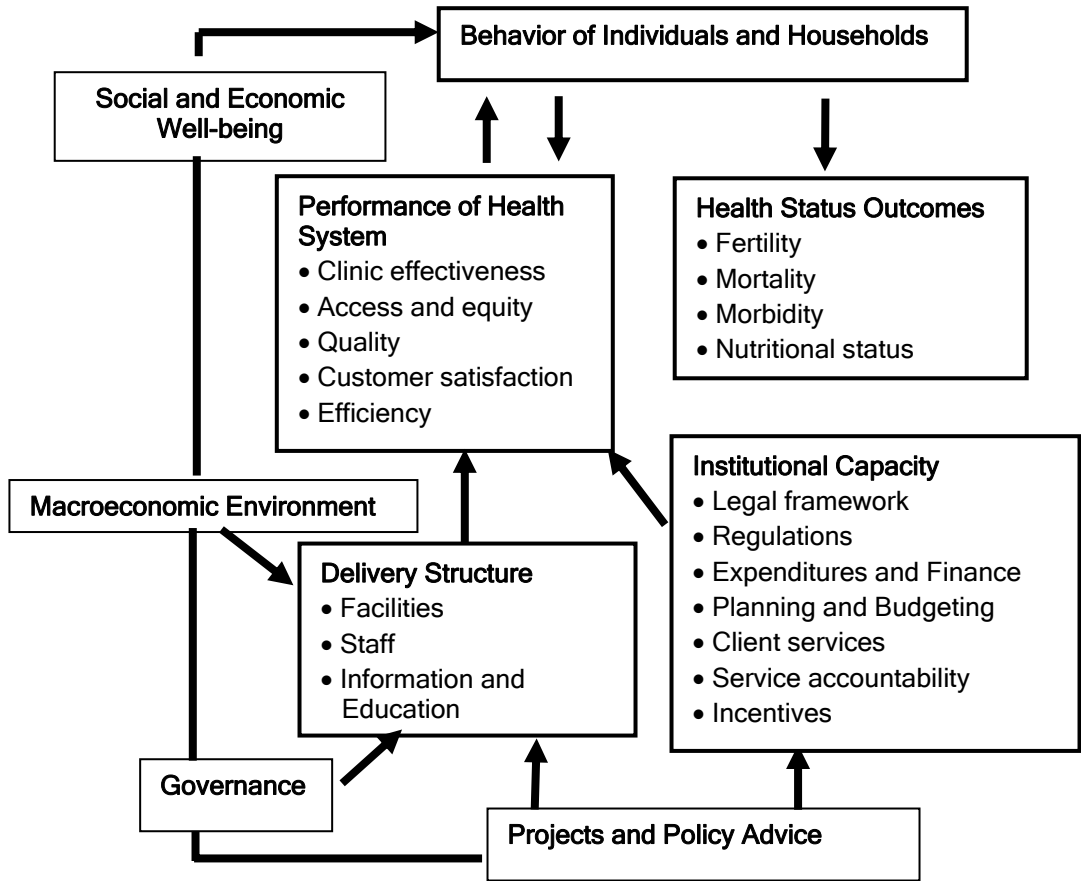
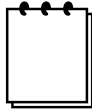
Three questions:

1. Have the projects and policy advice been **relevant** to the promotion of improved outcomes and health system performance?
 - That is, did they “do the right things?”
2. Have the interventions been **effective and efficient**?
 - That is, did they “do things right?”
3. Has the intervention been effective in strengthening health care **institutions** and have they been financially and institutional **sustainable**?

¹⁰ T. Johnston and S. Stout (1999). “Investing in Health: Development in Health, Nutrition, and Population Sector,” The World Bank, Operations Evaluation Department. Available online at: www.worldbank.org/html/oed



Case 7-2: Health, Nutrition, and Population



Overall performance:

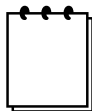
Of the 107 HNP projects completed between FY75–FY98, 64% were rated satisfactory; 79% of those completed in FY97/98 were satisfactory.

Project sustainability: 50% of those completed between FY75–FY98 were rated as sustainable; 66% of those completed in FY97/98 were rated as sustainable.

Institutional Development: 22% of those completed between FY75–FY98 were rated as having substantial institutional development; 25% of those completed in FY97/98 were rated as having substantial institutional development. This is well below the Bank average of 38% for the same period.

Fig. 7.1 Contributory Pathways and Structures in Achieving Change in HNP¹¹.

¹¹ T. Johnston, and S. Stout (1999). "Investing in health: Development in health, nutrition, and population sector," The World Bank, Operations Evaluation Department. Available online at: [http://inweb18.worldbank.org/oed/oeddoclib.nsf/DocUNIDViewForJavaSearch/DAF8D4188308862F852568420062F332/\\$file/HNP.pdf](http://inweb18.worldbank.org/oed/oeddoclib.nsf/DocUNIDViewForJavaSearch/DAF8D4188308862F852568420062F332/$file/HNP.pdf) p 2-



Case 7-3: Health, Nutrition, and Population

Four Case Studies¹²

Brazil: 10 projects focusing on the health care system, including expanding access for the poor, improving efficiency and efficacy, and controlling endemic diseases.

Findings: *Child Health and Nutrition:* Infant mortality rates and childhood height for age charts show improvement. But serious inequalities persist, related to poverty and rural locations. *Women's health:* fertility declined. Clinics: slow to be developed, focus groups revealed customer dissatisfaction with service quality. *Endemic diseases:* limited success but TB and leprosy are on the rise. Malaria is a problem in the Amazon area. AIDS is affecting more groups.

India: 23 HNP projects were funded.

Findings: India has higher rates of mortality and disability as compared to other countries. Poverty, service delivery problems, and misallocation of resources are among the causes of the poor performance in terms problem in health outcomes. The Tamil Nadu Integrated Nutrition project focused on changing the way mothers fed themselves and their very young children. Mothers kept records of the children's weight as well receiving education, health care, and supplemental feeding as needed. Although the intervention was successful at preventing severe malnutrition, the government did not continue the intervention. A later intervention did not have the ability to actually deliver the goods and services, although other countries successfully used the integrated model. Disease control efforts have some success. Health reform projects look promising but need better monitoring and evaluation interventions in place.

Mali: Report does not state how many projects were funded. First project began in 1983 following a survey of villagers' use of health care. Eventually, the health care projects supported community-managed health care clinics.

Findings: While utilization rates are somewhat higher at the community-managed clinics than other health resources, they are well below the expected average rate of one visit per year. It is too soon to determine the impact of these changes on health indicators. There has been a slight decline in infant mortality and the percentage of women with at least one prenatal visit during pregnancy increased from about 33% in 1987 to about 50% in 1995. But malnutrition among children is about 23%, and its effects—stunting and wasting—continue to rise.

Zimbabwe: Report does not state how many projects were funded.

Findings: Infant mortality has declined but is on the rise again, as are opportunistic infections such as TB. Deaths of children under 5 are also increasing. The report focuses on the challenges, reporting that the donor has usually “done the right thing” but has not always “done things right.” Zimbabwe faces severe financial challenges and a growing AIDS epidemic. Zimbabwe's efforts at combating AIDS are not commensurate with the problem. Budget crisis contributes to this, including 25% of its budget that goes to pay debt interest. Government budget cutbacks in health did not help and resulted in staff shortages and reduced training for health care professionals.

¹² T. Johnston, and S. Stout (1999). “Investing in health: Development in health, nutrition, and population sector,” The World Bank, Operations Evaluation Department. Available online at: [http://lnweb18.worldbank.org/oed/oeddoelib.nsf/DocUNIDViewForJavaSearch/DAF8D4188308862F852568420062F332/\\$file/HNP.pdf](http://lnweb18.worldbank.org/oed/oeddoelib.nsf/DocUNIDViewForJavaSearch/DAF8D4188308862F852568420062F332/$file/HNP.pdf) p 12



You can see an example of a multi-site evaluation titled “*Multi-site evaluation of four anti-HIV-1/HIV-2 enzyme immunoassays*” by the Australian HIV Test Evaluation Group at the following site:

http://www.ncbi.nlm.nih.gov/entrez/query.fcgi?cmd=Retrieve&db=PubMed&list_uids=7882108&dopt=Abstract

You will find another example of a multi-site evaluation from SRI International, named “*A Multi-site Evaluation of the Parent’s as Teachers (PAT) Project*” at:

<http://www.sri.com/policy/cehs/early/pat.html>

Cluster Evaluations

Cluster evaluations are similar to multi-site evaluations but the intention is different.

Like multi-site evaluations, cluster evaluations focus on interventions that share a common mission, strategy, and target population.

However, the evaluation is not intended to determine whether an intervention works or to ensure accountability. It does not evaluate the success or failure of individual interventions nor does it identify interventions to be terminated. Its intent is to learn about what happened across the clusters and to ascertain lessons learned. Information is only reported in aggregate so that no one project is identified. Like multi-site evaluations, stakeholder participation is a key element. Cluster evaluations differ from multi-site evaluations in that cluster evaluations are not concerned with generalizability or replicability. Variation is viewed as positive because individual projects are adjusting to their contexts, and the evaluation is more focused on learning than drawing overall conclusions about program quality or value.

While there is no specific methodology, cluster evaluations are more likely to use qualitative approaches to supplement any quantitative data collected.

It is possible to think of cluster evaluations as multiple case studies, with sharing of information across cases through networking conferences as a significant characteristic of this approach. Like any evaluation, it is necessary to identify the evaluation questions, determine appropriate measures, develop data collection strategies, analyze and interpret the data and report the findings back to the stakeholders.

A disadvantage of cluster evaluations is that you will not learn data about individual sites; rather, you will only have aggregate information.



You can see an example of a cluster evaluation named “*Governance in PNG: A cluster evaluation of three public sector reform activities*” at the following website:

http://www.usaid.gov/publications/pdf/governance_in_png_qc35.pdf

Participatory Evaluation

Participatory evaluation is a different way to approach an evaluation. It takes the notion of stakeholder involvement to a new level. The responsibilities for evaluation planning, implementing, and reporting are shared. Not only are stakeholders involved in defining the evaluation questions and reviewing the report, they are also frequently involved in data collection, analysis, and drafting the report.

Hubert E. Paulmer¹³ describes participatory evaluation as:

... a collective assessment of a program by stakeholders and beneficiaries. They are also action-oriented and build stakeholder capacity and facilitate collaboration and shared decision making for increased utilization of evaluation results. There can be different levels of participation by beneficiaries in an evaluation.

There are two primary objectives to participation and participatory approaches:

- participation as product where the act of participation is an objective and is one of the indicators of success
- participation as a process by which to achieve a stated objective.

¹³ Hubert E. Paulmer, “*Evaluation guidelines of international aid agencies: A comparative study.*” Professional paper presented June 30, 2005, University of Guelph, Guelph, Ontario. p 19.



According to Patton¹⁴, the basic principles of participatory evaluation are:

- evaluation process involves participants skills in goal setting, establishing priorities, selecting questions, analyzing data and making decisions on the data
- participants own [commit to] the evaluation as they make decisions and make their own conclusions
- participants ensure that the evaluation focuses on methods and results that they consider important
- people work together and hence group unity is facilitated and promoted
- all aspects of the evaluation are understandable and meaningful to participants
- self-accountability is highly valued
- facilitators act as resources for learning and participants are decision makers and evaluators.

The participatory evaluation approach is receiving increased attention. It is also being used more often for evaluations in the developing world and among many development initiatives that are community based. Participatory evaluation is another step in the move away from the model of independent evaluation.

In participatory evaluation, stakeholders might be asked to keep diaries or journals of their own experiences with the intervention. In addition, they may help interview others or conduct focus groups. They will also analyze the data and participate in developing recommendations.

The process in participatory evaluation is different. There are more meetings. Planning decisions, such as identifying the questions, measures, and data collection strategies, are made together. It is a joint process rather than a more traditional top-down process.

The participatory approach usually increases the credibility of the results in the eyes of program staff, and the likelihood that the results will be used. In addition, advocates of participatory evaluation see it as a tool for empowering participants and increasing capacity at the local level for engagement in the development process.

¹⁴ Michael Q. Patton, (1997). *Utilization focused evaluation: The new century text*. Beverly Hills: Sage Publications.



Participatory evaluation does pose some challenges. It can be time-consuming with meetings and making sure everyone understands what is expected. It also takes considerable skill in helping the group clarify roles, responsibilities, and the process. Groups tend to go through a process where differences are reconciled and group norms develop before the group focuses on achieving the tasks at hand.¹⁵

There may be some challenges in creating an egalitarian team in a culture where the different members have different status in their community. The evaluator must have facilitation, collaboration, and conflict management skills (or have someone with those skills take the lead). In addition, the evaluator must have the ability to provide just-in-time training on a number of skills and techniques associated with evaluation and group process inherent in participation.

Table 7.2 compares participatory evaluation to traditional evaluation techniques.

Table 7.2: Participatory versus Traditional Evaluation Techniques

Participatory	Traditional
<ul style="list-style-type: none"> • Participant focus and ownership • Focus on learning • Flexible design • More informal methods • Outsiders are facilitators 	<ul style="list-style-type: none"> • Donor focus and ownership • Focus on accountability and judgment • Predetermined design • Formal methods • Outside evaluators

¹⁵ This group dynamic process is sometimes referred to as “forming, storming, norming, and performing.” After forming, it is natural to hit a period of conflict. If the group works through these conflicts, it will establish more specific agreements about how they will work together. Once these agreements are established, they will move onto performing the tasks at hand.



Challenges of Participatory Evaluation in Developing Countries

Those trained in traditional evaluation are likely to be concerned that a participatory evaluation will not be objective. There is a risk that those closest to the intervention may not be able to see what is actually happening if it is not what they expect to see. Participants may be fearful of raising negative views, either because they fear that others in the group may ostracize them or that the intervention will be terminated. While approaching participatory evaluations from a learning perspective may help in reducing these fears, it is an issue that has to be dealt with. Evaluators should consider seriously the degree to which credibility may be compromised (in the view of outsiders) by choosing a participatory rather than an independent evaluation approach.

Benefits of Participatory Evaluation in Developing Countries

Sulley Gariba¹⁶ describes how the word *evaluation* often causes mixed reactions to donors and implementers. The donors may worry about how the evaluation will affect the project; that is, cause it to be extended or terminated. For project implementers, evaluations may cause feelings of vindicating or vilifying their approaches to project management. In any case, evaluation may cause discomfort and the evaluator is caught in the middle of these feelings. Gariba describes how participatory evaluation can be a systematic way of learning from experience. With participatory evaluation, the partners in the development intervention draw lessons from their interaction and take corrective actions to improve the effectiveness or efficiency of their ongoing future activities.

¹⁶ Sulley Gariba, (1998). Participatory Impact Assessment as a Tool for Change: Lessons from Poverty Alleviation Projects in Africa” in *Knowledge Shared: Participatory evaluation in development cooperation*. Bloomfield, CT: Kumarian. Chapter 4.



Gariba describes three critical elements of participatory evaluation:

- **Evaluation as a Learning Tool.** This principle formed the main paradigm of choice. The purpose was not to investigate but to create an opportunity for all the stakeholders, the donors included, to learn from their particular roles in the development intervention exercise.
- **Evaluation as Part of the Development Process.** The evaluation activity is not discrete and separable from the development process itself. The results and corresponding tools become, in effect, tools for change rather than historical reports.
- **Evaluation as a Partnership and Sharing of Responsibility.** This is in sharp contrast to the tendency for evaluators to establish a syndrome of "we" the professionals and "they" the project actors and beneficiaries. In the participatory impact assessment methodology, all the actors have more or less equal weight.

As described by Gariba, in this context, the evaluator becomes readily transformed from an investigator to a promoter, and from intimidator to participant.

Importance of Participatory Evaluation

According to the Canadian International Development Agency (CIDA) Guide 2004,¹⁷ if stakeholders participated in the development of results, they are more likely to contribute to their implementation. Participatory evaluation also:

- builds accountability within communities
- gives a more realistic orientation to evaluation
- increases cooperation
- empowers local participants by getting involved in evaluation process.

¹⁷ Canadian International Development Agency. *CIDA evaluation guide 2004*. Ottawa, Ontario.



In participatory evaluation key stakeholders become integrally involved in:

- setting up frameworks for measuring and reporting on results
- reflecting on:
 - results achieved
 - proposing solutions
 - responding to challenges
- promoting the implementation of evaluation recommendations.



Case 7-4: Morocco: Engaging Women

Building Trust: guess who knows?

- all but two of the group gathered in a circle and joined hands
- facilitator asked them to entangle themselves without letting go of hands
- the two outsiders were asked to give instructions to untangle the group
 - time it took: **six minutes**
- then the group was asked to repeat the exercise and entangle themselves
- the facilitator was asked to give instructions, and simply “untangle yourselves”
 - time it took: **ten seconds**

Conclusions:

- Local people know better how to get out of their own mess because they live in it.
- What is the role of outsiders: Facilitators and catalysts rather than leaders.



You can see an example of a participatory evaluation, named “*Preventing Chronic Disease: A participatory Evaluation Approach, by Contra Costa Health Services*” at the following website:

http://www.cchealth.org/groups/chronic_disease/guide/evaluation.php

Another example of a participatory evaluation, titled “*Picturing Impact: Participatory Evaluation of Community IPM in Three West Java Villages*” at the following website:

<http://www.communityipm.org/docs/Picturing%20Impact/Picturing%20Impact%20top%20page.html>

Rapid Assessment

Rapid assessments used in development evaluation meet the demands for fast and low-cost evaluations. In developing countries, it sometimes is not possible or worth the cost to conduct a study based on formal social science approaches. For example, the country may lack data to be used for baselines, may not have a complete listing of everyone in the population, may have a low literacy rate which means that questionnaires cannot be used, and have few trained evaluators. It may take so long to gather and analyze data that the government will change and the data will be no longer useful.

While there is no fixed definition as to what a rapid assessment is, it is generally described as a bridge between formal and informal data collection or as a “fairly quick and fairly clean” approach rather than “quick and dirty.” It could be described as a systematic, semi-structured, approach. It is used in the field, typically with a team of evaluators. Ideally, the team will be diverse so that a variety of perspectives will be reflected.

Rapid assessment is best used when looking at processes and issues. Generally, it seeks to gather only the most essential information – the “must know” rather than the “nice to know” – and tends to use both quantitative and qualitative approaches. Its basic orientation in development evaluation is to “seek to understand” because a non-judgmental approach will be more likely to elicit open and honest conversations. Observation of the intervention within its setting can provide clues as to how well the intervention is working. Listening skills are essential. A key task is to identify people who have a range of experiences and perspectives, especially those who would most likely be overlooked in an evaluation. A small but highly diverse group of informants can be very effective in obtaining a holistic view of the situation.



Rapid assessments must use more than one source of information. Multiple sources increase credibility, reduce bias, and provide a holistic perspective. Rapid assessment can use the same data collection and data analysis methods as any other evaluation. The difference is usually in terms of scope. Typically, rapid assessments are small in scope: a few people in face-to-face data collection in a few locations. Existing data (prior reports and studies, records, and documents) supplement and corroborate data collected by observation, interviews, and focus groups. Surveys might also be used.

To the extent that qualitative methods are used, it is important to take very clear and cogent notes. It also helps for the evaluator to maintain a journal to note observations, feelings, hunches, interpretations as well as any incidents that happen during the field visit.

A rapid appraisal is not limited to any particular method, but following a few principles will help. Conduct a review of secondary data before going into the field. Once in the field, **observe**, **converse**, and **record**. Maintain good notes throughout the process; not only are they essential for the report, but will help you make sense out of what you are learning.

Some strategies and lessons learned in doing rapid appraisals include:¹⁸

- Use a diverse, multidisciplinary team
 - Recruit both men and women as members of the team
 - Recruit insiders, who have familiarity with the intervention and the local area, and outsiders, who will see things fresh
- Use small teams, rather than large teams, to maximize interactions
- Divide time between collecting data and making sense out of it
- Be willing to go where you need to: fields, market places, off the main road
- Be flexible and adaptable since new information can change the evaluation plan.

¹⁸ FAO (1997). *Rapid Rural Appraisal*; in Marketing Research and Information Systems, Chapter 8. Available online at:

<http://www.fao.org/docrep/W3241E/w3241e09.htm>



You can see an example of rapid assessment, prepared by the United Nations Interregional Crime and Justice Research Institute (UNICRI) and the Australian Institute of Criminology (AIC), named “*Global Programme Against Trafficking in Human Beings, Rapid Assessment: Human Smuggling and Trafficking from the Philippines*” at the following website:

http://www.unodc.org/pdf/crime/trafficking/RA_UNICRI.pdf

Outcome Mapping¹⁹

The International Development Research Centre (IDRC) has developed an innovative approach to evaluation. Their outcome mapping approach does not attempt to replace more traditional forms of evaluation, but to supplement them by focusing on related behavioral change.

In short, **outcome mapping** focuses on one specific type of result: outcomes as behavioral change. As you probably recall, outcomes are defined as changes in the behavior, relationships, activities, or actions of other people, groups, and organizations with whom a program works directly.

Outcomes can be logically linked to a project, program, or policy’s activities. This logical link can occur even if they are not the *cause* of these activities. When using outcome mapping, the focus is on outcomes rather than the achievement of development impacts, because these are too “downstream” and are the result of many efforts and interventions. To accurately assess any one organization’s contributions to impact, IDRC argues, is futile. Instead, outcome mapping seeks to look at behaviors to help improve the performance of projects, programs, and policies, by providing new tools, techniques, and resources to contribute to the development process. While recognizing the importance of impact as the ultimate goal, outcome mapping can provide information that programs require to improve their performance.

¹⁹ S. Earl, F. Carden, and T. Smutlylo (2001). *Outcome mapping: Building learning and reflection into development programs*. International Development Research Centre, Ottawa, Ontario. pp 1-5.



Boundary partners are individuals, groups, and organizations who interact with projects, programs, and policy. They are also those who may have the most opportunities for influence. Outcome mapping assumes that the boundary partners control change. It also assumes that it is their role as external agents that provides them with access to new resources, ideas, or opportunities for a certain period of time. By focusing on these behavior changes, output mapping supports what practitioners in development have known for some time; that the most successful programs are those that transfer power and responsibility to people acting within the project or program.

The focus of outcome mapping is people. It is a shift away from assessing the development impact of a project or program and towards describing changes in the way people behave through actions and relationships alone or within groups and/or organizations.

Many programs, especially those focusing on capacity building, can better plan for and assess their contributions to development by focusing on behavior. For example, a program may have the objective to provide communities with access to cleaner water by installing purification filters. With the traditional method of evaluation, the results might be measured by counting the number of filters installed and measuring the changes in the level of contaminants in the water before and after the filters were installed. An outcome mapping approach would focus on behavior. It would start with the premise that water does not remain clean without people being able to maintain its quality over time. The outcomes of the program would then be evaluated by focusing on the behavior of those responsible for water purity: specifically, changes in their acquisition and use of appropriate tools, skills, and knowledge. Outcome mapping would evaluate how people monitor the contaminant levels, change filters, or bring in experts when required.

Outcome mapping does not attempt to replace the more traditional forms of evaluation. Instead, outcome mapping supplements other forms by focusing on behavioral change.



Three Stages of Outcome Mapping

Outcome mapping is divided into three stages:

- intentional design
- outcome and performance monitoring
- evaluation planning.

Intentional Design

This first stage, intentional design, helps a program establish consensus on the macro level changes it will help bring about. It then plans the strategies it will use. It helps answer four questions:

- **Why?** What is the vision to which the program wants to contribute?
- **Who?** Who are the program's boundary partners?
- **What?** What are the changes that are being sought?
- **How?** How will the program contribute to the change process?

Outcome and Performance Monitoring

The second stage, outcome and performance monitoring stage, provides a framework for the ongoing monitoring of the program. It sets ways to monitor the actions and the boundary partners' progress toward the achievement of outcomes. This framework is based largely upon systemized self-assessment. It provides the following data collection tools for elements identified in the intentional design stage:

- an "outcome journal"
- a "strategy journal"
- a "performance journal."²⁰

²⁰ Earl, Carden, and Smutlylo (2001). *Outcome mapping: Building learning and reflection into development programs*. International Development Research Centre, Ottawa, Ontario. pp 100-110.



An **outcome journal** includes regular entries for each boundary partner that the program has identified as a priority. The outcome journal rates progress markers. Progress markers articulate the results that the program has helped to achieve.

The rating scale for the progress markers are categorized as one of the following

- expect to see
- like to see
- love to see.

In addition, each progress marker is under the above category are rated as:

- low
- medium
- high.

A **strategy journal** records data on the strategies being employed to encourage change in the boundary partners. The evaluators fill this out during the program's regular monitoring meetings. It is used to help determine if the program is making optimum contributions to the achievement of outcomes. It also helps determine if modifications need to be made to help achieve outcomes.

The following are examples of planning and management questions that might be considered during monitoring meetings:

- What are we doing well and what should we continue doing?
- What are we doing "okay" or badly and what can we improve?
- What strategies or practices do we need to add?
- What strategies or practices do we need to give up?
- How are/should we be responding to the changes in boundary partners' behaviour?
- Who is responsible? What are the time lines?
- Has any issue come up that we need to evaluate in greater depth? What? When? Why? How?



A **performance journal** records data on how the program is operating as an organization to fulfill its mission. Entries in the performance journal are added during the regular monitoring. The journal includes information on the organizational practices being employed by those in the program that help the program remain relevant, sustainable, and connected to its environment. The entries in the journal should not just ask “How well have we done?” It should also ask, “How can we improve?”

Evaluation Planning

The third stage, evaluation planning, helps the program identify evaluation priorities and develop an evaluation plan.

Figure 7.2 shows the three stages of outcome mapping. It also shows a detail of each stage, including the steps in each stage.

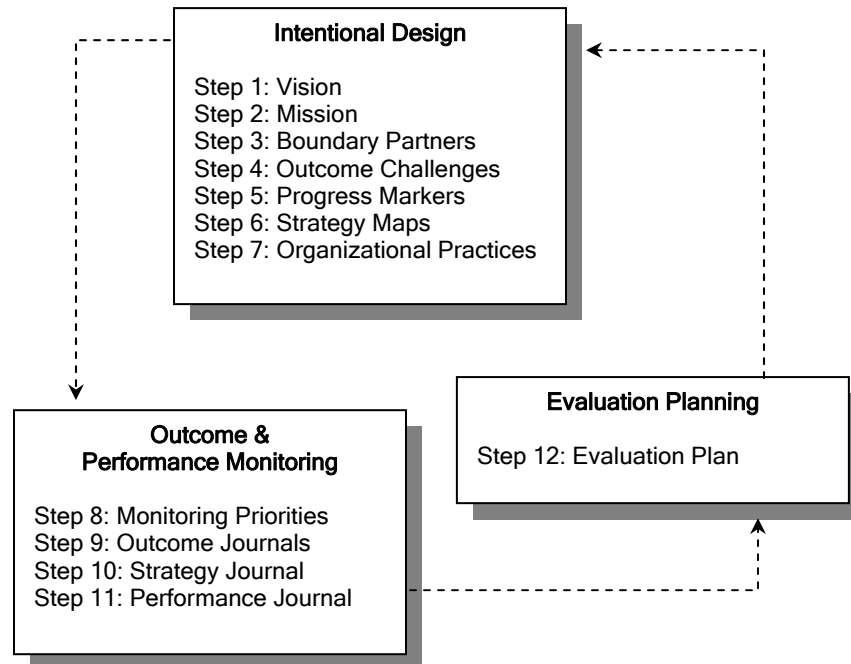


Fig. 7.2: Detail of Three Stages of Outcome Mapping.

Source: Earl, Carden, & Smutylo. 2001. p. 4.



You can see an example of outcome mapping, named “*Sustainable Coastal Communities: Tools for Building Sustainable Coastal Communities*” at the following website:

<http://seagrant.gso.uri.edu/scc/index.html>



Evaluation Synthesis

An evaluation synthesis is a useful approach in situations where many other evaluations about a particular intervention have already been done. This might be most useful in looking at similar interventions addressing a similar issue or theme. It is useful when the evaluation seeks to find out the overall effectiveness of an intervention.

To do an evaluation synthesis, it is necessary to:

- locate all relevant studies
- establish criteria to determine the quality of the studies
- include only quality studies
- combine the results – chart the quality of the studies and the key measure of impact. (See Figure 7.3.)

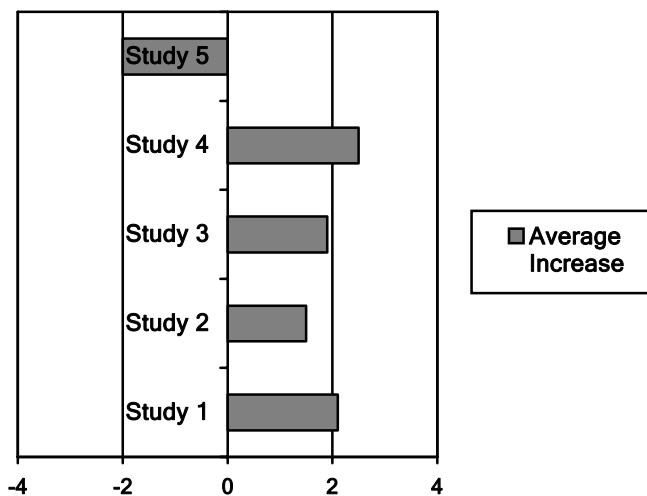
For example, a number of interventions have been implemented across many countries to reduce the incidence of infant mortality. While an individual evaluation may provide useful information about a specific intervention, it typically is too weak to allow for a general statement about intervention impact. However, when the results of many studies are combined, it is possible to make general statements about intervention (and even policy) impact.

Let us say we find eight studies of a pre-natal intervention that measure birth weight as the outcome measure. Based on our criteria, we include five in the evaluation synthesis. In four of the five studies, there is an increase in the birth weight. We would conclude that overall, the pre-natal intervention has a positive impact.

One advantage of an evaluation synthesis is that it uses available research, making it cheaper to do. It also creates a much larger base for assessing an intervention impact: more people and more data. It is possible to be fairly confident in making general statements about intervention impact.



The challenges are in locating all relevant studies and obtaining permission to use the data. There is some risk of bias in selecting studies. The criteria for selection must be stated explicitly.



Source: Fake data, 2001.

Fig. 7.3: Average Increase in Birth Weight

An evaluation synthesis can be qualitative as well. In 1997, an evaluation study looking at the impact of Non-Government Organizations interventions as well as evaluation methods was published.²¹ The purpose of the study was to assess the impact of development interventions (the evaluation synthesis component of the study) and to assess the evaluation methods and approaches used (a meta-evaluation component; i.e., evaluating evaluations).

²¹ OECD/DAC (1997). Searching for Impact and Methods: NGO Evaluation Synthesis Study. Available online at: <http://www.eldis.org/static/DOC5421.htm>.



Difference between Evaluation Synthesis and Meta-Evaluation

An evaluation synthesis summarizes the results of evaluations studies or similar programs or policies. In an evaluation synthesis, the focus is on results. Patton²² describes meta-evaluation as “evaluating the evaluation based on the profession’s standards and principles.” It is a way of re-analyzing results of one or various evaluations. Some consider a meta-evaluation to also serve the purpose of an evaluation synthesis, while others distinguish the two.

The researchers faced challenges. Their assumption that they would be able to identify all the evaluations proved incorrect. There was no database listing all evaluations. Some interventions were not evaluated; others were but did not maintain any formal documentation. When they reviewed the selected reports, researchers were often unable to obtain firm answers to their questions. For example, one evaluation question was: “what was the impact of the interventions in terms of people’s lives?” The report concluded that it was not able to answer the questions because many of the reports had poor data or lacked the necessary data. Some reports reported impact but had no data to support that conclusion.

Even though the study did not result in the ability to provide answers about impact (the evaluation synthesis question), it did provide an overall understanding of the larger, cross-cutting issues in doing development evaluation (the meta-evaluation question).

An evaluation report for an evaluation synthesis will include the following.

- results
- citations for all studies
- clearly stated procedures for identifying studies
- criteria for inclusion in synthesis
- description of the studies
- gaps or limitations of the analysis.

²² M.Q. Patton, (1997). *Utilization focused evaluation: the new century text*. Beverly Hills, CA: Sage Publications. p 143.



There are both advantages and challenges for using evaluation synthesis studies. The advantages of an evaluation synthesis are that it:

- uses available research
- avoids original data collection
- is cost effective.

The potential challenges to evaluation synthesis are:

- difficulty in locating all the relevant studies
- difficulty in obtaining permission to use the data
- the same group may have done several studies
- difficulty in developing a credible measure of quality
- the risk of bias in selecting studies.



You can see an example of evaluation synthesis, by the Institute of Development Studies at the University of Helsinki, named “*Searching for Impact and Methods: NGO Evaluation Synthesis Study*”, at the following website:

<http://www.eldis.org/static/DOC5421.htm>

Eldis is one of a family of knowledge services from the Institute of Development Studies, Sussex. Eldis is core funded by Sida, Norad, SDC and DFID.

Social Assessment

Social assessment has become an important part of many evaluations. A social assessment looks at various social structures, processes, and changes within a group or community. It can also look at trends that may affect the group.

In the past few years, many organizations have been trying to find ways to improve our environment. Development organizations are looking to understand, demonstrate, and improve the environment. They are also looking at the impacts of development interventions on their society and environment.

A social assessment is the main instrument used to ensure that social impacts of development projects are taken into account. It is used to understand key social issues and risks and to determine the social impacts on different stakeholders. In particular, social assessments are intended to determine whether the project is likely to cause adverse impacts. Strategies can be put into place to mitigate those adverse impacts, and these mitigation strategies can be monitored and assessed as part of the evaluation



The World Bank Participation Sourcebook discusses social assessments.²³ As a part of this discussion, it identifies the following purposes of social assessment

- Identify key stakeholders and establish an appropriate framework for their participation in the project selection, design, and implementation.
- Ensure that project objectives and incentives for change are acceptable to the range of people intended to benefit and that gender and other social differences are reflected in project design.
- Assess the social impact of investment projects and, where adverse impacts are identified, determine how they can be overcome or at least substantially mitigated.
- Develop ability at the appropriate level to enable participation, resolve conflict, permit service delivery, and carry out mitigation measures as required.

The World Bank Participation Sourcebook also identifies the following common questions asked during social assessment:

- Who are the stakeholders? Are the objectives of the project consistent with their needs, interests, and capacities?
- What social and cultural factors affect the ability of stakeholders to participate or benefit from the operations proposed?
- What is the impact of the project or program on the various stakeholders, particularly on women and vulnerable groups? What are the social risks (lack of commitment or capacity and incompatibility with existing conditions) that might affect the success of the project or program?
- What institutional arrangements are needed for participation and project delivery? Are there adequate plans for building the capacity required for each?

²³ The World Bank (1996). *The World Bank Participation Sourcebook*. Appendix I: Methods and Tools. Available at:

<http://www.worldbank.org/wbi/sourcebook/sba108.htm#D>



The four pillars of social assessment are²⁴:

- Analysis of Social Diversity and Gender
- Stakeholder Analysis and Participation
- Social Institutions, Rules and Behaviors
- Impact Monitoring.

Under the pillar of Analysis of Social Diversity and Gender, a social assessment will focus on poverty, gender, and social exclusion.

The pillar of Stakeholder Analysis and Participation assesses the participation in the intervention. The participants include the major stakeholders, institutions, and people involved or influenced by the intervention. This pillar assesses the capacity of the people involved in the intervention

The Social Institutions, Rules and Behaviors pillar considers the participation in the intervention. This pillar identifies adverse social impacts.

The pillar of Impact Monitoring assesses how well strategies worked that were designed to mitigate any adverse impact of the intervention. This is called mitigation measurement.

Social assessment tools and approaches include:

- stakeholder analysis
- gender analysis
- participatory rural appraisal
- observation, interviews, focus groups
- mapping, analysis of tasks, wealth ranking
- workshops: objective-oriented project planning, team-up.

²⁴ The International Bank for Reconstruction and Development/The World Bank (2004) *Turning Bureaucrats into Warriors. Chapter 24 Social Assessment*. Washington DC. The World Bank. pp 136-138. Available online at: <http://www.worldbank.org/afr/aids/gom/manual/GOM-Chapter%2024.pdf>



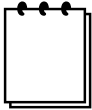
The following are a few key indicators for social impact monitoring:

- participation rate by social group in voluntary testing and counseling activities and reports of desirable behavior change
- percent of community members participating in care for HIV/AIDS victims and their families
- reduction in AIDS-related violence (by or towards AIDS victims)



You can see an example a social assessment by the World Bank International, named “*Morocco: Fez Medina Rehabilitation Project,*” at the following website:

<http://www.worldbank.org/wbi/sourcebook/sba108.htm#D>



Case Study 7-5: Azerbaijan Agricultural Development and Credit Project²⁵

The Farm Privatization Project, an intervention to provide more flexible and adaptable loans, was implemented. Its objective is to restore Azerbaijan’s farming areas to former levels of productivity. The project would focus on real estate registration, the development of land markets, and provision and credit and information to a larger group of rural women and men, especially those of low income.

The purpose of the social assessment was to ensure that the proposed project was based on stakeholder ownership (commitment) and that the anticipated benefits were socially acceptable. The information helped design the participatory monitoring and evaluation process.

(continued on next page)

²⁵ A. Kudat, and B. Ozbilgin (1999). “Azerbaijan Agricultural Development and Credit Program” pp 119-172. Available online at:
[http://lnweb18.worldbank.org/ESSD/sdvext.nsf/61ByDocName/AzerbaijanAgriculturalDevelopmentandCreditProject/\\$FILE/AzerbaijanAgriculturalDevelopmentandCreditProject424KbPDF.pdf](http://lnweb18.worldbank.org/ESSD/sdvext.nsf/61ByDocName/AzerbaijanAgriculturalDevelopmentandCreditProject/$FILE/AzerbaijanAgriculturalDevelopmentandCreditProject424KbPDF.pdf)



(cont.)

The first phase of the social assessment covered several areas in which the Farm Privatization Project is being implemented. This data collection took between November 1997 and the summer of 1998. The approaches used included:

- a review of secondary data, including earlier assessments, the 1995 poverty assessment, and project experience
- surveys of households (random sample of 900) and 210 women in three of the six regions following a qualitative rapid assessment
- semi-structured interviews of individuals (farmers, farm managers, unemployed workers, community leaders, women's groups, local associations, technicians, government officials)
- on-site observation by staff (a member of the team lived with a farming family to conduct an in-situ observation of the impact of farm privatization)
- five focus groups with homogeneous groups of stakeholders
- consultations with policy makers and administrators, local and international NGOs
- discussions with ex-managers of state farms and community leaders
- a stakeholder seminar.

The assessment was organized around the four pillars:

Social Development: key concerns focus on poverty, gender, and social exclusion.

Institutions: the power base of the rural areas is changing, making it difficult to identify the key stakeholders. There is also a lack of research about the social organizations and the lack of analysis of the impacts of rural migration.

Participation: confusion and ambiguities in the land reform process are reported. Land distribution has resulted in reducing poverty and curtailed the influence of ex-farm managers and has helped empower the rural population. Access to credit has increased but interest rates are high (15-18%).

Monitoring/Evaluation: Performance indicators are used to monitor implementation. Indicators link the projects inputs and activities with quantified measure of expected outputs and impacts.

Inputs: Bank funds, co-financing, grants.

Process: cost-effectiveness, level of participation.

Output: increased number of loans, improved farming practices, reduced incidence of diseases, increased land that is privatized.

The assessment also looked at impact: increased productivity, increased income, reduced poverty, and participant satisfaction.



ESHS Assessment

Another form of evaluation is an Environment, Social, Health, and Safety (ESHS) Assessment. Development organizations, recognizing the need for programs and projects to address ESHS issues, evaluate the attainment of ESHS-related objectives. Most development organizations adhere to core ESHS standards (e.g., Equator Principles) and must evaluate their implementation in programs and projects.

Development organizations are recognizing the role that local people can play in the design and implementation of interventions for the environment and natural resources. Intervention planning is now viewing the local people and other stakeholders as partners in conservation and natural resource management.

One organization that is involved in assisting with social environmental interventions is the World Bank. Social development specialists within the World Bank are becoming increasingly involved in developing appropriate conceptual frameworks and methodological approaches. They are working to include the local population into the environmental and natural resource management process.²⁶

Environmental evaluation may be the sole purpose of the exercise or it may be embedded in the project evaluation depending on the needs of the client.

For example, an environmental project might be implementation of waste management or an investment in electrostatic precipitation.

You can also have projects with environmental impacts. A pulp and paper mill, steel mill, or oil pipeline project in an environmentally sensitive area are examples of projects that have environmental impacts.

ESHS Guidelines/Standards/Strategies

There are three major publications that can assist evaluators assess the environmental, social, health, and safety aspects of an intervention. They are:

- The Equator Principles
- ISO 14031
- Sustainable Development Strategies: A Resource Book.

²⁶ The World Bank Group, *Social aspects of environment*. Available online at: <http://wbln0018.worldbank.org/LAC/LAC.nsf/ECADocByUnid/9ED289DC14A17E1B85256CFD00633D5E?Opendocument>



The Equator Principles

The Equator Principles are an approach for financial institutions to assist them in determining, assessing, and managing environmental and social risk in project financing.

The principles are intended to serve as a common baseline and framework for the implementation of individual, internal environmental, and social procedures and standards for development projects. The Equator Principles only apply to projects with a total capital cost of \$50 million or more.

You can learn more about the Equator Principles at the following websites:

<http://www.equator-principles.com/>

<http://www.ifc.org/ifcext/equatorprinciples.nsf/Content/ThePrinciples>

ISO 14031

The International Organization for Standardization more often known as the ISO, developed and maintains standards for environmental management. These are called the *ISO 14031, Environmental Management Guidelines* and were first published in 1999. This subject of this international standard is environmental performance evaluation (EPE). The standard is an internal management process and tool designed to provide management with reliable and verifiable information on an ongoing basis. It helps determine whether an organization's environmental performance is meeting the criteria set by the management of the organization. EPE and environmental audits help the management of an organization assess the status of its environmental performance and identify areas for improvement.²⁷

The EPE assists by:

- planning EPE and selecting indicators
- collecting and analyzing data
- assessing information against EP criteria (objectives)
- reporting and communicating (results)
- periodically reviewing and improving this process.

²⁷ ISO. *Environmental management – Environmental performance evaluation – guidelines*. Reference number: ISO 14301: 1999(e). p. v.



Sustainable Development Strategies: A Resource Book

The OECD and UNDP have published a resource book to provide flexible, non-prescriptive guidance on how to develop, assess, and implement national strategies for sustainable development in line with the principles outlined in the guidelines on strategies for sustainable development. It contains ideas and case studies on the main tasks in the strategy processes. It is targeted at countries, organizations, and individuals concerned with sustainable development at national or local levels, as well as international organizations concerned with supporting such development.

You can view the PDF files for this publication at from this website address:

http://www.nssd.net/res_book.html#contents



You can see an example an ESHS assessment by Lanco Amarkantak Thermal Power for the IFC Board of Directors consideration of the proposed transaction, named “*Environmental & Social Review*” at the following website:

<http://www.ifc.org/IFCExt/spiwebsite1.nsf/DocsByUNIDForPrint/30D71C7753448974852572A000676512?opendocument>



Summary



In this module you learned about common approaches to development evaluation. Review the following checklist. Check those items that you can complete and review those that you cannot.

- describe evaluability assessment
- describe prospective evaluation
- describe goal-free evaluation
- describe multi-site evaluation
- describe participatory evaluation
- describe rapid assessment
- describe outcome mapping
- describe social assessment
- describe ESHS assessment
- describe evaluation synthesis.



Quiz Yourself

Answer the following multiple-choice questions to help test your knowledge of recent developments in evaluation approaches.

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

1. Which of the following is the main emphasis of **prospective evaluation**?
 - a. a method for collecting and plotting information
 - b. focuses on one specific type of result: outcomes as behavioral change
 - c. a project, program, or policy is reviewed before it begins
 - d. an evaluation of an evaluation
2. Which of the following is the description of a **multi-site evaluation**?
 - a. an evaluation of a set of related activities, projects, and/or programs
 - b. an evaluation where representatives of agencies and stakeholders work together in designing, carrying out, and interpreting an evaluation.
 - c. an evaluation done quickly while still obtaining reasonably accurate and useful information
 - d. an evaluation of a set of interventions that share a common mission, strategy, and target population.
3. Which of the following is the description of a **cluster evaluation**?
 - a. an evaluation of a set of related activities, projects, and/or programs
 - b. an evaluation where representatives of agencies and stakeholders work together in designing, carrying out, and interpreting an evaluation.
 - c. an evaluation done quickly while still obtaining reasonably accurate and useful information
 - d. an evaluation of a set of interventions that share a common mission, strategy, and target population.
4. Which of the following is the description of a **participatory evaluation**?
 - a. an evaluation of a set of related activities, projects, and/or programs
 - b. an evaluation where representatives of agencies and stakeholders work together in designing, carrying out, and interpreting an evaluation.
 - c. an evaluation done quickly while still obtaining reasonably accurate and useful information
 - d. an evaluation of a set of interventions that share a common mission, strategy, and target population.



5. Which of the following is the description of a **rapid assessment**?
 - a. an evaluation of a set of related activities, projects, and/or programs
 - b. an evaluation where representatives of agencies and stakeholders work together in designing, carrying out, and interpreting an evaluation.
 - c. an evaluation done quickly while still obtaining reasonably accurate and useful information
 - d. an evaluation of a set of interventions that share a common mission, strategy, and target population.
6. Which of the following is the main emphasis of **outcome mapping**?
 - a. a method for collecting and plotting information
 - b. focuses on one specific type of result: outcomes as behavioral change
 - c. a project, program, or policy is reviewed before it begins
 - d. an evaluation of an evaluation
7. Which of the following is a description of an **evaluation synthesis**?
 - a. a systematic way to summarize the results of evaluation studies or similar programs or policies
 - b. a method for plotting and collecting information on the distribution, access, and use of resources within a community
 - c. a systematic assessment of the social processes and factors that could affect the outcomes of development projects



Reflection

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

- Would the use of any of these new development evaluation approaches have been valuable for a past evaluation?
- How can you see using any of these approaches in the future?
- What ways can you incorporate these approaches to improve the quality of your evaluations?



Application Exercise 7.1

Describing the Approaches



Instructions:

Assume you are working with a group of stakeholders and you are trying to explain one of the approaches described in this module. Using the case examples in this module, prepare a 5-minute presentation you would give to the stakeholders. The presentation should include:

- A description of the approach: what it is, benefits and challenges.
- A description of the application in the example.
- Why this approach might be useful, or not useful, in evaluating your project.



Assignment: Your Project



1. Which of these approaches might be useful given your evaluation questions? Why or why not?

a. Evaluability Assessment

b. Prospective Evaluation

c. Goal-free Evaluation

d. Multi-site Evaluation

b. Cluster Evaluation

c. Participatory Evaluation

d. Rapid Assessment

e. Outcome Mapping

f. Evaluation Synthesis

g. Social Assessment

h. ESHS Assessment

2. What reasons would you give to your superior to convince him/her that one of these approaches is the most appropriate for evaluating your intervention? What are his/her likely concerns and how would you respond?



Further Reading and Resources:

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Websites:

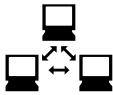
Equator Principles

<http://www.equator-principles.com/>

<http://www.ifc.org/ifcext/equatorprinciples.nsf/Content/ThePrinciples>

International Finance Corporation (IFC). Environmental and social policies and guidelines.

<http://www.ifc.org/ifcext/enviro.nsf/Content/PoliciesandGuidelines>



IUCN (The World Conservation Union). Sustainability assessment:

<http://www.iucn.org/themes/eval/search/iucn/sustassess.htm>

NSF's User-Friendly Handbook for Mixed-Method Evaluations:

<http://www.ehr.nsf.gov/EHR/REC/pubs/NSF97-153/start.htm>

The World Bank Group, *Social Aspects of Environment*:

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Answers to Quiz Yourself



1. c
2. d
3. a
4. b
5. c
6. b
7. a

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