



LEAP

***Learning through Evaluation
with Accountability and Planning***

Evaluation Design Guidelines
2nd Edition

World Vision International
LEAP Team

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Affirmation

Except as acknowledged by the references in this paper to other authors and publications, the template and guidelines described herein consists of our own work, undertaken to improve the quality of World Vision's Design, Monitoring and Evaluation Learning System.

Lydia Ledgerwood-Eberlein and Laura del Valle, Coordinators — LEAP Programme Research and Development Associates

November, 2008

Glossary

ADP	Area Development Programme
DME	Design, Monitoring, and Evaluation
EC	European Commission
HEA	Humanitarian and Emergency Affairs
IFAD	International Fund for Agricultural Development
LEAP	Learning through Evaluation with Accountability and Planning
LNGO	Local Non-Government Organisation
M&E	Monitoring and Evaluation
NGO	Non-Government Organisation
NO	National Office
PRA	Participatory Rural Appraisal
SO	Support Office
SWOT	Strengths, Weaknesses, Opportunities, and Threats
TD	Transformational Development
TDI	Transformational Development Indicators
TOR	Terms of Reference
WV	World Vision
WVI	World Vision International

Introduction

These guidelines and their accompanying template are just the beginning of the LEAP-aligned resources that will become available over the next few years, and have been updated based on feedback from SO, RO and NO on its first year of implementation. The content attempts to strike a balance between the information needed to properly evaluate a programme that is aligned with LEAP and its constituent projects and the complex and varied contexts in which World Vision works. These documents are meant to be used for all areas of World Vision's ministry (Policy and Advocacy, TD, and HEA) in any programme situation.

Extensive consultation and literature review were conducted both within and without the World Vision Partnership to arrive at these versions. In the spirit of LEAP, these documents are in no way final, but will continue to be changed and improved upon as the LEAP Team receives feedback from practical field use. Please do not hesitate to provide comments to the LEAP Team to this end.

Please note that the evaluation design guidelines (and the accompanying template) are addendums to LEAP 2nd Edition and **do not stand alone**. They must be read as a set to fully understand the what, why and how of the evaluation process. Likewise, the evaluation design template should not be filled out without carefully reading these guidelines. The TOR document outlines the evaluation. This design document fills in the details. The appendices to the TOR guidelines are helpful in thinking through the needs and details of the evaluation.

Evaluation Design Guidelines

Cover Page

The cover page should be simple and direct. It should identify the document as an evaluation design, including the name (which should indicate whether the programme is an ADP, sector-based, or other) and number of the proposed development programme, date, and phase number of programme (e.g., 2009-2013, Phase II), and National Office. The WV logo should be located in the top right-hand corner and meet with agreed Partnership branding strategies. (See the cover page of this document for an example). Additional information to the above should only be added where justified and provides improved clarity on the context of the design. The cover should not include photos and/or graphics (e.g., borders).

i. Table of Contents

A list of the main sections of the evaluation design document should be presented in this section. It may be useful to add in various sub-headings to indicate areas reflecting different themes and discussions. It is strongly suggested that the automatic table of contents function be used where possible, as it automatically updates when the document is reformatted from letterhead to A4 or vice versa.

ii. Acknowledgements

Include an acknowledgements page to list the people who have contributed to preparing the evaluation design. This will include the principal authors, contributing partners (either people or organisations) and should also include key members of the community as appropriate. Also use this opportunity to thank people who have assisted throughout the process of preparing this evaluation design. This could include such people as staff from the National Office and other Partnership offices who have been involved and people from the community who have played a major role. See the acknowledgements of this document for an example.

iii. Affirmation

The affirmation states the motive and objectives of the Evaluation Design being presented and also that the material is original work. It would also be appropriate to acknowledge that the intellectual properties of the design rest with the communities about which the design is written.

“Except as acknowledged by the references in this paper to other authors and publications, the evaluation design described herein consists of our own work, undertaken to secure funding, implement the activities, describe and advance learning, as part of the requirements of World Vision’s Design, Monitoring and Evaluation Learning System.”

Primary quantitative and qualitative data collected throughout the assessment and design process remain the property of the communities and families described in this document. Information and data must be used only with their consent.

[insert name of principal authors here]

[insert date here]

iv. Glossary

The glossary is an alphabetical list of terms or words that are found in the document or related to the text of the document that need some explanation or which may help the reader to a greater understanding. The list can expand on the complete terms that maybe acronyms and abbreviations as well as explain the concept of an ADP (Area Development Programme).

ADP	Area Development Programme
RC	Registered Children

v. Introduction

Describe the process for preparing the evaluation design, including the relationship between the terms of reference and the design itself.

1. Evaluation Purpose *(maximum one page)*

If the purpose statement (as determined during the process of completing the evaluation terms of reference) has changed, please state the new purpose here and describe why it has changed. If no change has taken place, reference the evaluation terms of reference, which should be contained in the appendices.

2. Evaluation Objectives *(maximum one page)*

If the objectives (as determined during the process of completing the evaluation terms of reference) have changed, please state the new objectives here and describe why they have changed. If no change has taken place, reference the evaluation terms of reference, which should be contained in the appendices.

3. Primary Information Needs *(maximum 10 pages)*

- List the primary information needs by category. Prioritise these needs. For each one briefly describe how the information will be collected. In particular, reference monitoring data that will be used and differentiate very clearly between qualitative and quantitative data and describe the rationale for each amount of data to be collected. Describe the geographic areas — will the entire programme or project area, or just part of it, be covered? Why or why not? Additionally, the use of a graphic representation of the area to be evaluated will be important for audiences to understand the geographic scope of the evaluation.
- These information needs should focus on matters of the greatest concern and preference to the partners. They should be guided by the monitoring and evaluation plan outcome and goal level indicators.

Detail is very important here so that evaluation partners can give useful feedback on whether there is sufficient information for all partners to move forward with the evaluation implementation.

4. Methodology *(maximum 20 pages)*

Describe the desired data, data sources and methods that will be used to collect and analyse the information. This should include much more detail than that contained in the evaluation TOR methodology section.

What are the key questions being asked? What information is needed to answer these questions, and from where can it be collected? (The Evaluation Achievement Matrix, found in Appendix D, can be used as a guide to the type of key questions and how they can be answered.) The questions should be guided by the monitoring and evaluation plan outcomes and goal level indicators.

Include sampling plans and procedures for assessing the reliability of the information. In particular, the following should be addressed:

- What disaggregation requirements are there (sex, ethnic group, income level, etc.)?
- How will the data be analysed (e.g., frameworks, what software, what process)?
- Who will “own” the raw data?
- How will the communities members (girls, woman, boys, and men), resource people, and other interested individuals and groups be included in the data collection and analysis (including formulation of implications and recommendations), and how will the findings and recommendations be shared with them?

Please ensure that there is adequate reflection of the demographics found in the programme location

See Appendix A; Table 2: Framework for Determining Community Participation in Evaluation, for suggestions for organising this information.

5. Logistics

- Briefly outline how arrangements will be made in-country for:
 - Accommodation and transport.
 - Locations for the debriefings and the review of the first draft of the report (while the evaluation team is still in country).
 - Necessary services, such as translators, interpreters, drivers, data processors, facilitators, access to desk space and computers, printers for non-programme evaluation team members.
- If an outside lead evaluator will be utilised, be sure to provide a point person on the Field Management Team to arrange logistical details before and during the evaluation.

It would be useful to present this information in table form.

6. Budget (*maximum three pages*)

- Re-examine the required resources outlined in the evaluation TOR and make any necessary adjustments based on current realities.
- Use research methods that allow expenses for particular parts of research to be changed out if necessary (e.g., should part of the evaluation/project be grant funded?).

7. Work Plan

There are three basic sections in the work plan. The first section describes documentation review and preparations for the field visit. The second section describes the tentative activities for each day of the field visit. Avoid over planning the days, as unexpected conditions or events will require revision of the plan. Leave room for recording daily revision throughout the field work. The third section describes activities after the field visit until all reporting and reflection activities are complete. Appendices A-E give guidelines on thinking through and planning the evaluation.

8. Documents (*maximum half page*)

List any additional resource documents that should be reviewed and reference the documents listed in the TOR.”

9. Appendices

Appendices for the evaluation design should include:

- Evaluation TOR
- Drafts of questionnaires focus group guidelines, etc.

Appendices for the Evaluation Design

- A. Evaluation Design and Implementation
- B. Evaluation Achievement Matrix
- C. Field Logbook for Evaluation Lessons Learned/Reflection

Appendix A: Evaluation Design and Implementation

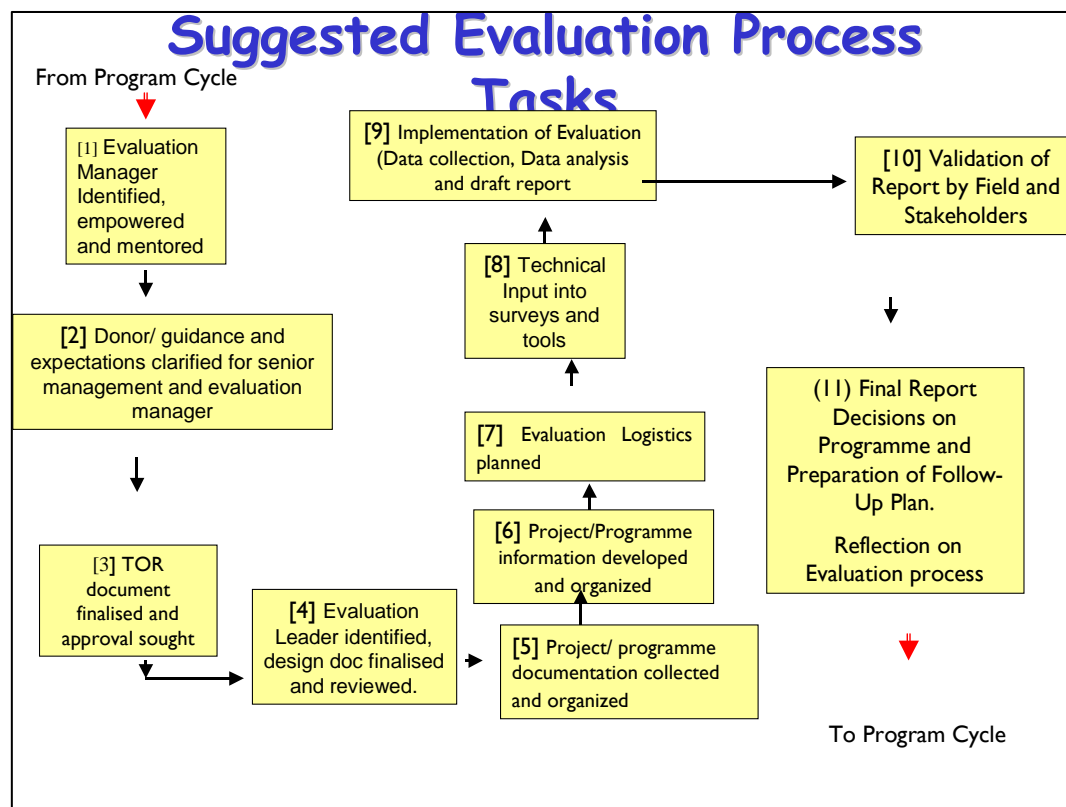
Evaluation Tasks and LEAP

The basic process for conducting an evaluation is outlined in LEAP 2nd Edition (pages 71-73) as the following six steps:

1. Draft evaluation terms of reference and get partner agreement.
2. Review the context.
3. Design the evaluation.
4. Implement the evaluation.
5. Use the results.
6. Reflect on the evaluation findings and the process.

The above LEAP steps can be further broken down into the tasks below:

(These are the basic steps for preparing and conducting an evaluation. Each evaluation is different and may include more steps than appear above.) Note on diagram: Although it is helpful to follow the sequence shown, in most evaluations, the planners move back and forth between the steps in the planning phase.



Evaluation Design

The evaluation tasks described in the diagram above can be broken down into three phases:

- Initial planning (details of which can be found in the evaluation TOR guidelines).
- Data collection and analysis (details of which follow in this document).
- Findings, recommendations and follow-up (details of which can be found in the evaluation report guidelines).

The **design of the evaluation** comes after the development of the TOR (or sometimes at the same time) and before evaluation implementation and data collection. It is grounded in the data that comes from the monitoring and evaluation work that has already taken place as part of the programme work. Any overlap with the valuation TOR can be remedied by including the TOR as an appendix to the evaluation design and referring to it directly throughout. The design details activities, schedules,

venues, and responsibilities for the gathering of data in the field. The evaluation design serves as a management tool to guide the evaluation process in the field. It must be grounded in the data emerging from the monitoring and evaluation work already carried out by the field staff.

Data collection and analysis is the responsibility of the evaluation team, including any external consultants (if applicable). Tasks include the finalisation of an evaluation **work plan**, development and testing of the tools, field work, analysis of the data collected, and writing the draft evaluation report.

The evaluation team should then begin the actual evaluation exercise with a **review of key documents**, such as strategies, design documents, reports, macro-level assessment reports, primary data collection assessment reports, baseline surveys, etc. This review allows the evaluation team to see how the project was designed and background information on what factors might affect the intended outcome(s).

Based on the evaluation terms of reference, information needs, and the document review, the evaluation team should then **finalise the methods** it will use to implement the evaluation. The best evaluations use a variety of different instruments to gather data such as focus group discussions, questionnaires, and participatory mapping exercises to show not only “what” happened but also “what the project meant” to the target groups.

Before fieldwork commences, the evaluation team should conduct an **introductory workshop** to orient the evaluation team and key staff members to discuss their experiences and perceptions related to the evaluation questions and for the evaluation team to get insights that are not contained in the document review.¹ The methods should be presented and the staff allowed providing feedback. Training in the use of instruments may also be necessary, particularly for interviewers who will deal with the quantitative data collection, as often students are recruited to do this job.

Once the introductory workshop and any necessary training takes place, the **field work** can commence. The Achievements Matrix (see Appendix B) is a useful tool to track achievements during the field work.

The evaluation team should be constantly reflecting on and discussing the data they collect as they go. Evaluation is really supposed to be an iterative process of reflection among the various stakeholders whenever possible.

The Field Logbook (see Appendix C) is a useful tool to record findings and evaluation lessons learned at the end of each day in the field.

¹ The importance of encouraging active participation, particularly by women needs to be considered.

Appendix B: Guidelines for Conceptualising an Evaluation

There are a number of factors or variables that will determine the course of an evaluation. It is important that those responsible for early evaluation planning carefully consider a number of questions/criteria, which when analyzed, will facilitate the setting of the evaluation purpose, evaluation objectives and will guide subsequent evaluation questions and results. The intent of this section is to introduce some of those high-level questions/criteria and provide some tools and metrics to help the evaluation planner to set the overall evaluation purpose and objectives as well as provide guidance on subsequent evaluation questions.

Considerations for Conceptualizing the Evaluation

I. Independent or Participatory Evaluation Approach

One early consideration in an evaluation process is to consider whether or not an evaluation needs to be an “independent” evaluation or a “participatory” evaluation. While most evaluations will be neither fully independent nor fully participatory, this matter is an important consideration in evaluation design. Typically an “independent” or “external” evaluation is one where:

- The evaluation terms of reference may have been to a large extent set by an agent external to the programme or project.
- The lead evaluator is external to World Vision.
- Possibly all the members of the evaluation team are people external to the programme/project.

Such external evaluations are often required by major/governmental donors to comply with funding requirements. Sponsorship-funded programmes (ADPs) and projects tend to use more participatory and community-based evaluation approaches, as proscribed in LEAP 2nd Edition. Table I below identifies some of the advantages and disadvantages of using an “external” or “internal” lead evaluator.

Table I: Trade-Offs Between Internal and External Evaluators

Lead evaluator associated with the project/programme (internal)	
Advantages	Disadvantages
<ul style="list-style-type: none">• Knows World Vision and/or the programme/project.• Understands and can interpret behaviour and attitudes of members of the organisation.• May possess important informal information.• Is known to staff, so may pose less threat of anxiety or disruption.• Can more easily accept and promote use of evaluation results.• Is often less costly.• Doesn't require time-consuming recruitment negotiations.• Contributes to strengthening national evaluation capability.	<ul style="list-style-type: none">• May lack objectivity and thus reduce the external credibility of findings.• Tends to accept the position of the organisation — may limit exploration of alternative solutions• Is usually too busy to participate fully.• May be part of the authority structure and may be constrained by his/her organisational role.• May not be sufficiently knowledgeable or experienced to design and implement an evaluation.• May not have special subject matter expertise.

Lead evaluator not associated with the project/programme (external)	
Advantages	Disadvantages
<ul style="list-style-type: none">• May be more objective and find it easier to formulate recommendations.• May be free from organisational bias.• May offer new perspective and additional insights.• May have greater evaluation skills and expertise in conducting an evaluation.• May provide greater technical expertise.• Able to dedicate him/herself full time to the evaluation.	<ul style="list-style-type: none">• May not know World Vision and its values, policies, procedures, and personalities.• May be ignorant of constraints affecting feasibility of recommendations.• May be unfamiliar with the local political, cultural, and economic environment.• May tend to produce overly theoretical evaluation results (if an academic institution is contracted).• May be perceived as an adversary arousing

- May be able to serve as an arbitrator or facilitator between parties of stakeholders.
- May be able bring WV/programme/project into contact with additional technical resources.

- unnecessary anxiety.
- May be costly.
- Requires more time for contract negotiations, orientation and monitoring.

Adapted from UNFPA Programme Manager's Planning, Monitoring & Evaluation Toolkit, 2004.

To determine (either before the evaluation or afterwards) the level of community participation in an evaluation, a number of criteria should be considered in addition to the qualifications of the evaluation team leader. Attached below (Table 2) is a framework that could be used to determine the level of community participation in an evaluation. As appropriate, this information could also be incorporated into the evaluation terms of reference in order to dialogue with the donor/donor's representative.

Table 2: Framework for Determining Community Participation in an Evaluation

Task or decision		Who will make the decisions? Who will do the work?			
		External Evaluator	Program Staff	Program Participants	Other Stakeholders
A	Decisions about what information is to be collected.	1	2	3	3
B	Decisions about how to collect information.	1	2	3	3
C	Collection of information.	1	2	3	3
D	Organisation of information (tabulation).	1	2	3	3
E	Decisions about what the information means.	1	2	3	3
F	Statement of conclusions.	1	2	3	3
G	Statement of recommendations.	1	2	4	3
H	Writing the report draft.	1	2	3	3
I	Comments on the draft that will lead to appropriate revisions.	1	2	3	3
J	Control over who receives the information in the report.	1	2	3	3
K	Who can understand the written report?	1	2	3	3
	TOTAL				

Basic instructions:

For each task or decision in the framework, circle the numbers for each type of stakeholder representative that had equal influence in making those decisions or completing that work. If one representative clearly had more influence than any of the others in the evaluation team, circle only that representative's number for that decision or task.

After you have circled numbers for each of the 11 rows in the framework, add the circled numbers and compare that total with the interpretation. If every number is circled, which means all stakeholder groups participated with equal influence in every aspect of the evaluation, the total score is 100. The scoring is weighted toward participation by program participants and other stakeholders, then toward program staff. The lowest weights are given for participation by the external evaluator.

One possible interpretation of scores

00 – 15 = external evaluation > 'Participatory Score' = 1

16 - 35 = level I participation > 'Participatory Score' = 2

36 - 70 = level II participation > 'Participatory Score' = 3

71 - 100 = level III participation > 'Participatory Score' = 4

Source: Frank Cookingham. 2002. "Participatory Processes in the Community." WVI.

2. Evaluation Type

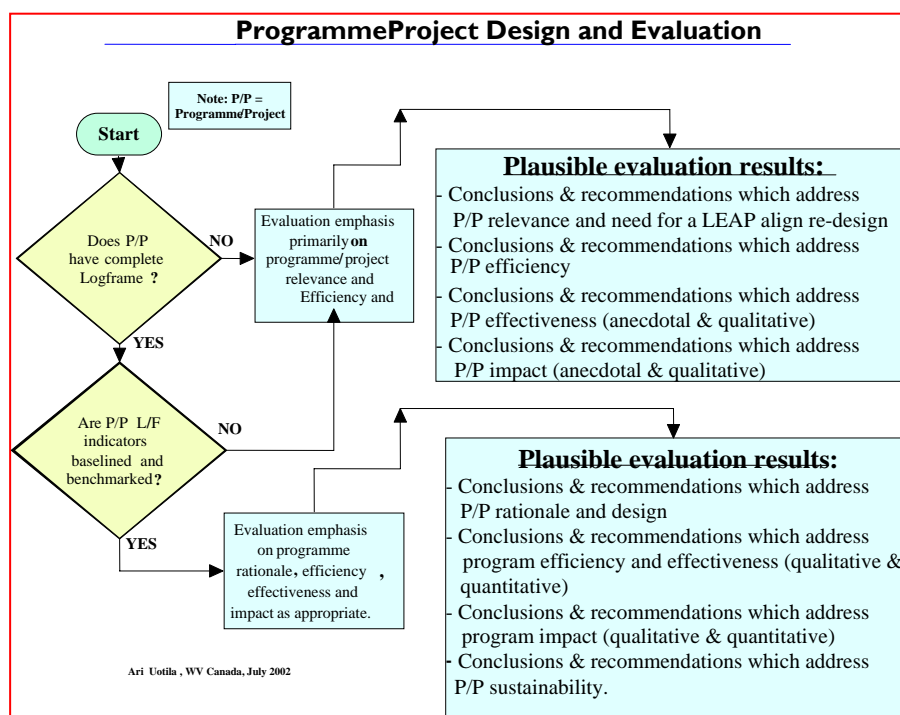
In broad terms, evaluations can be classified into two types: formative and summative. Formative evaluations are usually taken earlier in the programme/project cycle or lifetime in order to gain a better understanding of what is being achieved and to identify how the programme/project can be improved. **For the purposes of LEAP, formative evaluation is covered under assessment.** Summative evaluations are usually undertaken later on in the programme/project life in order to establish the effectiveness and value (worth) of the programme/project. Summative evaluations focus more on the long-term outcome and goal-level results of the programme/project. Thus, the type of summative evaluation to be determined in an ADP evaluation would be either:

- Interim evaluation;
- End of programme/project evaluation; or
- Post-programme evaluation (also called *ex post*).

3. Quality and Completeness of Programme/Project Design

The quality and completeness of the design of the programme/project has a major bearing on what can subsequently be evaluated or not. The two most common issues in practice are poor/incomplete indicators in the logframe, and lack of or incomplete baseline data and benchmarks for those indicators. Without indicators and benchmarks, it: a) becomes very difficult to monitor normative progress of the programme/project, b) is almost impossible to speak to a programme/project's contribution to changes in the lives of community members, or c) is difficult to attribute changes seen in the community to the project/programme. Additionally, without a sound logframe, the articulation of programme theory will be insufficient to use a "programme theory-driven" approach to evaluation. Figure 1 on the following page identifies some of the constraints on evaluation imposed by poor/incomplete programme/project design.

Figure I: Quality and Completeness of Programme/Project Design and Evaluation Scope



Adapted from "ADP Design and How it Affects Monitoring and Evaluation." Ari Uotila. WVC. 2002.

4. Evaluation Purpose

See Appendix A in the TOR for examples of evaluation purposes.

5. Evaluation Objectives

The main evaluation objectives (foci) categories are **relevance, efficiency, effectiveness, impact, and sustainability**. The evaluation objectives are a key precursor in determining the broad evaluation questions, which in turn will guide the formulation of the subsequent evaluation data collection methods. How does one determine the evaluation objectives? The foregoing criteria (independent or participatory, formative or summative, quality and completeness of programme/project design) will certainly impact the evaluation objectives. Other factors that will also influence evaluation objectives include:

- Age of project/programme.
- Variability/changeability of the programming environment.
- Programme/project management environment.
- Donor special needs/requirements.
- Programmatic risk.

The framework (Table 3) on the following page suggests means and ways to prioritise evaluation objectives using the criteria discussed above. It is important to keep evaluations as focussed as possible in order to keep down costs, minimize organisational and community disruptions, and in order to produce the evaluation results in a timely and efficient manner.

Table 3: Framework for Prioritisation of Evaluation Objectives

Relevance		
Considerations/Questions to Ask	High/Low Priority	Indications
<p>What value does/did the programme/project add to its context or situation? How appropriate is/was the programme/project to the situation in the community? How significant and worthwhile was/is the programme/project to the situation. Did we do the right thing? Are there changes in the environmental, social, political, security or economic situation of the programme/project, which necessitates reformulation of design?</p> <p>Alternative Strategies: Is there evidence of better (alternative) strategies or ways of addressing the identified problems/needs of the community? How can these be incorporated into a revised design or redesign?</p>	High (Score 3)	<ul style="list-style-type: none"> • High risk/changeable environment. • “Young” project/programme. • Programme/project operating environment has changed. • Poor/incomplete programme/project design • Problems in relationships/management.
	Medium (2)	
	Low (1)	<ul style="list-style-type: none"> • Stable environment. • Good management. • Little change in overall programming environment. • Good and complete programme/project design.
Efficiency		
Considerations/Questions to Ask	High/Low Priority	Indications
<p>Have project outputs been achieved at reasonable cost? Has the project been cost-effective or would other approaches have led to the achieving of the same results at more reasonable costs? Did we do the right thing for the right cost? Are there more efficient ways and means of delivering more and/or better outputs with available inputs?</p>	High (3)	<ul style="list-style-type: none"> • Need to quantify project/intervention costs per beneficiary. • Mid-term project assessment. • Need to compare alternative methods of intervention delivery. • Good M&E plan and tracking of financial and economic (including community) inputs.
	Medium (2)	
	Low (1)	<ul style="list-style-type: none"> • Efficiency assessment remains valid and needful at all stages of the programme/project — monitored primarily at the project output level.
Effectiveness		
Considerations/Questions to Ask	High/Low Priority	Indications

<p>Have the planned outputs led to the achievement of the outcomes?</p> <p>Have unexpected outputs occurred?</p> <p>Have some of the design assumptions not held and, if so, how has this affected project/programme achievements?</p> <p>How effective was the risk management?</p> <p>Did any redesign occur and, if so, why?</p> <p>Did we do the right thing in the right way? This should include a specific assessment of the benefits accruing to target groups, including women, men, children, the elderly and disabled, etc.</p>	High (3)	<ul style="list-style-type: none"> • Evaluation needs to show/speak to causality of results (attribution/ contribution to changes). • End-of-project or end-of-programme cycle evaluation. • Good and complete design and baselines. • Need/ability to show utilization of project outputs at community level.
	Medium (2)	
	Low (1)	<ul style="list-style-type: none"> • Newer project/programme. • Short-term project intervention. • Poor/incomplete design or baselines.

Impact		
Considerations/Questions to Ask	High/Low Priority	Indications
<p>The effect of the project on its wider environment, the long-term social change at the community level to which the project has contributed.</p> <p>Causality: Where causality needs to be demonstrated or addressed by the evaluation, two methodological aspects need to be considered: firstly, whether to evidence causality through <u>attribution</u>. That is, changes in the community observed are attributable to programme/project (typically statistical significance needs to be demonstrated). Secondly, whether the programme/project has contributed in meaningful and plausible ways to the changes observed in the lives of community members. This is more of a qualitative and a “reasoned argument” approach and does not require the statistical rigour demanded by evidencing of attribution.</p> <p>Key considerations with respect to causality and programme/project impacts include an examination of particular factors or events, which may have affected results, and a determination whether these factors are internal or external to the project/programme. It is the “internal” factors (included in project design or in the programme theory), that provide the basis of project contribution or attribution arguments.</p>	High (3)	<ul style="list-style-type: none"> • Evaluation needs to show/speak to causality of results (attribution/ contribution to changes). • End of programme cycle, end of programme evaluation or ex-post evaluation. • Good and complete design and baselines. • A quasi-experimental evaluation design, if attribution is to be addressed.
	Medium (2)	
	Low (1)	<ul style="list-style-type: none"> • Project evaluation. • Newer programme or a mid-term evaluation. • Poor/incomplete design. • Causality does not need to be addressed by evaluation.

Sustainability		
Considerations/Questions to Ask	High/Low Priority	Indications
<p>What is the ability and readiness of target communities to maintain the higher level of livelihood standards that have been obtained through our programme/project intervention? Assess ability and readiness to replicate interventions in non-intervention communities. Assessment of availability of local management, institutional, financial, economic, technical, and socio-cultural/political resources needed to maintain the programme results after withdrawal of WV resources.</p> <p>Assessment of programme transition strategy needs to take place and would include an assessment of progress towards transition benchmarks using the transition indicators, namely:</p> <ul style="list-style-type: none"> • Progress in quality-of-life indicators, mainly related to well-being of children (this would include selected TDIs). • Community capacity indicators. • Transfer of responsibility indicators. 	High (3)	<ul style="list-style-type: none"> • End of programme cycle, end of programme evaluation or ex-post evaluation. • Better suited to a participatory evaluation approach. • Good and complete design, including complete programme sustainability and transition strategies and associated project sustainability and transition plans
	Medium (2)	
	Low (1)	<ul style="list-style-type: none"> • There is never a “low” need for a sustainability focus in programme/project evaluations — but this assessment is periodic in some respects (evaluation based) — but also needs to permeate programme monitoring and the programme ethos.

Demonstration of the Use of the Framework for Prioritisation of Evaluation Objectives

Not all of the five main evaluation objectives should receive equal prioritisation in any one evaluation. The number and scope of the evaluation question outlined in the first column

“Considerations/Questions to Ask” will be determined by the “Indications” and the assessed “value” from 1 to 3 that is given each objective. While there needs to be a caution attached to the use of the numbers in the “High/Low Priority” column, the use of the numbers may be helpful in outlining the evaluation objectives graphically.

Let us consider the following illustration:

ADP Azure is 10 years old and needs to have its second evaluation. The first evaluation was conducted five years ago, and while the Evaluation Report was completed, it did not result in any significant redesign due to a change of ADP management and the lack of timely response from the Support Office on the Evaluation Report. The original design of the ADP contained a good logframe with good indicators, but no baseline survey was conducted. TDI indicators were measured in the ADP three years ago, and now the plan is to have the ADP become “LEAP-aligned” in terms of its new (re)design. The ADP is funded entirely through sponsorship funding, except for a food security project, which is part of a country-wide food security programme funded by Government “X” through Support Office “Y.” The food security programme evaluation requires an external evaluation team leader, and as it started two years ago, it will be due for an evaluation in one year’s time. The ADP area experienced a major drought three years ago, which caused 50% crop losses and 20% livestock losses in one year. The situation has been more stable subsequently.

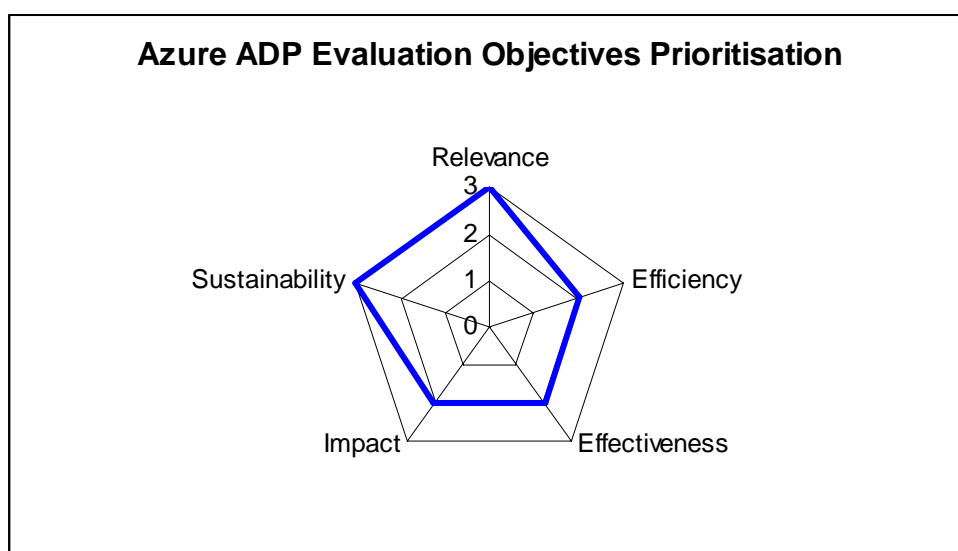
A possible evaluation conceptualisation at the high level:

- Assess first whether the food security evaluation could be included as part of the ADP programme evaluation (one year early). If possible, the evaluation team needs to establish how an independent evaluation team leader could be engaged for just the food security project in Azure ADP, while the rest of the evaluation could be done in a more participatory fashion. A second option is to use an external evaluation team leader for the whole programme, but build in

participatory elements (Table 2) and verify these through the evaluation TOR feedback process with Support Office “Y.” A final option is to do the programme evaluation this year with the knowledge that the food security project of ADP Azure will be evaluated in one year’s time.

- Let us assume the final option is used (do the programme evaluation this year with the knowledge that the food security project of ADP Azure will be evaluated in one year’s time):
 - **Relevance:** High score (3), given the trending toward an unstable environment and a missing programme baseline. As a result, “Relevance” questions need to be given high priority.
 - **Efficiency:** Medium (2). Efficiency measures will be more critical for the subsequent food security project evaluation, but efficiency factors need to be looked at in the general evaluation as well, particularly alternative methods of intervention delivery given the potentially changing environment.
 - **Effectiveness:** The programme has been around for a long time, so the evaluation should be able to measure changes at the outcome level of the hierarchy of objectives, but will be constrained by the lack of baseline data (though TDI s were measured). Look to assessing causality through a qualitative “contribution” approach. Need to look at how risk was managed, particularly the climate/drought issue. Assign Medium (2) rank to the Effectiveness objective.
 - **Impact:** There is a need to assess impact, given the age of the programme, but the situation is constrained by the lack of baseline data. Look at the usefulness and implications of the TDI results. Consider some measures of contribution to changes at the community level through a survey (e.g., community members’ perceptions about what the programme has changed in the community). Assign Medium (2) rank to Impact objective.
 - **Sustainability:** ADP was found to have no meaningful sustainability or transition strategies in place. Need to assess (anecdotally if not rigorously) the community in terms of progress in quality of life indicators, community capacity indicators, and transfer of responsibility indicators. One of the tasks of the evaluation could be to design these indicators and help set meaningful benchmarks for them, which could then be subsequently monitored. Assign High (3) rank to Sustainability objective.

Figure 2: Graphical Representation of ADP Azure Evaluation Objectives:



Appendix C: Evaluation Matrix Example²

Evaluation objectives	Issues	Methods	Sources
1. Assess the programme design, implementation, monitoring and evaluation processes.	1.1. Participation of stakeholders in the programme design. 1.2. Monitoring and evaluation system. 1.3 Relevance of design (Does project address the needs of the target groups?). 1.4 Relevance of activities toward expected goals purposes and outputs.	1) Documentary review. 2) Field visits and observations. 3) Focus groups discussions.	1) Proposal, design, PRA Reports, semi-annual/annual narrative reports, annual operation plans, financial reports (And other grant project reports). 2) Visit and observation checklists. 3) Focus groups semi-structured questionnaire.
2. Assess the progress towards achievement of goal and outcomes. (Effectiveness)	2.1. Achievements in terms of goals, outcomes and outputs based on logframe indicators. 2.2. Accomplishment of planned activities. 2.3 Quality of services.	1) Documentary review. 2) Field visits and observations. 3) Focus group discussions. 4) Key Informant interviews 5) Household interviews.	1) Proposal, PRA, semi-annual/annual narrative reports, annual operation plans, financial reports. 2) Visit and observation checklists. 3) Focus groups semi-structured questionnaire. 4) Household semi-structured questionnaire. 5) Survey questionnaire.
3. Assess the potential impact in relation to relevant ministry standards.	3.1 Behavioural changes due to program implementation. 3.2 Changes in the quality of human lives. 3.3 Unexpected outcomes.	1) Documentary review. 2) Field visits and observations. 3) Focus group discussions. 4) Interviews with randomly selected households.	1) Proposal, PRA report, semi-annual/annual narrative reports, annual operation plans, financial reports. 2) Visit and observation checklists. 3) Focus groups semi-structured questionnaire. 4) Household semi-structured questionnaire.
4. To investigate whether the resources (financial, human, and materials) have been used efficiently and effectively for the well being of the target community. (Efficiency)	4.1 Quality of structures and services. 4.2 Cost-effectiveness of services.	1) Documentary review. 2) Field visits and observations.	1) Proposal, PRA and other survey report, semi-annual/annual narrative reports, annual operation plans, financial reports. 2) Visit and observation checklists.
5. Assess the gender balance in planning, implementation, monitoring & evaluation as well as the access to benefits.	5.1 Accomplishment of gender equity through programme design, implementation, monitoring and evaluation.	1) Documentary review. 2) Field visits and observations. 3) Focus group	1) Proposal, PRA and other survey report, semi-annual/annual narrative reports, annual operation plans, financial reports. 2) Visit and observation checklists. 3) Focus groups semi-structured questionnaire.

² (Adapted from “Disaster Emergency Needs Assessment; Disaster Preparedness Training Program” International Federation of Red Cross and Red Crescent Societies, LEAP manual, the USAID Field Operations Manual, IFAD: A Guide for Project M&E, and the CARE M&E Guidelines).

		discussions. 4) Interviews with randomly selected household.	4) Household semi-structured questionnaire.
6. Assess the management and potentials for programme ownership, sustainability and any basis to make decision on programme transition and/or phase out.	6.1. Programme sustainability strategy. 6.2. Level of community participation.	1) Documentary review including TDI reports 2) Focus group discussions.	1) Proposal, TDI summary reports, PRA and other survey report, semi-annual/annual narrative reports, and financial reports. 2) Focus groups semi-structured questionnaire.
7. Analysis of major problems that have affected the programme (status of risks and assumptions) and analysis of the lessons learned.	7.1 Existence and appropriateness of a risk management plan. 7.2 Quality and efficiency of problems/risk management.	1) Documentary review. 2) Field visits and observations. 3) Focus group discussions. 4) Interviews with randomly selected household.	1) Proposal, PRA and other survey report, semi-annual/annual narrative reports, annual operation plans, financial reports. 2) Visit and observation checklists. 3) Focus groups semi-structured questionnaire. 4) Household semi-structured questionnaire.

Appendix D: Example of Evaluation Achievement Matrix

Goal and outcome	Key question Pointing to the relevant criteria to be measured on the level of the goal and the outcomes.	Assessment		Responsibility, methods of verification What methods to apply? Where to obtain information? Who collects it? When? Results addressed to whom?
		Indicator	Target value Target value or threshold value to be achieved.	
<p>For example — Project for improving the functioning of a public bus company:</p> <p>Outcome: Bus company is capable of providing good services to the customer.</p>	Are the passengers satisfied with the services? Criteria: Customer satisfaction	Percentage of satisfied passengers in a survey at the project's end.	At least 80% of passengers give a positive answer to the question: "Are you satisfied with the service of the bus company (3 or 4 on a scale of 1-4)?"	Results of survey; project team and hired surveyors; project end; survey with standardised question during one day, interviewing at least 1,000 passengers, etc.
	What is the technical state of the bus fleet? Criteria: Technical reliability	Number of breakdowns per bus per month.	Less than one breakdown per unit per month at the end of the project.	Records of bus company; project team; analysis of workshop records; etc.
	How punctual are the departures? Criteria: Punctuality	Percentage of delayed departures per month.	Less than 5% of delayed departures at terminals per month at the end of the project.	Records of bus company; project team; analysis of company statistics, etc.
	What are the attitudes of bus drivers about customer service?	Description of attitudes expressed by drivers.	N/A. Date to be used for planning experiences to improve attitudes.	Interviews of bus drivers.
	What are the mechanisms for customers to make complaints and obtain redress if the service is not acceptable?	Number of passengers able to identify the complaint mechanism. Number of passengers who have used the mechanism and obtained appropriate redress.	At least 80% of passengers aware of complaints mechanism At least 80% of passengers who have used the complaints mechanism and are satisfied with the outcome.	Surveys and interviews with passengers.
	What impact does a punctual bus service have on the lives of the passengers?	Description of impact on lives expressed by passengers.	N/A. Data to be used for planning next stage.	Interviews with passengers.

Appendix E: Field Logbook and Guidelines

Introduction

Using a logbook to record ideas, observation, key issues to be discuss with your team members; new knowledge or things that need to be inquired with other people in the programme or your team mates, and all work and activity details is vital part of any learning process. Careful attention on how to record your experiences can have a positive impact on your personal and organizational learning, but also on the outcome of the evaluation exercise by discovery on issues that are key to the transformational process in the community and in the life of children and families.

Simple recommendations are provided to help you keep more efficient and accurate entries, but remember, however, that these are just suggested set of ideas, not rules. Only your team leader can supply the exact guidelines she/he would like you to follow to satisfy specific evaluation standards and requirements. Please be in contact with your evaluation leader.

Recording Data

Your logbook is a vital record of you work during the evaluation process, and it can help you to support and learn on:

- Exact details and dates of discussion on specific topics.
- Observation and results of people interaction, learning, and decision-making
- Pick up specific issues that need further consultation with your team members.
- Discovery of new procedure, practice or knowledge that can be use in other programmes and projects.
- A chronological record of your work and insights.

Simple Clues to Follow

- The first page should be containing your personal information, date of opening and closure.
- Always record entries legibly, neatly, and in permanent ink
- Immediately enter into your logbook and date all original concepts, data, and observations, using separate heading to differentiate each topic.
- Record all concepts, outcomes, impacts, references. and other information collected during the evaluation exercise, in a systematic and orderly manner (language, artifacts, documents, names, places, situations, etc.).
- Keep your note brief but with enough details for someone else to successfully duplicate the work you have recorded.
- Do not remove, under any circumstances, pages from your logbook; you never know when you will need them.
- Number all the pages to the end of your logbook.

Treat Your Logbook as a Core Document for the Evaluation Process.

It records the chronological history of your activities and personal reflections.

- Start entries at the top of the first page, and always make successive, dated entries, working on the entire page. For each activity, start a new sheet.
- Make sure you have entered the basic information such as date, location, your name, the name of the activity and the participants. If you need to attach a detailed list of participants, or any other secondary source of information, make it in the appropriate section of your logbook, briefly describe what the attachment is, and draw any conclusion you might draw from its substance).

Programme/Project Name:

Date and Place:

Type of Evaluation:

Activity:

Country:

Time:

Role in the Team:

Participants:

Reflection Notes: Include all pertinent details to support the lesson learned on the evaluation process and methodologies.

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.