

Project Monitoring PMG333

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Lecture 08: Evaluation



Lecture

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General Introduction

**« It is the desire that
creates the desirable, and
the project that sets the
end. »**

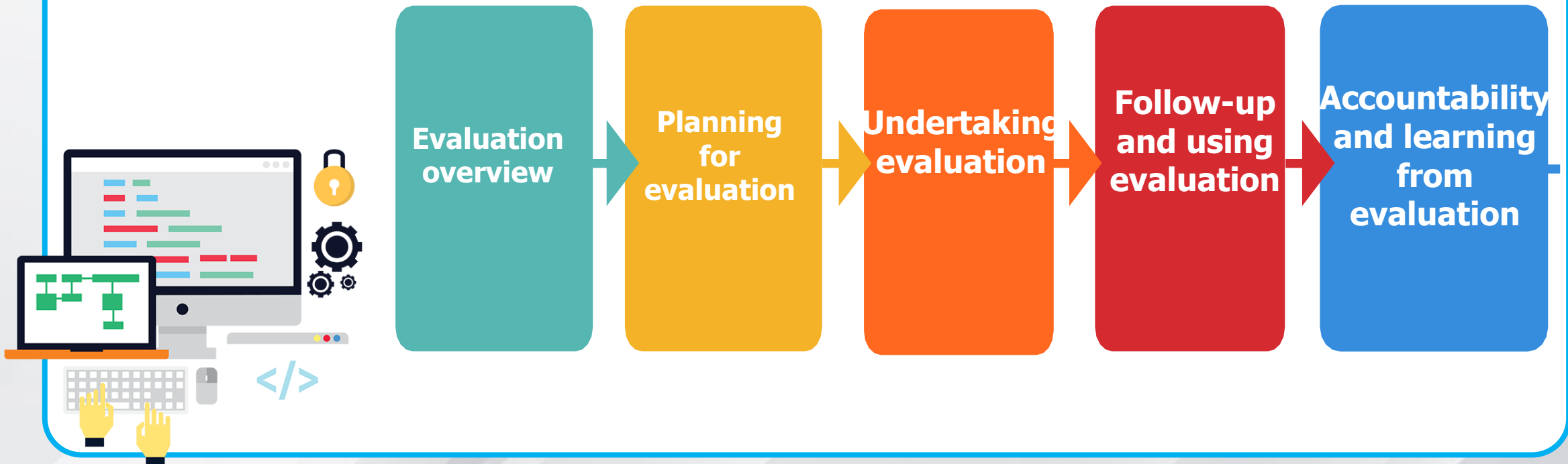
Simone de Beauvoir

Lecture

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Session 5: Evaluation (Part1)

✓ An overview of chapter 5



Session 5: Evaluation (Part1)

1. Evaluation overview

- Evaluation is defined as the systematic and objective assessment of an ongoing or completed intervention, including a project, program, strategy or policy, its design, implementation and results.
- Evaluation is about accountability and learning by informing stakeholders on the extent to which resources have been used efficiently and effectively to achieve results, and providing empirical knowledge about which elements of an intervention worked or did not work and



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Roles in Evaluation

- There are four important roles to distinguish within the evaluation process:
 - (a) the evaluation commissioner;
 - (b) the evaluation manager;
 - (c) the evaluator;
 - and (d) the evaluation user.



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- The **evaluation commissioner** is the party or stakeholder who decides that an evaluation should take place. This could be the program manager, relevant chief of mission (CoM), a thematic specialist or unit(s) from Headquarters and/or from a regional/country office, the donor or any combination of these stakeholders.



- The **evaluation manager** is the person who is in charge of managing the evaluation. It is possible that the evaluation manager is from the same entity or office that commissioned the evaluation. Most often, the evaluation manager is the program or project manager.
- It is important to note that, at times, several stakeholders may be part of an evaluation management committee, overseeing the evaluation process together.



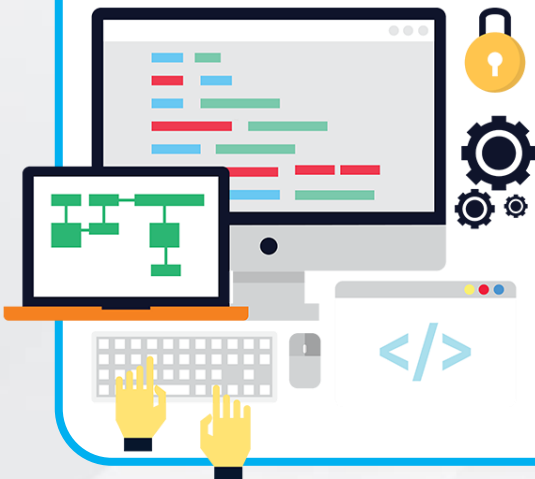
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➤ **An evaluator** is charged with conducting the evaluation. Evaluators can be external consultants, donors, partner organizations and governments.

➤ **The evaluation users** are key players for guaranteeing the full utilization and benefits of evaluation. They can be direct users, who are, for instance, directly concerned with the implementation of the recommendations and accountability purposes, as well as indirect users that can be more interested with the learning dimension of the evaluation.

In addition to these roles, there are other stakeholder engagement and reference groups that play an important role, for instance in terms of quality assurance. For further information on reference groups, see Information box.



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The evaluation stages >>>>>>



Planning for
evaluation

Define the purpose and evaluability of evaluation
Prepare evaluation terms of reference & Select evaluator(s)

Undertaking
evaluation

Supervise evaluation implementation and workplan **Evaluation deliverables**
Provide feedback on all phases of the evaluation& Ensure evaluation quality

Follow-up and
using
evaluation

Follow-up on the implementation of recommendations and use of the report
Using and disseminating the evaluation

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2. Planning of Evaluation

- The first step of planning happens during project development. Project developers provide a brief description of the evaluation, including its purpose, timing, intended use and methodology. The cost of evaluation must also be included in the budget at the planning stage.
- If no evaluation of the project is foreseen at the project development stage, an appropriate justification must be provided. Reasons for this may include the following:
 - ✓ The expected donor has indicated, prior to the submission of the proposal, that it will not fund an evaluation;
 - ✓ The donor plans to conduct its own evaluation, outside of the implementation cycle;
 - ✓ Other evaluative approaches have been agreed upon with the donor, such as project performance reviews or after-action reviews.



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Define the purpose and evaluability of evaluation

- The first step in planning for an evaluation is defining the purpose and evaluability of an evaluation. The evaluation purpose describes the overall reason why the evaluation is being conducted and its expected results. Agencies and organizations may use different terminology, and it is open to accept such terminology when preparing the evaluation .

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Guiding questions to define evaluation purpose

- Who are the intended users of the evaluation?
- What does the evaluation strive to assess (the intervention, specific thematic components, a strategy, collaboration)?
- What are the priority evaluation aspects to analyse, considering that not necessarily all evaluation criteria need to be covered (such as relevance, performance and implementation processes, impact, coherence and sustainability)?
 - What is the expected result (such as to draw any specific recommendations, identify challenges and lessons learned, gather good practices and inform next phases of implementation)?



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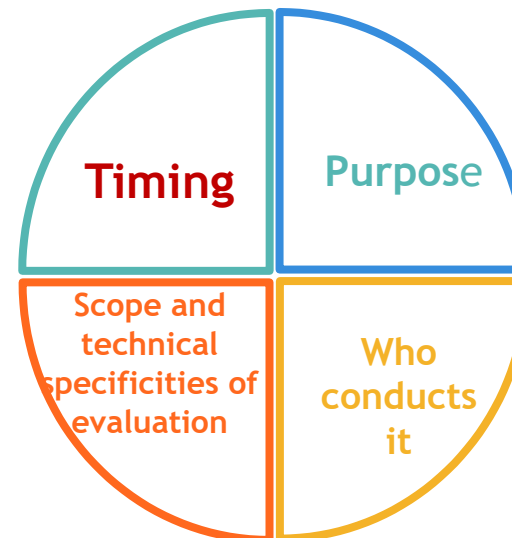


- ✓ Assessing the **evaluability** – in other words feasibility – of an evaluation is an essential part of the evaluation planning process, increasing the likelihood that the evaluation will be able to produce credible information in a timely manner or by limiting its scope.
- ✓ It encourages evaluation managers to set realistic expectations of an evaluation on the basis of the contextual realities on the ground, including financial realities and timing, as well as on the monitoring and data collection mechanisms already in place.

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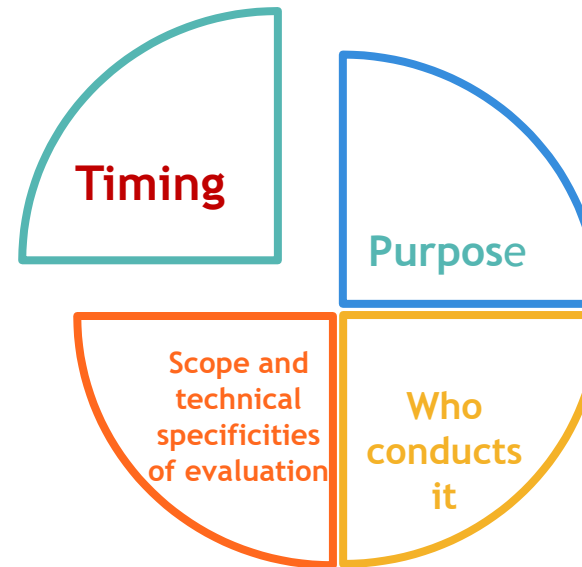
Types of Evaluation

- ✓ Evaluation types can be defined according to the following elements, and evaluations can be a combination of the different categories:



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Evaluation type according to timing



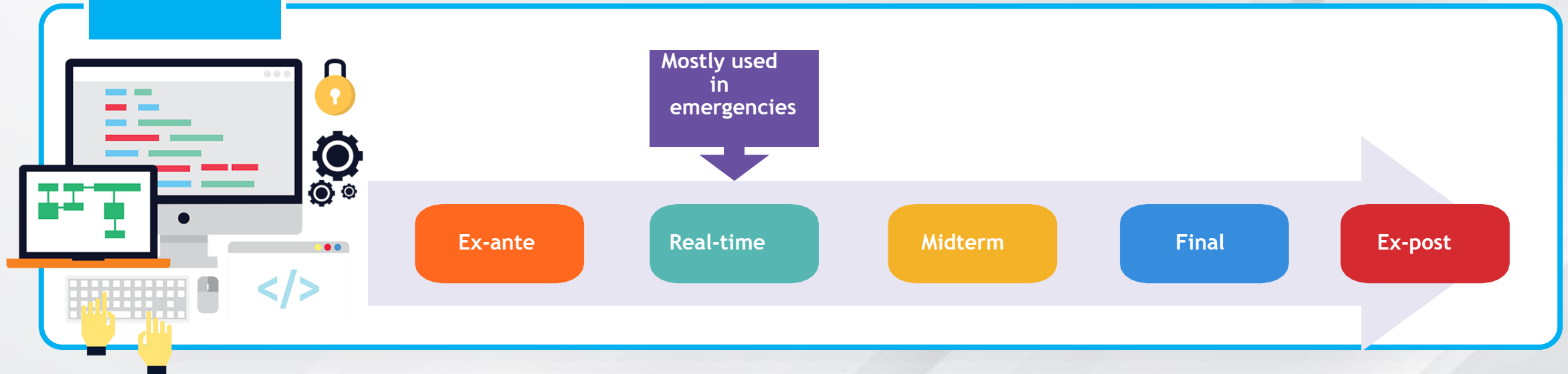
One distinction is made on the basis of the timing of the evaluation exercise; in other words, when in the intervention life cycle, the evaluation is conducted.



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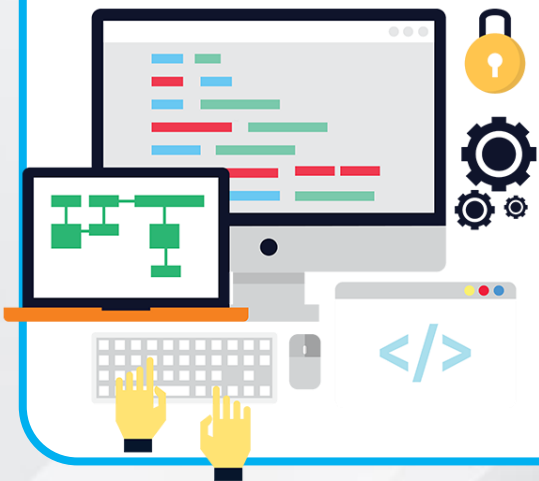


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An **ex-ante evaluation** is performed before the implementation of an intervention to assess the validity of the design, target populations and objectives. An ex-ante evaluation includes criteria and analysis that are not covered by needs assessments, appraisals or feasibility studies.

Real-time evaluations are mostly used in emergencies, at the early stages of implementation, to provide instant feedback to intervention managers about an ongoing operation.

A **midterm evaluation** is carried out during an intervention's implementation and for the purpose of improving its performance or, in some cases, to amend its objective, if it has become unrealistic due to unexpected factors or implementation challenges.



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A **final, or terminal, evaluation** is undertaken at the end, or close to the end, of an intervention to examine the overall performance and achievement of results, also for the benefit of stakeholders not directly involved in the management and implementation of the intervention (such as donors and governmental entities).

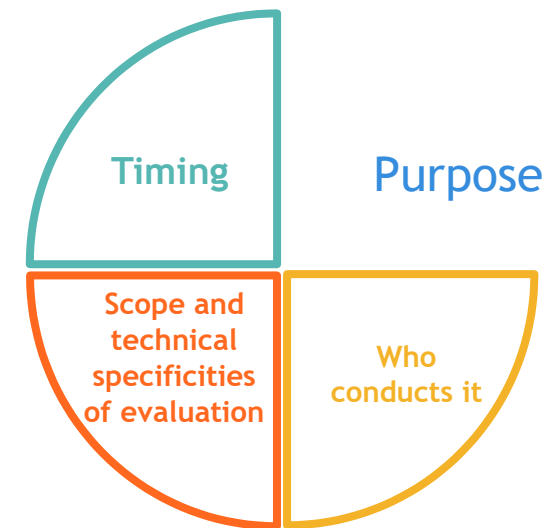


The **ex-post evaluation** is implemented some months after the end of an intervention to assess the immediate and medium-term outcomes and sustainability of results. It includes the extent to which the intervention has contributed to direct or indirect changes; however, it is not as robust as an impact evaluation.

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Evaluation according to purpose

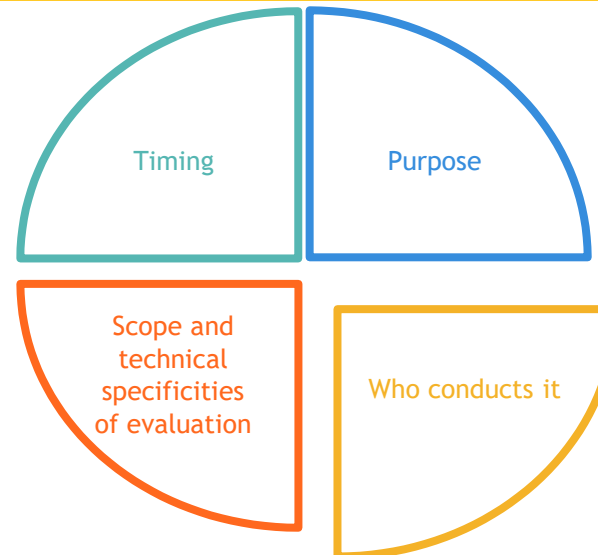
Evaluations defined by their purpose can be formative or summative. **Formative evaluation** is conducted during implementation for the purposes of improving performance. It is intended to assist managers adjust and improve project, programme and strategy implementation based on findings, as well as stakeholders'



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- **Evaluation types according to who conducts it**

A third distinction is made according to the person(s) who conduct(s) the evaluation exercise. There are three types of evaluation based on who conducts the evaluation: (a) internal; (b) external; and (c) mixed.

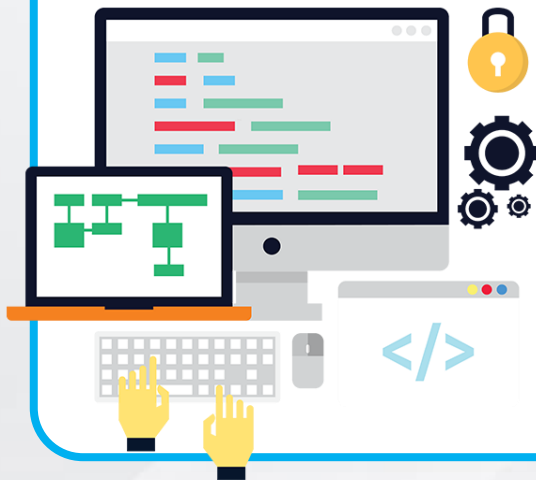


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Internal Evaluation

- An **internal evaluation** is conducted by an individual staff member or a team composed of IOM staff.
- An **independent internal evaluation** is conducted by someone who did not directly participate in the conceptualization, development and/or implementation of the intervention to be evaluated. Within IOM, internal independent evaluations are conducted by OIG/Evaluation, regional M&E officers and trained staff on the IOM Internal Evaluation roster. Evaluations of interventions conducted by staff members from the implementing office are also considered independent internal evaluations, as long as the evaluators were not involved in its development and implementation.

A self-evaluation is an internal evaluation done by those who are or were entrusted with the development and/or delivery of the project or program.



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- **External Evaluation**

- **An external evaluation** is conducted by someone recruited externally, mainly by the implementing organization and/or the donor.
- These are often considered independent evaluations, with reservations expressed by some organizations given the interference of management in the recruitment.



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- **Mixed Evaluation**

- **Mixed evaluations** include both internal and external evaluators who conduct the evaluation together. Each evaluator may have her/his own specific role within the team.



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Joint evaluations

- Joint evaluations are conducted by a group of agencies, including perhaps with the participation of donors. There are “various degrees of ‘jointness’ depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources and combine their evaluation reporting.”
- An agency can participate as a lead agency for conducting the joint evaluation or it can act simply as a participant in the joint exercise. A group of agencies can also lead the process, and the various roles and responsibilities can be defined during the planning stage.
- While joint evaluations are very useful and encouraged, the organization of joint evaluations is more demanding than a single external or internal evaluation due to the coordination required between participating parties for the planning, establishment of ToR and financing of the exercise.



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Considering the cost of an external evaluation when developing projects

- When in the development phase of the project cycle, project developers should consult with procurement and human resource officers to estimate the standard market rates for each projected evaluation team member and, if necessary, seek advice from OIG/Evaluation.
- Project developers will also need to estimate the duration of the evaluation based on its objective and scope to anticipate the potential cost of the evaluation. The evaluator fees are often calculated using a daily rate, and project developers should estimate how many days are required for each of the following:

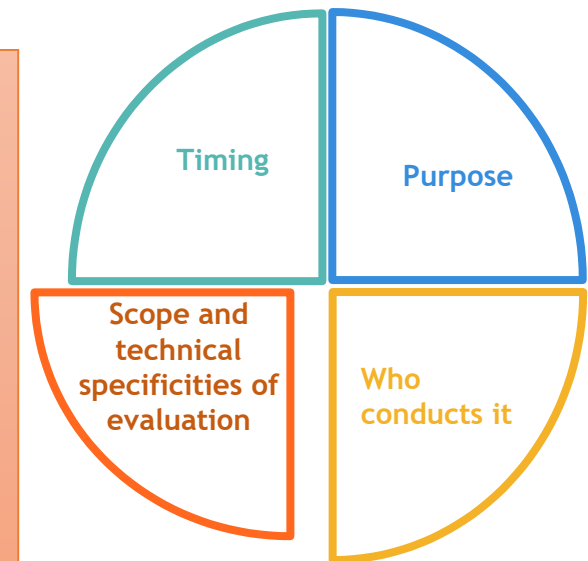
- Initial document and literature review;
 - Travel (if relevant);
- Preparation of the inception report;
 - Data collection and analysis;
 - Presentation of initial findings;
 - Preparation of the draft report;
- Revisions and finalization of the evaluation report.



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- Evaluation types according to technical specificities and scope**

The fourth group of evaluation types is defined according to technical specificities and scope. This group is the most diversified, and the most common types of evaluation are presented here, with additional references provided in the [Resources box](#) and within the annexes. The scope of an evaluation allows the understanding of what will be covered and what type of evaluation may be conducted.



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Evaluation criteria

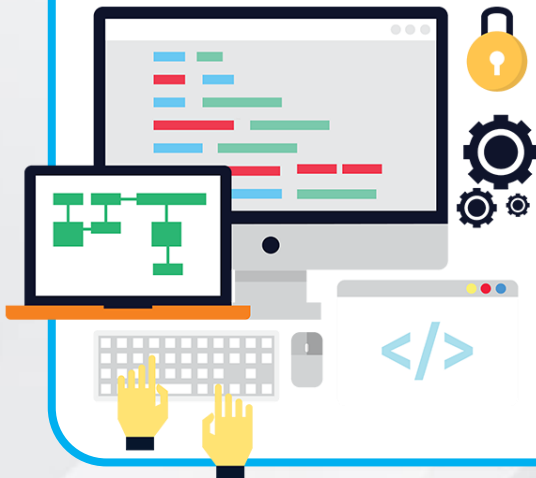
- Evaluation uses a set of criteria for the assessment of an intervention.
- Evaluation criteria are standards by which an intervention can be addressed. While several criteria exist, IOM primarily uses two established references for evaluation criteria:
 - (a) the OECD/DAC criteria, which had originally been developed for development-orientated interventions and were adjusted in December 2019 to also be relevant for humanitarian interventions;
 - (b) the Active Learning Network for Accountability and Performance (ALNAP) criteria, which were developed for humanitarian While at times it may be feasible to include the entire population in the data collection process, at other times, this may not be necessary nor feasible due to time, resource and context-specific constraints, so a sample is selected.



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Selecting evaluation criteria

Type of intervention	Development intervention	Humanitarian intervention
Description	Development interventions focus on	Humanitarian interventions focus on saving lives, alleviating suffering and maintaining human dignity during and after human-induced crises and natural disasters, as well as preventing and preparing for them.
	responding to ongoing structural issues, particularly systemic poverty, that may hinder socioeconomic and institutional development in a given context.	
Evaluation criteria	OECD/DAC criteria	ALNAP criteria
	ALNAP criteria may also be applied to development interventions, where appropriate.	The revised OECD/DAC criteria may also be applied to humanitarian interventions, where appropriate.
	• Relevance	Appropriateness
	• Coherence	Effectiveness
	• Efficiency	Efficiency
	• Effectiveness	• Impact
	• Impact	• Coherence
	• Sustainability	• Coverage
		• Coordination
		• Connectedness



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OECD/DAC and ALNAP evaluation principles

➤ Principle one

The criteria should be applied thoughtfully to support high-quality, useful evaluation. They should be contextualized – understood in the context of the individual evaluation, the intervention being evaluated and the stakeholders involved. The evaluation questions (what you are trying to find out) and what you intend to do with the answers should inform how the criteria are specifically interpreted and analysed.

➤ Principle two

Use of the criteria depends on the purpose of the evaluation. The criteria should not be applied mechanistically. Instead, they should be covered according to the needs of the relevant stakeholders and the context of the evaluation. More or less time and resources may be devoted to the evaluative analysis for each criterion depending on the evaluation purpose. Data availability, resource constraints, timing and methodological considerations may also influence how (and whether) a particular criterion is covered.

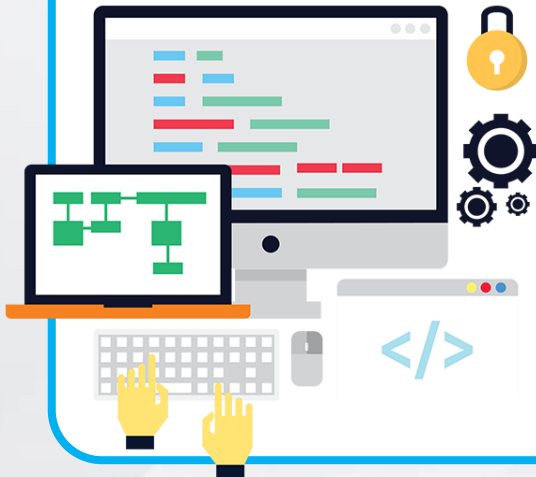


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Criteria	Definition	Sample evaluation Questions
Relevance	Relevance is the extent to which the intervention objectives and design respond to beneficiaries, global, country, and partner/ institution needs, policies, and priorities; and continue to do so if circumstances change. Relevance <i>Note: “Respond to” means that the objectives and design of the intervention are sensitive to the economic, environmental, equity, social, political economy and capacity conditions in which it takes place. “Partner/institution” includes government (national, regional, local), civil society organizations, private entities and international bodies involved in funding, implementing and/or overseeing the intervention. Relevance assessment involves looking at differences and trade-offs between different priorities or needs. It requires analysing any changes in the context to assess the extent to which the intervention can be (or has been) adapted to remain relevant</i>	✓ Do the intervention’s expected outcomes and outputs remain valid and pertinent either as originally planned or as subsequently modified? ✓ Are the project activities and outputs consistent with the intended outcomes and objective? ✓ Do the project activities and outputs take into account relevant policies, guidelines and beneficiary needs? ✓ Does the project still respond to the needs of the other target groups/stakeholders? ✓ Is the intervention well-designed (results matrix, Theory of Change and risk analysis in particular) to address needs and priorities? ✓ Is the project aligned with and supportive of IOM national, regional and/or global strategies? ✓ Is the project aligned with and supportive of national strategies? - Is the project in line with donor priorities?



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Criteria	Definition	Sample evaluation Questions
Appropriateness	✓ The analysis of appropriateness examines “the extent to which humanitarian activities are tailored to local needs, increasing ownership, accountability and cost-effectiveness accordingly.”	✓ To what extent were tools and technologies used adapted to the local context? ✓ To what extent were local stakeholders and beneficiaries consulted and involved in the implementation of activities? ✓ To what extent were the delivered supplies adapted to local needs?

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Criteria	Definition	Sample evaluation Questions
Coherence	The extent to which other interventions (particularly policies) support or undermine the intervention, and vice versa. Includes internal coherence and external coherence: Internal coherence addresses the synergies and interlinkages between the intervention and other interventions carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres. External coherence considers the consistency of the intervention with other actors' interventions in the same context. This includes complementarity, harmonization and coordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort."	✓ Do synergies exist with other interventions carried out by IOM as well as intervention partners? ✓ To what extent do the other implemented interventions support or undermine the intervention? ✓ To what extent is the intervention consistent with international norms and standards to be applied to the existing context? ✓ To what extent is the intervention consistent with other actors' interventions in the same context? ✓ To what extent does the intervention add value/avoid duplication in the given context? ✓ Are security, developmental, trade and military policies including humanitarian components consistent? ✓ To what extent are these policies concretely applied during interventions, taking into account humanitarian and human rights considerations?



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Criteria	Definition	Sample evaluation Questions
Effectiveness	Effectiveness considers “The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups. Analysis of effectiveness involves taking account of the relative importance of the objectives or results.” effectiveness is defined as “The extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of the outputs.”	✓ To what extent did the intervention achieve its objectives, including the timely delivery of relief assistance? ✓ Have the outputs and outcomes been achieved in accordance with the stated plans? ✓ Are the target beneficiaries being reached as expected? ✓ Are the target beneficiaries satisfied with the services provided? ✓ What are the major factors influencing the achievement of the intervention’s desired outcomes? ✓ To what extent has the project adapted or is able to adapt to changing external conditions in order to ensure project outcomes?

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Criteria	Definition	Sample evaluation Questions
Coverage	Coverage is defined as “The extent to which major population groups facing life-threatening suffering were reached by humanitarian action”. Coverage can often be included in the analysis of effectiveness.	✓ Who were the major groups in need of humanitarian assistance? Of these groups, who were provided with humanitarian assistance? ✓ Is the assistance and protection proportionate to their needs and devoid of extraneous political agendas?

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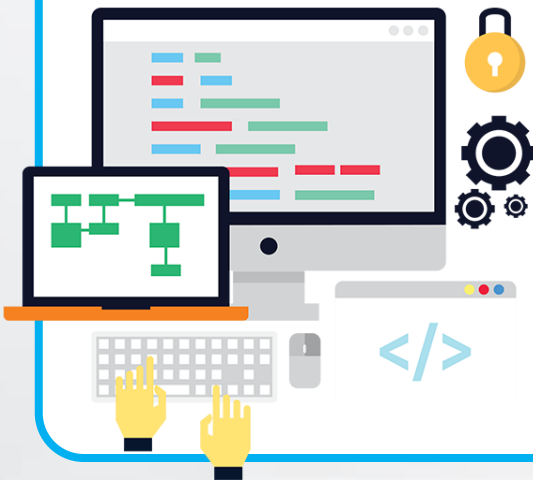
Coordination

Coordination is “The extent to which the interventions of different actors are harmonized with each other, promote synergy, avoid prevent gaps, duplication and resource conflicts”.

Coordination can often be included in the analysis of effectiveness.

Sample evaluation Questions

- ✓ Are the different actors involved in an emergency response coordination?
- ✓ Are the point of views from other actors of the overall system taken into account in the intervention strategy?



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Criteria	Definition	Sample evaluation Questions
Efficiency	Efficiency Is considered as an extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way. <i>Note:</i> “Economic” is the conversion of inputs (funds, expertise, natural resources, time, etc.) into outputs, outcomes and impacts, in the most cost-effective way possible, as compared to feasible alternatives in the context. “Timely” delivery is within the intended time frame, or a time frame reasonably adjusted to the demands of the evolving context. This may include assessing operational efficiency (how well the intervention was managed).” ALNAP also includes the criterion of efficiency and considers it to look at “[t]he outputs - qualitative and quantitative - achieved as a result of inputs”.	✓ Were the project activities undertaken and were the outputs delivered on time? ✓ Was the project implemented in the most efficient way compared to alternative means of implementation? ✓ How well are the resources (funds, expertise and time) being converted into results? ✓ To what extent are disbursements/ provision of inputs for activities implemented as scheduled?

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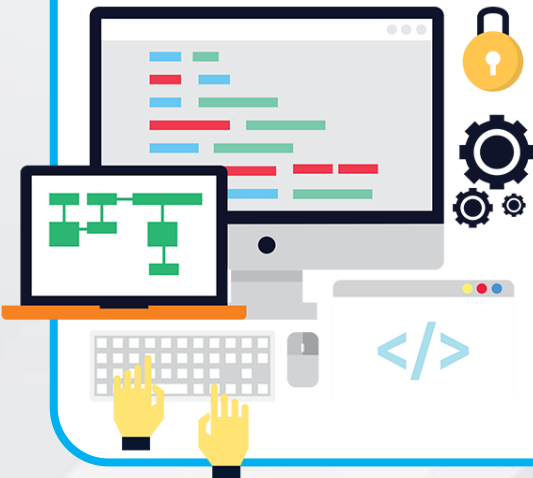
Impact

Criteria	Definition	Sample evaluation Questions
	Impact within OECD/DAC looks at “the extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects. <i>Note:</i> Impact addresses the ultimate significance and potentially transformative effects of the intervention. It seeks to identify social, environmental and economic effects of the intervention that are longer term or broader in scope than those already captured under the effectiveness criterion. Beyond the immediate results, this criterion seeks to capture the indirect, secondary and potential consequences of the intervention. It does so by examining the holistic and enduring changes in systems or norms, and potential effects on people’s well- being, human rights, gender equality, and the environment.”	✓ What significant change(s) does the intervention bring or is expected to bring, whether positive or negative, intended or unintended? ✓ Does the impact come from the intervention, from external factors or from both? ✓ Did the intervention take timely measures for mitigating any unplanned negative impacts?



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Criteria	Definition	Sample evaluation Questions
Sustainability	Sustainability refers to “the extent to which the net benefits of the intervention continue, or are likely to continue. Note: Includes an examination of the financial, economic, social, environmental, and institutional capacities of the systems needed to sustain net benefits over time. Involves analyses of resilience, risks and potential trade- offs. Depending on the timing of the evaluation, this may involve analysing the actual flow of net benefits or estimating the likelihood of net benefits continuing over the medium and long- term.”	✓ Are structures, resources and processes in place to ensure the benefits generated by the project are continued after the external support ceases? ✓ Is the project supported by local institutions and well-integrated into local social and cultural structures? ✓ Do the partners benefiting from the intervention have adequate capacities (technical, financial, managerial) for ensuring that the benefits are retained in the long run, and are they committed to do so? ✓ To what extent have target groups, and possibly other relevant interest groups and stakeholders, been involved in discussions about sustainability?



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Criteria	Definition	Sample evaluation Questions
Connectedness	Connectedness looks at “The extent to which activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account”. Adds a humanitarian dimension to sustainability.	✓ To what extent are the project activities connected to longer-term development concerns? ✓ What steps have been taken to promote retention of gains from these interventions?



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- The focus on given criteria may change **at different stages of the intervention life cycle.**
- **In an ex-ante evaluation**, the focus could be on relevance, while for a midterm evaluation, it could shift towards effectiveness and efficiency so that recommendations for improvement can be made during implementation.
- By the end of the life cycle, **final and ex-post evaluations** are better able to assess the overall performance, sustainability and impact of the intervention. **However, the evaluation criteria must always take account of the specific requirements of the evaluation and the interest of end users of the evaluation and of other stakeholders.**



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Time for Questions





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Thank You

