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shortly

Please
wait!

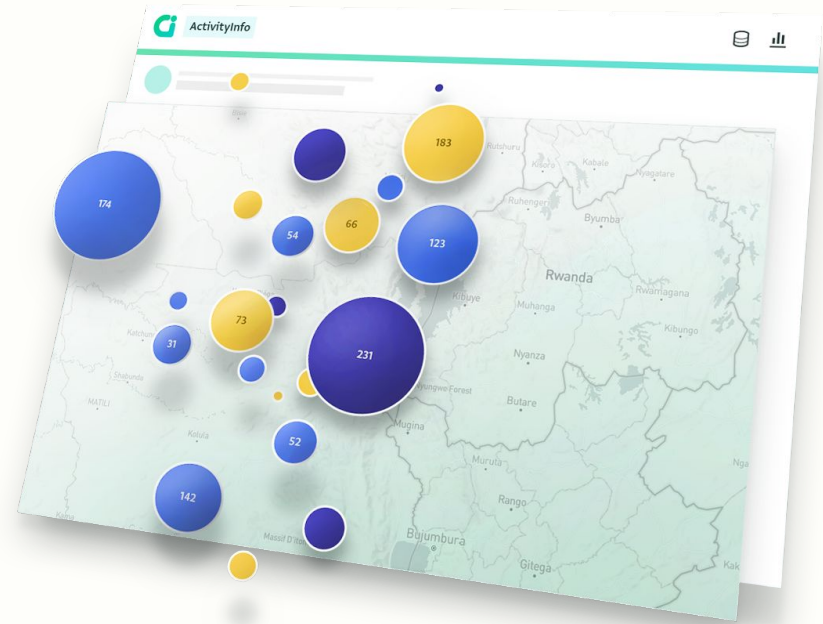
ActivityInfo

Evaluation planning and design in humanitarian assistance

Presented by the ActivityInfo Team

Software for Monitoring & Evaluation

- ★ Track activities, outcomes
- ★ Beneficiary management
- ★ Surveys
- ★ Work offline/online



Webinar series outline



First Webinar

Getting started with Evaluation in Humanitarian Action



Second Webinar

Evaluation planning and design in Humanitarian Action



Third webinar

Implementation of evaluation in Humanitarian Action

Today's session outline

- **Introduction**
 - *Key messages from the session “ Getting Started with Evaluation”*
- **Designing an Evaluation**
 - *Which are the different types of evaluation?*
 - *How to frame your evaluation?*
 - *How to choose evaluation questions: Best practices*
 - *Which are the most commonly used evaluation criteria?*
- **Planning for an evaluation**
 - *From Terms of reference (ToR) to action plan: the importance of inception phase*
 - *Gain knowledge in context and identify potential issues: the important of desk review*
 - *Best practices on how to manage and coordinate an evaluation*
- **Case study: NRC's evaluation of Better Learning Programme**
- QandAs



Getting started with Evaluation in Humanitarian Assistance

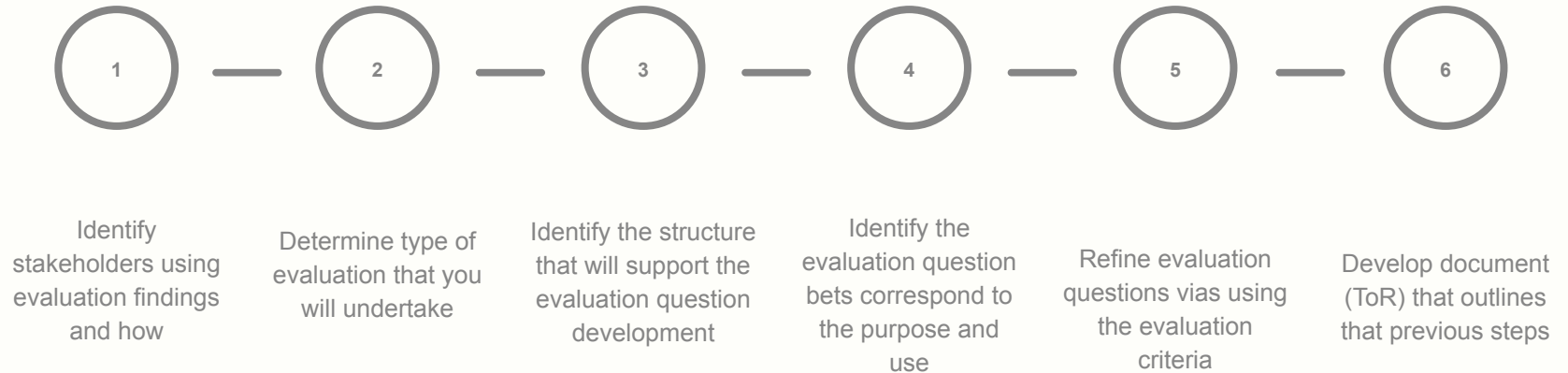
Mini Recap

- ★ The definition of Humanitarian Action impacts **the decision to perform** an evaluation and the **scope of the evaluation**
 - Humanitarian action includes responding to a crisis, supporting preparedness and disaster risk reduction (DRR) before a crisis, and recovery and rehabilitation afterwards
 - Humanitarian action should be guided by the principles of humanity, impartiality, neutrality and independence
- ★ Evaluation has two main purposes; accountability and learning. Achieving both at the same is challenging.
- ★ Monitoring and evaluation (M&E) are complementary tools for helping determine how well an intervention is doing
 - If an intervention has not been properly monitored from the beginning, it may not be possible to subsequently evaluate satisfactorily.
- ★ It may be **particularly appropriate to conduct an evaluation**: For a programme with unknown or disputed outcomes, for large and expensive interventions, for pilot initiatives, or to test a new programme idea, where the agency has a strategic interest or where stakeholders are keen on an evaluation.
- ★ **Key challenge**: The use and uptake of the Evaluation findings!



Designing an Evaluation

Basic Steps



Designing an Evaluation

Designing an Evaluation

Between decision and design: Think early to mitigate the challenge of use and uptake

It is essential to identify the intended users early on to help them decide what they want to achieve with the evaluation and involve them throughout the evaluation process.

- Their involvement should guide the choice of design and methods
- This ensures that EHA can contribute to enhancing its users' knowledge and helping to bring about change and improvements in practice

Designing an Evaluation

Key questions

Remember to ask the following questions to identify the intended users:

- Who are the evaluation stakeholders? (i.e not necessarily of the Evaluation Action)
- Who have direct interest (e.g funders)?
- Who have an indirect interest (e.g staff working for other organisations)?
- Which of the those with a direct interest are the intended users? (i.e. expect to learn)
- Which are the **primary intended users**? (i.e. crucial component when there are various stakeholders with competing interests)



- What do you need to know to enable you to better decide what to do and how to do it?
- What do you need to know that would make a difference?
- How will you use the evaluation findings?

Designing an Evaluation

Between decision and design

The purpose of the Evaluation determines **how evaluation is used**



Summative: Judging the merit or worth of a programme
E.g.: to fulfil its accountability to stakeholders or inform funding decisions

Formative: To enhance learning
E.g.: to improve a programme

Developmental: To contribute to new concepts, ideas and ways of thinking

Designing an Evaluation: Types of evaluation

Designing an Evaluation

Types of Evaluation: Key questions driving the design

- ❑ **What is the scope of the evaluation?** Is it focused at the project, programme, sector ?
- ❑ **What level of results are you interested in?** Do you want to evaluate process, outcomes or impact?
- ❑ **What is the timing of the evaluation in relation to implementation?** Is the evaluation intended to influence programming at an early stage?
- ❑ **How many actors are involved in the evaluation?** Is this a single-agency evaluation, a joint evaluation involving one or more actors?
- ❑ **Who is involved in carrying out the evaluation?** Most EHAs are carried out by teams who have not been involved in implementation, or by mixed teams.
- ❑ **Are there any other aspects specific to the evaluation?** For example, focused in policy.

Designing an Evaluation

Types of Evaluation: based on different scope of evaluation

Project Evaluation	Evaluation of a single humanitarian intervention with specific objectives
Programme Evaluation	Evaluation of a set of interventions with a unifying humanitarian objective.
Cluster Evaluation	Evaluation of multiple projects within a larger programme
Sector Evaluation	Evaluation of a group of interventions in a sector associated with specific humanitarian action
Thematic Evaluation	An evaluation of a selection of interventions that all address a specific humanitarian priority

Designing an Evaluation

Types of Evaluation: based on results level

Impact Evaluation	An evaluation that focuses on the wider effects of the humanitarian programme
Process Evaluation	An evaluation that focuses on the processes by which inputs are converted into outputs

Designing an Evaluation

Types of Evaluation: based on timing

Real time evaluation	An evaluation of an ongoing humanitarian operation
Mid-term evaluation	An evaluation performed towards the middle of an intervention.
Ex-post evaluation	An evaluation performed after an intervention has been completed.
On going evaluation	A series of evaluations designed to run throughout an intervention

Designing an Evaluation: Framing of an evaluation

Designing an Evaluation

Framing an Evaluation

The process of establishing or identifying a structure that will help to translate the evaluation questions into specific questions

Which is our starting point?



Programme logic: from logical frameworks to Theory of change

OR

Normative standards for humanitarian action

Designing an Evaluation

Framing an Evaluation: Programme logic

At the design stage of interventions, the planned actions should ideally be based on some theory as to how it will achieve the desired end result. Explicit theories are usually presented as some sort of logic model

Designing an Evaluation

Framing an Evaluation: Logic Models

Conceptual Framework



E.g The sustainable livelihoods framework looks at rural livelihoods. The evaluation team used this framework in evaluating the FAO's programme in Somalia.

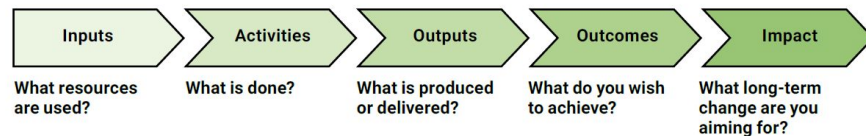
Logical Framework



Results Chain



Results hierarchy	Indicators	Assumptions
Goal The highest level objective towards which the project is expected to contribute	Indicators measuring progress towards the goal	Assumptions relating to the sustainability of the goal
Purpose The effect that is expected to be achieved as a result of the project	Indicators measuring progress towards the purpose	Assumptions related to the achievement of the goal given that the purpose is achieved
Outputs The results that the project management should be able to guarantee	Indicators measuring the extent to which outputs are produced	Assumptions related to the achievement of the purpose once the outputs are in place
Activities Actions undertaken to produce the outputs	Inputs, such as goods and services necessary to undertake the activities	Assumptions related to the production of outputs



Designing an Evaluation

Framing an Evaluation: Logic Models

Theory of change



A theory of change is a description of the central mechanism by which change comes about for individuals, groups and communities.

Time	Food assistance	Assumptions	Expected results
Short term	General food distribution – full rations	Emergency response assistance	Lives saved; improved food consumption; safety and protection provided. Minimal level of self-reliance.
Medium term	Food assistance decreases (partial rations)	Transition from emergency response; complementary social service interventions are available, e.g. water, sanitation, education, housing, etc.	Improved food basket, improved nutritional status (acute and chronic malnutrition). Increased capacity of affected people to establish livelihoods.
Long term	Food assistance decreases (partial rations)	Livelihood interventions available; asset building	Refugee self-reliance; local integration; resettlement or repatriation.

Designing an Evaluation

Framing an Evaluation: Normative standards

Normative Frameworks can guarantee that the vital aspects of the complexity of Humanitarian context will not overlooked.

The OECD-DAC criteria offer one possible framework for an evaluation

- all frameworks are better for checking than for developing questions.

Examples:

- The Core Humanitarian Standard on Quality and Accountability (HAP International, 2014): provide a checklist or reference point against which to evaluate performance, a basis for breaking down the evaluation into manageable tasks, and a structure for the report.
- Minimum Standards for Education in Emergencies (INEE, 2006): Sectoral standards are a good basis for organising sectoral evaluations

Designing an Evaluation: Choosing evaluation questions

Designing an Evaluation

Choosing evaluation questions

Evaluation questions should be based on what your primary intended users' needs to know that would make a difference in their work.

- The top-level questions, such as 'How effective was our response?'
- The actual evaluation questions, unpacked from the top-level questions.
- Questions asked of interviewees, focus groups and survey subjects.

Designing an Evaluation

Choosing evaluation questions

How do the questions drive the evaluation?



- What type of evaluation is chosen, for example impact evaluation, process evaluation or RTE.
- They determine the most appropriate design or designs.
- They determine which methods need to be used.
- The questions should drive the budget for the evaluation.
- They influence both the type and extent of sampling choices.
- The evaluation questions determine the recommendations.

Designing an Evaluation

Choosing evaluation questions

Types of questions



- Descriptive: How did affected people use the shelter kits provided?
- Normative: To what extent did the shelter provided meet the Sphere Standards?
- Causal: To what extent did the provision of assistance at the village level discourage migration to the regional capital?
- Evaluative: Was our policy to only provide shelter kits to those with proof of plot ownership appropriate?
- Action- oriented; How could we better support vulnerable persons to rebuild their shelters?

Designing an Evaluation

Choosing evaluation questions

Quality of questions



- Avoid too many questions
- Avoid questions that are a poor fit with the scope and the approach.
- Avoid questions that are best answered by other means
- Avoid questions that are not finding answers that can be used.

Number of questions



Several good reasons to limit the number of questions

- Focus of the evaluation.
- the evaluation team addresses the questions in sufficient depth.
- Make the evaluation more useful.

Designing an Evaluation

Choosing evaluation questions

Tip! Unpack high-level questions

Example “Have we got the right strategy?”

The underlying questions are probably:

- How can we improve our current strategy? (Action-oriented)
- What are the advantages or disadvantages of our current strategy compared to those employed in similar contexts? (Normative)

Designing an Evaluation

Evaluation Criteria: OECD-DAC Criteria

The evaluation criteria and other frameworks are useful tools once you have decided on your evaluation questions.

the **OECD-DAC**, proposed four quality criteria – relevance, effectiveness, sustainability and impact – and the value criterion of efficiency (OECD-DAC, 1991). A few years later, it adapted these criteria for EHA in complex emergencies

There are good reasons to use evaluation criteria to check your evaluation questions:

- Using standard criteria makes meta-evaluation (the drawing of lessons from a wide range of evaluations) much easier.
- Standard criteria are likely to capture common weaknesses in humanitarian action, based on experience and research.
- Evaluations that use standard criteria are easier for evaluation managers and other evaluators to work with.

Designing an Evaluation

Evaluation Criteria: OECD-DAC Criteria

01

Appropriateness

- The extent to which humanitarian activities are tailored to local needs
- To what extent did our programme meet immediate needs?

02

Effectiveness

- The extent to which an activity achieves its purpose.'
- What changes can we make to reduce the supplementary feeding drop-out rate?

Designing an Evaluation

Evaluation Criteria: OECD-DAC Criteria

03

Efficiency

- The outputs achieved as a result of inputs.
- How cost-efficient was our shelter programme?

04

Impact

- The wider effects of the project – social, economic, technical, and environmental, on communities and institutions.
- What has been the impact of the cash voucher programme, positive and negative?

Designing an Evaluation

Evaluation Criteria: OECD-DAC Criteria

05

Connectedness

- 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.
- What can we do to prevent the food distributions from discouraging farmers from planting?

Designing an Evaluation

Evaluation Criteria: OECD-DAC Criteria

06

Coverage

- The extent to which major population groups were reached by humanitarian action.
- To what extent have cash transfers benefited the most vulnerable households?

Designing an Evaluation

Evaluation Criteria: OECD-DAC Criteria

07

Coherence

- The extent to which policies, are consistent and take into account humanitarian and human rights considerations
- To what extent have cash transfers benefited the most vulnerable households?

Designing an Evaluation

Evaluation Criteria: OECD-DAC Criteria

08

Coordination

- The extent to which the interventions of different actors are harmonised with each other
- How can we reduce gaps in water supply by the different agencies using water tankers?

Designing an Evaluation

Key messages

- ❑ it is essential to identify the intended users early on to help them decide what they want to achieve with the evaluation and involve them throughout the evaluation process.
- ❑ Types of evaluation are determined by: **the scope of the evaluation, level of results, the timing of the evaluation, how many actors are involved, who is involved in carrying out the evaluation**
- ❑ We need to consider how to frame evaluation questions; via the programme/project logic or via the Normative standards for humanitarian action
- ❑ Evaluation questions should be based on what your primary intended users' needs to know that would make a difference in their work. The choice of evaluation questions has a critical effect on the quality of the evaluation. Those drive the whole evaluation.
- ❑ The evaluation criteria and other frameworks are useful tools once you have decided on your evaluation questions. The criteria are tools to think with and may suggest additional relevant questions.

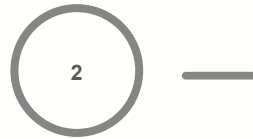
Planning an Evaluation

Planning an Evaluation

Basic Steps



Translate ToR into
action plan:
Inception phase



Gain knowledge on
context and identify
issues and
challenges



Determine how is
best to manage and
coordinate the
evaluation

Planning an Evaluation: Inception Phase

Planning an Evaluation

Create a concrete action: Inception phase

The inception phase of the evaluation goes **from the selection of the evaluation team** up to **approval** of the inception report.

During the inception phase the team tries to develop a **full understanding** of the evaluation task and prepares a report outlining the plan for the evaluation. The inception phase **occurs prior to fieldwork**; its output is the inception report

Planning an Evaluation

The inception phase: why?

Why this is important?



During the inception phase:

- The evaluation team defines a specific plan
- The evaluation team raises concerns

The inception report:

- Is the most useful tool in the quality control toolbox
- Helps establish a common understanding of the evaluation tasks
- Establishes a clear work plan
- Clarifies roles and responsibilities
- Is the last chance for the evaluation manager to ensure quality of the field-work
- Enables the evaluation team to clearly state what it will do and, sometimes more importantly, will not do.

Planning an Evaluation

The inception phase: Activities

Which activities are included?



The inception phase may include:

- Initial interviews with key informants to establish the context
- A desk study, including a literature review and the study of secondary quantitative data
- A workshop to present a draft inception report
- Developing and, if necessary, testing data-collection tools
- An initial scoping visit to the fieldwork country, which is good practice for large and complex evaluations.

Planning an Evaluation

The inception phase: The evaluation matrix

Most inception reports include an evaluation matrix, setting out a plan for answering each of the evaluation questions

Question	Criteria	Designs	Methods	Sampling
What impact did the cash transfer have on household food security?	Impact, effectiveness	Difference in difference: comparing changes in household food security scores over time between recipient and non-recipient households*	Household food security survey	Random sampling using the initial food security assessment census as a sampling frame

one question may involve more than one design or method, and that the individual methods may help to answer more than one question.

this can be used as the basis for an evidence table, which can facilitate writing the report by gathering all the evidence about a particular question or theme in one place.

Planning an Evaluation: Desk review

Planning an Evaluation

Desk review: Why do we need this?

Desk reviews offer a cost-effective way for the evaluation to:

- Draw on the knowledge gained from previous evaluations and other research.
- Draw on the knowledge captured in project monitoring documents.
- Allow the evaluation team quickly to gain an understanding of the context
- Identify potentially key issues for later fieldwork.
- Identify potential judgement criteria, sources, and methods for the evaluation matrix.

Planning an Evaluation

Desk review: What do we need to include?

A desk review is a review of one or more documents. It can take place:

- As part of the inception phase to clarify the evaluation task or to answer specific questions
- As part of the evaluation scoping exercise for the preparation of the ToR
- During the fieldwork

<https://www.alnap.org/help-library/evaluation-of-humanitarian-action-eha-guide>

Planning an Evaluation: How to best manage and coordinate the evaluation

Planning an Evaluation

Best practices on how to manage an evaluation

- **Decision to evaluate:** A field visit by the evaluation manager prior to the evaluation can be useful for fine-tuning the ToR and for easing any concerns about the evaluation from field-based stakeholders.
- The best arrangements for managing an evaluation ensure **that primary stakeholders remain engaged** in its decisions - establishing a advisory group (e.g steering committee).
- **Internal or external evaluation:**
 - If the evaluation is principally for accountability, the evaluators should be external
 - If the evaluation is principally for learning, the evaluation team should include either a majority of internal staff who are expected to do the learning, or a team of external evaluators whose primary role is to facilitate staff learning
- **Working with external team:** Defining the selection criteria for the winning bid will have a strong influence on the quality of the evaluation. Strong project-management skills as a key skill for evaluators.

Planning an Evaluation

Best practices on how to manage an evaluation

Managing conflict: Disparity between the scale of the evaluation task and available resources may lead to conflict between the evaluation manager and the evaluation team.

- An inception report can reduce the risk of misunderstandings
- One way to minimise disputes in contentious evaluations is to use a steering group to advise

Planning an Evaluation

Best practices on how to manage an evaluation

Timeline: How long an evaluation should take depends on the context

- **Developing ToR:** One week to over a year depending on how much consultation and agreement is needed.
- **Inception phase:** One week to several months or more. Longer inception phases are needed when there is a need for an inception visit and/or an extensive document review.
- **Fieldwork:** One week (for the smallest evaluations) to several months, depending on the scale and complexity.
- **Data analysis and reporting:** One week to several months, depending on the complexity.
- **Dissemination:** This may consist of workshops or field visits to disseminate the results, usually within one month of the publication of the report.

Planning and Designing an Evaluation: case study

Designing and Planning an Evaluation

Case study

IMPROVING CHILDREN'S WELLBEING: AN EVALUATION OF NRC'S BETTER LEARNING PROGRAMME IN PALESTINE

Context: Since 2007 NRC, in cooperation with the Institute of Education, University of Tromsø and the Norwegian Centre for Violence and Traumatic Stress Studies (NKVTS), has developed the Better Learning Programme (BLP) which aims at improving learning conditions for children and adolescents exposed to war and conflict. The intervention was piloted in Palestine in 2011

<https://www.nrc.no/globalassets/pdf/evaluations/nrc-blp-palestine-full-report.pdf>

Designing and Planning an Evaluation

Case study

Evaluation purpose and use

- The main purpose of this evaluation is to support learning and provide guidance for future programme direction.
- This evaluation should be an opportunity for NRC to be accountable to beneficiaries, partners and donors.
- This is a country specific evaluation that will contribute to the research envisioned in 2017 funded by the same donor.

The evaluation was carried out in late 2016 by Dr. Ritesh Shah from the University of Auckland, using a range of methodologies

<https://www.nrc.no/globalassets/pdf/evaluations/nrc-blp-palestine-full-report.pdf>

Designing and Planning an Evaluation

Case study

Evaluation questions/criteria:

- **Impact:** What have been the intended and unintended outcomes for BLP participants (male and female) and participating duty bearers (counsellors, teachers and caregivers)?
- **Relevance:** How relevant and responsive has BLP been to the needs of participating children and their duty-bearers, and the education system as a whole in Palestine?
- **Efficiency:** Have the resources and support deployed for BLP been sufficient and appropriate to the needs identified for project beneficiaries, and if not, what factors have constrained this?

<https://www.nrc.no/globalassets/pdf/evaluations/nrc-blp-palestine-full-report.pdf>

Designing an Evaluation

Case study

Methodology

To answer the evaluation questions, NRC would like the evaluator to submit a study design and methodology based on the OECD-DAC evaluation criteria to complement the available quantitative data gathered through our M&E system.

The evaluation adopted the following approaches:

- (1) Key stakeholder interviews with key individuals within NRC and externally
- (2) Desk review of project documentation to date
- (3) Further quantitative analysis of project-collected data
- (4) Most Significant Change stories
- (5) Workshops with NRC Education team/key internal stakeholders at the conclusion of fieldwork.

Designing and Planning an Evaluation

Case study

Evaluation team criteria

we are seeking an evaluator experienced in participatory psychosocial and education evaluations and with demonstrable experience of qualitative evaluations such as most significant change. We require an evaluator who is familiar with theory of change approach

Evaluation coordination and management

Steering Committee within NRC was established. The Steering Committee will oversee administration and overall coordination, including monitoring progress of the evaluation.

<https://www.nrc.no/globalassets/pdf/evaluations/nrc-blp-palestine-full-report.pdf>

Designing and Planning an Evaluation

Case study

Evaluation schedule: From 25/10 to 10/11

7.3 EVALUATION SCHEDULE

Date	Location	Activit(ies)
Tues, Oct 25	East Jerusalem	Ritesh arrives in PM Interviews with NRC internal and external stakeholders (via Skype prior)
Weds Oct 26	East Jerusalem	Inception meetings with NRC senior management and NRC Education/M&E team Key stakeholder interviews with NRC key partners (MoEHE, Ramallah and NMFA)
Thurs Oct 27	West Bank	Visit to school Key stakeholder interviews with NRC key partners (UNICEF) and interviews with BLP internal team members
Fri Oct 28	Gaza	Travel to Gaza from East Jerusalem Interview with BLP Roving Coordinator and Technical Advisor (Skype) Initial meetings with key BLP staff in Gaza
Sun Oct 30	Gaza	Visit to school Interview with PSS partner of MoEHE
Mon Oct 31	Gaza	Visit to school Interview with MoEHE
Tues Nov 1	Gaza	Interview with MoEHE Visit to school (cancelled due to UNWRA strike)
Weds Nov 2	Gaza	Visit to school Interview with UNRWA Community Mental Health
Thurs Nov 3	Gaza	Visit to school Interview/discussion with BLP Gaza Team at NRC
Fri Nov 4	East Jerusalem	Return to East Jerusalem, debrief/catch up with team in office
Sun Nov 6	West Bank	Visit to school Observation of BLP training in Hebron
Mon Nov 7	West Bank	Visit to school Discussion with NRC Education team
Tues Nov 8	West Bank	Visit to school
Wed Nov 9	Ramallah	MSC Selection Panel with NRC and external stakeholders based in Jerusalem/WB
Thurs Nov 10	East Jerusalem	Findings/ToC workshop with relevant NRC Education staff Ritesh departs in PM

Designing and Planning an Evaluation

Case study

Desk Review use:

- A number of documents were provided to the external evaluator by the NRC Palestine Education team and reviewed as part of the evaluation.
- This documentation included the Manuals, Guidelines/Terms of Reference; presentations to parents/caregivers and others about BLP; and funding proposals related to BLP along with associated progress reporting.
- This documentation provided a wealth of information on the intent, design and implementation stages of BLP to date, and where appropriate is included in this evaluation as either background or evidence.

Designing and Planning an Evaluation

Key messages

- ❑ During the inception phase the team tries to develop a full understanding of the evaluation task and prepares a report outlining the plan for the evaluation.
- ❑ The best arrangements for managing an evaluation ensure that primary stakeholders remain engaged in its decisions - establishing a advisory group (e.g steering committee).
- ❑ Defining the selection criteria for the winning bid will have a strong influence on the quality of the evaluation. Strong project-management skills as a key skill for evaluators.

Designing and Planning an Evaluation

Resources

Evolving evaluation practice: past, present and future challenges

<https://www.alnap.org/help-library/evolving-evaluation-practice-past-present-and-future-challenges>

State of humanitarian system

<https://sohs.alnap.org/help-library/2022-the-state-of-the-humanitarian-system-sohs-%E2%80%93-summary>

Evaluation of Humanitarian Action Guide

<https://www.alnap.org/help-library/evaluation-of-humanitarian-action-eha-guide>

Using Evaluation for a Change: Insights from humanitarian practitioners

<https://www.alnap.org/help-library/using-evaluation-for-a-change-insights-from-humanitarian-practitioners>

IMPROVING CHILDREN'S WELLBEING: AN EVALUATION OF NRC'S BETTER LEARNING PROGRAMME IN PALESTINE

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Time for Q&A!

Thank you!