Evaluation Research

- Research undertaken for the purpose of determining the impact of a given intervention.
  - Has the intervention produced the intended results?
    - Use of social research procedures to systematically investigate the effectiveness of social intervention programs.
  - Used to study, appraise, and help improve programs.
  - So not just to say ‘has it worked’ but also at times ‘what could be done to make it work better in the future’.
  - Also can be important to identify not just ‘did it work’ but also identify unintended consequences.
  - It is a rapidly growing field.

I am going to provide an overview first based on the chapter in the Babbie text, then we will revisit this topic with the World Bank discussion.

Morra-Imas, L. G., Morra, L. G., & Rist, R. C. (2009). The road to results: Designing and conducting effective development evaluations. World Bank Publications. You can download it online here:

https://openknowledge.worldbank.org/bitstream/handle/10986/2699/526780PUB0Road101Official0Use0Only1.pdf?sequence=1
US federal demand for this research. US federal funding for this research.

- Evidence based policy making.
  - [https://results.usaid.gov/](https://results.usaid.gov/)
  - [http://betterevaluation.org/resources/guide/dfid_approach_to_value_for_money](http://betterevaluation.org/resources/guide/dfid_approach_to_value_for_money)

Topics for Evaluation Research:

- Needs assessments. Studies to determine the existence and extent of problems. Can be targeted to distinct subpopulations.
- Cost benefit studies. Looking at the present value of benefits compared to the present value of costs. Looking at flows over time and discounting to state in Net Present Value. Cost benefit ratio, IRR. Discounting is a key element.
- Monitoring a steady flow of information about the object of the research, to report on the attainment and status of the activity. M&E. Are you doing the meetings you promised you were going to do.
- [http://usaidprojectstarter.org/content/performance-monitoring-indicators](http://usaidprojectstarter.org/content/performance-monitoring-indicators)
### Table 1: Programme M&E Framework

<table>
<thead>
<tr>
<th>Impact</th>
<th>Indicators</th>
<th>Base Situation</th>
<th>Expected End Point</th>
<th>Information needed</th>
<th>Methods/Data Collection</th>
<th>By whom</th>
<th>When</th>
</tr>
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<tbody>
<tr>
<td>% of people with improved wellbeing in the seven cercles and départements in Mali and Senegal as a result of BRACED support. (disaggregated Cercles and Departments, by gender and age)</td>
<td>To be defined when relationship between aspects of resilience and wellbeing has been explored in this context.</td>
<td>PDP phase looked at aspects of wellbeing.</td>
<td>Expected to understand contribution to impact but not to see change in this timeframe.</td>
<td>Identify investments and determine likely linkages to wellbeing.</td>
<td>Resilience assessments, HH survey and family portraits help to establish links between resilience targeted by the investments and wellbeing. When this is identified secondary data will be tracked.</td>
<td>Country M&amp;E officers.</td>
<td>Initial assessment at baseline (end of year 1). Then annual.</td>
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<tr>
<th>Outcome</th>
<th>Indicators</th>
<th>Base Situation</th>
<th>Expected End Point</th>
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<tbody>
<tr>
<td>Vulnerable communities in 3 Circles and 4 Departments in Mali and Senegal improve their resilience to climate extremes</td>
<td>1. Improved resilience linked to support from DCF (disaggregated quantitative indicator KPI4)</td>
<td>Nil re: DCF support but other ongoing interventions may affect benchmark Baseline resilience assessment</td>
<td>Survey of individuals with improved resilience in relevant domains (see KPI 4 methodological note – Annex 4)</td>
<td>Understand community perception of climate change, stresses and resilience strategies employed Deeper analysis of climate challenges and intra family responses by agro zone &amp; livelihood types</td>
<td>Resilience assessments Focus group discussions</td>
<td>DCF field staff w. Animateurs</td>
<td>Baseline resilience assessment June – end Nov 2015; 7 localities Follow on 600 households by Dec 2015. Then annual (end of milestone 2 and final evaluation).</td>
</tr>
</tbody>
</table>

| 2. Use of climate information, to inform adaptation responses | Use of climate information at local authority level low | All LA are making use of climate information to inform local | Type of information judged likely to be useful; capacity for TAMD Scorecards Indicators 1 & 5 (use of climate information and DCF Field Staff with support for analysis M&E staff | Annual. | | | |
### Outputs

<table>
<thead>
<tr>
<th>Indicators</th>
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<tbody>
<tr>
<td>1. Devolved finance and planning mechanisms are established and functional in three Cercles (Mali) and four départements (Senegal) to support community-prioritized investments in public goods that build climate resilience.</td>
<td>Nil devolved climate funds. Unclear to date what part of other existing funds currently reach local level structures in target areas: 6 finance sources 6/ programme funds named in Mali; NIE expedites adaptation finance in Senegal</td>
<td>Fund placed at region level Mopti with 3 Cercle specific funds operational (Mali) Fund potentially housed within PNDL at national level with 4 funds at department level (Senegal)</td>
<td>Lessons to be drawn from current dispersal of climate funds Agreements and delivery of these As DCF are operationalized, monitor agreed performance criteria such as: * Nos. of grants * Value of awards * Duration of cycle application to completed implementation</td>
<td>Ongoing survey &amp; mapping of contexts MOU Internal monitoring system of public investments funded through DCF</td>
<td>DCF M&amp;E staff Regional fund managers; Monitored by government audit process and DCF M&amp;E Staff</td>
<td>Quarterly from start up Yr 1</td>
</tr>
<tr>
<td>1.2 Number and type of public good investments responsive to community prioritisation, demonstrating social and gender inclusion</td>
<td>Range of strategies in use to plan locally for climate adaptations Assessment of women / youth concerns &amp; inclusion in these mechanisms is made as part of in resilience assessment</td>
<td>Communities manage fund investments to implement projects. Community members, including those from more vulnerable categories, are supported within the range of public Monitor number of projects proposed, implemented. Scope community priorities Monitor the range of public goods investments Assess how effectively full</td>
<td>Monitor finalization of projects. Monitor grants made against community mapping of priorities.</td>
<td>DCF M&amp;E staff DCF staff lead commune level monitoring group to track locally</td>
<td>Quarterly from grant making start up: Yr2</td>
<td></td>
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<tr>
<td>Outputs</td>
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<tr>
<td>2. Vulnerable communities in three Cercles (Mali) and four Départements (Senegal) benefit</td>
<td>2.1 Number of people directly accessing initiatives funded by climate resilience</td>
<td>Nil by definition KPI 1</td>
<td>Numbers of communities and groups from 8 communes (Mali) and 24 (Senegal) whose members</td>
<td>KP1 monitoring How many individuals access public investments funded via DCF</td>
<td>LA M&amp;E system DCF staff</td>
<td>Quarterly from YR1</td>
</tr>
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</table>
from public good investments that build resilience and reflect community priorities

<table>
<thead>
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<tbody>
<tr>
<td>3. Evidence and learning on the effectiveness of decentralized climate finance investments to improve communities resilience is generated and disseminated.</td>
<td>3.1 Number of research/knowledge products on the effectiveness, accountability and inclusion of local adaptation strategies co-produced by consortium partners.</td>
<td>Some similar precedents: Published learning from IED Afrique; IIED publications &amp; web info on learning from Kenya/ Tanzania DCF</td>
<td>Locally relevant lessons will be identified &amp; amplified (via range of instruments to varied audience targets)</td>
<td>Which particular strategies among range of current local responses are known to improve resilience</td>
<td>Document process of setting up institutional frameworks, partnerships and modus operandi</td>
<td>DCF staff</td>
<td>Quarterly from YR2</td>
</tr>
<tr>
<td>3.2 Use and uptake of the research and evidence generated</td>
<td>To be established</td>
<td>Local and international access to learning outputs facilitated</td>
<td>What information is most accessed; and used</td>
<td>Monitoring web traffic &amp; products uptake</td>
<td>KM staff NEF &amp; IIED</td>
<td>Quarterly from YR2</td>
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<tr>
<td>4. Mechanisms and processes established for national governments to engage with locally generated evidence.</td>
<td>4.1 Number of national government institutions with senior decision makers engaged</td>
<td>In both countries appropriate national bodies endorse the project approach &amp; actively participate in national engagement</td>
<td>Advocacy by local authorities for reform of climate finance mechanisms, is shared and adopted by national decision makers</td>
<td>Targeted Advocacy campaigns and/or topics; Outcomes</td>
<td>Outputs from learning events regional level and below</td>
<td>DCF staff supported by NEF consortium KM</td>
<td>Quarterly from start up</td>
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<tr>
<td>around CC adaptation</td>
<td></td>
<td></td>
<td>Channels established for amplification of activity Replication of process in Mali and Senegal with potential for further expansion</td>
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</tbody>
</table>
• Program evaluation, outcome assessment, impact evaluation. We people made better off by attending the meetings. In what domains? In the ways you predicted ex ante? In ways that you did not predict ex ante?


Formulating the Problem.

• Issues of measurement.
  o What was the intended result of the intervention?
  o To what extent is it measurable? To assess, we need to operationalize, observe, and recognize whether the intended result is present or absent following the intervention. How can it be quantified? Can it be converted into a cash value?
  o Can go at times to things like the mission statement. The donor intent. The project proposal.
  o This is where the program management class links up with the ideas of this course.
Specifying outcomes.

• What is the response variable? What were we trying to change or have an impact on?

• What are different ways of measuring this outcome? Consider different approaches and make sure the consumers of your evaluation product are in agreement both with your definition of the response variable and the means to operationalize the question.

Measuring experimental contexts.

• Not just the experiment has happened in the time under study, but other ‘all else equal’ factors have changed as well. Need to control for this. Classic response is to have
treatment and control. In addition, not just looking at the outcome in question but other conditioning variables that may explain differential impact within the treatment group if it exists.

- How do we measure the intervention? What was the stimulus, and how can we measure the degree of the stimulus? She went to one training, he went to three, control went to none..... The extent and quality of their participation in the trainings can be measured. What if the trainers differed, and some are more effective at conveying the skill set than others? You would want to track this.

Specifying the population.

- Who is the relevant population for the treatment? How closely matched to them are the population of the control? If the control is of the same population type, why were they not treated as well?
New versus existing measures.

- To what extent do you take questions used in other surveys for similar objectives? To what extent do you adapt them to the specific context and purposes of your objective?

## PERCEPTIONS OF TENURE SECURITY

### HOUSEHOLD/WIVES SURVEYS

### FARMLAND

<table>
<thead>
<tr>
<th></th>
<th>Likelihood Scale</th>
<th>Survey Code</th>
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</thead>
</table>
| In the next 1-2 years, how likely is it that someone from within your extended family will take over the use of this field/plot without your household’s permission? | 1=Very Likely  
2=Likely  
3=Neutral  
4=Somewhat unlikely  
5=Very unlikely  
888=Don’t know  
999=Prefer not to reply | PRADD, TGCC, CFP                                                          |
| In the next 5 years, how likely is it that someone from within your extended family will take over the use of this field/plot without your household’s permission? | 1=Very Likely  
2=Likely  
3=Neutral  
4=Somewhat unlikely  
5=Very unlikely  
888=Don’t know  
999=Prefer not to reply | PRADD, TGCC                                                          |
| In the next 1-2 years, how likely do you think it is that the local government authorities will take over the use of this field/plot without your household’s permission? | 1=Very Likely  
2=Likely  
3=Neutral  
4=Somewhat unlikely  
5=Very unlikely  
888=Don’t know  
999=Prefer not to reply | PRADD                                                          |
| In the next 5 years, how likely do you think it is that the local government authorities will take over the use of this field/plot without your household’s permission? | 1=Very Likely  
2=Likely  
3=Neutral  
4=Somewhat unlikely  
5=Very unlikely  
888=Don’t know  
999=Prefer not to reply | PRADD                                                          |
| In the next 1-2 years, how likely do you think it is that private investors will take over the use of this field/plot without your household’s permission? | 1=Very Likely  
2=Likely  
3=Neutral  
4=Somewhat unlikely | PRADD, CFP                                                          |
<table>
<thead>
<tr>
<th>Question</th>
<th>Response Options</th>
<th>Source(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td>In the next 5 years, how likely do you think it is that private investors will take over the use of this field/plot without your household’s permission?</td>
<td>1=Very Likely 2=Likely 3=Neutral 4=Somewhat unlikely 5=Very unlikely 888=Don’t know 999=Prefer not to reply</td>
<td>PRADD</td>
</tr>
<tr>
<td>The boundaries of my {farmland} are clear and respected by people in this village.</td>
<td>1=Strongly Agree 2=Agree 3=Neutral 4=Disagree 5=Strongly Disagree 888=Don’t Know 999=Refuse to answer</td>
<td>PRADD</td>
</tr>
<tr>
<td>I am confident that a government/investor cannot take any of my {farmland} without negotiation and fair compensation.</td>
<td>1=Strongly Agree 2=Agree 3=Neutral 4=Disagree 5=Strongly Disagree 888=Don’t Know 999=Refuse to answer</td>
<td>PRADD</td>
</tr>
<tr>
<td>In the next 3 years, how likely do you think it is that people from a neighboring village will encroach/cross-over to use this field!</td>
<td>1=Impossible/would never happen 2=Highly Unlikely 3=Unlikely 4=Unsure/Don’t know 5=Likely 6=Highly Likely 7=Happening right now 888=Don’t know 999=Refuse to answer</td>
<td>CFP, HH and Wives</td>
</tr>
<tr>
<td>How likely do you think it is that other households within your village may try to cross-over your boundaries (step on your side) and take or use some of this field in the next 1-3 years?</td>
<td>1=Very Likely 2=Likely 3=Neutral 4=Somewhat unlikely 5=Very unlikely 888=Don’t know 999=Prefer not to reply</td>
<td>TGCC, CFP</td>
</tr>
<tr>
<td>How likely do you think it is that other households within your village may try to crossover your boundaries (step on your side) and take or use some of this field beyond 4 years from now?</td>
<td>1=Very Likely 2=Likely 3=Neutral 4=Somewhat unlikely 5=Very unlikely 888=Don’t know 999=Prefer not to reply</td>
<td>TGCC</td>
</tr>
<tr>
<td>How likely do you think it is that elites/big people may take this field without your household’s permission/agreement in the next 1-3 years?</td>
<td>1=Very Likely 2=Likely 3=Neutral 4=Somewhat unlikely 5=Very unlikely 888=Don’t know</td>
<td>TGCC, CFP, CLPP</td>
</tr>
<tr>
<td>Event Description</td>
<td>Likelihood Scale</td>
<td>CLPP</td>
</tr>
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<td>----------------------------------------------------------------------------------</td>
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</tbody>
</table>
| Please tell me how likely you think the following events/actions are:            | 1=Impossible/would never happen  
2=Highly unlikely  
3=Unsure/don't know  
4=Likely  
5=Very Likely/Happening right now  
888=Don't know  
999=Prefer not to reply | CLPP |
| Your neighbors may try to cross-over your boundaries (step on your side) and take or use some of your customary/traditional land | 1=Very Likely  
2=Likely  
3=Neutral  
4=Somewhat unlikely  
5=Very unlikely  
888=Don't know  
999=Prefer not to reply | CLPP |
| A neighboring clan will encroach and cross-over to use your community land      | 1=Very Likely  
2=Likely  
3=Neutral  
4=Somewhat unlikely  
5=Very unlikely  
888=Don't know  
999=Prefer not to reply | CLPP |
| An outside corporation or business may try to take some or all of your community land | 1=Very Likely  
2=Likely  
3=Neutral  
4=Somewhat unlikely  
5=Very unlikely  
888=Don't know  
999=Prefer not to reply | CLPP |
| Does your household ever let your farmland rest (lie fallow) to improve its future yield? | 0=No  
1=Yes  
888 – Don't know  
999 – Prefer not to respond | CLPP |
| Does your household plan on letting your farmland lie fallow/rest in the future? | 0=No  
1=Yes  
888=Don't know  
999=Prefer not to reply | CLPP |
| IF YES: How many seasons do you plan on letting it rest?                          | Number of seasons                                                                | CLPP |
| How secure do you think your household land is from encroachment/people crossing over to use the land? | 1=Very unsecure  
2=Unsecure  
3=Neutral  
4=Secure  
5=Very secure  
888=Don't know  
999=Prefer not to respond | CLPP |
Operationalizing Success / Failure.

- One basic standard is classic cost benefit analysis for an efficiency answer to the question. Do the discounted sum of benefits outweigh the discounted sum of costs?
- But what if the outcome is not easily translated into cash terms? The training improved children’s test scores by 15%. So what is that worth? At times, you could look at different programs and consider the least cost way of making a given increase in test scores happen?
- As something that is obvious, but potentially overlooked, make sure you include indicators of what the planning documents of the program said they were trying to do. You need to orient yourself to the planning documents of the program to make sure you understand and measure what they said they were trying to accomplish.

Types of Evaluation Research Designs.

Experimental Designs.

Assign subjects randomly to a treatment group and a control group.

Survey baseline.

Apply stimulus.

Survey repeat.

Quasi-experimental designs. Not a pure experiment, but there is something in the nature of it that you can make it ‘like’ an experiment.

Time series. Return to the idea of ‘before’ and ‘after’ and the contrast to ‘with’ and ‘without’.

Add in the idea of a ‘nonequivalent’ control group. This is a control that is not part of the study. You try to make it ‘similar’ to the treated population. It is not created as a random sample. It is deliberately selected to be like your treatment sample.

Multiple time series designs. Use more than one set of time series data and contrast the patterns seen in the different data sets. There should be something comparable that makes contrasting the patterns informative.

Figure 12-3.
Note how hard it is to avoid ‘contagion’.

Qualitative evaluation. Sometimes talking to people in depth gives you insight into things you would not get otherwise. The narrative explains things and how they connect.

Quantitative and qualitative often connect and complement each other. You find a pattern in the data from the quantitative side and you interpret it through a qualitative discussion.

Problems encountered in evaluation research.
Logistical problems.

Nobody has a population list to sample from. People move. People refuse to cooperate. You can’t get permission to run the survey. Your starting sample size was fine but by the time you get to the evaluation you have too few.

People don’t like getting evaluated. It is not in their interest. They may send all the lowest performers your way to undermine your research. They may send all the highest performers your way to influence your findings.

Uses of evaluation findings.

People have agendas. The findings will influence what is expanded, reduced, terminated. Officials, NGO workers, all kinds of people have agendas that are going to be influenced by the findings / have reasons to ignore, undermine, sabotage.
Social Indicators Research.

Monitoring aggregate statistics that are reported at the population level. Birth rates, death rates, total fertility rates, maternal mortality rates.....

Computer simulation. Can start building models with larger data sets and simulate interventions and outcomes. Appeal to large quantitative data and do ex ante simulation to predict impacts.

http://www.awhere.com/
https://esoko.com/

Ex ante impact evaluation as a larger idea; survey people who know something about a topic to see what they think will have the biggest impact. Can use this to prioritize and allocate funding.

Ethical issues

The treatment may be controversial.

There may be pressure on ‘treatment’ sample members.

They may not have an opt out option if the treatment is at a community level.

Biased impact evaluations may fit into somebody’s agenda