

## SESSION 4

Evaluation phases

Evaluation Methods and methodology

# Phases of an Evaluation process

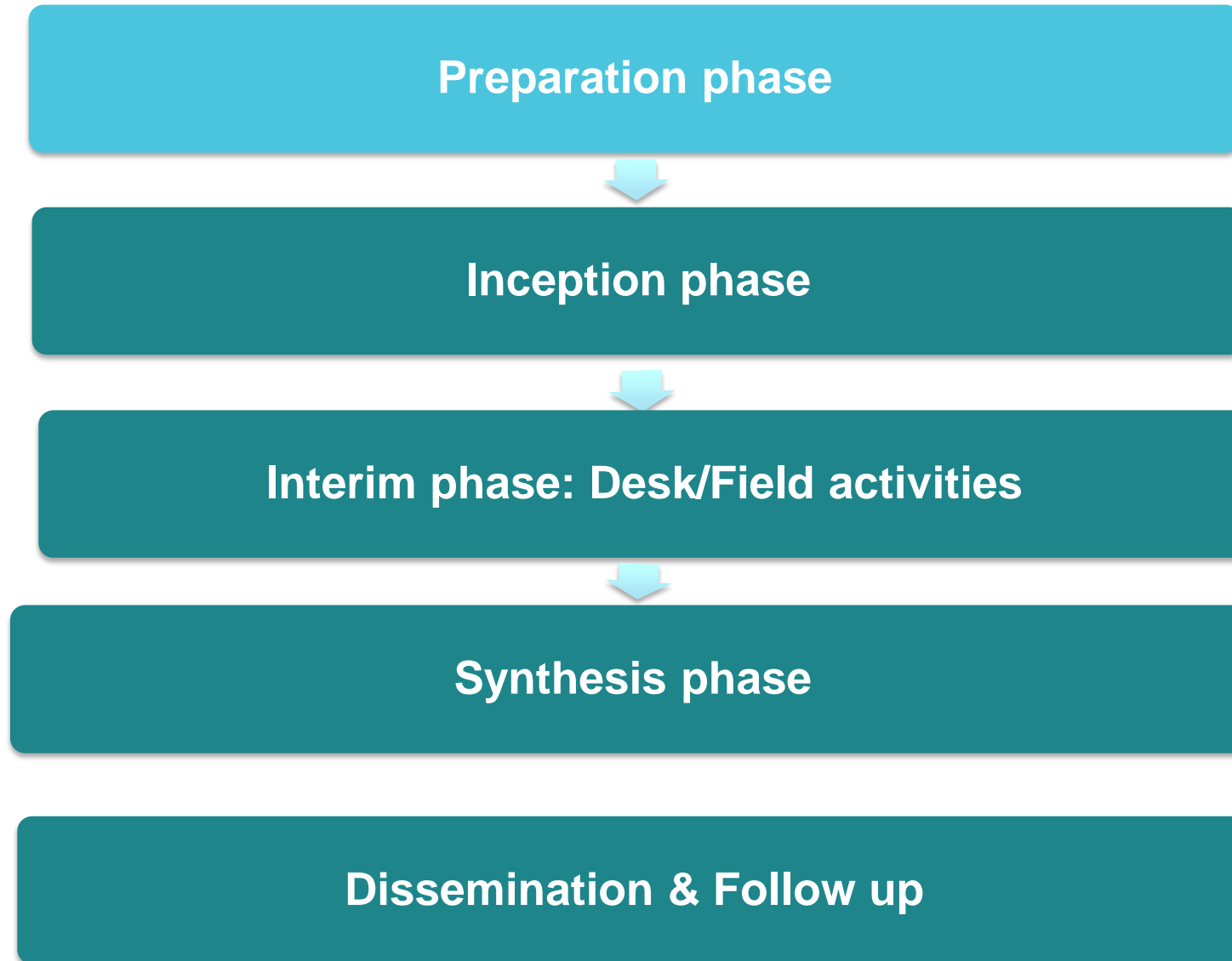
*Preparation*

*Interim (Desk and Field activities)*

*Synthesis*

*Dissemination and follow up*



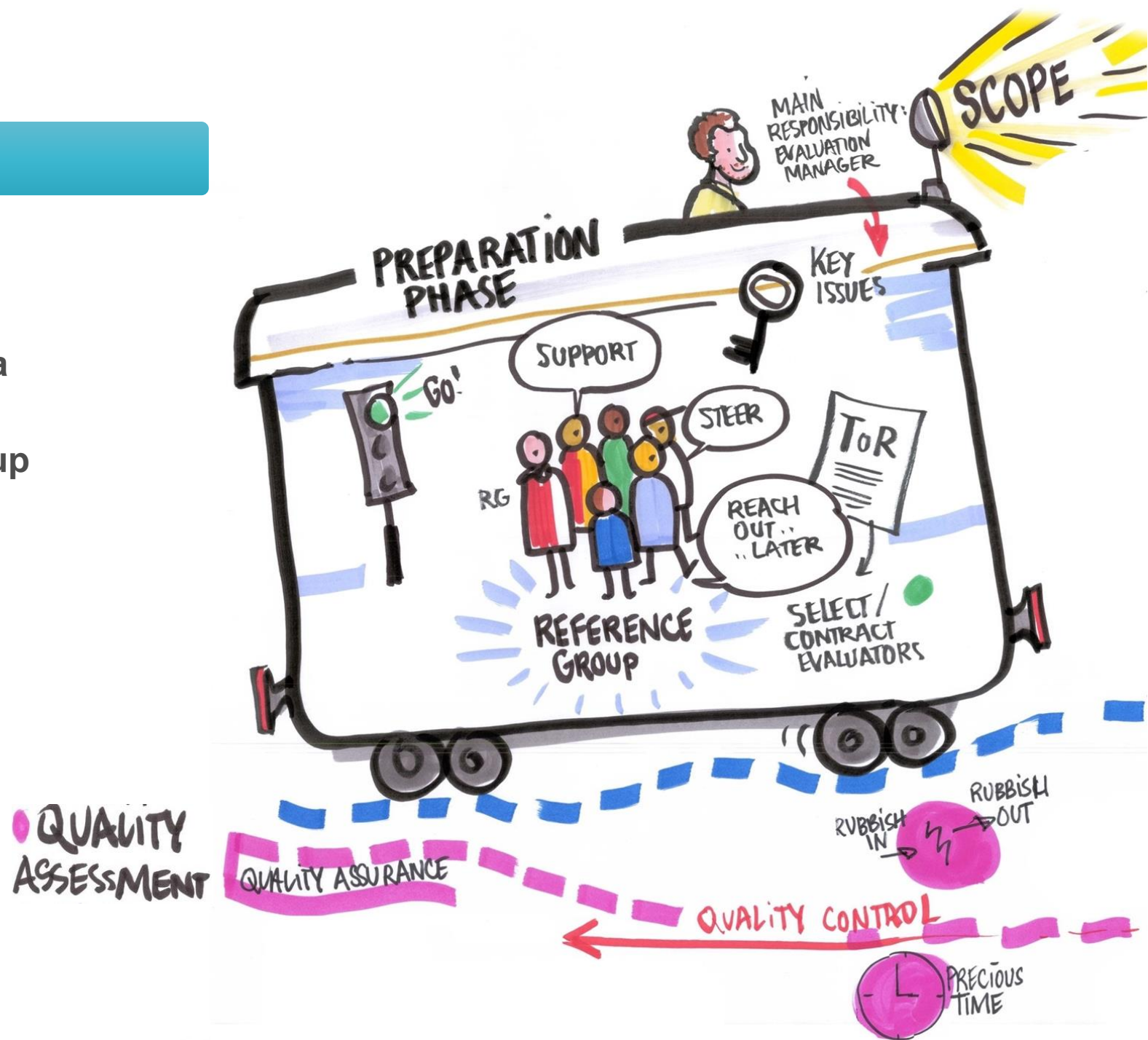


**Pilot the process  
with flexibility!  
e.g. merge phases**

## Preparation phase

- Green light to conduct an evaluation
- Carrying out **preliminary data collection** on the project
- Setting up the **reference group**
- Defining **key issues**/drafting the **evaluation questions**
- Consolidating the **ToR**
- **Selecting & contracting evaluators**

*Main  
responsibility:  
Evaluation  
Manager !*

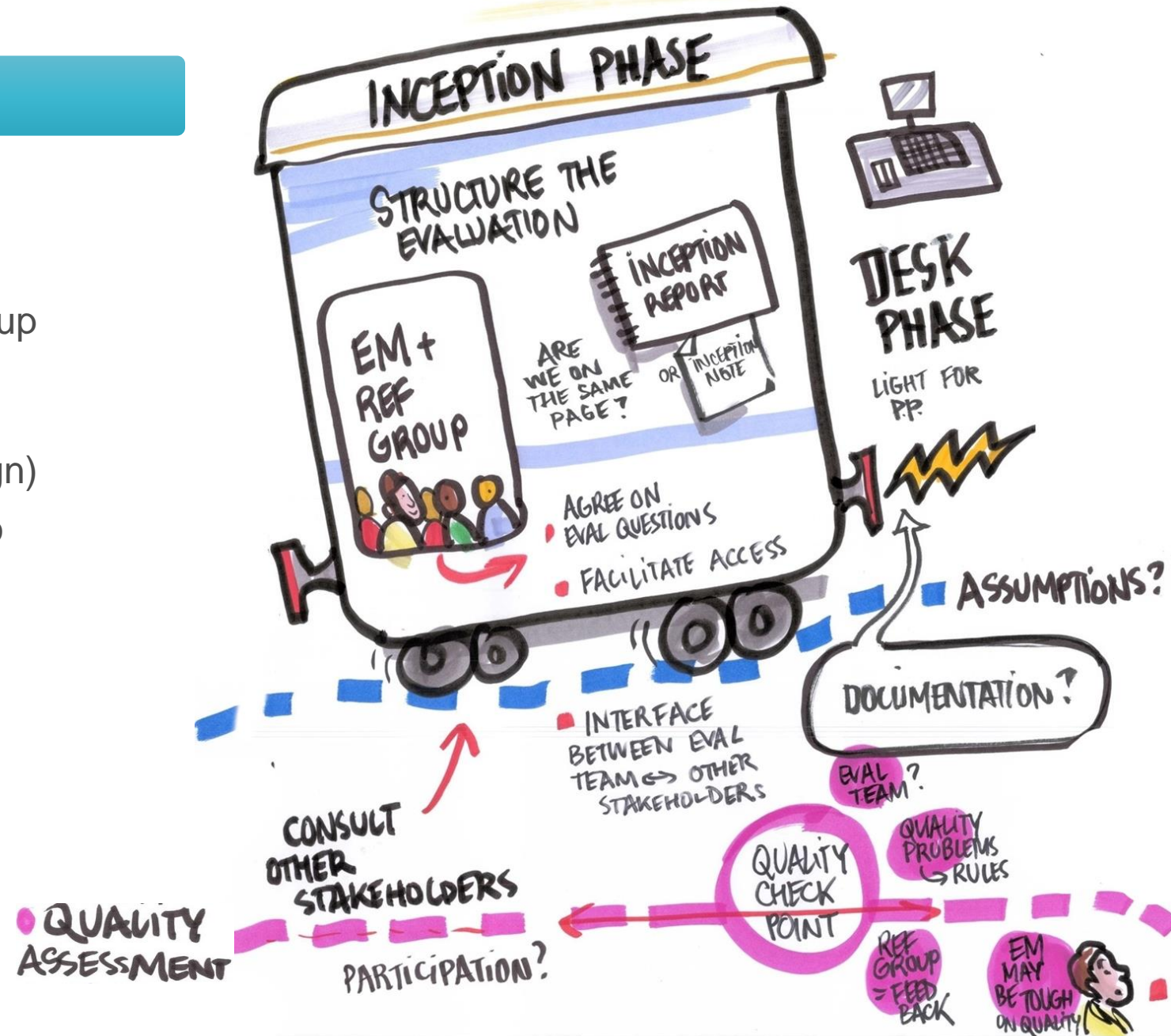




## Inception phase

- **Kick off meeting** (evaluators & reference group)
- Evaluators propose, reference group validates
- **Detailed** methodology – tools and work programme (evaluation design)
- **Evaluation** questions according to ToR and project intervention logic
- Main output: **inception report**

Decision on the whole structure of the evaluation

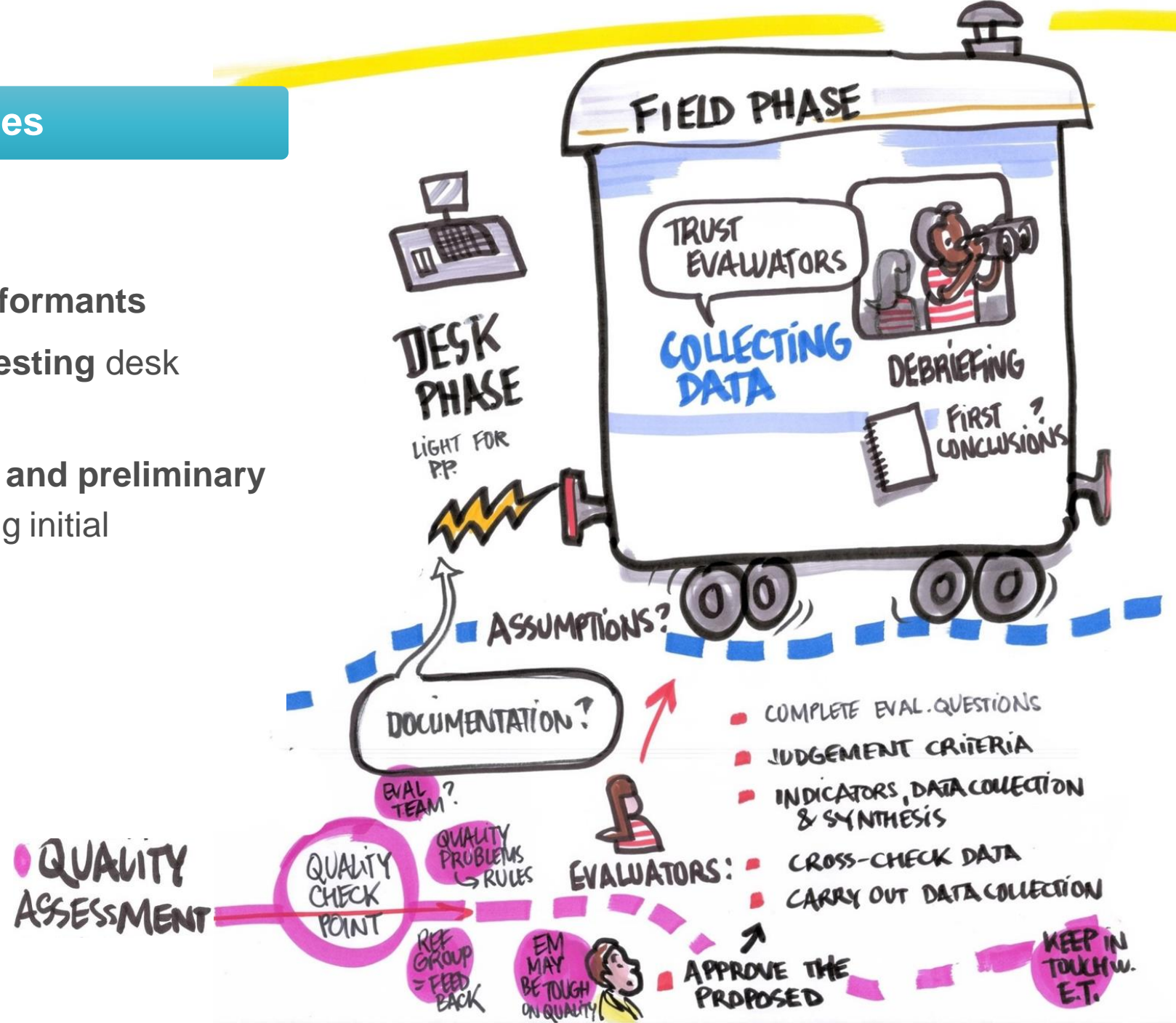


## Desk activities

- **Researching and analysing** available documentation
- Providing **preliminary answers to evaluation questions**, specifying indicators
- Identifying initial **assumptions to be tested** in the field
- Refining/validating a proposed **field methodology** (work plan for data collection and analysis)
- Arranging **logistics for field phase including seeing up meetings**
- Drafting a **desk phase report** (optional, rare for projects)

## Field activities

- Meeting stakeholders/informants
- Collecting data in situ, testing desk phase assumptions
- Debriefing on field work and preliminary conclusions, summarising initial reactions/discussions

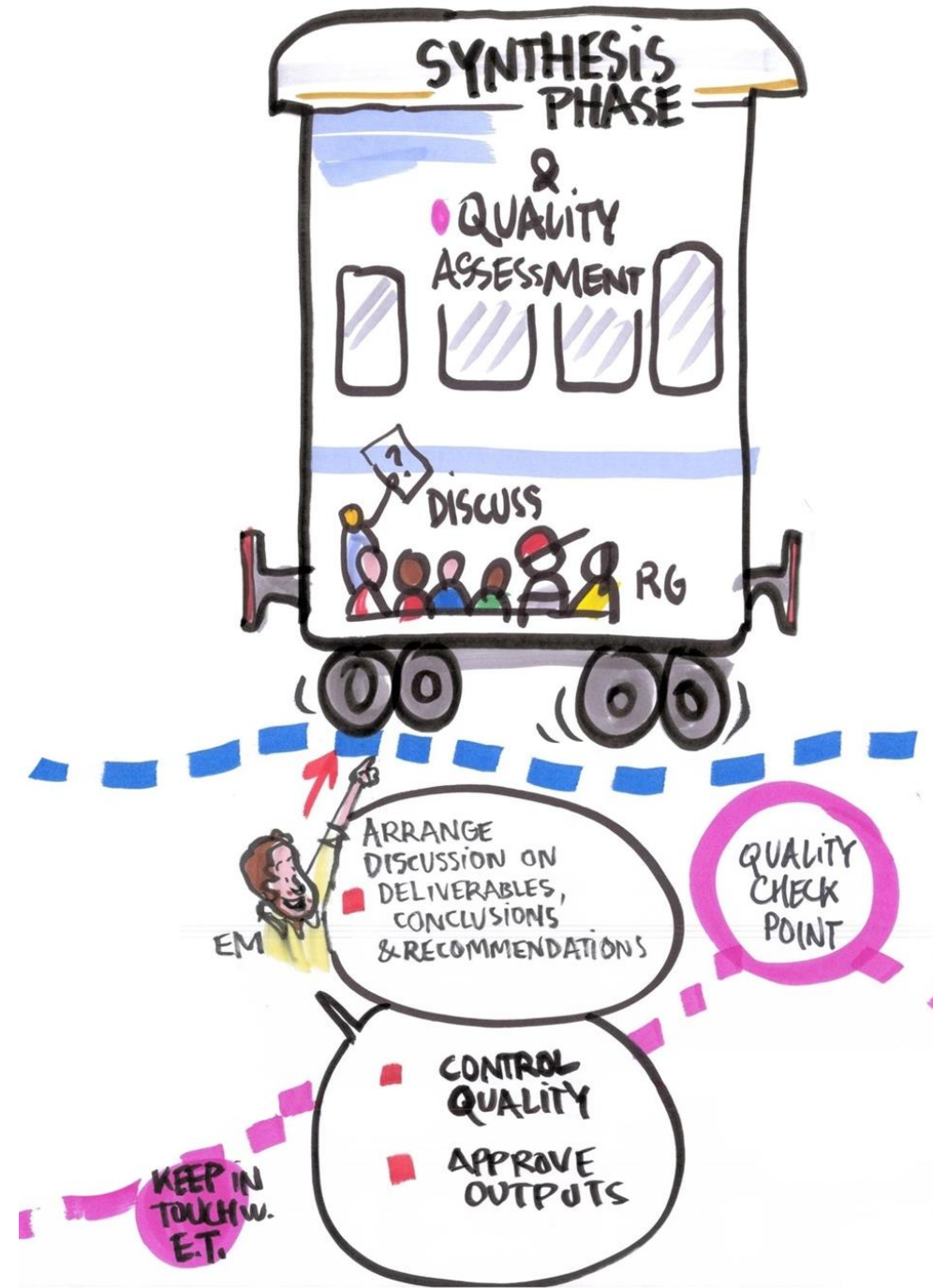




## Synthesis phase

- **Draft final report** with finding, conclusions, recommendations & executive summary
- **Discussion** on draft report
- **Revision** of final report
- **Validation** of final report
- **Quality assessment grid** on EVAL

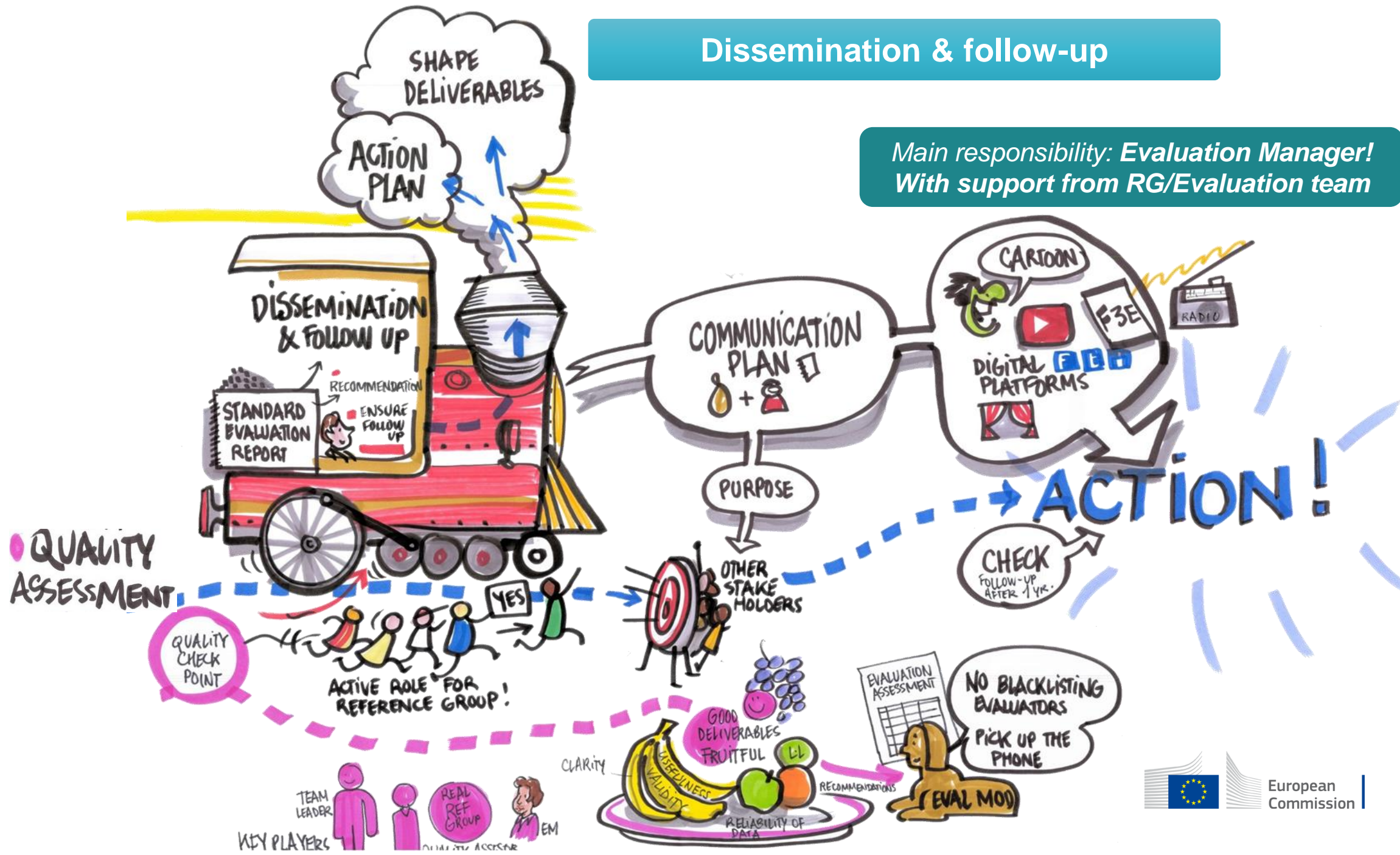
• QUALITY  
ASSESSMENT





## Dissemination & follow-up

Main responsibility: *Evaluation Manager!*  
With support from RG/Evaluation team



# Main evaluation deliverables

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- **Number, type and format** of the deliverables are **defined in the ToR** (or during the inception meeting at the latest!)
- For larger evaluations 3 reports are usually requested: inception report, desk report, final report + executive summary (in a format defined by EVAL; this helps to easily draw conclusions, recommendations for global analysis, meta evaluations etc... Sometimes an interim report (after field) or ppt.
- For small project evaluations: methodological note included in the initial offer, inception report and final report + executive summary
- Deliverables can take many shapes and forms eg: a report, a note, presentation slides, videos...



# Evaluation Methods – Session Outline

## *Attribution vs. Contribution Analysis*

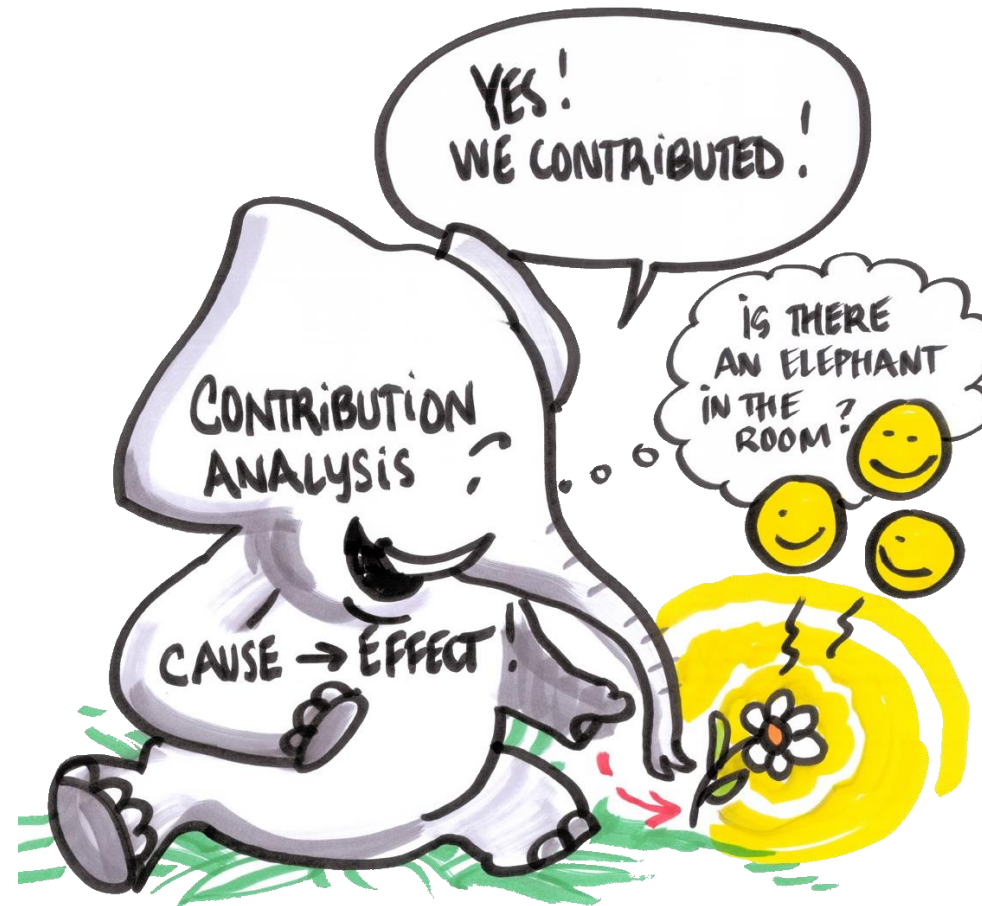
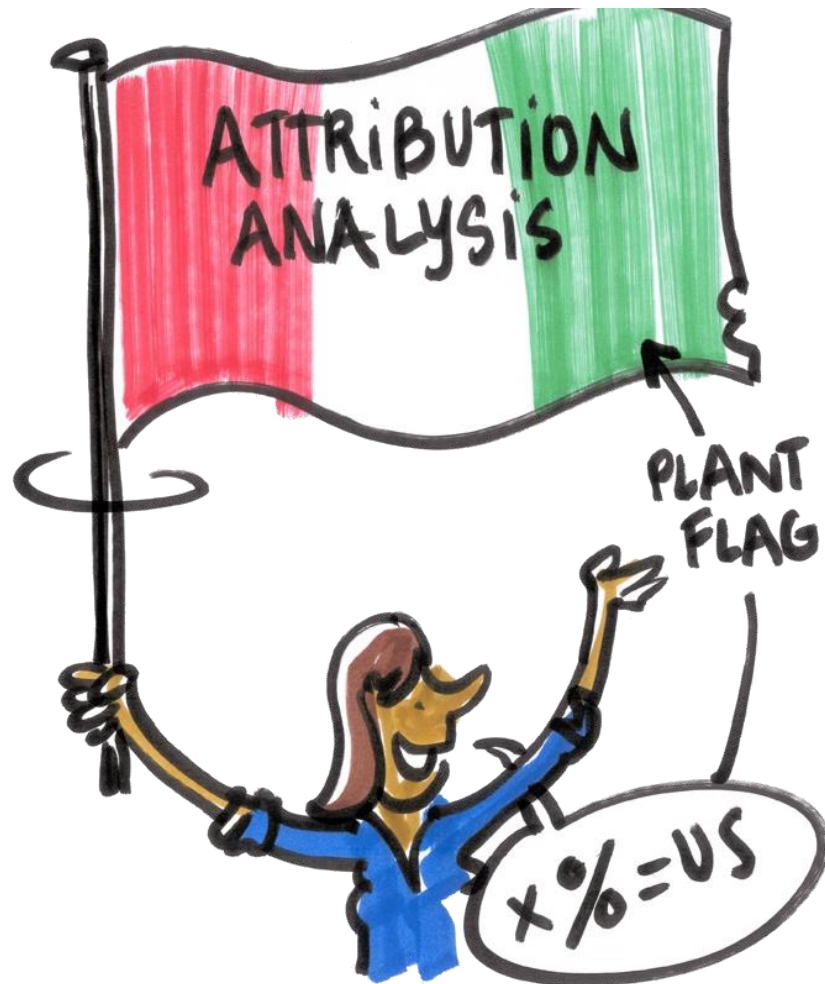
### *Evaluation criteria, evaluation questions, judgement criteria and indicators*

- *Evaluation questions*
- *Judgement criteria and indicators*
- *From evaluation questions to indicators*





# Two main evaluation strategies - attribution analysis and contribution analysis



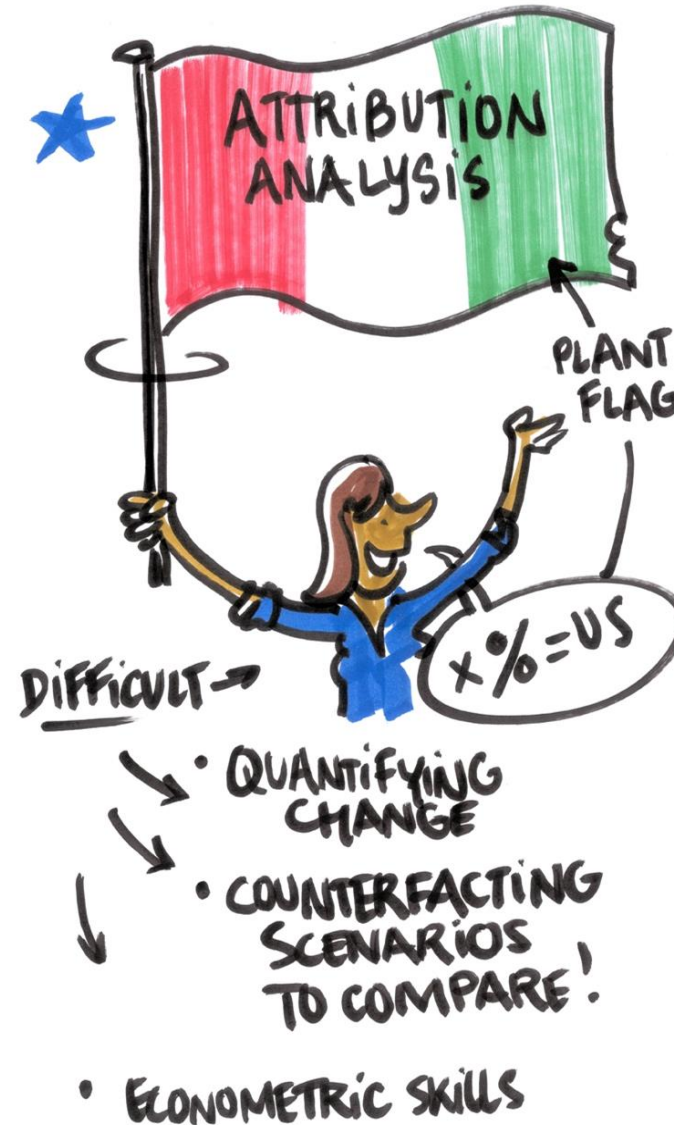


# Two main evaluation strategies - attribution analysis and contribution analysis

		Attribution analysis	Contribution analysis
Objective		Assess the proportion of observed change arising from the intervention	Demonstrate whether or not the evaluated intervention is one of the causes of observed change (cause –effect)
	Process and methods	Building a counterfactual scenario and comparing	Using chains of logical arguments verified through a sound confirmatory analysis

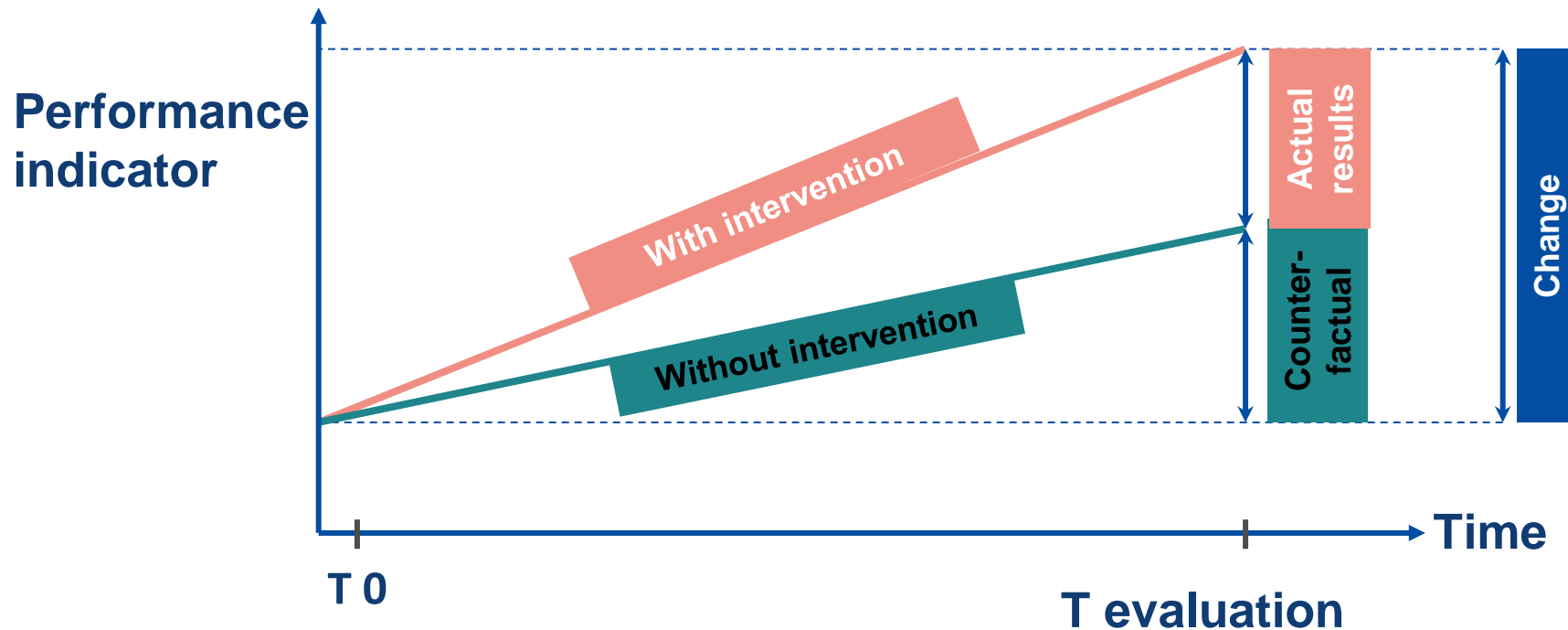
# Attribution Analysis

- Often sought by EC evaluation managers
- However difficult to conduct in most INTPA evaluations



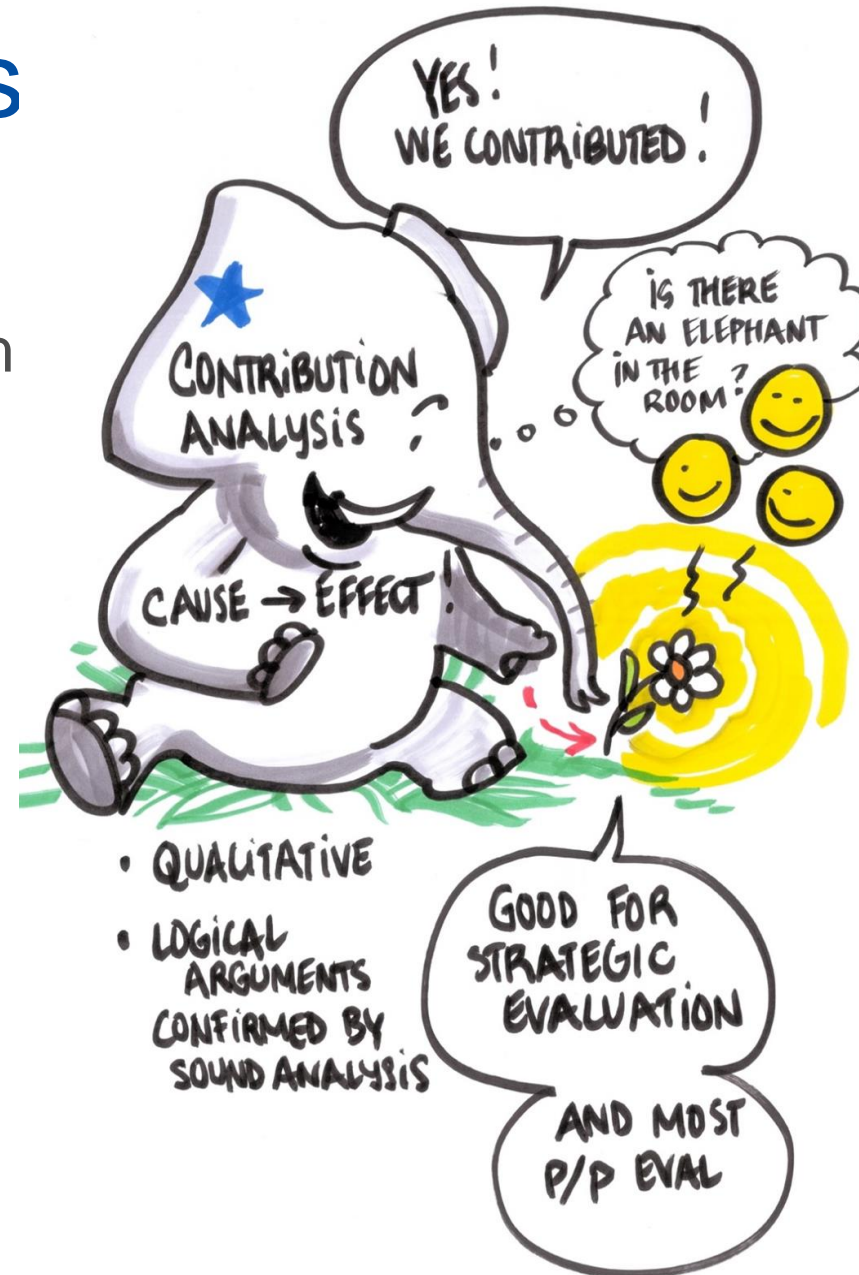
# Attribution Analysis – Building a Counterfactual

- Use comparison groups or modelling techniques
- Subtract the “without intervention” estimate from the “with intervention” indicator value to assess the impact



# Contribution analysis

- Most frequent method
- But requires structured approach for robustness and validity of conclusions





# Contribution analysis – developing a chain of reasoning

Refining cause-and-effect chains (intervention logics –expected effects)

Gathering evidence related to the intervention

Gathering evidence related to other explanations

Developing a step-by-step argumentation

Submitting the reasoning to systematic criticism – confirmatory analysis

- **Test the soundness & credibility of findings**
- **Distinguish actual effects from the observed change**

# The 6 DAC Evaluation Criteria



# The 6 DAC Evaluation Criteria

## Impact

**Impact:** extent to which the intervention has generated or is expected to generate positive or negative, intended or unintended, higher-level effects?

## Outcome

**Effectiveness:** extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups

## Output

**Efficiency:** extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way

## Activities

## Means / Inputs

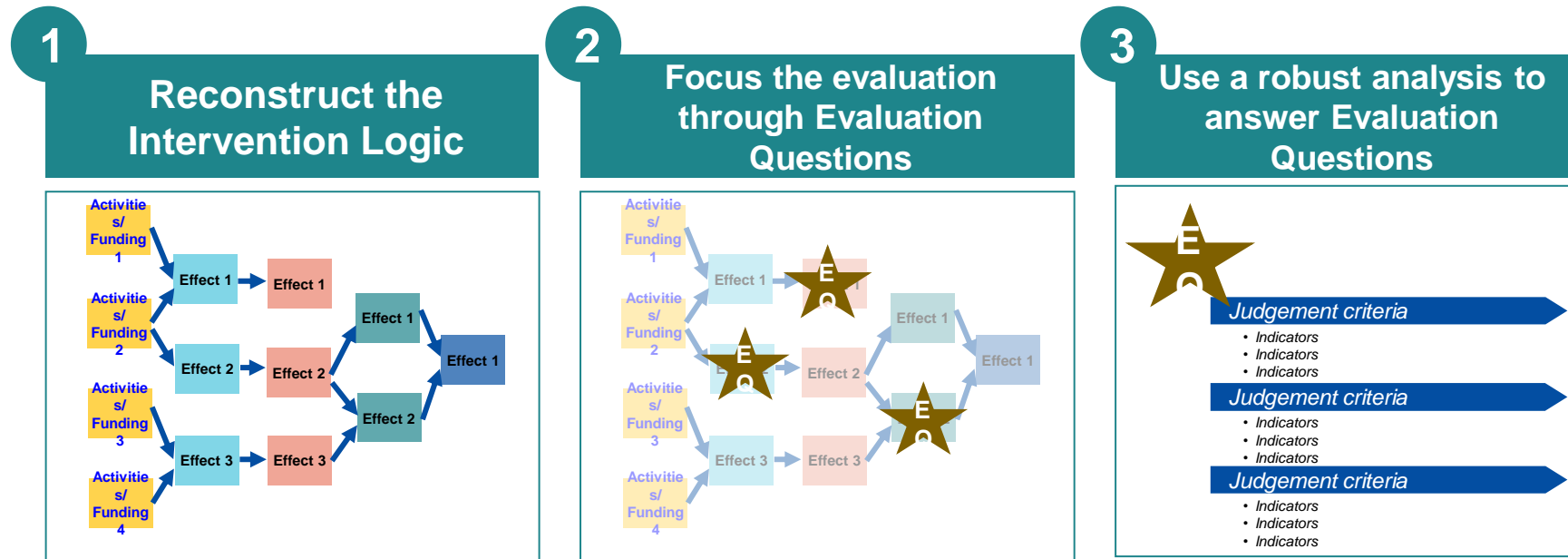
**Relevance:** *extent to which the intervention objectives and design respond to beneficiaries', global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change*

## Context Analysis: Problem/Need

**Coherence:** *the compatibility of the intervention with other interventions in a country, sector or institution*

**Sustainability:** extent to which the net benefits of the intervention continue or are likely to continue

# The three key steps in the methodology

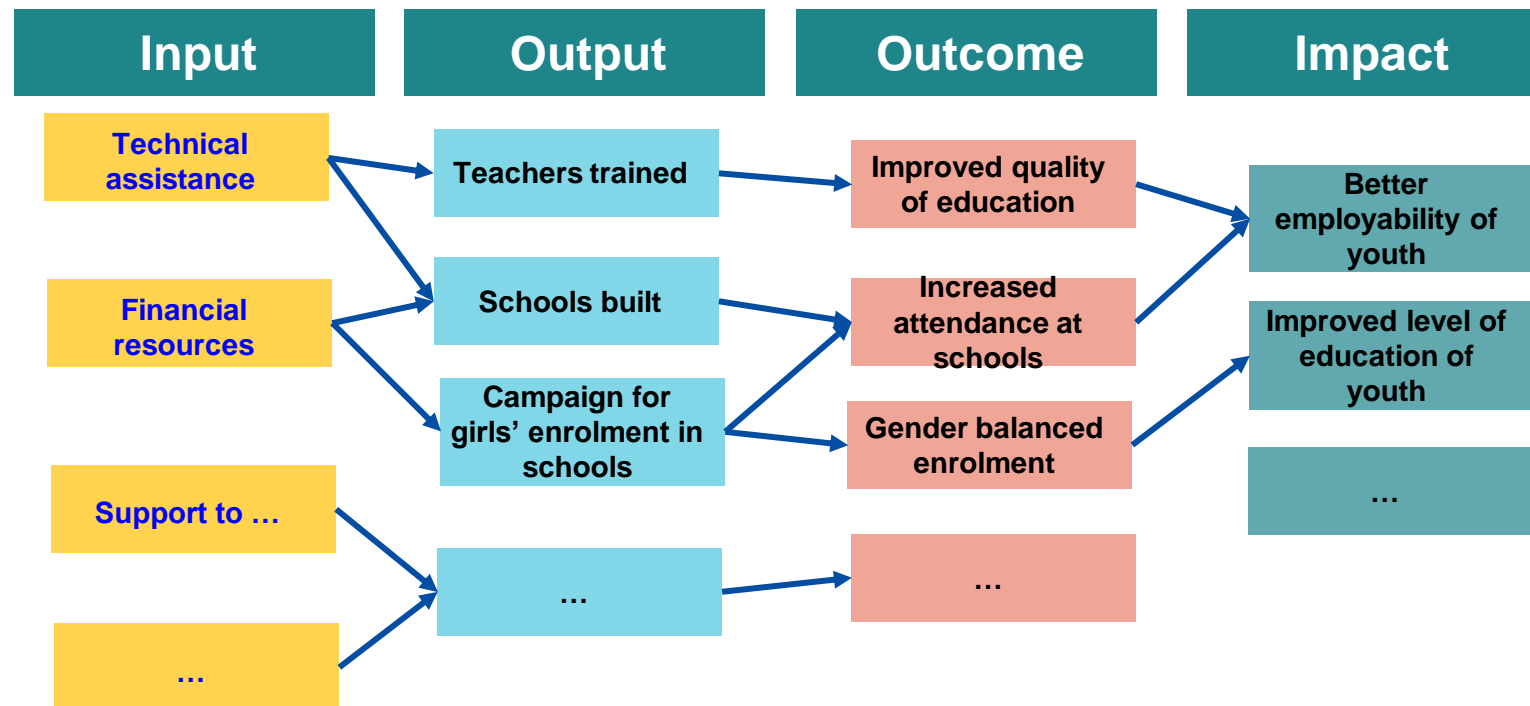


**Relevant & robust  
conclusions and  
recommendations**



# (Reconstruction of) the Intervention Logic

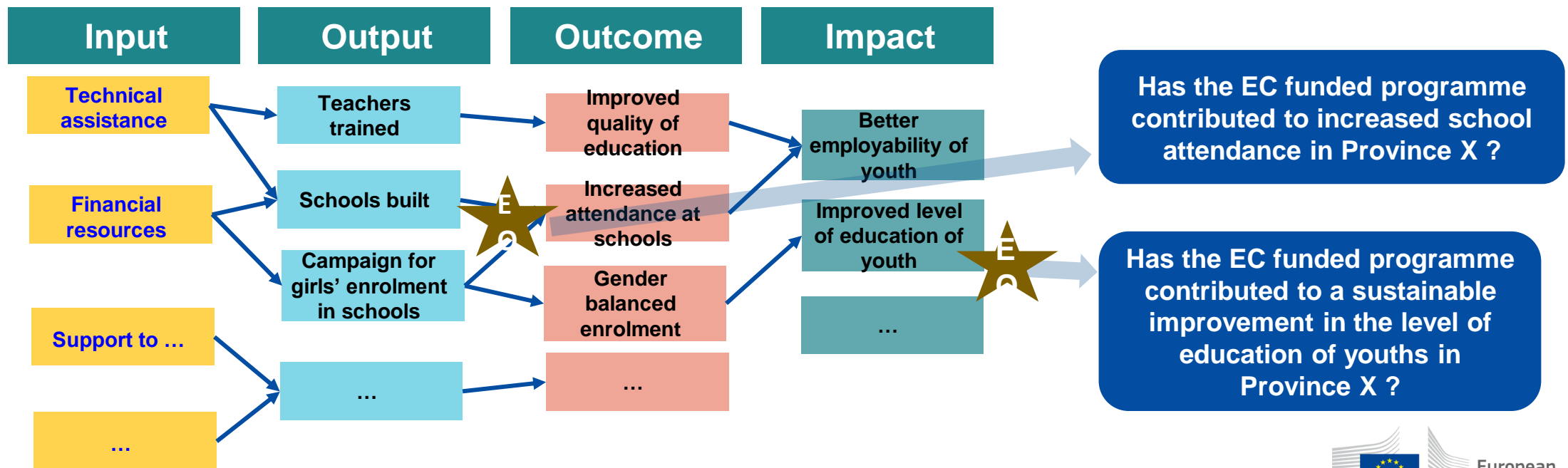
- **Definition:** presentation of all **activities** and **expected results** and cause-and-effect targeted relations in the context of the intervention
- **Aim: clarify objectives** by ordering expected effects in a structured/hierarchic way and analysing/**assessing the coherence of the intervention**



This is why contractors need the logframe in the ToR!!! Now ANNEX 1

# Focus analysis through evaluation questions

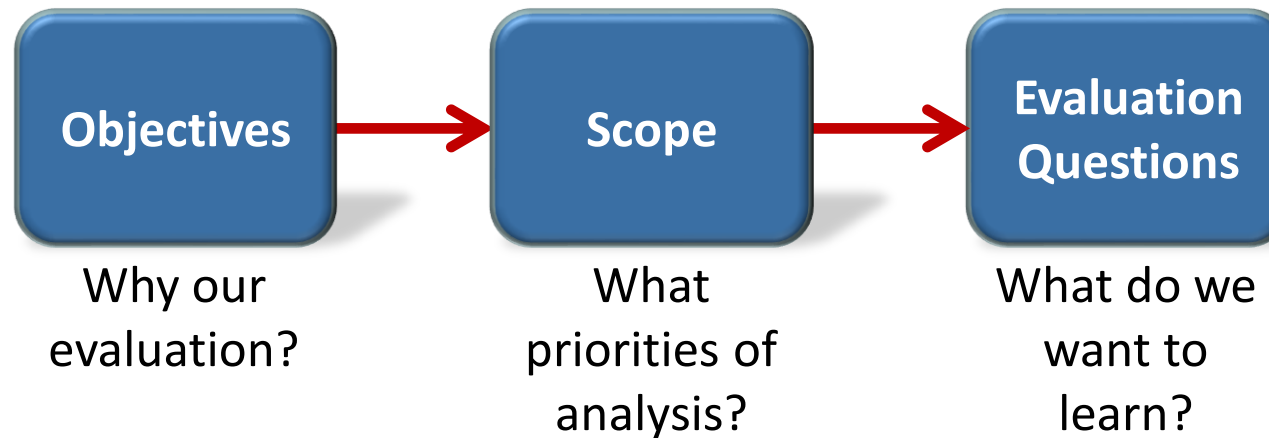
- **Definition** : evaluation questions guide the evaluation process by underlining priority issues (FOCUS)
- **Origin**: questions derive from (i) intervention logic; (ii) the specific needs of the evaluation; (iii) concerns (policy makers, other stakeholders)



# Formulation of the Evaluation Questions<sup>1</sup>

Start from your needs: why do you need this evaluation, what do you want to learn?

Be curious, be specific (*every evaluation is unique, copy/pasting between evaluations does not work*)!



Involve the Reference Group members in the definition of the Evaluation Questions.

# How to choose the evaluation questions?

1

- Establish a **preliminary list** of questions based on: Intervention Logic, DAC criteria, initial needs and key issues

2

- Assess how and by whom the **answer** will be **used**
- Check that the **answer** will be **delivered on time** to be useful
- Check that the **answer is not known** already (previous evaluations...)

3

- Check that the **answer** is likely to be **robust enough** (feasibility - « evaluability » - key to obtaining a sound and accurate answer)

4

- **Discuss the choice of questions with RG** - EQs must be agreed with the RG - ideally before finalising the ToR (if not possible, during approval of the Inception Report).

5

- Choose and consolidate questions as **impartially** as possible



# TIPs for formulation of the EQ (in ToR)

- Ensure consistency among the evaluation objectives (chapter 2.1, where you defined why you need this evaluation), its scope (chapter 2.2.1, where you defined your priorities of analysis) and the EQ.
- Avoid excessively generic formulations; tailor the EQs to the specificities of the intervention(s) to be evaluated.
- Construct clear hypotheses to be tested by the evaluation (e.g. how and to what extent does the provision of electricity in the community X impact on gender equality?).
- If possible, relate the EQ to available evidence (e.g. to what extent and how does the 30% increase in children's participation in sporting activities, as referenced in the document X, contribute to higher school performance?).
- If possible, address a known gap (e.g. as a follow-up to previous question, you could add 'when answering the question, the team will assess whether and how gender/minority/income differences affect participation and school performance).

# Evaluation questions – balanced coverage of intervention logic and criteria

- Enable the formulation of **an overall assessment** by covering the **various levels of the intervention logic** and the **criteria** in a **balanced way (not necessary to cover all DAC criteria – but justify)**
- EQs can also be organised by other criteria: by transversal areas, by thematic areas (management and governance, partnerships, complementarity..)

OECD/DAC and EU criteria	Examples of Evaluation Questions
Relevance	How does the intervention presently respond to the needs of the Ministry for Transport?
Efficiency	To what extent have the outputs been produced/delivered in a cost-efficient manner?
Impact	To what extent has the intervention contributed towards reinforcing regional integration?
Added Value	To what extent does EU intervention in the tourism sector add value to what MS are doing?
Coherence	How coherent is the intervention with other EU actions in Country X

# From the evaluation question to the indicator

## Evaluation question

- stems from the intervention logic
- relates to a category of evaluation criteria

## Judgement criterion

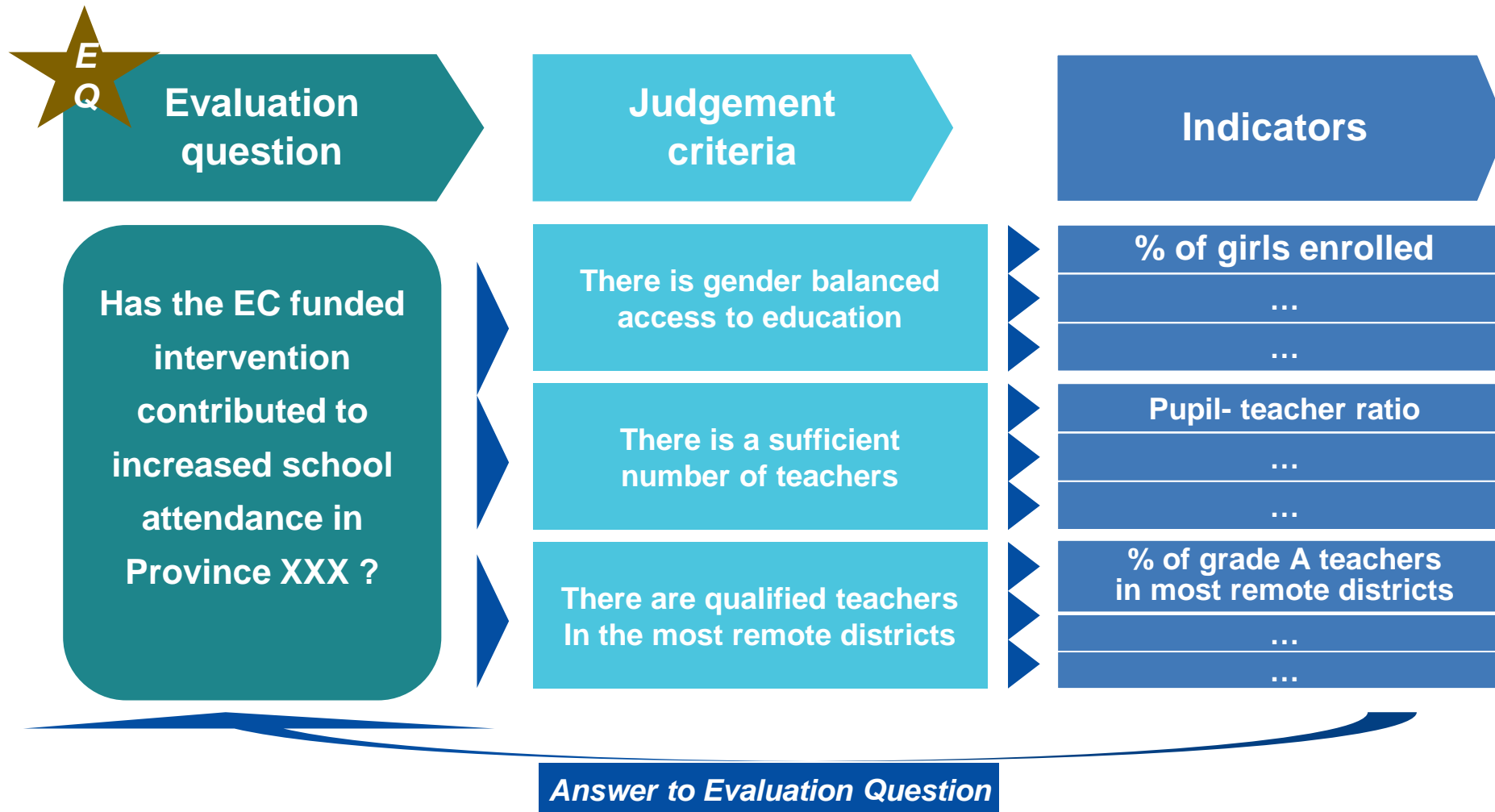
- derives from the evaluation question
- focuses on key points and shows the type of performance to be evaluated

## Indicator

- derives from the judgement criterion
- describes in detail the information required to answer the question



# Analysis through Evaluation Questions, Judgement criteria and Indicator cascade



# Judgement criteria

- **Inform on how to judge**, not on what is judged
- **Specify** an aspect of the **merits or successes** of the evaluated P/P
- **Help avoid subjectivity**
- **Structure the answer** to a question (targets, indicators, nature of data, type of analysis)
- Guide the evaluation team on how to **answer the evaluation question**, after having collected and analysed all relevant data



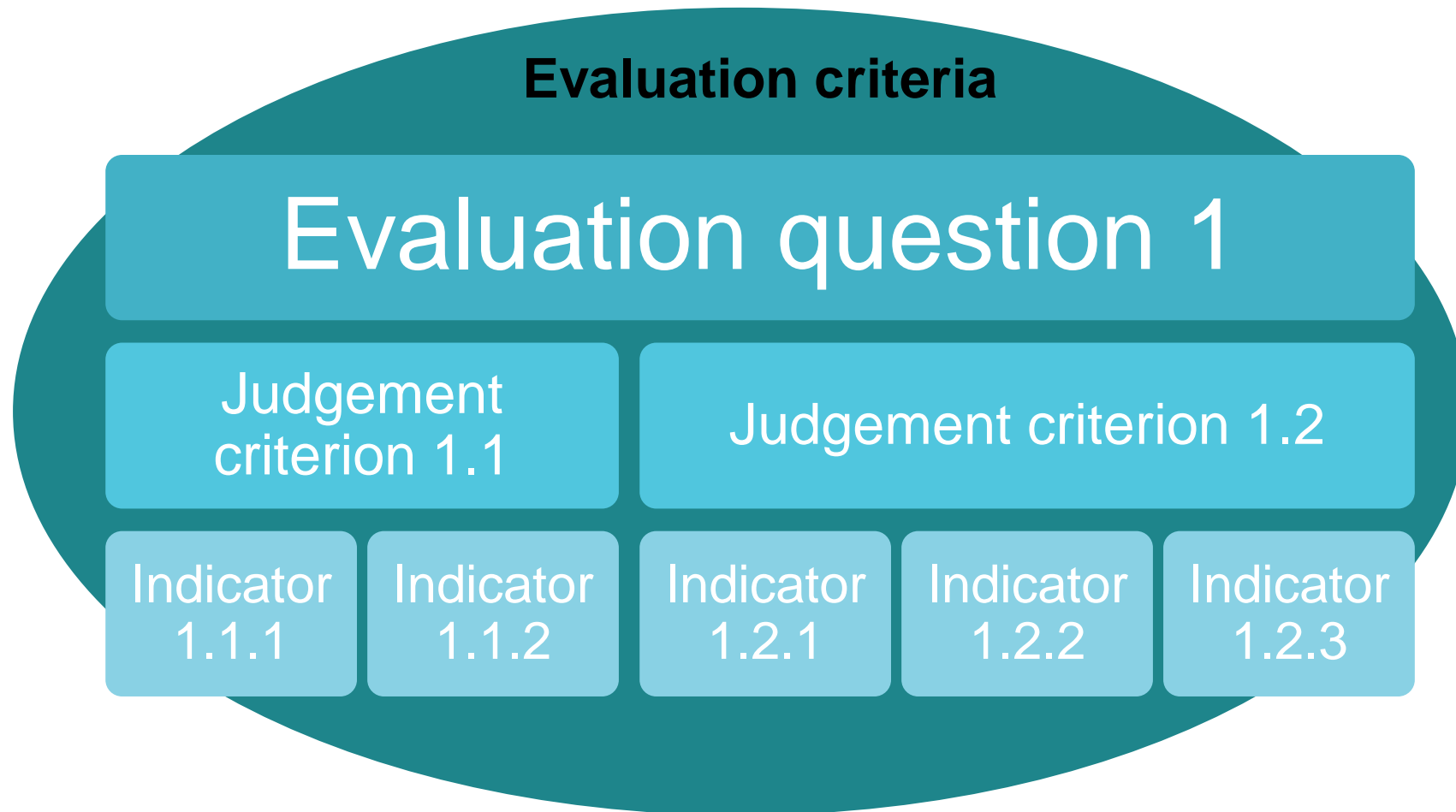
# Evaluation indicator

- **Accurately measures or qualifies the judgement criterion** or the type of information to be collected/analysed
- **Provides accurate and non-ambiguous information** understood in the same way by all evaluators and users
- Is **sensitive to changes** in observed reality
- **Results from the RACER approach** for data collection (Relevant – Accepted – Credible – Easy – Robust)
- May be **quantitative or qualitative**
- May be based on the LFM indicators, but not only

# Support tool for designing evaluation questions

<b>Question</b>	Text of the question (1 design table/question)
<b>Comment</b>	Why the question was asked?
<b>Scope</b>	What does the question cover?
<b>Judgement criteria</b>	How will the merits or successes be assessed?
<b>Indicator(s)</b>	What data will help assess the merits or successes?
<b>Target(s)</b>	Which level or threshold is to be qualified as a success?
<b>Planned chain of reasoning</b>	Planned chain of reasoning for answering the question: Informing on indicators, analysing information, formulating judgements
<b>Analysis strategy</b>	Type(s) of analysis to be undertaken?
<b>Investigation areas</b>	Level at which data will be collected and analysed
<b>Tools and sources of information</b>	Where will the data come from?

# Overview in a key tool: the evaluation matrix





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