



Resource Guide on EVALUATION

The Resource Guides constitute a continuously evolving project initiated by the Institutional Learning and Research Division (ILR) to enable SFCG staff to quickly and easily access and review a selection of practical and useful resources. Therefore, it is not meant to be a comprehensive bibliography. We welcome contributions of resources to ILR (ilr@sfcg.org).

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Introduction

There is no single “correct” way to do an evaluation. Many frameworks, methods, and approaches exist, and the appropriate one should be selected based on the specific needs and situation of the program or project being evaluated. This guide contains resources introducing evaluation (what, why, and basic how), as well as resources describing some of the major approaches to evaluation. Evaluation is generally discussed in connection with monitoring, planning, and indicators, so many of the resources included also discuss these related topics. However, all were chosen because of their strong coverage of evaluation.

Evaluation is generally defined as a structured process of inquiry that aims to measure the results of a project or programme on its environment in comparison to the original situation and relative to the goals and objectives of the project or programme. There are several major elements to consider in planning an evaluation:

1. **TIMING**—when will you evaluate? A **formative evaluation** occurs during a project’s lifetime when changes can be integrated into the on-going project, and a **summative evaluation** occurs at the end of a project.
2. **EVALUATOR**—who will conduct the evaluation? Evaluation can be conducted **internally** or by an **external** evaluator. In this case, how will your project team manage the evaluation?
3. **DATA**—will the evaluation be based upon **qualitative** (interviews, observations, etc.) or **quantitative** (statistics, percentages, etc.) data?
4. **METHOD**—how will data be collected? Evaluation methods generally include **focus groups & interviews, document review, surveys, and observations.**
5. **APPROACH**—what are the general concepts and principles that will guide the design and implementation of your evaluation? The main approaches to evaluation are **participatory, utilization, action, and empowerment** evaluation.
6. **FOCUS**—will your evaluation focus on assessing **process, outcomes, or impact?**

*****MUST READS*****

1. *Evaluation: A Beginner’s Guide* by Amnesty International (page 2)
2. *Taking Stock: A Practical Guide to Evaluating Your Own Programs* by Horizon Research (page 2)
3. *The Community’s Toolbox: The Idea, Methods, and Tools for Participatory Assessment, Monitoring and Evaluation in Community Forestry* by D’Arcy Davis Case (page 5)

I. General Materials

Materials listed here provide basic overviews of what evaluation is, why it's important, and very generally how to plan and conduct it.

- 1. Title:** *Evaluation: A Beginner's Guide*
By: Amnesty International (1999)
Language: English
Description: 20 pages. This guide provides a concise and accessible overview on how to conduct a project evaluation. Easy to follow and relatively short, this is an ideal beginner's overview to who, what, why, and when, and the how of evaluation. It makes recommendation for reporting on evaluations, provides an evaluation checklist, and includes a sample evaluation.
Topics:

 - Internal v. external evaluation
 - Why evaluate
 - Types of survey questions
 - Methods (document review, focus groups, surveys, interviews)

Location: <http://web.amnesty.org/library/print/ENGPOL320031999>
- 2. Title:** *Taking Stock: A Practical Guide to Evaluating Your Own Programs*
By: Sally Bond, Sally Boyd, Kathleen Rapp—Horizon Research, Inc. (1997)
Language: English
Description: 93 pages. A clear, easy-to-read manual for teams intending to evaluate their project/program *internally*. Originally intended for community-based organizations that work with children, this resource explains why evaluation is important, how to frame it, how to define goals and objectives, and what kind of data to collect and how, and how to interpret the results. Also provides an illustrative case study and a sample evaluation report. Good balance between easy navigation and thoroughness.
Topics:

 - Internal evaluation
 - Why evaluate
 - Data types (qualitative v quantitative)
 - Methods (document review, observations, interviews, surveys)
 - Results interpretation

Location: <http://www.horizon-research.com/reports/1997/stock.pdf>
- 3. Title:** *CIVICUS Toolkit for Monitoring & Evaluation*
By: Janet Shapiro, CIVICUS (2002)
Language: English
Description: 50 pages. Accessibly written, this is an easy-to-read but thorough introduction to evaluation (and also to monitoring). This toolkit is aimed at the practitioner and is helpful for anyone wanting to plan, designs, or implement an evaluation. Includes a fieldworker report template, a sample outline for an evaluation report, and a “shopping list” of methods for collecting data.
Topics:

 - Why evaluate
 - What to evaluate (process v. product)
 - Evaluation planning/design (indicators, who to include, terms of reference, key questions)
 - Data types (qualitative v. quantitative)
 - Methods (case studies, observation, diaries, critical incident analysis, structured questionnaires, interviews, surveys, statistics review)
 - Internal v. external evaluations
 - Evaluation follow-up (reporting, learning from results, actioning results, dealing with resistance)

Location: <http://www.civicus.org/new/media/Monitoring%20and%20Evaluation.doc> (Word),
<http://www.civicus.org/new/media/Monitoring%20and%20Evaluation.pdf> (pdf)

4. **Title:** *UNDP Handbook on Monitoring & Evaluating for Results*
By: United Nations Development Programme
Language: English, French, Spanish
Description: UNDP's framework for evaluation. Contains good "how to" information about the evaluation process, as well as on the use of evaluative evidence for learning. Straightforward, useful, and thorough with bullet-pointed content, tables, and quick-reference text boxes. Also contains thorough coverage of monitoring using the same framework. Note that some of the handbook's language and guidelines are specific to UNDP and may not be applicable to non-UNDP evaluations.
- Topics:**
- Planning an evaluation
 - Managing an evaluation
 - Joint evaluations
 - Learning from evaluation results
- Location:** <http://stone.undp.org/undpweb/eo/evalnet/docstore3/yellowbook>

II. Managing Evaluation

Whenever an outside evaluator is hired, internal staff takes on the role of evaluation managers. Even without directly participating in data collection and analysis, internal staff need the background knowledge and decision-making plan to effectively manage an evaluation so that its findings will be both accurate and useful.

1. **Title:** *When and How to Use External Evaluators*
By: Tracey Rutnik and Marty Campbell (November 2002)
Language: English
Description: 12 pages. Provides concise guidance on defining the need and the audience for an evaluation, the function and role of an evaluator, and several factors involved in commissioning an outside evaluation (context, cost, timing). Outlines step-by-step process for recruiting and selecting external evaluators, including the interview and the contract. Includes tips on how to manage an evaluator and short definitions of several types of evaluation.
- Topics:**
- External evaluation
 - Why evaluate
 - Evaluation audience
 - Evaluation timing
 - Managing an evaluation
- Location:** http://www.aecf.org/publications/data/using_external_evaluators.pdf

III. Understanding Evaluation Lingo

The field of evaluation has developed its own specialized vocabulary to describe various kinds of evaluation processes, tools, and products. Understanding these terms and the categories they fit into will demystify much of the evaluation jargon used by programme staff, evaluators, and funders.

1. **Title:** *Glossary of Key Terms in Evaluation and Results Based Management*
By: Development Assistance Committee Working Party on Evaluation (OECD 2002)
Language: English, French, Spanish, Portuguese
Description: 40 pages. This multilingual glossary translates and defines 81 terms related to Evaluation in English, French, and Spanish, accompanied by a Portuguese translation. All terms are grouped by theme in an index for easy reference and listed with technical

definitions alphabetically. Definitions refer to the evaluation of development programs specifically, but are also applicable to generic evaluation.

Topics: • Evaluation tools

• Evaluation types

Location: English/French/Spanish:

<http://www.oecd.org/dataoecd/29/21/2754804.pdf?channelId=34435&homeChannelId=33721&fileTitle=Glossary+of+Key+Terms+in+Evaluation+%28Trilingual+version%3A+English%2C+French%2C+Spanish%29>

Portuguese:

<http://www.oecd.org/dataoecd/14/29/17486415.pdf?channelId=34435&homeChannelId=33721&fileTitle=Gloss%20E1rio+da+avalia%20E7%E3o+e+da+gest%20E3o+centrada+nos+resultados+%28Glossary%2C+Portuguese+version%29>

2. **Title:** *Introduction to Strategic Evaluation*

By: Paul Duignan (2001)

Language: English

Description: 7 pages. This brief document clearly explains and distinguishes between the four categories used to describe an evaluation: approaches, purposes, methods, and designs. Useful for eliminating confusion about evaluation terminology, particularly for those who must understand a funder's evaluation requirements or report on an evaluation process.

Topics:

- Evaluation approaches (utilisation, empowerment, stakeholder, goal-free, 4th-generation, theory-based, Kaupapa Maori, strategic)
- Evaluation purposes (formative, process, outcome)
- Evaluation methods (consultation, literature & lesson review, goal & implementation critique, workshops, pre-testing & piloting, observation, focus groups, surveys)
- Evaluation designs (experimental & quasi-experimental, case study)

Location: <http://www.parkerduignan.com/se/documents/104f.html>

IV. Approaches to Evaluation:

There are many approaches to evaluation, each focusing on different aspects, values, or uses of the evaluation. The four main approaches are participatory, action, utilization, and empowerment evaluation.

Participatory Evaluation

Recognising the limitations of evaluations done by experts outside a project's context, this approach to evaluation involves participants/beneficiaries of the project and internal project staff in the planning and design of the evaluation. Unlike conventional approaches to evaluation, this inclusive approach gives the primary roles in the evaluation process to people who were involved in the project. It is challenging because it requires project staff to examine their own assumptions and participate as impartial analysts.

1. **Title:** *Performance Monitoring & Evaluation Tips: Conducting A Participatory Evaluation*

By: U.S. Agency for International Development (USAID) (1996)

Language: English

Description: 4 pages. Briefly outlines the defining characteristics of, the reasons for, and the steps in conducting an evaluation using a participatory approach. Explains the difference between participatory and traditional approaches to evaluation, and includes a quick overview of rapid appraisal methods (methods of gathering information quickly).

Topics:

- Appropriateness of approach
- Rapid appraisal methods (interviews, direct observation, minisurveys, case studies, village imaging)
- Methods (document review, observations, interviews, surveys)

Location: http://www.dec.org/pdf_docs/pnabs539.pdf

2. **Title:** *The Community's Toolbox: The Idea, Methods, and Tools for Participatory Assessment, Monitoring and Evaluation in Community Forestry*, Chapter 5
By: D'Arcy Davis Case (Food and Agriculture Organization of the United Nations, 1990)
Language: English
Description: 23 pages. Illustrated with educational cartoons, Chapter 5 of this toolbox outlines the Participatory Evaluation approach, including what it is, why it is beneficial, and a 10-step guide to planning it.
Location: http://www.fao.org/documents/show_cdr.asp?url_file=/docrep/x5307e/x5307e00.htm

Action Evaluation

The Action Evaluation approach is one example of a participatory approach to evaluation, in that it requires participation of all stakeholders in defining their goals and determining what “success” would look like on an on-going basis through the life of a project. Action evaluation focuses on promoting success and uses ongoing reflection and action to modify a project as its goals evolve. For a discussion of action evaluation specific to conflict resolution work, see the section *Approaches to Evaluation: Specific to Peacebuilding*, below.

1. **Title:** *Action Research & Evaluation (overview and article)*
By: Jay Rothman, Action Evaluation Research Institute (2004) (overview) and Bob Dick, Action Evaluation Research Institute (1998) (article)
Language: English
Description: 21 pages. Two useful features from Action Evaluation Research Institute (AERI)'s website. The one-page overview briefly describes the concept of an action evaluation in terms of how it differs from traditional evaluation, what its requirements are (participation and reflexivity), and in what settings it works best. Brief and easy to read. The article describes Action Evaluation in more depth, focusing on its key characteristics and how to implement it using the Snyder process, which allows for a combination of process, outcome, and short-cycle evaluation. Good for gaining a thorough understanding of Action Evaluation, though somewhat academic in style.
Location: Overview: <http://www.aepro.org/>
Article: <http://www.aepro.org/inprint/conference/BDick.html>

Utilisation-Focused Evaluation

Utilisation-Focused Evaluation is an approach focusing on how evaluation findings will be *used*. This approach requires that the evaluation design be tailored to the needs of the project's staff, and it eliminates any questions that will produce non-useful information.

1. **Title:** *Utilisation-Focused Evaluation (U-FE) Checklist*
By: Michael Quinn Patton (2002)
Language: English
Description: This checklist begins with a brief, clear description of the Utilisation-Focused approach to evaluation as well as why it is important. It breaks down the process of conducting a Utilisation-Focused Evaluation into steps, also outlining the challenges inherent in each step. Useful for evaluation planners who wish to focus on *how their evaluation will be used* after it is conducted.
Location: <http://www.wmich.edu/evalctr/checklists/ufe.pdf>

Empowerment Evaluation

Using a variety of methodologies, Empowerment Evaluation aims to help project staff improve their projects using self-evaluation and reflection, often facilitated by outside evaluators serving as a coach. This inclusive, participatory approach is value-oriented, supporting an ongoing process of programme improvement by empowering project staff to assess the value of their project and to reshape their plans based upon that assessment.

1. **Title:** *Collaborative, Participatory, and Empowerment Evaluation: A Brief Introduction*
By: David Fetterman (2002)
Language: English
Description: 5 pages (overview); 14 pages (chapter). This website begins with a concise overview of Empowerment Evaluation, explaining what it is and what its major steps are. The end of the webpage includes a chapter, entitled “Empowerment Evaluation: A Form of Self-Evaluation,” from the book *Foundations of Empowerment Evaluation* by David Fetterman (Thousand Oaks, CA: SAGE 2000). This chapter gives a more thorough, though somewhat theoretical, explanation of Empowerment Evaluation.
Location: <http://www.stanford.edu/~davidf/empowermentevaluation.html>

V. Approaches to Evaluation: Specific to Peacebuilding

Very few frameworks have been developed that focus specifically on how to evaluate peacebuilding projects. The following resources are the two examples of such efforts.

1. **Title:** *Confronting War: Critical Lessons for Peace Practitioners*
By: Mary B. Anderson and Lara Olson, Reflecting on Peace Practice Project (RPP) (2003)
Language: English
Description: 98 pages. A report by the RPP Project, an experience-based learning process that involves agencies whose programs attempt to prevent or mitigate violent conflict. While not about evaluation per se, the discussion about the criteria for effective peacebuilding programming provides insights on evaluating peacebuilding programmes.
Location: <http://www.cdainc.com/publications/rpp/confrontingwar/ConfrontingWar.pdf>
2. **Title:** *A Measure of Peace: Peace and Conflict Impact Assessment (PCIA) of Development Projects In Conflict Zones*
By: Kenneth Bush (IDRC’s Peacebuilding and Reconstruction Program Initiative – PBR PI)
Language: English
Description: 45 pages. The Peace and Conflict Impact Assessment framework (PCIA) was designed for development projects in conflict zones, and there have been discussions about its applicability to peacebuilding projects. This document explains the importance of assessing the broader impact of development projects on peace and conflict, including who should use the framework, why, when, and where. Includes a useful section describing five areas of possible peace and conflict impact with corresponding questions to ask in an evaluation. Written from the perspective of development work in conflict zones, this guide addresses the specific challenges that the conflict context poses for evaluation.
Topics:
 - Pre-project context assessment & appropriateness
 - Scale of impact
 - Indicators
 - Areas of peacebuilding impact**Location:** http://web.idrc.ca/uploads/user-S/10757546941Working_Paper1.doc

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Institutional Learning and Research Division, Search for Common Ground (April 2004).