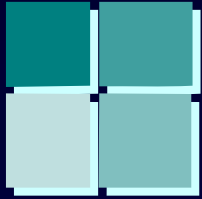


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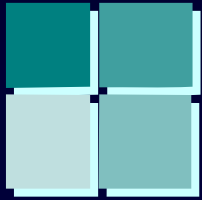
Module 3: Front-end Analysis of the Evaluation Process: Why, When, and What

	Organizing Evaluation
✓	Front-end Analysis
✓	Relationship between Stages and Questions
✓	Balancing Costs and Benefits
✓	Involving Stakeholders
✓	Pitfalls in Front End Planning
✓	Policy Context and Framework
✓	Theoretical and Empirical Knowledge
✓	Program Logic, Program Theory, and Logical Frameworks



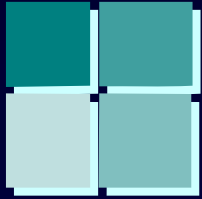
Introduction

- Front-end Analysis of the Project, Program, or Policy
- Balancing Costs and Benefits and Pitfalls of Evaluation
- Involving Stakeholders
- Policy Context and Its Framework
- Existing Theoretical and Empirical Knowledge about the Project, Program, or Policy
- Program Logic, Program Theory, and Logical Frameworks



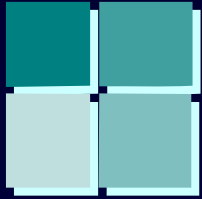
Front-End Analysis

- Pay attention to:
 - timing and time management
 - selection of actors and resources involved in the evaluation
 - design of the study
 - role of program logic and program theory
 - question to what extent data that are needed can be made available



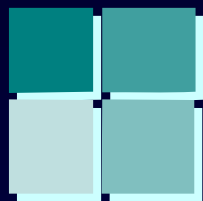
Costs of the Evaluation

- Evaluations are limited by time and money, some more than others
- Examples of costs:
 - cost of evaluation in relation to the cost of the program
 - costs in terms of the social burden to program officials, evaluands, respondents
 - reputation costs to the evaluator and the evaluation community
 - transaction costs



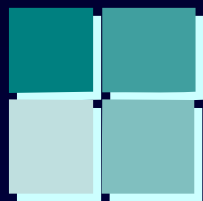
Benefits of Evaluation

- Examples of benefits:
 - strong knowledge
 - clear understanding
 - context specification of what will work
 - answers to questions



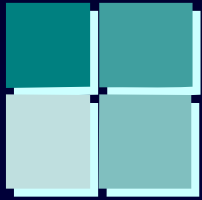
Dangers or Pitfalls

- The belief that everything should be covered up front
- The to-do-ism fixation
- McDonaldisation of society
- Truisms pop up while doing the front-end planning
- Front-end planning does not prevent people to join in “group think”
- Power matters, never forget to look at the power position of the participants



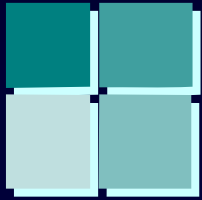
Stakeholders

- People or representatives of organizations that have a “stake” in the intervention
- Those affected by an intervention, in its lifetime, or in subsequent years
- Important to include those who would typically not be asked to participate



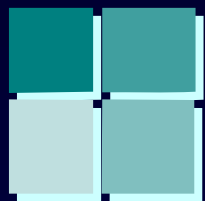
Examples of Stakeholders

- Participants
- Direct beneficiaries
- Indirect beneficiaries
- Others impacted (directly or indirectly)
- Donors
- Government officials
- Program directors
- Policy-makers
- Community and interest groups or associations



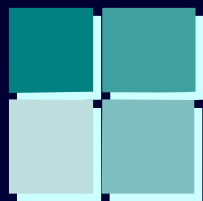
Stakeholder Roles

- Each evaluation is different, stakeholders have different roles
- Use a checklist to determine the role(s) of each stakeholder (example on next slide)



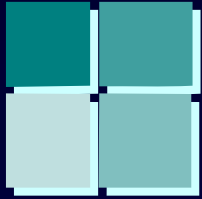
Checklist of Stakeholder Roles

Individuals, groups, or agencies	To make policy	To make operational decisions	To provide input to evaluation	To react	For interest only
Developer of program					
Funder of program					
Boards/agencies					
etc.					



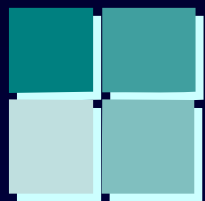
Involving Stakeholders

- Identify the stakeholders
- Have periodic stakeholder meetings
- Involve early on so all have understanding of the intervention
- Value:
 - generate better questions
 - generate support for the evaluation
 - increase access to whatever information is available
 - enhance the acceptance of the final report and recommendations



Stakeholder Analysis

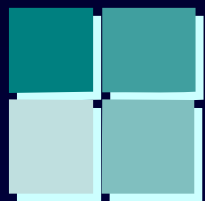
- A technique to identify and assess the importance of key people, groups of people or institutions
- Reasons to do:
 - identify people, groups, and institutions
 - anticipate the kind of influence - positive or negative - these groups will have on your initiative
 - develop strategies to get the most effective support possible



Stakeholder Analysis

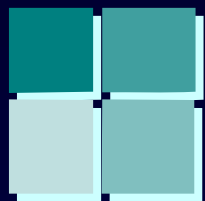
“How To” and Example

Stakeholder	Stakeholder Interest(s) in the Project	Assessment of Impact	Potential Strategies for Obtaining Support or Reducing Obstacles



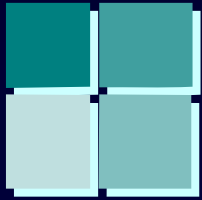
World Bank on Involving Stakeholders

- Building trust
- Involving directly affected stakeholders
- Involving the voiceless
- Involving the opposition
- (more information in print materials)



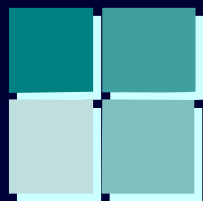
Consumers (Impactees)

- Recipients/ users of the services or products
- Downstream, indirect impactees
- Program staff
- Funding agency, taxpayers, and political supporters, called upstream impactees



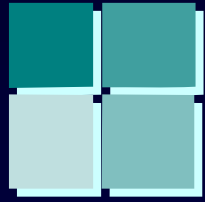
Program Stages and the Broad Evaluation Question

Stage of program development	Evaluation question to be asked
Assessment of social problem and needs	To what extent are community needs and standards met?
Determination of goals	What must be done to meet those needs and standards?
Design of program alternatives	What services could be used to produce the desired changes?
Selection of alternative	Which of the possible program approaches is most robust?
Program implementation	How should the program be put into operation?
Program operation	Is the program operating as planned?
Program outcomes/effects/impact	Is the program having the desired effects?
Program efficiency	Are the program effects attained at a reasonable cost?



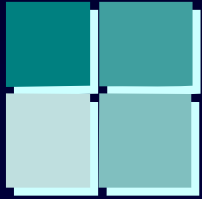
Focus on Policy Context

- The underlying program theory
- Using existing evidence through research synthesis
- Interpreting a complex program as intervention chains:
 - one set of stakeholders provide resources to other stakeholders
 - belief that behavior change will follow



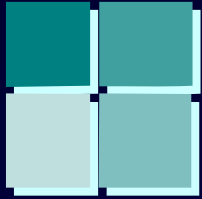
Theoretical and Empirical Knowledge

- Sources:
 - Journals synthesizing the accumulation of explanatory knowledge
 - evaluations and other social science research, including psychological and economic studies
 - problem-based research
 - repositories of randomized experiments
- Knowledge Fund



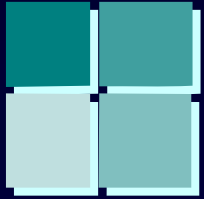
Articulating the Theory of Change

- Map out how the program is supposed to work
- When and how underlying logic and theory will be reconstructed and tested
- Four types of logical framework analysis:
 - program theory
 - logic models
 - program outcome model
 - logical framework (logframe)



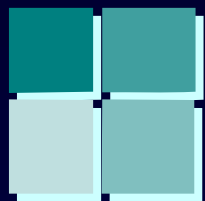
Advantages

- Ensures that decision makers ask fundamental questions and analyze assumptions and risks
- Engages stakeholders in the planning and monitoring process
- When used dynamically, it is an effective management tool to guide implementation, monitoring, and evaluation



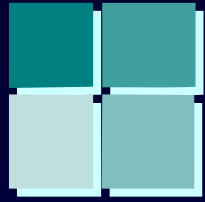
Review or Create

- If the program/project already has a developed theory of change, carefully review it
 - may need to refine or rework it
- If there is no theory of change, need to create one



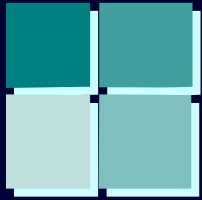
Program Theory

- A type of program description that includes:
 - normative theory (programs as they should be)
 - theories of people involved with the program
 - causative models (links problem to program)
 - research theory
- Can provide clues to appropriate evaluation questions



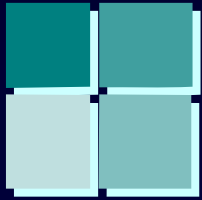
Frameworks for Assessing Program Theory

- Assessment in relation to social needs
- Assessment of logic and plausibility
- Assessment through comparison with research and practice
- Assessment by confronting a program theory with one or more relevant scientific theories
- Assessment via preliminary observation



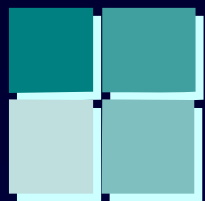
How “Theories” Work

- Note the research that explains or predicts an event
 - example: students do better when parents are involved in their studies
- The program theory links what the research is showing to a “theory” of the effects of the project/program



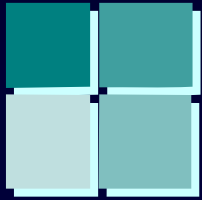
Theories of Change Models should Answer these Questions:

- Are all elements well defined?
- Are there any gaps in the logical chain of events?
- Are relationships plausible and consistent?
- Is it realistic to assume that the program will result in the attainment of stated goals in a meaningful manner?

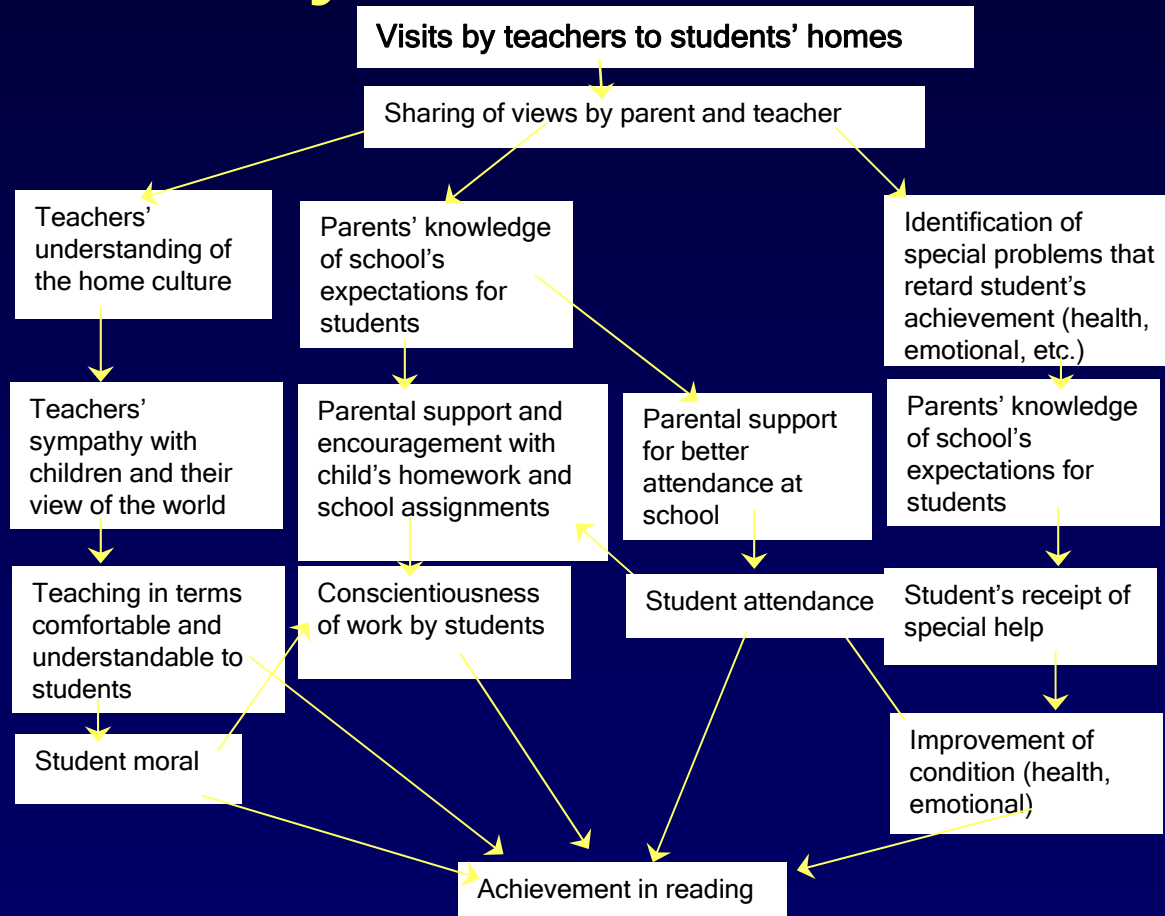


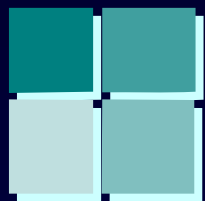
Advantages/Disadvantages of Program Theory Model

- Effective tool to illustrate the interdependent relationships among the activities and goals of the program
- Weakness comes because it does not show the inter-relationships and factors in the *external environment* that might influence outcomes



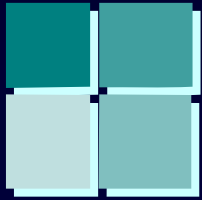
Example of Program Theory Model



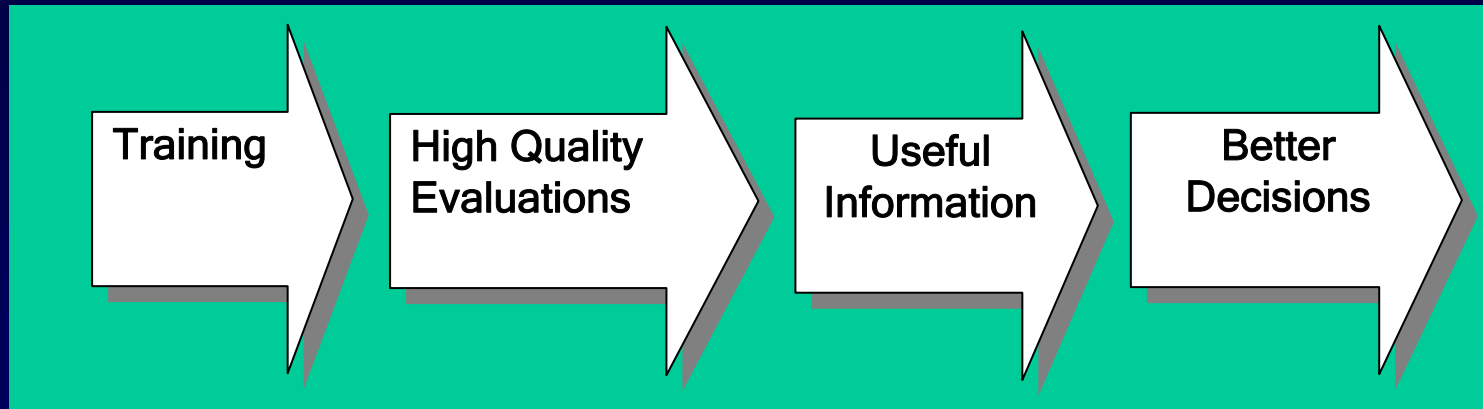


Logic Models

- Useful ways to understand the link between a program and its expected outcomes
- In a sense, development interventions are theories
 - by doing A, we should get X to happen
 - sometimes a chain of relationships



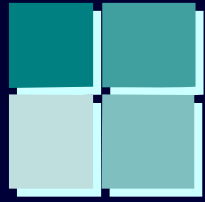
Simple Logic Model



By training

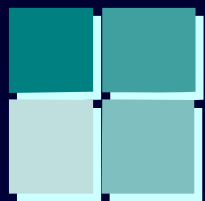


We should get
better decisions



Logic Model Characteristics

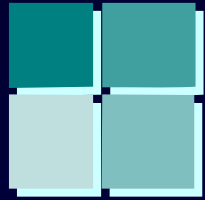
- Most are not linear
- Usually have boxes and/or arrows that link back to earlier or ahead to later parts of the model
- Can move vertical, horizontally, circularly, or a storyboard



Advantages of Logic Models

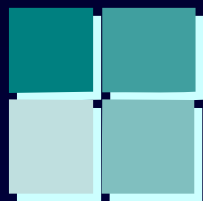
- Provides a common language
- Helps differentiate between “what we do” and “results” - outcomes
- Increases understanding about the program
- Leads to improved planning and management
- Increases intentionality and purpose
- Provides coherence across complex tasks, diverse environments

(cont.)



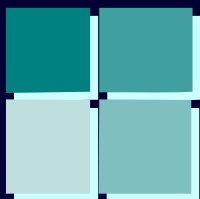
Advantages of Logic Models (cont.)

- Enhances team work
- Guides prioritization and allocation of resources
- Motivates staff
- Helps identify important variables to measure, use resources, opportunities, recognition

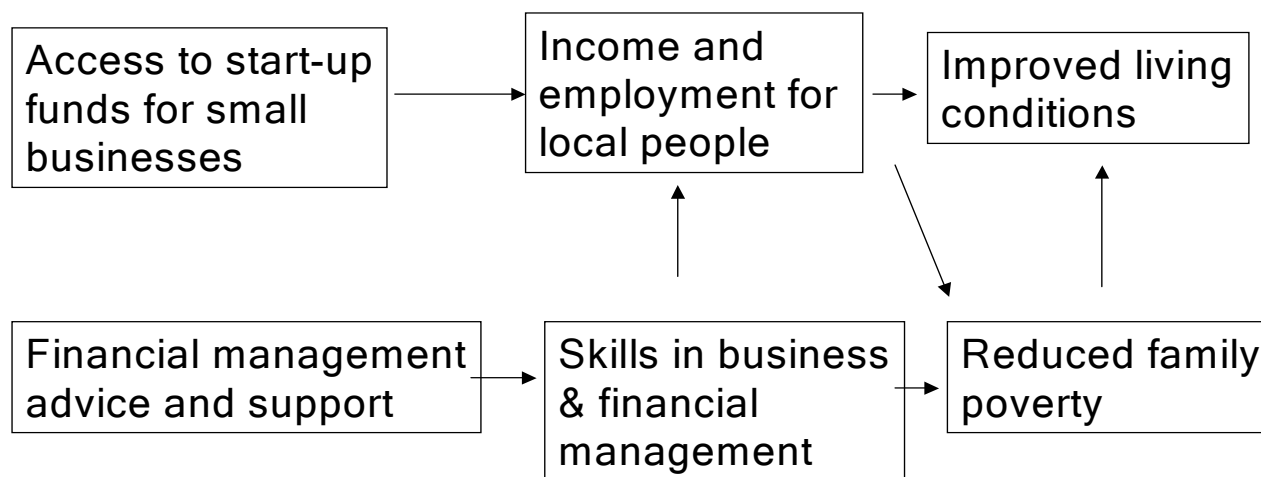


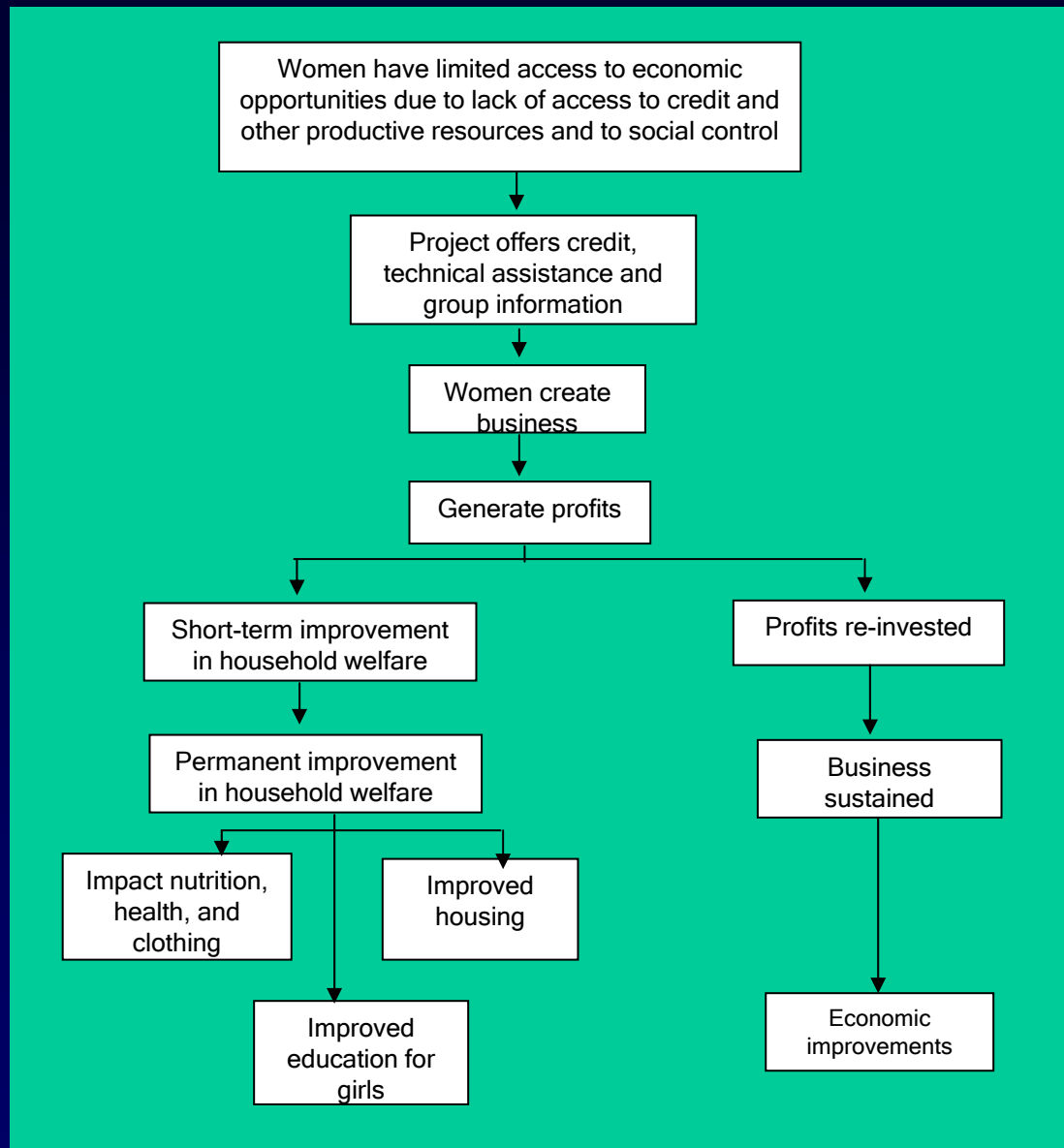
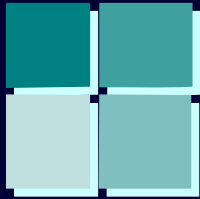
Benefits and Cautions of Logic Models

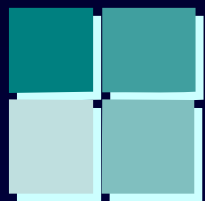
- Help identify elements of programs that are critical to success
- Help provide a common understanding of the program and expectations among stakeholders based on a common language
- Provide a foundation for evaluations
- Poorly specified models limit the ability to identify and subsequently measure intervening variables on which outcomes depend



Logic Model for a Micro-Lending Program

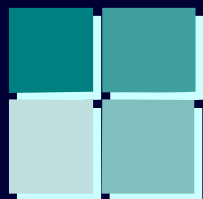




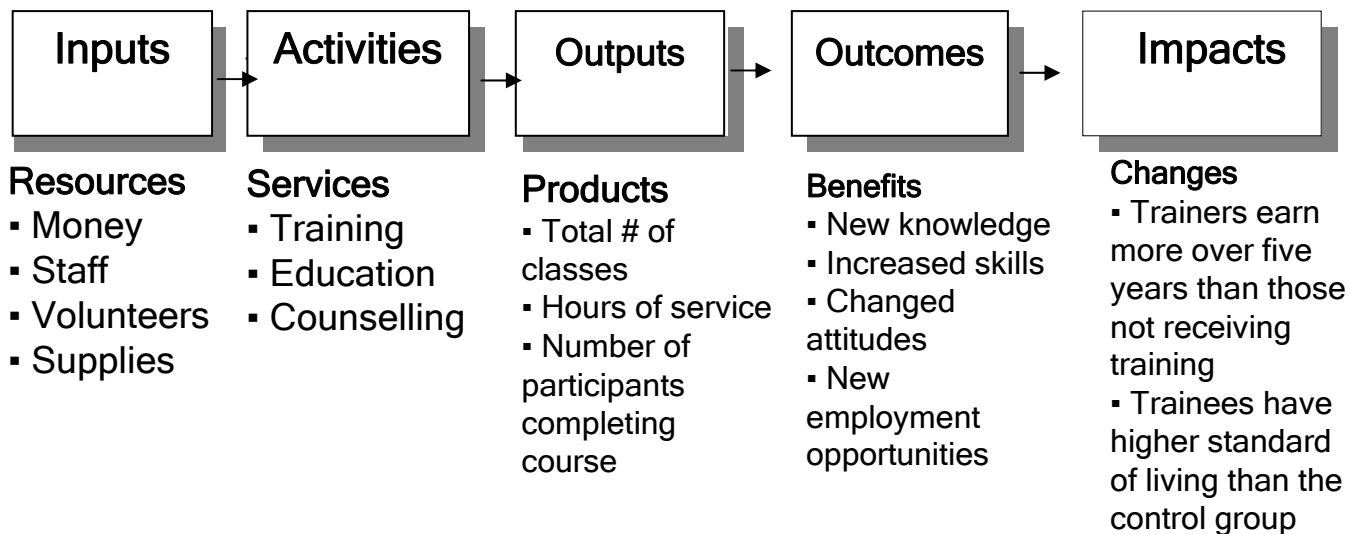


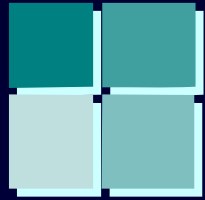
Program Outcome Model

- Model portrayed using:
 - inputs: resources put into program
 - activities: what the program does
 - outputs: services or products produced
 - outcomes: effect or result of the activities and outputs
 - impacts: longer term consequences of the program



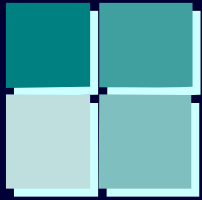
Example of Program Outcome Model





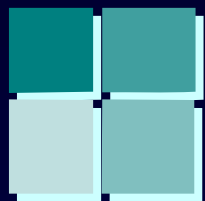
Logical Framework (Logframe)

- Links the activities, results, purpose, and objectives of an intervention
- Is a specific logic model using a 4 x 4 matrix
- For each component, the evaluator identifies the:
 - indicators that are needed
 - sources
 - assumptions



Example of Logframe

Narrative Summary	Performance Indicators	M&E/Supervision/ Verification	Key Assumptions
Program Goal:			
Project Development Objective:			
Outputs:			
Components:			



Advantages and Limitations in Using Logframes

Advantages

- Ensures decision-makers ask fundamental questions and analyze assumptions and risks
- Engages stakeholders
- Can be an effective management tool

Limitations

- Limiting tool because of focus on intended effects
- An assumption of consensual project objects can be problematic
- Automatic choice of an audit form of accountability as the priority

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