Managing and Implementing an Evaluation

Guidelines and Tools for Evaluation Managers

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American Red Cross

CRS CATHOLIC RELIEF SERVICES

USAID FROM THE AMERICAN PEOPLE

Since 1943, Catholic Relief Services (CRS) has held the privilege of serving the poor and disadvantaged overseas. Without regard to race, creed, or nationality, CRS provides emergency relief in the wake of natural and manmade disasters. Through development projects in fields such as education, peace and justice, agriculture, microfinance, health and HIV/AIDS, CRS works to uphold human dignity and promote better standards of living. CRS also works throughout the United States to expand the knowledge and action of Catholics and others interested in issues of international peace and justice. Our programs and resources respond to the U.S. Bishops' call to live in solidarity—as one human family—across borders, over oceans, and through differences in language, culture and economic condition.

The American Red Cross helps vulnerable people around the world prevent, prepare for, and respond to disasters, complex humanitarian emergencies, and life-threatening health conditions through global initiatives and community-based programs. With a focus on global health, disaster preparedness and response, restoring family links, and the dissemination of international humanitarian law, the American Red Cross provides rapid, effective, and large-scale humanitarian assistance to those in need. To achieve our goals, the American Red Cross works with our partners in the International Red Cross and Red Crescent Movement and other international relief and development agencies to build local capacities, mobilize and empower communities, and establish partnerships. Our largest program is currently the Tsunami Recovery Program, which is improving community health and preventing disease outbreaks, supporting communities as they rebuild their lives and reestablish their livelihoods, and helping affected Red Cross and Red Crescent Societies and their communities develop disaster preparedness capabilities.

To access the full series, please visit: www.crs.org **or** www.redcross.org**.**

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Preface

Monitoring and evaluation are core responsibilities of American Red Cross and Catholic Relief Services (CRS) program managers and help ensure quality in programming. *Managing and Implementing an Evaluation* is one in a series of nine monitoring and evaluation (M&E) training and capacity-building modules that the American Red Cross and CRS have agreed to collaborate on under their respective Institutional Capacity Building Grants. These modules are designed to respond to field-identified needs for specific guidance and tools that did not appear to be available in existing publications. Although examples in the modules focus on Title II programming, the guidance and tools provided have value beyond the food-security realm.

Our intention in writing this module is to provide evaluation managers with solutions on how to implement evaluations. The evaluation manager, described in the *Preparing for an Evaluation* module, is generally a staff member in the operating country who has been given the additional responsibility of ensuring that a field evaluation moves smoothly from its initial terms of reference through the dissemination of the report's findings. The module focuses on what needs to be done throughout the evaluation process to manage the evaluation team and minimize the inevitable disruptions to the project's own implementation plan. The module thus provides examples and strategies to improve communication and coordination, combined with some basic vocabulary of methodological choices to understand why evaluations may require different approaches. The module emphasizes the similarities in managing evaluations, rather than those differences. However, managing the evaluation process is likely to be roughly the same, no matter when the evaluation occurs in a project or program cycle.

This module is part of a cluster of three in the overall series, primarily because the three topics flow neatly into the overall evaluation process itself. This cluster contains: *Preparing for an Evaluation*; *Managing and Implementing an Evaluation*; and *Communicating and Reporting on an Evaluation*.

These three modules should be used together to create a thorough and thoughtful evaluation report. While the modules are standalone documents, there are significant similarities in their approach, as table 1, below, examines. Topics that are generally discussed in the most detail in one module are highlighted in bold (under the column heading for the module), while those that are simply touched on in the module are highlighted in italics. Those without additional formatting are unique to that module. The shaded purpose section is identical across all three modules, as a way of providing additional guidance on locating topics among the three modules.

Table 1: Comparisons between the Evaluation Series Modules

Preparing for an Evaluation	Managing and Implementing an Evaluation	Communicating and Reporting on an Evaluation
Purpose and intended users of this module	**Purpose and intended users of this module**	**Purpose and intended users of this module**
Identify and empower evaluation manager	Commonalities in evaluation management	Communicating and reporting on evaluations to promote use
Clarify donor and organizational guidance	Role of management	*Role of the external evaluator and evaluation manager*
Draft scope of work and evaluation work plan	*Importance of the pre-evaluation*	Successful communicating and reporting practices
Identify evaluation team and finalize scope of work	Methods: bias, validity, rigor, effectiveness, utilization, and evaluation capacity-building	Challenges to communicating and reporting
Organize project documentation	**Evaluation management: personnel, financial, and logistical**	Evaluation ethics and communicating and reporting
Organize project information	Evaluation relations: donor, peer, community; and psychological wear and tear	**Four steps for planning communicating and reporting**
Plan evaluation logistics	*Evaluation requirements: contractual, deliverables and communication*	**Continue communicating and reporting during the evaluation**
Schedule evaluation steps	**Organizing the evaluation: schedule, timeline, and work plan**	**Promote evaluation use through communication and reporting**
Why can't a pre-evaluation be part of the evaluation?	The unexpected (weather, health, and so on)	Promote learning through dissemination
Tools	**Manager skills**	Regularly revisit evaluations
	After action review	Guidelines and tools

Acknowledgments

Some of the analytical concepts and matrices used in this module are from a draft written during an earlier contract by the author with the United States Agency for International Development (USAID) Matching Grants Program, in the Office of Private and Voluntary Cooperation. The author would like to acknowledge this contribution and note that it has been used with permission. In addition, the current version has benefitted from the review and detailed comments from Guy Sharrock and Della McMillan-Wilson, as well as brainstorming on an island in Penobscot Bay, Maine. Finally, we would like to acknowledge the work of Dina Towbin (consultant), whose editorial work helped to shepherd the document through its final stages, and Joe Schultz and Jeanne Ivy, who were responsible for the graphic design work.

Acronyms

AEA	American Evaluation Association
CIDA	Canadian International Development Agency
CRS	Catholic Relief Services
DIP	Detailed Implementation Plan
HQ	Headquarters
IFRC	International Federation of the Red Cross and Red Crescent Societies
M&E	Monitoring and evaluation
Medevac	Medical evacuation
NGO	Nongovernmental organization
OECD	Organisation for Economic Co-operation and Development
PVO	Private voluntary organization
SOW	Scope of work
TOR	Terms of reference
UNDP	United Nations Development Programme
USAID	United States Agency for International Development

Overview

One of the key elements in the *Preparing for an Evaluation* module was the identification and empowerment of an evaluation manager. The evaluation manager is key to shepherding the evaluation through its initial planning phase and even more important in implementing the evaluation, as the evaluation manager is the primary link between the evaluation team and the project being evaluated. The evaluation manager has a number of specific tasks, but also may not have all of the necessary skills to perform those tasks with confidence (as the evaluation manager is often a more junior member of the organization).

This module will give the evaluation manager three key skills:

1. The basic vocabulary and understanding to work with the consultant in determining the best mix of methods for the evaluation and the organization

2. More details on the specific management tasks required during an evaluation

3. A better understanding of the evaluation's role in organizational learning.

The evaluation manager is the anticipated audience for this module; the evaluation manager is the field or headquarters staff tasked with overseeing an evaluation. This staff member may or may not have evaluation experience or management experience, but has the assignment. It will also help more senior management to determine who should be given the assignment of evaluation manager and provide a way to gauge the individual's performance in this assignment.

This module does not provide detailed monitoring and evaluation (M&E) skills—such as conducting surveys, running focus groups, and so on—nor does it use terminology specific to one private voluntary organization (PVO). But this module will help organizations ensure that:

- The organization obtains the results it wants from an evaluation.
- The evaluation creates a learning opportunity for the organization.
- There are clear guidelines for a good working relationship between the evaluation team and the evaluation manager.
- The guiding principle of "do no harm" applies equally to staff, consultants, and beneficiaries during the evaluation process.

Managing and Implementing an Evaluation: Similarities over Time

Evaluations, assessments, and reviews all fall under the general category of events that are usually conducted by outsiders, often with the participation of project staff. Evaluations can and should be viewed as important learning opportunities for all stakeholders. The reasons for conducting an evaluation have never changed, but donor requirements have; the PVO should know the donor requirements before starting any evaluation and yet still proceed with evaluations if there is internal interest and/or learning opportunities from the outcome. Most evaluations are part of the project budget, although in some cases, it may be that the evaluation is funded from other organizational resources. The intention for an evaluation remains a little different—if overlapping—for the donor than for the implementing organization, as table 2, below, illustrates.

Table 2: Evaluation Questions and Audience

Questions	Audience		
{PRIVATE}	PVO	Mission	United States Agency for International Development (USAID)
What happened?	x	x	x
What went right?	x	x	x
What went wrong?	x	x	x
How do we know?	x		x
What do we know now?	x	x	x
What are the results?	x	x	x
Where do these results fit into our strategic plan?	x	x	x
How can we analyze these results from a program standpoint?	x		x
How has this changed the organization's capacity and sustainability?	x		x

Source: Willard 1998, p. 26.

Mid-term and final evaluations are the two main project evaluations.

- Mid-term evaluations tend to focus on the process and provide indications of the project's probable success and recommendations on improving both the outcomes and internal management.
- Final evaluations focus on outcomes and results, and provide a comparison over time. They often include a statistical analysis of the changes in performance indicators.

Donors often have different requirements for these two deliverables, and the organizations have different opportunities for learning as part of the evaluation process. In addition, there may also be evaluations conducted at different points in the project cycle, either at the donor's request or to find out more about a particular aspect of the implementation process. These can often occur as part of a larger programmatic review, for example, of all water and sanitation projects worldwide.

The basic purpose for any evaluation is to answer a series of key questions and, as organizations become more sophisticated, to find the best ways to use the evaluation findings to improve performance in multiple areas and present findings to stakeholders. While the timing of these events in the project cycle often requires different methods, there are far more similarities than differences in the evaluation questions, as table 2, above, shows. Note that the audience will shift depending on the project funding source. These modules operate in the Title II world, where projects are funded by the central (Washington) office and then supervised jointly by the field and central office. Projects funded by a field office (or not funded by USAID) will probably need to ask the same types of questions, but their audience will change.

The choice of evaluation methods is often a mediated process between the donor, the implementing agency, the evaluator, and the project staff. This process should be resolved during the drafting and finalization of the scope of work (see the *Preparing for an Evaluation* module for a more extensive discussion on this topic). The process of refining the scope of work will also include the types of deliverables and methods, consultants, composition of teams, donor requirements, and internal and external funding requirements. What it may not—but should—include is a description of how the evaluation report will be used by the organization, both for internal reporting and for wider dissemination (see the *Communicating and Reporting on an Evaluation* module for a more extensive discussion on this topic). These elements are often left to the evaluation manager to discuss with the evaluator. As most evaluation managers will not have the same skills as an evaluator, this section of the module will help create a shared vocabulary in determining the best fit of both methods and budgets.

Management Commonalities

Basic management skills apply to managing an evaluation, in terms of personnel management and logistics. Where evaluation management differs is more in the content (which would be true for the manager of any different operation), so that the evaluation manager needs to have a basic understanding of the evaluation mechanics to help the evaluation team make the best decisions on location, methods, format, and so on. Think of driving a car; the driver probably does not understand all the intricacies of

the engine, but the driver does need to know how to put gasoline in the tank. A manager should be able to refuel any type of technical vehicle, but the best managers are the ones who also understand a bit more about the mechanics involved. The next to last section in this module provides more detail on the characteristics of a good evaluation manager. The evaluation manager is often not part of the management structure of an organization, and, in fact, may be a more junior staff chosen more for availability and interest than a specific background. In that case, the way that the evaluation manager can demonstrate competence in completing the evaluation consultancy successfully often serves as a test for additional responsibilities.

The Project Manager's Role versus the Evaluation Manager's Role

The project manager and the evaluation manager are often not the same person. The evaluation manager needs to have a specific type of reporting requirement to the project manager and possibly to the head of the PVO's country office for the duration of the evaluation. Depending on the organizational structure, the evaluation manager may also need to contact desk officers or technical advisors in the organization, as well as external stakeholders. An initial email should be sent from the highest possible staff in the PVO's country office (a country director or authorizing sponsor) notifying both the internal and external stakeholders of the evaluation manager and his/her role so that it is clear from the start that the initiative responds to that oversight level. Country directors should not have much more interaction with the evaluation beyond initial briefings and debriefings, although they should be part of the routine status reporting. Having an initial introduction from a more responsible level in the organization will help the evaluation manager obtain necessary interviews and/or cooperation from the other stakeholders.

> **UNDP uses an evaluation** primarily as a management tool. It helps in decision-making by assessing performance and by providing lessons learned. It should provide a basis for improving the manner in which UNDP-financed projects are designed and implemented. (United Nations Development Programme [UNDP] n.d., p. 3)

The evaluation manager also needs to understand his/her scope of authority and know what they can decide, or what they need clearance to do. And, perhaps most importantly, the evaluation manager needs to know when to ask for help.

Different organizations will site an evaluation team in different ways. The most common three formats are in:

1. A particular project office, usually under the supervision of the project manager

2. A country office, usually under the overall supervision of the sector lead, country director, or a regional technical advisor

3. A particular headquarters (HQ) sector or geographic office, answerable either to the desk officer or a sector technical advisor.

In each of these cases, the evaluation manager is responsible for the overall evaluation process; the evaluation manager's role increases as his/her distance from the evaluation site becomes greater.

Part of the challenge for an evaluation manager is to keep an eye on potential outreach and capacity-building aspects during an evaluation, while being mindful that the evaluation report is the key deliverable. One way to maintain the "mountaintop view" is through regular communication with the evaluator, as opposed to accompanying the evaluator throughout the evaluation. This allows the evaluation manager to oversee multiple, different desired evaluation outcomes without putting the entire burden for performance on the evaluator, the host office, or the evaluation manager.

The Evaluation Manager's Role

Evaluations require a high degree of flexibility, sufficient time, and good communication between the evaluation manager and the team. Apart from preparing the terms of reference, the evaluation manager's main role during the evaluation mission is to:

- Facilitate the team's work

- Ensure that appropriate time is spent with key staff

- Act as a liaison between the team and the various agencies involved

- Arrange and facilitate the necessary permissions and logistics for fieldwork

- Provide advice to the team on current policy issues

- Identify additional key informants as needed

- Negotiate and agree to modifications of the terms of reference and itinerary, if needed

- Meet regularly with the team to ensure the work is on track

- Assess the team's and team leader's performance and, if needed, take action

- Facilitate the discussion of findings among a potentially large group of stakeholders.

Source: International Federation of the Red Cross and Red Crescent Societies 2002, Module 6, pp. 16-17.

Communication during the Pre-Evaluation

Planning ahead is critical (see the *Preparing for an Evaluation* module for a rationale and tools), as it helps to organize the evaluation process; it is especially crucial for the novice manager in creating a checklist of what needs to be done. Beginning the communication process as early as possible will also help the utilization of findings (positive and negative) for stakeholders inside and outside the implementing organization (see the latter module in this sequence). And planning communications is critical for the evaluation manager during the evaluation—with the management team for the project, with the evaluator and the rest of the evaluation team, and between the evaluation team and those being interviewed.

> **There are three roles** that an evaluator can adopt for an evaluation: operative, consultant, and learning facilitator. . . the learning facilitator has the broadest mandate of the three. In this role, the evaluator does everything that the other two do while also seeking to link the project learning into both the broader organization and into the development of the next phase of the project. This could include:
>
> - Development of lessons or questions that are applicable beyond the project
> - Presentation of results to headquarters
> - Development of an ongoing learning system for the project team
> - Assistance with new program development.
>   (Church and Rogers 2006, p. 112)

Big Picture Issues

While most of these topics are discussed in depth in M&E resources, below, this section provides the evaluation manager with information on the terms in enough detail so that they will be able to understand the rationale behind the choices an evaluation consultant may make, especially with respect to variations on the original scope of work.

Vocabulary of Measurement

Table 3, below, lists some of the more common terms in research methodology and their definitions. Measurement can be complicated when there is confusion over the terms. The definitions listed below are both accurate and simple, and additional details can be found in any entry-level statistics textbook. These terms are often used inconsistently (for example, "variance" instead of "variation") and can cause considerable confusion to both the expert user (who will assume one definition), and the novice (who will not be sure which definition is correct).

Using the right terminology is more than just attention to detail, but rather is important in clarity of communication. The examples try to make the translation as concrete and correct as possible; the methodological word is likely to refer to a tool that is considerably more abstract.

Table 3: Methodological Key Words, Translations, and Examples

Key Word	Translation	Example
Validity	A tool to determine if evaluation or implementation criteria are appropriate and measure what they are supposed to	A scale is a valid measure of weight (assuming the scale is used properly).
Replicability	Determination if repeated applications come up with the same outcome, even when different people use the tool	The same scale will show the same weight for an infant at a particular well-baby day (and if it does not, the scale or the training of the people using it need to be adjusted).
Verifiability	Determination if measurement can be checked, even when different people use the tool	The same scale will produce the same weight—replicability is whether the same result occurs, and verifiability is when the result can be checked or verified as being correct. One is a test of the tool's reliability and the other of the process of using the tool.
Goodness of fit	How well does the measurement measure the relevant criteria	Different scales measure weight better or worse, but they all only measure weight. Using the best and most accurate scale consistently will increase the goodness of fit. For clothing, a tape measure will measure length and width, so that the clothing will fit the wearer more properly.
Statistically significant	Meaningful measurable relationship or level of change	Children who experience severe undernutrition (i.e., wasting) are considerably underweight for their height. Weight and height are valid measures for nutritional status, and thus children whose arm circumferences are in the red zone on the measurement tape are in danger. The red zone generally illustrates a measurement result that is more than two standard deviations away from normal; this would be a very statistically significant finding for the individual, and more so if this was found for a sample of the population at large.
Standard deviation	Approximate value of the degree of certainty that the difference exists	Looking at a person's hand, each finger is a standard deviation away from the middle finger. Fingers can stretch out or squeeze more tightly together, and so will the size of standard deviations for any study, but they will always be a consistent size.
Unidirectional	Change in one direction (either positive or negative, but not both)	Weight increase is generally a positive measure of health status, while weight decrease is generally a negative one for children. The reverse would be true for people on diets, of course.
Unidimensional	Change along only one axis: larger or smaller, increase versus decrease	Stunting by itself is not unidimensional (as there can be both increases and decreases in stunting). The percentage reduction in stunting, by contrast, is unidimensional—only decreases in the measurement are the goal.
Univariate	Only one measurable change (one variable)	Weight is a single variable (univariate).
Multivariate	More than one measurable change (more than one variable)	Growth is multivariate, as it includes weight, height, and age (and often other factors, such as gender or the country's own population variation).
Mean	Average value	A person takes five tests and has the following scores: 80, 80, 100, 70, and 90. Add the test scores together and divide by the number of tests to find out that the average test score is 84. In a normal distribution, this will be the highest point on that curved graph. The mean will give an average value, but can be pulled in either a positive or negative direction by very high or very low scores.

Table 3 (continued)

| Key Word	Translation	Example
Median	Value located in the middle of a given range	Looking at the same test scores as above (under "mean"), the median is 85 (because it is the value in the middle of the range between 100 and 70). The median will gives the midpoint value in all of the population's scores, so it can help offset very high or very low scoring values.
Mode	Most frequent value	Using the same test scores as above (under "mean"), the mode is 80, since that score was the most frequent one.
Hypothesis	Tool by which stakeholders imagine (ahead of time) what this process will result in and how they plan on demonstrating it	This is generally the "if, then" sentence that serves as the general organizational statement preceding the development of a logic model. For example, if women who have children are taught better ways to feed them, then there will be fewer undernourished children.
Causality	The direct effect of one event on a future one	Looking at the hypothesis in the preceding example (under "hypothesis," above), there is a supposed direct effect between the mothers' knowledge and a change in their children's condition. We know that education alone will not change behavior, however, which is why we generally include multiple connections and more complicated hypotheses in our work.
Regression	Tool to determine if two (or more) variables are related over time	This is a specific statistical test that can be run on survey data. For example, there is a strong relationship between the educational level of mothers and their children's health (for example, they are multivariate but unidirectional; the more educated women are, the healthier their children are).
Frequency distribution	Number of times that different factors occur	In the test example immediately below, there is a 5:10:20:10:5 frequency distribution. Graphing this pattern will show that both halves mirror each other (a normal distribution). Where the halves do not mirror each other, there should be an explanation.
Normal distribution or bell curve	Graphic to show the range of variation evenly distributed around the mean	In a regular test in school in a class with 50 students, 5 people have the highest grade, 5 the lowest, 10 each in the next highest and next lowest grades, and the remaining 20 have the middle scores.
Census	A question or set of questions used for every member in the entire population	The government takes a census every five years of everyone who lives in that country. The project keeps a list of all people eligible to receive relief packages (a census). Note that here the entire eligible population to receive relief packages is not necessarily the entire population in the project's target zone.
Survey	A set of questions used to find answers about an entire population from a smaller group within the population	To find out the general level of satisfaction with the relief packages distributed after the last flood, the project makes a point of asking questions from every tenth person who collects their packages. Every person is presumed to be equally alike (to be eligible for the relief packages), and so a smaller number is sampled and conclusions are drawn about the entire population. Surveys are best at measuring changes over time, which is why most projects conduct baseline and final (endline) surveys.
Sample	Representative members of entire client base for the activity	A smaller number of the females in the target zone, such as women of reproductive age (usually ages 15-45), is used. If there are 30,000 people in the target zone, there will be around 15,000 females. Of that number, only about 6,000 will be of reproductive age (almost half will be under 15, and some will be older than 45). The survey team will select some smaller percentage of those 6,000 to be surveyed, or it will be a census rather than a sample survey.

Table 3 (continued)

Key Word	Translation	Example
Population	The entire client base for the activity	The population is all the people in the communities in the project's target zone, including men, women, and children. The challenge is that the term "population" can also refer to only women of reproductive age in the target zone. It is important to be specific in the terminology used.
Stratified sample	Specific representative members of entire client base for the activity	This could be just the women of reproductive age in the population who have had a child in the last two years (the sample is women of reproductive age, and the stratified sample is a smaller group within that sample). Depending on the population growth in the area, this may only be two out of every five women (or 2,400 from the sample above). A smaller number from this sample may be needed to conduct a survey, but these women can be randomly chosen from this sample knowing that they are all equally likely to be chosen and will have the same characteristics needed to be examined.
Variable	A measurable, but not always controllable, factor	Girls attending school is a specific variable in an education project. It is eminently measurable, but not always within a project's control (if the parents need the girls working on the family farm more than they need the incentives to keep their daughters in school, for example).
Bias	Change in the measurement tool, either deliberate or inadvertent	Measuring girls' attendance in schools only in communities closest to the main road (rather than all the communities in the target zone) will introduce bias into a reliable and valid measurement of school attendance, as those families are more likely to send their daughters to school than families who live farther away.
Rigor	How strictly the variable(s) are measured	Weighing babies is a valid measurement, but its rigor can be compromised if the following are not controlled for: the scale's accuracy, the wriggling of the child, or the fact that the midwife kept her hand on the child.
Triangulation	From a surveying term, meaning using more than one measurement (and usually at least three) to increase the validity of each measurement	During an evaluation, the team wants to review documents, visit sites, and interview participants. Just reading documents will not convey the difficulties faced by the trainers in getting to the remote sites, and visiting the sites alone will not reveal the communities' views about the training. A combination of methods needs to be to get as close to the whole truth because any single source, while valid, is not complete.

Source: Based on Willard (1998, p. 14).

Objectivity

Figure 1: Balancing Objectivity and Insider Knowledge in Evaluations
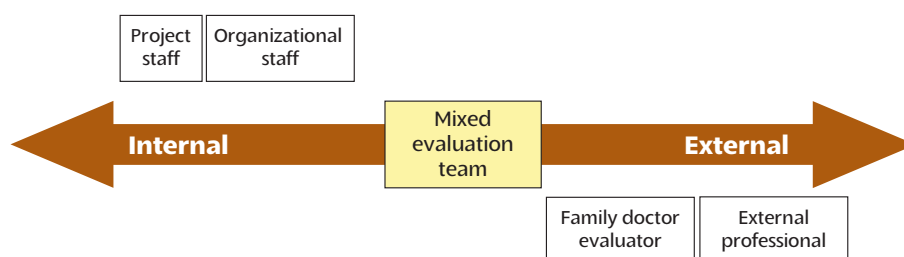
There are good arguments for conducting evaluations with internal evaluators, with mixed teams, and with external evaluators. Given the relatively large pool of implementers and the relatively small pool of evaluators, sometimes the dividing line between internal and external is fuzzy (as figure 1, above, illustrates). The debate presents a balancing act between objectivity and knowledge. An external evaluator may not be swayed by previous relationships (or by wanting to keep their job), while an internal evaluator will have a more detailed knowledge of how the organization operates in understanding the project. There are also degrees of contact that can play a role in balancing objectivity and knowledge, and part of that balancing act will be determined by the donor requirements. On the chart above, the family doctor is someone who has done other work for the organization and is frequently called on for other assignments; there is some vested interest in continuing to generate business from the implementing agency. Mid-term evaluations tend to use more internal staff, as they are process-driven (that is, they focus on implementation and management issues), and their recommendations are more likely to be adopted if they are made by people with a vested interest in implementing them. Final evaluations are often led by external evaluators to give a bit of content distance[1] between what happened and why it happened. In many cases, the evaluation team is mixed between external and internal people to help balance objectivity and knowledge. These can be very strong evaluation teams, although finding the right combination may be difficult: on the one hand, competent internal staff may be more readily available at a particular time and can be easily deployed; in contrast, the evaluation manager may need a strong outside evaluation team who will examine a project without bias, and more easily able to ask difficult questions.

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1   *Content distance* refers to when the evaluator knows the sector and/or technical approach, but does not know the particular project's implementation method for that approach. This gives the evaluator a very broad base upon which to make judgments as to how the project's specific approach fits within the larger set of best practices for that sector. Multisectoral projects often have evaluation teams composed of several different sector experts (health, agriculture, and so on).

There are specific tradeoffs involved in the selection of a lead evaluator and the composition of the rest of the evaluation team (see table 4, below). The team's selection criteria are often established by the donor; however, the criteria are also open to negotiation. The evaluation manager may not be the lead person in those negotiations, although his/her input should be solicited where donor relations are such that more extensive communication would be valuable. In particular, the evaluation timing may help negotiate the composition of the evaluation team; which consultant(s) and which staff members are available in a particular timeframe can set a key parameter in choosing a team, rather than focusing only on when the key evaluator is available.

Table 4: Tradeoffs between Internal and External Evaluators

Internal Evaluators: Advantages	External Evaluators: Advantages
Knows the organization, its program, and operations	May be free from organizational bias
Is not an adversary	May bring fresh perspective, insight, broader experience, and recent state-of-the-art knowledge
Has a greater chance of adopting/following up on recommendations	Is more easily hired for intensive work
Is familiar with the donor's evaluation procedures	Can serve as an arbitrator or facilitator between stakeholders
Is often less expensive	
Doesn't require time-consuming procurement negotiations	
Has more opportunity to build host country evaluation capability	
Internal Evaluators: Disadvantages	**External Evaluators: Disadvantages**
	May not know the organization, its policies, and procedures/regulations
Tends to accept the assumptions of the organization	May be ignorant of constraints on feasibility of recommendations
Is usually too busy to participate fully	May be perceived as an adversary, arousing unnecessary anxiety
May be constrained by organizational role conflict	May be expensive (unless contracted locally)
	Requires more time for contract negotiations, orientation, and monitoring
	Cannot follow up on recommendations
	May be unfamiliar with local political, cultural, and economic environment

Source: Based on Appleby and Zarfonetis (1991, p. 21).

Validity

Validity is whether a test measures what it is supposed to. In an evaluation context, this is often the most subjective of the experimental design issues, tempered as it is by objectivity and access. Objectivity and access often vary at the same time; for example, if the evaluation team only talks with the communities pre-selected as the highest performing ones in the project zone, the evaluation is going to begin by being somewhat invalid (and a very good reason will be needed as to why the project manager, the evaluation manager, and the evaluator were all willing to let this be the main criteria for inclusion).

The American Evaluation Association (AEA) has a set of guiding principles for evaluators that can help ground an evaluation and can give a good idea of when the methods and approach will combine to provide information that is sufficiently valid (see box 1, below). Validity tends to follow both bias and rigor; solve those two and validity follows, as long as there is enough comprehensive information from the project to create a complete picture of process and outcomes. This can often result when the same finding is made from multiple data collection sources.

Box 1: AEA Guiding Principles, Abbreviated

A. **Systematic Inquiry:** Evaluators conduct systematic, data-based inquiries.
B. **Competence:** Evaluators provide competent performance to stakeholders.
C. **Integrity/Honesty:** Evaluators display honesty and integrity in their own behavior and attempt to ensure the honesty and integrity of the entire evaluation process.
D. **Respect for People:** Evaluators respect the security, dignity, and self-worth of respondents, program participants, clients, and other evaluation stakeholders.
E. **Responsibilities for General and Public Welfare:** Evaluators articulate and take into account the diversity of general and public interests and values.

Source: American Evaluation Association 2004.
Note: See annex IV for the complete AEA principles.

Rigor

There is a growing movement towards increased rigor in evaluations (experimental designs and so on) and in the basic project design. There is additional interest and impetus from the donor community in accountability and an ongoing debate as to the difficulty in evaluating complex systems over which a development program has limited control (or causality). Best practices in evaluation or "good enough practices" in evaluation often mistake rigor for something limited to an academic program, and many academic programs mistakenly assume that development projects are incapable of rigor. Consequently, there is a growing trend for alliances between research institutions, universities, and PVOs to correct both mistaken perceptions. This

type of alliance, especially with local universities, is a useful connection to remember in assembling the evaluation team and in conducting operational research during the project cycle.

To achieve sufficient rigor in the evaluation, the evaluation manager must balance the following:

1. The project's ability to meet the data standards

2. The organization's intention to use the evaluation results in external settings

3. The budget for the project's overall M&E system (including evaluations).

Data collection and analysis choices often are more open to discussion with the evaluator based on these three variables: cost, time, and effectiveness (which can include rigor, bias, and validity). Since the evaluation manager is not usually an expert on methods, table 5, below, provides information on the advantages and disadvantages of common methods in different circumstances.

This choice of methods can give the evaluation a justifiable defensible rationale for the study. It gives subsequent evaluators (and managers) the possibility of doing a similar type of data collection in the future. And it leaves a paper superhighway (not just a trail), so that variables might be comparable beyond the evaluation's parameters. Several PVOs routinely conduct meta-evaluations,[2] and USAID has done so as a way of determining key patterns in evaluation findings.

> **In the past,** evaluations of humanitarian assistance tended to focus on projects and use conventional project evaluation techniques. However, thinking has shifted, and it is now believed that humanitarian assistance evaluation requires a greater emphasis upon policy evaluation techniques than is often the case for "conventional" aid evaluation. The reasons for this are several. First, the fluidity of the context and the complexity and interrelatedness of the response system reduces (though by no means eliminates) the value and effectiveness of project evaluation techniques, which requires the separation of cause and effect. Explanation based on the separation of cause from effect is often not possible in complex systems composed of numerous interdependent relationships, where the direction of influence may be circular rather than linear. (OECD 1999, p.12)

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2 A meta-evaluation is an evaluation of a set of evaluations. It can be done in one PVO, by the donor agency, or across many different participating organizations. Usually a desk study, the meta-evaluation can focus on methods, findings, sectoral recommendations, and so on.

The next section examines several issues particular to managing evaluation data, including:

- The types of data that evaluation teams need
- The level of detail and structuring of evaluation scopes of work
- What management must say to the evaluation team
- Data collection and analysis choices.

Setting Information Priorities

Management and evaluation teams must decide which information is worth pursuing, given the difficulties in data collection and the particular demands of each funded activity. The teams must, therefore, divide the information strategically. The three determining criteria are:

- Critical to program and activity, and required
- Useful and enriching to a program and/or activity, but not required
- Interesting, but not required.

The key evaluation design parameter is which information is critical. The cost of collecting data is a major, but not primary, factor in determining the methods used in an evaluation. It may help the group and sort process in terms of choosing methods. If information can be obtained directly in a particular timeframe, but is more readily available using a proxy, cost might become the decisive factor.

Table 5: Advantages and Disadvantages with Common Methods

Methods	Advantages	Disadvantages
Document review	- Readily available often electronically - Organization-specific - Well-aimed at target audiences - Shows progress or problems over time - Shows development of activity (responsiveness to change, for example) over time - Illustrates causal linkages	- Volume can be unwieldy - Organization-specific - Does not present context nor does it illustrate individual (or group) impact very effectively - May overstate
Survey	- If well-designed, most rigorously shows relationships, causality, and impact - Objectively verifiable and replicable	- Requires trained personnel and takes much longer than other methods - Can be short-circuited depending on many external variables

Methods	Advantages	Disadvantages
Rapid appraisal	• Illustrates visible differences • "Quick and dirty" • Low cost • Rapid results	• Requires high level of cultural sensitivity • Difficult to attribute direct causality • Can undercut participatory nature of activity
Focus groups	• Can be the most participatory strategy • Minimizes extreme views through group interaction • Low cost • Rapid results • Can be objective, valid, and verifiable	• Facilitator bias can affect findings • Bullying by an individual in the group can limit the full expression of opinions • Language barriers often require translators, slowing and filtering impressions
Interview	• Not much preparation required • Strong interpersonal rapport possible • Can be objective, valid, and verifiable	• Subject to individuals' availability • Depends on evaluators' skill in interviewing to assess individual bias • Hawthorne effect[3] • Strongly subjective
Direct observation	• Minimal preparation required • Low cost • Rapid results • Can be objective, valid, and verifiable	• Can be intimidating to communities • Depends heavily on the observers' skills • Hawthorne effect • Present orientation[4]

Sources: Based on Willard (1998); also see Jones, Young, and Stanley (2004, pp. 49-51) for a slightly different version; World Bank (2002, pp. 12-23); or Guijt and Woodhill. (2002, pp. 6.8-10, 16-17, 20-21).

Data are the basic building blocks of information. There are two major types of data, quantitative and qualitative. There is a popular misperception that quantitative is more accurate and more scientific than qualitative. The way the team constructs the evaluation study, the way they analyze the data, and the way they write a credible report that critically examines the activity's results (or lack thereof) should be the indicators for judging whether or not an evaluation was successful. The management and the evaluation team must choose which method best answers their questions and be able to justify their choices.

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3   The Hawthorne effect is the difference between how someone behaves when unobserved and how s/he behaves when observed. For example, think of the differences in a community when a government official comes to visit – yards are swept, trash is moved out of sight, people wear better clothing, and so on.

4   A present orientation means that the observation takes place only in the present—and has little reference to either past or future behavior. This is why direct observation alone, unless done by someone with experience and expertise, can be very misleading, especially when this is multiplied by the Hawthorne effect. Direct observation is most effective when it is conducted at multiple points during a project, such as at routine supervisory visits, as well as the higher profile evaluative events to help reduce the present orientation and minimize Hawthorne effects.

Interactive Effects of Quantitative and Qualitative Methodologies

There is no reason why an evaluation team cannot use more than one type of data collection, as combining methods can make for a much richer evaluation. Observations, short stories, and case studies all contribute to the context of even the most rigidly quantitative evaluation. For example, an agronomic analysis of fruit crop production is sufficient to show increases by variety and soil type in Tunisia. It has a more immediate relevance if there is also narrative on the impact that these increases made to the lives of the Tunisian farm families.

The argument that quantitative data is easier to analyze because it is numeric neglects three basic scientific points:

1. Any study, qualitative or quantitative, should be set to similar standards of methodological rigor.
2. Any variable can be coded so that it can be statistically analyzed.
3. Numbers alone rarely answer questions regarding social preferences.

The richest analyses are those that combine methodologies. This allows the evaluation team to achieve the following:

- Cross-check data
- Divide up the work most effectively
- Provide the most detailed evaluation of the activity.

Combining techniques also increases capacity building and participation. More people can be involved with different aspects of a range of techniques. It also deflects the risk for individuals and groups (Willard 1998, pp. 36-46). Many of the societies where evaluators work operate more with a group dynamic than the more Western concept of the individual. When a survey is conducted, it is standard practice to interview one person at a time. It is also standard to have between 5 to10 members of the family, neighbors, and so on, all listening to the survey conversation. Focus groups, by contrast, start out with the idea of using the group dynamic. Participation is encouraged versus discouraged (that is, if the focus group discussion is managed correctly), and the group can keep an individual speaker honest. Quite apart from understanding the variations in local social situations, there is also the more severe effects on the individual for begin singled out, such as inadvertently revealing HIV status (because of the selection criteria for the interview) or signaling that the individual has participated in one side of a conflict. These effects can have enormous damaging effects, including death. Survey respondents in Iraq, for example, have been shot for openly participating in evaluations.

> **By and large, however**, the management information is often more "process" and "output" oriented, while evaluation (and managing for results) needs both that level of detail AND more information about "effects" and "impacts." The evaluation plan drafted in the DIP may or may not address all of these concerns (many of which may also have changed over the course of the activity). The evaluation team and the activity management team need to work through which indicators are usable "as is," which might best be combined and analyzed further, which additional questions need to be answered, and how to combine data sources and availability with time and cost factors. Part of this process might include an exercise where the results framework for the activity itself and those of its various funding partners . . . This could determine the availability and utility of the existing indicators for activity, program and policy audiences, as well as how the indicators might be assessed and/or enhanced in the course of the evaluation. (Willard 1998, p. 15)

Effectiveness

The report's purpose needs to be the governing principle in the data collection/analysis tradeoffs stated above: Is the information needed to make decisions about the current project, about others in the same country or sector, or about pursuing additional funding in this country or sector? This speaks both to the internal rigor and validity of the methods chosen (and the honesty with which those results are reported), and also to the way that the organization is going to use the report. This is the main topic of the *Communicating and Reporting on an Evaluation* module. The evaluation manager should be aware of what can be done with the evaluation findings, and work with the evaluator to ensure that the project members and stakeholders who are part of the evaluation team understand the rationale for the data collection choices. The evaluation manager should also, if possible, provide learning opportunities for those staff during the data collection process.

Strategic Choices

The evaluation team, PVO/NGO (nongovernmental organization) management, and the donor are all partners in an evaluation. The design is, therefore, the best opportunity for these different actors to emphasize particular requirements (policy, program) and to highlight particular constraints (staffing, time, and cost). As these particularities affect the way the evaluation team designs and/or chooses its analytical tools, it is important that these are clearly stated at the beginning. It is also important for the evaluation team to recognize that some of the biases (from the client, from the PVO/NGO, from other stakeholders) will not be evident until the team is in the field (if then) and that the team will have [to] be flexible enough to modify their evaluation methodology to compensate for unacknowledged glitches.

Each evaluation team must decide how to use the data most effectively, and which types of analysis best suit both the data and the situation. The evaluation team needs to document these choices carefully, illustrating the trade-offs and interactions between methodologies, situation and the time/cost factors. If reengineering is managing for valid, replicable and complete results, then evaluation is the strongest tool available for assessing the validity, replicability and completeness of those results. (Willard 1998, pp. 56-58)

Enhancing effectiveness in the evaluation process can lead to increased use of the findings; adding capacity building in the process leads to stronger partners and stronger partnerships in the field (and sometimes even stronger partnerships with the network of headquarters' staff). Choosing the correct methodology to strike the right balance between rigor, validity, and bias, as well as using an assortment of mixed methods, are not for the fainthearted. This often means that the evaluation manager needs to follow up on these four key tasks for the evaluation (and either by managing these issues directly or finding the appropriate person who can do so):

> **The latter third** of the evaluation process focuses upon the use of the recommendations and conclusions. This stage is often referred to as the feedback loop, and it generally has two facets: internal learning and external sharing.
> (Church and Rogers 2006, p. 179)

- Scheduling sufficient time and resources within the evaluation process
- Ensuring that the requisite skills and experience are within the evaluation team
- Facilitating the meaningful involvement of stakeholders and beneficiaries through individual and group interviews, and through the use of RRA (rapid rural appraisal) and PRA (participatory rural appraisal techniques)
- Facilitating critical performance and results reflection by implementers and beneficiaries. (IFRC, Module 6, 2002, p. 13)

Participatory Methods, Participation by the Beneficiaries, and the Evaluation Manager's Role

The PVO organizing the evaluation may have a strong preference for participatory methods and for ensuring that the beneficiaries are a vital part of the evaluation process. These techniques and the inclusion of the recipients of the different interventions are vital and vibrant sources of information. This type of preference is usually clear from the initial evaluation SOW, and it falls to the evaluation manager (as the PVO's voice on the evaluation team) to ensure that these types of methods can be incorporated into the blend

developed for the specific evaluation. The methods (and increased community participation) do require some additional commitments in time for the initial evaluation design and for the subsequent analysis of information. Many of the communities where we work are stronger at visual representation (such as a food security calendar) or verbal interaction than written formats. Using a local research institution may help with the basic challenges of translation, but it might make the problem worse because of issues of internal cultural status. In some cases, the ways that the project has already been collecting this type of community-based information should be examined for modification to use with the evaluation-specific questions. For example, the visual aids for training mothers about well-baby practices could be used to lead a focus group discussion on which practices the community knew about and what changes they had observed. Some of the best focus group leaders have been the evaluation team's drivers—they speak the language, they know the communities, they have a similar status with the community members, and they want to be more involved with the evaluation process. Even better is that they are not as personally involved as other project staff, so they can be more objective about the results.

Participatory and inclusive methods tend to take longer than other methodological choices. It takes time to set them up, to train people, and to analyze the results. The evaluation manager should be aware of the time constraints on the evaluation team and work with the evaluation team leader during both the initial SOW discussions and through ongoing management during the evaluation to ensure that there is an appropriate mix of methods within the parameters of time and budget.

Utilization

The *Communication and Reporting on an Evaluation* module goes into much more detail about how to ensure that the evaluation report is a useful tool for learning in the organization. From the evaluation manager's standpoint, however, there are key elements that require management during the evaluation process—both from the start of planning for an evaluation and then when disseminating the results. While the evaluator may be responsible for some of the following deliverables, they are rarely responsible for all of them, and it may fall to the communications or reporting units to extract particular findings or create particular formats (these are discussed in more detail in the *Communicating and Reporting on an Evaluation* module). These vary quite a bit by organization and audience; the more standard an evaluation report format may be, the easier it will be for the downstream deliverables to be used to create secondary analyses. These analyses could even be at a higher order, such as a review of all water and sanitation project evaluations for best practices, rather than highlighting one or two critical findings from a single evaluation.

The evaluation manager should ensure that the report structure and content are sufficiently flexible so that they can be presented in different formats. This may mean that the evaluation report includes both an executive summary and an abstract (almost a press release). Determining from the start the different evaluation products that different audiences would be interested in will help create a more complete scope of work for the consultant and will establish early on that the findings are not going to remain in the project manager's file cabinet (see table 6, below).

Table 6: Evaluation Deliverables

Evaluation Deliverable	Audience	Intended Use of the Information
Final evaluation report with annexes	Project manager, backstop officer, and potentially other technical or management readers in the organization	Change management, determine progress of planned/actual results, review management processes, derive lessons learned for subsequent projects, identify and document challenges and solutions, and provide guidance on how to effect change based on evidence
Executive summary	Country director, organizational line management, and stakeholders	Provides summary information on project status and recommendations, and links back to the full report for additional exposition and analysis
Technical note	Interested parties in the organization, stakeholders, donor and evaluator community	Medium-length deliverable that examines one or two aspects of the evaluation, either process or findings, in sufficient detail to be comparable with other technical findings, often part of a series of deliverables for institutional grants or the basis for organizational outreach to peer networks
Abstract or press release	Stakeholders and general public	Very short form including the principal findings, suitable for most senior management and/or the press
Professional presentation/report	Evaluator and donor networks, and organizational brown bags	Key findings and methodology in more detail (and often with pictures or more active learning methods) of the evaluation
Participant feedback	Field communities	Most informal "voice" of the findings, can be presented during community meetings or as part of regular community feedback to show results of their interviews and potentially ranking with other communities; can be incorporated into community action plans

Source: Author.

It is useful for the evaluation manager to know the audience (and the type of language or format necessary)—even if s/he is not the one tasked with producing these items. Identifying the deliverables needed will contribute to managing the evaluation team, although most evaluators will not be responsible for developing all of these evaluation products.

Evaluation Capacity Building

One element to be included in the scope of work is the intent to provide learning opportunities for project staff during the evaluation process. These learning opportunities often add to the time spent conducting the evaluation, so the time and cost elements factor into how much professional development will be part of the consultant's work. There are clear benefits to including mentoring or patterning in an evaluation, namely:

- Staff will be more actively engaged in the evaluation and thus own the findings.
- Staff's increased capacity and contributions to subsequent evaluations can increase both the evaluation's reach and utilization.
- Staff create stronger teams and can defuse any evaluation fears when they learn more about the process.

When staff are serving as translators during an evaluation, the benefits of training the staff during the evaluation are even more evident. Focus group discussions are considerably livelier when conducted in the local language rather than when translated back and forth. Training local staff in conducting focus group discussions means that the evaluator can observe body language or group dynamics, rather than listening to the translation. It also means that the local staff, during a daily debriefing at the end of the day's interviews, can provide additional context, confirm the evaluator's observations about group dynamics, and note the importance in what was said and not said. Using two staff to conduct focus group discussions, where one staff member records—with permission—the conversations (on an MP3 player, for example) also permits richer text-based analysis of the terminology and gives a more authentic voice to the evaluation report. In many cases, this can also extend the reach of focus group discussions, which can become unwieldy quickly. Focus group discussions are best when there are fewer than 20 people engaged and, in most villages, the "giraffe factor[5]" creates much larger groups and impedes data collection. Having several people trained in focus group

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5   The "giraffe factor" is similar to the Hawthorne effect— people behave differently when they are observed—but takes into account how a foreign evaluator is going to be noticed in a community setting. Everyone wants to find out what the foreigner is doing and, while interest will wane when it is clear that the foreigner is doing nothing particularly exciting, there is still an interest in the stranger. Most evaluators have the experience of turning around suddenly and finding a pack of little boys following behind them or of sitting down to record information and then being surrounded by schoolchildren during a break. This is another instance when having local staff conduct one or two focus groups elsewhere means that the giraffe factor can be controlled by physically putting the evaluator elsewhere. Not incidentally, it can also give the evaluator a much-needed break or a chance to check in with the evaluation manager about progress.

discussions can mean that there are two or more focus groups going on simultaneously (out of earshot of each other, by preference) and introduces an additional way to crosscheck information.

> **While carrying out the evaluation, the evaluators often provide:**
>
> - Hands-on learning to other nationals on how to evaluate;
> - Guidance on project planning, management, and monitoring;
> - Suggestions for better focusing of projects;
> - Draft outlines for a successor project. (UNDP n.d., p. 5)

The Nitty Gritty Details

The evaluation manager
must keep in mind
that ownership of a
task is different from
coordination of that task:
diplomacy is necessary
when talking with
other offices (contracts,
finance) that have a role
to play in whether or not
the evaluation is done,
even though they
are not the direct
project staff.

This is the heart of the module and includes a discussion for each of the major headings about choices, advantages and disadvantages, and rationale. Annex I also includes a checklist tool that the evaluation manager can use to keep track of when different tasks are completed.

The next few sections of the module follow the headings listed in table 7, below, examining the evaluation manager's different responsibilities. Fortunately, there are often other staff who have lead roles in completing these tasks, but it is important for the evaluation manager to be aware of the need to review each task and make sure that nothing slips through the cracks. The evaluation manager must keep in mind that ownership of a task is different from coordination of that task: diplomacy is necessary when talking with other offices (contracts, finance) that have a role to play in whether or not the evaluation is done, even though they are not the direct project staff. Engaging their interest and attention means that the evaluation manager should find out, well in advance, what their requirements may be for the consultant (formats, timeframe, etc.) so that the evaluation manager can successfully coordinate between the supporting offices and the consultant team.

Tools & Resources

Managing an Evaluation Tool

Table 7: Remaining Sections of the Module

Sections	Major Headings	Topics
Evaluation Management	Personnel	Staff detail, visiting staff, visiting partners, and consultants
	Financial	Budget, per diems, personnel, logistical, M&E, and resource management
	Logistical	Travel arrangements (international and local), lodging, community access, translators, editors, and support staff
	Size and Partnerships	Scale of an evaluation, collaborative or shared evaluations, and project versus program evaluations
Evaluation Manager Interactions with Stakeholders and the Evaluation Team	Relations	With the evaluation team leader, donor, communities, partners, organization (especially management), other projects in-country, peer PVO organizations, government; and support for the evaluation manager
	Psychological Elements	Staff wear and tear, fear factor, community reaction, and consultant well-being
Contracts, Communication, and Deliverables	Contractual	Standard consulting agreement, days, roles, penalties, interaction with the scope of work, and consultant negotiations
	Deliverables and communication	Outline, status report/update schedule, draft, and revised final, invoice, and expense reports
Organizing the Evaluation	Organizing the evaluation	Work plan and timeline, and schedule for field visits
Dealing with the Unexpected	The unexpected	When to reschedule an evaluation and what might cause it

Evaluation Management

The three main components in managing an evaluation are: personnel, financial, and logistical. The good news for the evaluation manager is that the first two are generally the job of other individuals in the organization, although it falls to the evaluation manager to make sure that there is communication between those individuals and the evaluation team, as well as ensuring that specific money and time concerns are not neglected.

Personnel Management

Within personnel management, the evaluation manager has two chief concerns. The first is the evaluation team's basic composition, and the second is making sure that any personnel issues connected with the evaluation team are addressed expeditiously.

The three key elements in putting together an evaluation team are:

- Credibility
- Team planning
- Conflict of interest.

Credibility refers to the match between skills/training with knowledge of the activity and the organization. For example:

- Will these individuals do the job, compensating for their own biases (about the type of activities or the type of PVO) with sufficient methodological rigor and expertise?
- What selection criteria will be used to ensure that stakeholders will have confidence in the evaluation's findings?

To a certain extent, this refers back to bias (described above), but it also refers to the more general level of belief in the evaluation findings. For example, someone with a great deal of Indian experience is likely to doubt findings from a Gujarat mixed-gender focus group that indicated women spoke up freely in front of the men in the group. This will cast doubt on the rest of the findings for the reader, because it represents an anomaly (an unusual case) in their experience.

Team planning requires matching different types of expertise into a coherent whole, balancing individual abilities with the evaluation requirements. Expertise can range from technical to regional to linguistic, and all these abilities must be weighed when assembling the team. Identifying skill clusters necessary to accomplish the evaluation should determine the consultants, not vice versa, and it is up to management to determine the best fit. The degree of coordination required also means that a balance must be found between the strengths of internal and external evaluators. Team planning requires the most coordination between the different stakeholders and evaluation team members.

Team planning meetings are a good way to determine if the team members are going to get along during the evaluation. It is preferable that these meetings are held at the PVO headquarters, where some additional interviews can be conducted, documentation obtained, and the scope of work finalized. One can propose candidates for the team, but it is often only during the team planning meeting that the abilities of the team members start to gel, and it may be possible to change partnering on different evaluation components to manage the combination of different personalities. Even with the best team planning meeting, there may still be combustible relationships between evaluation team members (such as longstanding feuds), and it will fall to the evaluation manager to provide a buffer and a listening ear. This is not to say that evaluators are not professional, but sometimes the stresses of working in the field or of prior history can cause problems for the evaluation process.

One additional constraint is that fewer people are more manageable than a larger group and are also far less intimidating. This may often mean compromising between level of skills in the skills matrix. Someone who can manage a number of content or skill areas well may be more valuable than a single individual who does one thing superbly. Again, it is a matter of balance and priorities, tempered by the availability of the consultants and the internal staff.

Conflict of interest has become a thornier issue for USAID in recent years, in part due to the permeability of positions in the international development field. While there is no hard and fast rule, design team members and people who have had contract and/or technical oversight for the activity are usually excluded from evaluations of those activities. This can become an issue for the team planners to consider as they assemble an evaluation team. It does highlight an additional subtlety involved with external and internal evaluators, however, these categories are not fixed in stone.

Personnel issues that arise during an evaluation are often a function of the schedule; for example, someone was available for week one, but the schedule changed and now the evaluation manager needs to find a substitute

for the original candidate. Depending on the individual's position on the evaluation team, this may mean finding someone on another project (for the same organization) or it may require going back to the project director for suggestions on casting a wider net for the position. Personnel issues can also be a function of personalities compounded by the more general stress of having an evaluation done (of your project). The evaluation manager may need to serve as the sounding board for airing these differences and then find solutions to resolving them. One way to prevent fatigue from creating more problems for the evaluation is to manage the schedule. There should be some down time from data collection, both so the team can rest and so they can start to absorb and analyze the volume of information. Or schedule time when different team internal members can return to their usual tasks, so that they do not feel pressure from their own offices about undone tasks; schedule their time when their particular skills can be more usefully deployed for a different evaluation task.

The team leader is likely to have strong opinions about who needs to work which tasks and will often be reluctant to slow down. This is where the evaluation manager becomes key in taking the lead in managing time, so as not to alienate either the rest of the team or exhaust the consultant.

Financial Management

Fortunately for the evaluation manager, most of the financial management aspects falls to the accountants and other financial staff in the organization. However, there are two elements where the evaluation manager should understand the connection between the evaluation and general costs—running costs and M&E budgeting.

Running costs: The evaluation manager should know what was originally budgeted and ensure that the evaluation team members who are leaving for fieldwork have sufficient time to obtain travel advances from the financial office (as obtaining advances can take several days). If the evaluation manager is not traveling with the team, the team leader or someone else on the project staff should be the banker for field expenses, such as fuel or lodging, and then expense those upon return to the main office. Keeping a running tally of expenses will also give the evaluation manager an idea of how fast the evaluation is spending money and whether or not the pace of data collection will outstrip the funds available. If it looks as though the evaluation is going to run out of funds early, then the evaluation manager needs to contact the project director and the team leader to find out what the available options are. These may include finding funding from another source or possibly reducing the scope of the evaluation, so the manager should resolve this as soon as the problem is noted.

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Tools & Resources

Budgeting Monitoring and Evaluation System

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M&E Budgeting: Budgeting for the overall project M&E depends on the project size and the donor requirements. Annex II contains a tool to help ensure that there is adequate funding for each evaluation (as part of the overall M&E system). Please note that this is an Excel file and that the data used are illustrative.

Management choices will determine the evaluation costs. These choices include:

- Methodology
- Team composition
- Rarity of necessary skills
- Depth and range of coverage
- Complexity of the results framework.

Additional cost elements are for translation, for in-country cell phones (with the consultant buying additional minutes), and for other logistical costs (such as an identity card). In some conflict settings, it is also important to budget for security to accompany the evaluation team. The evaluation manager should look at the usual costs for any visitor to the project and then take into account the need for communication with a consultant in determining the budget line items. If the country program keeps a small supply of local cell phones with staff numbers already programmed in, the cell phones will be useful for the consultant. It is also a cost-effective option, as there is minimal additional expense.

By their very nature, evaluations are expensive undertakings. There are several different ways to help manage costs. One of the more intriguing trends in recent years has been shared or collaborative evaluations between two or more organizations. These clearly work best when there is significant overlap between the projects, either geographically and/or sectorally. This does require a fair degree of coordination and transparency between the organizations and generally requires a slightly larger team (to deploy to multiple locations), but it also increases the possibility of building evaluation capacity, as well as increasing the utilization of evaluation findings because they are part of a shared experience.

Cost Savings

The evaluation manager should be able to calculate not just the evaluation's running budget costs, but also be part of any conversation on cost-saving opportunities. Not all of these will help the evaluation, however, but part of the evaluation planning process means balancing information requirements with the available pool of technical abilities. This section outlines some opportunity costs as a cautionary element in the scheduling and budgeting process.

Piggybacking

First of all, evaluation team members can link multiple trips (piggybacking), which creates the possibility of cost-sharing among different organizations (more than one PVO in a given country, for example, or one PVO and a mission-funded study). This upfront savings, however, can result in one member of the evaluation team curtailing his or her involvement in the report-writing phase of the first consultancy when undertaking the next one. This can be mitigated, but will probably delay report-writing. This may cause resentment among remaining team members and tends to mute the evaluation's team tone and consensus. Many evaluators will accept more than one assignment at a time, especially when the client PVO has demonstrated a past tendency towards postponing assignments, and most often when there is more than one client in the country in which the fieldwork is being conducted. Among independent consultants, this strategy is generally known as paying off your mortgage or sending your child to college. Timelines need to be watched carefully to ensure that all the different work can be squeezed into one trip.

Streamlining

Streamlining data collection and analysis is a somewhat more risky decision from a methodological standpoint. This does not just refer to secondary information or document review and is generally only possible with a well-organized PVO that has already done a very thorough pre-evaluation. It requires considerable and readily available information, and robust methods for accessing results-oriented information.

A good example of streamlining would be a series of focus group interviews, clustering the respondents by geographic location or types of interventions. It is important to keep sight of what the results are supposed to be and to ensure that the indicators actually measure those results for the evaluation.

Hidden Costs

The two examples of piggybacking and streamlining above present somewhat more visible opportunity costs. There are also hidden opportunity costs in

terms of the degree of participation fostered by the evaluation team and the activity's stakeholders. An evaluation presents a tremendous opportunity to increase skills, disseminate information, and generate a more favorable environment for additional efforts.

The evaluation can also create an enormous burden on the PVO and NGO management in terms of time spent away from other managerial tasks. Some examples of this type of burden might be if there are poorly directed meetings with evaluation team members or if there are high support requirements of the evaluation team (such as access to computers or vehicles, or other services such as copying or translation) (Willard 1998, p. 30).

CIDA's Evaluation Manager and the Evaluation Team Leader should strive to develop a good working relationship during evaluation planning, establishing a dialogue that leads to effective interpersonal communications throughout the life of the evaluation. It is important that both parties come out of the planning process with a clear and single understanding of how the work is to be performed, who is to do what, what is to be produced, and when deliverables are expected.

Once approved by CIDA, the work plan becomes the key management document for the evaluation, guiding delivery in accordance with the Agency's expectations throughout the performance of contract.

In preparing work plans, evaluators are expected to build on what was put forward in the TOR to identify what is feasible, suggest refinements and provide elaboration. CIDA's Evaluation Manager is to be kept apprised of progress and may be asked to clarify requirements or expectations – or to provide advice. (Jones, Young, and Stanley 2004, p. 41)

Logistical Management

Logistical management is perhaps the most critical component for the evaluation manager. There are a lot of smaller tasks connected with conducting an evaluation; making sure that none of these are forgotten can make the difference between an evaluation that is on budget and useful, and one that is not. As the initial evaluation work plan is being developed, it is helpful for the evaluation manager to consider the following tasks within the work plan and double check the budget costs associated with those tasks.

Starting with the scope of work, specific tasks are listed with different levels of effort associated with each task. When multiple field teams are operating, the level of effort can rapidly increase for single tasks, even though the number of calendar days spent accomplishing those tasks remains the same (or even decreases) (see text box, below).

The combined effects of budget, skills, and time may mean that the evaluation manager is moving funds from one line item to others, so the evaluation manager should work closely with the project's finance officer to make sure that these changes are done properly. It is only when the evaluation looks as though it is going over-budget that project management needs to be advised. At that time, it may be necessary to have another conversation with the evaluator and project management about the relative merits of different data sources and cost options.

> **Are Two More Than Twice As Good as One?**
> Say the evaluation planned on having the team leader conduct 10 focus groups and budgeted a total of 5 days to do this task, knowing that it would take time to go from one community to the next, as well as time assembling the focus group members. However, after the first couple of days, it was clear that another team member was also adept at conducting focus groups.
>
> Should the evaluation use both individuals to conduct focus groups? Consider these options:
> - The evaluation might be able to have more focus groups, with a wider distribution of communities involved in those tasks, if the evaluation budget can stretch to include the additional vehicle and driver to permit parallel data collection.
>
> - The evaluation team leader and the other team member could alternate conducting focus groups in each location, freeing the other member to more directly observe either the group interactions or some of the physical improvements to the communities, so that each community visit becomes considerably more information-rich.
>
> - The field time might shrink to only 2.5 days, because there are two different teams to run the same number of focus groups.
>
> *Source:* Author.

Evaluation Size and Partnerships

Sharing the evaluation space by partnering with another PVO or working with academic institutions contributes to making the evaluation team and scope of work much bigger. This increases the evaluation manager's work as well, especially with respect to the coordination among many more stakeholders. As Title II programs move towards a consortium model to cover more territory and more sectors, the same Title II evaluation that might have taken three weeks is probably going to double in size and cost to attain the same level of rigor. Partnerships with academic institutions also take time to negotiate and are often only possible during the major gaps between semesters—which may or may not work for the evaluation schedule. The larger the evaluation and the more partners are involved with the evaluation process, the bigger the role the evaluation manager will have

to ensure that there is smooth coordination and communication between all the stakeholders. A single project evaluation may cover an entire country; a sectoral review or a program evaluation can cover multiple countries in which the PVO fields numerous separate teams simultaneously. Try not to have a novice evaluation manager or even a single evaluation manager manage all these (in essence) separate evaluations alone. With a complex series of evaluations, a strike force of evaluation managers may be needed, each with discrete tasks and coordinated through a more senior technical advisor.

Evaluation Manager Interactions with Stakeholders and the Evaluation Team

One of the biggest challenges for an evaluation manager is to shepherd the evaluation to completion without letting the process damage existing relationships among stakeholders. These relationships may already be fragile or difficult, and evaluations can make even good friends uncomfortable with too much information. Part of the evaluation manager's job is to make sure that communications are as smooth as possible and to ensure that schedules can be met with a minimum of disruption. At the same time, the evaluation manager is also the problem-solver for the evaluation team and needs to find ways to help the team function as smoothly as possible.

There are two common responses to negative conclusions from an evaluation: discount the methods or criticize the evaluator. (Church and Rogers 2006, p. 173)

The Relationship between the Evaluation Manager and Evaluation Team Leader

The relationship between the evaluation manager and the evaluation team leader is a key part of a successful evaluation process. The evaluation team leader needs to trust that the evaluation manager will do what is required, and the evaluation manager needs to trust that the team leader will accomplish his/her tasks. In an ideal situation, the evaluation manager is someone that the team leader already knows and trusts, perhaps from an earlier assignment. Circumstances are rarely ideal, however, and one of the best ways to establish an effective working relationship is for the two individuals to stay in contact via email as soon as the evaluator is identified. The two need to discuss what the evaluator needs to have in place, logistics, and other items. This is a very short and intense relationship, and therefore it works best when both parties can be transparent about their requirements and expectations with one another. If at all possible, given the time and budget constraints present in any evaluation, it is useful for the evaluation manager and the team leader to spend a day or so together to prepare for the arrival of the rest of the team and for both parties to discuss how they will be able to facilitate the other's work. The evaluation manager may have a strong interest in evaluations, and this time can usefully be spent together building the evaluation manager's capacity.

Stakeholder Relationships

The evaluation manager is often the lead communicator between the evaluation team and the rest of the stakeholders. This is a role that starts during the pre-evaluation so that the different stakeholders have a say in determining more of the evaluation process—such as particular methodological options, scope, and types of questions asked. It also means continuing to keep those stakeholders informed through routine communication such as meetings, emails, and the like, so that they know the evaluation status and can be asked in a timely manner for additional assistance in gaining access to missing information or opening doors that an outsider might not have. This is important in keeping the evaluation running smoothly. Evaluations should be about learning from the past and creating an environment where that is possible. This is often difficult when the organization (or specific stakeholders) feels threatened by the findings.

The project director (and country director) should have short weekly updates from the evaluation manager, so that they can convey a status report to any stakeholders who may ask, especially if the evaluation team has requested interviews from the stakeholder's office. This shows that the organization is communicating with its component parts; making sure that the organization communicates with its partners effectively is only partially the evaluation manager's job. The evaluation manager needs to communicate information about the evaluation process and, eventually, about the evaluation findings. This helps the organization as a whole, but the evaluation manager will often need additional support from more senior management to do this as effectively as possible. This may be due to access to stakeholders or to the evaluation manager's position in the organization and, thus, it falls to the more senior management to ensure that the information the evaluation manager provides to them is communicated farther upstream. This is true for positive as well as negative findings, as communicating openly with stakeholders is often an exercise in tact and diplomacy. And, it is something evaluators should not have to do.

Support for the Evaluation Manager

It is very important for project management to check up on the evaluation manager. If a more junior staff member is chosen for this role, s/he may need help with figuring out the best way to organize flowcharts and workloads. The manager may also need some help making the different decisions; management should double check that they do, indeed, have authorization and the right information or forms to arrange for vehicles and to make other logistics arrangements. If a more senior staff member is the evaluation manager, s/he may not need as much help with the routine details, but s/he may still want to discuss different decisions over and above the regular

communication with project management about the evaluation's progress. The organization needs to recognize that the evaluation manager is doing this task in addition to (or instead of) the staff member's regular duties, and that this task has both positive and negative effects on that staff member. It is a good opportunity to learn more about evaluation techniques and to gain experience in management. It is also a headache. As a result, project management (or those higher up in the organization's structure) should find meaningful ways to recognize the evaluation manager's work, to cultivate those skills in junior staff, and to acknowledge performance. This could be timed to the after action review (discussed below), when the experiences are still fresh.

Psychological Elements

Part of working with a consultant is to determine if his/her personality and working style will be a good fit, both for the organization and the cultural context. Some useful questions to ask the consultant's references are as follows:

- **Timeliness:** Did they meet the milestones and deliver the product on time?
- **Responsiveness:** Were they flexible enough to deal with unexpected challenges or delays? Did they respond to the project team in an appropriate manner?
- **Relevance:** Did they follow the terms of reference?
- **Professionalism:** What was their work style, communication ability, or degree of cultural sensitivity?
- **Evaluator Good Practice:** Did they engage openly with the project team? Did they proactively explain their decisions based on good practice in evaluation?
- **Evidence-based Conclusions:** Were the report's conclusions evidence-based or mainly conjecture? (Church and Rogers 2006, p.165)

Evaluations are stressful. There is a great deal of work, and there is never be enough time to do as good a job as one would like. Evaluators are very good at being mad at themselves for not being perfect and can be impatient with others for wanting to settle for working less than 24 hours a day. Evaluators can also get extremely testy if they are working 24 hours a day. While it is certainly true that evaluators are adults, sometimes it will fall to the evaluation manager to insist on a rest day, or a change of pace, or a birthday celebration, just to lessen the evaluation intensity. Finding a massage therapist for the lead evaluator will pretty much guarantee you a friend for life or simply insisting that there is a regularly scheduled half-day off will make for a team with a bit more emotional resources to cope with the rigors of an evaluation. While schedules are frequently tight and there may not be enough time to take a weekend off in the midst of the data collection, it is important

to try to find the time for the evaluation team and, not so incidentally, the evaluation manager, to take a few days away from each other between major evaluation events (such as the end of the data collection or the return to the capital city).

Contracts, Communication, and Deliverables

Any negotiations between the consultant and the organization are best left to the contracting specialist and the project manager.

Communication and deliverables will be the evaluation manager's direct responsibility. Fortunately, the evaluation manager can pass the most difficult part—contracts—to others in the office.

Contracts

There are two major types of contracts: a fixed price fee and a cost plus expenses. The fixed price fee is based on a deliverable's production, while a cost plus expenses contract can incorporate more of the process of producing the deliverable. In both cases, in finalizing the scope of work, the consultant should note the specific number of days that it will take to produce the report (including data collection and other tasks), with some specific line items regarding travel and supplies. The major difference occurs when a consultancy is running over the time allotted, as it is easier to alter a cost plus expenses contract than a fixed price one; with a fixed price contract, the consultant may find that the extra days are simply the cost of doing business and s/he cannot charge the additional time.

A contracting specialist at the office will draw up an organizational standard contract for this consultancy, so the evaluation manager will not have to manage this task. The evaluation manager should keep a copy of the contract with the rest of the evaluation's administrative materials. The only action that the evaluation manager may need to take is to sign off when the final product is delivered and approved, so that the consultant's invoice can be processed (note that for performance deliverables, this process may vary from one organization to another). If the evaluation manager does not sign off on delivery for a particular cause, such as the quality of the report, then the project manager and the evaluation manager need to determine the best remedial course of action with the consultant.

Any negotiations between the consultant and the organization are best left to the contracting specialist and the project manager. The evaluation manager should know if there were particularly contentious issues, but s/he does not need to be engaged with those negotiations. It is probably more helpful if the evaluation manager stays outside of those discussions, as money issues can overtake an assignment.

The evaluation manager becomes critical in determining if the consultant has not met the contract terms. This may be because the deliverables are substandard or late, or both, or the elements defined in the scope of work were not completed. Because the evaluation manager will have the timeline for the work and will have been communicating missed deadlines to the project management team, this should be something that simply could not be fixed without any other solution. In this case, the evaluation manager should be objective and make a strongly evidence-based case.

In rare cases, after completing his/her part, the evaluation team leader may be completely unsatisfied with the final evaluation report. This could be due to the evaluation team leader, or it could be due to the way the organization rewrote the evaluation findings in a more positive light. In one memorable case, the organization turned over the writing to other team members when the evaluation team leader had to leave the evaluation early due to unforeseen circumstances. In that case, the team leader may request that his/her name be taken off the evaluation report. In these cases, determining whether full or partial payment should be made to the team leader should be made by the most senior managers for the project to avoid the possibility of litigation.

Communication

The evaluation report represents almost the final step in evaluation management. One of the first tasks would have been to set up the communication schedule and review it with the evaluation manager and the lead consultant, covering how often and how the consultant checks in, and who else will be involved in these brief communications. Consultants often have their own comfort level in communicating the progress of particular assignments, and these communications will often vary depending on whether or not they have worked in that country or with that organization before. Some consultants like a more collaborative approach and want to engage the client as often as possible. Some evaluation managers (and some organizations) simply want routine reports, without a lot of additional chatter. Find a communication strategy that fits both requirements as much as possible and stick with it. If the evaluation manager does not want to get three dozen emails per day from the consultant (and no one else on the project wants to get any), then that needs to be conveyed right from the start so that s/he can manage this level of communication. Sometimes managing communication is as simple for the consultant as starting an email in the morning and then adding to it over the course of several hours before sending. This process may or may not be able to be adjusted along the way, so it is best to define it early on.

The evaluation manager also needs to have a routine communication schedule with project management. Determine the best schedule, but be flexible, so if there is a significant event or problem with the evaluation, it is conveyed to contact management immediately.

Deliverables

The consultant and the evaluation manager should have established specific benchmarks as part of the evaluation schedule for writing up the report (or any other deliverables, per the *Communicating and Reporting on an Evaluation* module), as the final report often gets delayed or derailed in the press of other assignments. Some consultants will leave behind draft findings at the end of the field visits, using a rough outline of the overall evaluation report. This gives the project team a chance to review those findings with the consultant and determine if the report format is appropriate and adequate for their needs. After that, the consultant usually returns home to complete the report. If other information is needed, or there are some facts to be double-checked, it will still fall to the evaluation manager to ensure that the necessary information gets to the consultant.

Box 2: Evaluation Process

Stage I:	**Groundwork**
Step 1:	Understand evaluation basics
Step 2:	Identify evaluation manager, evaluator, and primary users
Step 3:	Determine purpose, intended use and scope
Step 4:	Organize project documentation, information and logistics
Stage II:	**Evaluation Design**
Step 5:	Make design methods and measurement decisions
Step 6:	Design and test data collection instruments
Stage III:	**Evaluation Implementation**
Step 7:	Collect data in the field
Step 8:	Organize and interpret data
Stage IV:	**Evaluation Utilization and Learning**
Step 9:	Communicate findings to intended users

Source: Author.

The report length and the time it takes to write the report are not always directly correlated; a shorter report can be harder to write, as it requires a great deal of initial analysis before it can be condensed into a summary. A longer report may take more time to write, especially if there are multiple authors involved in the process (and the team leader needs to manage the team and edit the different writing styles into a more coherent whole). And a shorter report may not answer all the questions the project team has about their process, let alone about the status of their work. Longer reports may include the answers to questions that the evaluators are personally invested in or a more academic approach to analysis (with many citations and footnotes).

The evaluation manager should meet with the project team during the preplanning phase and determine the most effective format for the evaluation report so that the findings will be useful and more likely to be used. Then it becomes the evaluation manager role's to work with the consultant to produce the particular deliverable, without affecting the evaluator's ability to report fearlessly (yet diplomatically) on key evaluation findings.

If there are other deliverables specified in the contract, then the evaluation manager should ensure that these are also well underway and that the consultant has a particular schedule for producing the deliverables before or relatively soon after leaving the country. Some evaluation deliverables may be produced in-house, and the project manager may need to decide who writes what pieces, as it may not be the evaluation manager.

Organizing the Evaluation

While there may be differences in how an evaluation is organized based on the team composition, on the technical sector(s) being evaluated, and on the evaluation purpose, most evaluations follow a fairly standard set of steps. For example, Catholic Relief Services (CRS)/Zambia developed a 10 step-process for the different phases of the evaluation process, based on its experiences conducting 4 recent evaluations (and derived from Patton's utilization-focused approach to evaluation). Its 10-step process extends over the 3 modules in this mini-series; these are included here as an interesting field adaptation of headquarters guidance (see box 2, above, for these steps). Determining who takes responsibility for which step and then determining a timeframe for each step is first a function of the people who wrote the scope of work; the rest is a mediated process between the evaluator and the evaluation manager. Part of this process can and should be done during a pre-evaluation, so that the basic information (project documentation, maps, key contact people in the communities, list of stakeholders, and so on) is assembled prior to the arrival of the consultant team (see the *Preparing for an Evaluation* module for more information). This is true for internal as well as external evaluators.

It is helpful to have a specific timeline for the different data collection, analysis, and writing tasks. This gives both the evaluation manager and the evaluator specific benchmarks and makes managing the evaluation process easier, as well as making any adjustments to the evaluation schedule more transparent and rational to more senior managers in the organization. Using a format like the one for the pre-evaluation will help make sure that all the tasks are completed.

Dealing with the Unexpected

Most PVOs work in an environment of uncertainty. Changes in factors outside of the evaluation manager's control or even outside of the organization's control can affect not only how the evaluation is done, but also whether or not it is completed. This section explains the risks and pitfalls of working in this environment, when it may be necessary to "pull the plug" or halt an evaluation, and what this means for the parties involved. In any of these rapidly changing situations, it is critical to communicate quickly and effectively with the key decision-makers. The communication made and the decisions taken vary, depending on the situation and on the implementing organization's internal resources and mandate.

Macro-Economic Changes

This section details the impact of three factors—exchange rates, fuel prices, and ability to travel—that are outside of a project's control but can have a profound effect on an evaluation. Evaluations should operate within a particular budget. As US exchange rates fluctuate up or down, this has implications for the project's budget. If the fluctuation is downward, a smaller budget can have moderate to terminal effects on the organization's ability to conduct a thorough evaluation, as reductions in the exchange rate affect both the larger project budget and the individual consultancy choices of independent evaluators. A weak dollar means that some assignments may be refused for assignments paid in Euros or that longer assignments are preferred to shorter ones. It also may mean that the evaluation manager on a reduced budget may now need to:

- Reduce the evaluation scope and duration
- Alter the evaluation team composition
- Piggyback other evaluative or reporting activities onto the evaluation (with a resulting change in the evaluation team's scope of work).

Option 1: Reduce the evaluation scope and duration—this is a decision made by project management and/or the organization.

The evaluation manager should:

- Communicate immediately with the consultant regarding the change in terms to determine if the consultant is willing to proceed and determine how the change in the timeframe affects key data collection

methods (this may also require a change in consultants if the original consultant is unwilling/unable to accommodate these changes). Methodological changes can result in a less rigorous evaluation if these are not approached thoughtfully or if there are severe budget cuts. Most consultants can propose alternative methods and are sufficiently realist to adapt to changing circumstances.

▪ Communicate immediate with the donor regarding any necessary approvals to the change in the scope of work with an explanation and see if it is sufficient for donor approval to proceed. Depending on the donor requirements, there may be other ways to fund the original evaluation, but these may not come from the original donor. There may be other funding sources if there is advance notice of the shortfall, including approaching the implementing organization for funding.

Option 2: Alter the composition of the evaluation team. This may mean using more internal staff people and fewer consultants, or simply using fewer consultants. It can mean greatly increasing the workload for the consultants or decreasing the evaluation's technical rigor and reach.

The evaluation manager should:

▪ Communicate immediately with the evaluation team leader. For example, the team leader will not be happy to arrive in-country to find that there is now no one covering the nutrition part of the food security evaluation and that this is now going to be an additional part of her/his work.

▪ Communicate immediately with the team responsible for putting together the scope of work so that it can be modified accordingly. This may result in the sudden unanticipated availability of regional or HQ staff to fill in.

▪ Communicate immediately with the donor about changes in plans and get clearance from them for the changes.

Option 3: Piggyback the evaluation with an additional reporting (or training) activity. It is unlikely that this will save the budget more than one or two round-trip airfares, but it could be turned into an evaluation capacity-building exercise that includes additional staff. And that might come from another line item in the project budget, so it might offset the reduction in funds due to the currency fluctuations.

The evaluation manager should:

▪ Communicate immediately with the evaluation team leader. For example, the team leader will not thank you if s/he arrives in-country to find that s/he is now spending two extra weeks training staff in basic principles of monitoring and evaluation, or running a workshop on "How to Complete an Annual Report," and s/he may be unavailable.

- Communicate immediately with the team responsible for putting together the scope of work so that this can be modified accordingly. And definitely double-check with the finance staff and make sure that this is a legitimate use of project funds.
- Communicate immediately with the donor about the changes in the plans and get donor clearance for the changes.

Political Instability

If the in-country situation is unstable and it is unsafe to travel, perhaps because of civil unrest or the negative after-effects of an election, it is not a good idea to go ahead with an evaluation. This is the wrong decision. There are, naturally, degrees of unrest; for example, a national teachers' strike is clearly less problematic than prolonged rioting in the capital city. A key element to remember for any consultant is to purchase travel insurance to cover reimbursement for unused flights (most travel agencies automatically add this, but it is useful to ask). The best judgment is needed, but one should also take into account that situations can change rapidly. If the decision is made to proceed with an evaluation and the situation deteriorates to the point where to the team needs to be evacuated, these costs will automatically double the price of the evaluation. Rather than trying to predict when the situation will stabilize, it is often safer to postpone the evaluation entirely. In this instance, the evaluation manager should once again communicate with the evaluation team, project staff, and donor with an explanation for the delay. It may mean finding another consultant, if the original consultant is no longer available or, as with the previous unexpected case, changing the scope of the evaluation to take into account the changed circumstances.

During the Gulf War, many PVOs found themselves unable to field evaluation teams, so they developed a "work around" in conjunction with the donor agency. Some PVOs did desk reviews as the final project evaluation and then later contracted with teams to do a more-or-less impact evaluation in the field more than a year after the projects ended. This was a risky strategy as the effects may have disappeared, but it could pay off, as the evaluation could directly address the sustainability of a particular type of technical assistance.

Severe Weather and Travel Advisories

Sometimes teams can plan around known weather patterns such as cyclones and floods. For example, in Cambodia, some villages always get cut off during the rainy season, and a boat is needed to get to the villages. That's a logistical problem. The trouble with weather is its unpredictability, as with the security situation above, the best advice is to be sensible. Major disasters cannot be predicted, but reasonable precautions can be taken. If the weather suddenly deteriorates to the point where the team cannot work safely (such as a cyclone in Myanmar), it is time to implement the evacuation and contingency plans

worked out with the team, including notifying their emergency contacts. Not only will this affect the team's ability to conduct the evaluation, but it can have two unforeseen effects on evaluation findings. The first is a negative effect, for example, when the roofs in the village in a disaster preparedness/food security project caved in when the rice stockpiled (on the roofs) swelled up from the excess moisture from the storm. The second is a positive effect, for example, when a cyclone-proofed school building withstood the tsunami and provided additional shelter for community members for months after the wave hit. When the evaluation is rescheduled, the consequences of the unintentional should be captured, as they can point towards the community's willingness to work with an organization again (the positive case), or where some additional community outreach may be warranted (the negative case).

As with the above scenarios, it is imperative that the evaluation manager inform the stakeholders about the change in schedule and circumstances, especially with respect to potentially needing to find a new team to fit the new schedule. It is clear that this is not likely to be the implementing organization's first order of business, which is probably going to be directed towards relief efforts, but it should be given priority. At a minimum, the information collected during the pre-evaluation may help to jumpstart any needs assessments conducted as part of the relief operations.

Team Health Emergencies

Emergencies occur, sometimes involving the consultant and team members, and sometimes their families. There are two elements that the evaluation manager needs to take into account. The first is the initial purchase of medical evacuation (Medevac) insurance for the consultant and team members as part of their contracting process.[6] Medevac insurance covers medical emergencies in-country either at medical facilities in the capital or by evacuating the injured or sick individual to another location. The second is to acknowledge the basic human priority of the need to be with family in times of crisis. If a team member needs to return home because of a family emergency, it may be necessary to reschedule the evaluation, find a replacement for the team member, or modify the scope of work to compensate for the absence of the team member. In all these cases, the same process of communication and coordination that plays a role in other unexpected circumstances will apply. In addition, it would be appropriate for the implementing organization to write formally to the affected individual with an expression of support. In the stress of doing business in the humanitarian sector, it is too easy to forget that family emergencies are important too.

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6   Medevac insurance is usually required for consultants by the donor organization.

Legal Issues

Visas: In most cases, it is relatively straightforward to get a visa. Whenever possible, the consultant (and/or the implementing organization, if they normally take charge of this) should have a visa in hand before arriving in-country. Some countries issue visas when the person arrives or do not require visas for individuals of certain countries. It is important to find out the visa rules prior to departing for the country to ensure that there are no surprises waiting at the airport—such as individuals being detained by airport security because they did not have the appropriate visa or because other paperwork was incorrect. Another legal issue is to make sure that the consultant is allowed into (or back in) that country. This is basic due diligence.

Individual conduct: In most cases, the implementing organization is asked to write a letter vouching for the individual's conduct in-country. If legal issues occur during the evaluation process, the evaluation team should be considered as members of the implementing organization and entitled to the appropriate level of representation. Many evaluators have been in minor car accidents during an evaluation, some of which have resulted in either personal injury or property damage. All accidents should be reported to the local authorities as soon as possible (unless this raises additional issues) and communicated to the evaluation manager (or country director, if need be). Not all car accidents are minor, and the evaluation manager needs to respond based on the PVO's current policy. Other legal issues have potentially major consequences and need to be taken seriously. While most consultants and staff are honorable people, even the most honorable person can make a significant error in judgment or be in the wrong place at the wrong time.

Security: Security is an important aspect to consider in conducting an evaluation. In dangerous settings, staff may be victims of a crime. PVO personnel are vulnerable; recent news headlines report abductions in Afghanistan or deaths in the Sudan. These also require legal actions and timely communication on the part of the evaluation manager with more senior management in-country and at the organization's headquarters.

Personnel Changes

PVO staff tend to be very mobile. This always presents challenges to any evaluation, as when people change jobs, critical people may no longer be available. When staff change happens during an evaluation or even worse, when the evaluation manager leaves, there is a risk of losing both momentum and institutional memory. When personnel leave, there is often no overlap between outgoing and incoming staff, so this can mean that someone is tasked with covering a position with little or no preparation. This is why the pre-evaluation is so important and why a communication schedule needs to be

established with the evaluation team so that they can also be used to complete tasks. Keep contact information for the previous incumbent so that s/he can be reached in case of an emergency (for example, to find the keys to the filing cabinet). Make sure that the evaluation process is documented and kept up to date. It is remotely possible that the evaluation may need to be postponed if the original workload cannot be covered, so the PVO's senior country management should be kept in the loop to ensure that this decision can be made in a timely and humane manner.

Implications of Rescheduling the Evaluation

Any of the factors above could result in rescheduling or, in the worst case, cancelling an evaluation. With adequate communication, rescheduling can be a manageable process. It does have implications for costs (if the evaluation team is already in the field), or if the chosen consultants are no longer available. Where this becomes somewhat more serious for the organization, however, is if there is a consistent pattern of postponements. The donor will notice this and, perhaps more importantly, the evaluator will notice (and often it has significant implications for his/her income). Many PVOs have a roster of consultants that they use for evaluations, and most consultants have a short list of friends and colleagues that they then go to when they cannot accept a particular assignment. This is a tightly-knit community, and good consultants tend to have their work year planned out quite far in advance.

When an evaluation is initially scheduled, the consultant chosen makes time available for that assignment and often turns down other jobs to perform this work. Rescheduling once may or may not be possible for the consultant; the evaluation manager may need to use the evaluation networks (the organization's and the consultant's) to find a replacement. Most consultants with long-term affiliations with an organization will try to accommodate some changes in schedule, but it is simply not realistic to expect that an individual will keep six months open for near-constant postponements. What is more likely to happen, with good communication between the evaluation manager and the preferred consultant, is that the new time for the evaluation will be one that fits with the consultant's schedule (and which may have had some judicious reshuffling to accommodate the long-term client).

Too many postponements, however, will probably wind up with a shift from an external evaluation to an internal review, and with significant decreases in rigor; rather than an evaluation, it becomes something to check off on the project's to-do list. In the case of a mid-term review, it may also mean that the redirection a project could have accomplished with sufficiently detailed recommendations becomes more of a case history than a process for change. And alarm bells will go off with the donor when an evaluation that was originally scheduled for October, then moved to November, is rescheduled for

January, put on hold until the end of March, and eventually conducted in July; this is symptomatic of deeper issues with the project.

Appointing an evaluation manager who is not on the team of the project to be evaluated is the most effective strategy. When done well, the separation of evaluation management from the actual evaluation creates a "political firewall" between the evaluators and the program, which keeps the evaluation free from the control or undue influence of those responsible for the project. Moreover, this structure enables an internally driven evaluation to be as close to an independent evaluation as possible. (Church and Rogers 2006, p. 168)

The manager needs to keep squarely in mind that s/he is managing the administration and not the substantive content. The nature of the conclusions is outside the remit of the manager, unless the conclusion does not seem evidence-based or is missing key variables. In that case, it is appropriate for the manager to request an alteration to the report in the form of either additional evidence to support the conclusion or the incorporation of the missing variables, provided that it had been verified. (Church and Rogers 2006, p. 169)

Management Skills

Strong organizational ability is the hallmark of the most successful evaluation managers.

This section highlights the management skills and talents of a good evaluation manager and provides sufficient detail to help organizations determine which individuals would be capable evaluation managers.

There are seven talents that a good evaluation manager should have. Not only will these help to identify the best evaluation manager, they will also enhance the evaluation manager's performance and the quality of the evaluation. It is better not to think of the evaluation manager as the sole project staff responsible for the success of an evaluation; instead, think of the evaluation manager as the principal contact for the evaluation. An evaluation manager will contribute to an evaluation's success or failure.

> **Seven Talents of a Good Evaluation Manager**
>
> **Personal**
> - Organizational ability
> - Institutional memory
> - Knowledge of evaluation or methods
> - A serious attitude
> - People skills
> - Sense of humor
>
> **Organizational**
> - Support system

Strong organizational ability

Strong organizational ability is the hallmark of the most successful evaluation managers. Using the *Preparing for an Evaluation* module helps set up the basic organization for the evaluation, but being able to keep schedules more or less in place becomes very important during the evaluation. Good managers maintain and update schedules and make sure that papers and other deliverables are well-structured and timely. Think about who has this ability in the office. This might be a good first step in identifying an in-house evaluation manager.

> **When this ability is helpful:** Conducting a survey during Ramadan after the Balakot earthquake in Pakistan, the manager knew that access, availability, and attention spans were all going to be affected by hunger. The survey timeframe was lengthened slightly, the daily schedule was shortened, teams were increased, and additional clusters were added to the sampling frame so that the project would be able to reassign teams, take breaks (every two days), and return home each evening. Debriefings were scheduled after *iftar* (when the fast was broken), which the project financed. Data entry cleaning was done by another team

at the project base during the day and early evening, so the next day's work could begin with a review of any problems encountered.

Institutional memory

Institutional memory is another important skill of a good evaluation manager. S/he should already know the organization and the project well enough to answer questions from the evaluator. While some evaluators will work for an organization many times, organizations do change staff, and it is helpful to have an evaluation manager who can answer questions about the organization, its history, roles, and responsibilities. It is even more helpful if that individual is also knowledgeable about the project. Having an evaluation manager with good institutional memory probably means that s/he will not be a summer intern, but could be a local staff person assigned to the project manager's office from the start of the project. The country director's secretary, for example, or the lead driver may wind up being the most critical informants in an evaluation.

> **When this is lacking:** There is often a substantial gap between when a proposal is written and when project implementation starts. Having written an M&E plan in the early fall that was defended in December by one of the principal authors meant that the consortium had access to the person who could best explain the terms, choices, and rationale to a fairly hostile array of donor representatives. Once the project started (late the next year), only that author was still even remotely accessible to the project team to continue explanations and suggestions—there had been numerous changes to the design during the review process, however, as well as to the consortium members and project coverage— including the principle author's own organization's participation in the project. The changes in project partners affected the institutional memory.

Strong knowledge of evaluation or methods

Having a strong knowledge of evaluation or methods is another attribute of good evaluation managers. This skill will make communicating with the evaluator easier. And it will be easier to communicate with the rest of the project staff about revisions to the methods or why different tasks take longer. Probably the best selection for an evaluation manager is someone who has already participated on an evaluation, preferably in the same country, and will therefore have a specific frame of reference for the methods being discussed. It is recommended that the evaluation manager review training materials and reading lists ahead of time to become familiar with the evaluation vocabulary. It is sometimes very helpful to have the evaluation manager be more knowledgeable with different key project software (the project routinely tracks information in Microsoft Project), which will help the evaluation

manager keep the evaluation organized, and often save the evaluator a lot of time working with an unfamiliar software. This process should be part of the evaluation scope of work, so that building staff capacity can be an integral part of the evaluation process. Success with managing an evaluation often sparks an interest in acquiring additional skills in implementing an evaluation and can be a very strong inducement for additional professional development.

> **When this is helpful:** In an evaluation in India, the lead evaluator spent a great deal of time refining the focus group methods of the rest of the project team, working most closely with a junior trainer who had been assigned the job of coordinating the evaluation. As part of the evaluation, the lead evaluator organized a mini-training on evaluation methods with the junior trainer functioning as lead translator (into Hindi and Gujarati). The junior trainer was soon moved into a more senior project management position when the organization started operations in another Indian state. Recognizing ability, finding opportunities to nurture it, and partnering someone with an interest with a more senior person committed to building local capacity gave the organization someone who then ran tsunami operations for an entire technical sector.

Serious attitude

Someone with a serious attitude (or gravitas) can also be a trusted evaluation manager. This is an unusual quality. A junior person frequently does not have the personal resources to be believable when they are making decisions or organizing resources. Look for a person that both the project and the country staff routinely go to when they want to address a work problem, someone who they trust will be able to find a solution that is fair and just. One of the major criticisms from an early assessment of tsunami programming was that the team leader "lacked gravitas"—that is, no one listened to him, and he was unable to manage effectively as a result. Someone with a serious attitude will have the maturity to accomplish tasks and win the respect of colleagues.

> **When this is helpful:** A three-person team (from three different participating organizations) developed a Title II M&E plan. Two of the three people were very senior professionals who had flown in for the assignment. The third was much more junior and had been posted to the country for the preceding relief operations as the M&E officer. The two more senior people had worked together before, knew each other well, and had developed their organizations' training materials in an unusually collaborative environment. The junior person not only kept the two more senior people on track, on budget, and on time, but also managed to blend her own skills and clarity of writing into the final product. The senior team members could see her professional growth almost on a daily basis; they were delighted to watch her shine.

People skills

People skills is perhaps the easiest talent to identify. A good evaluation manager should have these competencies: the ability to make decisions; the willingness of staff to work for him/her; accessibility for problem-solving; and communication skills. All of these are likely to be tested during an evaluation. Who remembers birthdays, family events, and will listen to staff problems? Think of someone who is a genuinely nice person and who wants to help. Most people who work in international development want to help, but not everyone can connect emotionally. Having the ability to make that personal connection creates an atmosphere more conducive to open communication and contributes to a situation where people are willing to work and adapt to changes in a schedule. Knowing when people are stressed and finding creative solutions to reduce stress often makes a huge difference in the team's morale. It is helpful for an evaluation manager to have a manager who is aware of these trials and can note the process as part of the individual's own performance plan.

> **When this is lacking:** For a long-distance evaluation, the evaluation manager and the lead evaluator got off to a bad start when the evaluation manager felt overwhelmed by the volume of emails coming from the evaluator. He didn't feel he could mention this to the evaluator, nor had it been discussed prior to the start of the evaluation. Instead, it became a constant sore point between the two of them—one wanting more collaboration and the other wanting to be left alone. It colored every subsequent interaction between the two and meant that the organization had to use intermediaries between the two as the evaluation progressed (and the stress and fatigue levels increased). It meant that the evaluation findings had less use for the organization because the evaluation manager had spent a great deal of time criticizing the evaluator's work style, and this diminished her credibility with the organization.

> **When it is helpful:** The survey team arranged to meet up at the end of a particularly grueling baseline survey at the main town in a province in Cambodia. The team leader made arrangements for a group dinner at one of the tourist restaurants that included a display of traditional dance. The Cambodian staff had never gone to this restaurant before, and the expatriate staff had never seen traditional dance before, so it gave each of them something to discuss that wasn't related to the survey. The team leader paid for the dinner, and the team spent most of the last week of the survey discussing the survey process and practicing traditional dance to much laughter.

Sense of humor

Having a sense of humor is another important skill for evaluation managers as they need to set the tone for an evaluation, which is often a very stressful event. The evaluation manager can help reduce stress through a judicious use of people skills that lets people reconnect. And if the humor is culturally sensitive, all the better. Evaluators frequently use these strategies to lessen tensions and let people relax. Because the evaluation manager will often be seen as the timekeeper or the gatekeeper, being able to joke about his/her role may soften the process. It speaks to the evaluation manager's fundamental good heart, rather than a tendency towards malice or gamesmanship. Sometimes humor about one event or another can create solidarity among the evaluation team.

> **When this is helpful:** As part of a four-person team in Burkina Faso, the team leader spoke in French almost constantly, with only a few moments each day in English with the country director, who was also part of the evaluation team. At the end of the evaluation, the team debriefed the Minister of Public Health and USAID staff on the evaluation findings. To her amazement, the other two team members (both members of the Minister's staff) demonstrated excellent English, a skill they had concealed during the evaluation. At her look of surprise, the team members (and all of the other three knew this) laughed and noted that she was doing so well in French, they hadn't needed to use their English. This made the whole room laugh. The lead evaluator was able to reciprocate later in the briefing, however, when the Minister asked if the project could be expanded. Not, she replied, unless you duplicated one of your staff. The Minister didn't pause and responded that it wouldn't be a problem, as he was also in charge of family planning!

Strong organizational support system

Finally, a strong organizational support system is extremely critical for the evaluation manager, especially a more junior one. This support system provides someone (or a group of people) that the evaluation manager can go to for emotional support, for management insights, for vetting different ideas, or for other tasks. It need not be the project manager—except for budget or personnel matters—but it should be someone with whom the evaluation manager already has a relationship where there is mutual trust. Being able to work without the spotlight, with everyone looking to you to solve all of their problems, is draining. Make sure the evaluation manager has a mentor.

> **When this is lacking:** The evaluation manager had limited supervisory experience and no evaluation training. He wanted to get as much training in evaluation methods as possible, but no one had communicated that this type of training would be part of the scope of

work, and the evaluation manager thought that the evaluator would be able to just talk about methods while they were traveling together. The evaluator had planned to use the time in the car to do different analytical and team building tasks with the focus group coordinators and had not planned on traveling with the evaluation manager. This also required an additional car to accommodate the increased team and meant that many of the management tasks at the PVO country office did not get done in a timely manner. It also resulted in considerable bad feelings among most of the evaluation team, as the coordinators felt left out, the evaluator felt annoyed, and the evaluation manager felt slighted.

After the Fieldwork and the Report: After Action Reviews

There are clear benefits to disseminating the evaluation results (and the process) as widely as possible.

This section reinforces the communication and utilization discussed in more detail in the *Communicating and Reporting on an Evaluation* module, but also emphasizes the etiquette factor following the addition of an evaluation into project implementation. It includes the final deliverable for the consultant and a review by the organization of the evaluation process so future evaluations can benefit from revisions to the checklist, new instruments, and solutions to the unexpected.

There are clear benefits to disseminating the evaluation results (and the process) as widely as possible. There are four elements to this section: the consultant debriefing; the after action review; dissemination; and acknowledgements.

Consultant debriefing: First, the consultant provides a debriefing to project management and, as time allows, an external debriefing to stakeholders. This includes the basic evaluation findings, anecdotes about the process, and key recommendations and conclusions. In some cases, an initial debriefing is held at the project office, followed by a presentation at the donor's office. This presentation should be viewed as a chance to describe the evaluation process and a preview of more detailed findings. Most donor debriefings tend to be very dry; photographs from the evaluation, anecdotes about the process, and as little PowerPoint as possible are useful ways to engage attention.

Evaluation reports are used to:
- Inform CIDA Management . . .
- Advise Executing Agencies . . .
- Engage Stakeholders . . .
- Demonstrate Accountability and Transparency.

(Jones, Young, and Stanley 2004, p. 65)

After Action Review: This process engages the project (and sometimes, country) staff who were involved with different parts of the evaluation. There are three elements to this review:

- What are the key project findings so far, and do we understand why and how these were derived?

- What parts of the evaluation logistics and planning worked, and do we understand why?
- What parts of the evaluation implementation (including logistics and access to stakeholders) didn't work as planned, and what can we learn from this to make sure we can manage this in the future?

The different lessons learned from this after action review should be part of a revised evaluation planning policy for the project, the country office, and possibly the organization as a whole. It is a very useful way to keep staff engaged and to ensure that all the key players in the evaluation process (including the drivers) express their views on how that process went.

Dissemination: The *Reporting and Communicating on an Evaluation* module provides much more detail on the different audiences and dissemination strategies. This section, therefore, simply examines in a bit more detail the value to the organization in disseminating the report. Many PVOs are wary of presenting findings that are less than perfect or else massage the information to such a degree as a way of damage control. While this is understandable, it is also somewhat dishonest—no one is perfect, and it is impractical to expect that. What becomes more important then is the format and how to present evaluation findings as learning opportunities, rather than as being overly critical of the project (see also Guijt and Woodhill [2002, pp. 4-5]).

Managing for results should include managing the results of an evaluation. This means disseminating the evaluation findings both horizontally and vertically. Horizontal dissemination can mean meeting with other PVO and NGO groups working in the same country, usually with a similar technical focus. Vertical dissemination means letting the range of those interviewed know what the evaluation team found.

Sharing experiences and methodologies has three positive outcomes:

- increases transparency
- fosters risk-taking
- encourages similar dissemination.

In some countries, the lead PVO takes the initiative to set up processes of dissemination among other grantee organizations. In other countries, the Mission takes the lead. With the enormous growth of computer networks and e-mail, many of these processes are now virtual and more rapid (Willard 1998, pp. 32-33).

Acknowledgements: Think of this element as the thank-you note for a birthday present. When you were a child, your mother made you write thank-you notes and generally insisted that these were done within a week of receiving the gift. It is part of the evaluation manager's job to write graceful acknowledgements to thank the interviewees for their time and the effort

that they made in providing the evaluator with information. The thank-you notes can be emails and should be sent fairly quickly. The note should include the following: a brief introduction about the evaluation; an actual acknowledgement of time and effort; and either an invitation to attend a more general debriefing or a presentation on evaluation findings (if one is planned), or a timeline for producing evaluation findings that will be accessible to that stakeholder.

It is also very helpful for the evaluator to commend key people in the organization to their own management. This should include the evaluation manager, but it might also include potential evaluation managers or staff interested in developing similar skills. This is especially key in the case of the in-house evaluator who is frequently asked to conduct other evaluations or assignments for the PVO—finding useful staff and nurturing their development makes the organization stronger and will make the evaluator's job easier the next time.

During the after action review, the project's organization should single out the evaluation manager's performance as helping to accomplish the often-challenging task of bringing an evaluation in on time and on budget. Different organizations recognize performance in different ways—certificates, bonuses, or even flowers all help acknowledge the evaluation manager's additional work and contributions.

Annex I

Managing an Evaluation Tool

Managing an Evaluation Checklist

Major Task	Tasks	Lead Person or Office	Status	Due Date	Date Completed	Approval Needed	Comments
	scope of work drafted						
	consultant(s) identified						
Scope of work	scope of work finalized						
	consultant references checked						
	project staff deployed (assigned and existing workload reallocated for duration of evaluation)						
	team assembled						
Personnel	teambuilding meeting						
	evaluation budget developed						
	consultant fees negotiated						
	per diem and travel advances arranged for local and international staff						
	evaluation budget revised						
	expense report and invoice forms sent to consultant(s)						
Financial	timing and instructions for expense reports provided to consultant(s)						
	vehicles/drivers arranged						
	translators arranged						
	additional staff arranged						
	lodging arranged near main office						
	lodging arranged up-country						
	airline tickets arranged						
	visas, work permits, security clearances arranged						
	support staff/office space arranged						
Logistical	airport pickup/dropoffs arranged						
	stakeholders (PVO, donor, ministries) notified						
	scope of work circulated with team leader resume						
	communities engaged in/aware of evaluation timing and purpose						
	communication schedule worked out between EM and project manager						

Download this document online.

Managing an Evaluation Tool (Excel)

http://crs.org/publications/appendix/ManageEvaluation_AnnexI.xls

Annex II
Budgeting Monitoring and Evaluation System for Evaluation Managers

M&E Budget Worksheet

								Grand Total
Core Evaluative Events								
Major Events	**Components**	**Quantity**	**No. Days**	**Daily Rate**	**Differential**	**Estimated Costs**	**Rounded Subtotal**	**Evaluation & Survey**
Baseline Survey							$ 43,000.00	$ 159,000.00
	team leader/consultant	1	25	500		12500		
	survey analyst for instrument development/modification	1	7	400		2800		
	enumerators	20	15	20		6000		
	respondent incentive	320		2		640		
	training venue	1	5	100		500		
	local transportation	3	15	30		1350		
	per diem/lodging					0		
	capitol	1	10	100		1000		
	up-country	24	15	30		10800		
	translation	1	5	100		500		
	data entry/analysis	2	5	100		1000		
	copying					200		
	field staff salary	3	15	50		2250		
	airfare	1				3000		
	other expenses					500		
	NHQ costs (NICRA, etc.)							
	subtotal					43040		

	Components	**No. People**	**No. Days**	**Daily Rate**	**Differential**	**Estimated Costs**	**Rounded Subtotal**
Endline Survey							$ 40,000.00
	team leader/consultant	1	25	500		12500	
	enumerators	20	15	20		6000	
	respondent incentive	320		2		640	
	training venue	1	5	100		500	
	local transportation	3	15	30		1350	
	per diem/lodging					0	
	capitol	1	10	100		1000	
	up-country	24	15	30		10800	
	translation	1	5	100		500	
	data entry/analysis	2	5	100		1000	
	copying					200	
	field staff salary	3	15	50		2250	
	airfare	1				3000	
	NHQ costs (NICRA, etc.)						
	other expenses					500	
	subtotal					40240	

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Budgeting Monitoring and Evaluation System for Evaluation Managers (Excel)

http://crs.org/publications/appendix/ManageEvaluation_AnnexII.xls

Annex III
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Annex IV
American Evaluation Association Guiding Principles[7]

A. Systematic Inquiry: Evaluators conduct systematic, data-based inquiries, and thus should:

1. Adhere to the highest technical standards appropriate to the methods they use.

2. Explore with the client the shortcomings and strengths of evaluation questions and approaches.

3. Communicate the approaches, methods, and limitations of the evaluation accurately and in sufficient detail to allow others to understand, interpret, and critique their work.

B. Competence: Evaluators provide competent performance to stakeholders, and thus should:

1. Ensure that the evaluation team collectively possesses the education, abilities, skills, and experience appropriate to the evaluation.

2. Ensure that the evaluation team collectively demonstrates cultural competence and uses appropriate evaluation strategies and skills to work with culturally different groups.

3. Practice within the limits of their competence, decline to conduct evaluations that fall substantially outside those limits, and make clear any limitations on the evaluation that might result if declining is not feasible.

4. Seek to maintain and improve their competencies in order to provide the highest level of performance in their evaluations.

C. Integrity/Honesty: Evaluators display honesty and integrity in their own behavior, and attempt to ensure the honesty and integrity of the entire evaluation process, and thus should:

1. Negotiate honestly with clients and relevant stakeholders concerning the costs, tasks, limitations of methodology, scope of results, and uses of data.

2. Disclose any roles or relationships that might pose a real or apparent conflict of interest prior to accepting an assignment.

3. Record and report all changes to the original negotiated project plans, and the reasons for them, including any possible impacts that could result.

4. Be explicit about their own, their clients', and other stakeholders' interests and values related to the evaluation.

5. Represent accurately their procedures, data, and findings, and attempt to prevent or correct misuse of their work by others.

6. Work to resolve any concerns related to procedures or activities likely to produce misleading evaluative information, decline to conduct the evaluation if concerns cannot be resolved, and consult colleagues or relevant stakeholders about other ways to proceed if declining is not feasible.

7   AEA 2004.

7. Disclose all sources of financial support for an evaluation, and the source of the request for the evaluation.

D. Respect for People: Evaluators respect the security, dignity, and self-worth of respondents, program participants, clients, and other evaluation stakeholders, and thus should:

1. Seek a comprehensive understanding of the contextual elements of the evaluation.

2. Abide by current professional ethics, standards, and regulations regarding confidentiality, informed consent, and potential risks or harms to participants.

3. Seek to maximize the benefits and reduce any unnecessary harms that might occur from an evaluation and carefully judge when the benefits from the evaluation or procedure should be foregone because of potential risks.

4. Conduct the evaluation and communicate its results in a way that respects stakeholders' dignity and self-worth.

5. Foster social equity in evaluation, when feasible, so that those who give to the evaluation may benefit in return.

6. Understand, respect, and take into account differences among stakeholders such as culture, religion, disability, age, sexual orientation and ethnicity.

E. Responsibilities for General and Public Welfare: Evaluators articulate and take into account the diversity of general and public interests and values, and thus should:

1. Include relevant perspectives and interests of the full range of stakeholders.

2. Consider not only immediate operations and outcomes of the evaluation, but also the broad assumptions, implications and potential side effects.

3. Allow stakeholders' access to, and actively disseminate, evaluative information, and present evaluation results in understandable forms that respect people and honor promises of confidentiality.

4. Maintain a balance between client and other stakeholder needs and interests.

5. Take into account the public interest and good, going beyond analysis of particular stakeholder interests to consider the welfare of society as a whole.