



Technical Evaluation
Reference Group
ADAPTATION FUND

Evaluating projects ex-post & emerging sustainability and resilience



Presented by: Jindra Cekan, PhD. (Valuing Voices), Meg Spearman and Caroline Holo
Date: October 2021



Training
material
Part A

Aim of the ex-post training

- ◆ Introduce stakeholders to sustainability definitions, ex-post impact(s) evaluations, assumptions, principles, and examples from ex-post evaluations as well as resilience
 - ◆ Introduce stakeholders to the AF-TERG ex-post evaluation process and share Phase 1 selection of ex-post pilot projects –Ecuador & Samoa
-
- ◆ Share aims of ex-post evaluations and main research questions, including theories of sustainability, resilience and preconditions for collaborative learning
 - ◆ Introduce stakeholders to the co-creation process and focus on learning priorities in the pilot countries as well as select priority outputs/outcomes/ impacts to be evaluated
-
- ◆ Discuss with the evaluator(s) preparation for fieldwork, including outline the array of methods to evaluate sustainability of outputs/ outcomes and climate resilience (inc. aspects such as infrastructure, livelihoods, knowledge) based on secondary documentation and data
 - ◆ Once outcomes/ impacts set, discuss best methods to use in evaluation

Aim of the ex-post training

Training contents and structure

PART A – Introduction to ex-post evaluations, resilience and the piloting processes

A1- Understanding ex-post & resilience evaluations

- Sustainability and ex-post sustainability
- Ex-post evaluation, CCA and resilience

A2- Introduction to project selection and methods for the ex-post & resilience evaluations pilots

- AF-TERG process for ex-post evaluations
- Project selection and methods for ex-post (inc. methods for resilience analysis)

A3- Understanding processes for evaluations pilots: co-creating learning with stakeholders

- Co-creation process
- Ex-post in practice: research questions & process
- Preparatory work and steps for pilot ex-posts

PART B – Discussing country-specific outcomes

B1- Defining learning priorities and outcomes

- Data review
- Theory of Sustainability
- Mapping processes

B2- Selecting measurable outcomes

- Outcome/output review for outcome selection
- Tracing outcomes to sustainability and resilience

PART C – Developing country-specific methods and approaches

- Choice and discussion of field methods
- Application of resilience framework
- Methodological considerations during fieldwork

Introduction



The AF-TERG and the evaluation team



The Adaptation Fund (AF)

The Adaptation Fund was established to **finance concrete adaptation projects and programmes** in developing countries that are parties to the Kyoto Protocol and are particularly vulnerable to the adverse **effects of climate change**.

The Fund is supervised and managed by the Adaptation Fund Board (AFB). It now **serves the Paris Agreement**.



The Technical Evaluation Reference Group of the AF

The AF-TERG is an **independent evaluation advisory group**, accountable to the Board, established to ensure the independent implementation of the Fund's evaluation framework.

Specifically, the TERG provides an:

- a) evaluation function,**
- b) advisory function, and**
- c) oversight function**

AF-TERG team for ex-post evaluations



Dennis Bours



Caroline Holo



Jindra Cekan, PhD.



Meg Spearman

Survey

Before we start....

Please take the following survey and tell us about your expectations for the training:

<https://survey.zohopublic.com/zs/6CCNIL>

PART A

Introduction to :

- ex-post evaluations,
- resilience,
- methods and processes for the piloting



A1- Understanding ex-post evaluations

A2- Understanding methods for pilots

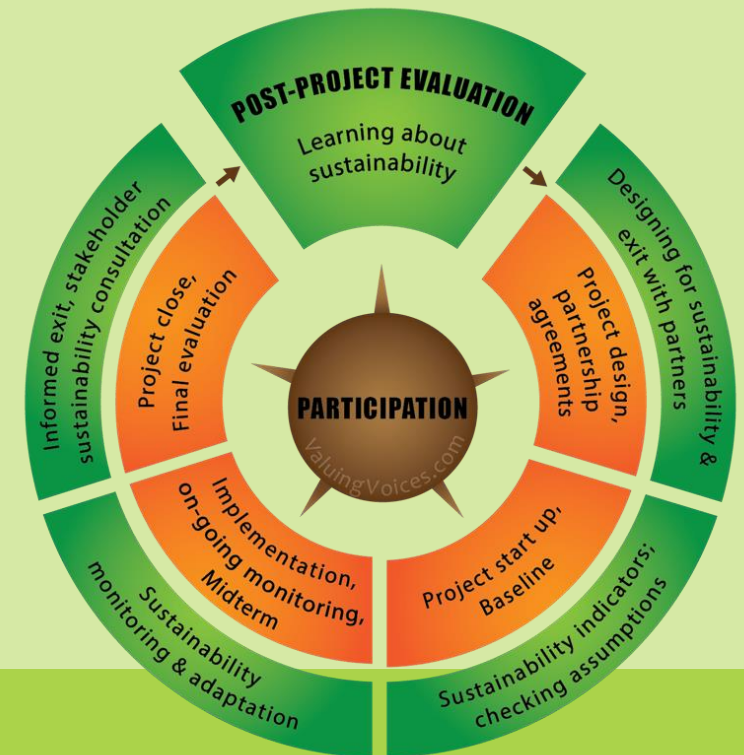
A3- Understanding processes for pilots

A1 – Understanding ex-post & resilience evaluations

Contents

- Definitions and implications of ex-post evaluations
- Learning from past ex-post evaluations (examples)
- Ex-post evaluations and sustainability
- Ex-post evaluations and climate change adaptation
- Introducing resilience

Embedding Sustainability in the Project Cycle



Understanding ex-post evaluations

A1

Sustainability and ex-post sustainability definitions

Sustainability (projected ex-post project evaluation):

"The continuation of benefits from a development intervention after major development assistance has been completed....The resilience to risk of the net benefit flows over time"

[OECD/ DAC](#) Aid Criteria, 2019

Ex-post Sustainability (actual ex-post):

"Ex-post evaluation is generally conducted... three years after the project[']s completion with the emphasis on the effectiveness (relevance) and sustainability of the project...."

Japanese International Cooperation Agency/ [JICA](#)

"The basic idea of sustainability is that a project should be designed to produce a continuous flow of outputs, services, and outcomes over its useful or economic lifetime. Project results should be sustainable even where there are several risks to outputs and outcomes."

[ADB](#), 2010



seedlings

The example of JICA: ex-post evaluation and monitoring lessons

JICA conducts ex-post evaluation 2-3 years after each project completion

They are the only donor to have done over 2000 ex-post evaluations; most donors have done very few.

Why evaluate ex-post?

- To make ODA projects more efficient and effective, and to ensure the accountability
- To understand whether effects are (still) being realized as planned (effectiveness and impact)
- To understand whether effects are likely to continue in the further-ex-post future (sustainability)

JICA's also conducts ex-post monitoring 7 years after each project completion

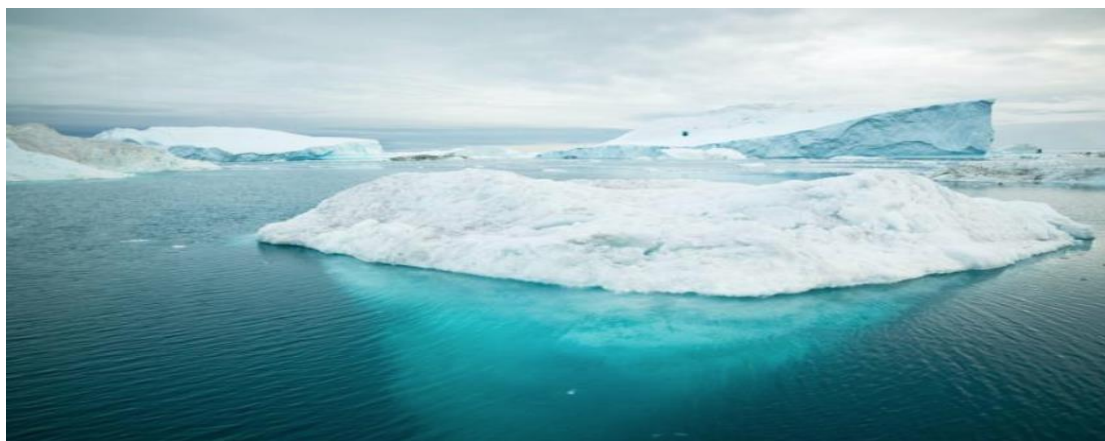
Why monitor long-term ex-post sustained impact?

- To see whether the project continues to be effective
- To see whether there are issues with operation and maintenance
- To see whether efforts were made to promote tangible sustainable development under developing countries' ownership

Understanding ex-post evaluations

A1

Understanding contribution and emerging impacts through ex-post



At exit it is impossible to verify how much the project will contribute to sustainability... but many assume full success and full attribution to the project (unproven).

John Mayne: Contribution vs. attribution?

- Ex-post-project evaluations could isolate & verify the attributional claims made at the time of the terminal evaluation, *but more likely* **trace contributions** the project made.
- Sustained and **Emerging Impacts** Evaluations (SEIE) **also look at how the sustainability between final and ex-post was shaped by local efforts to maintain priority results** that are locally/nationally 'owned', often using emerging efforts to harness resources, capacities, partnerships, foster resilience...
- Analyzing **climate resilience** means looking for ways in which the sustained outcomes have affected and been affected by underlying socio-ecological systems.

Main lessons from ex-post project evaluations

Main lessons:

- There are always **positive and negative lessons from all project evaluated**; not all activities are typically sustained, but all results can be learned from;
- Questions of **why some results lasted in some places over others** can illuminate differences in context, design, implementation, M&E or exit
- Some **outputs/outcomes could be sustained differently than originally conceived**, given differed resources/ capacities etc.; this has important future design implications, especially for scaling up 'success' that can be differently defined
- There can be **emerging outcomes** that came from local efforts to sustain results—these especially can help inform future project design and funding



The Power Of Learning

Learning from past ex-post project evaluations

A1

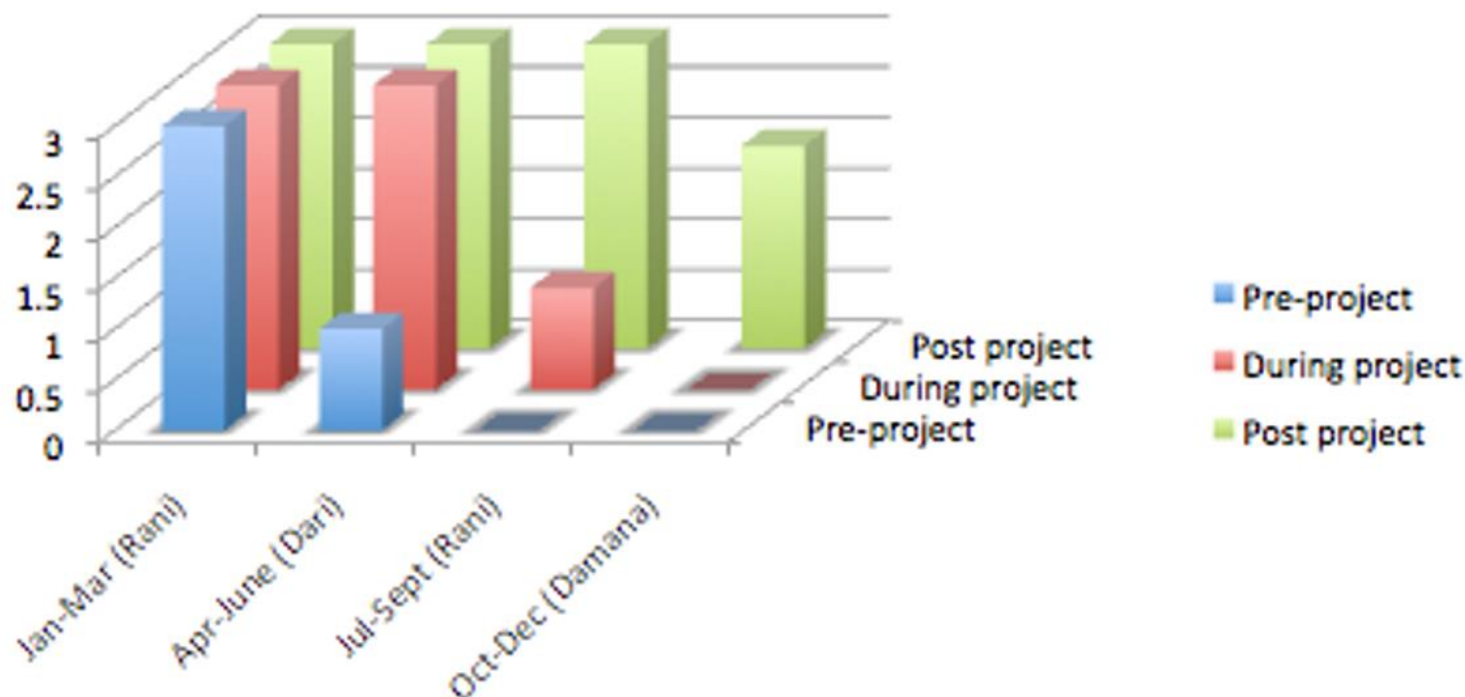
What ex-post evaluations can tell: example of a positive impact

Example 1 - Positive Ex-post Food Security Impacts

Catholic Relief Services Niger, Agriculture component, 3 years ex-post 2015

Months of food self-sufficiency in 1 village:

Feeding themselves 30% more 3 years ex-post



Learning from past ex-post project evaluations

A1

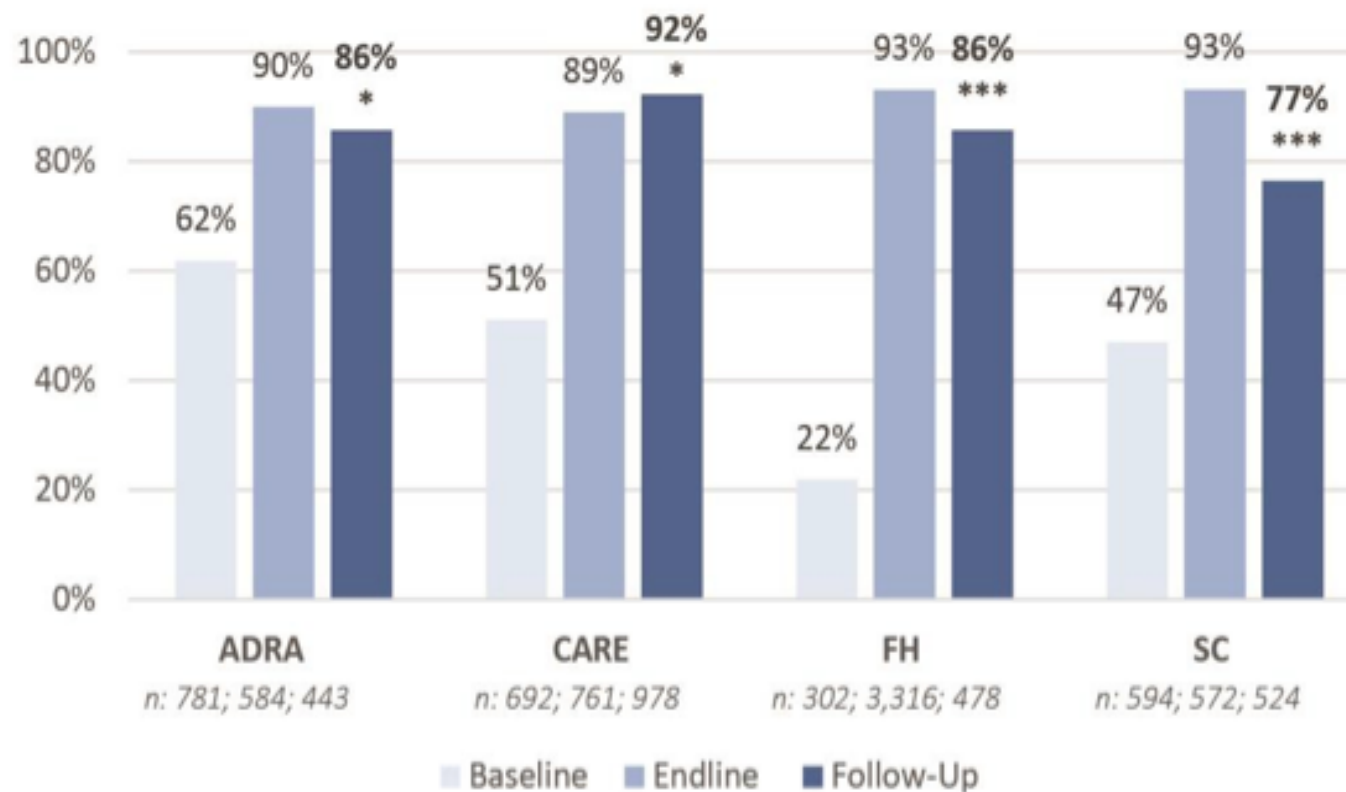
What ex-post evaluations can tell: example of mixed outcomes

Percentage of households with children 3-35 months of age participating in growth monitoring:

Decreased child health via growth monitoring from end line by only 4-16% (ADRA, FH, SC)

Improved child health via growth monitoring by 3% (CARE)

Example 2 - Mixed (Typical) outcomes on child health
USAID, 2 years ex-post 2016



Learning from past ex-post project evaluations

A1

What ex-post evaluations can teach: negative impact

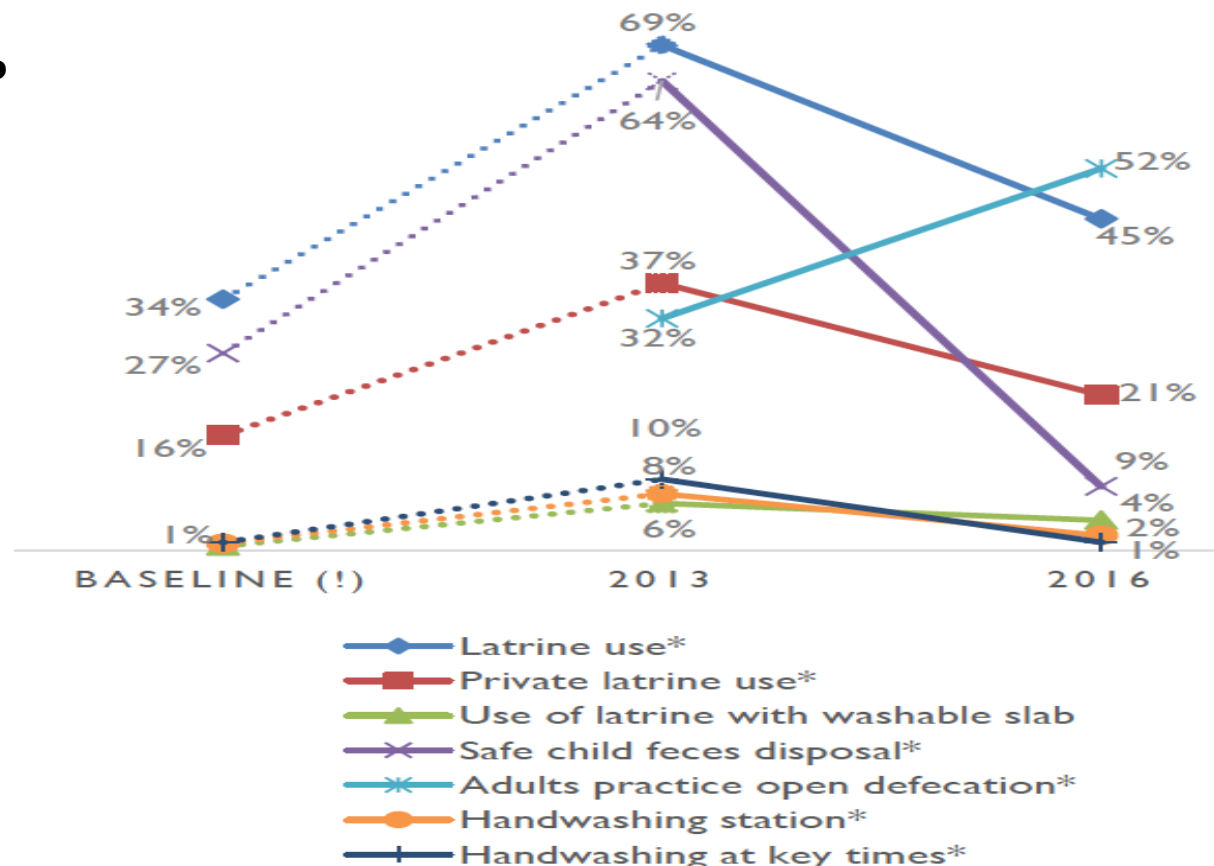
Example 3 - Worst Case: Negative Water/ Sanitation Outcomes

USAID, 3 years ex-post 2016

3-year sustainability of key RANO-HP sanitation and hygiene outcomes :

Unsustained behavior change results at endline:

- **Dismal rates of Feces disposal (below baseline),**
- **Handwashing (below midterm).**
- **Discouraging rates of Latrine use** (decreases by 60-75%) with Nearly doubled open defecation (since midterm)



USAID/ CRS/
CARE/ CARITAS,
and local NGOs
Madagascar,
RANO-HP
project. Note:
Baseline
unavailable,
only re-created

Learning from past ex-post project evaluations

A1

What ex-post evaluations can teach: unanticipated outcomes

Example 4 - Mixed Results with Unexpected Positive Results in Village Savings and Empowerment... but Could have Good News Unevaluated

PACT WORTH Nepal, 2008

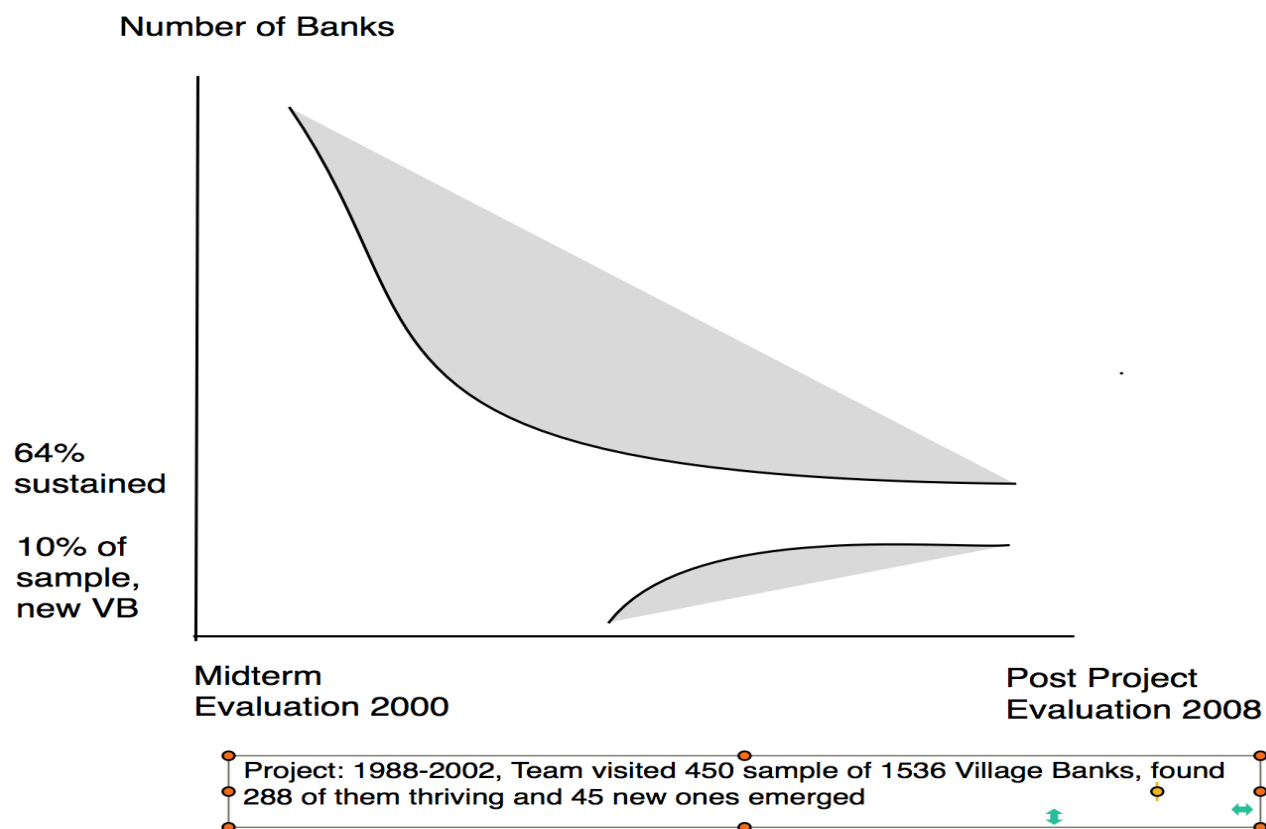
Only 2/3 banks were sustained...

Yet **10% were new village banks formed post-closure** in communities by word of mouth or self-help training

(Note: No baseline or final, only since midterm, project was replicated in 12 countries)



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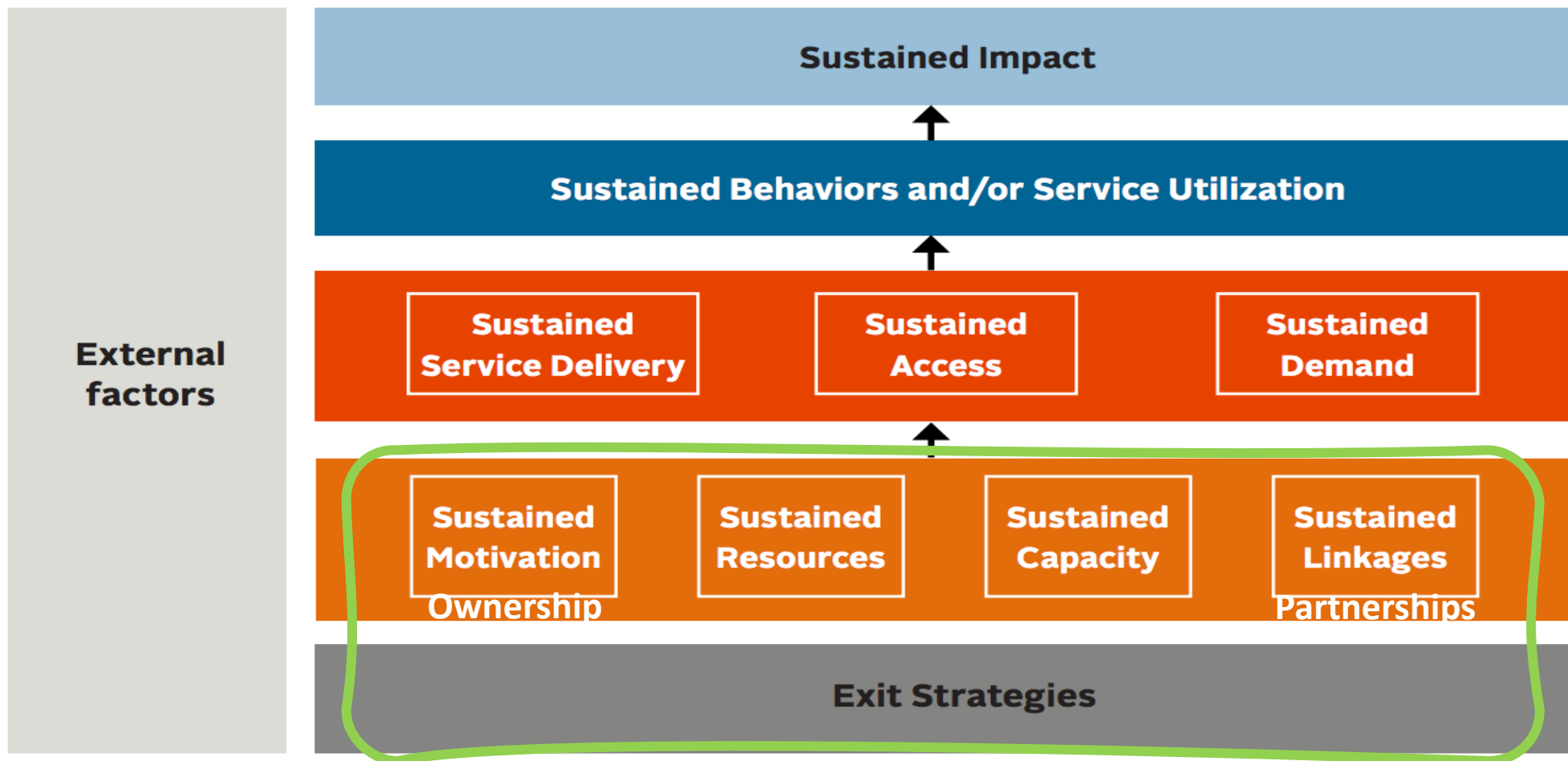


Ex-post evaluation and sustainability

A1

Ex-post illuminates the theory of sustainability of Tufts/ FHI 360 (2016)

Figure 1. Sustainability and Exit Strategies Conceptual Framework



Adapted from Coates and Kegode. 2012. "Kenya Exit Strategies Study Round 2 Report." Unpublished, submitted to FANTA April 8.

Ex-post allows to test assumptions and barriers



“Hope is not a strategy”



Technical Evaluation
Reference Group

*Designed “**sustainability plans cannot be based on the hope that activities and benefits will continue in the absence of the key factors...**”*

(Rogers, Tufts for USAID)

Testing assumptions that projects make about sustainability. Tufts found ‘hopes’ were unsustainable’:

- Local **ownership/ motivation of activities didn’t continue** without further resources (inputs or remuneration)
- (Un)continued **resources and commitment for outputs/ outcomes delivery**
- Ongoing **institutional capacities of participants and partners not sustained via training**
- Exit not justified via hoped readiness... w/o **benchmark for handover pre-exit**

Q: What ex-post learning is a priority for the project and its stakeholders?

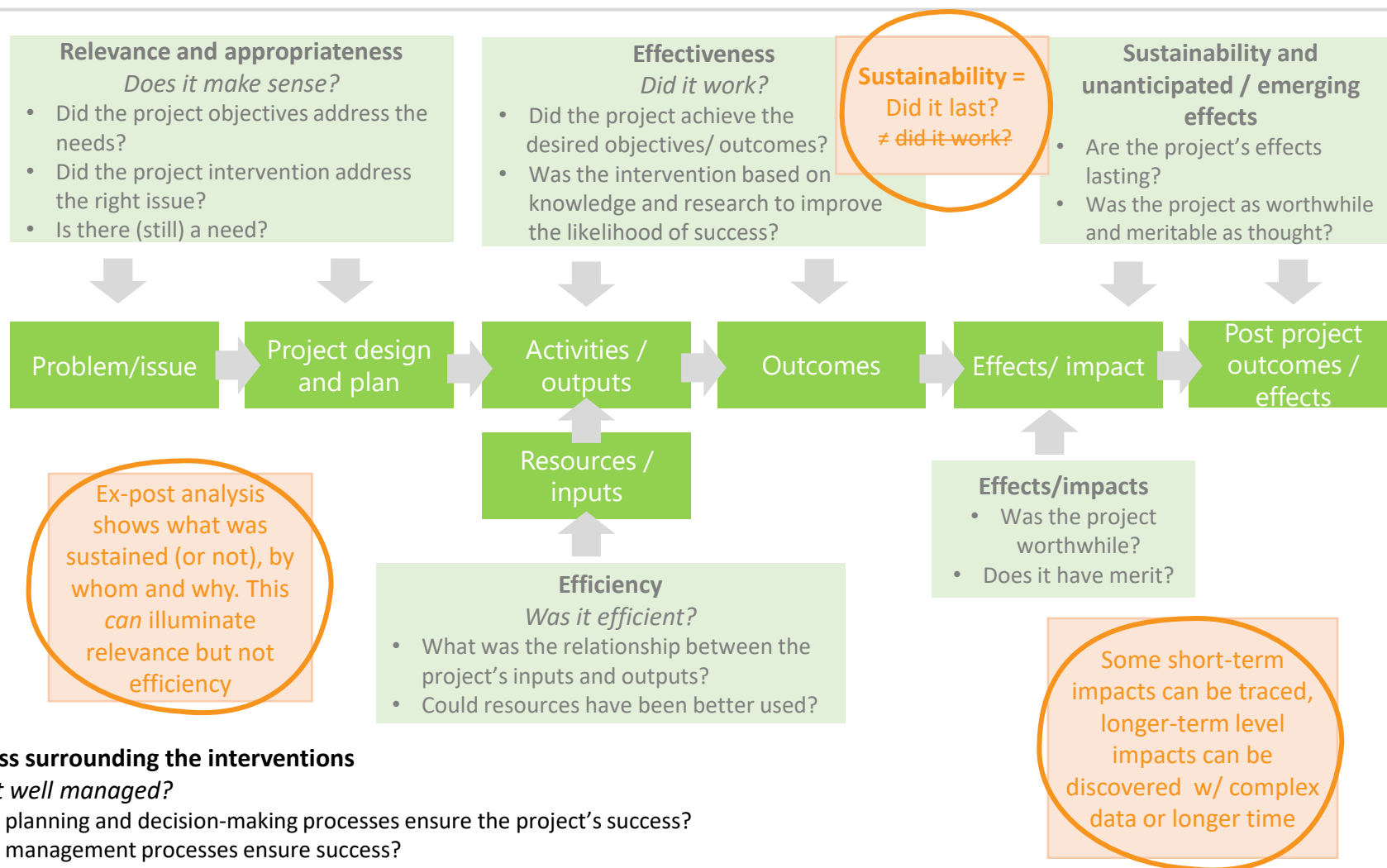
Q: What are the Project’s assumptions/ barriers to achieving sustained impact(s) to test in Phase 2?

Example of illustrative emerging outcomes to explore in a ToS



1. **Ownership**: Participants valued health clinic built by the project and sustained it by **introducing community tithing to cover costs** (CRS/Niger)
2. **Ownership**: Participants valued clinic-based birthing so **created locally-created disincentives to compel compliance** ("")
3. **Resources & Capacities**: A food security project improved assets and income but **better water access led to surprising decreases in gender violence** (LWR/ Niger)
4. **Partnerships & Ownership**: Members of **Village Banks** offered trainings in VB for sale in other, home areas (Pact/Nepal)

What ex-post can teach us about sustainability: project logic and OECD criteria

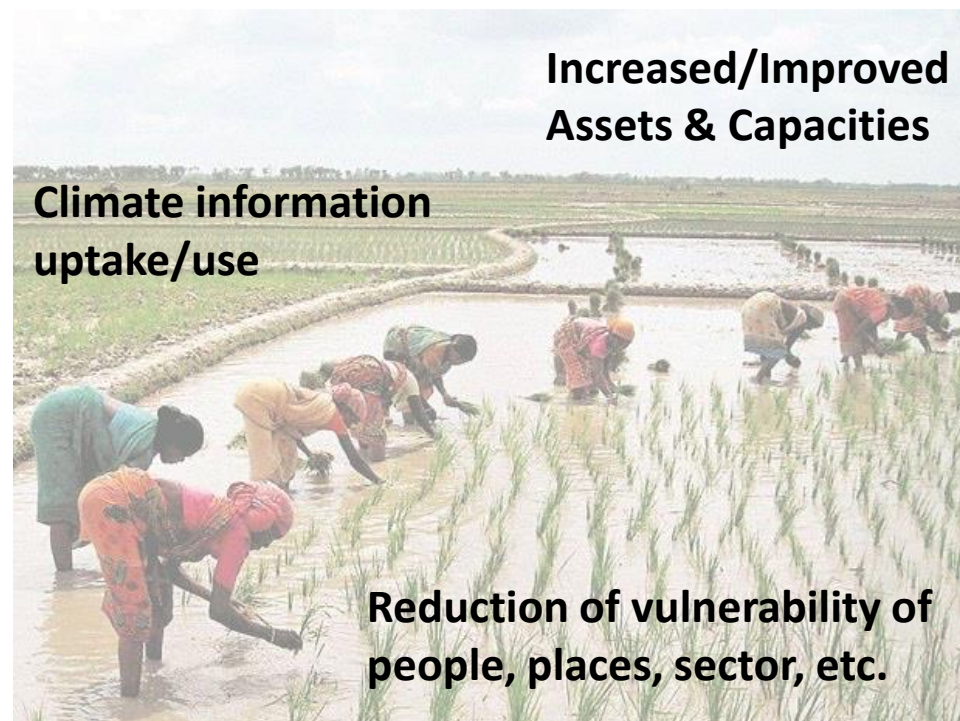


←←Contextual and external factors outside project boundaries that may have influenced the project trajectory→→

Evaluating climate change adaptation ex-post: context

- **Mis-match of tools and incentives:** Evaluation tools often focus on people and not natural systems/environment; climate change 'M&E' tools (would) have to be adapted for use in ex post.
- **Newness of adaptation portfolios:** Projects with high level objectives of adaptation are relatively new compared to projects that have been climate-screened or climate-proofed (e.g. those without adaptation objectives, but rather as a 'co-benefit' to a project with other objectives), so learning has been inconsistent and largely sector-based.
- **Common pitfalls to 'measuring' adaptation:** Adaptation is multi/cross-sector, with long timeframes, no single metric/indicator, and is highly context-specific.

How is adaptation commonly measured?



Evaluating climate change adaptation ex-post: M&E challenges

Example Challenges to Measuring Adaptation	Implication
Cross-sector/multisector	Data is required from multiple sector parties, and from sources that may not necessarily coordinate/partner
Long timeframes to see results (especially with natural systems)	Proxy indicators may be necessary to explore results, and/or choosing sites/interventions where more time has passed if possible
No single metric for adaptation (or resilience)	Defining success is a deliberative process and evaluation requires concerted stakeholder engagement
Multiple uncertainties (including future climate risks)	It may be necessary to examine what may be considered “success” under multiple possible scenarios, as well as to focus on the most important local priorities for action

Defining resilience in the context of CCA

"Resilience" to the effects of climate change and related extreme weather events can be described as a high-level goal of climate change adaptation.



Through adaptation, the **structures** and **functions** critical to life would be less affected by climate-related **disturbances** and/or these disturbances would be less impactful.

DISTURBANCES: acute shocks (e.g. a cyclone, flood event) or chronic stresses (e.g. gradual crop loss from temperature rise, sea level rise).

Affect



Is affected by

STRUCTURES:

**a literal, physical asset (forest, storm wall, evacuation shelter, etc.),
a figurative asset like an institution or set of practices (local government, economy, early warning system).

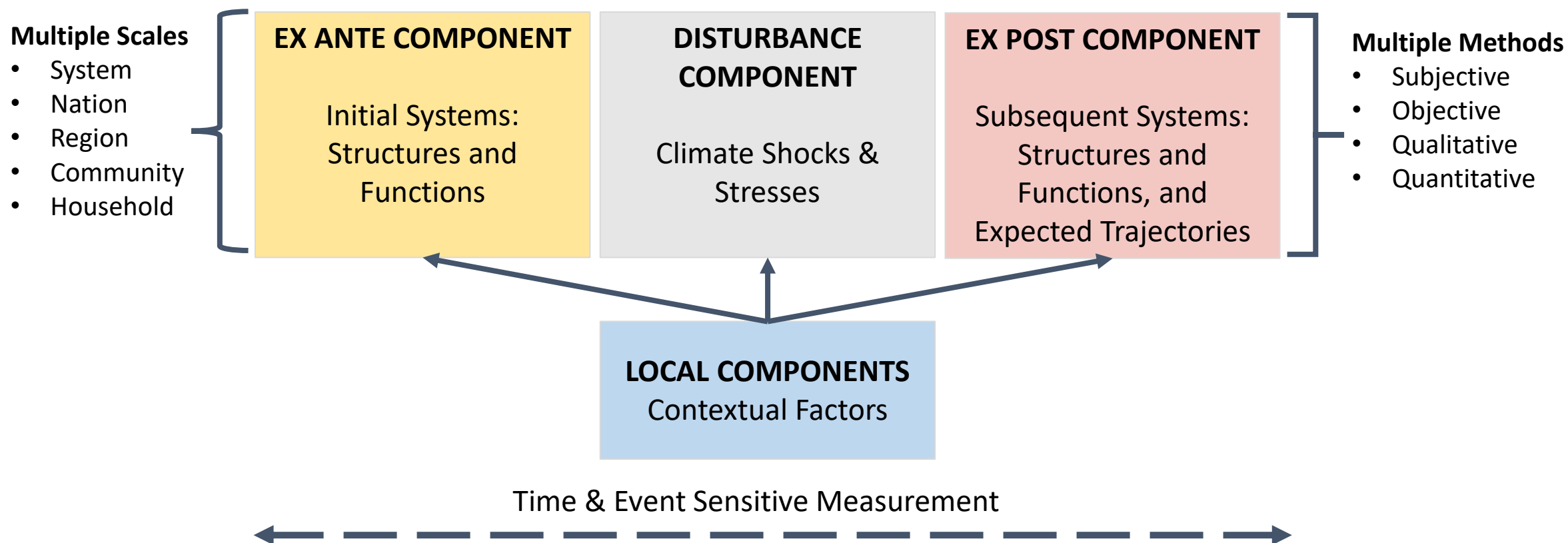
FUNCTIONS:

ability to serve a particular need or purpose (generate income, attend school, be safe and secure).

Ex-post evaluations and climate change adaptation

A1

Introducing: "Resilience Causal Framework" (Constas, 2014)



Stretch and drink break



Questions? Comments?

A2- Introduction to project selection and methods to ex-post pilots

Contents

- AF-TERG process for ex-post evaluations
- Project selection for ex-post evaluation pilots
- Methods in ex-post evaluations
- **Methods for resilience** (*differentiate changes in human and natural systems, and the nexus between them, and explore ways to characterize the resilience of sustained outcomes*)

AF-TERG process for ex-post evaluations

A2

Ex-post phases in the AF-TERG

Phase 0	Ex-post study and evaluability assessment study (foundational work)
Phase 1	Framework developed to conduct ex post evaluations and shortlist of up to five completed projects as pilots for ex post evaluation
Phase 2	Methods tested in at least two pilot projects.
Phase 3	Ex post evaluations and capacity building continue over time feeding into adjustments within the Fund's MEL processes



Current phase

Foundation work for ex-post: ex-post evaluation study (phase 0)

The ex post evaluation study (2019) presented the following:

- An overview of ex post evaluation approaches and learning practices in development cooperation
- A brief discussion on the state of ex post as applied to environment and adaptation projects
- Implications for the Adaptation Fund on how to develop ex post evaluation guidance

The study observes there are **five lenses** through which adaptation interventions are often evaluated:

Transformational Change

Wellness and Livelihoods

Resilience Building

Ecosystems-Based Adaptation (EBA)

Dimensions of Sustainability

Foundation work for ex-post: ex-post evaluation study (phase 0)

Lens for Measuring Adaptation:

How does it fit into our proposed methodology?

Transformational Change



Not all adaptation can or should be transformational. See resistance – resilience – transformation scale for further details.

Wellness and Livelihoods



Wellness and livelihoods can be an indication of successful adaptation if sustained in the context of climate disturbances

Resilience Building



Not all adaptation can or should be resilience-building. See resistance – resilience – transformation scale for further details.

Ecosystems-Based Adaptation (EBA)



EBA is a strategy at the nexus of human and natural systems that can be supportive of building resilience

Dimensions of Sustainability



Ownership, capacities, resources, and partnerships are often critical factors in determining sustainability

AF-TERG process for ex-post evaluations

A2

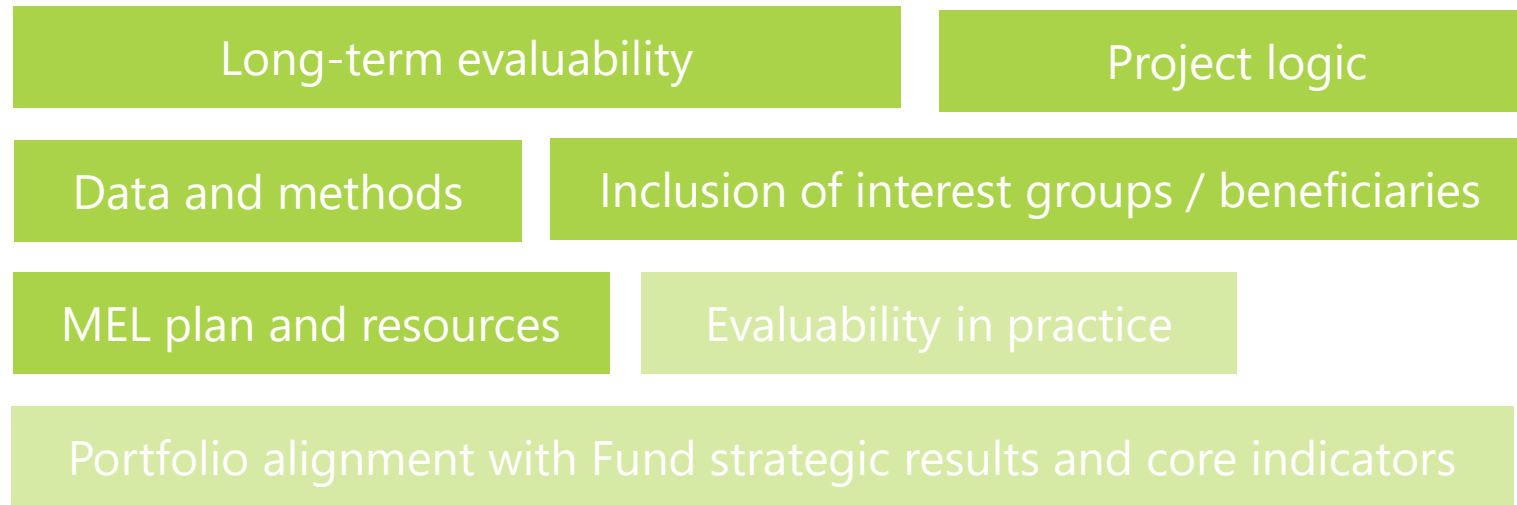
Foundation work for ex-post: evaluability assessment (phase 0)

The evaluability assessment (2019) explored the extent to which the Fund's projects have structures, processes, and resources that can support credible and useful monitoring, evaluation, and learning (MEL).

➡ **Assessment of the Fund's portfolio: 100 projects (from 2010 to 2019)**

Based on the assessment's findings, it provides conclusions and next steps on how to improve the evaluability of the Fund's projects and portfolio.

Evaluability of project against seven categories of criteria :



The **dark green criteria** helped us understand which projects would have a sufficient evaluability basis to undertake an ex-post evaluation

Project selection for ex-post evaluation pilots

A2

Selection framework for ex-post evaluation pilots (phase 1)

FILTER 1: CRITERION EVALUATION

NO

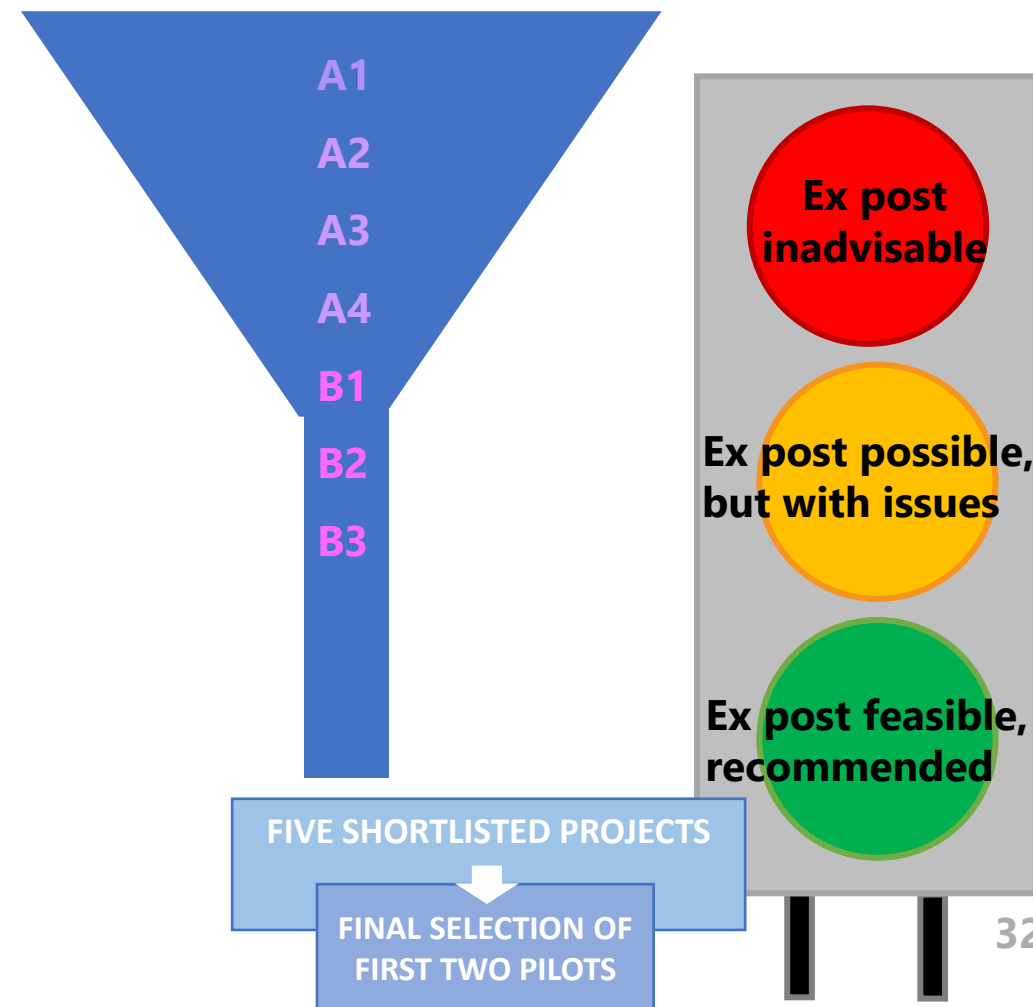
MAYBE

GO

- mandatory**
- A1** Timing
 - A2** Methodological feasibility evaluating sustainability ex post
 - A3** Safe evaluation
 - A4** Financial and technical feasibility and organizational commitment (field consulted)
- optional**
- B1** Diversity of stakeholders and/or implementing entity
 - B2** Variety of geography
 - B3** Variety in (cross)sector



FILTER 2: DECISION FUNNEL FOR PROJECT SELECTION



Project selection for ex-post evaluation pilots

A2

Detailed criteria for project selection for ex-post pilots (phase 1)

Mandatory criteria: project evaluability

A1 Timing

- a) Years ex post project completion (min of three years, max of five)
- b) Duration of project (four-plus years)
- c) Completion more recent than five years
- d) Seasonality of final evaluation matches ex post (summer 2021)

A2 Methodological feasibility evaluating sustainability ex post

- a) Overall project quality at completion and ratings of quality and likely sustainability
- b) Measurable outcome & impact data at completion
- c) Sustainability planning, including ownership, resources, partnerships, capacities, exit readiness and any post-monitoring, replication or scale-up
- d) Institutional memory accessible of prior project (field consulted)

A3 Safe evaluation

- a) Personal safety (unrest) and
- b) COVID-19 (health) – in 2021

A4 Financial and technical feasibility and organizational commitment (field consulted)

- a) Stakeholder engagement and ex post learning commitment
- b) Quality of evaluators
- c) Time needed for quality ex post evaluation versus funding available

Optional criteria: Fund considerations*

**not evaluated for cohort #1 / pilots*

B1 Diversity of stakeholders and/or implementing entity

- a) Multilateral implementing entity vs. National implementing entity
- b) Range of participants

B2 Variety of geography

B3 Variety in (cross)sector

>current focus is similar sectors

Project selection for ex-post evaluation pilots

A2

Project selection for ex-post evaluation pilots (Ecuador)

Criteria ratings

NO	
A2 resources	A3 safety
MAYBE	
A2 data quality	
GO	
A1 timing	A2 project quality
A2 ownership	A2 partnerships
A2 capacities	A2 exit readiness
A2 scale-up	



a) project closure: June 2018 (3 years ago)

b) duration: 5 years (11/29/2011 to 6/15/2018)

c) final evaluation: publication in September 2018 (3 years)

d) seasonality: field work between July and August

- Some tangible outputs and outcomes, but there are risks to sustainability brought by the economic situation
- "Grassroots design", strong participation, interinstitutional coordination, project awareness in the community, institutional ownership for the project
- Sustainability and closing plans at Parish level, which gives a base for future monitoring
- Replication of activities by neighboring communities
- Outcome indicators are often output-focused in the results framework

Project selection for ex-post evaluation pilots

A2

Project selection for ex-post evaluation pilots (Samoa)

Criteria ratings

NO

None ('A4 Financial and technical feasibility and organizational commitment' to verify)

MAYBE

A2 project quality
A2 data quality
A2 ownership
A2 capacities
A2 resources
A2 exit readiness
A2 post monitoring

GO

A1 timing
A2 scale-up
A2 partnerships
A3 safety



a) project closure: June 2018 (3 years ago)

b) duration: 5 years (1/28/2013 to 06/30/2018)

c) final evaluation: publication in September 2018 (3 years)

d) seasonality: field work in July 2018

- CIM plan model to be replicated by other Funds and countries
- Project rests on many stakeholders and partnership principle of community plans
- At the time of final evaluations, outcomes are only partially achieved and impact still provisional
- Sustainability of outcomes is linked to issues of ownership or budget, and uncertainty around this
- Outcome indicators are often output-focused in the results framework
- A sustainability plan is developed but it is unclear how MEL will be sustained

AF-TERG ex-post evaluation framework

Phase 1 developed an ex-post evaluation framework with methods to be revised in Phase 2.

The ex-post framework focuses on aspects of both sustainability of outcomes and climate resilience to answer the following **overarching** questions:

How sustainable are the project outcomes/ impact(s) over time since project completion?

How are the sustained project outcomes climate-resilient?



What results level ex-post evaluations will focus on?

The Adaptation Fund desired impact to trace is:
"Adaptive capacity enhanced, resilience strengthened and the vulnerability of people, livelihoods and ecosystems to climate change reduced."

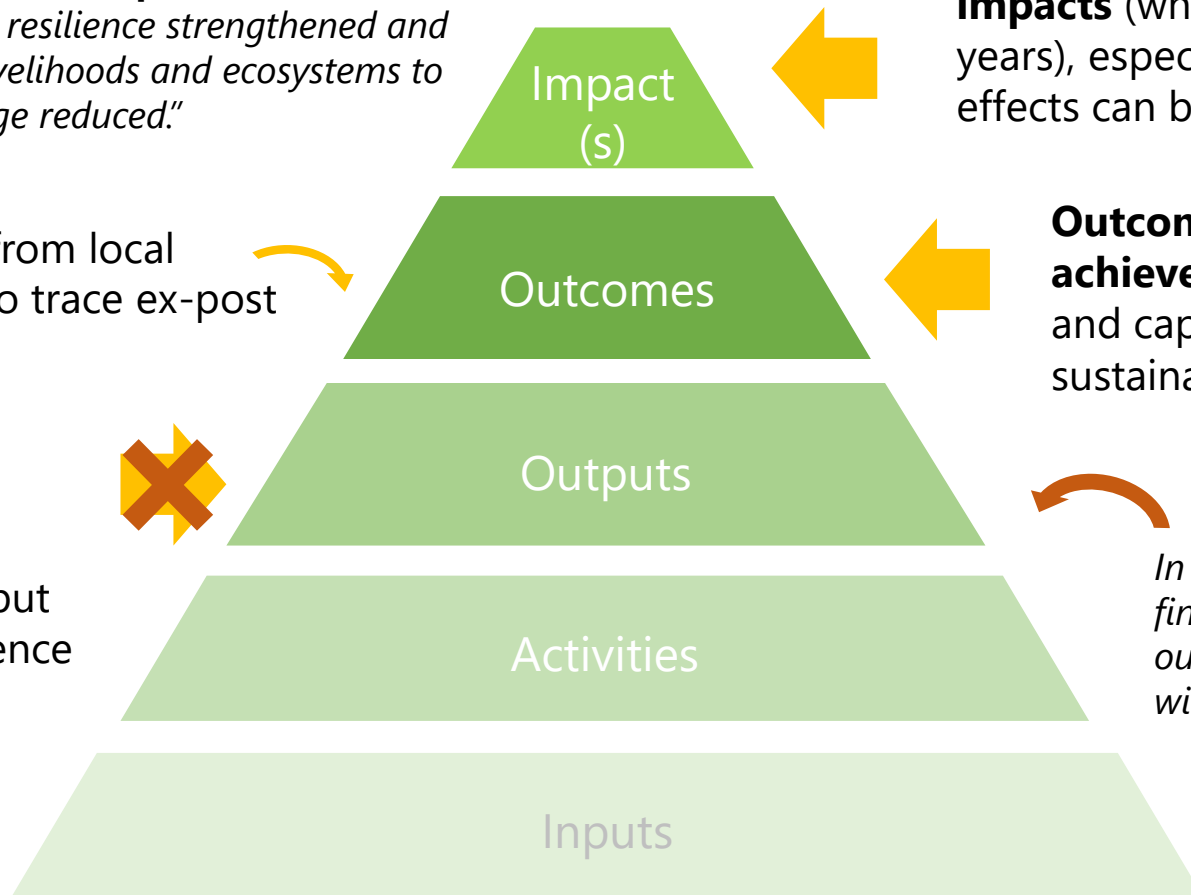
Ex-posts ideally track **high-level long-term impacts** (what did we want to change for years), especially for climate-adaptation where effects can be traced 3-5 years +

Emerging outcomes from local efforts are important to trace ex-post

Outcomes (what did we want to achieve) traced on infrastructure, assets and capacities can be evaluated for sustainability.

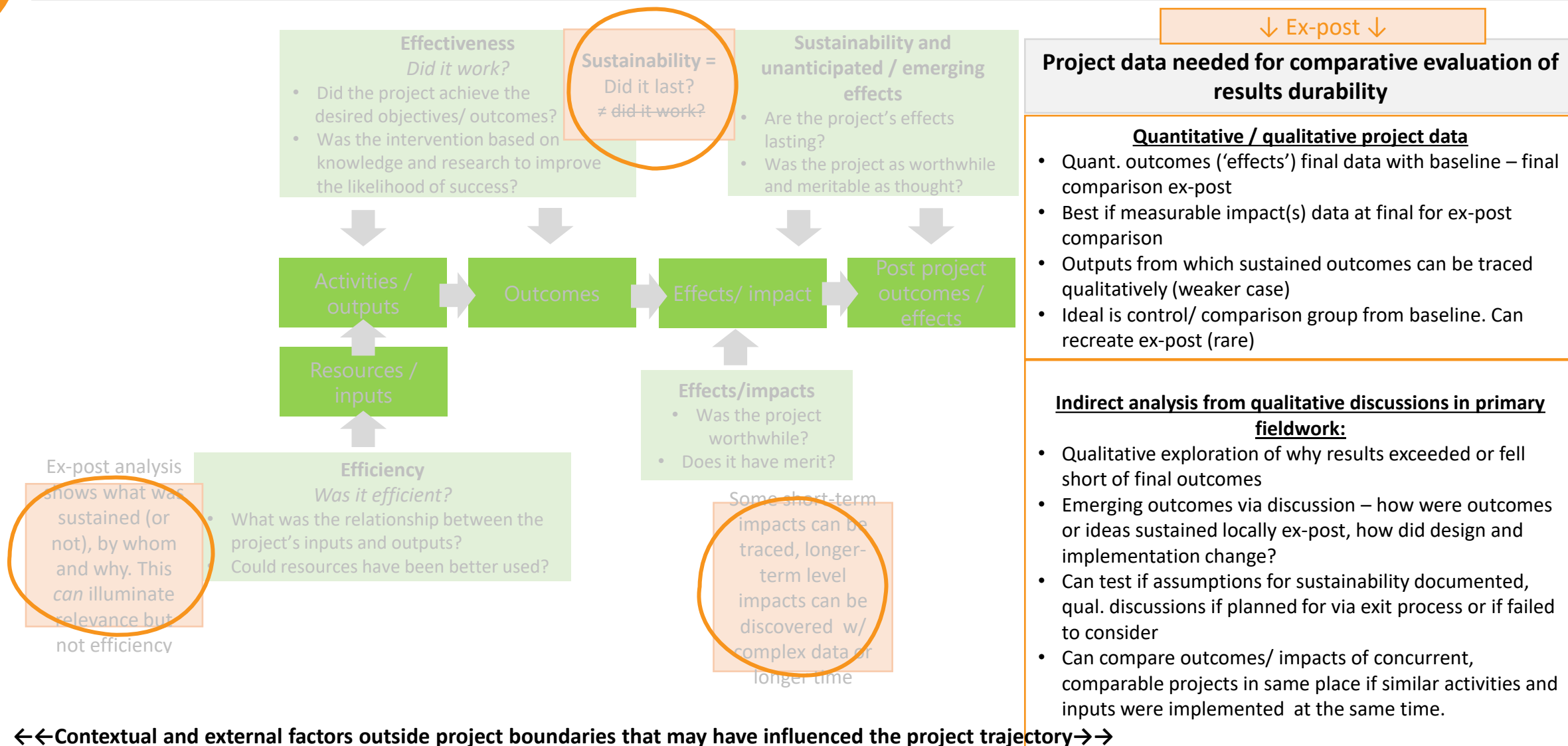
Outputs (what did we deliver) are normally not evaluated as they are preconditions for results, but outcomes from their presence can be re-created.

In Ecuador and Samoa, the final evaluation data is mostly output oriented so outcomes will be re-created ex-post



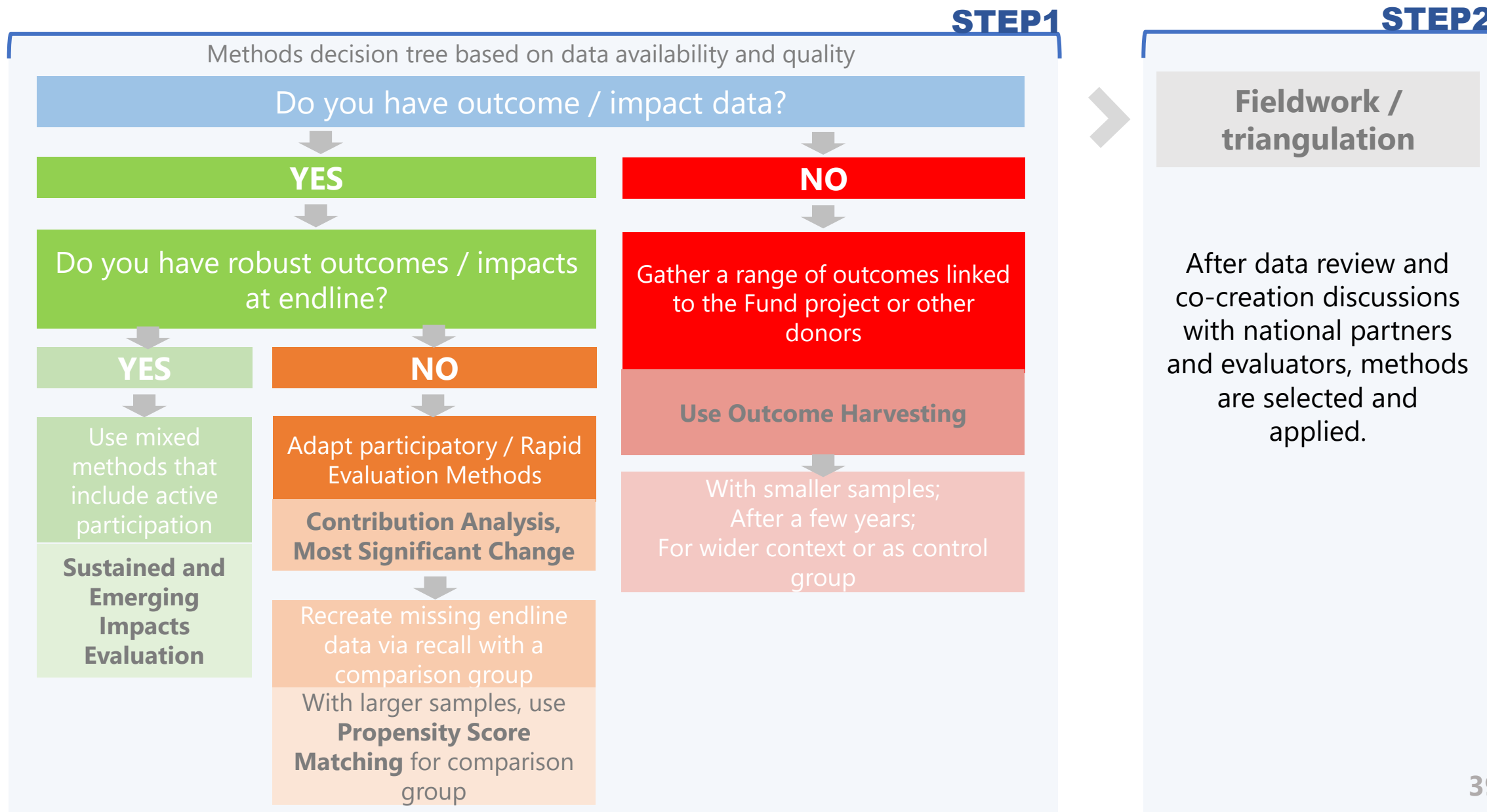
Ex-post evaluation & M&E pyramid

Project data needed for comparative evaluation of results durability



Methods in ex-post evaluations

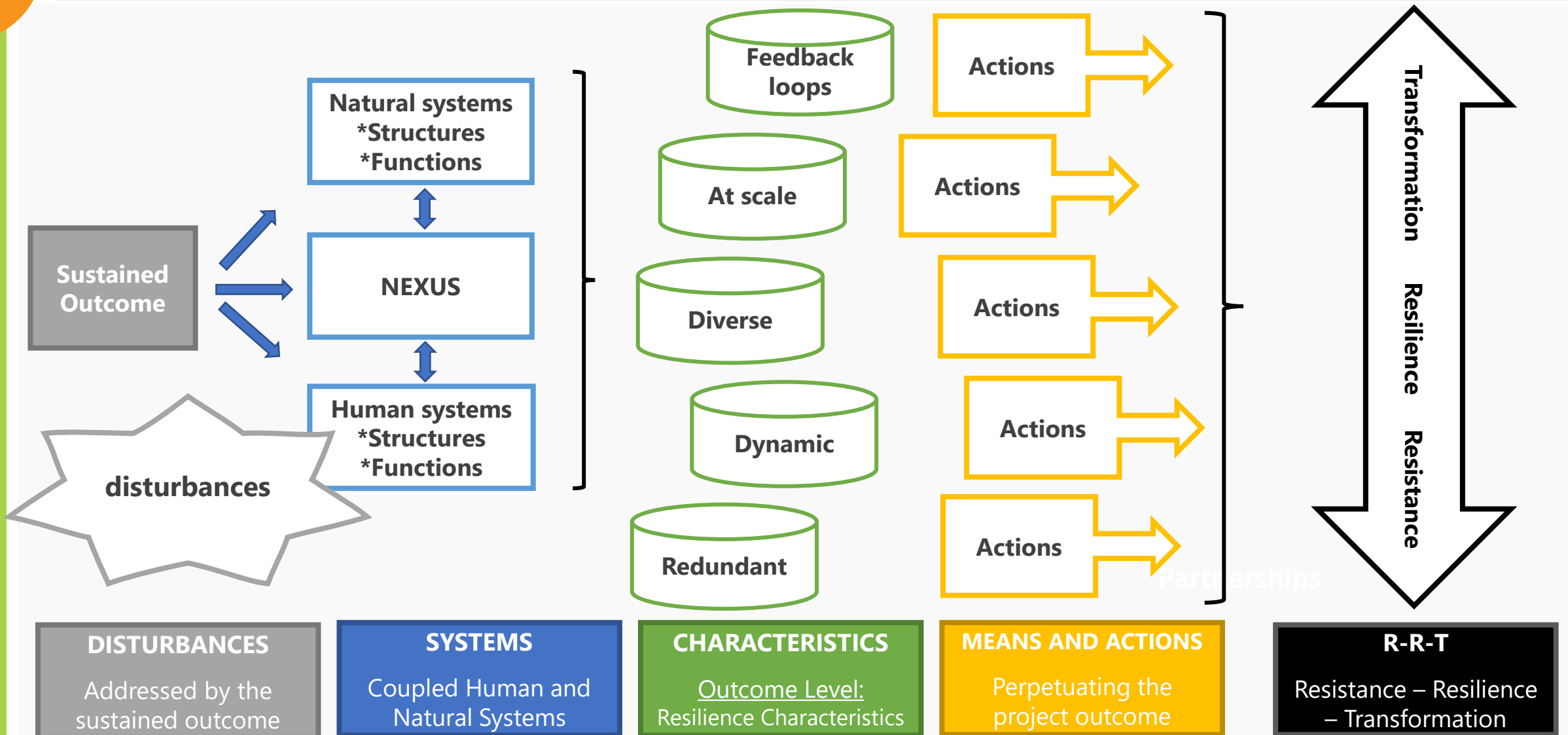
A2



Methods in ex-post evaluations

A2

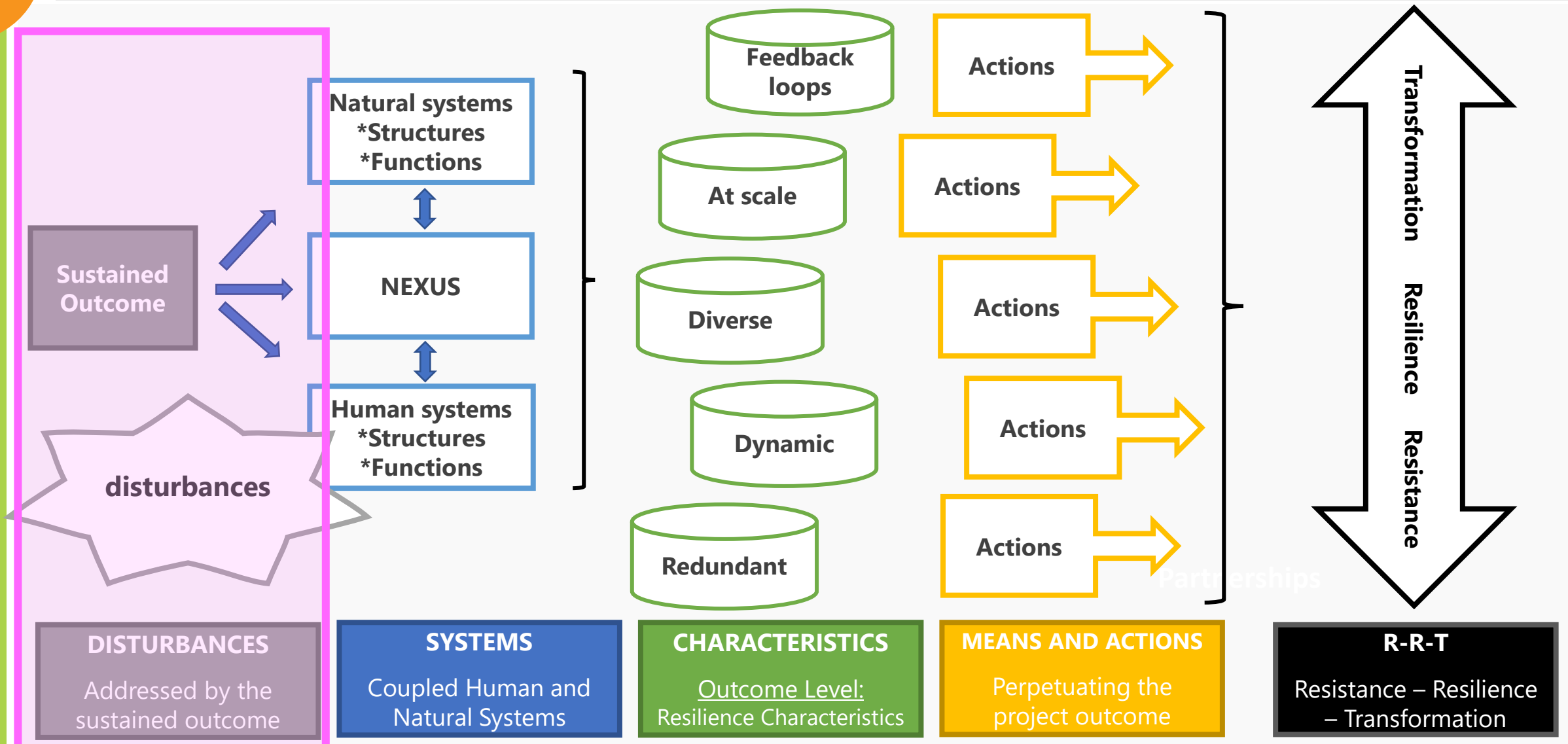
Evaluating resilience: framing for resilience analysis



Methods in ex-post evaluations

A2

Evaluating resilience: Disturbances



Methods in ex-post evaluations

A2

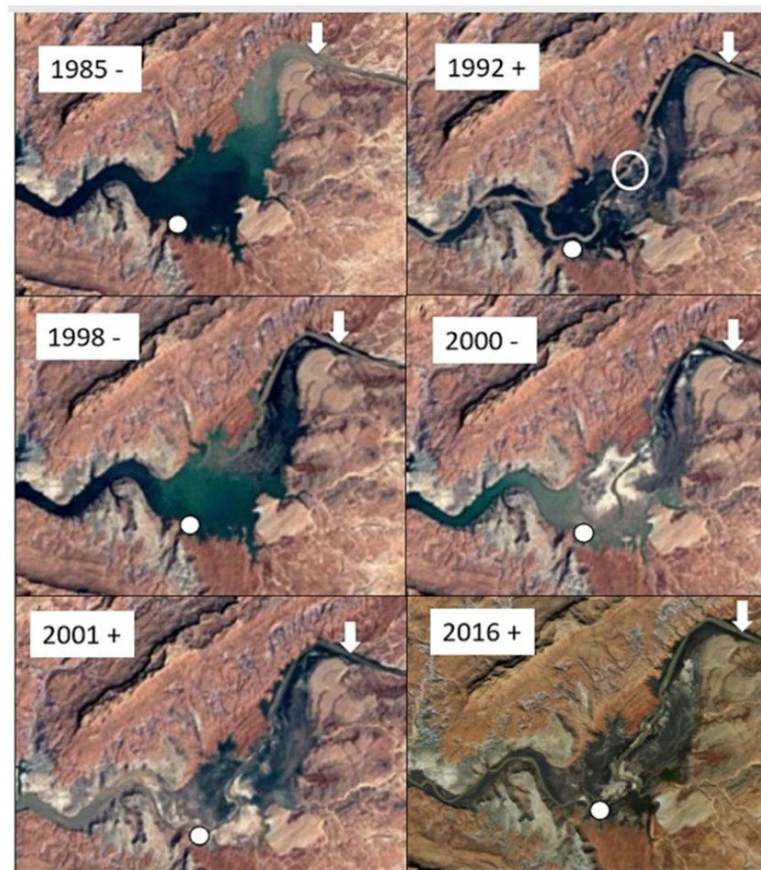
Evaluating resilience : Disturbances

Shocks: sudden expected or unexpected climatic events – or disasters - such as drought, flood, hurricanes, wildfire, etc.



Clayton, California, 2013

Stresses: slower onset climatic changes such as sea-level rise, change in habitable area, loss of soil or plant matter, etc.

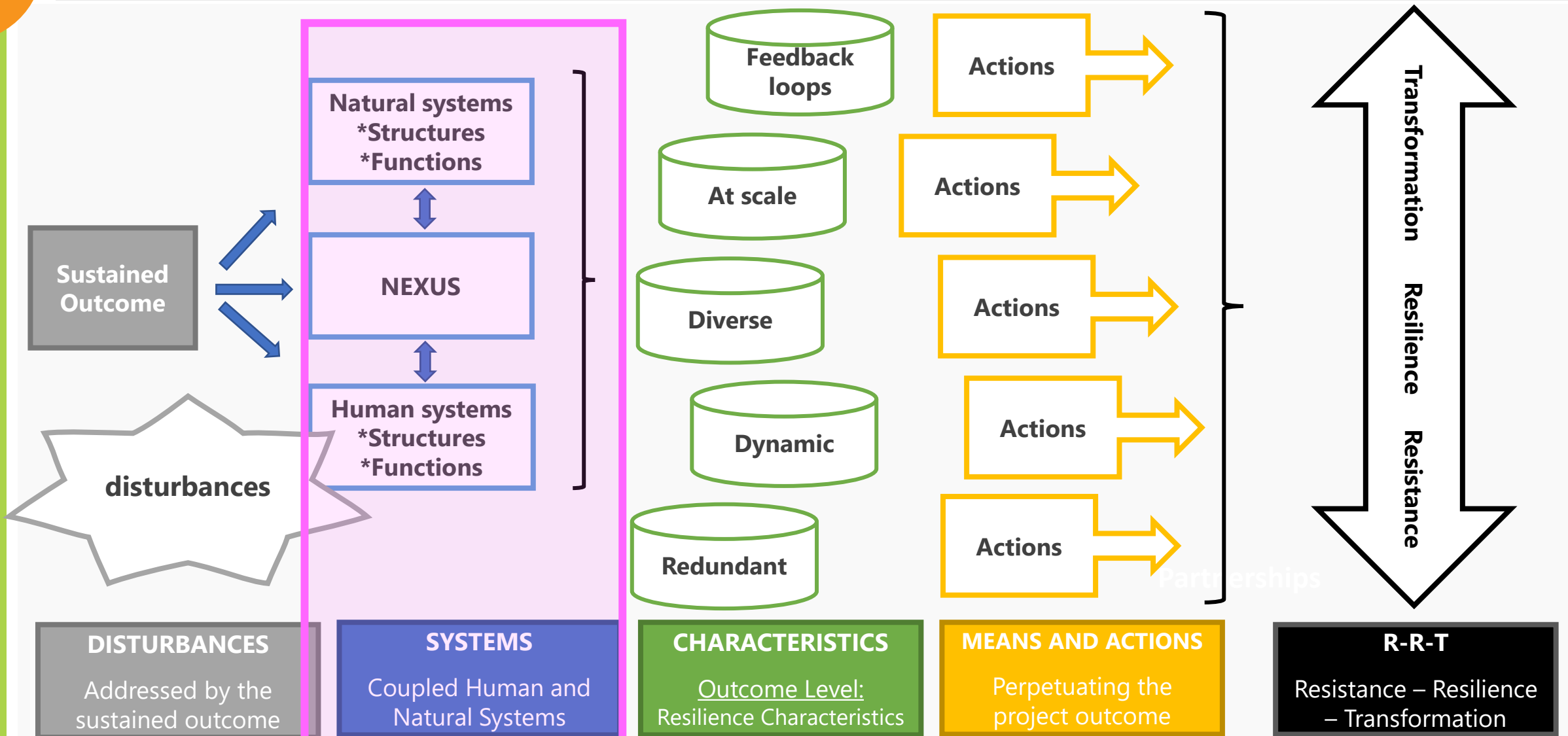


San Juan River
portion of Lake
Powell
(Utah and
Arizona)

Methods in ex-post evaluations

A2

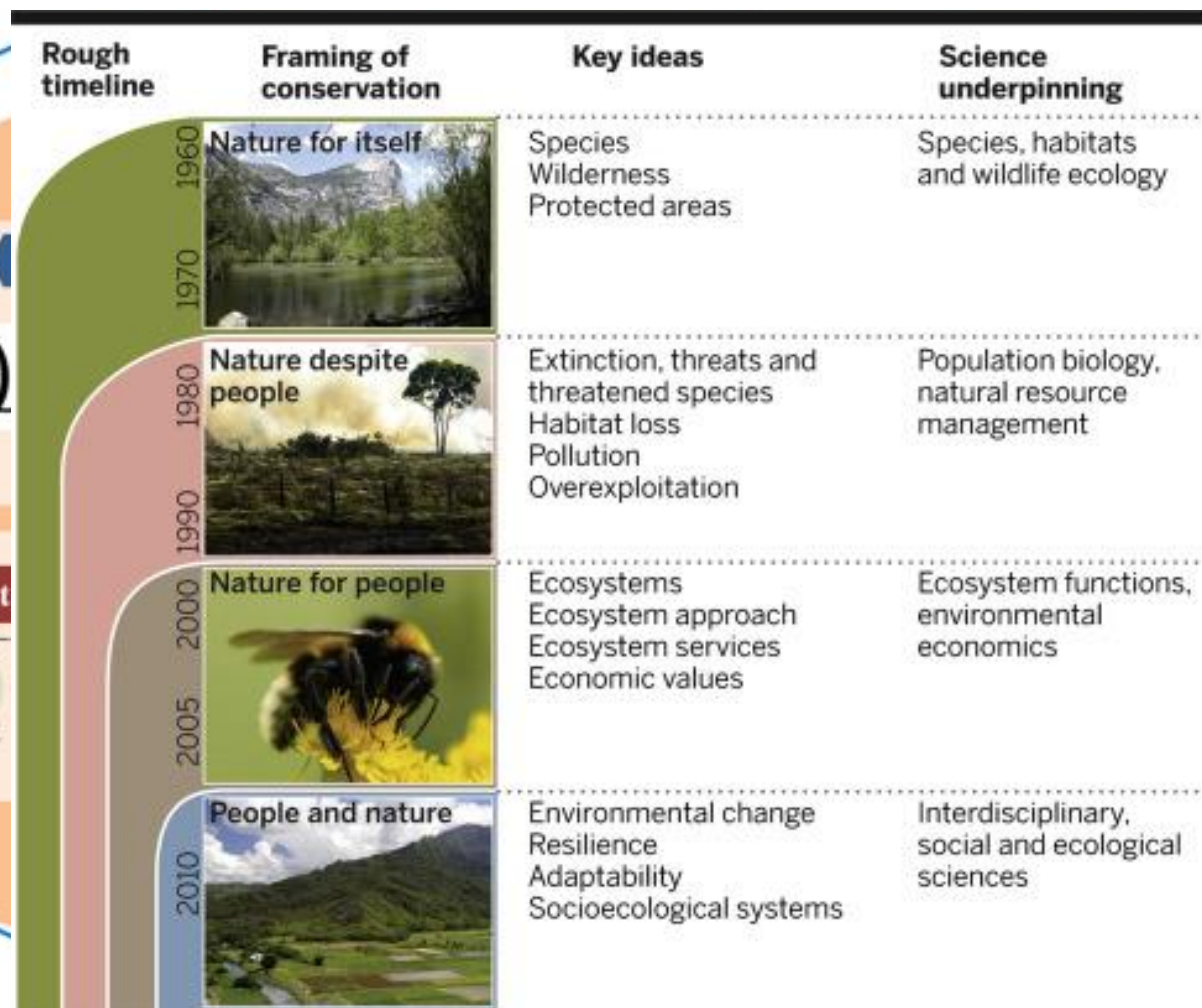
Evaluating resilience : Systems



Methods in ex-post evaluations

A2

Evaluating resilience : Systems (1)



Adaptability vs adaptation

Adaptability:

the extent to which something/someone can/could adapt (resilience is not always the goal - i.e. adaptability means different things in different contexts/ for different entities).

Adaptation:

if and when something/ someone has adapted/ adapts.

Evaluating resilience : Systems (2)

NATURAL Systems

Structures

- Forests
- Reefs
- Mountains
- Barrier islands
- Rivers
- Etc.

Functions

- Hydrological Cycle
- Shelter & Habitat
- Nutrient Cycle
- Carbon Cycle
- Photosynthesis
- Etc.

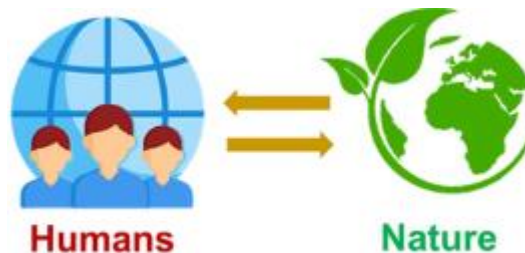
HUMAN Systems

Structures

- Institutions
- Policies
- Environmental agreements
- Physical infrastructure
- Etc.

Functions

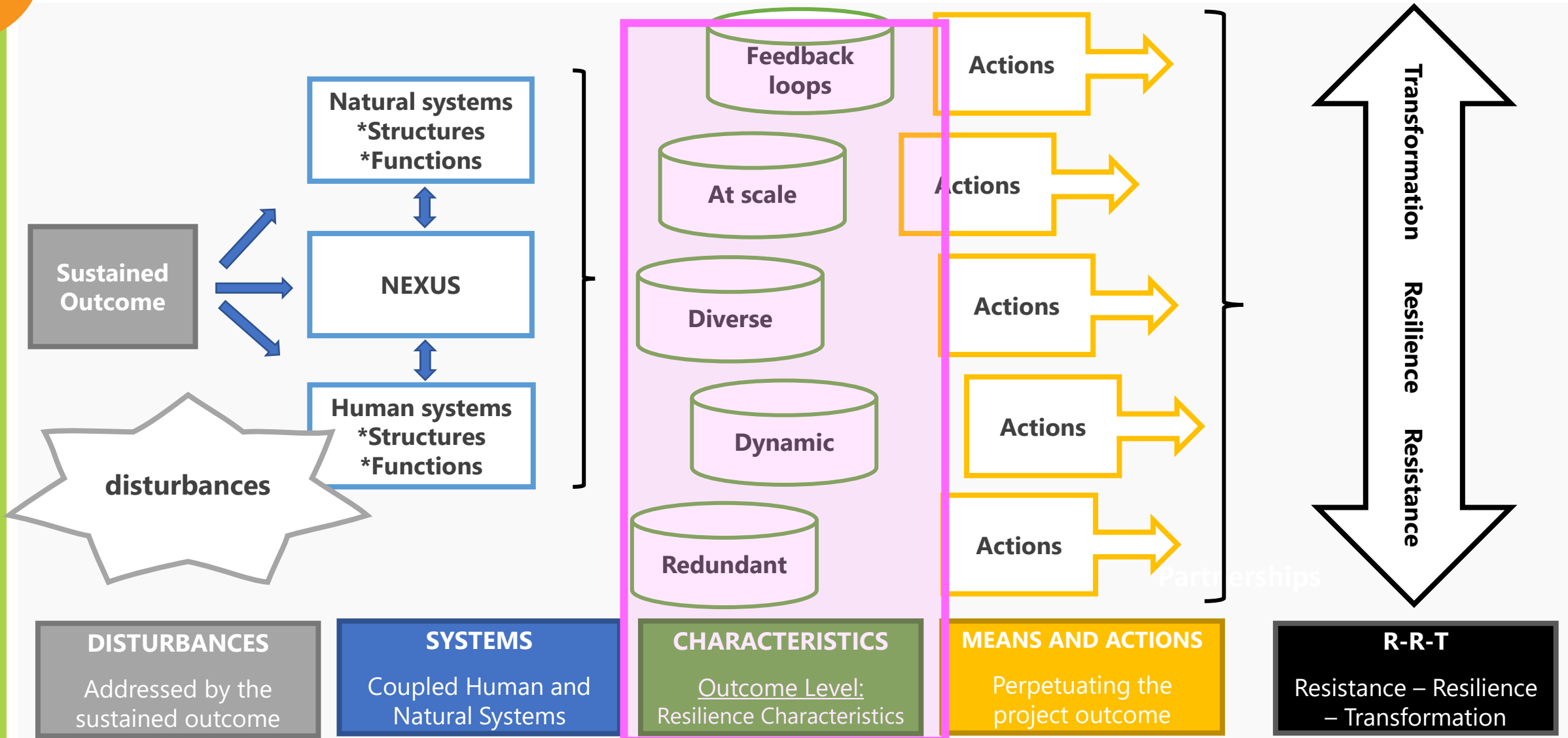
- Safety
- Health
- Food security
- Education
- Economic growth
- Etc.



Methods in ex-post evaluations

A2

Evaluating resilience : Characteristics

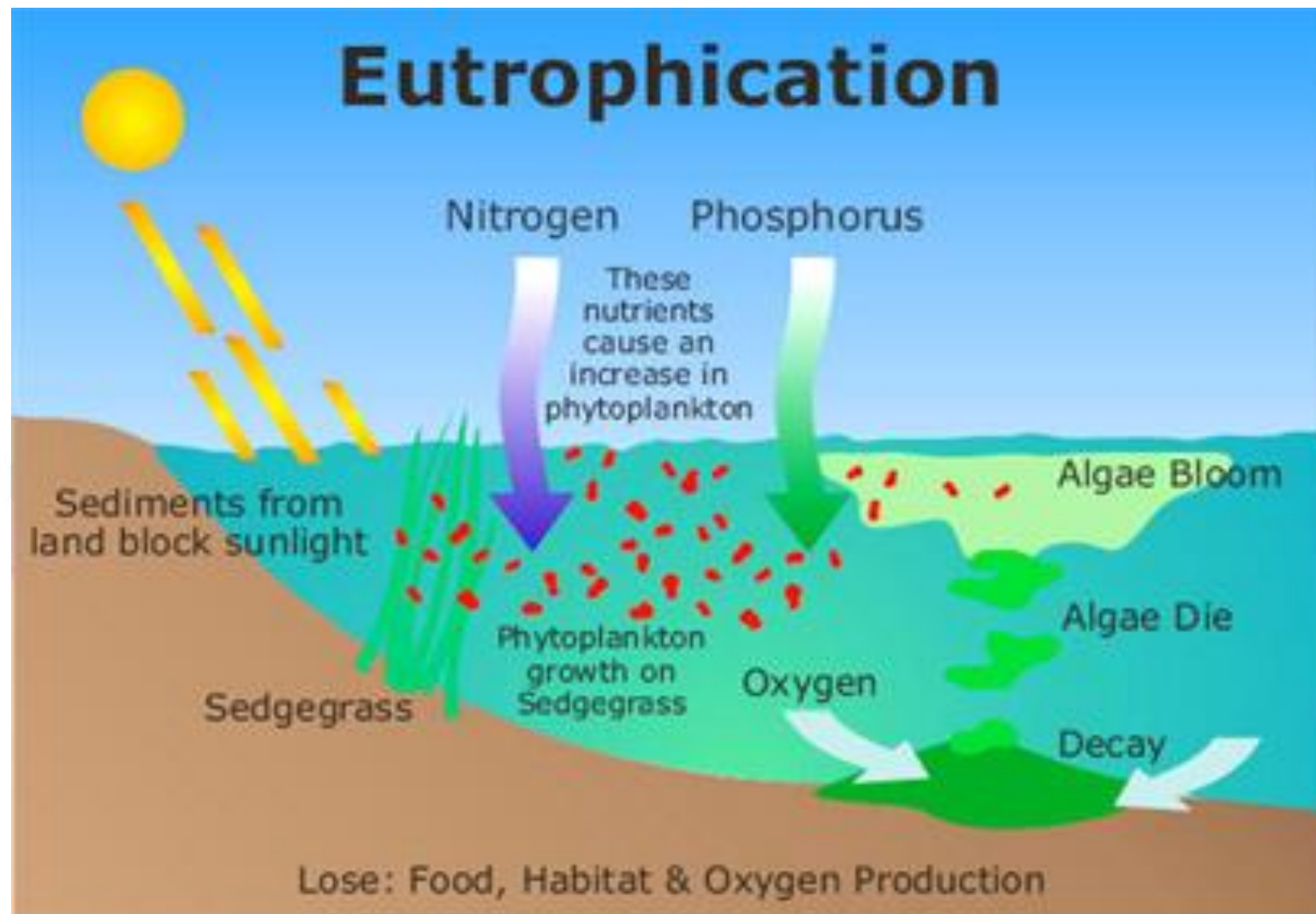


Evaluating resilience : Characteristics - Feedback Loops

Feedback Loops: having ways to generate and communicate information that can be used to take or adjust actions / decisions

"The transmission of evaluative or corrective information about an action, event, or process to the original or controlling source."

"Feedback occurs when outputs of a system are routed back as inputs as part of a chain of cause-and-effect that forms a circuit or loop."

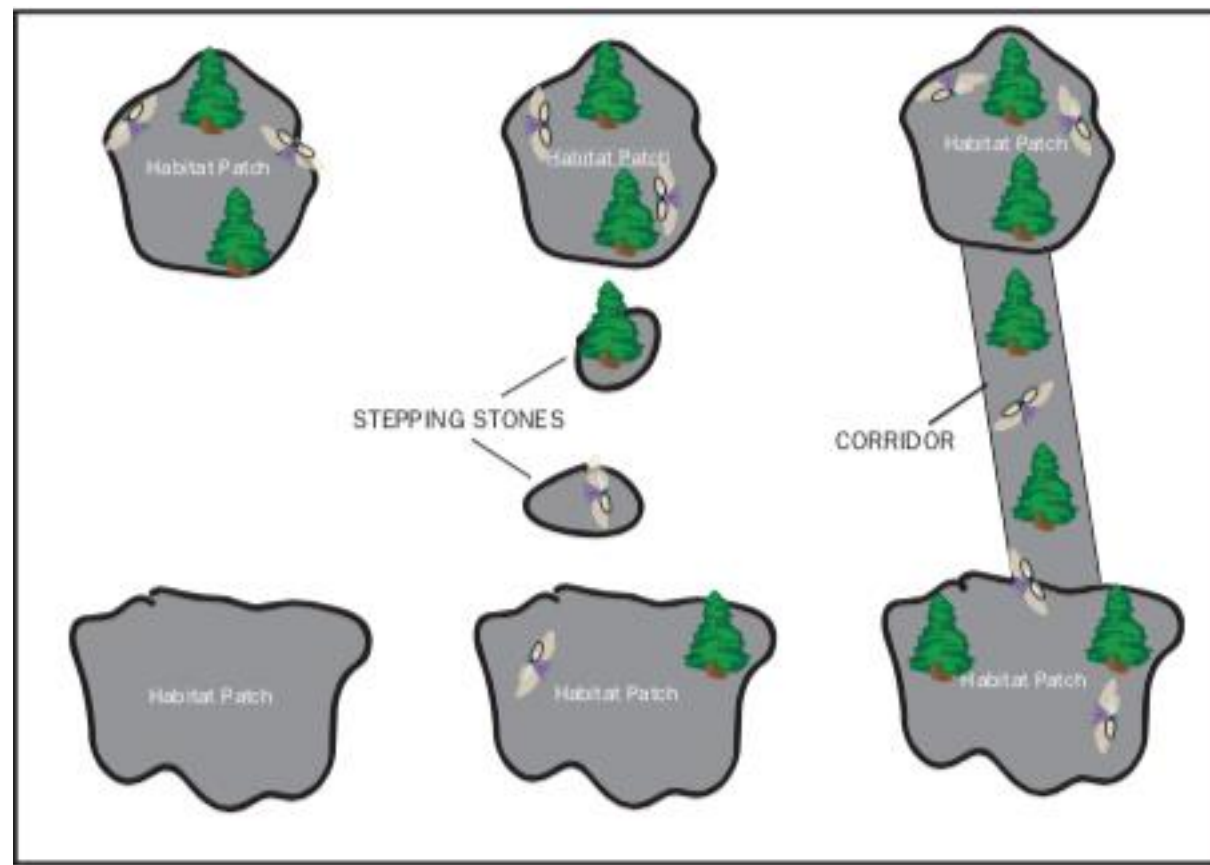


Evaluating resilience : **Characteristics** - Scale

Scale: of sufficient size or timeliness in order to generate desired benefits

"At the required size to solve the problem."

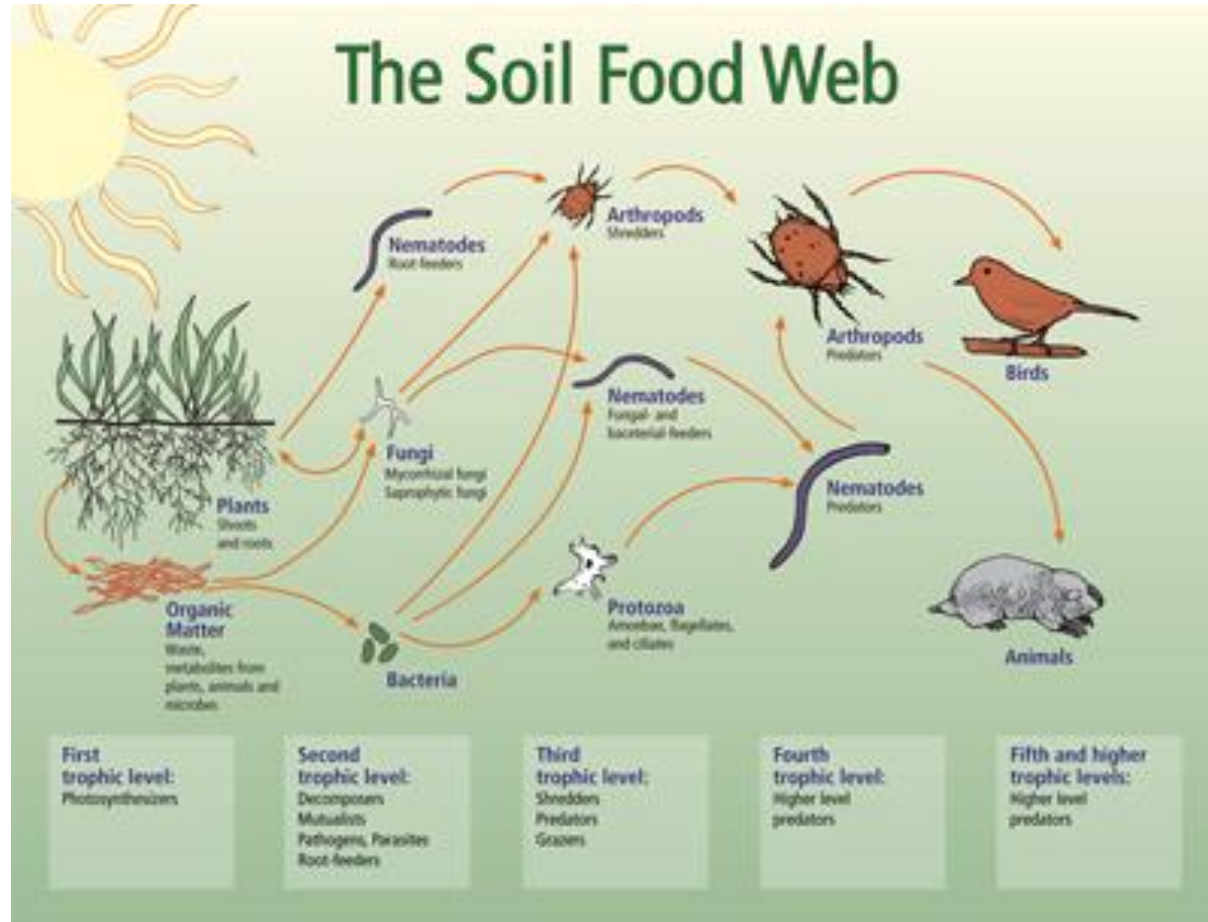
"*Scalability* is the capability of a system, network, or process to handle a growing amount of work, or its potential to be enlarged to accommodate that growth."



Methods in ex-post evaluations

A2

Evaluating resilience : Characteristics - Diversity



Diversity: different things/entities serving different functions but part of a larger common system or set of purposes

“The state or fact of being diverse; difference, unlikeness... multiformity”

“The condition of having or being composed of differing elements ”

Feedback loops

At scale

Diverse

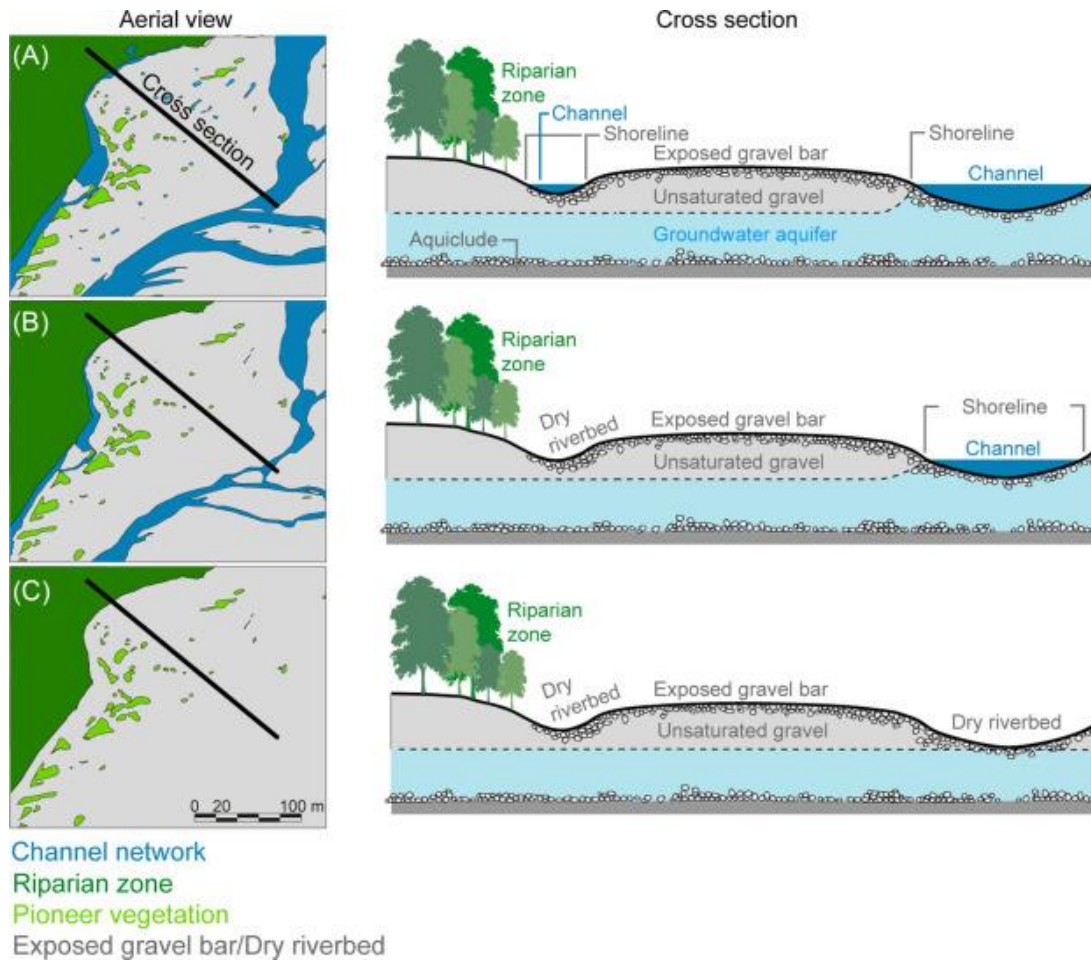
Dynamic

Redundant

Methods in ex-post evaluations

A2

Evaluating resilience : Characteristics - Dynamism



Dynamic: flexibility and changes that are centered around a common set of purposes (or equilibrium)

"Pertaining to or characterized by energy or effective action; vigorously active or forceful; energetic"

"Marked by usually continuous and productive activity or change"

"*Dynamic equilibrium (biology):* A system in a steady state since forward reaction and backward reaction occur at the same rate."

Evaluating resilience : Characteristics - Redundancy

Redundancy: having back-up; two or more things serving the same/similar function or role

“The provision of additional or duplicate systems, equipment, etc., that function in case an operating part or system fails, as in a spacecraft.”

“Serving as a duplicate for preventing failure of an entire system (such as a spacecraft) upon failure of a single component.”

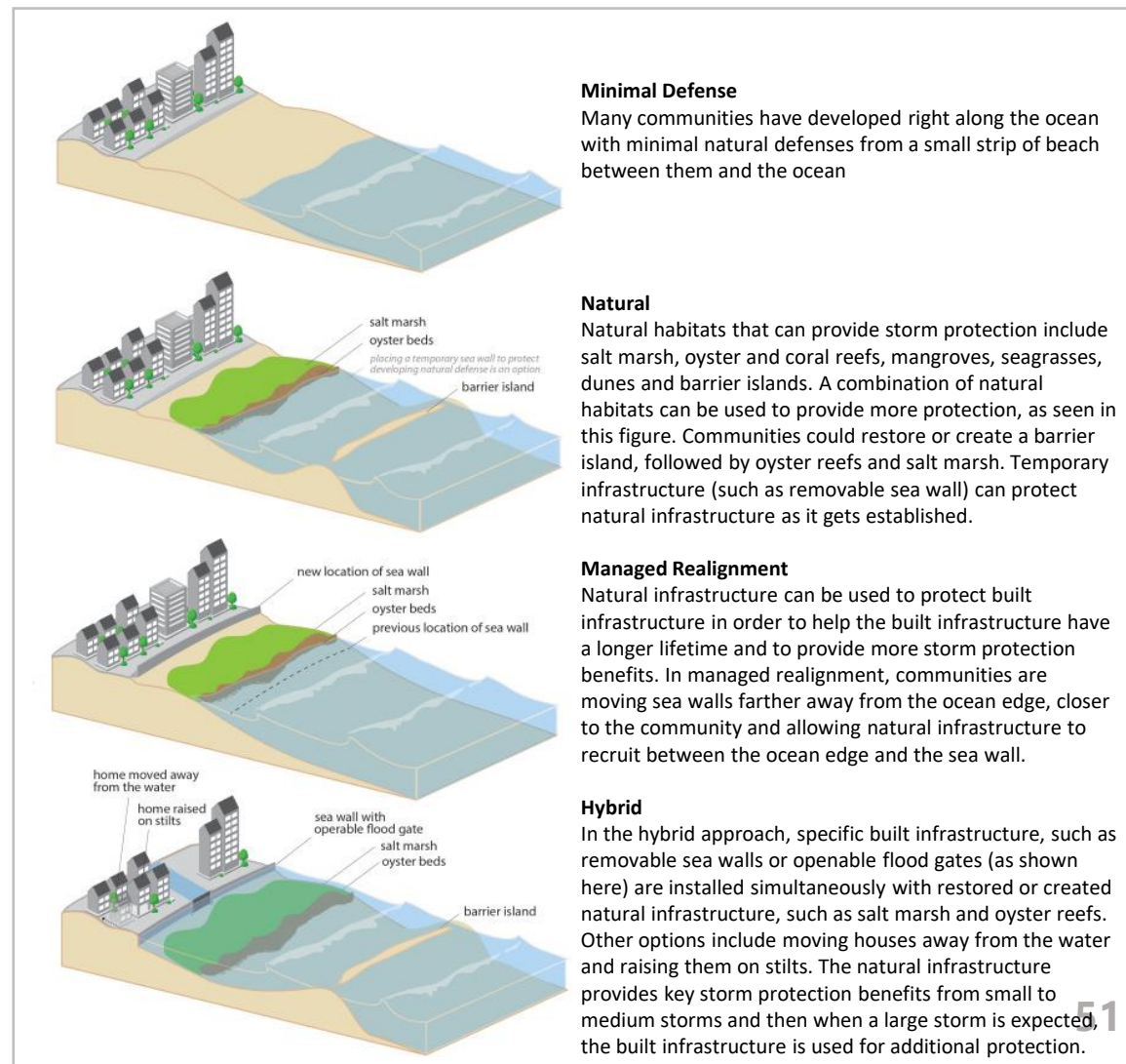
Feedback loops

At scale

Diverse

Dynamic

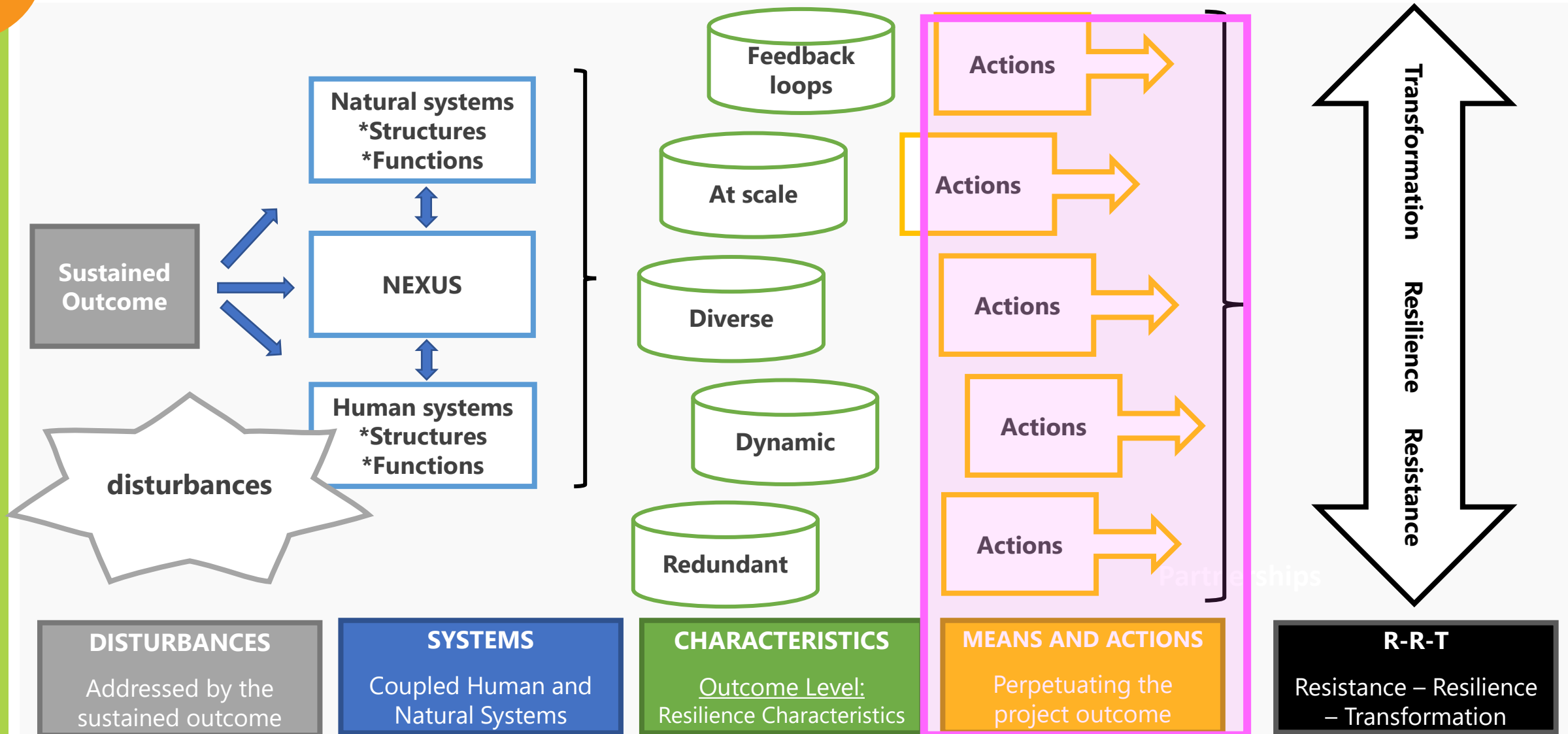
Redundant



Methods in ex-post evaluations

A2

Evaluating resilience : Means and Actions



Ex-post pilots: preparatory work for field work

A3

Evaluating resilience : **Means and Actions**

Means, e.g.

- follow on financing
- income/revenue generation
- access to resources
- shift in power, politics
- new institutions
- new policies, plans
- Etc.

Actions, e.g.

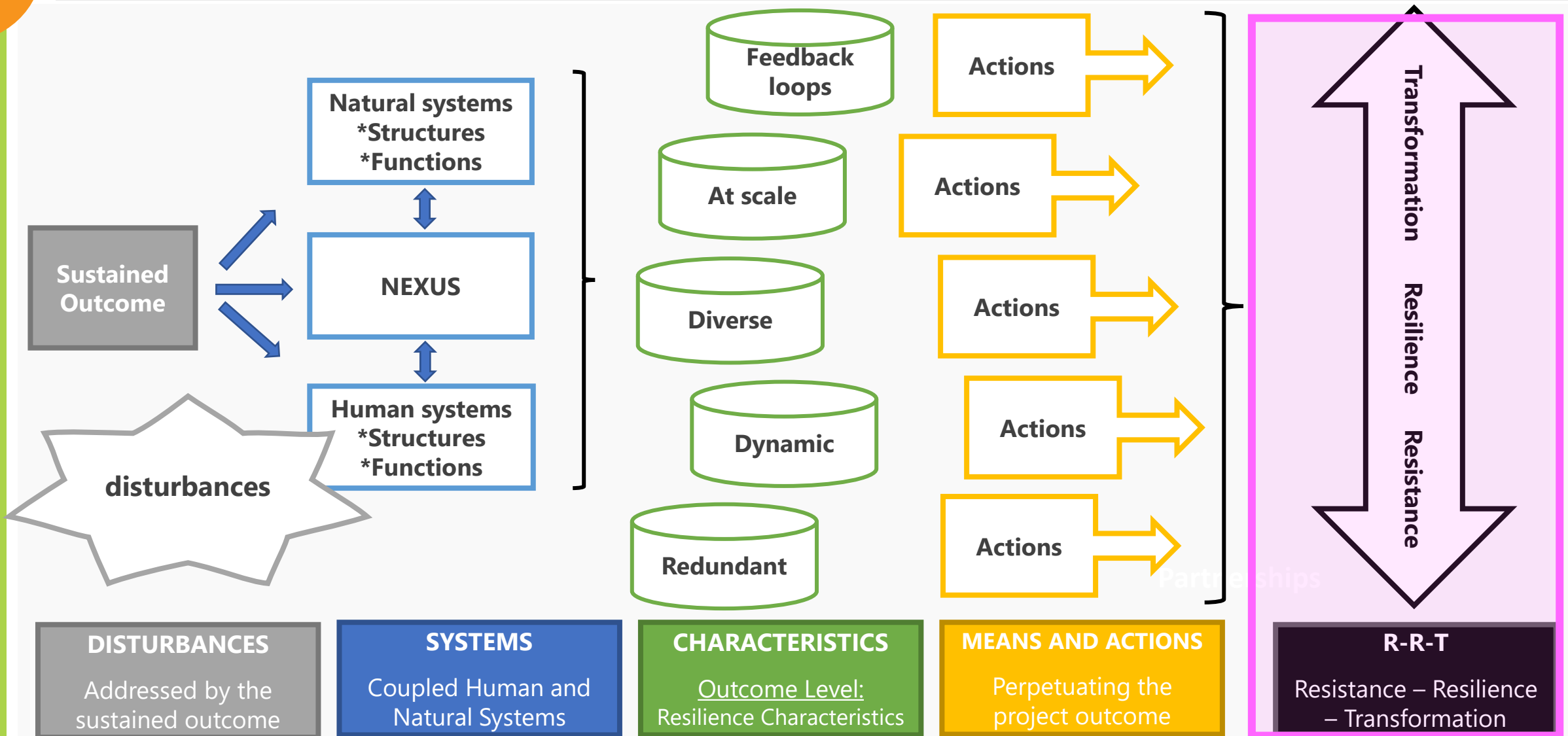
- partnerships formed
- new practices
- education
- new skills, knowledge
- new management
- gender inclusion/ consideration
- Etc.



Methods in ex-post evaluations

A2

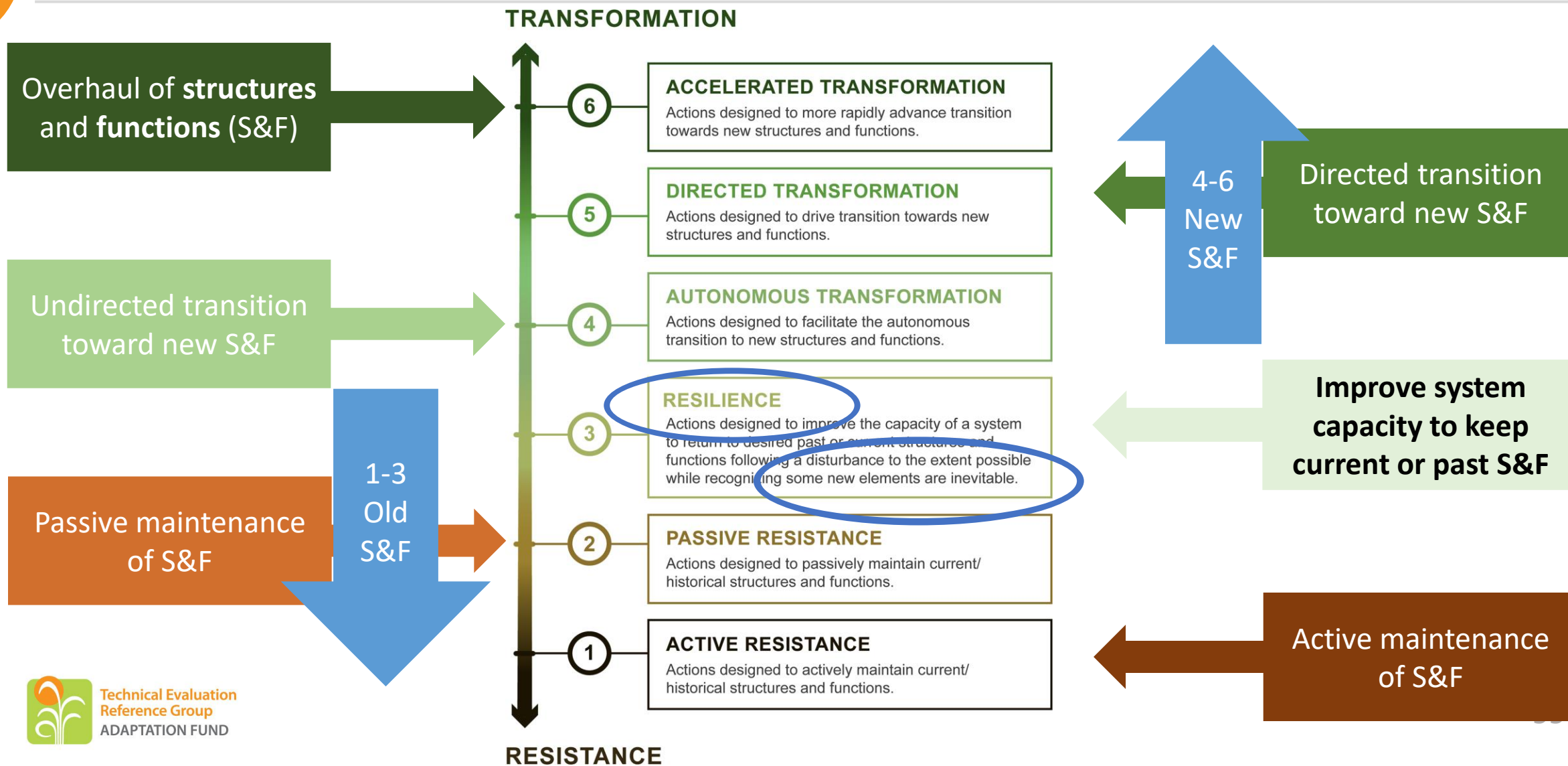
Evaluating resilience : R-R-T Typology



Methods in ex-post evaluations

A2

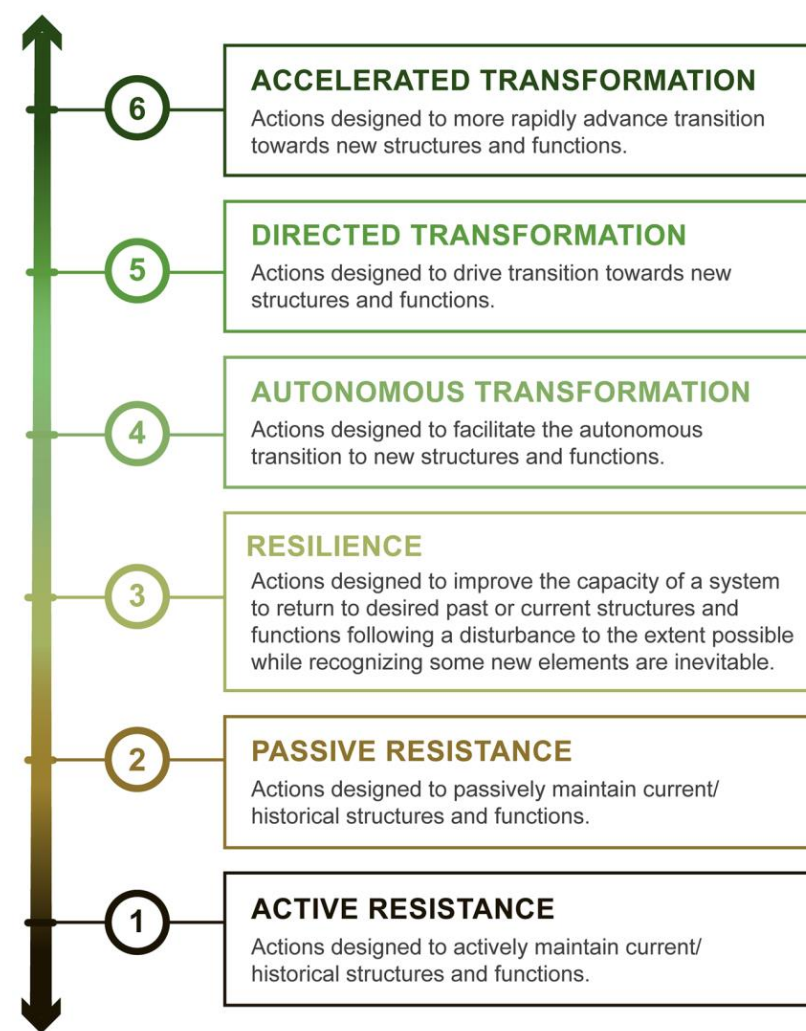
Evaluating resilience : R-R-T Typology



Evaluating resilience : R-R-T Typology - example

- Species translocation out of native range for anticipated future conditions
- Some individuals migrate to new ranges and populate
- Protected areas established in current native range

TRANSFORMATION



RESISTANCE

e.g. Species Conservation Intervention

- Species translocation within and outside current native range
- Some individuals survive current native range with behavioral changes; others die off
- Protected areas expanded for species conservation

Stretch and drink break



Questions? Comments?

A3- Understanding processes for evaluations pilots: co-creating learning for ex-post pilots

Contents

- **Overview of co-creation process for ex-post evaluations**
co-creation process for ex-post evaluations including setting learning purpose, organizational and national priorities to complement AF ex-post aims
- **How does ex-post work in practice?**
 - setting research questions
 - process for ex-post evaluation and learning
 - timeline of ex-post evaluations
 - preparatory work for field work
 - after ex-post: debriefing and sharing organizational learning

Co-creation process for ex-post evaluations (purpose/ process)



The ex-post evaluation follows a

Co-creation process

STEP 1

Define the purpose, scope and initial design of the post-project evaluation, and understanding conditions for the field work

STEP 2

Determine learning priorities and outcomes to evaluate for specific country pilots via collaboration

STEP 3

Given the outcomes chosen, what methods to evaluate outcome sustainability and resilience?

Co-creation process for ex-post evaluations (purpose/ process)



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STEP 3

Given the outcomes chosen, what methods to evaluate outcome sustainability and resilience?

How does the ex-post evaluation work in practice?

A3

Defining purpose, usability and design of evaluation with stakeholders

STEP 1 Define the purpose, scope and initial design of the post-project evaluation

Purpose and usability to set evaluation questions with key stakeholders

- Reminder of ex-post evaluation questions: sustainability & relevance... and resilience
- Stakeholders' expectations and discussion questions pre-evaluation:
 - What other things should be learned from the evaluation and why?
 - How will the evaluation process & findings be used?
 - Who will use the eval. data in the future and how will that influence retention & dissemination, from local levels to international?
- What array of stakeholders involved in ex-post learning, stakeholder mapping, regional/ national debriefs (w/representatives from wider groups)?
- Sufficient capacities of (internal and external) evaluators re: methods?
- Timing, OK? Staff seconded? Sufficient budget? Detailed project data shared with evaluator?
- Preconditions to successful fieldwork
- What else?

How does the ex-post evaluation work in practice?

A3

Setting up research questions for sustainability

Questions we ask in evaluating the ex-post sustainability of outputs/ outcomes and impacts after agreements on scope of the evaluation and review of sufficient data quality:



Pre-field work: verify sustainability

- 1. What was the Theory of Sustainability?**
What assumptions were made in it and who is expected to sustain the results, after reviewing stakeholder and other types of mapping?
- 2. What projected ratings of sustainability were made,** if any, and can be validated?

How does the ex-post evaluation work in practice?

A3

Setting up research questions for sustainability



Field work (1) : possible questions to explore for the evaluation

1. What is still functioning, how well at ex-post and regarding resilience categories & RRT? Why or why not?
2. What conditions/inputs during project implementation were assumed at exit changed since closure?
3. What unexpected outcomes arose?
4. Why would results last (or not)/ for how long)?
5. How do implementing partners on the project see the long-term effects? Emerging ones?
6. How have sustained outcomes affected and been affected by underlying socio-ecological systems (climate resilience)?
7. What external shocks affected the participants, partners, natural system, wider country?

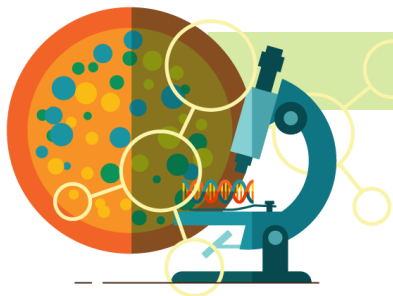


Stakeholder to decide: Are all these ex-post questions a priority for the project and its stakeholders?

How does the ex-post evaluation work in practice?

A3

Setting up research questions for sustainability



Field work (2) : questions to understand relevance (why? = barriers and drivers)

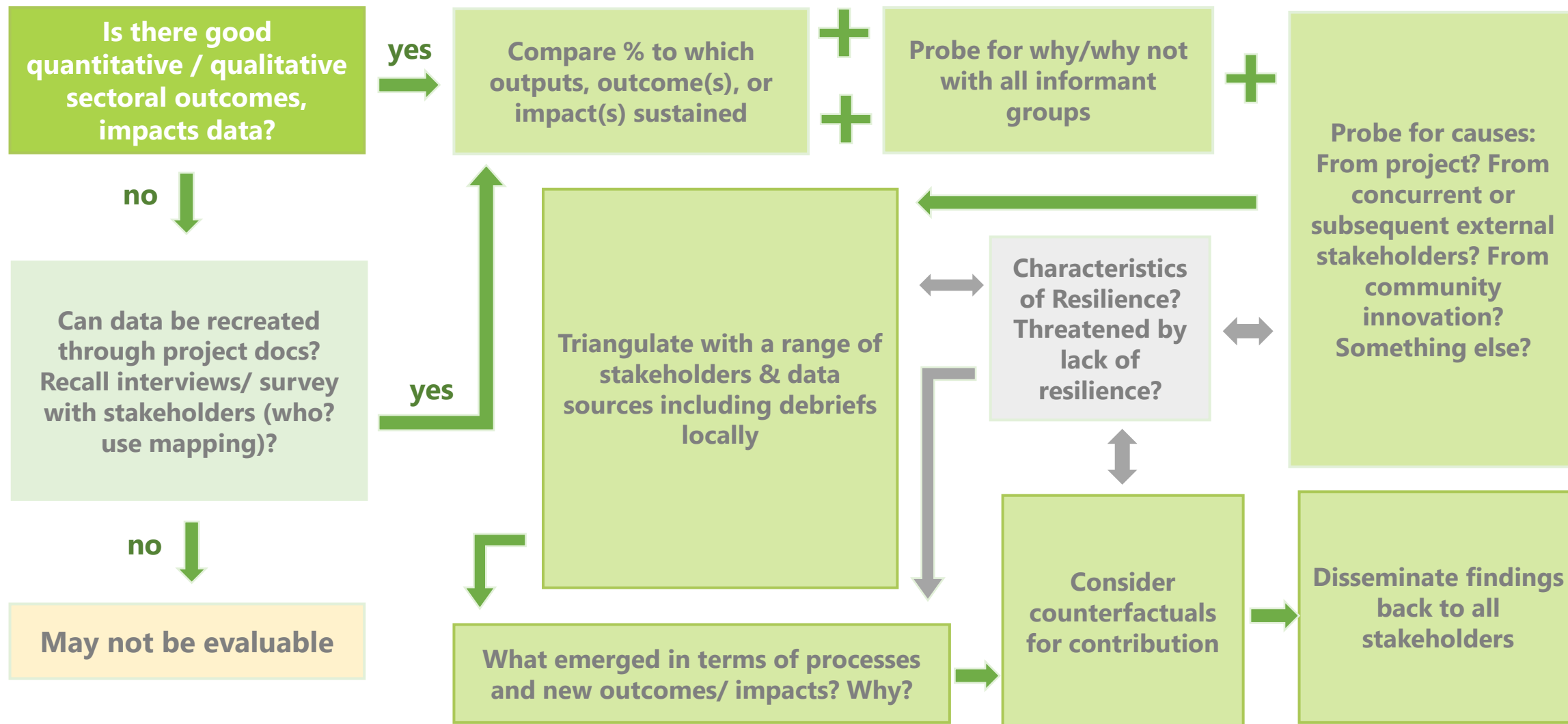
1. How widely 'owned' were the activities/ outputs-outcomes to be sustained? By whom?
2. How did resources, capacities and partnerships get sustained?
3. How did the output/ outcome change as a result?
4. How well was the project handed over to local actors or other implementers/ donors/ partners?
5. What shifts in power relationships happened? How did the intervention change the power relations more widely e.g. gender, generational, systemic/organizational?
6. Did men, women, boys, and girls experience the results differently?
7. What recommendations from the project's final evaluation and subsequent studies were implemented and did they affect sustainability?
8. Are there lessons for other projects' design, implementation, timeframe, handover & exit?
9. How to plan for resilience better?

What other questions came from the co-creation process?

How does the ex-post evaluation work in practice?

A3

Process for ex-post project evaluation & learning



How does the ex-post evaluation work in practice?

A3

Ex-post evaluation timetable - to confirm

Date	Task
Week 0	Co-creation process where stakeholders agree on what will be evaluated, what benefits will come from the ex-post evaluation, what is needed logistically (data, fieldwork) & for learning
Week 1	Virtual briefing with AF team with consultant on approach on Eval Qs to be answered, confirm expectations of final process and product, and training on ex-post and resilience
Week 2	Field team out to the local area(s): Fieldwork 8 days (day 1 and 8 travel days) 2 Qualitative SEIE tools, e.g. Community RRA tools/ transect walk, FGD, analysis on 1 st site or or use CA tools ; repeat in 2 nd site, in addition of counterfactual village(s) using Outcome Harvesting, then analysis and triangulation by partner interviews in each area at district level including draft writeup
Week 2-3	District debriefs and partner input with consolidation of qual data to shape quantitative survey. Debrief on qual findings to stakeholders, with input on outstanding questions to be answered
Week 3	Consultant submits draft survey instrument to AF for feedback
Week 3	Survey put on tablet and consultant trains enumerators and launch survey
Week 4	Survey results sent to analysis team
Week 4	Writing and draft report submission
Week 5	Debrief with AF and
Week 5	Final report submitted to INGO and learning products drafted and shared

Ex-post pilots: preparatory work for field work

A3

Conditions needed for fieldwork (1-2)

Before going to the field, the evaluator will have to prepare the following :



1 Project Documentation review, including design & final (mandatory) and baseline evaluation documents with

- Qualitative and quantitative data of outputs & outcomes
- Measured targets & indicators in (min) final evaluation
- An endline survey or review, endline sampling frames, methodology and survey design for statistical comparison
- What benchmarking, exit, handover for readiness for exit, access to data & reidentification of participants?

2 A theory of change or sustainability, beyond theory of change

Ex-post pilots: preparatory work for field work

A3

Conditions needed for fieldwork (3-4)

Before going to the field, the evaluator will have to prepare the following :

3 Four types of mapping:

a) Stakeholder mapping of types of engaged stakeholders

- including implementing institutions/ partners, local government and other organizations
- include names/ contacts of final evaluation respondents, former implementation staff at final and now ex-post, project participant (+gender) lists by site(s)

b) Project sites mapping by concentration of activities, geographical and other differences for site selection

c) Mapping of other development interventions at sites to isolate & not influence sustainability outcomes

d) Mapping of shocks, climate disturbances and ecosystems

Before going to the field, the evaluator should ensure that there is:



4 Institutional learning, buy-in and cooperation,

- logistical feasibility influences site selection, choice of methods and fieldwork support

Ex-post pilots: preparatory work for field work

A3

Condition #1– project documentation review

Before going to the field, the IE and evaluator should gather and review the project's secondary data documentation (mandatory)

DATA GATHERING. The following documents will be consulted to provide background on the project :

- **Project Proposal,**
- **Final Evaluation, Baseline and Midterm Reports,**
- **Sustainability ratings (if exists),**
- **List of Assets/ Infrastructure created,**
- **Capacities Gained (documented knowledge change used),**
- Monitoring and Results Reports (where relevant, Vulnerability Assessment Mapping),
- If quantitative mixed methods, M&E including sampling and disaggregated data from the final evaluation by project site in disaggregated form
- Exit strategies guidelines used,
- Other documents as per co-creation process?

➡ **mandatory** ⬅



Ex-post pilots: preparatory work for field work

A3

Condition #1– project documentation review



DATA REVIEW. After gathering secondary data from the project, the evaluator and IE should review the following information:

Data access and retention

Sustainability benchmarking and participants

Exit and handover

Data access and retention

- Is endline (and ideally baseline) data disaggregated?
- Are sampling frames, survey and participant lists retained?



Ex-post pilots: preparatory work for field work

A3

Condition #1– project documentation review



DATA REVIEW. After gathering secondary data from the project, the evaluator and IE should review the following information:

Data access and retention

Sustainability benchmarking and participants

Exit and handover

Benchmarking to sustainability and tracing participants and partners

- Were there any planned project efforts to close out or transfer implementation support to another entity during implementation?
- Were there benchmarks or indicators signaling the end of, phasing out of, or reduction of project support?
- Was there follow-up on funding already secured or was the same project implemented elsewhere?
- Reports since the project closed about ongoing activities (operations & maintenance of infrastructure),
- Budgets for operations and maintenance, etc...

Ex-post pilots: preparatory work for field work

A3

Condition #1– project documentation review



DATA REVIEW. After gathering secondary data from the project, the evaluator and IE should review the following information:

Data access and retention

Sustainability benchmarking and participants

Exit and handover

Exit and Handover

- Were there lists of project participants and key stakeholders and can they be found ex-post?
- Were new staff put in key positions and would those there now know of the project then as well as intervening changes?
- Who was involved at what level in exit and handing over for continuation?
- Can you find them?

Condition #2 – Theory of sustainability

Before going to the field, the IE and evaluator should develop a Theory of Sustainability

The **anticipated theory of change/ sustainability** post project for specific outcomes and outputs (consider financial, systems, organizational, infrastructure, behavior change etc..) should answer...

- What is expected to still be functioning based on findings from terminal evaluation and initial discussions with IE/EE?
- How well were ex-post plans developed and/or executed? What were plans for continuation of activities and/or follow-on support, replication, scale-up, other?
- **Regarding resilience**
 - What characteristics of resilience are possible based on targeted outcomes (Did the project aim for redundancy, diversity, feedback loops, scale, dynamism/dynamic solutions?)
 - What is the overall strategy of the project on the RRT scale? Did the sum total of the sustained outcomes aim for resistance, resilience and/or transformation?

This should be done first at the national level, reconfirmed at the local level where needed

Ex-post pilots: preparatory work for field work with major IE/EE

A3

Condition #3 – Mapping

Before going to the field, the IE and evaluator should map all stakeholders, activities, and shocks



Draw a stakeholder map of organizations to sustain the results including partnerships & resources, capacities to be sustained, how design & exit enabled this (e.g. grassroots orgs).

- Complement the stakeholder map with a **stakeholder analysis** to examine interests and power dynamics.
- Capacity and commitment and structure of institutions assuming responsibility post project and relationships of those locally implementing.
- **What conditions/inputs internal to the project implementation that were assumed at exit changed since closure?** (*locally reconfirmed*)

Ex-post pilots: preparatory work for field work with major IE/EE

A3

Condition #3 – Mapping

Before going to the field, the IE and evaluator should map all stakeholders, activities, and shocks



Site selection by mapping concentration, isolation of project activities from other organizations'

Mapping of local, regional, national and international shocks that would affect sustainability (e.g. policy, economy, security) pre and post closure.

- **What climate disturbances (stresses, shocks) affected the vulnerability and resilience affected** the participants, partners, natural system, wider country?
- Describe the viability of **the local ecosystem** and describe how it has changed since the project's end.
- Why? (*locally reconfirmed*)

Condition #4 – Institutional buy-in & learning

Before going to the field, the IE and evaluator should make sure there is institutional buy-in

- What three things should be learned from the project *other than sustainability and resilience* and why?
- What would be necessary for results to be sustained/ still functioning well?
 - ✓ Quality (maintenance/ operations/ training) for resilience of infrastructure assets?
 - ✓ Quality of materials used So more sustainable
 - ✓ Actual use of the infrastructure (traffic, time to hospital etc.)
 - ✓ Resources and partnerships for assets or capacities?
 - ✓ Individual and organizational capacities to sustain outputs/ outcomes for assets or capacities
- How will the evaluation process & findings be used? (e.g. M&E capacity building? Fundraising based on most sustained results to be replicated/ scaled-up? Regional knowledge sharing? Something else?)
- Who will use the eval. data in the future and how will that influence retention & dissemination, from local levels to international? (e.g. who retains the data for future ex-post monitoring like JICA, who accesses the debriefs, report?)
- What array of stakeholders involved in ex-post learning, stakeholder mapping, regional/ national debriefs (w/representatives from wider groups)? (e.g. who are major stakeholders to involve in mapping, and in evaluation based on outcome selected?)



Ex-post pilots: preparatory work for field work

A3

Condition #4 – Institutional buy-in & learning

Before going to the field, the IE and evaluator should make sure there is preparation on logistics

Additional considerations of **logistics and staffing**:

Multi-sectoral team

Select a multi-sectoral team, women/men, diff. sectoral and language expertise, translator(s) if needed

Distances to sites

Consider distances to sites given funding and timing, consider vulnerability to climate change

Fieldwork logistics

Plan logistics hotels, plan visits with communities, clear funding/ per diem with national partners

Former project staff

We suggest at least one former staff member from the project accompany us to the field for introductions and context both qualitative and quantitative phases.

Debrief logistics

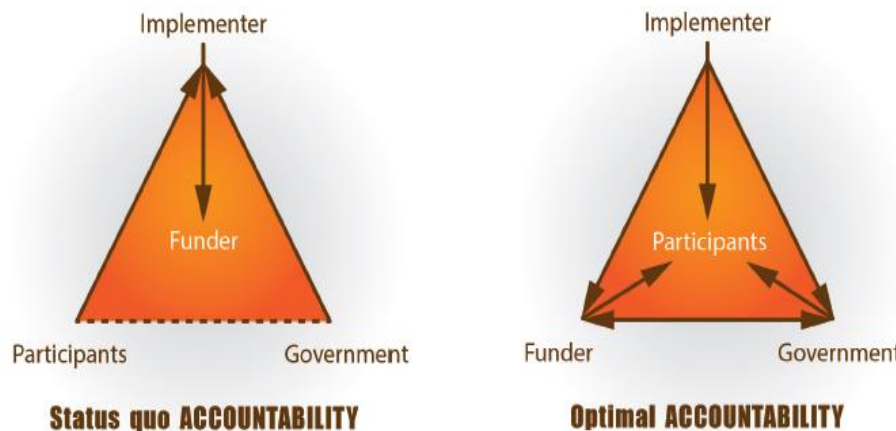
Plan debrief logistics in each region including site, invitees, dates

Ex-post pilots: after the fieldwork

A3

Learning during and from ex-post evaluations

Ex-post evaluation is also about accountability !!



Sustainable development starts with local voices, strengthens listening and accountability mechanisms between government and citizens, and holds donors and implementers accountable to them.

REMINDER

- An ex-post explores **what activities and outcomes were sustained years later** (e.g. participants still practicing behaviors) and to **enduring impacts** (e.g. reductions in vulnerability to climate change) by asking **local participants and partners about what happened since project exit**.
- An ex-post that uses Sustained and Emerging Impacts Evaluation (SEIE) documents **emerging** results such as completely new ways locals implemented, funded, partnered, having taken ownership of the project. This learning is vital to future **accountability**.

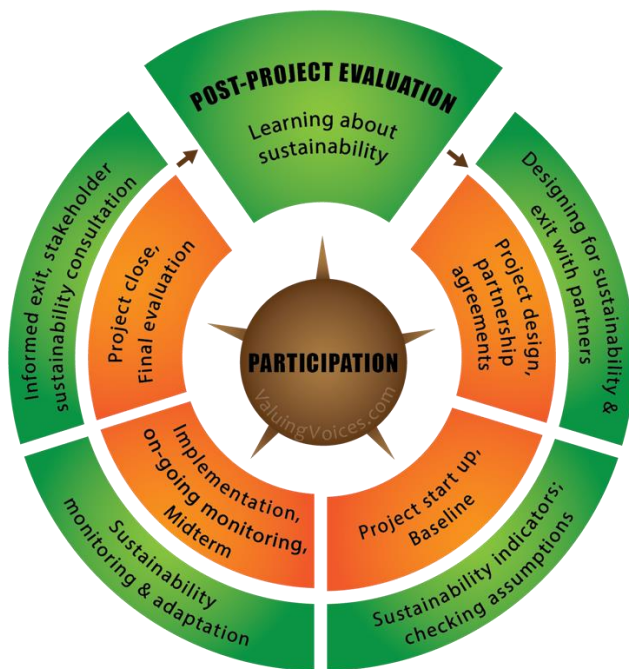
Ex-post pilots: after the fieldwork

A3

Debrief and sharing of organizational learning

Organizational learning need to be debriefed and shared locally & nationally for re-design of new projects

Embedding Sustainability in the Project Cycle



Community level: share draft findings with each community to confirm findings during a plenary called on the last day

District/ region level: debrief with key stakeholders of each district/ region, including those from other projects in the area to ground-truth and spread learning

Donor level: share final report with other major in-country donors for learning

Community level: share infographics translated back to the original communities

Donor level: share findings of SEIE with donors to shape next funding, implementation, M&E cycles

What's next?



- **Part B – learning priorities and country-specific outcomes**
 - More detailed discussions with the selected national evaluator(s) about selection of outcomes/ outputs to evaluate.
 - That would be a second training and discussion



See you tomorrow!



Questions? Comments?



to PART B....

Survey

Before you go....

Please take the following quick survey: [here](#)

What was most surprising?

What was unclear?

What else do we need to know?

If you wish, you can also verify your understanding of today's session by taking this small quiz

[Link to quiz A](#)

