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
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Training material Part C

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

Co-creation process for ex-post evaluations (reminder)

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 (reminder)

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Recap

Sources: Adapted from WHO manual 2019 for the Adaptation Fund Phase 1, 2021

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

Relevance and appropriateness
Does it make sense?
- Did the project objectives address the needs?
- Did the project intervention address the right issue?
- Is there (still) a need?

Effectiveness
Did it work?
- Did the project achieve the desired objectives/ outcomes?
- Was the intervention based on knowledge and research to improve the likelihood of success?

Sustainability =
Did it last?
~~≠ did it work?~~

Sustainability and unanticipated / emerging effects
- Are the project's effects lasting?
- Was the project as worthwhile and meritable as thought?

Ex-post analysis shows what was sustained (or not), by whom and why. This *can* illuminate relevance but not efficiency

Efficiency
Was it efficient?
- What was the relationship between the project's inputs and outputs?
- Could resources have been better used?

Effects/impacts
- Was the project worthwhile?
- Does it have merit?

Some short-term impacts can be traced, longer-term level impacts can be discovered w/ complex data or longer time

Process surrounding the interventions
Was it well managed?
- Did planning and decision-making processes ensure the project's success?
- Did management processes ensure success?
- Did processes for developing activities ensure their success?

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

↓ Ex-post ↓

Project data needed for comparative evaluation of results durability

Quantitative / qualitative project data
- Quant. outcomes ('effects') final data with baseline – final comparison ex-post
- Best if measurable impact(s) data at final for ex-post comparison
- Outputs from which sustained outcomes can be traced qualitatively (weaker case)
- Ideal is control/ comparison group from baseline. Can recreate ex-post (rare)

Indirect analysis from qualitative discussions in primary fieldwork:
- Qualitative exploration of why results exceeded or fell short of final outcomes
- Emerging outcomes via discussion – how were outcomes or ideas sustained locally ex-post, how did design and implementation change?
- Can test if assumptions for sustainability documented, qual. discussions if planned for via exit process or if failed to consider
- Can compare outcomes/ impacts of concurrent, comparable projects in same place if similar activities and inputs were implemented at the same time.

Recap

Preparation for ex-post site selection for fieldwork

Once outcomes or impacts are determined to be evaluable:

Map activities	**Define activities** leading to your evaluable outcome/ outputs: map out country/ activities site
Isolatability of projects	**Identify the different actors** and research and development projects that ran concurrently (documentation or in the field), possibly select sites with the fewest 'competing' projects during implementation in the past to the present
Concentration of activities	**Select sites** based on concentration of programming and extent of gender benefit
Vulnerability mapping	**Consider choosing or excluding sites** based on highest vulnerability, lack of shocks, difficulty to reach
Multi-sectoral teams	**Determine multi-sectoral team**, women/men, diff. sectoral expertise, translator(s) if needed
Methods sequencing	**Discuss sequencing of qualitative and quantitative inquiry**, including how direct unintended negative or positive outcomes as well as emerging outcomes will be traced (probed for)
Logistics	**Plan logistics** hotels, plan visits with communities, clear funding/ per diem with national partners
Field visits	We suggest **at least one former staff member from the project accompany us to the field for** introductions and context both times (qualitative and quantitative phases). This will ensure local courtesies are addressed and that introductions to all stakeholders are made. The staffer would not be expected to be present for any of the data gathering activities (to ensure respondents could be unbiased), but would add value during evening debriefs to provide context

Ex-post sustainability methods selection

Ex-post sustainability methods options:

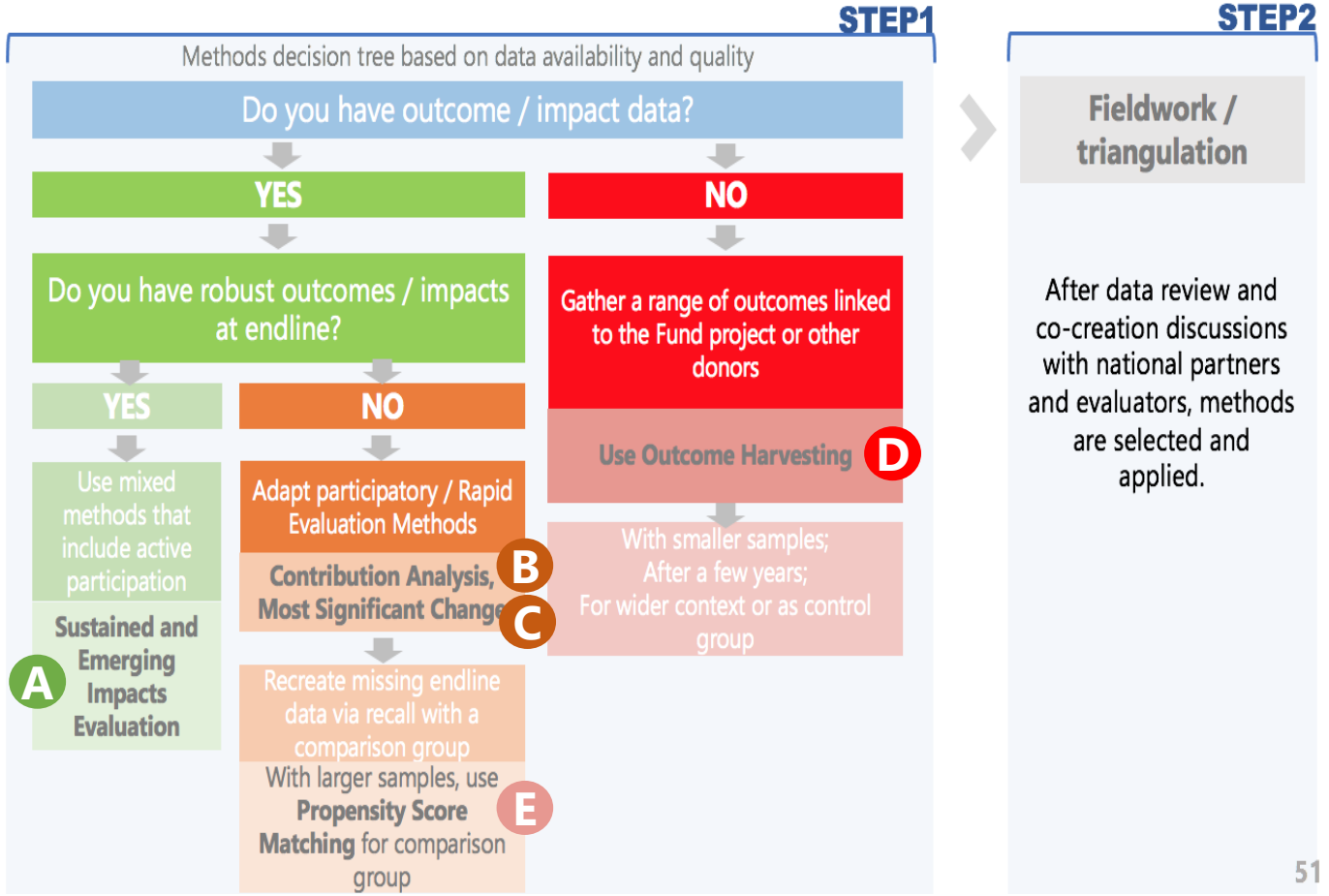
A. **Sustained and Emerging Impacts Evaluations** (Mixed methods)

B. **Contribution Analysis** (Qualitative)

C. **Most Significant Change** (Qualitative)

D. **Outcome Harvesting** (Qualitative)

E. **Propensity Score Matching** (Quantitative)



Quick overview of methods

Fieldwork methods: SEIE

Sustained and Emerging Impacts Evaluation

refers to an evaluation that focuses on outcomes and impacts for some time after the end of an intervention (which might be a project, policy, or group of projects or programmes) or after the end of participants' involvement in an intervention. It traces what emerged from local efforts to sustain results.

It uses mixed methods to examine the extent to which intended impacts have been sustained, as well as any emerging impacts that have emerged over time (positive and negative).

Do you have outcome / impact data?

YES

Do you have robust outcomes / impacts at endline?

YES

Key words:

Mixed methods

Intended impacts

Emerging impacts

Quick overview of methods

Fieldwork method: Contribution Analysis

Contribution analysis

assesses causal questions and infers causality in real-life programme evaluations. It offers a step-by-step approach to help managers, researchers, and policymakers arrive at conclusions about the contribution their programme has made (or is making) to outcomes. It reduces uncertainty about the contribution of the intervention to observed results thrgh increased understanding of why the observed results have occurred (or not) and the roles of the intervention, and other internal & external factors.

Do you have outcome / impact data?

YES

Do you have robust outcomes / impacts at endline?

NO

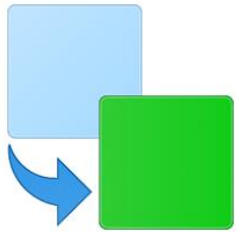
Key words:

- Causality
- Step-by-step approach
- Internal & external factors

Quick overview of methods

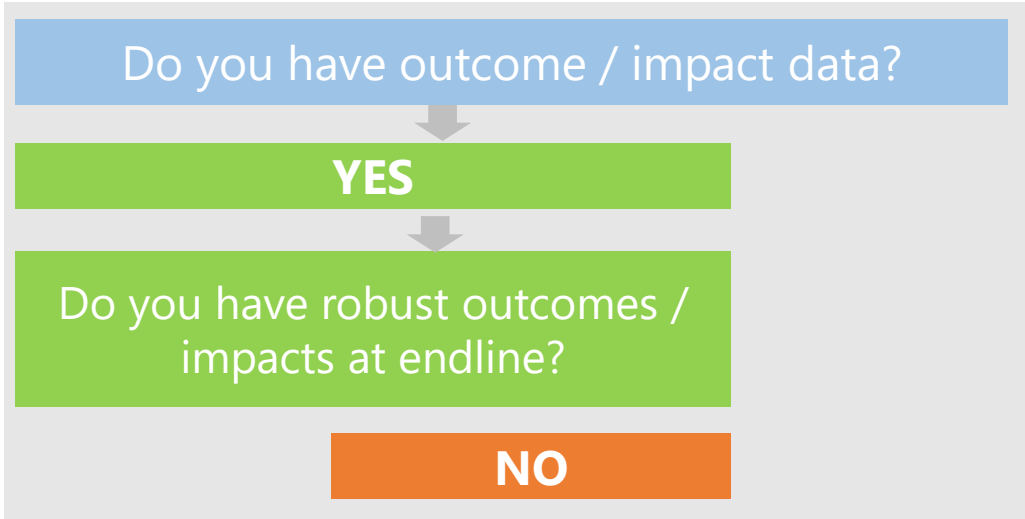
Fieldwork methods: Most Significant Change

Most Significant Change



involves generating and analyzing personal accounts of change and deciding which of these accounts is the most significant – and why. It follows three basic steps:

- deciding the types of stories that should be collected (e.g. stories about practice change or health outcomes or empowerment)
- collecting the stories and determining which stories are the most significant
- sharing the stories and discussion of values with stakeholders and contributors so that learning happens about what is valued.



Key words:

Personal stories

Most significant

Discussion of values

Choice and discussion of field methods

Fieldwork methods: Outcome Harvesting

Outcome Harvesting

collects ("harvests") evidence of what has changed ("outcomes"). Unlike some evaluation approaches, it does not measure progress towards predetermined objectives or outcomes. Rather, it collects evidence of what has changed and then, working backwards, determines whether and how an intervention contributed to these changes. The outcome(s) can be positive or negative, intended or unintended, direct or indirect, but the connection between the intervention and the outcomes should be plausible.

Do you have outcome / impact data?

NO

Gather a range of outcomes linked to the Fund project or other donors

Use as control method

Key words:

Evidence of change

Working backwards

Contribution

Choice and discussion of field methods

Fieldwork methods: Propensity Score Matching

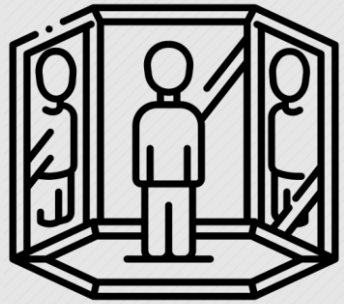
Propensity Score Matching

Recall methods and Propensity Score Matching creates sets of participants for treatment and control groups.

A matched set consists of at least one participant in the treatment group and one in the control group with similar propensity scores.

The goal is to approximate a random experiment, eliminating many of the problems that come with observational data analysis.

Comparison group methods:



with large samples

Key words:

Similar characteristics

Treatment/ control group

Random experiment

PART C

Deep dive on methods for ex post pilots

Evaluating sustainability & resilience : applying theory to practice

C1- Mixed, qualitative, and quantitative methods | C2- Resilience methods | C3- Methodological considerations for the field

C1 – Sustainability methods and approaches

Contents

- **Mixed methods- Qualitative and Quantitative**
  - *Sustained and Emerging Impacts Evaluations (SEIE)*
- **Other qualitative methods**
  - *Contribution analysis*
  - *Most significant change*
  - *Outcome Harvesting*
- **Other quantitative methods**
  - *Propensity Score Matching*

C1

Mixed methods

C1

Reminder: what is SEIE?

Sustained and Emerging Impacts Evaluation

refers to an evaluation that focuses on the long-term sustainability of outcomes and impacts at least 2 years after the end of an intervention (which might be a project, policy, or group of projects or programmes) or after the end of participants' involvement in an intervention. It also traces what emerged from local efforts to sustain results.

SEIE uses **mixed methods** to examine the extent to which intended impacts have been sustained, as well as any emerging impacts that have emerged over time (positive and negative). Fieldwork involves qualitative evaluation with a range of stakeholders that is followed by quantitative evaluation with communities

Returning post-project to evaluate impact answers *how* sustainable our development is, why, and how to boost locally-owned development solutions.

Transparent, accountable aid puts participants and partners the center of development.

Mixed methods: Sustained and Emerging Impacts Evaluations (SEIE)

C1

How does SEIE work?

Purposive selection + Random selection

- project participants and partners sorted by characteristics or project involvement for Qualitative FGD and KII (slide 16)
- households randomly selected from a list for Quantitative Survey

Qualitative methods first

- qualitative methods answer a range of what was functioning due to 'ownership' by whom, what resources, capacities, partnerships enabled project results

Rapid Rural Appraisal

- draw on Appreciative Inquiry and Empowerment Evaluation principles of looking for what has worked best and valuing and empowering local stakeholder voice along with Participatory Impact Assessment or Rapid Rural Appraisal processes which contextualizes 'project' and 'non-project' impacts, influences and changes."

Shock identification

- identify shocks to the continuation of outcomes/ outputs, probing for activities communities and partners mentioned were still functioning (especially tracking differences groups. Look at the role of seasonality.

Quantitative survey after

- survey shapes learning about how widespread outcomes and impacts are (often using Likert scales and open-ended answers), probes for the full range of expected activities and explores unexpected findings that the qualitative phase unearthed.
- when time and finances allow, a statistically robust quantitative survey exploring the extent to which these outcomes and impacts were sustained across genders and ages in communities.

C1

Respondent selection: considerations for sampling

Respondent Sampling

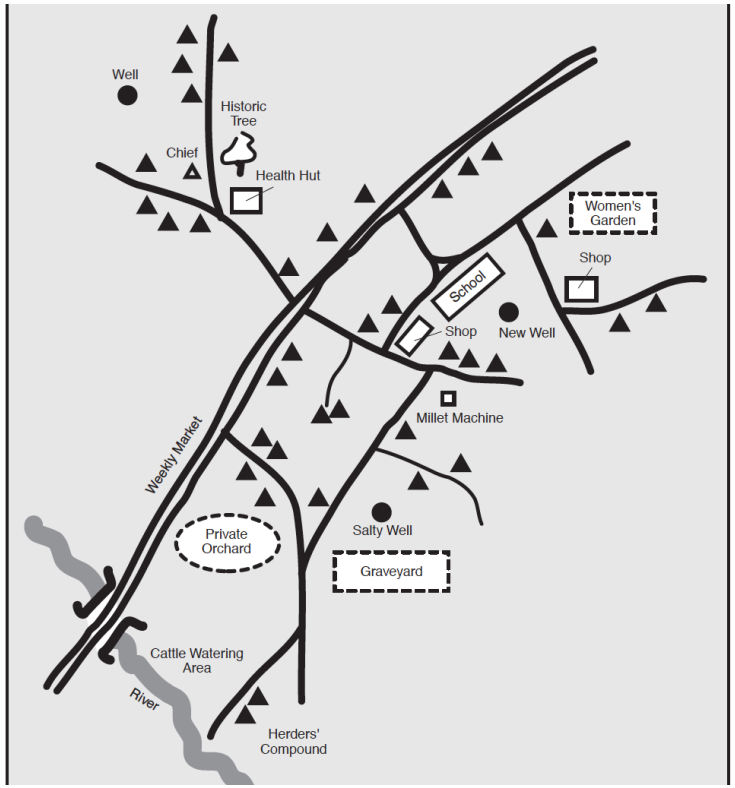
- The site and datasets should replicate the final evaluation.
- Identify who is still there and could know of the project then and now through participant lists, community leaders and iNGOs
- Four types of informants:
  - **National and international project stakeholders**
  - **Participants in Communities and Key community members**
  - **Partners** i.e. non-profit, academia and/or private sector who co-implemented
  - **Government national representatives or subsequent donors** who co-implemented or were to sustain results post-exit of the donor funded project

- Additional sampling considerations will be made based on client input regarding rigor demanded, funding and data collectors available.
- After receiving input from IE/EE and INGO/ Country1 and project's data, the evaluator shall develop a sampling frame to select a representative sample of households within the at least two sites

C1

Qualitative phase of SEIE: Rapid Rural Appraisal

The qualitative enquiry uses a community-wide **Rapid Rural Appraisal** to first gather all outcomes and sustained and emergent impacts and look for who enabled them, proving for those expected by INGO compared to others we find.



Toolbox: INGO PRA/ RRA Manual

- understand why the situation stands as it is in terms of sustainability (or not), what role the project had to play, or should have played
- look for other contextual factors that could affect project sustainability including the presence of other partners that intervened since closeout, new government regulations,
- assess the strength of the government to carry activities on given the current conditions and the role of youth in sustaining activities for decades to come.

C1

Qualitative phase of SEIE: Rapid Rural Appraisal tools

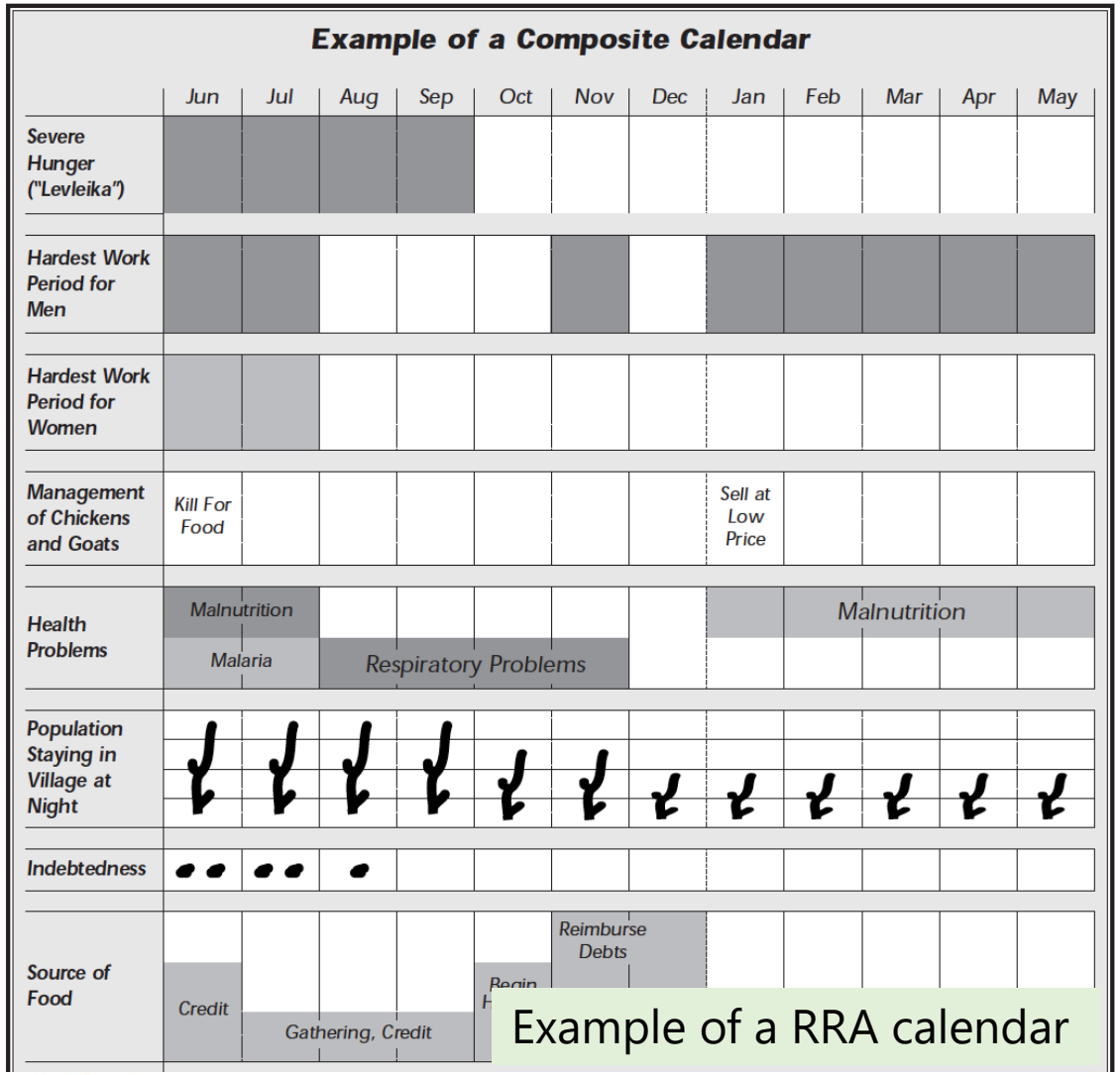
Community Participatory Tools for RRA:

- ***Seasonal Calendar*** to isolate continuing activities in the last three years since closeout final year and last year and why continued or ceased
- ***Timelines of major events*** and what projects were intervening in the areas doing what when
- ***Venn diagram with map*** to identify partners, including government partners, currently supporting the communities in key areas as well as identify (non-) functioning assets
- ***Activities mapping*** – typical day to assess gender-specific use of program activities, barriers and things to consider in future gender-differentiated programming
- ***Rankings and Matrices*** to determine perceptions about most/ least sustained activities and (un)expected impacts and discussion of why
- ***Transect walks*** and ***focus group discussions*** about what emerged in the years since tracing back to the project
- ***Focus Group Discussion*** by gender, income, age, shock-affected, etc..

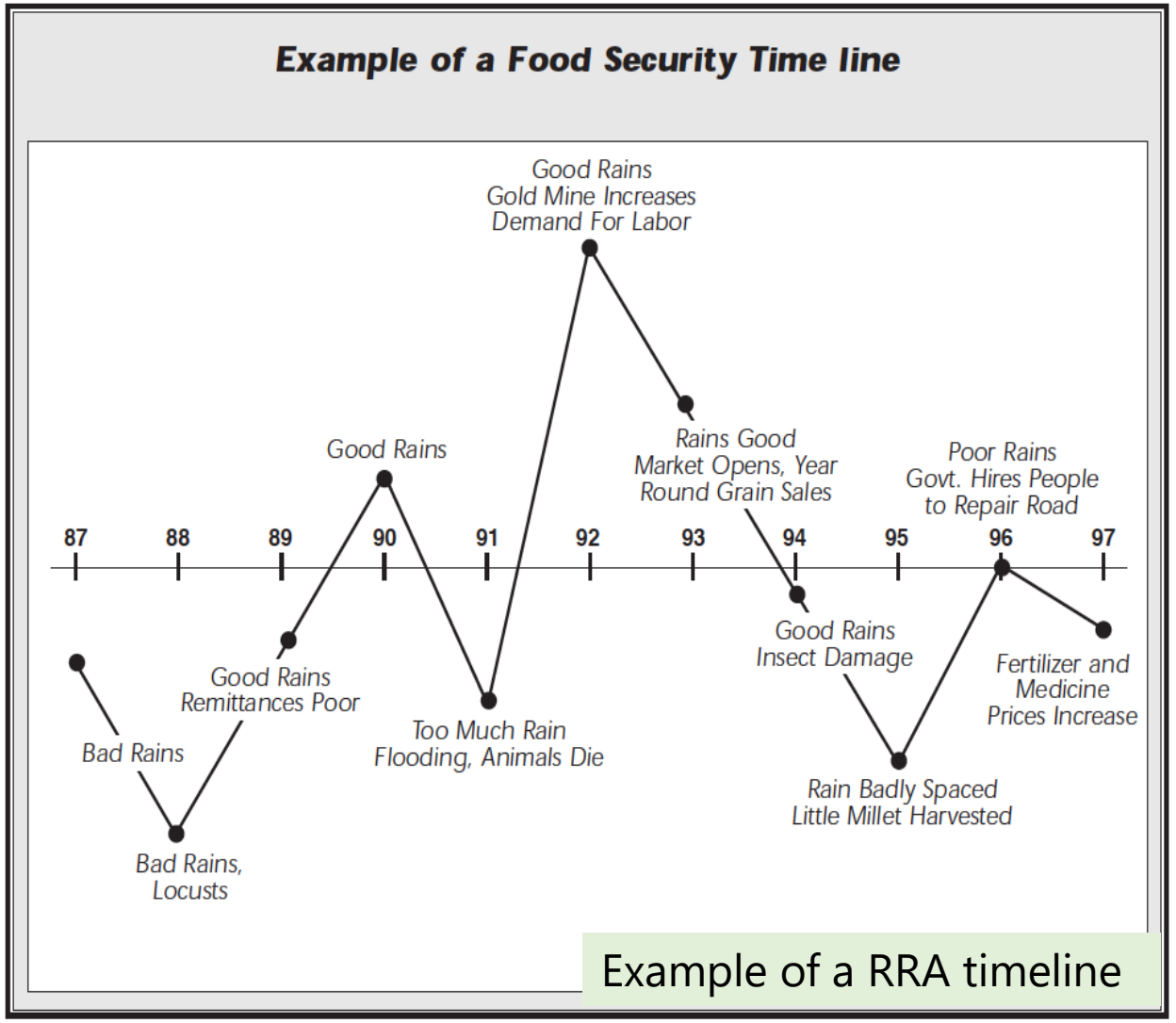
Mixed methods: Sustained and Emerging Impacts Evaluations (SEIE)

C1

Qualitative phase of SEIE: Rapid Rural Appraisal tools



Example of a RRA calendar



Example of a RRA timeline

Mixed methods: Sustained and Emerging Impacts Evaluations (SEIE)

C1

Qualitative phase of SEIE: Rapid Rural Appraisal tools

Example of a RRA mapping conducted on the field in Niger

C1

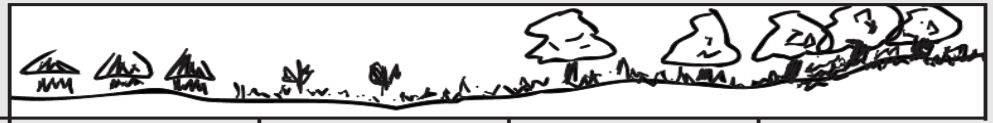
Qualitative phase of SEIE: Rapid Rural Appraisal tools

Example of a Historical Matrix Used to Look at Food Security Issues

	Appx. 50 Years Ago	When the School Was Built (1973)	When the Dam Was Completed (1985)	Present
Population of the Village				
Number of Months the Average Family's Harvest Lasted in an Average year				
Consumption Of Meat				
Consumption of Oil				
Amount of Harvest Devoted to Ceremonial Purposes				
Number of Food Insecure Households in the Village				

Example of a RRA matrix

Example of a Transect Focused on Food Security and Nutrition Issues



Zone	Central Village	Inner Fields	Outer Fields	Forest
Food production / gathering	• Household vegetable gardens, chickens, papaya, mango, and orange trees; • Goats fenced in during rainy season	• Groundnuts, corn, some hibiscus in women's garden, • Some tree products, • Small ruminant grazing during dry season	• Millet, sorghum, some rice; • Watering holes for animals; • Karite trees; • Cattle grazing during dry season	• Fruit from baobab, wild date, fig and other wild trees, honey, • Cattle grazing during rainy season
Food processing and storage	• Dried vegetables and fruits; • Groundnuts in women's fields	• Family granaries in or near fields	• Oil processed from karite nuts	

Figure: confirmation of use (local zai with composting)

Examples of transect walks

Mixed methods: Sustained and Emerging Impacts Evaluations (SEIE)

C1

Qualitative phase of SEIE: interviews (FGD/ KII)

- **Focus Group Discussions (FGD)**
- **Key Informant Interviews (KIIs)**

- Starts with national stakeholders, drilling down to regional, then local
- Typically using RRA participatory tools with communities and smaller subsets by characteristic or participation in project
- Relies on partner for site selection, self-selection by participants
- Triangulates findings with local partner interviews

- Confirm Theory of Sustainability (ToS) and sustainability of final output /outcome & impact measures
- Shape fieldwork

- Can be used to confirm findings
- Debriefs to triangulate and share learning (community, regional, national level)

- Can be used for OH in control sites

C1

Qualitative phase of SEIE: unintended and emerging outcomes/ impacts

Differentiating unintended from emerging outcomes/ impacts

Unintended outcomes relate directly to a project's theory of change and may reveal the extent and reasons why assumptions or objectives deviated from what was anticipated in the design, including what endured, what didn't, and why.

Emerging outcomes consider how project participants used their own means to carry project initiatives forward, and may inform future approaches to incentivizing sustainability. Emerging outcomes might also include how project participants adapted skills or assets they acquired in the course of a program to a completely different use, with new outcomes and impacts emerging.

C1

Qualitative phase of SEIE: considerations for implementation

Triangulating at the respondent level

Whether in RRA or PRA, attention must be paid to triangulation at the respondent level. Since different people and groups within the community have different perceptions and points of view, it is important that the full range of perspectives be considered as information is being gathered.

Thus, it is important to gather information from:

- men and women
- people who are older and younger
- those who are poorer as well as those who are richer
- those who have suffered from a disaster/ climate crisis, or not
- people from different ethnic groups, castes, or professions

In some cases, **interviewing non-project participants** can add valuable insights about outcomes and impacts as well as diffusion and uptake as well as unintended impacts and emerging impacts.

Mixed methods: Sustained and Emerging Impacts Evaluations (SEIE)

C1

Quantitative phase of SEIE: survey

Qualitative findings shapes the quantitative questionnaires, which confirms the extent to which assumed sustainability is true.

TIMING:
- Drafted at inception or after qualitative fieldwork has narrowed findings about likelihood of sustainability

QUESTIONNAIRE:
- Questionnaire to explore representativeness of qualitative findings
- Questionnaire to consider quantifiability of outcomes/ impact(s)
- Questionnaire to include triangulation questions
- Develop an evaluation design matrix and questionnaire (decisions on computer software/ hardware)

SAMPLING:
- Sampling plan and sampling frame to be based on HH clusters

DATA COLLECTION:
- Involves training of enumerators and daily data cleaning
- Data collection in at least 2 sites (2-3 days per site), but depends on sample and desired confidence interval (80-95%)

DATA ANALYSIS:
- Qualitative analysis: word frequency of open-ended questions
- Statistical analysis: regression analysis (Epi-Info; SPSS) for final to ex-post changes

C1

Quantitative phase of SEIE: considerations for sampling and design

- The participating households in communities are **random-sampled for the quantitative survey**
  (Respondents are only project participants, self-Select their participation for the qualitative phase, then randomly sample them for the survey)
- The sample size will be influenced by factors such as the need for statistical rigor (representativeness, confidence interval, etc), and the time/ budget available.
- **10% additional households are added** to account for those who moved since project close, who are not unavailable.

C1

Quantitative phase of SEIE: considerations for implementation

- **Enumerators need to be trained** and ideally tablets are used. If data is collected through paper, then additional 'data cleaning' time in the field is needed at the end of every day when surveys are reviewed
- **A pretest of the questionnaire** is done either with local staff or a handful of similar respondents not related to the project
- Each interviewer should make an effort to **speak to alternate respondents** between men and women (1 per hh)

C1

Quantitative phase of SEIE: consideration for analysis

- The firm running the SPSS or other statistics analysis should know they may need to **do additional analyses** once the findings are sent to the team, as questions may arise.
- **Charts should be generated** for all findings by household type (e.g female-headed, youth, etc).

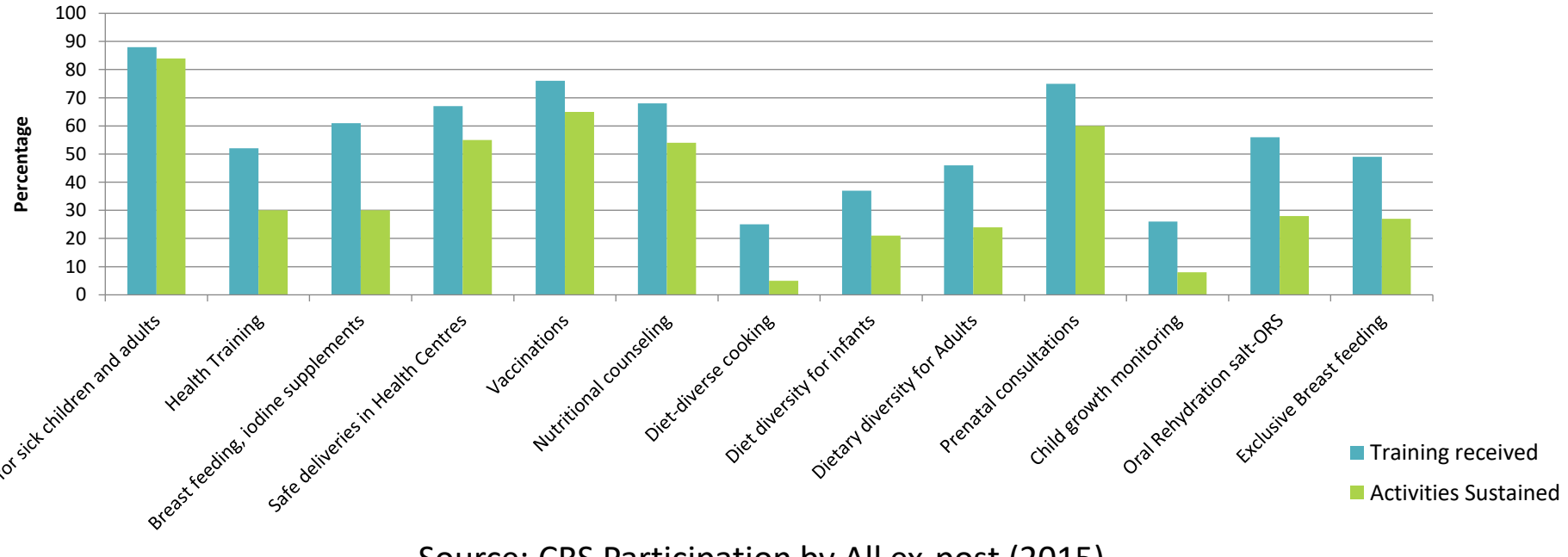
C1

SEIE: triangulation of findings

Triangulation allows to **confirm surprising findings**, **question inconsistent findings**, and **confirm how the project contributed to sustainability** of results (and if not, why?)

As sustainability of outputs/outcomes and impacts is shown, resilience of these to climate change is ascertained.

A comparison of health-related training received, and activities sustained



Source: CRS Participation by All ex-post (2015)

C1

SEIE: triangulation of findings

Triangulation of findings to manage bias

- **Gender Bias:** More emphasis is put on the point of view of either men or women; the other perspective is underrepresented
- **Spatial Bias:** One area is favored in collecting information and the views of people who live in or frequent that area may be given more weight. This may take place if some places are more accessible (areas near good roads, near the center of the village versus the periphery) or more pleasant;
- **Wealth Bias:** Often the views of people who are wealthier or who hold positions of authority are given greater weight over the course of a study. The poor are frequently underrepresented unless specific actions are taken to include them;
- **Education Bias:** The views of those with more formal education are often solicited and considered more carefully than those with less education. This often coincides with a language bias since educated people may be better able to communicate with the research team;
- **Expectation Bias:** The village's expectations of what the outside organization may bring them often causes villagers to favor certain types of information in their discussions. Similarly, the researchers' expectations of what they will find in the community acts as a filter for the information that is received by the team.

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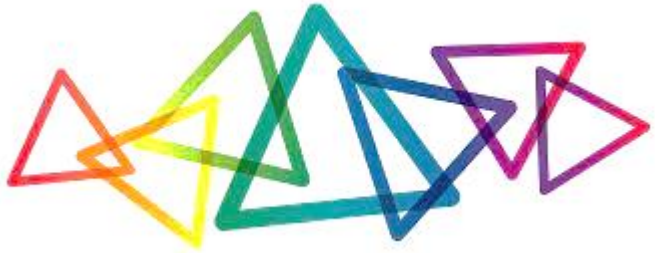
SEIE: triangulation of findings

Multiple points of confirmation

- Qualitative
- Observational
- Quantitative
- All triangulate one another



Multiple respondents

- Donors, national government
- Project implementers/ partner staff
- Project participants,
- Local government, private sector etc

Multiple Methods or resources

- Qualitative methods can use Participatory methods (RRA)
- MSC or CA, confirmed by OH in non-evaluated area
- Quantitative methods to confirm qualitative
- KII and observation to confirm sustainability of assets and capacities
- Other measures such as road investment costs or water quality to confirm/ refute mixed method fieldwork findings

C1

SEIE: triangulation of findings (RRA example)

Tools and techniques for triangulation

Since each tool introduces a particular bias, it is important that the study diversify the tools that are used. A sampling of potential tools is presented in Part III of this manual. RRA and PRA tools include:

- **Modes of interviewing modes** Semi-Structured Interviews, Focus Group Discussions, Key Informant Interviews
- **Diagraming** Participatory Mapping including territory, or region, Venn Diagram, Wealth Ranking, Matrices , Historical Events & Seasonal Calendars
- **Participant observations and evaluator quantitative confirmation**, Transect Walks

Mixed-methods in ex-post evaluation further triangulates qualitative findings (what, why, how) with quantitative surveys which are shaped by qualitative questions (how much/ how many)

Use of RRA Tools to Collect Types of Information Needed in Baseline

(For illustrative Purposes Only)	Map	Social Map	Transect	Venn Diagram	FS Calendar	FS Time Trend	Historical Profile	Historical Matrix	SSI Consumption Unit	SSI Production Unit
History						O	X	X		
Geographic Context	X		X							
Social Context	X	X		X			X	X		
Economic Context	X	X	X			X		X		
Food Acquisition Strategies	X		X		X	X	X	X	X	X
Food Consumption Pattern		X			X	X	X	X	X	
Price Variation of Foods					X	X		X	X	
Food Sharing		X			X			X	X	
Food Availibility Constraints	O	X	X		X	X		X		
Household/indiv strategies		O			O				X	

C1

SEIE: Confirming results through comparison

Ongoing analysis of findings:

- Ongoing and everyday analysis of findings in the field allows to confirm and reframe hypotheses at subsequent sites.
- In subsequent sites, it may be possible to confirm findings based on 1st site learning, and test different hypotheses: are differences due to new location, exposure to different shocks or to different conditions (natural resources, different partners)? This offers opportunities to explore different kinds of resilience and learn about sustainability.

Comparison sites:

- Use Outcome Harvesting to confirm/ deny results by visiting former AF project site(s) along with other projects sites.
- 'What aid has made you less vulnerable to climate change?'
  -the framing should be in such a way to be open to all kinds of aid – community self-help aid, government aid, foreign aid or other assistance, beyond the project.
  -verify whether the AF project is mentioned, and if so, how. [See Outcome Harvesting]

Comparison groups:

- Desirable in studies to measure impact or change but should consider the following:
  - shared characteristics with the study treatment sites
  - potential contact with the project (intended or unintended spill over effect)-
  - impact of other development interventions

C1

Importance of team meetings and debriefs

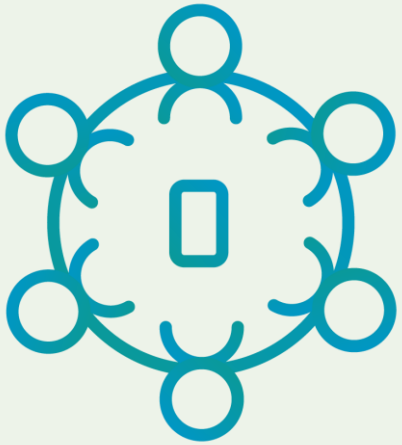
Meetings should be scheduled at the end of every day and generally take at least two hours. There are several things that need to take place during these meetings:

1. Reviewing information gathered that day
2. Planning the next day's activities
3. Preparing checklists
4. Methodological review including narrowing of questions in subsequent sites

Findings from each site are shared, hence publicly triangulated/ confirmed at community and regional center, and again at the national level.

These meetings are as much information sharing and information gathering, and all relevant organizations are invited for comment and learning.

Other qualitative methods



C1

Reminder: what is Contribution Analysis?

Contribution analysis

assesses causal questions and infers causality in real-life programme evaluations. It offers a step-by-step approach to help managers, researchers, and policymakers arrive at conclusions about the contribution their programme has made (or is making) to outcomes. It reduces uncertainty about the contribution of the intervention to observed results thrgh increased understanding of why the observed results have occurred (or not) and the roles of the intervention, and other internal & external factors.

Contribution analysis provides an alternative approach to addressing the attribution challenge through its exploration of how a policy or program contributes to the observed results

C1

What is Contribution Analysis?

"Mayne's (2001) broader approach to contribution analysis seeks to achieve what Hendricks calls a 'plausible association' whereby a 'reasonable person, knowing what has occurred in the program and that the intended outcomes actually occurred, agrees that the program contributed to those outcomes'"

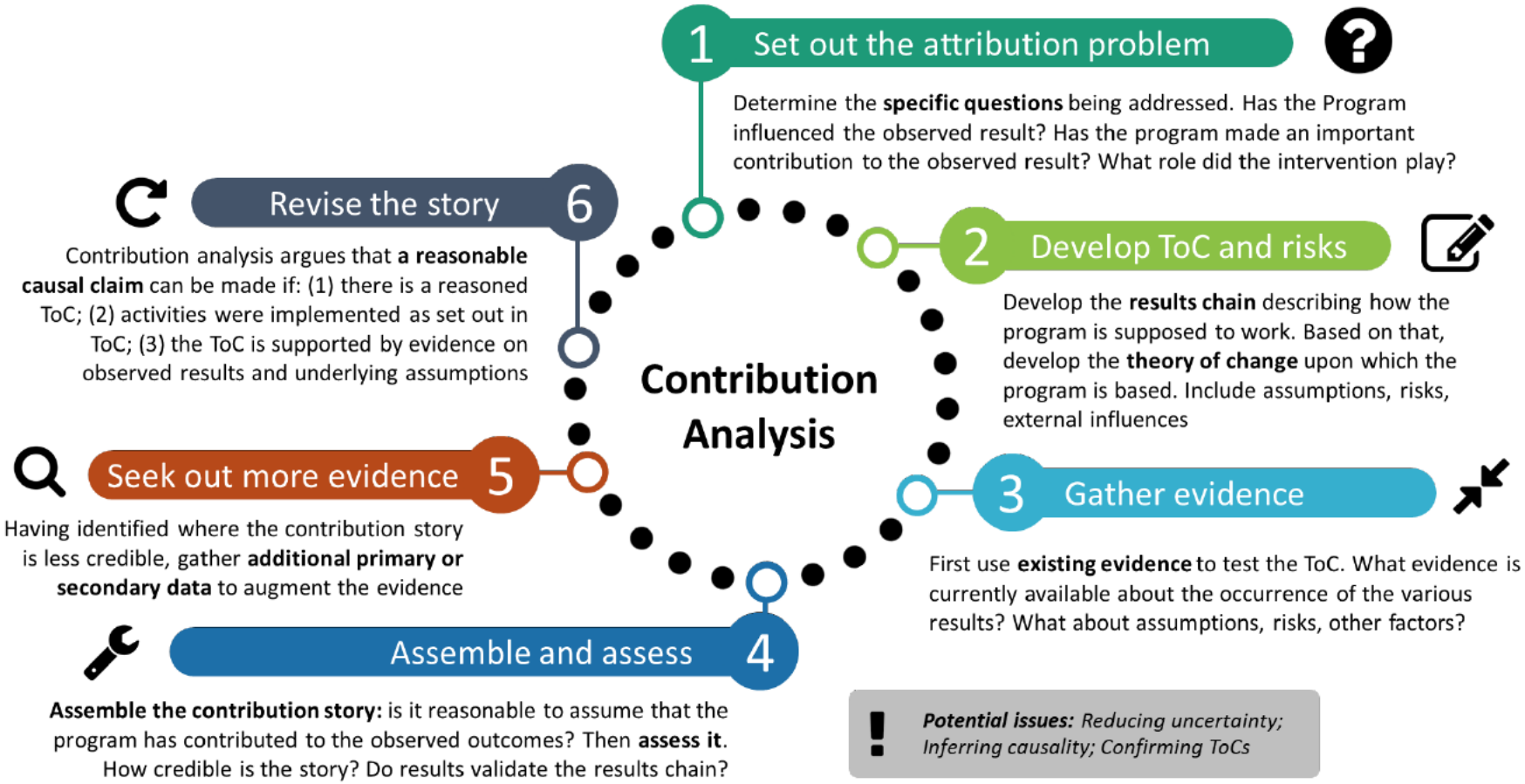
"The focus was instead on clarifying the results chains (i.e. program logic) and assessing alternative explanations for outcomes, to establish a picture of the program's contribution to outcomes."

Kotvojs, Fiona and Bradley Shrimpton, 2007. "Contribution Analysis". Evaluation Journal of Australasia, Vol 7, No. 1.

This article looks at the method of contribution analysis, its implementation in the Fiji Education Sector Program

C1

Steps of Contribution Analysis



Source: Authors' elaboration from Mayne (2008) and Betterevaluation.org

Qualitative methods: Contribution Analysis

C1

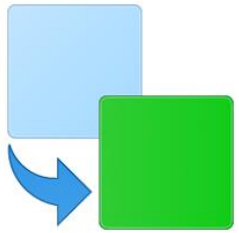
Steps of Contribution Analysis (process)

- **Develop** a gross list of hypotheses to be tested through the subsequent collection of new evidence based on the work done in the preceding phases.
- **Address**
  (a) risks to the main assumptions,
  (b) other influencing factors, and
  (c) alternative explanations.
- **Prioritize** a list of hypotheses to be tested for the contribution analysis.
- **Develop** questions framed as specific research questions, and strategies for collecting new evidence…
  e.g. which assumptions, risks, performance measures are strong (good evidence available, strong logic, or wide acceptance), including other identified influencing factors and the contribution they may be making?
- **Seek out** additional evidence:
  (a) determine what kind of additional evidence is needed to enhance the credibility of the contribution story,
  (b) refine the theory of change, and
  (c) gather new evidence.
- **Assemble** your contribution story.
- **After** the available evidence has been collected, collated, and analyzed:
  (a) construct a more credible contribution story,
  (b) reassess its strengths and weaknesses, and
  (c) revisit hypotheses and credibility of evidence

C1

Reminder: what is Most Significant Change?

Most Significant Change



involves generating and analyzing personal accounts of change and deciding which of these accounts is the most significant – and why. It follows three basic steps:

- deciding the types of stories that should be collected (e.g. stories about practice change or health outcomes or empowerment)
- collecting the stories and determining which stories are the most significant
- sharing the stories and discussion of values with stakeholders and contributors so that learning happens about what is valued.

The Most Significant Change (MSC) approach involves generating and analyzing personal accounts of change and deciding which of these accounts is the most significant – and why.

MSC is not just about collecting and reporting stories but about having processes to learn from these stories – in particular, to learn about the similarities and differences in what different groups and individuals value.

Qualitative methods: Most Significant Change

C1

Steps for Most Significant Change

STEP 1- Introduce a **range of stakeholders** to MSC and foster interest in and commitment to participating

STEP 2- Identify the **domains of change** to be monitored

STEP 3- Decide how **frequently to monitor changes** taking place in these domains

STEP 4- Collect stories from those most directly involved, such as participants and field staff.

STEP 5- Analyze the stories and filter them up through the levels of authority typically found within an organization or programme. Every time stories are selected, the criteria used to select them are recorded and fed back to all interested stakeholders, so that each subsequent round of story collection and selection is informed by feedback from previous round.

STEP 6- Produce a document including all stories selected at the uppermost organizational level in each domain of change over the given period

STEP 7- Verify the selected stories by **visiting the sites** where the described events took place

STEP 8- Quantify the account of change

STEP 9- Monitor the monitoring system itself, which can include looking at who participated and how they affected the contents, and analyze how often different types of changes are reported

STEP 10- Revise the design of the MSC process to take into account what has been learned as a direct result of using it and from analyzing its use

Qualitative methods: Most Significant Change

C1

Most Significant Change in FGD

- **Focus groups Discussions with project participants** can be used to collect qualitative information, using the Most Significant Change (MSC) methodology.

  - *can be held with groups of men, women and mixed youth from two villages*

- The MSC focus groups ask questions that seek **data on sustainability and impact**, including the most significant change the participants had experienced since project exit.

  - *'emerging' and unexpected positive sustainability outcomes can come up*

- During the focus group discussions, participants **rank the changes** and are prompted to discuss why these changes were important to them.

  - *the groups are led in sharing their opinions about the sustainability of outputs and outcomes.*

- This fieldwork could add **questions on climate changes** and **how resilient** the project has/ has not enabled them to be.

Qualitative methods: ADDITION to any Qualitative: Outcome Harvesting

C1

Reminder: what is Outcome Harvesting?

Outcome Harvesting

collects ("harvests") evidence of what has changed ("outcomes"). Unlike some evaluation approaches, it does not measure progress towards predetermined objectives or outcomes. Rather, it collects evidence of what has changed and then, working backwards, determines whether and how an intervention contributed to these changes. The outcome(s) can be positive or negative, intended or unintended, direct or indirect, but the connection between the intervention and the outcomes should be plausible.

Outcome Harvesting is an interesting alternative for open-ended questions about the most efficacious programming to address expected impacts (or outcomes) – and see if/how well the project's activities and partnerships 'ranks'.

"Outcome Harvesting is particularly useful when outcomes, and even, inputs, activities and outputs, are not sufficiently specific or measurable at the time of planning an intervention."

"Outcome Harvesting will be used as a confirmation of results by asking in non-evaluated communities what caused the presence or lack of resilience, which *could (not) trace back to the AF/IE/EE project*

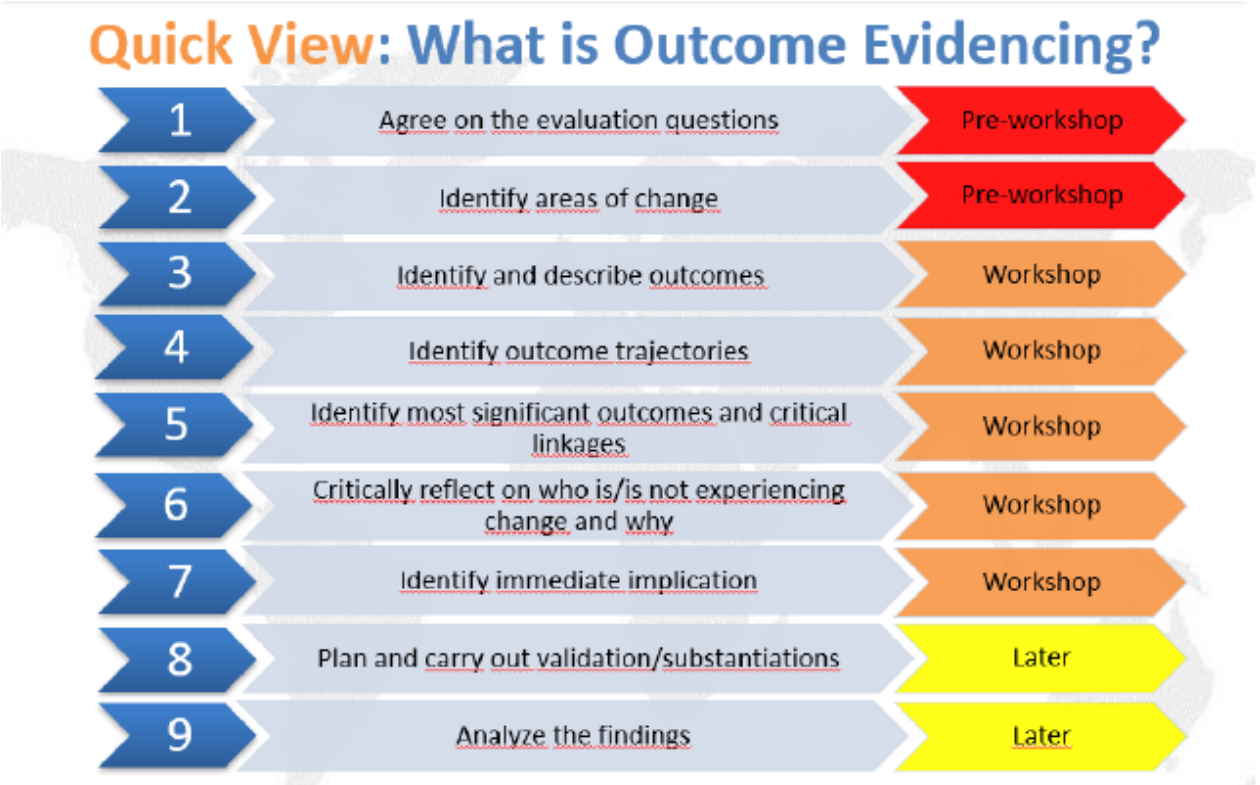
Qualitative methods: Outcome Harvesting

C1

Steps of Outcome Harvesting

1. Design the Outcome Harvest
2. Review documentation and draft outcome description
3. Engage with informants in formulating outcome descriptions
4. Substantiate
5. Analyze and interpret
6. Support use of findings

Key process steps to applying outcome evidencing (Source: FAO)



Modified key process steps to applying outcome evidencing based on Paz-Ybarnegaray, R., & Douthwaite, B., 2017 (Source: FAO)

C1

How do we do Outcome Harvesting?

- Outcome Harvesting would be done **outside of the evaluated communities**
  - However, comparable communities should be selected in terms of the array of programming done
  - Possibly, select a wider array of donor projects done simultaneously or subsequently to test case of the relevance of programming

- FGD would be held with **similar groups**, e.g. men/women, elderly/ young, disaster-affected/ not...

- Questions for Outcome Harvesting would be
  - "What has decreased your vulnerability to climate change" (see if the project activities are cited) >> ranking which projects or other interventions led to the changes
  - Probing follows "working backwards, determines whether and how the AF's project has contributed to these changes."

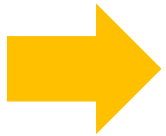
- There is an independent confirmation of the cause (or not) being the project itself.

Other quantitative methods

C1

Quantitative Alternatives to SEIE's Surveys

While the focus of this evaluation is post-project sustained and emerging impact and resilience, we recognize the extraordinary power comparison to the final evaluation has for telling the story of change and results. Time and funding feasibility will determine whether a comparison site and groups with statistically significant analysis of a large enough group will be used and what methods could work, but this is dependent on the preferences of the national evaluator and their team.



Propensity Score Matching

Reminder: what is Propensity Score Matching

Propensity Score Matching

Recall methods and Propensity Score Matching creates sets of participants for treatment and control groups.

A matched set consists of at least one participant in the treatment group and one in the control group with similar propensity scores.

The goal is to approximate a random experiment, eliminating many of the problems that come with observational data analysis.

PSM attempts to reduce the effect of the bias due to characteristics on the difference of outcomes between a group receiving a treatment and a group not receiving it.

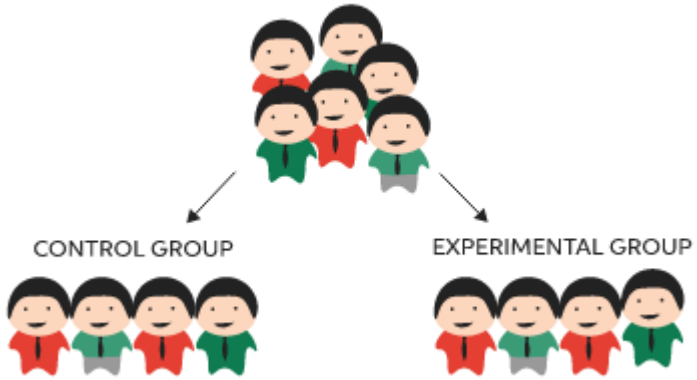
PSM attempts to control for these differences to make the groups receiving treatment and not-treatment more comparable.

In doing so, PSM attempts to estimate the effect of a treatment, without the bias of other confounding characteristics

C1

Propensity Score Matching: how does it work?

Steps for PSM simplified:



1 **First you need a database about your population**

- Should have data about treated and untreated population
- Should have enough details about both groups' characteristics

2 **Choose the criteria for matching** (these will be the characteristics that will make both groups alike = covariates)

- When choosing the confounds, choose characteristics that could have an effect on your results e.g. age, residence, etc

3 **Pair up as many people as possible based on the covariates**

- The main difference should now be the allocation of treatment or not

4 **Test your hypotheses (statistical analysis)**

C1

Propensity Score Matching: how does it work?

Propensity score matching is a statistical process that tries to pair treatment subjects to control subjects based on key observed covariates. It creates sets of participants for treatment and control groups. A matched set consists of at least one participant in the treatment group and one in the control group with **similar propensity scores**.

How do you do matching (statistically speaking)?

- **Estimate the propensity scores.** The true scores are unknown, but can be estimated by many methods including: discriminant analysis, logistic regression, and random forests. The "best" method is up for debate, but one of the more popular methods is logistic regression.
- **Match the participants** using the estimated scores.
- **Evaluate the covariates** for an even spread across groups. The scores are good estimates for true propensity scores if the matching process successfully distributes covariates over the treated/untreated groups (Ho et. al, 2007).

C1

Propensity Score Matching: considerations and limitations

1. **First you need a database about your population**
   - Should have data about treated and untreated population
   - Should have enough details about both groups' characteristics
2. **Choose the criteria for matching**
3. **Pair up as many people as possible based on the matching criteria**

↳ PSM can only accommodate large datasets* in order to be able to find matching characteristics in both the treatment and the control group, but also an effect when analyzing the differences between both groups (statistically significant difference)

↳ This means that it is often a costly method and if no survey has been done, implications in terms of logistics and budget should be considered

consider your budget

C1

Propensity Score Matching: considerations and limitations

3 **Pair up as many people as possible based on the matching criteria**

- The more covariates (characteristics) you try to match for, the harder it will be to find people who match on all of your criteria
- Some covariates (characteristics) cannot be matched for, yet can have an effect on your result

issues with internal validity

C1

Propensity Score Matching: considerations and limitations

4 Test your hypotheses (statistical analysis)

Ideally, you would want data at both endline (final evaluation) for both your treatment and control group. You would then compare to data collected at ex-post. This is however rarely the case.

What if you don't have measurement of characteristics at endline/ final evaluation?

The construction of a comparison group by PSM can accommodate the absence of an endline, but specifically for impact measurement with a retrospective cohort study, we would need to factor in some endline information. This can only be done by recreating a endline if no endline information is available i.e. through a recall survey for instance, to compare with at ex-post. This would however introduce some bias in the analysis.

An ex post facto design can be used (i.e. the treatment and control groups are selected after the treatment has occurred and there are no pretest measures). Only a posttest is collected, but this causes issues in terms of validity and contribution

issues with internal validity

Stretch and drink break

Questions? Comments?

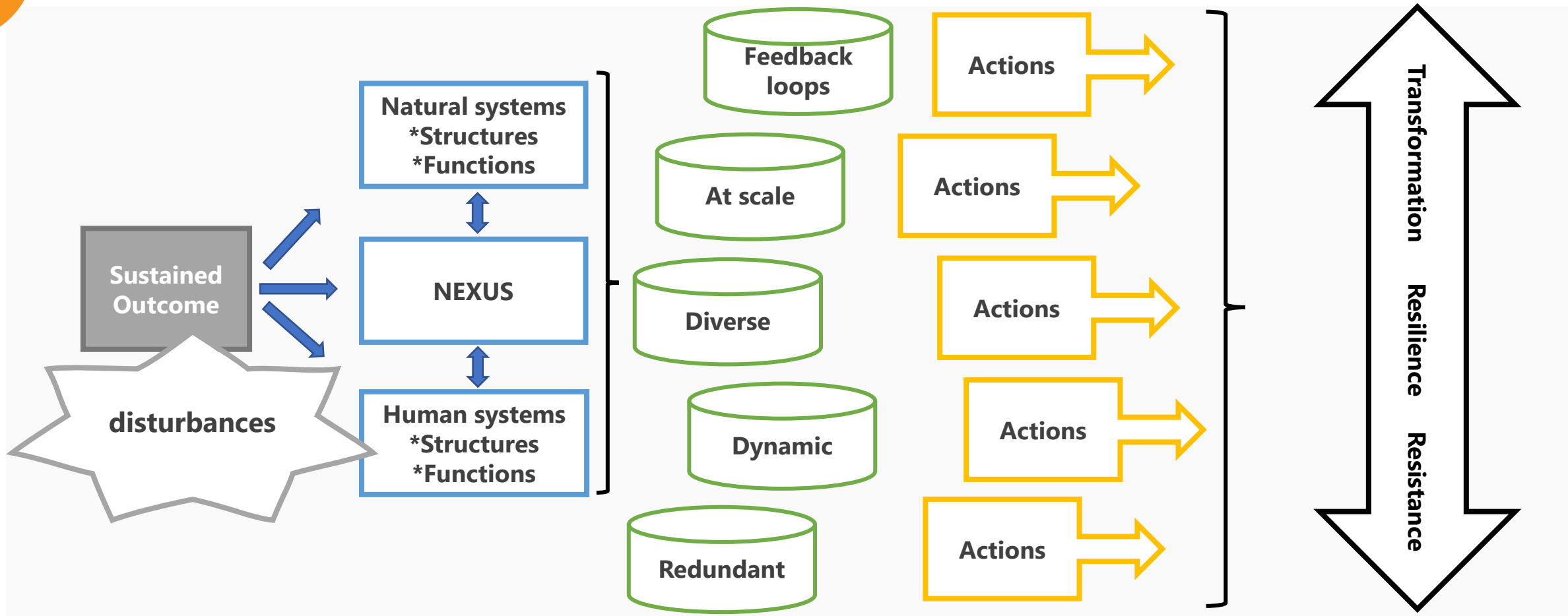
C2 – Evaluating resilience

Contents

Evaluating resilience in the field

C2

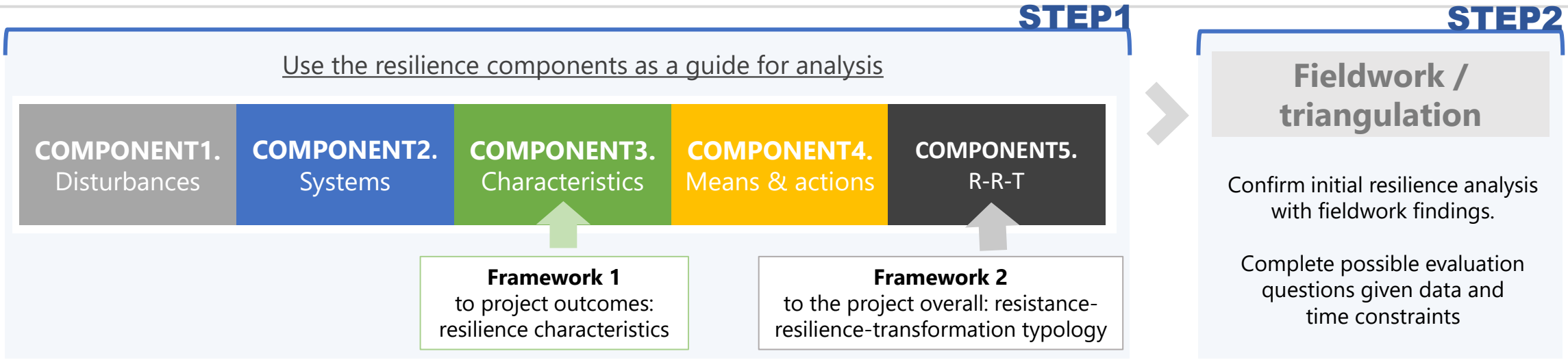
Reminder: framing for resilience analysis



Evaluating resilience in the field

C2

Applying the resilience framework



How to use the resilience tool:

- **Component 1**: Identify **climate disturbances (shocks, stresses)** addressed by the selected outcomes
- **Component 2**: Characterize the **human and natural systems and their nexus** influencing/influenced by the outcomes
- **Component 3**: Consider the **characteristics of resilience** that may describe the selected outcomes
- **Component 4**: Examine evidence of **the means and actions** sustaining the resilience characteristics of those outcomes
- **Component 5**: Weigh where on the **RRT typology** the ex post outcome(s) could fall, both individually and collectively

✓ Vet and verify desk review findings with country counterparts *prior to fieldwork*:
  - Adjust desk review analysis and priorities based on new inputs
  - Acknowledge possible limitations (for example on the systems that will be considered/part of the ex post analysis)

Evaluating resilience in the field

C2

Applying the resilience framework : example

Project Name: PARSACC PROJECT – Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania

Country: Mauritania

Years implemented: 2014 - 2019 (5 years)

Project component 1 (C1): Support technical services and the communities they serve to (a) better understand climate risks, their impact on livelihoods and food security and (b) facilitate participatory decentralized adaptation planning	• Government technical services • Adaptation plans • Risk monitoring system
Project component 2 (C2): Design and implement concrete adaptation measures identified through community adaptation planning that aim to combat desertification and land degradation	• Dune fixations • Reforestation • Water retention structures
Project component 3 (C3): Design and implement concrete adaptation measures identified through community adaptation planning that aim to diversify and strengthen the livelihoods of the most vulnerable population	• Trainings • Cereal banks • Fuel efficient stoves

C2

Applying the resilience framework : Disturbances - example

- Component 1: Identify **climate disturbances (shocks, stresses)** addressed by the selected outcomes

Disturbances	Description and impacts relative to project
Stress: Increasing temperature by 0.9 °C since 1960 (1.3-3.8 by 2060)	• desertification of agropastoral lands; • half of population depends on livestock livelihoods and agriculture
Stress: 20% reduced rainfall; isohyet moving south	• desertification
Shock: Periodic drought	• loss of livestock, food insecurity

C2

Applying the resilience framework : Systems - example

- Component 2: Characterize the **human and natural systems and their nexus** influencing/influenced by the outcomes

Systems Context and trends	Structures	Function
Human systems: **Context:** project focuses on pastoral, agro-pastoral and rainfed agriculture production	C1 & C3 Decentralized and participatory adaptation planning C3 Diversified livelihoods	C1 Better understanding of climate risks/impacts by targeted communities
Nexus: **Context:** fragmentation of agricultural plots, unequal access to land (especially vulnerable groups, women)	C2 & C3 Concrete adaptation actions C1 (Inadequate) agricultural practices (poor processing and conservation)	C1 Ensure food security
Natural systems: **Trend:** isohyet (@250mm) moving farther south	C2 Land/soil and arable land – re: desertification, land degradation	C2 Enable soil and hydrological cycle to work

C2

Applying the resilience framework : Characteristics - example

- Component 3: Consider the **characteristics of resilience** that may describe the selected outcomes

Outcomes	Characteristics and reason
Human systems: Livelihood diversification – The survey for the final evaluation shows that vegetable production has increased significantly compared to the past.	**Diversity** – of income options given losses (and lack of access for landless) in pastoral and agriculture
Nexus: Fixing of dunes – In 36 sites, 995 ha have been mechanically and biologically fixed as part of sand dune fixation activity, increasing the vegetation cover in the targeted project communities	**Redundancy** – protects homes, water infrastructure and farmland from drifting sands/clean up; possibly at scale in locations where halted or reversed.
Natural systems: Conservation water and soil – improve degraded land, rehabilitate approximately 440 ha of land, of which 370 ha were secured with fences and cultivated by the beneficiary communities from the 2018 crop year	**Biodiversity** based on habitat restoration, **redundant** since new land was secured, **at scale** (does it cover a sufficient percentage of land to result in continued generation of benefits?); intended to recover new land and increasing crop yields.

C2

Applying the resilience framework : Means and Actions - example

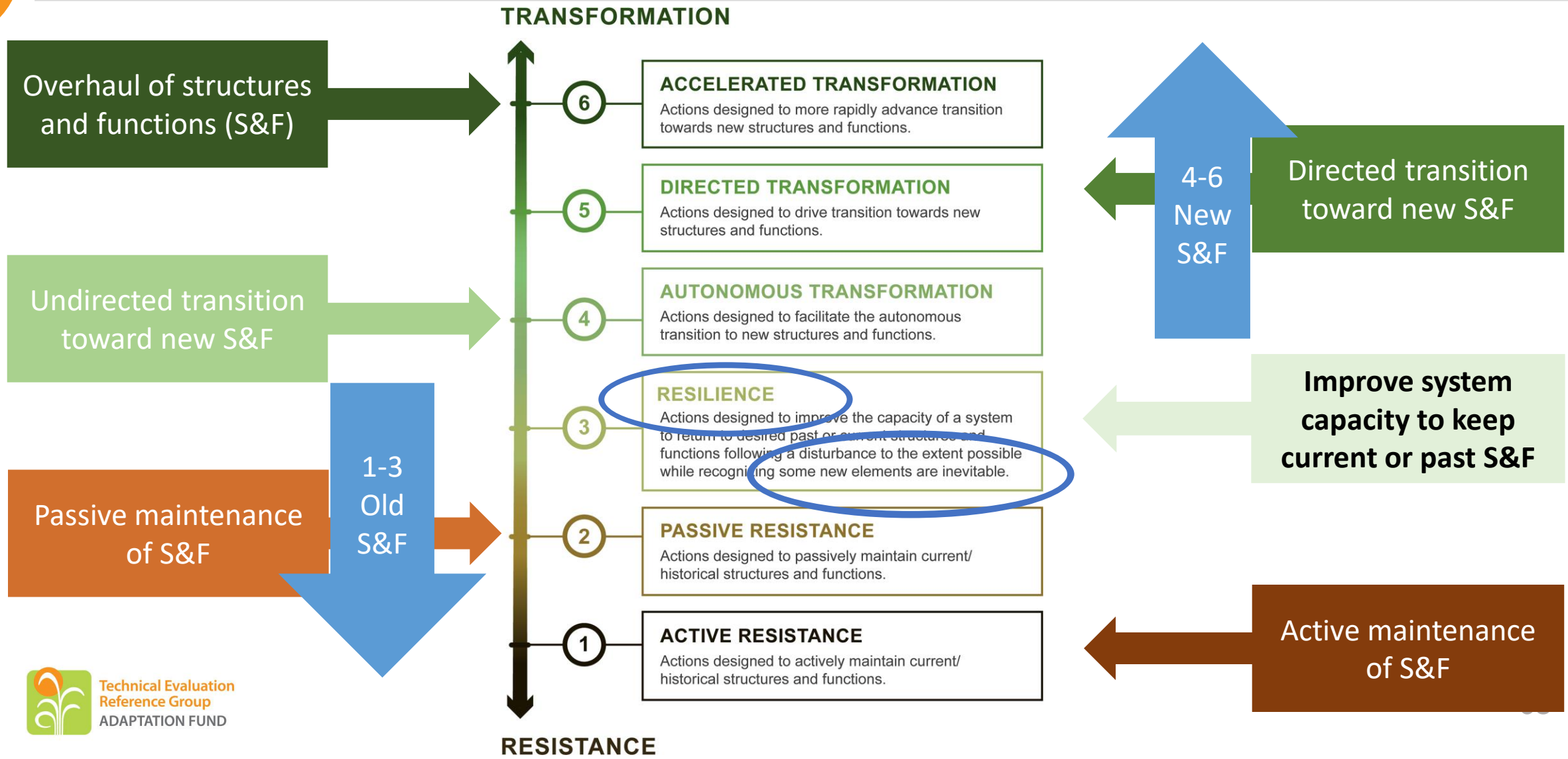
➢ Component 4: Examine evidence of **the means and actions** sustaining the resilience characteristics of those outcomes

Outcomes/ Impacts	Actions and Means sustaining them
Capacity building – technical & institutional, EWS – social capital ; partnership commitment	**Final Evaluation:** development of community social capital that results in (i) the constitution and training of the 85 local committees (adaptation action plans), and (ii) the strong involvement of the populations.
Livelihood diversification - reinvestment in the community because of profits made	**Final Evaluation**: Most IGAs supported by the project contribute both to reducing poverty and to reducing the vulnerability of small producers to climatic and economic shocks.
Pastoral defenses, village reforestation, fix sand dunes - 2,415 ha fixed dunes; 100ha protected	**Final Evaluation**: The reforestation and environmental protection actions should allow the reconstitution of woody formations limiting wind erosion. This leads to the loss of soil and its nutrients, other consequences of climate change. Most practices and activities supported by PARSACC tend to reduce ecological constraints but also have a positive impact on the environment.
Soil and water conservation - improved access to water	**Final Evaluation**: digging and rehabilitating wells, building water reservoirs, supplying motor pumps is certainly one of the interventions with high health, nutritional, and economic impact.

Evaluating resilience in the field

C2

Applying the resilience framework : **R-R-T Typology (reminder)**



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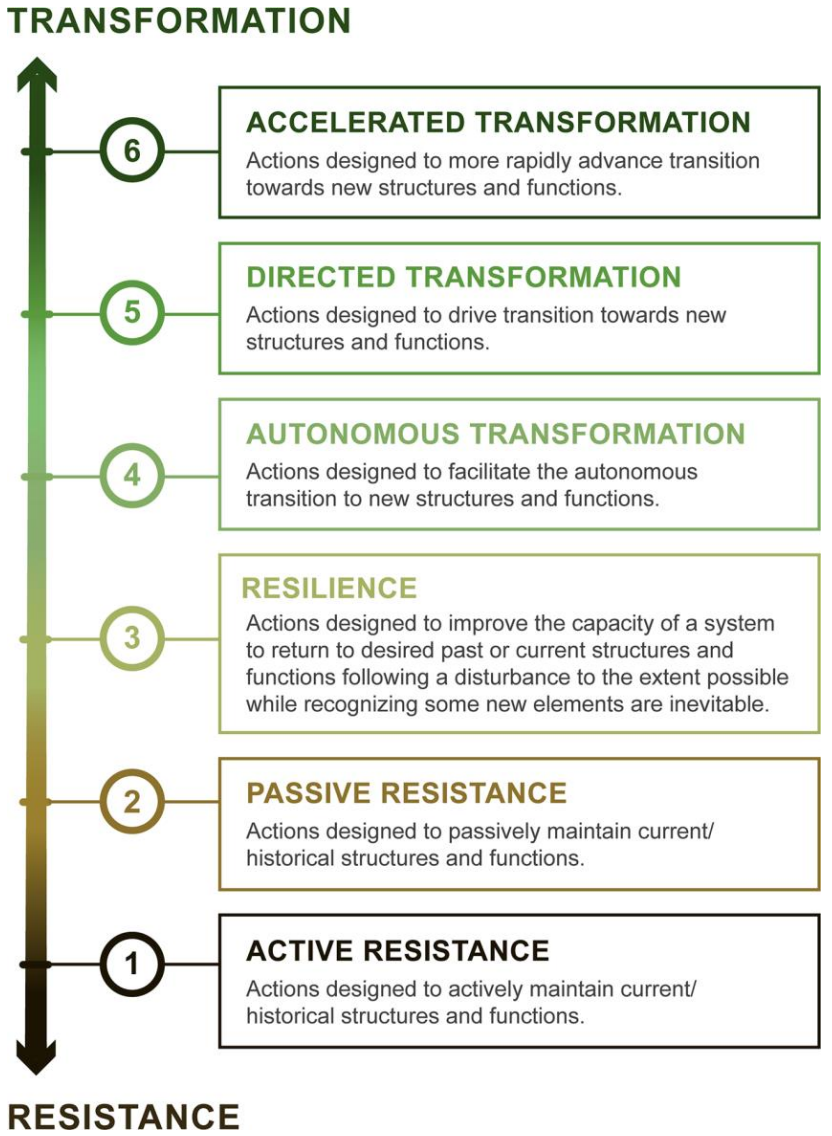
Evaluating resilience in the field

C2

Applying the resilience framework : **R-R-T Typology** - example 1(reminder)

- 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



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

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Evaluating resilience in the field

C2

Applying the resilience framework : **R-R-T Typology** - example 2

➢ **Component 5**: Weigh where on the **RRT typology** the ex post sustained outcome(s) could fall, both individually and collectively

Position on the RRT	Outcomes and explanation
6 Accelerated Transformation:	
5 Directed Transformation:	
4 Autonomous Transformation:	
3 Resilience:	**Human systems** – social capital and partnership building – overall capacity of the human systems to manage climate risk improved, new structures (coordination among actors who were not previously) and functions (partnering and working towards common interests, understanding climate risk). **Livelihood diversification** – IGAs and reinvestment into the community, increased economic autonomy of women; designed to return to current or past structures and functions by restoring income opportunities lost from drought, land degradation.
2 Passive Resistance:	**Human systems** – EWS – incomplete and in draft form, not fully executed. **Human systems** – soil and water conservation; structures and functions put in place to passively maintain past/current structures and functions.
1 Active Resistance:	**Natural systems** – protected lands, fixing dunes, agriculture lands, watershed, forests, vegetation cover; all designed to actively maintain current and historical structures and functions; some use for humans but also some to allow for recovery of ecosystems.

Stretch and drink break

Questions? Comments?

C3 – Methodological considerations during fieldwork

Contents

- **Challenges and their contingency plans**
  - *Sampling issues*
  - *Missing respondents*
  - *Questionable data*
  - *Isolating contribution*
- **Climate-change related challenges?**
- **Methods options during Covid-19**
- **Building ex-post report**

Challenges and their contingency plans

C3

Questionable data or issues with sampling

Challenges

Data found in annual or other external reports of the project's process or accomplishments do not appear realistic, are not sufficiently disaggregated, or do not align with outputs and outcomes identified in the logic framework.

Contingency plan (strategy)

If data seem unrealistic, try to verify information from project monitoring data. If not available, query the organization's senior managers to understand what was reported and confirm its reliability. For example, critical contextual information on implementation, such as a large number of new staff recruitments, may not be included in the report but is necessary to understand the findings.

If output and outcome data are not available in reports or are not sufficiently disaggregated for evaluation purposes, try to work backwards by reviewing monitoring data or other internal reports. If monitoring data sets are available and data are disaggregated by sex and age, consider doing additional analyses.

If disaggregated data are unavailable, undertake new post-project data collection to elicit potentially different outcomes based on adolescent age or sex.

Challenges and their contingency plans

C3

Questionable data or issues with sampling

Challenges

1. Site selection is done in consultation with government officials or implementing partner staff, which may introduce bias. Alternatively, sites are selected based on real life considerations, such as security issues or ease in reaching communities.

2. There is no comparison group or geographic area to control for the influence of confounding external factors

Contingency plan (strategy)

1. Be aware of site selection biases and advocate for transparency in decision-making and unbiased site selection as much as possible. Try to independently assess characteristics of the selected sample, including similarities between the intervention and comparison groups regarding the adolescent population, services, and other relevant infrastructure such as schools. Secondary data may be helpful in assessing comparability.

2. If funding and time are available, create a comparison group or area as part of new data collection processes. Alternatively, use secondary data for comparison, if they are of reasonable quality, such as national survey results or service statistics. Assess for similarities between the intervention and comparison groups regarding the adolescent population, services, and relevant infrastructure such as schools. While preferable to include a comparison

Challenges and their contingency plans

C3

Adding Context and Isolating Contribution

Challenges

Information on contextual factors to help explain the nature and trajectory of change is not available in the project documentation. There is little reference to situational analyses or anticipated risks. Project indicators are not linked to these contextual factors, either within the project cycle or after the project has ended.

Contingency plan (strategy)

Seek out a variety of information sources. Consult key informants for information on contextual factors, such as new policy developments or political forces that may have affected the project but be cautious about potential biases.

If possible, review pertinent information available from media sources, including news articles and other media records and Twitter feeds. Existing documentation (i.e. synthesis reviews, policy analyses) may provide contextual information. Try to recreate internal and external event timelines with available project or implementing partner staff and stakeholders to document factors that may have influenced implementation.

Consider engaging with ethnographers to visit sites and employ ethnographic methods to explore and document contextual factor.

Challenges and their contingency plans

C3

Adding Context and Isolating Contribution

Challenges	Contingency plan (strategy)
Other development projects have launched during project implementation or between the end of the project and the post-project evaluation, complicating the plausible attribution of findings and/or influencing post-project evaluation findings.	Use evaluation reports and assessment studies from the other projects, if available, to validate anecdotal information. If evaluation reports from the other projects are available, try to map overlapping activities. Try to determine, via an events timeline discussion, to what degree projects from different organizations supported or undermined each other's effects between the end of the project and the post-project evaluation. Interview former staff and partners to inquire if prior projects and partnerships extending before the project years were important building blocks to the project under evaluation and include this as a component of the context documentation. Use methods such as Contribution Analysis (CA), RRA or MSC Focus groups to differentiate the AF project from the others. Identify specific difference and repeatedly refer to it in evaluation

Ideally include a comparison group or use secondary data for comparison, if they are of reasonable quality, such as national survey results or service statistics

Challenges and their contingency plans

C3

Missing respondents

Challenges	Contingency plan (strategy)
Key project personnel are not available due to migration, transfers to new projects, or other reasons after the project has ended.	Attempt to track down telephone numbers via colleagues and other community contacts and conduct phone interviews with former staff. Ask current employers if former project staff could attend a half-day or full-day meeting during which post-project data could be collected. If this is not possible, try to interview former staff in less formal settings such as coffee shops. If this is not possible, interview staff and people within the host organization and its implementation partners who have some knowledge of the former project.

Challenges and their contingency plans

C3

Missing respondents

Challenges

Key adolescent beneficiaries and beneficiary lists are not available.

Contingency plan (strategy)

Young people are often an especially mobile population, and the evaluator may need to get creative to find young people who participated in the project.

Identify existing structures such as schools or youth clubs where past beneficiaries might be located.

Ask school principals or other managers to contact beneficiaries on your behalf If structures are still active, sample from still-functioning groups formerly supported by the project – comparing those groups with groups or individuals who never participated in the project.

If it is not possible to contact former beneficiaries, consider collecting information from people who are familiar with the former beneficiaries.

Challenges and their contingency plans

C3

Missing data, respondents or incomparable evaluation tools

Challenges

Data or respondents are missing; evaluation tools are incomparable

Contingency plan (strategy)

Try to verify outputs/ outcomes with monitoring data or periodic project reports

Take a wider original sample of possible respondents for the quantitative survey.

Recreate endline data through recall, triangulate with secondary data and other primary data collection ex-post

Use Likert scales for comparison of changes from endline, e.g. extent of hunger at project close versus ex-post

Challenges and their contingency plans

C3

Data mismatch or data issues specific to adaptation and resilience

Challenges

The cross-sector nature of adaptation requires collecting data points from multiple and unconventional sources

Progress may be non-linear and episodic, and priorities may change over time

A long-term timeframe in order to see (especially) natural systems results

Contingency plan (strategy)

To the extent possible, seek out coordinating units that work in climate change across various institutions and sectors. Their staff and specialists may have knowledge of, and/or access to, relevant government or non-government data sources relevant to climate risks, adaptation, disaster preparedness/risk management, or other related topics.

Due to climate disturbances, the project may have faced severe or unexpected set-backs or priority changes since implementation closing. Outputs and outcomes (and impacts) achieved must be placed in the context of the related climate disturbances.

Since replenishment and (re)generation of natural systems may take decades, their resilience is – to some extent - dependent on projected sustainability. Proxy indicators can be used as place holders, but project sites may have to be revisited later in order to assess actual resilience.

Challenges and their contingency plans

C3

Subjectivity and uncertainties specific to adaptation and resilience

Challenges	Contingency plan (strategy)
Resilience is a subjective term and requires deliberation and context to define End lines (point of comparison against results) are often absent and/or may move over time Multiple uncertainties due to climate risks	Stakeholder engagement is necessary to identify what priorities have driven activities and resources toward sustained outcomes, as well as to clarify the value of the climate resilience that those outcomes may provide. The deliberative co-creation ex post evaluation process will break down how/whether, and why, resilience achieved is (not) desirable or sufficient in a specific context. Focusing on current key priorities and “win win” solutions under multiple climate scenarios may be necessary to define success in the context of multiple uncertainties and moving end lines.

C3

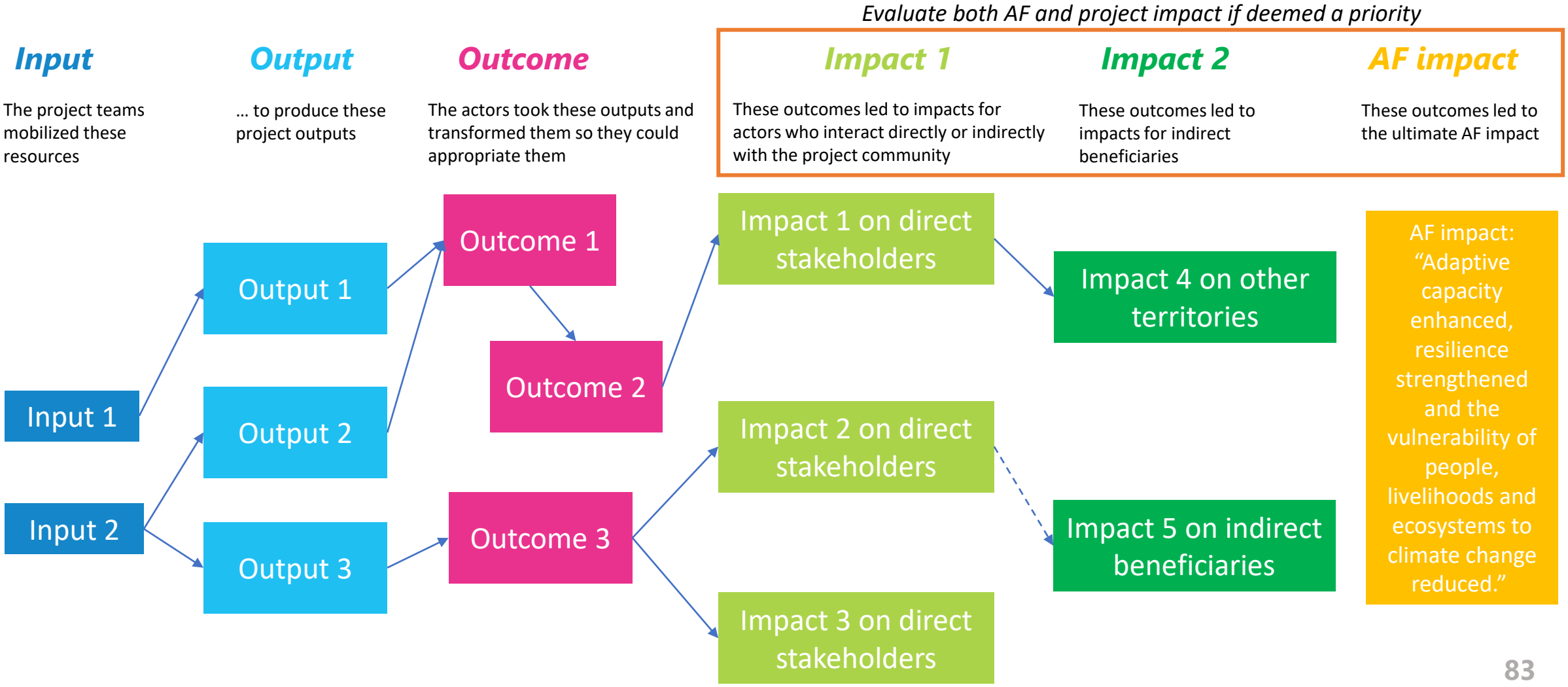
Methods options during COVID-19

- Using national evaluators and local enumerators should minimize the spread of COVID-19
- Given COVID, evaluators might opt to make Rapid Evaluation adaptations, which includes existing rapid review processes (e.g. Rapid Rural Appraisal) and applies it to the current emergency context.
- Even in a lower COVID-risk context, current guidance on how to adapt evaluation fieldwork will be used, such as those from Better Evaluation and UNDP.
- Fieldwork could need to be done with smaller focus groups as well as smaller debrief groups to minimize infections or via remote mobile interviews
- Evaluators and their respondents should wear face masks during quantitative survey data gathering and ideally conduct interviews outside, rather than inside to minimize the risk of spreading the infection
- Also ask the Implementing Entity for existing contingency plans and/or. see OECD/ UN Guidance: http://web.undp.org/evaluation/guideline/documents/covid19/IEOOECD_DAC_Joint-Guidance_COVID19.pdf

Building the ex-post evaluation report after the fieldwork

C3

Report Recommendations & Discussions: what do we report on?



Building the ex-post evaluation report after the fieldwork

C3

Report Recommendations & Discussions

What do we report on?

- **Discuss results with client**, before reporting. Possibly consider an internal management report that reflects the effectiveness of the project vs the sustained and emerging outcomes and impacts
- **Make recommendations** that reflect findings of both Evaluation but also Monitoring and Design (include donors)
- **Contextualize unexpected findings**, explain negative findings but don't hide them… we have lots to learn!
- **Report on both outcomes of resilience and project outcomes**… There could be a difference between the two. While the Adaptation Funds wants to know about resilience, it will also be useful to look at the impact of the project at country-level

C3

Table of contents for final report (draft)

As part of the pilot, the table of contents might be revised.

The final report for ex-post evaluations should be organised around the following sections:

- **Evaluation design**
- **Project / program**
- **Fieldwork/ Data gathering Results**
- **Learning**
- **Resilience**
- **Annexes**

Building the ex-post evaluation report after the fieldwork

C3

(Draft) Table of contents for final report (1)

Evaluation design:

a. Sampling rationale for representativeness for project sites

b. Evaluation team composition

c. Methodologies chosen

d. Including known and unknown risks to adaptation sustainability

e. Revisions to methods given what was found, stakeholder priorities etc.

f. Availability of and limitations to the secondary and primary data collection and analysis

g. Any adaptation which cannot fully be seen 2-5 years ex post and method to evaluate.

Project/ Program:

h. Project overview, implementation context, barriers, supports during/ post

Stakeholder mapping and stakeholder analysis

i. Theory of Change/ Theory of Sustainability, system boundaries that are human and environmental/ecological and how the ToC/ ToS fits into that context.

i. Natural boundaries: natural systems/ecosystem context, natural resources targeted

ii. Human boundaries: boundary partners, institutional presence/involvement

j. Discussion of exit strategies, and assessments of project investing in preconditions for sustainability: ownership, capacities, resources, partnerships, risk identification and management, adaptive management/ feedback loops during monitoring, local adaptations to funding, design, implementation that make activities locally and regionally sustainable, handover to local stakeholders (phasing down, over out), and stakeholder communication pre-exit.

Building the ex-post evaluation report after the fieldwork

C3

(Draft) Table of contents for final report (2)

Fieldwork/ Data gathering Results

l. Findings from stakeholder meetings, fieldwork and/or online data gathering

m. Assumptions the project made and evidence of how they affected implementation, management and/or results

n. Sustainability of Outcomes and Impacts ex post from final and baseline evaluation results on the CORE indicators and key project-specific outcome and impact indicators (fewer than *10)* and others local stakeholders prioritize

o. Natural and ecosystem/ climate effects of project, e.g. area of conserved/preserved land; reduced stress on a water system or land degradation including evidence of trade-offs projects and their participants made between sustaining natural and human systems

p. Implications of findings on project's other OECD criteria of Relevance, Effectiveness, Coherence and even a new (?) Adaptability criteria of Flexibility and Connectivity

q. Explanations for the changes found or not found between final and ex post evaluations

r. Unexpected outcomes and impacts due directly to the project, including evidence of maladaptive actions / measures / results

s. Emerging outcomes and impacts found – innovative ways locals sustained outcomes/ impact, ideas

t. Institutional partnerships, systems formed to foster adaptation and resilience, and the role and function of those partnerships and likelihood of continuation

u. Expected duration of sustainability of outcomes and impacts in the face of climatic and other risks to sustainability after the ex-post, including conditions supporting resilience.

C3

(Draft) Table of contents for final report (3)

Learning

v. Recommendations to funders and implementers of the project/ programme to improve strategy, approach, allocation of resources, etc.

w. Recommendations for AF-TERG for future ex post evaluations

x. Dissemination plan for findings

y. Learning plan for major stakeholders – results shared how, implications for uptake, project and evaluation data retained how and by whom (knowledge management)

Resilience

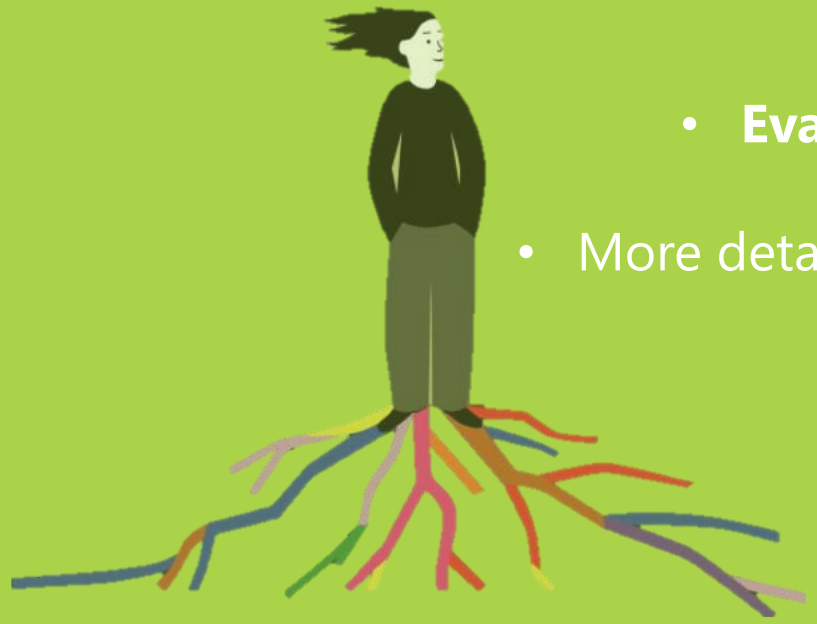
z. Answering as many resilience-related questions as possible given time and data limitations

aa. Completed resilience analysis tables using all available evidence; starting with outcomes present at project completion and completing with those still present in ex post (See Annex F for an example)

Annexes (to include in final report):

1. Terms of Reference
2. Stakeholders interviewed
3. Timeline of work
4. Questionnaire and major qualitative data summaries.

What's next?



- **Evaluators to go home with training material**
  - Application of training exercises
- More detailed discussions about steps for ex-post evaluations

Questions:
Jindra@ValuingVoices.com
meg.spearman@gmail.com
cholo1@adaptation-fund.org

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 C

Thank you

Contact info:

af-terg-sec@adaptation-fund.org

Click on the logo to access more resources on the training