

History and Status of Development Evaluation

TD 694

Literature Review and Seminar Course

Centre for Technology
Alternatives for Rural Areas,
IIT Bombay

Under Guidance of
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Outline of the Presentation

1. Introduction
2. Evaluation Basics
3. Evolution of Evaluation
4. Current trends
5. Conclusion

Introduction

- Motivation
- Development Evaluation

Motivation

- Sustainable Development Goal 17 (global partnership)
 - 17.18 (Data, monitoring and accountability)
 - Evaluation for sustainable development – learning what works and why
- Long history of development evaluation
- Evaluation in focus internationally
- Maharashtra Government empaneled institutes for Evaluation in 2016, including IITB
- Research focus on Development Evaluation
- Attempt to understand evaluation field breadth before getting into depth.

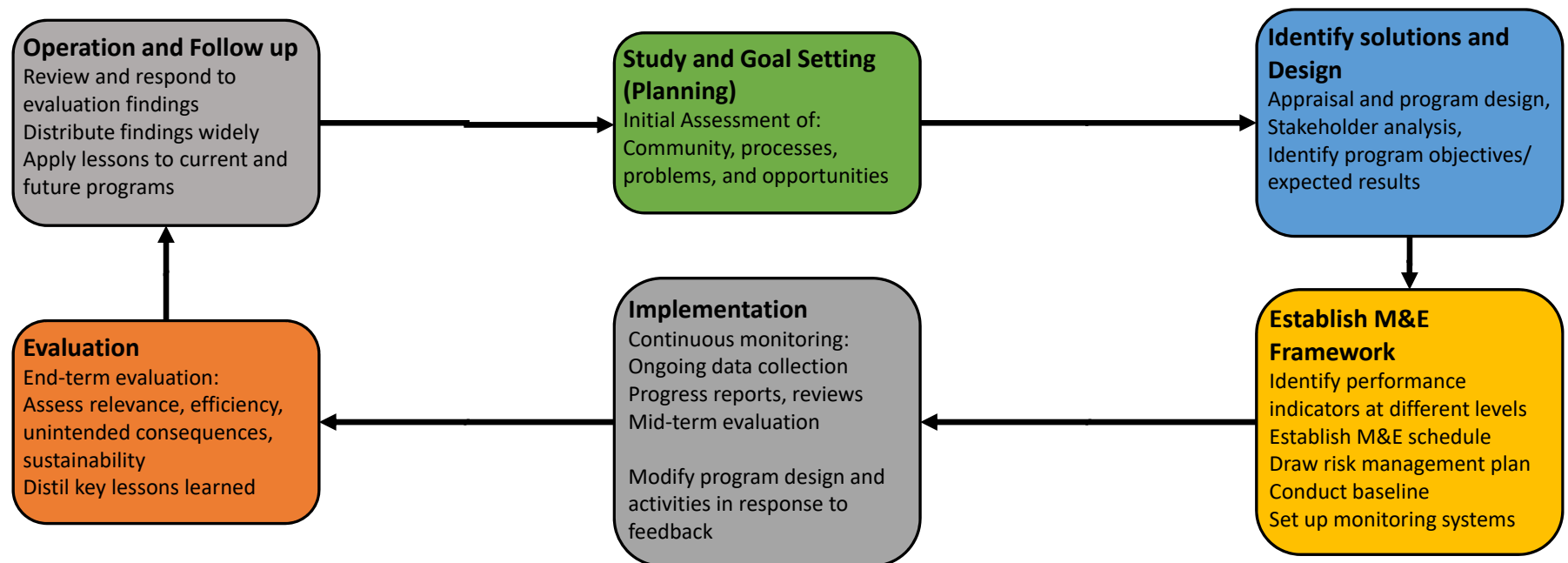
Scope

- Literature review based study
 - Basics of evaluation – classification, theory, logic
 - History, institutions, current practices
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- Attempt to understand evaluation field breadth before getting into depth.

Development Evaluation

- Evaluation of Development Programs
 - Social or economic programs aimed at community development
- What is development?
 - Emergence of a system of economic, financial, legal, social, and political institutions, firms, products, and technologies, which together provide the citizens with choices, capabilities and freedoms to live happy, healthy lives with access to knowledge, a decent standard of living and allow them to participate in the life of their community. (Based on Amartya Sen's work by Owen Barder, Kapuściński Development Lecture, May 2012)
- Monitoring and Evaluation as feedback to development programs
- Development programs evolved with understanding of development

M & E in a Program Cycle



- Adapted from Virtual Knowledge Centre to End Violence Against Women and Girls, Security -M&E plans , UN Women 2012

Need for Development Evaluation

- Knowing program effectiveness and what works/ does not work allows improvement in program delivery
 - Showcases effectiveness to community and funders
 - Improves staff's frontline practice with community
 - Allows critical self-assessment and improvement
 - Can build knowledge for activities out of program ambit.
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- Confusion between Monitoring and Evaluation

Evaluation Basics

- Concepts
- Classifications
- Theories and Logic of Evaluation

Definitions (1 / 2)

- Evaluation:
 - **Systematic and Impartial assessment** of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, or institutional performance.
 - Analyse **achievement of expected and unexpected results** by examining the results chain, processes, contextual factors, and causality **using appropriate criteria** such as relevance, effectiveness, efficiency, impact, and sustainability.
 - An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations, and lessons into the decision-making processes of organizations and stakeholders.
- United Nations Evaluation Group guidelines, 2016

Definitions (2 / 2)

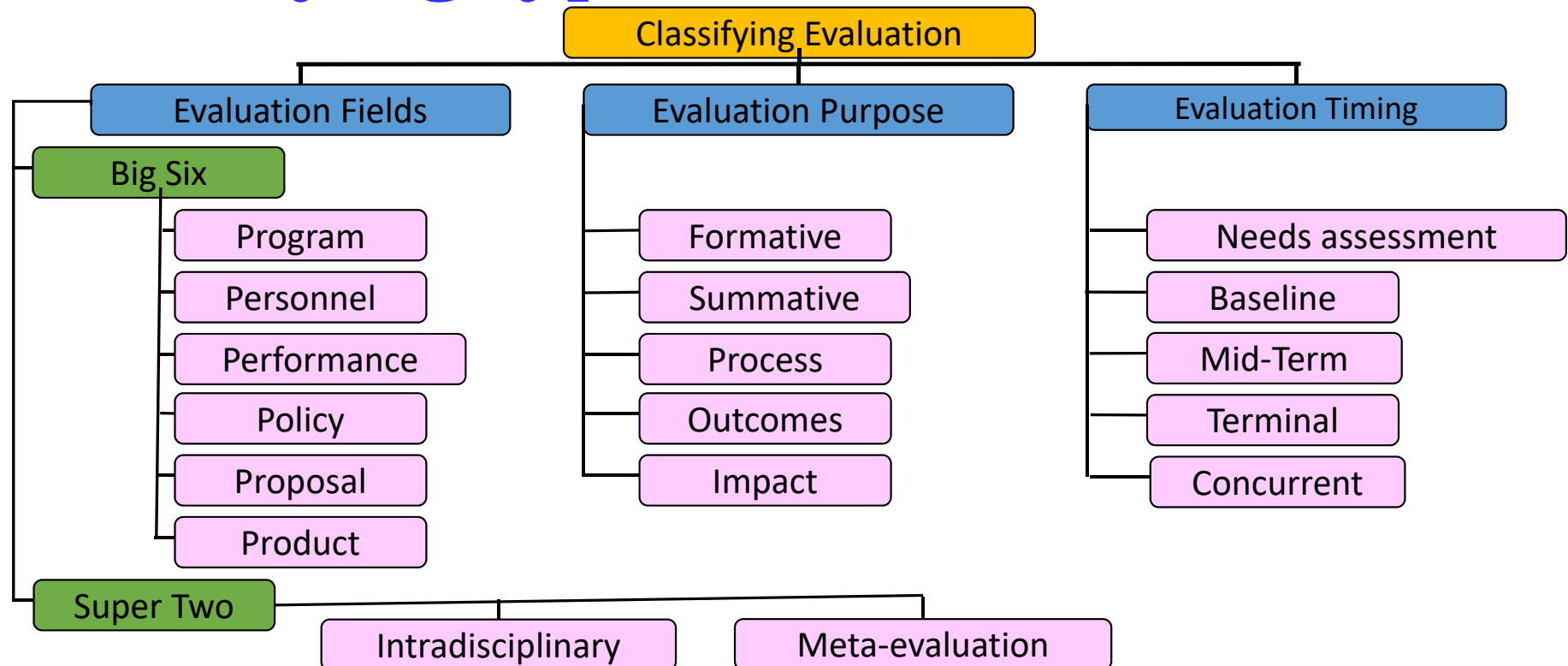
- Monitoring:
 - **Regular** collection and analysis and distribution of information for the **surveillance of progress** of the project's implementation.
 - Project monitoring is the collection of data prior to, and during, the project. These data, when analysed, pinpoint progress or constraints as early as possible, **allowing project managers to adjust** project activities as needed. Monitoring is a continuing process throughout project implementation and often extends beyond project completion.
- Audit and Assessments – similar to evaluation in definition, generally technical, third party, verifications.
- United Nations Environment Program, 2008

Monitoring and Evaluation

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Char.	Monitoring	Evaluation
Subject:	Address operational management issues	Focused on strategic aspects
Character:	Continuous, regular, systematic	Incidental, flexible subject & methods
Client:	Program management/ implementors	Implementers, donors and beneficiaries; interested public and research community
Aim:	Improve efficiency and effectiveness; ensure the transformation of activities into results/ outputs	Explore intended and unintended results; formulate recommendations for adjustments
Focus:	Check progress of planned activities, identify operational difficulties; suggest steps to improve implementation efficiency & effectiveness	Assess achievement of results, relevance, effectiveness, and impact and sustainability of activities and their contribution to results.
Objectives:	Identify & resolve implementation problems, assess progress towards objectives	Verify developmental hypothesis, document successes & lessons learned
Time	Continuous process during the implementation of a project, programme, plan, or strategy	done during the span of a activity (mid-term evaluation) or upon completion (ex-post evaluation)
Content	Progress attained measured against the set indicators	Fulfilment (degree of and quality) of the indicators

Classifying types of evaluation

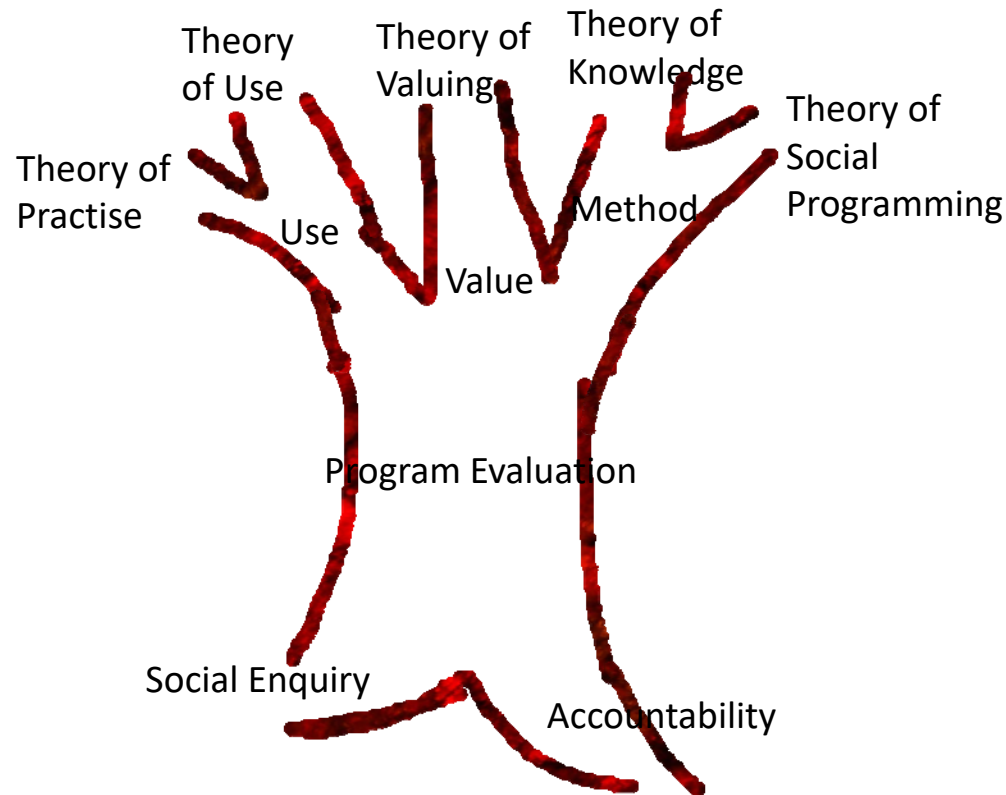


- Michael Scriven 1999, UNEP 2008

Evaluation Theories

- the terms models, approaches, or frameworks better convey the meaning.
- Evaluation 'theories' are prescriptive; they offer a set of rules, prescriptions, and prohibitions that define what a good evaluation study is and how it should be conducted, these aren't predictive or offer an empirical theory.
- As a convention in evaluation literature, the prescriptive approaches are termed as theories.
- Evaluation theory defines who evaluators are as it provides the language used by evaluators to communicate with each other. Shadish, 1998

Evaluation Theories



- Adapted from detailed Theory Tree by Christie & Alkin, 2004 which has theorists on branches

Logic of Evaluation

1. selecting criteria of merit, on which evaluand (thing being evaluated) will be judged,
 2. setting performance standards of these criteria, comparative or absolute
 3. gathering data of evaluand's performance on the criteria relative to the standards,
 4. integrating the results into a final value judgment.
- Evaluation approaches – Holistic and Analytical
 - Dimensional and Theory driven evaluations
 - “Evaluation now constitutes an area in which some mapping has been done, some value has resulted, and important work remains unfinished.” Scriven 2007

Evolution of Evaluation

- Global Picture
- Indian Story

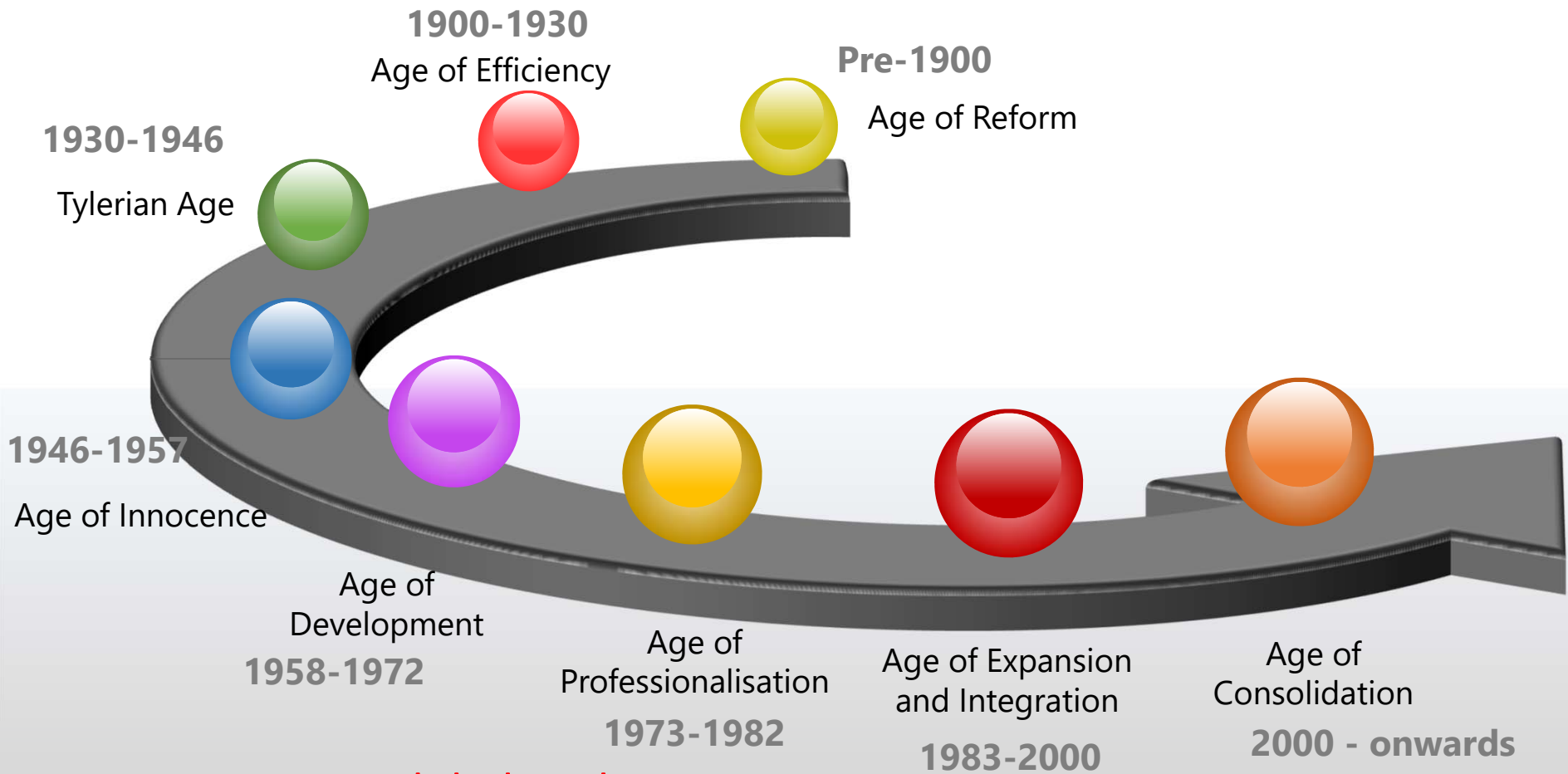
Introduction

Basics

Evolution

Trends

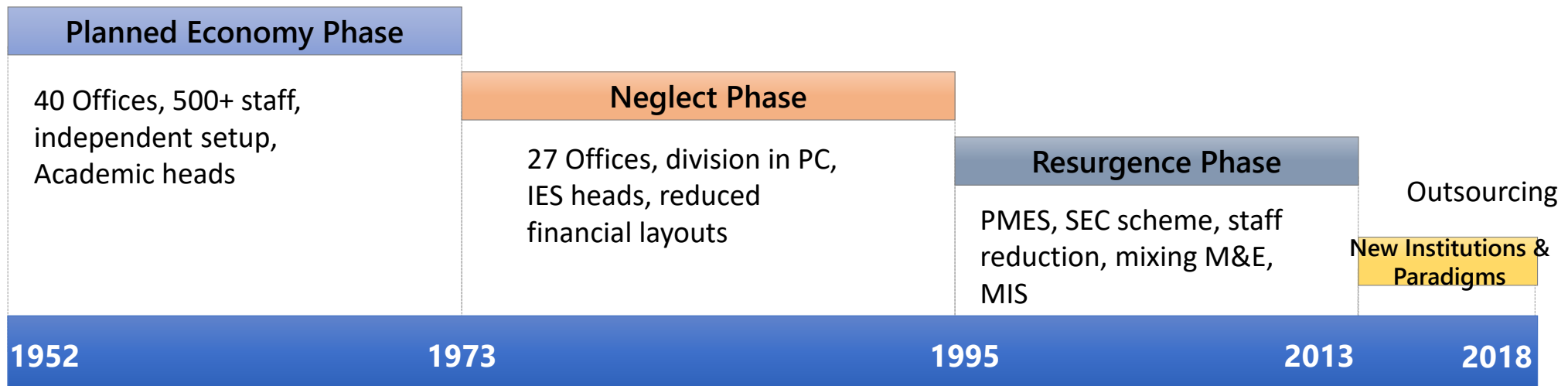
Conclusions



• US centric global evaluation ages, Hogan 2007

Evaluation in Independent India

- PEO-> State Evaluation Offices -> Neglect -> Dwindling of Functions -> 11th and 12th Plan Resurgence -> IEO-> PC to Niti Aayog -> DMEO
- Concurrent Evaluation Office MoRD (2010-2016)



- Mehrotra 2013 & Chandrasekar 2015

International Organisations

- United Nations Evaluation Group (1984, 2003)
 - Independent Evaluations Group of World Bank (1970, 2006)
 - International Organisation for Cooperation in Evaluation – Evalpartners for SDG evaluation
 - International Development Evaluation Association (2002)
 - American Evaluation Association (1986)
 - European Evaluation Society (1992)
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- When the global evaluation scenario was picking up, India was sliding down

Journals in Evaluation

- Working in a field, important to know its leading publications
- Dedicated journals focusing on evaluation, instead of the sectors
- Evaluation and Program Planning, Evaluation Review, American Journal of Evaluation, New Directions for Evaluation, Evaluation – The international journal of theory, research, & practice, etc.

Current Indian Scenario

- Development Monitoring & Evaluation Office under Niti Aayog, 2015
 - Regional offices and field offices closed in 2017
 - Technical staff of about 25 people (RO, Sr SO, EO, RA, YP, consultants)
 - Administrative - DG, JS, DDG, US, admin staff
 - Very few specialists
- About 15 States have an evaluation office, either as a division under Directorate of Economics & Statistics or as a separate office under Planning Department.
- Telangana and Karnataka have Evaluation authorities
- At least 6-7 states have empanelled agencies for evaluation
- State-wise status of evaluation offices, setup, empanelment, studies, capacity, etc. can be undertaken

Empanelment for Evaluation

- DMEO – 2017 – no details online except RFP
- Maharashtra DES – 2016 – IIT Bombay empanelled, 37 institutes
- KEA – 2016 – 30 evaluators, 11 assessors of evaluation reports, State evaluation policy
- Meghalaya Program Implementation & Evaluation Dept. – EOI for empanelment
- Punjab Directorate General Monitoring & Evaluation – third party validations, meta-assessment report
- Outputs of empanelled agencies can be checked against guidelines

Current Trends in Evaluation

- Global Evaluation Agenda
- Building Evaluation Capacity



Trends in Past decades

- Increased **priority and legitimacy** of internal evaluation.
 - Shift to **mixed quantitative-qualitative methods**.
 - Increased acceptance of and preference for multiple-method evaluations.
 - Introduction and development of **theory-based evaluation**.
 - Ethical concerns and use to empower stakeholders.
 - Use within business, industry, foundations, and other agencies in the private and non-profit sector.
 - **Evaluators as advocates** of programs evaluated
 - Advances in technology, communication, and ethical issues.
 - **Decentralisation and delegation-led modifications** in strategies
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- Around the turn of century

Global Evaluation Agenda 2016-20

- 3rd Int. Conf. on National Evaluation Capacities, Brazil Sep 2013
- UN resolution 69/237 on 19th Dec 2014 for “building capacity for the evaluation of development activities at the country level”
- International Year of Evaluation (EvalYear) 2015
- To support M&E to achieve 2030 Agenda for Sustainable Development
- Advocate and promote evaluation and evidence-based policy making at international, regional, national, and local levels
- Strengthen for Dimensions of evaluation system
 - enabling environment, institutional capacities, individual capacities, and inter-linkages among first three
- GEA launched and endorsed by global community in EvalYear culmination event at Nepal

Building Evaluation Capacity

- Global Evaluation Agenda – building Evaluation Capacity
- National Evaluation Capacities commitments
 - National data systems, institutional setup, budgetary provisions, methodologies,
 - implementation of evaluation recommendations, parliamentarians forums for advocacy, partnerships and coordination, use independent evaluators
 - stakeholder involvement, cultural dimensions, equity focused & gender responsive
- National Evaluation Policies
 - Policy to meet commitments and implement evaluation practices
 - Indian policy – work in progress since 1954
- Preparing for Sustainable Development Agenda

Voluntary Organisations for Professional Evaluation (VOPEs)

- Non-profit membership organisations for evaluators, interaction between academicians, professionals, government and society for development evaluation

- SAARC

- Community of Evaluators, South Asia
 - Based in New Delhi, formed in 2016
- Parliamentarians Forum on Development Evaluation
 - Pushing for National Evaluation Policies
 - Functional since 2013, no Indian Parliamentarian currently listed on their website

- Evaluation Community of India, 2016



Introduction

Basics

Evolution

Trends

Conclusions

Conclusion

- Learnings
- Future Works

Learnings

- During course of this review, understanding of evaluation field broadened.
- India was well ahead, advantage was lost when world was picking up. In Digital India, DMEO doesn't have a website publicly accessible
- Learning from VOPEs and working for states will be important
- Decentralised Development Evaluation Capacity needs to be built at grassroots level for districts, NGOs and third-party evaluating agencies
- Direction for studying theory & logic of evaluation
- **Learnt what is evaluation, need to look at how to evaluate**

Future Research Directions

1. Create database of government-led evaluations in India, at central, state, & donor agency level
2. Meta-evaluations based on these evaluation studies
3. Assess status of evaluation offices in Indian states, explore their history, current activities, & capacities
4. Assess draft NEP of India, propose a SEP for Maharashtra, if one doesn't exist already.
5. How evaluations happen at project, program, department levels?
6. Preparing a model evaluation plan for future DES projects

Thank You

References provided in report