



Participatory Policy Evaluation Toolkit

to improve democracy, human rights and governance outcomes

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Special thanks to Alexey Kuzmin, members of the Eurasian Alliance, and participants in the Minsk, Belarus Workshop

June 2019

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Introduction

Abbreviations:

PPE: Participatory policy evaluation

IG: Initiative group

EOC: Evaluation organizing committee

A) Why We Made This Toolkit.

“We” are a group of evaluators and community activists from eight countries (Armenia, Belarus, Kazakhstan, Kyrgyzstan, Moldova, Russia, Tajikistan, and Ukraine).¹ This toolkit was designed to provide the knowledge and skills necessary to improve the quality of life in your community, region or country by promoting a partnership approach to evaluation called participatory policy evaluation (PPE).

Our focus on participatory policy evaluation reflects and promotes:

- Democratic principles by generating partnership and trust as people work together to increase the effectiveness of the policies that govern their lives;
- human rights values of dignity, fairness, equality, and respect by giving everyone a voice that is also a key part of implementation for sustainable policies;
- good governance since participatory evaluation is an essential part of the governance process and improved quality of life for everyone.

Goal: Improved quality of life for all

Objective One: Increase the number of qualified evaluators and community/NGO activists by providing a comprehensive, user-friendly guide to conducting a participatory policy evaluation.

Objective Two: Support the development of an enabling environment for conducting evaluations.

The overall PPE concept takes human rights principles, partnership development, and participatory practices and applies them to evaluation. Regardless of how developed the evaluation process is in your country, combining the skills and knowledge you have with the methods presented here will:

- Increase understanding of the value of evaluation;
- Strengthen relationships in your community;
- Increase capacity for conducting evaluation in your community;

¹Eurasian Alliance of National Evaluation Associations (EANE): http://www.evaleurasia.org/_about_en

- Increase understanding of policy;
- Increase support for policy by improving the effectiveness of policies.

Eurasian Alliance members provided good examples of why a PPE can be useful. In Ukraine, a police reform plan was implemented that consisted of buying new equipment, retraining, and renovating police buildings. From the police perspective, they were happy because they considered the reforms successful. However, from a human rights perspective, the reform policy was a failure because prisoner abuse continued in the renovated buildings. In Tajikistan, the value of an agricultural project evaluation was greatly enhanced when a farmer was added to the team.

This toolkit grew out of very diverse needs, priorities, and environments (social, political, and economic). We hope that will make it possible for you to find something of use to help you develop a strategy that will make participatory policy evaluation a sustainable practice in your governance culture.

B) Who is This Toolkit For?

This toolkit was prepared for two primary groups: evaluators and community/NGO activists. However, the skills and ideas will also be useful to government officials, business executives, anyone interested in improving life in their community, region, or country.

C) How to Use This Toolkit.

The most important thing to understand before you begin is that there is no one, right way to conduct a PPE. What we describe is a step by step approach for a comprehensive PPE in an ideal world where there are unlimited financial and human resources to conduct evaluations, and no stakeholder has fear or resistance to an open and honest process. We understand that world does not exist anywhere yet. That is the world you are building step by step on the basis of your knowledge, skills, and community connections.

We are providing you with the full picture so that you can decide what elements make sense for you and your community. You know your environment, the level of development, and resources available for evaluation. Choose from this toolkit the elements that are appropriate for your situation whether that means starting with a round table discussion about how evaluation can be useful or inviting representatives from one additional stakeholder group to help design and conduct an evaluation. The decision on how big or small your first step is depends on one criterion, your capacity to produce a useful result. It is better to conduct an evaluation awareness event or a very limited PPE perfectly, than to fail by attempting to do too much.

This toolkit consists of three parts. The first is a brief background with short descriptions of evaluation, the difference between a PPE and classic evaluation, policy and the difference between a policy and program evaluation. The second part presents a step by step guide to conducting a PPE. Part Three presents some creative ideas for developing and promoting evaluation through a citizen centered advocacy campaign.

Part I. Background

A) What is evaluation?

Evaluation is a strategic tool that answers five questions:

- Are we doing the right things?
- Are we doing them properly?
- What are the results of these activities?
- Why are we generating these results?
- How can we be more effective?

Evaluation is “the process of determining the merit, worth, and value of things”.²

Evaluation Norms:³

The evaluation should be conducted with consideration of the following General Norms:

- Internationally agreed principles, goals and targets
- Utility
- Credibility
- Independence
- Impartiality
- Ethics
- Transparency
- Human rights and gender equality
- Professionalism

B) What is a participatory policy evaluation (PPE) and how is it different from a standard evaluation?

² Michael Scriven, Evaluation Thesaurus, Fourth Edition (Newbury Park, London, New Delhi: Sage Publications, 1991), 1.

³ Norms and Standards for Evaluation, UNEG, 2017:

[file:///C:/Users/User/Downloads/UNEG%20Norms%20&%20Standards%20for%20Evaluation_English-2017%20\(1\).pdf](file:///C:/Users/User/Downloads/UNEG%20Norms%20&%20Standards%20for%20Evaluation_English-2017%20(1).pdf)

A standard evaluation process involves an external evaluator designing and conducting the evaluation. The definition of a participatory policy evaluation (PPE) is an evaluation where an evaluator works together with other community members to design and conduct an evaluation. Since its development in the late 1960's and promotion in international development in the late 1970s, at least 15 different participatory evaluation models have emerged. They primarily differ in relation to the range of stakeholder groups represented in the evaluation and the degree stakeholders are engaged in the process.⁴ The PPE approach we are presenting in this toolkit corresponds to several of these models that encourage maximum stakeholder participation to build evaluation capacity and empower marginalized communities.

However, there are many reasons why maximum participation may not be possible or practical (time, costs, interest, fear, etc.). So, it is important to emphasize that any degree of participation by a stakeholder at any point in the evaluation will improve the quality of your results by providing you with more perspectives, their realities, needs, and priorities. It will also contribute to an awareness of the role of evaluation in good governance and an increase in community members with the skills and knowledge necessary to conduct an evaluation. So, while a PPE is more resource intensive, that outreach improves the quality of the information you receive, the accuracy of your analysis, and ultimately your ability to make meaningful policy and implementation recommendations.

In addition, while the primary goal of a PPE is to conduct an evaluation, there are added benefits in the form of strengthening community partnership, capacity building, and increased support for the evaluation process. Creating opportunities for people to meet and work together develops trust and reciprocity, or social capital, a critical factor in a sustainable, vibrant democracy.

The model below⁵ demonstrates how a PPE supports effective governance by “getting things done” by “engaging citizens” in “measuring results”, the tiny circle “4” in the center is your goal.

⁴Cullen Anne and Coryn, Chris L.S., “Forms and Functions of Participatory Evaluation in International Development: A Review of the Empirical and Theoretical Literature”, *Journal of Multidisciplinary Evaluation*, Volume 7, Number 16, July 2011. <https://www.alnap.org/help-library/forms-and-functions-of-participatory-evaluation-in-international-development-a-review>

⁵Paul Epstein, Paul M. Coates, Lyle D. Wray, “Results That Matter: Improving Communities by Engaging Citizens, Measuring Performance, and Getting Things Done” (San Francisco, Jossey-Bass A Wiley Imprint, 2006).



- The four “Advanced Governance Practices” are represented by the overlapping areas in the figure, which represent alignment of “core community skills” as follows:
- **Community Problems Solving:** Aligns “Engaging Citizens” and “Getting Things Done.”
- **Organizations Managing for Results:** Aligns “Measuring Results” and “Getting Things Done.”
- **Citizens Reaching for Results:** Aligns “Engaging Citizens” and “Measuring Results.”
- **Communities Governing for Results:** Aligns all three core skills.
- Copyright Paul Epstein 2005

The two tables below outline some of the differences between a participatory and standard evaluation and the benefits and challenges to conducting a participatory evaluation:⁶

Table 1: Standard and Participatory Evaluation Comparison⁷

	Standard Evaluation	Participatory Evaluation
Objectives	Accountability Increased effectiveness	<ul style="list-style-type: none"> • Accountability • Increased effectiveness • Strengthened ownership of policy • Capacity and skills building • Trust in governance process • Outreach to

⁶For more details see: Better Evaluation “An international collaboration to improve evaluation practice and theory by sharing and generating information about options (methods or processes) and approaches.” https://www.betterevaluation.org/en/plan/approach/participatory_evaluation, Ann Zukoski and Mia Luluquisen, Community Tool Box, Center for Community Health and Development at the University of Kansas Section Six Participatory Evaluation <https://ctb.ku.edu/en/table-of-contents/evaluate/evaluation/participatory-evaluation/main>

⁷ Another comparative Chart: Community Based Public Health Policy & Practice, Issue 5, April 2002, p. 3 <https://www.scribd.com/document/182220922/Evaluation-pdf>

		<p>marginalized groups</p> <ul style="list-style-type: none"> • Partnership building
Who is in charge of the evaluation?	The donor or NGO/ Government/Business stakeholder	Representatives from all stakeholders
Who determines the indicators or questions for the evaluation	Professional evaluators and experts	Representatives from all stakeholders and an evaluator
Who is responsible for collecting data, analysis, and report preparation?	Professional evaluator and outside experts	Shared responsibility between the evaluator and the stakeholders
What is the role of the evaluator	Expert, leader	Facilitator, coach, negotiator, respected friend
Human Resources Required	Evaluator is almost always compensated for their work.	Evaluator and stakeholders on the organizing committee and to help conduct the evaluation. Some if not all of the stakeholders are volunteers
Time Resources	Deadline established by person or organization who has ordered the evaluation based on their capacity and needs	Takes more time because it is a collaborative process and the outreach is more expansive
Perspective	Objective view of evaluator	Objective view of evaluator and subjective views of various stakeholder groups including those who are most directly affected by the policy
Methods	Surveys, focus groups, interviews, primary sources/statistics, observation	Surveys, focus groups, interviews, primary sources/statistics, observation, creative interactive group workshops/discussion groups/games, etc.

Links for More Details on Organizing and Conducting a Standard Evaluation

Survey Methodology:

- **Detailed:** International Handbook of Survey Methodology, edited by Edith D. de Leeuw, Joop J. Hox, and Don A. Dillman <http://joophox.net/papers/SurveyHandbookCRC.pdf>
- **Summary:** T. L. Jones, M.A. J. Baxter, and V. Khanduja, A Quick Guide to Survey Research https://www.researchgate.net/publication/234132734_A_quick_guide_to_survey_research

Survey Questions:

Survey Monkey's Guide to Writing Survey Questions Like a Pro
https://www.surveymonkey.com/wp-content/uploads/2014/07/Survey_Writing_Guide1.pdf

Observation:

Barbara Kawulich, Collecting Data Through Observation
https://www.academia.edu/15804353/Collecting_data_through_observation

Focus Group Interviews:

Richard A. Krueger, Designing and Conducting Focus Group Interviews
<https://www.eiu.edu/ihec/Krueger-FocusGroupInterviews.pdf>

Interviews

- **Summary:** US Centers for Disease Control and Prevention
<https://www.cdc.gov/healthyyouth/evaluation/pdf/brief17.pdf>
- **Detailed :** Carolyn Boyce and Palena Neale CONDUCTING IN-DEPTH INTERVIEWS: A Guide for Designing and Conducting In-Depth Interviews for Evaluation
 Input http://www2.pathfinder.org/site/DocServer/m_e_tool_series_indepth_interviews.pdf
- **More Detailed:** Ana Manzano, The Craft of Interviewing in Realist Evaluation https://www.researchgate.net/publication/300065986_The_craft_of_interviewing_in_realist_evaluation

Table 2: Benefits and challenges of a PPE

Benefits	Challenges
You get information and perspectives you wouldn't get if it weren't participatory	Finding the resources necessary (human, financial, material) to conduct a participatory evaluation
More perspectives increase the reliability of your assessment, recommendations, and the effectiveness of policy	Transferring skills to a range of people who will help conduct the evaluation
It empowers all stakeholders but notably marginalized or vulnerable groups	Collaborative analysis process that must balance the preferences and priorities of different stakeholders based on evidence gathered
Builds trust, respect, and understanding among different stakeholders	Donors, policy makers, and other stakeholders may not understand the value in this approach
Increases stakeholder understanding of what an evaluation is	Donors, policy makers, and other stakeholders may be afraid of an evaluation they cannot control

Promotes participation, partnership, and collaboration	FEAR based on a misunderstanding about the purpose of an evaluation
Promotes transparency, accountability	Generating the trust necessary for respondents to participate and be honest
Stakeholders get new skills and knowledge they can apply in other spheres	
Increases a sense of ownership over policy	
Gives everyone a voice	
Inspires creativity	
Promotes human rights values	
Improves quality of governance	
Develops leaders	

C) What is policy?⁸

POLICY is what we want to happen and a system we identify to achieve it. It is based on **PRINCIPLES** we believe in deeply. **PROCEDURES** are how we implement the **POLICY**. In other words, **POLICY** is the what, **PRINCIPLES** are the why, and **PROCEDURES** are the how in support of our overall **MISSION** to improve quality of life for all.

There are numerous formats for how a public policy is reflected including laws, concepts, strategic plans, national projects, etc. However, they all should reflect the 3 Ps. For an example see Figure 2 below.

⁸ For an overview of public policy: Robert E. Goodin, Martin Rein, and Michael Moran, "Overview Of Public Policy: The Public And Its Policies", The Oxford Handbook of Political Science, Robert E. Goodin editor, Oxford Handbooks Online, 2013. <https://www.oxfordhandbooks.com/view/10.1093/oxfordhb/9780199604456.001.0001/oxfordhb-9780199604456-e-043?print=pdf>

Figure 1: 3 P's

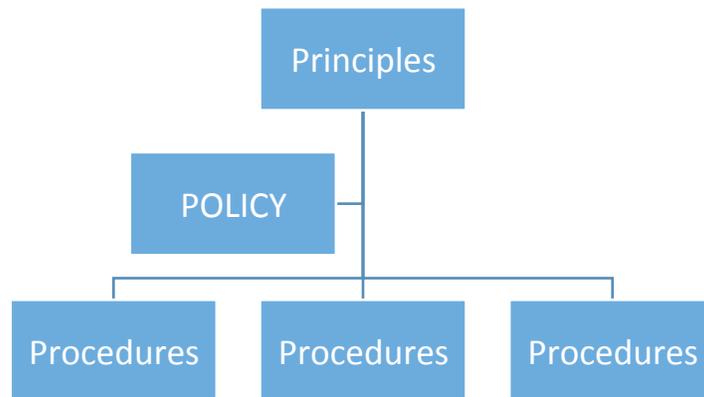
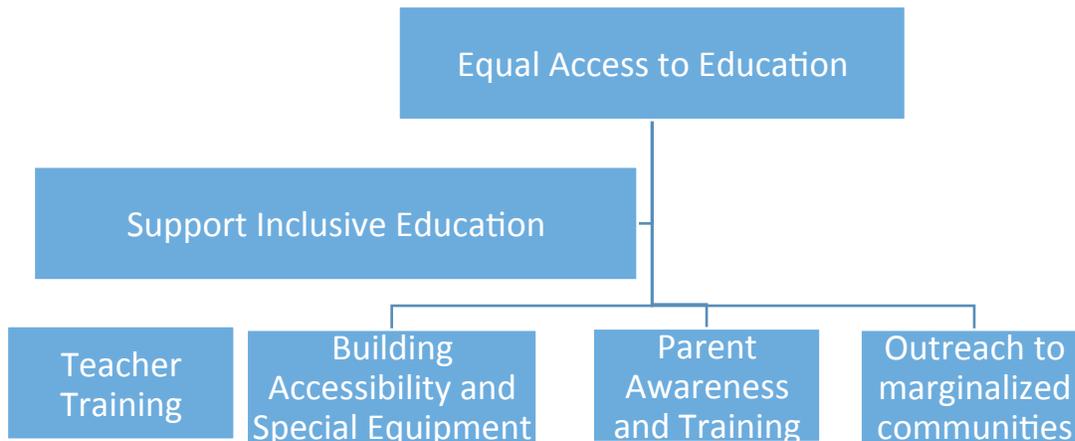


Figure 2: 3 P Example



D) Why do we evaluate a policy?

To improve quality of life. Effective public policies that respond to the needs, interests, and environment are a critical part of good governance. Evaluation is how you can determine how well a policy is working, whether it is achieving its intended goal. If not, why not, can we make it more effective, if yes, how?

A policy may be appropriate, but the implementation strategy is not effective. The only way you can identify the problem and possible solutions is to conduct an evaluation that will provide you with a road map for how to reach your overall policy goal.

E) How is policy evaluation different from project or program evaluation?⁹

The norms and standards identified above and many of the tools and skills are the same. The difference is the scope of the evaluation subject and outreach.

Also, projects and some programs have a beginning, middle, and an end. Some programs don't have an end date but are targeted at providing a specific service or result. Policies are designed to support a broader, sustainable goal such as free elections, equal access to healthcare or education. That means policy evaluation requires looking at both the policy (immigrant rights) and the interventions (providing free legal services, jobs programs, housing, language support, etc.) chosen to support specific objectives related to the overall policy goal.

It is possible that the policy itself is not effective. That could be because it does not correspond to democratic principles, or the majority of citizens have valid reasons for being against it. It could also be that the policy is ahead of its time and the political, social, or economic environment at that time, in that place is not supportive enough for it to have a sustainable impact. Or, it could be that the policy was not properly explained to the public. An evaluation will identify if the policy is appropriate and if not, why not. It is okay for a policy to be controversial, but you need to understand all stakeholder attitudes towards it so you can provide a compelling argument backed up by statistics.

Part II: PPE Step by Step

A) Step One: Getting Started

1. Creating an Initiative Group (IG)/Evaluation Organizing Committee (EOC)

a) Your Initiative Group (IG)

The participatory policy evaluation (PPE) process begins with an initiative group (IG) of people who decide they want to conduct a PPE. If someone with evaluation experience is in the IG, then their role throughout the process is as expert and meeting facilitator. If you do not have an evaluator in the group, one of your key objectives will be to find one.

The first thing your group needs to do is answer some questions. Based on the answers, your IG will either turn into the evaluation organizing committee (EOC) or develop a plan to expand its membership so you have the capacity to conduct the desired PPE.

b) 6 Key PPE Questions

The first five questions the IG needs to answer are the same as those for launching a classic evaluation process; the last is unique to a PPE:

⁹ Comprehensive guide to participatory program evaluation: Anita M. Baker and Bruner Foundation, "Participatory Evaluation Essentials An Updated Guide for Nonprofit Organizations and Their Evaluation Partners"
<http://www.evaluativethinking.org/docs/EvaluationEssentials2010.pdf>

1. Who are we (IG members, their relationship to the policy, and who they represent/NGO, government, business, etc.)?
2. What is the policy and what are the implementation procedures we want to evaluate?
3. Why do we want to conduct this policy evaluation? Why Now?
4. How do we plan to use the results (for example to develop or promote a policy, to improve the implementation, to draw attention to the policy, to assess the effectiveness of a specific aspect of the policy implementation, a comprehensive policy review)?
5. Who are the policy and implementation stakeholders?
6. Why do we want to conduct a “participatory policy” evaluation?

After you have answered all of the above, you need to ask one more question. Do you have access to the information, financial resources, and key people necessary to conduct the PPE? This includes thinking about the risks involved if you know there are strong emotions or interests associated with the policy you want to evaluate. If yes, and that involves expanding your group, then make sure you can attract the required people before you move forward. If you do not have access and you cannot get it, then you need to reframe the scope of your PPE so it corresponds to your resources.

c) Helpful Tools

The following tools can help you think about and organize your answers to the questions above:

1) Policy Neighborhood Mapping

What: There are two types of policy neighborhood maps. One is a visual map of institutions, organizations, and other entities related to a policy. The second is a quantitative capture of impact or results of a policy geographically.

Why: As a planning tool, understanding the geography of the territory impacted by the policy can help you best target your resources. As an information gathering tool, it can help you understand the impact of the policy geographically and demographically. Policy neighborhood mapping can also be an effective way to demonstrate policy results.

2) SWOT Analysis

What: SWOT is an acronym for strengths, weaknesses, opportunities, and threats. This tool can help you assess four factors in relation to your ability to conduct a particular PPE. You can do this either as a group exercise or ask IG members to fill it out individually and compare. The most common mistake is confusing internal and external factors, so be sure you assign these properly.

Why: The results of your SWOT will help you decide if you have the capacity to conduct a quality PPE. Do you have the resources to take advantage of the opportunities, to mitigate the

threats, to compensate for your weaknesses, and maximize your strengths? If not, you need to develop a strategy to do that or re-design your PPE to better match your capacity. SWOT can also be used later as an information gathering tool getting feedback from stakeholders on policy implementation.

<p>STRENGTHS (Internal Factors)</p>	<p>WEAKNESSES (Internal Factors)</p>
<p>OPPORTUNITIES (External Factors)</p>	<p>THREATS (External Factors)</p>

3) Risk Assessment

What: A tool to insure you think about risks before you develop your strategy. There are endless ways to conduct a risk assessment. We identified five key questions for you to answer in relation to a PPE.

Why: This can be useful for any PPE in relation to your capacity. It is essential if you are planning to evaluate a very controversial topic such as corruption. The answers can help you develop a plan and tool that minimizes the danger while maximizing attention to the issue.

- Are there any risks associated with evaluating this policy or any aspect of the policy?
- If yes, what are they?
- What are the chances of that happening?
- Worst case scenario?
- Is there anything we can do to mitigate the risk(s)?

4) Stakeholder Assessment Chart

What: This tool was designed to help you assess the various stakeholder groups for your policy. The Power Matrix Chart that follows can help with the first two items.

Why: This tool can help you make decisions about expanding your IG and developing a plan for your PPE based on the available resources.

Stakeholder Group	Degree of Interest In Policy/ Implementation 1-5	Degree of Influence On Policy/ Implementation 1-5	Policy interest or position (beneficiary, Contractor, Legislator etc.)	Challenges/ Risks associated with this group	PPE Priority 1-5 5 = key group 1 = least important
A					
B					
C					

5) Power Matrix

What: This tool helps you think about the position of each stakeholder group in relation to two parameters: their degree of interest in a policy (vertical) and their influence on the policy (horizontal). For each stakeholder group or individual there should be two coordinates on the matrix.

Why: For a PPE this can help you identify priorities for outreach and to develop a strategy. If you don't have access to a group that cares a lot about and has the most influence on a policy or its implementation, then you need to rethink your ability to conduct the evaluation and/or its use. This tool is also used when developing a campaign as described in Part Three.

Power Matrix

Interest	Very interested	5					
		4					
	Somewhat interested	3					
		2					
	Not interested	1					
			1 No influence	2	3 Some influence	4	5 Decision Maker
					Power		

6) Stakeholder Role Chart

In theory, a participatory evaluation includes representatives from all stakeholders in all aspects of the evaluation. However, that is not always possible or desirable. If your policy involves marginalized or special needs groups, you need to think about how they should be included in the process. For example, in her booklet “Evaluation with Children’s Participation”, Natasha Kosheleva outlined the following models for including children as stakeholders:¹⁰

¹⁰List from Natasha Kosheleva “Evaluations with Children” (in Russian only)
http://www.ozenka.info/usefuldata/metodics/ocenka_s_uchastiem_detey/368_file_1.pdf

- Not included at all;
- Nominally included, they are a source but other instruments are used;
- Instrumentally included: kids included in the process of collecting info, distributing questionnaires;
- Partnership: At a minimum kids can be actively involved in discussions about their role in the evaluation;
- Kids as co-evaluators: Team evaluation that includes kids and adults and all together agree on partnership;
- Kids do self-assessment, they decide on everything about it.

What: Representatives from all stakeholder groups will be included in the evaluation as respondents. This chart helps you identify their relationship to the process. This should be revised once you have input from all stakeholder groups and finalized based on the resources available.

Why: To help you maximize the quality of your evaluation on the basis of the available resources.

Stakeholder Group _____

	TYPE	Inform	Consult	Partner	Control
STEP					
EOC					
Design and Planning					
Field stage					
Analysis					
Results Presentation					
Promotion					

d) Identifying New Members and Expanding the Group

If the IG decides the EOC should be expanded, the criteria for a stakeholder representative is:

- Be respected by members of the group they are representing;
- Be capable of working well with people they may not agree with;
- Be professional;
- Be objective.

A good English language source for conducting evaluations with children is: Better Evaluation “Evaluation and Children”

https://www.betterevaluation.org/en/themes/evaluation_and_children?fbclid=IwAR3H5tNmUI14MFNN1RVGOwjY8N4Z6xkkxJ89VM3QjagTrEv1P2D29G47igg

Policy evaluation can involve sensitive issues, so it may be difficult to find people from some groups to serve on the EOC such as illegal immigrants, abused women or victims of rape, or HIV+. If that is the case, you must be sure to include someone who is respected by them so you can get the information you need.

Don't forget, if you do not already have someone with evaluation experience working with you, you need to try to find one. Once you have the desired level of participation, the IG is an EOC.

2. Organizing Your Evaluation Organizing Committee (EOC)

The first thing you need to do is get to know each other if you do not already. Any simple ice breaker will do so you can find out who people are, what they do, why they are interested in this PPE, and what they hope to get out of this experience.

Next, most if not all of the people involved in conducting a PPE will be volunteering their time or doing it in the context of jobs where they have other responsibilities. Have all EOC members fill out this form so you can start your PPE contact and availability data base. As your group grows, all new volunteers should fill out this form so throughout the process you have a complete data base of skills and availability:

a) Data Base Questionnaire

Name	
Affiliation	
Contact Information	
Do you have Experience in Evaluation?	
If yes, what kind?	
What skills, knowledge, or information do you have that may be useful in this PPE?	
Which of the following would you like to be involved in?	Organizing_____ Training_____ Designing evaluation_____ Information Gathering: Conduct surveys_____ Conduct interviews_____ Moderate/facilitate group processes_____ Monitoring_____ Analysis_____ Writing_____ Public Presentations_____ Multi-Media_____

<p>How many hours a week or month can you devote to the PPE?</p>	<p>I can devote _____ hours a week _____ or hours a month _____. I am available:</p> <p>Days: Saturday _____ Sunday _____ Monday _____ Tuesday _____ Wednesday _____ Thursday _____ Friday _____</p> <p>Evenings: Saturday _____ Sunday _____ Monday _____ Tuesday _____ Wednesday _____ Thursday _____ Friday _____</p>
<p>Do you have a car and are you willing to transport people?</p>	<p>Yes _____ No _____</p>

b) Partnership

An EOC is based on the following understanding of partnership:

A mutually beneficial relationship where people come together with a shared objective to achieve a specific result. All partners are active participants who contribute whatever they can to this process and strive for mutual respect, openness, and trust. All decisions and agreements made by the partnership will be made collaboratively and transparently through a mutually agreed upon process.

PPEs also reflect the Universal Declaration of Human Rights, so the EOC should review it to make sure their approach corresponds to these principles: <https://www.un.org/en/universal-declaration-human-rights/>

c) EOC Size: The Two Pizza Rule

The goal of a PPE is to reflect as many stakeholder perspectives in as many aspects of the evaluation as possible. HOWEVER, in order for your EOC to operate effectively, we recommend you apply the “Two Pizza Rule”. Jeff Bezos, Founder and CEO of Amazon, came up with this because he believed that an effective team should be no bigger than could be fed by two pizzas, less than 8 people. The more people, the harder to get everyone together. The whole process can break down when people miss meetings. If you have more than seven or eight people on the EOC, you should consider dividing stakeholder groups into teams that have a representative on the Committee.

d) 3 Ps

Because of the diversity involved, you want to approach a PPE organizing committee as if it is a short-term coalition. As in any coalition, there may be people compensated for their work as well as volunteers, so it is important to make sure everyone is clear and comfortable with how the EOC will function. That means establishing principles, policies, and procedures (the 3 P's). Here is an example of the 3 Ps process:

“One of the principles that govern your life is “caution”. The policy for your home is “only open the door if it is someone I know”. The procedure for implementing the policy is if someone knocks on the door, walk to the door and look through the peephole or ask, “Who is it”. If it is someone I know – open the door. If it is a stranger – do not open the door”

Alexey Kuzmin, Director, “Process Consulting”, Moscow

Make sure that all policies and procedures reflect the principles you have agreed on. The policies and procedures established should include:

- How often are you going to meet and when?
- How are you going to make decisions? For example, if the decision is made by voting, you have to decide if it will be decided by a simple majority, plurality or everyone must agree.
- What are the roles within the committee and who is going to fill them?
- What is the process for communication?
- If there is a budget for anyone to get paid, who, and how much?
- How are you going to resolve conflicts?

e) Effective Meetings

Everyone is busy, keep in mind there are only five reasons for holding a meeting:

- To plan future activities;
- To evaluate the results of activities that have taken place;
- To make a decision;
- To provide information;
- To collect information.

Most meetings include several of the above activities. Anything that can be done by e-mail or phone or that does not involve everyone at the meeting, should not be included in the meeting agenda.

To create an effective meeting agenda answer the following questions:

- What is the purpose of this meeting?
- What result do we expect to achieve by the end?
- How many people will be participating?

- Who are they?
- How much time do we have?

When you are putting together your agenda, put announcements and other simple agenda items first. Follow this with issues you need to discuss or decisions you need to make. If there is more than one, cover the easiest first, then address the more difficult or controversial issues and decisions. Save the moderate items for the end. End meetings on time. It helps to remember there are three things that can happen in decision-making. A proposal can be:

- Supported;
- Rejected;
- Delayed to get more information if there is a risk that people will not support the decision because they are not satisfied with the level of debate or information that was available.

f) Communication = Transparency and Effectiveness

In person meetings are essential to insure effectiveness but also to strengthen relationships in the community, another PPE objective. If people are busy, SKYPE can work on a weekly or bi-weekly basis, but you will want to meet face to face once a month.

You should also set up a Whats Up, WeChat, Telegram, or other group chat for the EOC and individual chats for different teams and stakeholder groups.

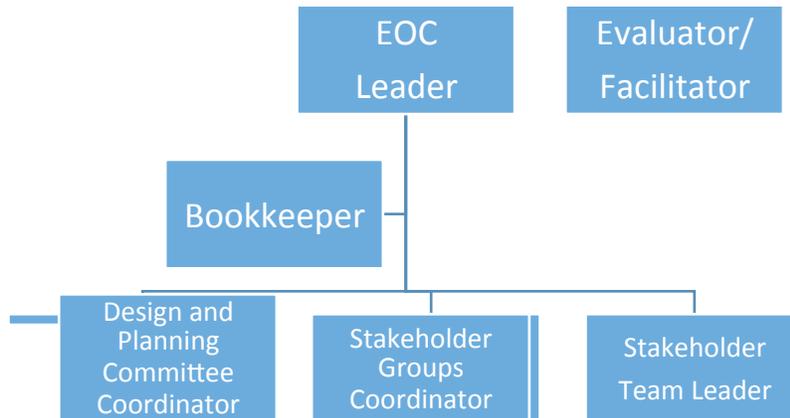
g) Roles and Responsibilities

Finally, you need a management plan, who is in charge of the overall evaluation; who will be responsible for each of the steps? These roles should be decided based on interests, skills, and the time for the evaluation. It is best if the EOC Leader does not have any other role.

Title	Who	Contact Information	Job Description	Additional Info
EOC Leader				
Evaluator/Facilitator				
Stakeholder Team Leader				
Stakeholder Group Liaison				Not on the EOC
Design and Planning Leader	Evaluator/ Facilitator			
Information Gathering Leader				
Analysis and Interpretation Leader				
Report Leader				
Promotion/Distribution Leader				
Bookkeeper				Can be an outside person

h) Organigram

An Organigram can help to visualize the hierarchy for how the EOC will operate. Below is a simple organigram with different possible roles and ways you can organize your process.



i) Checklist Step One IG/EOC

Activity	Done	Notes/Further Action	Not Applicable
6 Key PPE Questions			
Stakeholder Assessment Chart			
Stakeholder Role Chart			
Ice breaker/Introduction			
PPE Implementation Data Base Questionnaire			
Formal EOC established with established roles agreed on.			
3 Ps for how the EOC will operate and this information is available to anyone who asks.			

B) Step Two: Designing and Planning a Participatory Policy Evaluation

1. Designing Your PPE

Feedback on the PPE model from Eurasian Alliance of National Evaluation Association members and NGO colleagues identified six key issues you need to think about when you are designing your PPE. They are how to:

- attract people to help;

- get money to conduct the PPE;
- establish a reasonable time frame;
- gain access to information;
- generate trust in the process among EOC members and other stakeholders;
- avoid politicizing the process.

After Step One, you should have a baseline for the resources (human, financial, material) available for the PPE. It is best to be conservative and develop a plan that you are certain you can achieve based on the resources you know you have.

a) The Foundation

You design your PPE based on:

- The Policy: You may have the advantage of a public document or documents (law, strategic plan, etc.) that tells you exactly what the policy objective is, and that may include how it is going to be implemented and formal “indicators” that have been established top-down. You may or may not have the capacity to evaluate all aspects of the policy or its implementation. Your focus depends on the next three items:
 - Your Objective: Why you are conducting a PPE: to track changes, see how it has affected different groups, see how effectively it is being implemented, assess how much support it has among different groups, etc.
 - Your Resources: Money, human (skills, connections), time.
 - How you are going to use the results: Improve the policy or its implementation internally, attract public awareness to the policy and its implementation, promote change, strengthen good governance procedures, etc.

Prepare a budget that can be revised as the process evolves.

b) The Framework: Your Evaluation Questions

In a policy evaluation, you begin by answering the following:

What questions do we need to answer to understand if a policy and its implementation are effective, and why it is or is not effective?

To formulate a good question you need to think about the following:

- We would really like to know this about the policy or its implementation (what information do you need)
- When we know this information we (how this information will be used)

If you have not already identified a focus for your evaluation, you can use any interactive process, brainstorming, group work, etc. to generate answers to the questions above. If you are going to evaluate a controversial policy or the environment you are working in is not comfortable with evaluations, think about risks when you are deciding on questions. Don't set yourself up for failure or worse. A consensus on final questions can be determined based on the decision making process you have agreed on. The key is to make sure that everyone is engaged in thinking about the policy and how it is being implemented, and can agree on a final list of evaluation questions that can be fully explored with the resources available.

c) The Structure

Once you have your foundation and framework, answers to the following questions will provide the structure for building your PPE:

- What do we need to know to answer these questions?
- Where can we get this information (sources)?
- How can we get this information?
- What is our budget?
- How much time do we have to get this information?
- How many people are available to help us gather the information?
- Taking into account our budget, the number of people and the time available, what tools should we use?
- How much time do we need for analysis, report preparation, and promotion?
- What else do we need to think about from an organizational and technical point of view?

d) Information Collection Methods

The success or failure of your PPE depends on the quality of the information you gather. There are three primary tools used in a standard evaluation process: questionnaires, interviews with key people, and focus groups. A PPE often involves reaching out to people who are afraid to be honest or do not want to participate in an evaluation. Therefore, PPEs encourage the use of more creative methods. It is essential that you understand those concerns and select methods for each stakeholder group that will minimize them. However, do not sacrifice information gathering potential to create a relaxed atmosphere for marginalized groups, children, etc.

Remember a collaborative process should be used in the selection of methods and questions. A small group of people can prepare the draft, but all stakeholder groups should agree on the content to make sure it will provide you with the information you need and is objective, clear, and inoffensive to all groups.

After the team has agreed on the tools and questions, there is one final step before you can launch your information gathering campaign. That is to conduct a pilot test of your tools by giving them to one or two people from each of the targeted groups. Do they understand the

questions the way you intended them to? Are the responses providing the information you expected? Is there any jargon they do not understand? You have one last chance to make any adjustments and ensure you do not waste time and resources on a tool or question that is flawed.

Tool Chart

The following chart is a sample of tools for you to consider. It indicates in what steps the tools could be useful in addition to information gathering.

Tool	IG	EOC	Design Plan	Info Gather	Analysis	Report Prep	Report Promo	Close Out	Promote PPE
SWOT	x	x		x	xx				
Mystery Shopper				x					
Priorities Chart		x		x	x				
Boston Matrix			x	x	x				
Cost Benefit Analysis		x	x	x	x				
Risk Assessment		x		x	x	x			x
Flow chart	x	x	x	x	x	x			x
Problem/Solution Tree	x	x		x	x	x			
Neighborhood mapping		x	x	x					
Photographs				x	x	x	x		
Oral Histories				x	x	x	x		
Spectrum Line	x	x	x	x	x	x			
Patem				x				x	
World Cafe				x					
Drawing and Other Visual Tools				x			x		
Online Surveys				x					

Useful Links for Tools

- **Targeted at young people but good overall tools for standard and participatory evaluation:** UNICEF CEE/CIS Regional Office Meg Gawler, “Useful Tools for Engaging Young People in Participatory Evaluation”, 2005: <https://issuu.com/learneasy/docs/tools-for-participatory-evaluation>
- **Human Rights Focus:** The Danish Institute of Human Rights: Human rights impact assessment guidance and toolbox: <https://www.humanrights.dk/business/tools/human-rights-impact-assessment-guidance-and-toolbox>
- **General:** European Policy Network for School Leadership Toolkit: http://toolkit.schoolleadership.eu/assessment_participation.php

- **General:** United Nations University “Participatory Methods Toolkit: A Practitioner’s Manual: <http://cris.unu.edu/participatory-methods-toolkit-practitioners-manual>
- **General:**Community Based Public Health Policy & Practice, Issue 5, April 2002, p. 5<https://www.scribd.com/document/182220922/Evaluation-pdf>
- **Mystery Shopper:** Academic overview of its use around the world, Steve Jacob, Nathalie Schiffino, Benjamin Biard, The Mystery Shopper: A tool to measure public service delivery?, *International Review of Administrative Sciences*, 1-21, 2016. https://www.researchgate.net/publication/298328655_The_mystery_shopper_a_tool_to_measure_public_service_delivery
- **Boston Matrix:** Developed as a business marketing and sales tool, it is very useful when applied to policy implementation programs or services. <https://www.smartinsights.com/marketing-planning/marketing-models/use-bcg-matrix/>
- **Cost Benefit Analysis:** A good overview: <https://www.betterevaluation.org/en/evaluation-options/CostBenefitAnalysis>
- **Flow Chart:** A good overview: <https://www.smartdraw.com/flowchart/>
- **Spectrum Line:** Included in a toolkit with other useful tools for effective meetings: <https://www.seedsforchange.org.uk/tools>
- **World Café:** Comprehensive methodology: <http://www.theworldcafe.com/key-concepts-resources/world-cafe-method/>
- **Online Survey:** Survey Monkey on-line survey tool site: <https://www.surveymonkey.com/>

e) Sampling

Sampling is the statistical process of selecting a subset (called a “sample”) of a population of interest for purposes of making observations and statistical inferences about that population¹¹. It means selecting members from a target group to participate in your survey or evaluation. We have already talked extensively in relation to stakeholder groups. However, sampling involves looking at broader categories that may influence how people feel about a policy or its implementation. These include age, profession, income, and gender but the categories for your evaluation depend on the specific issue you are looking at. If, for example, the issue involves immigration, you would want to include in your sampling appropriate representation of immigrants and native born people. Or, if it relates to child welfare, people with and without children.

To ensure the validity of your evaluation, you want to strive for a “random representative sample”. What that means is if gender is an important factor and the community has a population that is 45% male and 55% female, you want to make sure your sample has the same representation. If statistics/data for a target group are hard to get, make sure a particular group is not overly or insufficiently represented in the sample because that will skew the result. Another way the result can be unreliable is if you do not make a random selection of people for

¹¹ Research methods for the social sciences: <https://courses.lumenlearning.com/suny-hccc-research-methods/chapter/chapter-8-sampling/>

a sample category. Simple random sampling means anyone from a particular group has an equal chance of being selected. If your policy relates to education, you don't conduct your survey or focus group at one school. Getting a random sample takes more time but the effort means your evaluation will not be vulnerable to charges of stacking the sample for a preferred outcome or that it is meaningless.

You need to answer the following three questions when you are designing your information gathering plan:

- What target groups do we need to evaluate this policy?
- Where can we get statistics/data to make the sample representative. If statistics/data are not available, how can we maximize the chances that our sample is not skewed too heavily towards a particular group?
- How are we going to randomize the selection of representatives?

Useful Links for Sampling

- Evaluation toolkit. The Pell Institute and Pathways to College Network. <http://toolkit.pellinstitute.org/evaluation-guide/collect-data/understand-sampling/>
- "How To": Choose Sampling Techniques for Evaluations. By Tom Mwebaze, School of Economics, Makerere University: <https://ecduganda.files.wordpress.com/2014/08/how-to-choose-sampling-techniques-for-evaluations.pdf>

f) Evaluation Description:

Prepare a short description of the evaluation for anyone interested from volunteers helping you gather information to survey respondents. This handout explains what you are doing, why you are doing it, and how people can get in touch with you if they have any questions about the evaluation or how it is being conducted. When you are evaluating policy, you must adhere to the highest standards of transparency and inclusion.

- A short description of your group
- The policy and its implementation that you are evaluating
- Why you are conducting this evaluation
- Evaluation questions
- How the results will be used
- Contact information

2. Training

One of the biggest constraints to promoting and conducting policy evaluation is a shortage of people with evaluation experience. Increasing your community capacity to conduct evaluations is a huge PPE benefit. Training can also help you identify the best people to work with certain groups and tools. The criteria for deciding who does what during the information gathering stage include listening skills, empathy, ability to develop a rapport, observant, good with people, etc. The one critical characteristic for anyone involved in information gathering is they can be objective and keep their opinions to themselves. If possible, everyone involved in the PPE should be involved in the training as either a participant or a trainer. That includes government representatives. Here are the questions you need to answer:

- What training are we going to provide (basic introduction to evaluation and in the skills necessary for the information gathering methods you will be using, etc.)?
- Who will do the training (members of EOC, NGOs, other local specialists, etc.)?
- How are we going to recruit participants (NGOs, schools, clubs, social media, etc.)?
- When will we conduct the seminars (organize a schedule targeted at the availability of different groups ie. older people during the day, students and working people at night)?
- Where can we conduct the seminars (make sure it is accessible to everyone or that you can provide transportation)?

You want to try to recruit people from all stakeholder groups and age categories so you can outreach effectively to all communities. Chances are you will be asking them to volunteer their time, but in exchange, they will be getting new skills meeting new people and having fun!

3. Planning Your PPE

Once you have answered all of the questions and chosen the tools you are going to use for each of the stakeholder groups, it is time to create a plan. A PPE is a complex management process and most of the people involved will be busy doing other jobs so proper time management is essential.

a) Time Management

Here are a couple of tips:

Tip #1: At the start of every day, anything you need to do that takes less than three minutes, just do it!

Tip #2: Eisenhower Matrix¹²

Use this chart to organize your weekly tasks. If you plan properly nothing will end up in “Important and Urgent”. Getting things done at the last minute increases the chances of making a mistake and/or decreases the quality of what you are doing. Also, delegation, be realistic about what you can do and surround yourself with people you trust who are as capable.

A) Important and Urgent <i>Tasks you do immediately.</i>	B) Important not Urgent <i>Develop a plan to get it done before it moves to box “A”</i>
C) Not Important and Urgent <i>Tasks you can delegate to someone else.</i>	D) Not important and Not Urgent <i>Tasks you can eliminate.</i>

There are four primary elements to ensure your PPE plan will be completed successfully.

b) PPE Calendar Plan

Remember to be risk averse, assume that anything that can go wrong, will go wrong. It is better to finish early than late so build in extra time, if you think it will take one week, put two weeks in the calendar.

Week	EOC Meetings	PPE Design and Planning	Training	Info Gathering & Monitoring	Analysis	Report Prep	PPE Results Promotion	PPE Evaluation And Celebration
1								
2								
3								
4								
5								
6 etc.								

¹²Dwight D. Eisenhower, 34th President of the US and five-star general who served as the Supreme Commander of the Allied Forces in Europe during World War II, and was responsible for planning and executing invasions of North Africa, France, and Germany.

c) Information Collection Plan

Stakeholder Group/Responsible Person	Sample (s)	Method(s)	Resources Required	Team	Date Start/Finish	Expected Results	Risks/What can go wrong?
Stakeholder Group A		a) b) c)					

d) Monitoring Plan

A PPE involves a lot of moving parts so you have built in extra time to accommodate anything that goes wrong. Now, you need to establish a monitoring plan so that you can quickly identify and respond to any problems with your evaluation.

The evaluator or someone with evaluation experience should be in charge of monitoring as the lead evaluator. They establish a system of reporting that will depend on the size of the evaluation team. If it is smaller, evaluators can report to the lead evaluator after each event. If the evaluation has a more expansive outreach, team captains can be getting reports from evaluators and then report to the lead evaluator. Here is a list of what you need to be monitoring:

- Time, are the activities being conducted according to the schedule? If not, why not? Do they need someone else to help? Is the problem with getting participants?
- Are the quotas being met for surveys? If not, what are the problematic groups and how can you access them?
- Are key information subjects agreeing to participate? If not, why not and are there alternative sources?
- Are all the tools working as planned (getting you the information you expected and need)? If not, why not? Is the problem the evaluator or the tool? Is there a problem with a specific group, or is there a broader problem?
- Are the people responsible for research on statistics and other primary sources able to get access to the information they need? If not, why not?
- Is there some indication of corruption, serious mismanagement, faulty reporting, or theft? If yes, how should the evaluator or the evaluation proceed? What are the risks?

You also want to provide a contact number or e-mail address so participants can provide feedback to the lead evaluator, team captain, or the EOC if they have a complaint or question.

Were they uncomfortable during the evaluation, did they feel pressure from the evaluator to support a specific outcome, was the evaluator or another participant disrespectful, etc.?

The lead evaluator is responsible for doing what is necessary to address any problem that comes up. Other members of the EOC should be available for consultations or to help in any way that is necessary.

Monitoring Chart (This can be set up online so evaluators can fill it out and the information is available to everyone):

Evaluator	Target Group	Location	Method	Date start/finish	Expected Result # Respondents	Results (quota met, other comments about tool or group)

e) Information and Data Reporting Plan

The analytical team, lead evaluator, and evaluators responsible for using each tool need to establish a timeline and format for the information and raw data to be provided for analysis. Everyone needs to agree on the degree of detail required for interviews, focus groups and other interactive tools. Ideally, there is a recording but full transcripts may not be necessary if the evaluator can summarize all relevant responses and provide direct quotes that add depth and detail. The evaluator should also add their own observations about the behavior of the participants and any other commentary they think is relevant. It needs to be decided if evaluators conducting surveys hand the raw data into the lead evaluator or the analytical team to calculate or do it themselves. This may depend on the sample size and the sophistication of the program that will be used to analyze the data.

4. Implementation: DO NOT FORGET A PPE SHOULD BE FUN!

a) Information Gathering Launch Party

The value of your PPE depends on what happens during the implementation period and the quality of the information you are able to gather. Those two things depend on the people you have attracted and trained to conduct this work. An information gathering launch party can be a great team builder and motivator. It also promotes the partnership and community capacity building that is one of the benefits of a PPE. It can be a tea and coffee get together, a fun team-

building event, or an interactive evaluation review session followed by a social hour. Be creative.

b) Checklist Step Two Designing and Planning

Activity	Done	Notes/Further Action	Not Applicable
Prepare a budget			
Evaluation questions			
Information collection methods identified			
Sampling identified			
Pilot test questions and methods			
Training organized			
PPE Calendar Plan			
Information Collection Plan			
Monitoring Plan			
PPE Description Handout			
Information and Data Reporting Plan			
Information Gathering Launch Party			

C) Step Three: Analysis, Interpretation, and Validation

The quality of your information gathering team must be matched by your Analytical Team (AT). The core group should be small and include people who have experience in analyzing information. If there is a University nearby, there may be students or teachers interested in helping or an expert on the policy you are evaluating. It is critical that the evaluation is data driven and that requires objectivity. Not all experts are capable of that. One of the advantages of a PPE is that stakeholders have a chance to give feedback on the conclusions before the final report. The AT does not generate the final report. They present the analysis, conclusions, and recommendations to the person you have identified as the best writer who will produce the report.

1. Analysis Components

a) Review Methods and Sources

This helps the team process the extent and quality of the information you have and decide how the team is going to work with it. Remember with a PPE there may be photos, drawings, videos or descriptions of interactive processes in addition to the traditional statistics, focus group transcripts, and interviews. How you divide up these tasks depends on the size and competencies of your group. Results are presented and

discussed with group members before they are written up and provided to stakeholders for feedback.

b) Findings

This will include both quantitative and qualitative information.

c) Explanation

Here you explore relationships between the facts and the other information you have received and find meaning and causality. You triangulate, meaning find more than one source to support your finding.

d) Conclusions

Remember the evaluation questions you identified at the beginning of the PPE? This is where you provide the answers. What worked and what didn't, what could be improved, and what should be eliminated. If you are looking at both a policy and its implementation, you need to make sure you are clear about causality, bad policy or bad implementation?

e) Recommendations

Based on the answers to your questions, what should be changed about the policy or its implementation, if anything? How should it be changed? The argument for your recommendations should always be clear and based on the information you have provided. Where you are making a judgment call based on the preponderance of the evidence rather than certainty, make that clear. You also need to prepare your recommendations on the basis of who you are writing for and how you plan to use the evaluation.

2. Process

a) Analyzing Quantitative Data

Both of the approaches described below involve two phases: mathematical processing and interpretation.

The most basic approach is "descriptive analysis", where you present the most relevant statistics in simple graphs.

A more complex approach for data analysis includes methodology for analyzing probability and correlations, regression, cluster, and factor analysis.

Even the most complex data analysis is not complete without giving it meaning and context and that must come from other sources that provide background and qualitative information.

b) Analyzing Qualitative Data

Here, the key is categorization so you can work with what may be a very diverse set of data. These categories can help you look for cause and effect relations, opinions or observations that back up your quantitative data, and assigning weight (significance or reliability) to the information and its source.

If you can triangulate your quantitative results with qualitative information, you will not only answer your evaluation questions but defend your conclusions and recommendations.

c) Testing your Thesis

Once the AT has developed its conclusions and recommendations, you should share them with the EOC for feedback and questions. When you have responded to their issues, you should share them with a very select group of stakeholders. You need to be careful how you frame the purpose of the feedback you are inviting from them so you manage their expectations. They need to understand that you are not interested in whether they agree or disagree, but what facts or information can they provide that can improve or challenge the validity of the conclusions and recommendations.

d) Coming to Consensus on Results

If for whatever reason the AT, a stakeholder, or policy expert cannot agree, then the EOC must come to a consensus based on the preponderance of the evidence. If there continues to be strong disagreement, you can include that in your final report as “no conclusion” or continue to present your conclusion and recommendation along with a description of the dissenting opinion.

Remember, the AT report is not the same as the final report that is prepared for a specific target audience depending on how you have decided to use your PPE.

e) Triangulation

1) Observation

Look at this picture. How would you interpret the amount of snowfall?

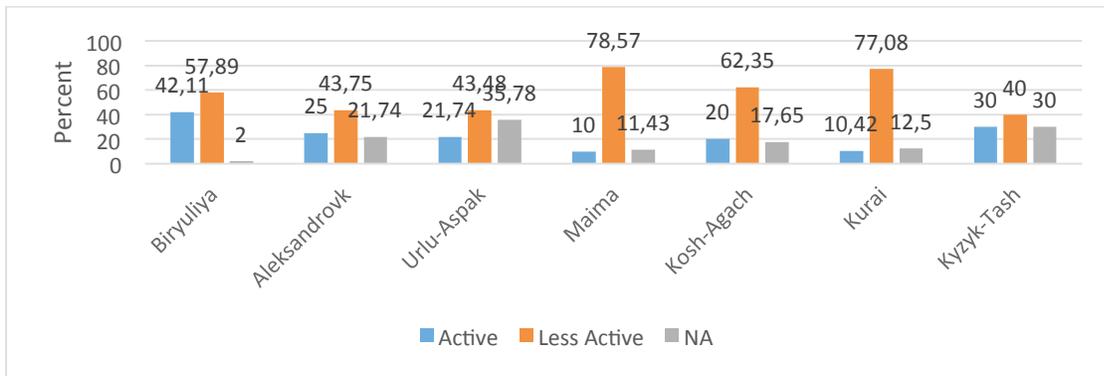


At first glance, it looks like a lot. Then, you see the road is clean so the snowbank was created by a snowplow. To give the picture meaning in relation to snowfall, you need to go to another source that can provide statistical and comparative data.

2) Statistical

The following graphs are based on 2006 data from the Altai Republic in the Russian Federation. The goal of the survey was to determine the potential impact of the new national local-self-governance policy (Law #131). Mayors and District Heads agreed to full access because an expert who was respected throughout the Republic headed the research. To increase the chances that people in remote villages, and district centers would participate, a multi-generational team (students, pensioners, middle aged experts) was put together to ensure low refusal rates.

How would you describe how involved you are in the development of your village?

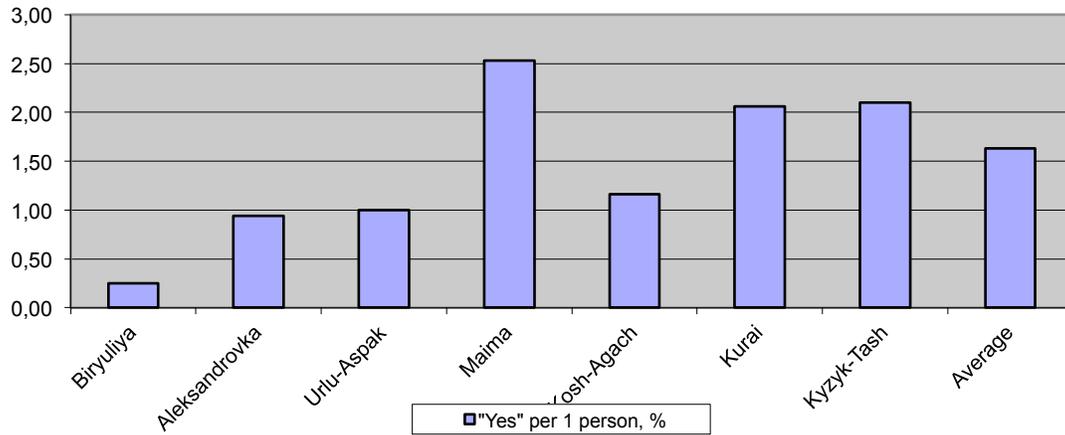


Based on this chart, the most active people are in Biryuliya and the least active are in Maima.

Analysts were skeptical of this result because they knew that Maima had been conducting a program to stimulate citizen participation for several years. Either that program failed, or

something was wrong with the interpretation. They triangulated by looking at another question:

Number of activities that residents participated in during the year (average per person)



Here we see the opposite; Maima has the most active residents and Biryuliya the least. How would you interpret that?

The conclusion reached by this AT was the answers reflected a psychological factor. In Maima, people who participated in 2 events did not feel active because there were so many activities. People in Biryuliya who attended one of the two events held throughout the year, considered themselves active. The conclusion was the best way to increase citizen participation is to provide them more opportunities to be active.

Checklist Step Three Analysis, Interpretation, and Validation

Activity	Done	Notes/Further Action	Not Applicable
Establish an AT			
Review methods and sources			
Analyze Your Quantitative Data			
Analyze Your Qualitative Data			
Triangulate			
Prepare draft conclusions and recommendations			
Get draft feedback from EOC and revise as necessary			
Get Feedback from stakeholders			
Come to consensus if necessary and finalize your conclusions and recommendations.			

D) Step Four: Preparing and Promoting Your Results

1. Preparing Your Results

a) How do you want to use your evaluation?

The format or formats you choose for the PPE report and how it is promoted depends on how the EOC decides to use the results. That, together with what you learned from the evaluation, will help you target your approach to maximize the impact.

If you want to use it to change the policy, your target could be government, citizens, other community institutions, NGOs, businesses, or the community as a whole. The information you got from the evaluation should help you understand how to do that most effectively, including who can give you what to effect change.

If you want to create awareness about the policy, then who needs to be made aware and how can you best reach them?

If you want to improve the policy implementation, your report should be targeted at people who are involved in implementation as well as those who make decisions concerning the implementation.

b) Formal Reports

The characteristics of a good report are:

- Well organized;
- Clear, simple language;
- Comprehensive;
- Economical (no longer than it has to be).

The challenge in a PPE report is doing all of this while capturing and presenting the many perspectives that enlightened your evaluation.

The classic format includes:

- Title page (subject of the evaluation, information about the people who conducted it, contacts, and report date)
- Table of contents
- Summary of the Evaluation
- Introduction (information about the policy, it's history and implementation strategy, other relevant information)
- Information about the evaluation (goal, how the information in the report will be used)
- Methodology
- Data Analysis
- Conclusions
- Recommendations

- Attachments with supporting material

When you are presenting your conclusions and recommendations for a PPE, start with the positive and be respectful. If you start with criticism, you may decrease the chances that you will be able to promote change or awareness to the people who can help you or who need it most. An example of this is how a coalition of public associations in Tajikistan formulated their evaluation report on discrimination against women. It begins with a short but comprehensive introduction describing who conducted the evaluation, how they did it, and why. Then, each category of the evaluation began by presenting “achievements” followed by “problems” and finally “recommendations”. Think about how differently you will receive the information or even if you would bother to finish reading it, if it began with “problems”? If your evaluation is going to have a greater impact if you keep some information confidential, then do that.

c) Other Formats or Media

Depending on how you want to use your evaluation, your budget, and ability to mobilize creative volunteers, you may choose to have two or three different formats to present your results. For example, a formal report for government, a video on social media to reach young people, a power point presentation for public gatherings, a brochure available at places where a marginalized group goes. Make sure it is available in all languages spoken by people affected by the policy.

Be creative, tell a story, use visuals, make it interesting and accessible regardless of the format or how much will be made public. Don’t just give numbers, give context, and meaning, use the numbers to tell a story about the policy and how it is working or not. The two criteria for choosing the format or media you are going to use are maximizing the report’s impact and the resources available.

A wealth of on-line resources are available to help visualize your report, some are shareware. Here is one example of a story map using ArcGIS: <https://urbanobservatory.maps.arcgis.com/apps/Cascade/index.html?appid=b3e4185b474b4949b56b29c6631ef16a>

2. Promoting Your Results

Be sure that anyone who helped or participated in the evaluation can find out about the results. In a PPE, how you promote your results, like everything else, depends on the impact you want the evaluation to have and how best to achieve it. If the results are impressive and the whole PPE process was positive, then you might consider presenting them at a press conference or a town meeting. If the results are compelling but challenge what powerful stakeholders want to be the true, then you might consider having a closed meeting with them to present and discuss the conclusions and recommendations.

You or someone you are working with knows the community very well, so you have an opportunity to be creative and more impactful. Develop a plan to continue to build on the attention and connections generated by the evaluation. After you have presented the results, how are you going to use the evaluation, what's the next step? Do you want to hold a round table to discuss the results, or set up individual meetings with stakeholder representatives to talk about how the policy could be improved based on the evaluation?

3. Checklist Step Four Preparing and Promoting Your Results

Activity	Done	Notes/Further Action	Not Applicable
Finalize how you want to use the evaluation			
Choose a format (s)			
Produce the evaluation report (s)			
Develop a plan for distributing and promoting it			
Identify next steps and a plan to continue to use the evaluation.			

E) Step Five: Wrapping Things Up

A successful PPE leads to a useful evaluation and increased awareness, interest, and capacity to conduct evaluations in your community. Here is how to build on that.

1. A Thank You Party

Throw a party for everyone who helped conduct the evaluation and all or some of the people who participated in it. In addition to having fun you can:

- Thank everyone and recognize their efforts.
- Introduce the idea of next steps for engagement with the policy and/or promoting evaluation and see who is interested.
- Evaluate the PPE process.

2. PPE Process Evaluation¹³

After a PPE, you want feedback on what new skills people gained, what new partnerships were established, and how they will be used in the future. How can you improve the process for evaluators, for participants, overall? If you have a chance to get people together, conduct a collaborative evaluation.

3. Goodbye to the EOC

The agenda for the final meeting of the EOC should include:

- Analyzing the results of the process evaluation.
- Making sure everyone who should have received a copy of the evaluation received it.
- Making sure that everyone who should be thanked was thanked.
- Settling all accounting issues.
- Making sure all the evaluation materials are safely archived.
- Next steps for engaging with the policy. Did the evaluation provide information that can be used to improve the policy or its implementation? If yes, is there interest in organizing a campaign to promote those changes? What about interest in continuing to develop and promote evaluation? If yes, see Section III for how to start organizing.

4. Checklist Step Five: Wrapping Things Up

Activity	Done	Notes/Further Action	Not Applicable
Thank You Party			
Evaluate the PPE Process			
Final EOC Meeting			
Form a new coalition or IG			

¹³ We recommend the following tool: Alexey Kuzmin, Participatory Training Evaluation Method (PATEM) as a collaborative evaluation capacity building strategy, *Evaluation and Planning* 35 (2012) 543-546. https://www.researchgate.net/publication/221885578_Participatory_Training_Evaluation_Method_PATEM_as_a_collaborative_evaluation_capacity_building_strategy

Part III. Citizen-Centered Advocacy Campaigns: Developing and Promoting Evaluation¹⁴

A) Challenges

Part Two gave you a step by step approach to conducting a comprehensive PPE, **but what do you do if any form of evaluation is still under-developed or rarely conducted in your country?**

Our colleagues in Ukraine conducted a focus group to discuss the capacity for evaluation in their country. The resulting list of challenges is a common constraint to conducting evaluations in all developed and developing democracies.

- 1) Resistance
 - a) No political will (desire to control, protect interests);
 - b) Fear;
 - c) Do not understand what an evaluation is.
- 2) Evaluation is donor-driven, limited demand or interest from the people.
- 3) Not enough evaluation experts or people with experience.
- 4) Lack of evidence that evaluations serve a useful purpose.

Demanding an evaluation of or by an entity that has more power or is equal in status to you doesn't work. Eurasian Alliance members have used a variety of approaches and activities to address the problems listed above and promote evaluation. These include electing an evaluation expert to Parliament in Kyrgyzstan who was able to increase awareness. In Russia, an AIDS organization conducted regional meetings bringing together Health Dept. officials, patients, NGOs, and doctors to assess the policy. In another case, a coalition of NGOs, government agencies, and a private foundation developed an instrument to provide an expert evaluation on the implementation of a law governing institutions for orphans and children without parental care. In Tajikistan, an evaluator with expertise in agriculture organized a public/private dialogue so that all stakeholders could provide feedback on agriculture reform. In Kazakhstan, increased government support for social contracts and grant competitions for NGOs has led to a memorandum on cooperation between the Ministry of Information and Social Development of the Republic of Kazakhstan and a civil society development NGO.

Here we are going to focus on a strategic approach to promoting evaluation by organizing a citizen-centered advocacy campaign.¹⁵ Creating a campaign relies on many of the same

¹⁴ For more information see Alexey Kuzmin, Evaluation Capacity Building Strategy: Towards a Mature Profession, United Nations Development Program, National Evaluation Capacities: Proceedings from the International Conference, 2009, p. 112-117.: http://web.undp.org/evaluation/documents/NEC/nec_proceeding_2009.pdf

¹⁵ Based on material from the Northeast Action organization that was provided during a seminar conducted by Dr. Janice Fine, 2002, Novosibirsk, Russia. For a more detailed resource, see Lisa VeneKlasen and Valerie Miller, A New Weave of Power, People & Politics: The Action Guide for Advocacy

principles and utilizes the same strategies as a PPE, including capacity building by creating opportunities for people to meet and work together.

There is no magic bullet, no quick fix, but you have a foundation of stakeholders that can be organized to develop and implement a strategy that over time will make evaluation a part of your governance structure. It begins by simply reminding people that:

Evaluation is not:

- A pass/fail grade
- An element of control
- Indicators
- A test
- An exam
- An inspection
- An audit

Evaluation is:

A strategic tool that will help ensure that a policy achieves its intended objectives. It is useful to beneficiaries of a policy because it improves the environment they live in or the services they receive. It is useful to the people implementing or supporting a policy because it can let them know what is not working so they can improve it before there is public criticism.

B) Organizing a Citizen-Centered Campaign

1) Organizing Basics

a) Citizen-Centered Advocacy Approach

- Oriented on improving quality of life and increasing citizen participation in that process;
- Being “for” something not “against” something;
- Each step has a clear, reasonable goal;
- Key indicator, how many people support the campaign and is the number growing after each action;
- Strong but non-aggressive actions.

and Citizen Participation, Stylus Publishing, March 2007. (Chapter5 provides an overview). <https://justassociates.org/en/resources/new-weave-power-people-politics-action-guide-advocacy-and-citizen-participation>

b) Strategy is

- Your core analysis of the problem you want to address;
- A clear sense of the goal you want to accomplish;
- A clear understanding of who has the power to get you what you want;
- A clear understanding of what power you have and how to concentrate it for most effect.

c) What is a tactic?

Specific activities that:

- Contain a specific type and amount of power;
- are directed at a specific target and;
- intended to achieve a specific objective.

d) What is a “campaign”?

- A series of tactics deployed over a specified period of time. Each tactic makes your organization or coalition stronger and brings increasing pressure to bear on the target until they give you what you want;
- All tactics are connected, and each one is chosen on the basis of how much power it will require to pull off and how much pressure it will really bring on the target to give in;
- A campaign is not endless -- it has a beginning, middle, and end; it ends in a specific victory, people get something they wanted/needed and didn't have before and/or someone (the target) agrees to do something they previously refused to do.

e) A campaign strategy involves asking five questions

- What are our long and short term goals?
- What are our organizational strengths and weaknesses?
- Who are our potential allies?
- Who has the power to give us what we want?
- What tactics can we use to apply our power and make it felt by those who can give us what we want?

f) Four Principles of Campaign Organizing

- Win concrete improvement in people's lives;
- Make people aware of their own power;
- Alter power relations;
- Strategic patience.

g) Power Matrix

The Power Matrix and SWOT Analysis tools in Part Two Step One can help you answer some of these questions.

h) Factors to consider when developing a strategy

- Context;
- Timeliness (maximize the opportunity for a good result);
- Organizational strengths and weaknesses;
- Risk.

i) What is a good campaign issue?

An issue is a solution to a problem. The criteria for a good campaign issue includes:

- A wide section of the community is interested in the issue
- People feel deeply about the issue
- Easy to understand
- Strengthens the organizations in the coalition and the coalition
- Provides opportunities for the development of new leaders
- Promotes respect and awareness of legal issues
- Allows for a clear political and legislative solution
- Attracts financial, human, and material resources to support it
- Sets you up for the next issue
- It is winnable

j) Who is who in campaign organizing

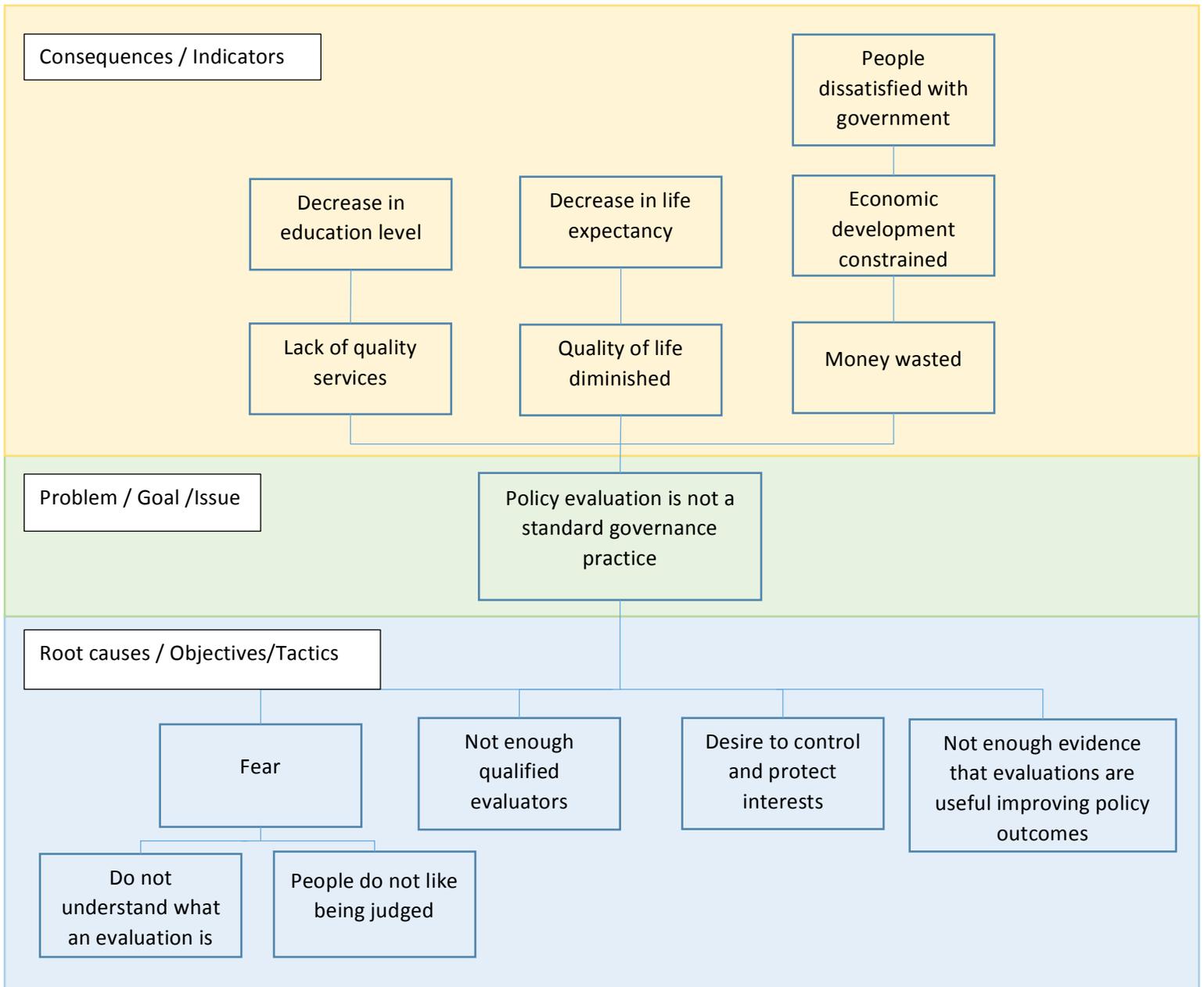
Constituents	Allies	Opponents	Primary target or decision maker?	Secondary target?
People who support you and are willing to take an active role in your coalition or organization.	People who support you but who, for whatever reason, are not potential members of your group or coalition.	Those who are against you. Your task is to develop a strategy that changes their position or at least keeps them from becoming active against you.	The decision maker, the person or persons who have the power to give you what you want.	A person who can influence your primary target and who is more accessible to you than your primary target.

C) Designing a Campaign to Promote Evaluation
1. Problem/Solution Tree¹⁶

This was created as a project development tool. However, it is a great way for a group or coalition to map out a campaign strategy. In the center, you place the tree trunk or problem you want to address. Under the trunk, are the roots of the problem that you identify by asking “why do we have this problem?”. The roots of the problem extend down as you ask “why” for each of them. The tree branches represent the consequences of the problem. These are identified by filling in “X”: Because of this problem, X is happening...

The Solution Tree appears when you flip the problem, roots, and consequences from negative to positive. This is where your strategy emerges with the Problem/Solution your issue and long term goal, the roots become objectives or tactics, and branches are indicators.

Here is a sample Problem Tree for evaluation:



2. Steps

The following are the steps for developing a citizen centered campaign using evaluation promotion as the subject:

- Identify a problem: Policy evaluations are not conducted.
- Turn it into an issue: You can identify the issue by flipping the center of your Problem Tree to a positive and you get “evaluation is a standard governance procedure” and that serves as your long term campaign goal. The roots identify possible short and midterm tactics that will help you achieve your goal.
- Analyze your resources (human, financial, material).
- Identify tactics based on your resources. Our Tree provides us with a wide range of tactics you can choose. Depending on your interests and the resources available, you could choose to conduct a training program. By including representatives from government and business, you will also increase awareness, understanding, and support for your overall goal. Or, you could choose “evaluations are useful improving policy outcomes” and identify a specific policy or element of its implementation that you have the capacity to evaluate.
- Identify your target/decision maker/the person who can give you what you want, and maybe a secondary target. If, for example, you are interested in evaluating a health care issue, the regional Minister of Health may be the target. If you don’t have access to the Minister but know someone who has contact with the most respected Doctor in your community, that could be your secondary target and the focus of your tactic to conduct an evaluation.
- Develop and conduct actions related to achieving your short term goal.
- Evaluate the results
- Celebrate your win
- Develop a plan to build on your win by identifying your next issue/tactic as you move towards your ultimate goal.

3. Organizing Chart

Goal	Organizing Analysis	Constituents, Allies, Opponents	Target/decision maker
1. List your long-term campaign goal/issue. What determines victory? How will the campaign: a) Achieve concrete improvements in people's lives?	1. List the resources: money, people, opportunities, facilities, reputation, etc.	1. Constituents/Allies, a) Who is this issue important to? b) What do they get if they win? c) What are their	1. Primary target a) Learn everything you can about the specific person who can give you what you want. b) How can you influence them to

b) Give people an awareness of their own power? c) Change the power dynamic?		risks? d) What power do they have over the target?	support your issue?
2. Identify intermediate campaign issue/tactics and the actions you will use.	2. What do you need to make your coalition stronger: a) Increase the team of leaders. b) Increase the number of supporters. c) Increase financial support. d) Other	2. Opponents a) Who are your opponents? b) Why are they against? c) How much are they against? d) Who can influence them?	2. Secondary Target a) Why will they support your campaign? b) How can they influence the primary target? c) What can you do to help?

Tactics	Research	Expected Results Quantitative and Qualitative	Main message (slogan)
- Must match context; - Be flexible and creative; - Should be aimed at a specific target; - Must be clear; - Must be supported by a specific form of influence.	1. What do you need to know about your issue that you do not know? Where and how do you find that information, who can help you find it? 2. What research will help you create an effective strategy? 3. What research will help you develop an effective message to tell people and targets about the importance of the issue and the logic and value of what you are proposing?	1. For the campaign 2. For each tactic 3. For each action	1. How will you describe your issue in the media and for the general public? 2. How will you tell about your solution to the problem to the media and the public?

You and your colleagues are probably already doing many of the activities that would be characterized as campaign tactics. What we are suggesting here is to think strategically so that

year by year you are eliminating one or more of the constraints to making evaluation a part of your governance structure and improving the quality of life in your town, region, and country.¹⁷

Conclusion

We wanted to end with a final checklist of the five critical PPE characteristics:

- Focused on improved quality of life for all;
- Oriented towards increasing stakeholder involvement;
- Organized, strategic approach;
- Clear and transparent management;
- Respect for the human rights, dignity, and diverse opinions of all participants in the process.

Regardless of the size of your PPE, if you adhere to these characteristics you will not only contribute to improved public policy outcomes, but increased capacity for evaluation in your community.

Be bold, be patient, have fun, and good luck!

¹⁷For another approach to evaluation advocacy see EvalPartners “Advocating for Evaluation: A toolkit to develop advocacy strategies to strengthen an enabling environment for evaluation: https://www.evalpartners.org/sites/default/files/toolkit/UNICEF%20NY_Advocating%20for%20Evaluation_Web_E N.pdf