Department for International Development

UKaid
from the British people

Search for Common Ground

Back to Basics

A Compilation of Best Practices in Design, Monitoring & Evaluation in Fragile and Conflict-affected Environments

Principal Author
Vanessa Corlazzoli and Jonathan White
Search for Common Ground

Date:
March 2013

Practice Products for the CCVRI

Improving Measurement in DFID Crime, Conflict & Violence Programming

This document is one of a series of Guidance Products developed under the *Results Initiative in Conflict, Crime, and Violence Programming* within DFID. The full set of products is intended to support DFID country offices and their partners to develop better measures of programme results in difficult conflict and fragile environments.

DFID recognises the need to focus on the *results* of its work in developing countries. To this end, DFID strives to account better for our efforts on behalf of UK taxpayers, offering clarity regarding the value and impact of our work. The Results Initiative operates under the assumption that we will achieve our development objectives with our national partners more effectively if we generate—collectively—a clear picture of the progress being made.

Within DFID, the Conflict, Humanitarian and Security Department has established a partnership with a consortium of leading organizations in the fields of conflict, security and justice to develop more effective approaches to the use of data in the design, implementation and evaluation of programmes that contribute to reducing conflict, crime and violence.

In addition to producing these Guidance Products, the consortium has established a Help Desk function to provide direct and customized support to country offices as they endeavour to improve measurement of results in local contexts.

The Help Desk can be accessed by contacting helpdesk@smallarmssurvey.org.

The views expressed in this Practice Product are the sole opinions of the authors and do not necessarily reflect the opinions of all consortia partners. This Practice Product does not reflect an official DFID position.

Members of the consortium

Document Summary

Document Title:

Back to Basics: A Compilation of Best Practices for Design, Monitoring, & Evaluation in Fragile and Conflict-affected Environments

Purpose and intended use of this document:

This practical guide focuses on the key elements of programme design in fragile and conflict environments, and what steps need to be taken to ensure that effective monitoring and evaluation processes are built in from the start. It covers guidance and best practices for designing and implementing monitoring and evaluation systems and processes.

It is meant to be a compilation of existing best practices, critical information, practical tips and further resources for all stages in programme cycles operating in fragile and conflict-affected environments.

Key questions this document addresses:

- What are the best practices throughout the programme-cycle?
- What are the tools and concepts used in programme design, monitoring and evaluation?
- What are the key tools to keep in mind when designing a programme?
- What should I monitor and when?
- What are the best approaches to planning an evaluation?
- Where can I turn to if I need more detailed information?

Key messages/essential "take aways":

Conflict-affected and fragile environments can change quickly. This makes it all the more important that programme design is flexible, thoroughly thought through, and can adapt in the face of a changing environment. To do so, design and implementation requires sound conflict or context analysis strategies, a conflict sensitive approach, and the mainstreaming of gender.

Robust monitoring practises that go beyond collecting data against indicators must be set in place. This includes revising indicators, logframes and theories of change if the context and conflict have changed. Robust monitoring strategies may also include monitoring for implementation, learning, quality programming, risk and value for money.

Rigorous evaluation that balances accountability and learning is all the more essential given the still-maturing evidence base of 'what works under what conditions' and the need to demonstrate quality, impactful programming in both upwards and downwards accountability. Rigorous evaluations can only take place if they are well-budgeted and planned. This includes having detailed discussions with key stakeholders on the scope and purpose of the evaluation, including evaluation criteria and lines if inquiry.

Finally, it is important to share and use the findings of evaluation reports and program learning. This will enable DFID staff and implementing partners to implement better programmes that contribute to building peaceful communities and societies.

Intended audience of this document (including assumed skill level):

The primary audience of this document are DFID advisers and Monitoring and Evaluation Technical staff designing or implementing programming or strategies in fragile and conflict affected states (FCAS) who would like a refresher on basic design, monitoring and evaluation best practices. This guide has been updated to include the latest intellectual conversations and trends on these subjects. The secondary audience are implementing partners in FCAS.   This document is probably not useful for individuals with a high level of technical expertise in monitoring and evaluation.

The document assumes some basic knowledge of design, monitoring and evaluation. It can be read either from start to finish, or as independent sections.

Key topics/tags:
Best practices; design; monitoring; evaluation; conflict assessment; conflict sensitivity; logical frameworks; evaluation planning; gender mainstreaming; conflict and fragile environments; tools; OECD-DAC.

Authors and their organizations:

Vanessa Corlazzoli, Search for Common Ground
Jonathan White, Search for Common Ground

We are grateful to Search for Common Ground's Research Assistant, Valerie Oliphant, as well as expert reviewers: Rachel Goldwyn (CARE International UK), Tiffany Law (SFCG), Shiva Dhungana (SFCG), Kelsi Stine (SFCG), Michael Shipler (SFCG) and Issaka Traore (SFCG).

Cross-references to other documents in the series:

Bayne, Sarah. *M&E of Integrated Peacebuilding and Development*. DFID: Department for International Development, 2013.

Corlazzoli, Vanessa, and Jonathon White. *Back to Basics: A Compilation of Best Practices in Design, Monitoring & Evaluation in Fragile and Conflict-affected Environments*. DFID: Department for International Development, 2013.

Corlazzoli, Vanessa, and Jonathon White. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part II: Using Theories of Change in Monitoring and Evaluation*. 2012.

Goldwyn, Rachel. *Making the Case for Conflict Sensitivity in Security and Justice Sector Reform Programming*. DFID: Department for International Development, 2013.

Goldwyn, Rachel and Diana Chigas, *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions*. DFID: Department for International Development, 2013.

Woodrow, Peter. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part I*. 2012.

Table of Contents

Introduction

Design, Monitoring and Evaluation (DM&E) of peace & conflict and security & justice programmes pose numerous challenges. Best practises, though long established and indeed accepted at the institutional and field-wide levels, are often lacking or missing altogether.[1] In situations of conflict and fragility, the need for best practises is further accentuated with the very real possibility of causing harm or exacerbating conflict.

The integration of best practises throughout the programme cycle is even more challenging in situations of conflict and fragility despite the heightened need for such practises. This guidance therefore seeks to outline best practises in the design, monitoring and evaluation of programmes spanning the width of peace & conflict, and security & justice, while highlighting the unique challenges, opportunities and lessons learned of the best practices in situations of conflict and fragility (also referred to in this document as fragile and conflict affected states, FCAS).

Perhaps one of the most common critiques of programme design, monitoring and evaluation processes and tools is their linear nature, which some view as incompatible with non-linear social change.[2] Worse yet and taken a step further, some in this perspective may hold that linear DM&E tools represent "a strong bias of western modes of thought that is inappropriate in the diverse and variegated community contexts" in which the work occurs.[3] The perception of incompatibility is reinforced by the emergent and dynamic nature of conflict and fragile environments, where systems, dynamics, actors and relations are near-constantly shifting. While it is beyond the scope of this guidance to respond to such arguments in detail, it is nevertheless important to note such critiques and endeavour towards finding creative ways to overcome these challenges.

Certainly, conflict-affected and fragile environments can change quickly. This makes it all the more important that your design is not only flexible and thoroughly thought through, but that it can also adapt in the face of a changing environment—and to do so your design and implementation requires sound conflict or context analysis strategies and robust monitoring practises. Robust monitoring strategies are therefore required to accommodate such environments and the risks they pose. Rigorous evaluation that balances accountability and learning is all the more essential given the still-maturing evidence base of 'what works under what conditions' and the need to demonstrate quality, impactful programming in both upwards and downwards accountability.

The best practices, tools and principles outlined herein can be used to infuse quality throughout the programme cycle. They are fundamentally linked together. Using one by itself does not guarantee sound, relevant and impactful programme DM&E – nor, for that matter, does using them in conjunction with one another. The quality in which the principles are applied and interlinked in the design, matters. Indeed, the use of multiple tools in conjunction with one another to verify, reinforce and adapt the programme design to the dynamic environment is a common theme throughout this document.

Ultimately, these are just tools and principles. The devil is in the details; in other words, their application. It is the application of the tools, principles and best practices for design, monitoring and evaluation, and the nuance of doing so in conflict-affected and fragile environments, that is the focus of this handbook.

---

1 *Evaluating peacebuilding activities in settings of conflict and fragility improving learning for results*. Paris: OECD-DAC, 2012.
2 Neufeldt, Reina C. ""Frameworkers" and "Circlers"–Exploring Assumptions in Impact Assessment."
Berghof Handbook for conflict Transformation, Section II: Analysing Conflict and Assessing Conflict Transformation, Berghof Foundation,
2011: 484-502. (revised version of 2007 article in earlier version of same handbook).
3 Neufeldt, "Frameworkers and Circlers," 4.

Chapter 1: Design

Why Design Matters and Key Design Definitions

Designing a project or programme involves multiple elements. These are explored in-depth in the following sections, and are presented briefly below. Cumulatively, these are referred to as the design hierarchy.

Why good design matters:
- Critical for effective programmes. In the end, a rigorous and explicitly articulated program design process—while occasionally frustrating—is essential to achieve your desired changes.
- Helps you make strategic decisions.
- Identifies the key changes you want to produce over a given time period.
- Improves the effectiveness of the intervention by making the activities, and the assumptions of how those will lead to the desired changes (outcomes), explicit.
- Encourages rigorous and useful monitoring and evaluation activities.
- The principles of design transcend across sectors, and can be used in development, humanitarian, peacebuilding, conflict, crime, and safety interventions.

Why it's tricky:
- Change is rarely linear, particularly in fragile and conflict-affected environments. Design tools, by their nature are linear. Therefore there is an inherent tension about speaking of changes in conflict settings and utilizing tools, such as logframes.
- Creating clearly defined programme designs that are flexible and adaptable can be quite difficult. A balance must be found between flexibility and responding to identified needs, while articulating an end-goal and concrete, measurable and tangible change.

There's a wide range of terminology used in the design process. Some of the terms may appear to be the same, but in fact are quite different. For instance:

- *Logic framework v. theory of change*.
  - **Logic frameworks**, often called logframes, graphically illustrate program components. This helps stakeholders clearly identify outcomes, inputs, outputs, and activities.
  - **Theories of change**, on the other hand, explain the intended changes, including how, why, and under which conditions (assumptions/factors) the outcomes leading to these changes will be achieved through the activities.
- *Impacts v. objectives*.
  - **Impact statements** describe the broadest change in the conflict to which the program hopes to contribute to. It is usually a long-term and high-level change beyond the micro-level of a single project, moving towards Peace Writ Large.[4]
  - **Objectives** describe the desired changes at the individual, communal or national levels that are *pre-requisites* to achieving the impact.
- *Outputs v. outcomes v. impact v. results*.

---

4 *Reflecting on Peace Practice: Participant Training Manual*. Cambridge: CDA Collaborative Learning Projects, 2009.

- o **Outputs** describe the products of the program: products, goods and services, which result from the intervention. They are usually tangible.
  - o **Outcomes** describe the short- and/or medium-term effects of the outputs (i.e., the change that occurs relating to the objectives).
  - o **Impact** refers to the wider effects on the context- "positive or negative, primary or secondary effects produced by an intervention, directly or indirectly, intended or unintended. Results that lie beyond immediate outcomes or sphere of an intervention..."[5]
  - o Finally, **results** is an umbrella term used to refer to all of the aforementioned terms: "the output, outcome or impact (intended or unintended, positive and/or negative)" of an intervention.[6]
  - o For instance, if an activity was a training of police officers on a new law, then an output would be the number of police men and women that participated in training. An outcome of the activity may be the knowledge that they gained about the specifics of the new law because they participated in that training. The impact of the training would be how police members use the knowledge to enforce the law.

- *Stating activities as objectives.* **Objectives** refer to the desired changes an intervention seeks to bring about. **Activities** are the means by which we achieve those changes. This may be particularly difficult in peacebuilding and security sector programming, in which the objectives may be unstated or evolving. Nevertheless, activities are meant to achieve *something*. The challenge is to articulate an objective that finds a balance between broad and accommodating and the need for accountability and learning.

Different donors, international organisations, and not-for-profits use different words to represent similar concepts. If you have been indoctrinated into the language of one donor or received monitoring and evaluation training in one approach as opposed to another, it may feel uncomfortable to adapt concepts, language, and definitions. For the purpose of this paper, we will be using UK- DFID's preferred terminology.

Tips:
- *Research.* When designing interventions, the local context must always be the starting point. Programs must be tailored to local needs and conflict and context dynamics, regardless of the stability or overall development of the context.
- *Use multiple tools.* Logic frameworks, theories of change, and assumptions, when used together, help ensure your designs are: (1) logically linked together; (2) that you can realistically achieve your desired changes; and (3) that you have identified and planned for the mitigation of external risks to your programme.
- *Consult stakeholders.* It's always useful to have more than one set of eyes checking your intervention design. After all, you might be making implicit and unstated assumptions about how change will occur that may not be immediately apparent to others.

---

5 *Glossary of key terms in evaluation and results-based management*. OECD-DAC Working Party on Aid Evaluation, 2002: 13.
6 *Glossary of key terms*, OECD-DAC, 33.

- *Local Ownership:* Local beneficiaries have unique insights that should be included by designing together. You can do this at every stage of the programme cycle, including as you develop your RFP. Local ownership and implementation leads to greater sustainability.
- *Read.* There are plenty of manuals, guidance notes, and technical support to help you understand the methodology and concepts. Most recently, there are webinars and engaging online courses to take advantage of.[7] It may take some time, but good design, monitoring and evaluation can be easily learned and applied.

Principles of Good Design to Always Keep in Mind

Much can go wrong in programme design, implementation, monitoring and evaluation in fragile and conflict-affected environments—but you can ensure quality is embedded throughout the design process by following the simple principles described below:

- **Context and Conflict is the starting point.** In line with donor commitments to the OECD Fragile States Principles[8], all programme designs working in complex fragile and conflict-affected environments must start with a thorough, rigorous and up-to-date conflict analysis. Keep in mind that the *conflict* dynamics must be separated from the *context* dynamics. The analysis should be written down and not implicitly done on an ad-hoc basis (for more, see page 10).
- **Conflict sensitivity.** All assistance activities must be sensitive to conflict dynamics (for more, see page 13). This requires "systematically taking into account both the positive and negative impacts of interventions, in terms of conflict or peace dynamics, on the contexts in which they are undertaken, and conversely, the implications of these contexts for the design and implementation of interventions."[9] For more detailed guidance on conflict sensitivity, please refer to the *Monitoring and Evaluating Conflict-Sensitivity* guide [10]
  - Similarly, it is equally important to be gender sensitive by considering how conflict, or the problem to be addressed by the intervention, affects men and women differently, and what that means for the intervention activities, assumptions, and outcomes.
- **Setting clear, realistic objectives.** Specific, measureable, attainable, realistic and time-bound objectives are essential for effective, measurable programming and for making evidence-based decisions (for more, see page 18). Too often, peacebuilding programs have overly ambitious, general and vague impact statements and objectives, and as a result, are difficult to manage and evaluate.[11]

---

7 See: Davies, Rick. "Monitoring and Evaluation NEWS." http://mande.co.uk/ (accessed March 25, 2013); Evergreen, Stephanie. "AEA Webinars." American Evaluation Association. http://comm.eval.org/coffee_break_webinars/home/ (accessed March 25, 2013). "USIP Online Courses and Simulations." United States Institute of Peace. http://www.usip.org/academy/online-courses-and-simulations (accessed March 25, 2013).

8 Further information available at OECD-DAC International Network on Conflict and Fragility (INCAF). "Conflict and fragility: Effective Engagement in Fragile States." http://www.oecd.org/dac/incaf/effectiveengagementinfragilestates.htm (accessed March 23, 2013).

9 *Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: a resource pack*. Conflict Sensitivity Consortium , 2004.

10 Goldwyn, Rachel and Diana Chigas, *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions*. DFID: Department for International Development, 2013.

11 *Evaluating Peacebuilding*, OECD-DAC, 29.

- **Articulating the theory of change.** "A theory of change explains why we think certain actions will produce desired change in a given context."[12] By clearly articulating the theory of how change will happen, you will better understand your own assumptions about the effect of an intervention on a context, as well as the connections between the activities and the broader changes the intervention hopes to bring about.[13] (for more, see page 23)
- **Mainstream Gender.** Men and women have different roles and responsibilities in societies, which may have been shaped or changed during conflict. It is important to take into account how your design and implementation will have an impact on both men and women differently. By mainstreaming gender, programmes will have a greater likelihood of contributing to gender equality and effectively achieving desired and sustainable changes. (for more see page # 14)

Why it matters:

These principles will help ensure you design an intervention that: is logically linked to the conflict and context; addresses the key driving factors of the conflict; does no harm to any actors involved; and has realistically attainable results. Far too many international assistance programs, including peacebuilding, fail to address these considerations. There is no reason not to apply these principles, which have been well researched and have many available resources and literature. They are fundamental to ethical and impactful work in this area.

Tips:

- *Designing for flexibility*. Complex conflict-affected and fragile environments are fluid and highly dynamic and therefore our intervention designs must be able to accommodate such changes. This underscores the importance of not only analysing the conflict and context dynamics, but also of understanding the trajectories of those dynamics and the overall conflict and context systems. Such an understanding, in turn, allows us to check the feasibility of our assumptions given the trajectories of the environment.
  - *Designing for flexibility does not mean broad or vague impact statements and objectives*. On the contrary, having a clear understanding of where we need to go (impacts and objectives) allows us to adjust our assumptions, activities and outputs which lead to the desired outcomes.

Conflict Analysis or Conflict Assessments

A conflict analysis or conflict assessment is fundamental to interventions in fragile and conflict-affected environments. According to the OECD-DAC, it is "a systematic study of the political, economic, social, historical, and cultural factors that directly influence the shape, dynamics and direction of existing or potential conflicts. It includes an analysis of conflict causes and dynamics as well as assessments of the profiles, motivations, objectives and resources of conflict protagonists."[14]

A conflict analysis is distinct from a context analysis. A context analysis seeks an understanding of the "entire political, economic and social (historical, environmental, etc.) scene."[15] A conflict analysis is

---

12 Woodrow, Peter. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part I*, DFID: Department for International Development, 2012.
13 Woodrow, *Practical Approaches to Theories of Change.*
14 *Guidance on Evaluating Conflict Prevention and Peacebuilding Activities*. Paris: OECD-DAC, 2008: 11.
15 *Reflecting on Peace Practice*, CDA Collaborative Learning Projects.

"focused on the specific elements of that broader picture that may cause, trigger or propel conflict."[16] In other words, conflict takes place within the context.

Why it matters:

- Any intervention in a fragile or conflict environment, regardless of programmatic focus, must conduct a conflict assessment. By intervening in a context plagued by conflict or fragility, the intervention (its actors, resources, credibility, etc.) becomes part of the dynamics that may fuel or negate characteristics of conflict and fragility. It is essential to understand how the intervention affects the environment so that at the bare minimum, it does no harm.
- A continually updated conflict analysis enables you to alter the intervention design or implementation so that it remains relevant to the changing environment.

> The minimum four questions that conflict assessment should answer:
>
> 1. What is the conflict?
> 2. What are the causes or triggers of the conflict? What are the causes or triggers of peace?
> 3. Who are the actors involved? What are their interests, positions, or needs?
> 4. What are the existing conflict resolution mechanisms? What are their strengths

Why it's tricky:

- Conflict analyses (or Joint Analysis of Conflict and Stability,[17] the framework used by DFID) can be enormous endeavours. The scale, required resources and necessary buy-in can easily push undertaking such an analysis continuously into the future. This risk lessens the relevance of programming funded under outdated analyses.
- Similarly, a 'good enough' analysis—without the scale and rigour of a strategic conflict analysis or joint analysis of conflict and fragility—can be just as difficult. Clearly identifying the conflict system in question, and mapping out, even if preliminarily or broadly, how that system interacts with others may be a starting point. This can be combined with existing analyses, including those of non-DFID organisations.
- Many often carry out a context analysis believing it to be a conflict analysis: the two are distinct, and the difference (outlined above) matters. Carrying out a conflict analysis helps ensure programming is addressing key driving factors of that conflict, and is therefore more likely to achieve the desired changes on that conflict system.
- Defining the conflict and confining its system in a way that it is at the same time understandable, manageable and reflective of reality can be a challenge.

Tips:

- *There is no excuse to not do a conflict analysis,* and it should be continuously updated throughout an intervention to reflect the changing environment. This may require an altering of the intervention design or implementation in order for it to remain relevant and effective in the changing environment.

---

16 *Reflecting on Peace Practice*, CDA Collaborative Learning Projects, 3.
17 JACS is still in a working draft format, but came out of the publication *Building Stability Overseas Strategy.* London: DFID: Department for International Development, 2011.

- *Integrate, but don't substitute, others' analyses.* There is a range of literature and organizations that analyse conflict, such as International Crisis Group and International Alert. These may supplement, but are no substitute for, your own local contacts and resources.
- *Consult existing methodologies.* Many donors and academic institutions have produced their own conflict assessment methodology, including DFID:[18]

Table 1: DFID Conflict Assessment Methodology Charts

The Three Key Stages of Conflict Assessment

Stage A Conflict Analysis	Stage B Analysis of Responses	Stage C Strategies/Options
Analysis of: • Structures • Actors • Dynamics	• Mapping external responses • Mapping development policies and programmes • Assessing impacts on conflict and peace	• Influencing other response to conflict • Developing/refining DFID policy and programme approaches

(source: *Conducting Conflict Assessments: Guidance Notes*, DFID, 6.)

Conflict Analysis

(i) Structures	(ii) Actors	(iii) Dynamics
Analysis of long term factors underlying conflict:	Analysis of conflict actors:	Analysis of:
• Security • Political • Economic • Social	• Interests • Relations • Capacities • Peace Agendas • Incentives	• Long term trends of conflict • Triggers for increased violence • Capacities for managing conflict • Likely future conflict scenarios

(source: *Conducting Conflict Assessments: Guidance Notes*, DFID, 10)

- *Following a framework does not mean separating the conflict from the context.*
- *Draw on context, evidence, and local expertise.*
- *Make your analysis explicit: write it down.* This enables your assumptions to be checked and increases the logic of the analysis, as well as its utility and relevance for informing current and future programming.
- *Updated Analyses.* Related to research is the continuous updating and re-analysing of conflict and context dynamics. This can be done through regular monitoring practices, or reflective exercises but the key is to make your analysis explicit: write it down! This allows you to better identify logical leaps or gaps in your analysis, and is more conducive to peer-review than oral analysis.

---

18 *Working Effectively in Conflict-affected and Fragile Situations Briefing Paper A: Analysing Conflict and Fragility: A DFID Practice Paper*. London: DFID: Department for International Development, 2010.
Conducting Conflict Assessments: Guidance Notes. London: DFID: Department for International Development, 2005.

- *Integrate a gender lens into your conflict analysis by asking the following questions:*
  - How did/does the armed conflict affect girls and women and boys and men differently?
  - How did/does the armed conflict impact gender roles?
  - What role do men and women play in conflict resolution?
  - Do men and women have the same interests and positions?

Conflict Sensitivity

Conflict sensitivity is a set of processes that help us recognise the unintended ways our work may contribute to conflict. It involves understanding the conflict (through a conflict analysis), assessing how programming could interact with the conflict (a two-way dynamic), and revising programming in light of this knowledge to contribute to peace while avoiding contributing to conflict. All activities in fragile and conflict environments should be conflict sensitive.[19]

Why it matters:
- Conflict sensitivity is most relevant and applicable in fragile and conflict-affected states (FCAS) – that is, 21 out of DFID's 28 focus countries. It is critical in situations where open violence is present, or is a very real threat. It can be useful in situations where there are high levels of political tension, such as up-coming elections in a context where elections are often tense or violent.
- DFID is committed to being conflict sensitive – as noted in *Preventing Violent Conflict: A DFID Policy Paper* (2007).[20]
- Conflict sensitivity can support programming *outside* of FCAS. It can help identify where any intervention will bring tensions to the foreground and provides a means to think through how to mitigate them. There may be more contentious projects, sectors, regions or target groups outside FCAS: many middle-income countries are fraught with tensions that may erupt in violence. Take Thailand or Cambodia for example, neither of which are classified as FCAS, but nevertheless experience serious societal tensions.

Why it's tricky:
- Making the link between a conflict analysis and a planned intervention can be difficult, particular for sectors that do not work in peacebuilding, conflict, security or justice. In order to make realistic guesses about plausible inadvertent consequences we need a solid understanding of the conflict and a creative ability to think about the unintended results of our actions and inactions.
- Making the link between an intervention and local level conflict is more straightforward than identifying potential links at a more macro level. In particular, it can be difficult to see the cumulative influence of aid on conflict over the longer term, although this is an important consideration.
- Targeting often creates conflict sensitivity concerns – focusing resources on the poorest of the poor often results in targeting criteria that mirror lines of division, as exclusion and discrimination are both causes / drivers of conflict, and are causes of poverty.

---

19 *Guidance on Evaluating*, OECD-DAC, 35.
20 The paper states that "We will ensure that development work takes better account of its possible effect on conflict," including in countries in that are not currently affected by violent conflict. *Preventing Violent Conflict: A DFID Policy Paper.* London: DFID: Department for International Development, 2007: 28.

Tips:

- *There are a range of tools to enable conflict sensitivity.* One widely used method is 'Do No Harm' (DNH).[21] DNH forces the user to think through all the parameters of a project (who will benefit from it – not just direct beneficiaries, but also those who gain procurement contracts, etc.)? Who will implement it? How will it be implemented? By deconstructing the intervention, it becomes easier to make educated guesses about plausible inadvertent consequences and identify concerns that might not have been obvious at first.

- *Focusing on Peace Writ Large.* Identifying the cumulative impact of aid on conflict means shifting the frame of reference away from the intervention, and asking questions over the longer term.

- *Implement conflict sensitive targeting criteria.* Targeting of an intervention and its activities can be handled in a conflict sensitive way. For example, in mixed communities, targeting criteria can be developed more consensually, and opportunities to challenge the application of those criteria can be made. Non-targeted groups can benefit from or be involved in the project in other ways- for instance supplying goods or participating in decision making committees.

- *Develop conflict and context related indicators to track the evolution of the context and your intervention's impact upon it.* The companion guide '*Monitoring and Evaluating Conflict Sensitivity – Methodological Challenges and Practical Solutions'* provides guidance on monitoring conflict sensitivity.[22]

- *Explicitly include conflict sensitivity in the evaluation terms of reference.* This will help you better understand the intervention's effects, and can provide important feedback for future designs of similar programmes.

Gender Mainstreaming

Gender Mainstreaming is "the process of understanding any planned action, policy, programme, or any other kind of intervention with regards to the implications of women and men of all ages from childhood to old-age."[23] It is an intentional strategy to apply a gender lens to all aspects of design, implementation, monitoring, and evaluation.

Mainstreaming gender in conflict and fragile states is ever more critical, as girls and women, boys and men of all ages experience conflict and peace differently. Programmes that are implemented in conflict and fragile states must be aware of the different needs, experiences, conditions and opportunities of boys and men, girls and women and how these may have been altered during a conflict. Gender roles are rarely a cause of conflict, but responding to gender inequality is crucial for state-building and peacebuilding strategies.[24] By acknowledging the difference and similarities, interventions are likely to be more effective and relevant in achieving results, in addition to enabling more equal relationships.

Why it matters:

- Gender mainstreaming is part of a wider global strategy supported by U.N. Security Council Resolution 1325 and UN Security Council Resolution 1820. UN Resolution 1325 called for

---

21 More detailed guidance on Do No Harm is available at Anderson, Mary B. *The Do No Harm Handbook: The Framework for Analyzing the Impact of Assistance on Conflict*. Cambridge: CDA Collaborative Learning Projects Inc., 2004.

22 Goldwyn, Rachel and Diana Chigas, *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions*. DFID: Department for International Development, 2013.

23 *DFID Research: Guidance On Gender Mainstreaming and Social Exclusion in Research*. London: DFID: Department for International Aid, 2009: 3.

24 *Building Peaceful States and Societies: A DFID Practice Paper*. London: DFID: Department for International Development, 2010: 43.

incorporating a gender perspective in peace agreements, protecting women and girls from gender-based violence, and including women in the decision-making level of peace processes.[25]

- Gender mainstreaming acknowledges that boys, men, girls and women not only have different needs, but also different resources to offer for peacebuilding, security or justice work.
- Gender mainstreaming processes have revealed that girls and women and boys and men have different conceptions of security and varying priorities. Peace processes should cater to these nuances in order to work towards sustainable peace.
- Gender roles are complimentary--if you try to change the way in which women behave, it will also have an effect on the way that men behave. Gender mainstreaming recognizes that one cannot work with target groups in isolation and that change affects all members of society, regardless of their sex.

Why it is tricky:
- There continues to be confusion about the key terminology, methodology and programming options when one talks of "gender." The nuances of gender are not fully understood by all staff working in conflict and fragile states. When gender is discussed, it is common for individuals to think only of women or suggest to "add more women." Instead, the conversation should lead towards discussion of the socially and culturally constructed *roles and responsibilities of boys and men and girls and women at the given time period.*
- The lack of understanding of the term "gender" has meant that there has been a push for integrating women or having women only programmes, without thinking through issues related to roles and responsibilities.
- Programming that fails to take into account the differences between sexes are often termed to be "gender neutral" or "gender blind." These programmes overlook the possibility of differential impacts of conflict and peacebuilding interventions on girls and women and boys and men, as well as the relations between them.
- Gender mainstreaming efforts often result in the appointing of a "gender expert" or "gender specialist." This results in the shifting of all gender-related responsibilities to one focal point, rather than a gender lens being integrating across the entire program.[26] Gender mainstreaming should be the work of all staff, rather than one.

Tips:
- *Programmes at a minimum should not harm existing gender relations and should not exacerbate gender discrimination.* Effective programmes will dissect each part of the strategy and intervention to see how the implementation affects girls and women and boys and men differently and to enable full participation of all sexes.
- *Working on gender means working with men.* In order to have a lasting change in conflict dynamics, it is important to address gender relations and work with boys and men and girls and women. At times, this may mean that there are activities or policies that only target men or only target women. At other times, it may be advantageous to bring both men and women together. The most successful gender mainstreaming efforts do both.[27]

---

25 For more details on SCR 1325, see: "What is U.N. Security Council Resolution 1325 and Why is it so Critical Today?" United States Institute of Peace. http://www.usip.org/gender_peacebuilding/about_UNSCR_1325 (accessed March 25, 2013).
26 Winslow, Donna. "Gender Mainstreaming: Lessons for Diversity." *Commonwealth & Comparative Politics* 47.4, 2009: 539-58.
27 The Interagency Gender Working Group's recently launched a new approach to gender mainstreaming called gender synchronization, which advocates "working with men and women, boys and girls, in an intentional and mutually reinforcing way that challenges gender

- *Monitor and evaluate gender relations, train staff, and continue a dialogue* on how to mainstream gender in conflict and fragile environments.
- *Integrate gender analysis to other tools.* To apply a gender mainstreaming process, one must integrate gender analysis with other tools, such as conflict assessments. This will enable staff to visualize the differences between boys and men and girls and women in order to address the differences and/or capitalize on them to more effectively design and implement programmes.

The Design Hierarchy

The design hierarchy is a conceptual tool used in programme design. It helps identify the change(s) you are trying to achieve, and how you are going to achieve them. The challenge, heightened by the dynamic environments of FCAS, is that our vision is rarely 20/20. Looking down from an impact statement, it is difficult to envision with certainty which changes are pre-requisites for the desired impact. Similarly, looking up, how do micro-level changes (in individuals, communities, specific regions, etc.) lead to higher level changes, such as societal transformation? The value of the design hierarchy is that it allows core assumptions of how and why change will unfold to surface, which can then be checked against the evolving environment.

The design hierarchy contains four main levels, and each functions as logical building blocks for the structure of a programme: (1) Impact (outside of DFID, this is commonly referred to as a goal), (2) Objectives, (3) Outputs, and (4) Activities.

The most important element in the design hierarchy is keeping in mind how the pieces interact. This is referred to as the theory of change and should be used in two ways (see page 23):[28]
1) To explain overall programmatic logic: if [action], then [verb statement on outcome(s)].
2) To explain how individual elements of the design hierarchy connect to one another: *if* we achieve the components lower on the hierarchy, *then* the higher levels of change will occur.

Why it's useful:
- Helps us improve programme effectiveness by breaking down programmes and their intended changes into pieces. It helps us to *logically structure* our programmes and check our assumptions on how change will unfold, and how the different levels interact. This can then be monitored and adapted against the evolving environment.
- Helps identify our core theories of change, ensure logical linkages between the levels, and draft key performance indicators (see page 29).
- Facilitates strategic planning in complex conflict environments, where dynamics are constantly shifting.

Why it's tricky:
- Design hierarchies represent a logical flow of ideas, but in reality change processes are rarely so linear and segmented.

---

norms, catalyzes the achievement of gender equality, and improves health." For more see: "Interagency Gender Working Group (IGWG)." USAID: United States Agency for International Development. http://www.igwg.org/ (accessed March 25, 2013).
28 For more detailed guidance on the use of theories of change in programme design, please see Woodrow, *Practical Approaches to Theories of Change*.

- Our ideas are often interlinked as we design programmes, and it is a tricky to figure out how to logically separate the ideas, such as target groups, types of change, and the sequence and dosage of activities. Similarly, it may be hard to articulate how the flow of changes leads to common impact level statements.

Tips:
- *Set aside time for the design hierarchy process.* Conflict and context analyses, along with the resulting problem statement, form the foundation for each of the design building blocks above. Set aside plenty of time to create your first draft of a design hierarchy for a new programme, and be prepared for multiple revisions. It is rarely right the first time. Keep in mind that this principle applies not just to design responses to calls for proposals, but also for the design of the call itself.
- *Base your design hierarchy on an up-to-date conflict assessment* (see page 10). Doing so will help you identify when changes in the programme may be required, and provide a basis to justify such changes.
- *Make sure that each component only contains one specific idea or change*. For example, only one verb should be present in each of the levels.
- *Make the process participatory and locally-driven*. Consider involving beneficiaries and local partners in creating your design hierarchy because they know the context and conflict best.

Impact Statement

An impact is "the higher-order objective to which a development intervention is intended to contribute."[29] In other words, it is the broadest level of change your programme seeks to achieve given its resources and timeframe. By design, Impacts are broad and visionary in nature and represent abstract, intangible changes—often at the macro-level (this is sometimes referred to as Peace Writ Large).

Each programme has only one impact statement, and is dependent on a number of factors that are outside the control of any programme, including the adding up of multiple efforts by various actors. This, it could be argued, is even truer in complex situations of conflict and fragility, where dynamics are often in flux and in which the web of systems and their interactions are not easily understood.

Impact statements are critical for providing strategic vision, but programmes are often not held directly accountable to achieving the impact because of many associated challenges: its grand, macro-level nature; learning and accountability needs; measurement and analytical abilities.[30]

Why it's useful:
- Provides focus, purpose, and strategic vision for a programme. The objectives, outputs and activities all flow from and build up to the envisioned impact.
- Functions as a reference point to guide shorter term decisions, such as objectives and activities.
- Can align with priorities of other bodies or institutions, such as the Millennium Development Goals.
- Keeps us accountable to producing tangible change over the long term.

---

29 *Glossary of key terms*, OECD-DAC, 24.
30 For more on overcoming these challenges, see Corlazzoli and White, *Measuring the Unmeasurable.*

Why it's tricky:
- Impacts are often confused with strategies. To avoid this, steer clear of words like "by", "through", and "in order to."
- Impacts are difficult to write because they have to be both ambitious and realistic. For instance, a project of £10,000 is unlikely to end violence between two warring parties. Instead, the impact may be about bringing the two parties to the negotiating table to discuss their shared interests. This of itself may be an unattainable impact with limited resources, but one worth striving for nonetheless. Taken a step further, contribution analysis can be utilised in the evaluation to better understand the extent to which the project contributed to bringing the two parties closer to the negotiating table, and identify follow-up actions, projects or programmes, that will secure the desired end.

Tips:
- A good impact *represents one clear type of change at the macro level* of the intervention. It has clearly defined target groups, timeframes, and geographic contexts.
- *Constantly ask yourself, "why?"* This will help you narrow down the impact to the right level so that the rest of the design hierarchy can be accomplished and lead to tangible changes.
- *A single actor alone will never be able to achieve impacts*. There must be strong collaboration and synergy of efforts within and amongst actors in the international community to maximise overall progress towards common goals.
- *Link your impacts to strategic international plans* for reducing conflict or ending poverty, like the Millennium Development Goals. In conflict and fragile environments, it is not necessary to link your impact to government initiatives.[31]

Objective

An objective is an "intended impact contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more development interventions."[32] They are concrete, measurable, and tangible changes that need to occur in order to work towards achieving your impact.

An organisation will be held accountable to achieving objectives during the evaluation process. Each of the OECD-DAC *Principles for Evaluation of Development Assistance* includes an investigation of programme objectives from different perspectives: relevance, effectiveness, impact, sustainability, and efficiency. [33] It is essential that your objectives are not only logically linked to other elements in the design hierarchy, but are also achievable and measurable.

Similarly, it is crucial that monitoring processes include the extent to which the programme is being implemented in accordance with the proposal, and that it is indeed 'on track' to achieve the desired changes.

Objectives, like many of the other topics covered in this guidance, get tricky in situations of conflict and fragility.   As in many instances of peace & conflict and security & justice programming, the desired changes are intangible and are not easily or readily measured, regardless of the environment—this challenge is compounded in complex situations of conflict and fragility. As a result, objective statements

---

31 *Evaluating Peacebuilding*, OECD-DAC.
32 *Glossary of key terms*, OECD-DAC, 20.
33 *Principles for Evaluation of Development Assistance*. Paris: OECD-DAC, 1991.

are often left intentionally vague or broad to accommodate the shifting environment and the intangible nature of the change. Doing so, however, compounds the challenges of managing programmes in such environments: the direction sought and required steps (i.e., change at the objective level) are not clear, risking 'mission drift' in the purpose of the intervention. Additionally, it makes holding an organisation accountable to those objectives difficult. As a result, a little creativity may be needed in the objectives, as well as their indicators (see Indicators, page 29).

Why it's useful:
- Logically links our activities and their outputs to the broader impact or purpose of the programme.
- Helps to narrow the programme scope so that it is manageable, achievable, and measurable.
- Helps program staff plan activities to achieve the desirable change.

Why it's tricky:
- Logically linking our activities to the broader impact through objectives is a challenge. We often start the design process with activities in mind, but linking these activities and their associated changes to the impact in a logical and measurable manner is difficult and requires practise.
- Many logical framework structures only have one 'layer' (i.e., one change, one subject, one object) for objectives. In reality, objectives happen in a series of causational layers, linked through our assumptions and theories of change. These should be written out in order to check for logical clarity and ensure quality programme design. These sub layers are often called lower-level objectives or secondary objectives.
- Change is not sequential in conflict and fragile environments. In real life, it is often difficult to predict the sequence in which change will take place. That said, using logic and common sense we can aim to predict the sequence of change and test our assumptions by monitoring and evaluating the program implementation closely.
- Objectives are often confused with outcomes and outputs, especially given new pressures for demonstrating tangible results.

Tips:
- *Link to conflict and context assessments*. One should write objectives based on and relevant to the problem to be addressed that was identified in the conflict assessment and context analysis. These may be updated and justified based on evidence collected in the monitoring phase (specifically the on-going update of the conflict analysis).
- Generally speaking, there are usually *no more than three (3) objectives* per programme.
- *There should only be one subject, one change (e.g., verb) and one object per objective*.[34] Look for 'ands' between changes as clues that your objective might need to be split into two (e.g., "To promote and engage youth leadership…" requires two different objectives- one for promotion, and one for engagement).
- *Be SMART.* Make sure that your objective has a clear target group, geographic location, and timeframe by using the acronym "SMART" as a quality check: Specific, Measurable, Achievable, Realistic, and Time-Bound. There is a tendency to skip this in order to accommodate for shifting environments, but doing so risks losing the focus and purpose of the intervention.

---

34 Levine, Carlisle J. *Guidance for Developing Logical and Results Frameworks*. Baltimore: Catholic Relief Services, 2007: 5.

- To mainstream gender into your objectives, consider identifying stakeholders by sex and asking whether the needs of boys and men and girls and women are different, overlap, or similar? Do the changes or results that this project will produce affect genders in different ways?

Activities vs. Outputs

It is essential that all activities and outputs, along with the rest of the programme, are sensitive to conflict dynamics. The activities and outputs, along with their related components such as targeting, dosage, etc., are perhaps most susceptible to causing harm in an environment. A thorough analysis and understanding of both the conflict and the context (especially culture) will inform the design of activities and outputs.

An activity is a concrete and tangible event, task, or service conducted by programme staff. An **output**, on the other hand, is "the products, capital goods and services" that result from the activity, and "may also include changes resulting from the intervention which are relevant to the achievement of outcomes": goods, knowledge, skills, attitudes, services and/or an enabling environment delivered by the programmatic activities.[35]

Activities and outputs should be defined and linked in accordance with the type of change and the subsequent results that are desired. Both are closely linked and are therefore best conceived of together. While an activity might be conducting a dialogue between two adversarial groups, the output may be the four separate formal conversations that took place throughout one month which together formed a dialogue process. Ultimately, outputs and activities both contribute to the achievement of the objectives, and thus the effectiveness of a programme.

Why they're useful:
- Activities help to conceptualise the concrete steps needed to bring about specific changes identified in the objectives and impact.
- Both help develop work-plans for the programme, and an understanding of the sequencing of programmatic events.
- Outputs, provided they are relevant to the key drivers of the problem being addressed by the programme, produce immediate, tangible benefits that can be particularly useful in nurturing trust between the organisation and beneficiaries, and reinforce other immediate benefits from other actors.

Why they're tricky:
- It can be tempting to start a programme by designing the activities first because they are what we know how to do. However, it is best to start with impacts and objectives to make sure our chosen activities are linked to the broader change we are trying to achieve.
- It can be tempting to design indicators entirely based on outputs because they are relatively easy to collect and measure. Instead, think about measuring whether our outputs lead to the desired changes (objectives).

Tips:
- *Carefully consider the conflict and context analyses, as well as culture and gender*. Activities and outputs are most susceptible to inadvertently causing harm in an environment.

---

35 *Glossary of key terms*, OECD-DAC, 28.

- *Activities should be selected based on the type of change* the project is trying to affect, and must be relevant to the key drivers of conflict and fragility identified in the initial and on-going conflict and context assessments.
- *Make activities strategic for both the context and the organisation*. Play off your own strengths and weaknesses and how these fit into the conflict and context assessments.
- *Dosage is extremely important*. Think critically whether you are planning and budgeting for the right number of activities and outputs to produce the desired change.
- *Timing matters*. Consider if your design hierarchy requires certain activities and outputs in order for other activities and outputs to proceed. Timing also has implications for conflict sensitivity: ask yourself, "Is now the right time for this activity or output, why or why not? Is it sensible or proper in the current environment?"
- To *integrate gender* into the design of your activities consider the following questions:
  - Will girls and women and boys and men's roles and responsibilities enable them to participate fully in the activities?
  - Do both genders have the equal level of knowledge and skills to participate jointly?
  - Is the timing and venue budgeted for ideal for both genders?
  - How may the planned activities affect girls and women and boys and men differently?
  - How may the planned activity impact gender roles?

Logical Frameworks

Logical frameworks are structured charts that lay out the design hierarchy and how each element will be measured using four columns. They are sometimes referred to as 'log-frames' for short. The far left column contains the design hierarchy, and the columns to the right are for indicators, how the indicator will be measured, and the assumptions or risks associated with that element of the design hierarchy.

The term "logical framework" refers to the way that programme logic is structured in the matrix. From top to bottom, each subsequent row explains how the one above it will be achieved. If your assumptions are correct, then you will achieve each level of change associated with that row.

The most frequent criticism of logic frameworks is that it is a linear tool that does not sufficiently capture the non-linear processes of change. Non-linearity is often embraced by many as a principle of change in peace and conflict, and security and justice programming, both as inherent to the types of changes sought, and the complexity of the environments in which it occurs. Nevertheless, the linear criticism of logic frameworks, while valid, can be overcome: logic frameworks have utility in planning for programming, which should be flexible enough to account for changes in the environment.

Why they're useful:
- It visualises programmatic logic: what it aims to achieve, how it will be achieved, and why. Visualising the framework this way help us identify if anything is missing.
- In the Design phase, logical frameworks capture the plans and expectations of the overall programme.
- Logical frameworks provide the basis for your monitoring and evaluation plans.
  - In the Monitoring phase, they help track progress toward each element of the design hierarchy.

- In the Evaluation phase, they have information for the evaluator about the original plans of the intervention, how those changed during implementation, and why. Sharing this information with evaluators is essential to helping them assess overall levels of impact and key project challenges.
- They capture the connections between the daily operations of a project and the broader changes we hope to contribute toward.
- Maintaining an updated logical framework helps you to see the main steps to achieve your desired change(s), and how to measure progress toward each one.

Why they're tricky:
- Logical frameworks must constantly be updated to account for the shifting context. This can be difficult when faced with tight budgets, time constraints, competing priorities, and bureaucratic processes. Updating them is essential to ensure that any changes during implementation remain aligned with the overall programme strategy and contextual needs.
- Organisations often use different language to describe similar concepts; for instance, an "objective" might be labelled as an "impact," "intended result," "outcome," "purpose" or "output."
- Many logical framework and results framework models do not have a space to link indicators to monitoring assumptions and the quality of activities. Nevertheless, these indicators should be recorded and tracked.

Tips:
- *Logical frameworks should be routinely incorporated* into discussions related to programme design and implementation, especially when making strategic decisions, or when conflict dynamic has changed.
- *Keep log-frames concise, clearly written, and up-to-date* so it reflects the programme as it is being implemented – particularly if changes occurred in the design during implementation. Review the log-frame every six months.
- *Keep donor preferences in mind*. Different organisations and donors have different preferences about which framework they prefer. At DFID, a logical framework approach is used. An example of a portion of a DFID logical framework, completed for a project in East Africa by The Catholic Agency for Overseas Development, can be seen below:[36]

---

36 Catholic Agency for Overseas Development (CAFOD). Mitigating the impact of the economic downturn on vulnerable groups. London, UK : Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), 2011.

Table 2: Example of a DFID-formatted Logical Framework

PROJECT TITLE	Mitigating the impact of the economic downturn on vulnerable groups in Kenya and Zimbabwe				
GOAL	**Indicator**	**Baseline + year**	**Milestone 1**	**Milestone 2**	**Target + year**
Protect the poorest in the downturn through improved food security and social based safety nets	**Zimbabwe :** Proportion of rural population who are food insecure	Zimbabwe: 18% rural population estimated to be food insecure (2009/10 consumption year) Zimbabwe: 8% rural population have food entitlement gap for at least 7 months (2009/10 consumption year)			
	Source				
	ZimVac Rural Household Livelihoods Survey (October 2009): http://www.sadc.int/fanr/aims/rvaa/Documents/Zimbabwe/ZimVac%20Rural%20Household%20Livelihoods%20Survey%20-%20October%202009%20Report.pdf				
	Indicator	**Baseline + year**	**Milestone 1**	**Milestone 2**	**Target + year**
	Kenya : proportion of rural population who are food insecure	Kenya: Food production in cereal yields at 1322kg / ha (2009/10)			Kenya: food production at household level allows for cereal yields at 5% increase per hectare

(source: Catholic Agency for Overseas Development, *Mitigating impact of economic downturn on vulnerable groups*, 2011.)

Theories of Change

Theory(ies) of change refers to "the assumptions that link a programme's inputs and activities to the attainment of desired ends. [It is a] set of beliefs about how and why an initiative will work to change the conflict. It includes both implementation theory and programme theory."[37] In other words, it explains why certain actions will lead to certain change(s) in a given context.

Theories of change are most often formulated as if-then statements: if [target group] does [action/activity], then the following [change] will be produced.

Some organisations have expanded the theory of change statement to include a more detailed statement on why the changes will come about. This is done by adding 'because' at the end of the statement: if [target group] does [action/activity], then the following [change] will be produced because [explanatory statement on why change will occur]. By expanding the theory of change statement, it is believed that further assumptions will be made explicit and allow for a more thorough check of logic.

For example, an expanded security sector reform theory of change might read: "***If*** non-state armed groups [rebel groups, informal militias…] are either demobilised or integrated into the regular armed forces, ***then*** incidents of violence will decrease and the actual security and sense of security of the population will increase, ***because*** the current state of chaos, lawlessness and confusion causes citizens to protect themselves by any means at their disposal."[38]

---

37 Evaluating Peacebuilding, OECD-DAC, 15.
38 Woodrow, *Practical Approaches to Theories of Change*, 16.

The theory of change needs to set out what is needed for the country to achieve a transformation from conflict and fragile to peace, security and development.[39]

Further, detailed information on theories of change in design, monitoring and evaluation are available as separate guidance notes in this series.[40]

Why it matters:
- Identifies any gaps in programme logic, in particular 'hope lines' of unrealistic assumptions about changes in one level resulting in changes in others—a common flaw in peace & conflict and security & justice programme designs.
- Represents a *testable hypothesis* of the intervention that can then be used in monitoring and evaluation. Findings of the evaluation can then help inform the development of future theories of change.
- Clarifies programme logic so that assumptions and logical linkages in the design hierarchy can be scrutinised and gaps filled. In the midst of complex and dynamic environments, small nuances in assumptions of how change will unfold can lead to underwhelming results. Explicitly articulating a theory of change helps bring these assumptions to scrutiny.
- Contributes to a common understanding amongst the intervention stakeholders as to how and why the desired change will unfold.
- Supports on-going analysis of the effectiveness of the intervention through monitoring and evaluation.[41]

Why it's tricky:
- Stakeholders may have different visions of how change processes will unfold and why, complicating agreement on a theory or theories of change.
- Connecting theories of change across levels, verifying logic, and the validity and risk of assumptions are challenges that may require additional time and effort.

Tips:
- *Context matters!* In order for a theory to be relevant and effective, it must address the key driving factors of the issue being addressed. Theory is not necessarily transferable between contexts. Changes within the conflict context may make a stated theory of change no longer relevant.
- *Create assumption level indicators* to better understand if the intervention is 'on track' to achieve its desired results.
- *Theories of change can occur at different levels.[42]* For implementers, theories of change at the micro level are good for activities and projects. This can be scaled up to programme, sector and portfolio levels (generally for donors).
- *Consider the context and conflict systems push-back* against the desired changes, and what that implies for the theory(ies) of change and overall design.[43]

---

39 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID, 2.

40 See, Woodrow, *Practical Approaches to Theories of Change Part I,* and Corlazzoli and White, *Practical Approaches to Theories of Change Part II.*
41 Woodrow, *Practical Approaches to Theories of Change*, 9.
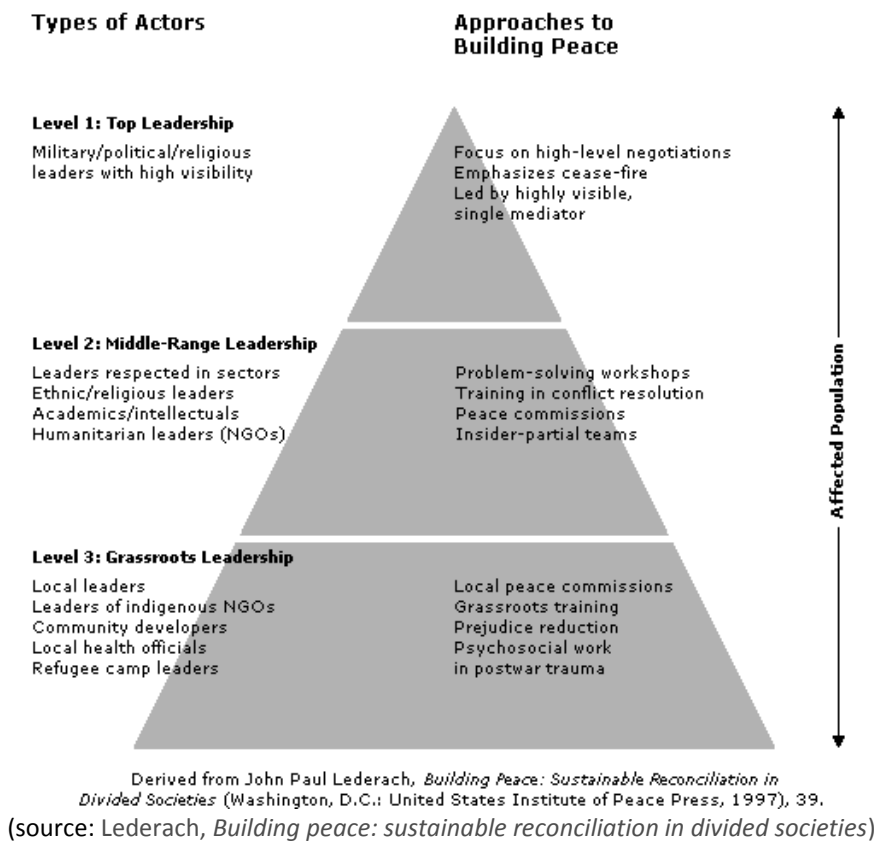42 Woodrow, *Practical Approaches to Theories of Change,* 10.

Practical Tools and Frameworks for Designing Programmes

Evidence demonstrates that programmes that integrate across various levels, described below, are more effective in creating a measurable change at the macro level of Peace Writ Large. This can be a particularly effective strategy in the complexity of conflict-affected and fragile environments, where work in different sectors, if aligned, can reinforce outcomes from the programmes.

Two key frameworks describe various levels of society and programming for peace and conflict programming: *Reflecting on Peace Practice Matrix: A Tool for Comparing Strategies for Affecting Peace Writ Large,* and *Levels of Action Triangle*. Together, and in conjunction with other tools described above, these tools provide simple ways to think through and understand how your intervention might interact with a complex environment.

The *Levels of Action Triangle*[44] helps you identify which level of society you are targeting: elite, mid-level or grassroots, along with illustrative activities that are frequently associated with work at that level. It also helps you identify how change will be brought about: top-down with a focus on changing elites as an entry point, bottom-up with a focus on grassroots communities and leaders, or middle working outwards with both elites and grassroots communities. This tool can be particularly useful when you are developing intervention strategy, partners and beneficiaries.

Table 3: Levels of Action Triangle Chart

(source: Lederach, *Building peace: sustainable reconciliation in divided societies*)

---

43 Woodrow, *Practical Approaches to Theories of Change*, 26.
44 Lederach, John Paul. *Building peace: sustainable reconciliation in divided societies*. Washington, D.C.: United States Institute of Peace Press, 1997.

The ***Reflecting on Peace Practice Matrix***[45] (below), on the other hand, helps you strategize for programmatic impact on Peace Writ Large. It identifies the type of change your program is working towards (individual/personal and socio-political), with whom (key people and more people) and how these isolated changes might be *connected* so they *add up* to impact on Peace Writ Large.[46]

Table 4: Reflecting on Peace Practice Matrix
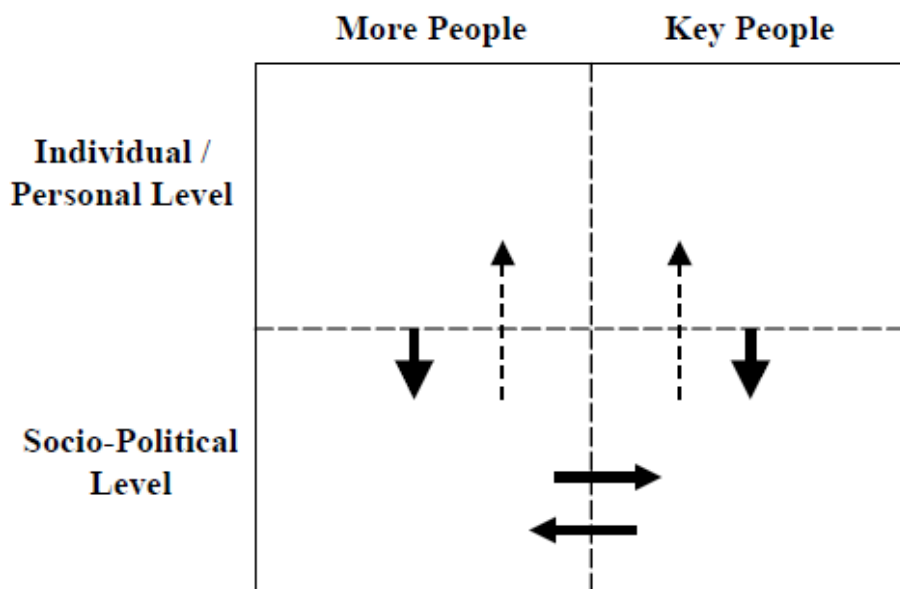
(source: *Reflecting on Peace Practice*, CDA Collaborative Learning Projects, 13.)

There is no single cure-all for program design. All of the tools referenced above need to be used to complement each other, and some are more appropriate for certain challenges than others. Ultimately, this will help you design better programs.

Why it's useful:
- It can be used to chart macro-level strategies, such as country- and/or portfolio-levels, and the types of interventions required to 'add up' to the desired impact. It can serve as a planning tool for funding mechanisms. For donors, it could even act as a strategy and planning tool for determining which applications for funding will be awarded, and how each of those individual interventions will 'add up' to impact at the funding mechanism level.
- Both of these tools help you think through how an activity, programme, or strategy that aims to produce a change in an individual quadrant might be connected to other quadrants in order to 'add up' to greater impact. For instance, if the desire change is to reduce corruption in a community, one may consider combining an education radio campaign targeted to the population, while also providing training to police officers, judicial administration and other key stakeholders.
- By identifying and narrowing down the target group you can design more effective projects. Certain activities may be more appropriate for the intended change at one level of society over another.

---

45 *Reflecting on Peace Practice*, CDA Collaborative Learning Projects, 13.
46 For more detailed information and guidance on the use of this matrix, please refer to *Reflecting on Peace Practice*, CDA Collaborative Learning Projects.

- These tools help make your assumptions explicit of how changes will 'add up' to greater impact. This allows us to ensure assumptions are accurate.

Why it's tricky:
- There is no single formula for connecting actions across the RPP Matrix. It must be based on your own thorough conflict analysis, and an understanding of the most strategic and effective connections based on the context and your own capacities.
- Logical linkages between the areas in the RPP Matrix are not immediately apparent: it requires considerable and explicit thought so that your assumptions can be verified.
- The Levels of Action triangle is useful in helping you conceptualise how you will intervene in society, but does not suggest one route over another. Rather, this must be decided based on your individual and/or institutional strengths and weaknesses.
- 'Adding up' to macro-level impact is often beyond the programmatic scope of any single organisation or agency. Coordination and synergised strategies across donor organisations and funding mechanisms are therefore essential.

Tips:
- *You can't do it all.* A single agency does not have to cover all the quadrants in the RPP Matrix. "Most programs do not and cannot do everything at once." Programs in one cell can nurture opportunities for "cooperation/coordination of efforts with other agencies working in different areas to magnify impacts."[47]
- There is a *difference between being effective and having macro-level impact*. Many effective programmes operate in only one quadrant of the RPP Matrix, but there must be connections across quadrants in order for this to 'add up.'
- *Build credibility and trust with beneficiaries.* It is necessary to consider whether the intervening actor has the credibility to achieve added up effects. Building credibility and trust with beneficiaries and partners is essential, particularly in situations of conflict and fragility. An actor who recently entered a country may not be the most appropriate actor to achieve macro-level impact.
- *Expand your target.* Keep in mind that while the 'Types of Actors' listed in the Levels of Action Triangle are primarily 'key people' in their respective level, the triangle can be extrapolated to encompass 'more people' too.
- *Use your conflict and context analyses*. Your conflict analysis should be explicit and distinct from the context analysis, but both should inform your decisions on how to move between the quadrants in the RPP Matrix, and which level of society you choose to engage. *Read.* In order to master both of these frameworks, it is recommended that you read the tools' accompanying manuals and documents.[48]

---

47 *Reflecting on Peace Practice*, CDA Collaborative Learning Projects, 13.
48 *Reflecting on Peace Practice*, CDA Collaborative Learning Projects; Lederach, *Building peace: sustainable reconciliation in divided societies*.

Connections Across Sectors

It has long been recognised that the building of a just and sustainable peace is a multi-disciplinary task. This is particularly so in complex environments, especially those affected by conflict and fragility, where multiple areas of development inherently overlap and build on one another: from economics and the political economy to human rights and conflict transformation, democratic governance and private-sector development. The challenge is to understand the complexities of peace, conflict and under-development, and then apply that knowledge to improve conflict and fragile situations through cross-cutting programming.[49]

For DFID, integration of programmes in the intra-, multi-, inter-, or cross-sectoral levels can be used at the programme, country, portfolio or strategy levels (what may be referred to as 'meta-integration').[50]

- *Intra-sectoral* programming refers to multi-pronged approaches within a single sector to achieve a purpose. For example, a peace programme in a post-conflict environment might utilise media programmes to promote reconciliation while at the same time providing housing rehabilitation as informal reparations, along with trauma healing.
- *Multi-, inter- or cross-sectoral* programming refers to multi-pronged approaches across sectors, in what is sometimes referred to as cross-disciplinary coordination. "This form of integration is well known in the field of development, for example by combining maternal-child healthcare with literacy, or cooperative development with civil society strengthening, etc."[51]

Taken a step further, these strategies can be checked against the RPP Matrix mentioned previously to assist in designing for macro-level impact.

Why it's useful:
- Connecting intangible benefits from peacebuilding with the tangible benefits of development can provide a mutually-reinforcing mechanism to prevent backsliding in either area of work.
- Development activities can provide a legitimate and neutral space for interaction between conflicting groups.
- Economic development, indeed any single disciplinary approach, alone is not a catch-all solution to conflict and fragility.
- Incorporating development activities into contact or dialogue-based peacebuilding can provide tangible benefits, i.e. changing the lived realities of beneficiaries, which may increase the long-term prospects of success at the macro level. Similarly, incorporating holistic approaches to restoring healthy relationships (a peace-based approach) in development activities can "create a more humanistic vision of development."[52]

---

49 For more on designing, monitoring and evaluating cross-cutting programming, see: Rogers, Chassy and Bamat, *Integrating Peacebuilding*; Zelizer, Craig. *Integrated peacebuilding: innovative approaches to transforming conflict*. Boulder, CO: Westview Press, 2013; Bayne, Sarah. *M&E of Integrated Peacebuilding and Development*. DFID: Department for International Development, 2013.
50 Rogers, Chassy and Bamat, *Integrating Peacebuilding*.
51 Rogers, Chassy and Bamat, *Integrating Peacebuilding*, 9.
52 McCandless, Erin and Mohammed Abu-Nimer. "Peace Operations and Development Interventions: Expanding Focus on Context, Politics, Participation an*D*d Transparency." *Journal of Peacebuilding & Development* 5, no. 1 (2009): 1-7.

Why it's tricky:

- The chosen connections between peacebuilding and development activities must be appropriate for the context and conflict. Integration is often done on an ad-hoc basis that is not thoroughly thought through nor based on rigorous conflict and context analyses.
- Conflict sensitive development is not necessarily peacebuilding. Peacebuilding is about addressing the key drivers of conflict, while conflict sensitivity is identifying and mitigating for potential unintended consequences of the actions on conflict dynamics.

Tips:

- *Apply the Reflecting on Peace Practice Matrix* to better understand how your cross-cutting intervention can 'add up' to greater impact in both Peace and Development Writ Large.
- *Consider cultural and contextual perceptions and definitions of 'development' and 'peace'*—these have implications for what constitutes 'success' in the eyes of beneficiaries, and therefore on the prospects for stability, development and peace at the both the micro and macro levels.
- *Missing institutional linkages may undermine macro-level impacts.* Consider how the economic, political, judicial and participation-incentive structures might be strengthened.
- *Articulate and verify your assumptions.* Integrated programming frequently operates on a wide range of un-tested assumptions on the interaction and 'adding up' of the integrated sectors. You might even consider creating assumption-level indicators.

Indicators

Indicators help us understand whether or not the desired change (as stated in our objectives) has occurred. Indicators can be qualitative or quantitative, but should always provide "a simple and reliable means to reflect the changes connected to an intervention."[53] Often, but particularly with intangible change, indicators are *approximations* of the change and not representative of the change itself. In other words, indicators are not synonymous with evidence.[54]

It is exceedingly difficult to measure change in complex environments, where there may be more than one variable effecting the observed change. It is of the utmost importance that indicators are intimately linked with the intervention design. To do so requires an in-depth knowledge of the intervention context, the nature of the change to be achieved, and how that change will occur—in other words, the design hierarchy. Thoroughly researched and SMART indicators are essential:[55]

- *Specific*. Indicators should reflect simple information that is communicable and easily understood.
- *Measurable*. Are changes objectively verifiable? Will everyone have the same understanding of the indicator?

---

53 Church, Cheyanne, and Mark Rogers. D*esigning for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programsn*. Washington, DC: Search for Common Ground, 2006: 44.
54 Goldwyn, Rachel and Diana Chigas, *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions*.. DFID: Department for International Development, 2013.
55 Roberts, Dawn, and Nidhi Khattri. *Designing a Results Framework for Achieving Results: A How-to Guide* . Washington, D.C.: The World Bank, 2012: 33.

- *Achievable*. Indicators and their measurement units must be achievable and sensitive to change during the life of the project.
- *Relevant*. Indicators should reflect information that is important and likely to be used for management and/or immediate analytical purposes.
- *Time-bound*. Progress can be tracked at a desired frequency for a set period of time.

Indicators should also pass the following three tests:

1. **Reliability**: consistency of the findings regardless of who makes the measurement.
2. **Feasibility:** ease in collecting the information.
3. **Utility in decision making**: critical to informed choices.

(source: Church and Rogers, *Designing for Results*, 48)

In some cases, however, it may not be feasible to track outcome or impact indicators, such as when violent conflict is extreme or data is unavailable. In such cases, it may be advisable to shift towards "'real time' evaluation functions that focus on output indicators" which "are easier to track and less prone to attribution failures than impact indicators."[56] Nevertheless, the decision to focus on the output level should not be taken lightly, as it will significantly reduce your ability to understand the degree to which the desired change as or has not occurred.

Indicators are not well suited for unanticipated or unintended consequences, however and are in no way a panacea to understanding change. "By their very nature indicators must be designed *a priori*, and thus are unlikely to capture the unanticipated."[57] Indicators might help identify if a problem exists, "but in many cases they will not be adequate for determining causality, nor determining actions to mitigate it."[58]

Why they're useful:
- Provide evidence on whether you are 'on track' to achieve the desired changes. This is particularly important with non-linear change processes that so frequently characterise complex environments. Using indicators will help you understand if changes are required to your project. This is done by setting *targets* relating to an indicator by the end of programme, with incremental *milestones* at various periods throughout the programme. For example, milestones might be set at the end of year one and year two for a two year programme.
- Provide relevant lines of inquiry for the baseline study. This data can then be compared to that of the monitoring stage to ensure you are 'on track' and making progress, and in the final evaluation stage for determining the overall outcomes and impacts of the intervention.
- Provide evidence of whether and to what degree, you achieved your objectives. This will allow the evaluator to determine if and to what degree your project affected the desired change, as well as enhance your ability for greater impact in future interventions.

Why they're tricky:
- Indicators tell you what has changed, not necessarily how it has changed and why. If you collect information only on the indicators, then you are missing a lot of important data on how the

---

56 *Evaluating peacebuilding activities in settings of conflict and fragility improving learning for results* Paris: OECD-DAC, 2012: 68.
57 Goldwyn and Chigas, *Monitoring and Evaluating Conflict Sensitivity*, 23.
58 Goldwyn and Chigas, *Monitoring and Evaluating Conflict Sensitivity*, 23.

change took place. It is important therefore to also collect information on your theories of change.

- Indicators must be context and conflict specific. This means that they must be created for each logframe specifically. It is true, that often there are donor level indicators and sector-level indicators. It is also true that in other sectors such as in health care, indicators have become much more standardised and this has facilitated aggregation. That said, in the field of peacebuilding it may not be appropriate to standardise indicators as each conflict is unique.
- It is tempting to replace indicators with objectives—don't do it! Objectives describe the desired change, which is frequently intangible. The indicator is an *approximation* of that intangible change—how the change might manifest itself in a way that is most relevant to the objective— not representative of the change.
- Indicators are approximations of whether or not change has occurred. But indicators cannot tell us about unintended effects or consequences, a particularly important consideration in conflict and fragile environments where there is the very real possibility of causing harm.

Tips:
- *Bundle your indicators.* Indicators, particularly for intangible change, are approximations. It is essential to use more than one indicator in order to understand the degree to which the change was achieved, and triangulate the data. *However, be careful not to overwhelm yourself and implementing staff*. Having too many indicators quickly becomes too time-consuming and may result in data overload. Try to limit yourself to one or two indicators per objective.
- *Indicators should be created to monitor the contributions of the programme to addressing conflict and fragile. [59]* Indicators can be also created to measure conflict sensitivity.[60]
- *Define all aspects of your indicator*, including setting realistic targets and benchmarks. In your indicator definition, include what you mean by ambiguous words such as "participation" and "satisfaction." The more concrete your indicators are, the more utility you will find in the data collected.
- *Consider using proxy indicators.* These can be used when direct measurement is not feasible— either due to the nature of the change (intangibility) or the environment in which the change occurs (conflict sensitivity and do no harm). Proxy indicators usually represent *conditions conducive* for achievement of the desired change (i.e., show that the means exist to achieve the desired change without demonstrating if the change actually occurred).
- *Identify which indicators need to be disaggregated.* Most indicators should be disaggregated by sex, but you may consider also disaggregation based on ethnic group, religion, age and location. Determining what the conflict factors are and how these may shape attitudes or behaviours will give insight into 'what to disaggregate' and 'when'. When it is inappropriate to ask individuals of certain characteristics related to religion, status, or group affiliation, consider having proxy indicators such as language or place of residence.
- *Creatively think about culture and context (*including the characteristics of conflict, fragility and complexity) and how these might affect your indicators.[61] It might not be culturally or

---

59 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID, 3.
60 See Goldwyn, Rachel and Diana Chigas,.*Monitoring and Evaluating Conflict Sensitivity*. DFID: Department for International Development, 2013, for detailed guidance.

contextually acceptable to ask a specific question in order to learn the answer to your indicator.[62]

- *Include targets to help you "determine the size, magnitude or other dimension of the intended change."[63]* Doing so will provide programme managers and donors with more detailed information on whether there are gaps in and new opportunities for programming, as well as provide greater information on the extent the programme is 'on track' to achieve its objectives. The baseline should inform what is realistically feasible in your change targets.
- *Seek guidance on how to measure intangible concepts,* including indicators on trust, perception, and safety. [64]

Baseline

A baseline is "an analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made."[65] A baseline is not a conflict or context analysis. A baseline seeks to gather data on key indicators of change so that end results can be measured and sound conclusions drawn. It is absolutely essential in order for any verifiable outcome or impact statements to be made at the end of the project, and provides an opportunity to reflect on the appropriateness and relevance of the proposed intervention before it is implemented.

A conflict analysis, on the other hand, seeks an understanding of the specific conflict sources, drivers, dynamics and key actors in order to inform programming throughout the cycle. While both provide important input data to programme design, monitoring and evaluation, the scope, purpose and methods vary.

The baseline study may be conducted internally or by an external consultant. Keep in mind that internal studies are more confined to the skillsets of available personnel than those conducted by external consultants.

Why it matters
- Enables project staff to work together and, if done effectively and efficiently, sets up a good model for learning and decision-making.
- Helps project staff make decisions based on current data and an updated conflict assessment.
- Provides an opportunity to reflect on the relevance and feasibility of your intervention design— *and adjust if necessary*. If the project logic was flawed, this is the time to change your theory of change, activities and strategy.
- Analyses the core theory of change, assumptions, objectives, and impact of your program. For instance, if your project is about increasing interethnic cooperation, then it is important to understand existing and previous interethnic cooperation and measure the current level of co-operation within the community.

61 Lederach, John Paul, Reina Neufeldt, and Hal Culbertson. *Reflective Peacebuilding: A Planning, Monitoring and Learning Toolkit* 20074: 38.
62 See Corlazzoli and White, *Measuring the Unmeasurable*, List Experiments for a unique tool to mitigate this challenge.
63 Church and Rogers, *Designing for Results*, 6. .
64 Corlazzoli and White, *Measuring the Unmeasurable*
65 *Glossary of key terms*, OECD-DAC.

Why it's tricky:

- Conflict-affected and fragile environments pose numerous challenges to data collection, not to mention the frequent intangible nature of the required measurements. Depending on the state of the environment, it may not be possible, feasible or ethical to conduct a baseline at that particular moment in time. Consider the state of escalation or de-escalation of dynamics, and what implications this might have on your data collection efforts.
- The baseline is the first activity that needs to be rolled out once a programme has been approved and it is a big undertaking for any country office. It requires much coordination, scale-up and skilled staff to conduct a useful and effective baseline. If not properly funded or executed, it may set back a programme.
- Baseline studies may not be adequately funded or budgeted for which will gravely limit what you can measure and learn from your programme.
- Baseline reports often have multiple readers and audiences who want different things from the report and the data collected. First and foremost, the report must highlight the status of the environment that the project will later affect. At the same time, it must provide information to programme staff so that they can implement more effective activities.

Tips:

- *Conduct research in a conflict sensitive manner.* This requires a detailed and nuanced knowledge of conflict dynamics and cultural norms, all of which have implications for the staffing of the baseline, desired data, and research tools and approaches. Research questions must take into account cultural appropriateness and conflict sensitivity.
- *Draw on existing literature, indices, and local knowledge to provide depth and breadth to your baseline.*
- *Use baseline data to inform programming, not the other way around.* The program team should be convened after baseline data is available in order to reflect on its findings and potential implications for the proposed intervention: does the data indicate we need to change an activity or strategy, for example?
- *Create a knowledge management system to store raw data.* Raw baseline data should be stored so it can be used during the entire project and by the evaluation team, either in the mid-term or final evaluation. They may have a different analysis of the data than you, potentially revealing new insights.
- *Field-test your methodologies, indicators and tools before conducting the baseline study.* New insights may arise that will increase the effectiveness and relevance of your study, such as overlooked cultural phenomena that may make a certain indicator inappropriate.
- *Review and refine M&E plan and targets.* Once the baseline is completed, review your monitoring and evaluation plan, set targets for each indicator, and set in place a robust monitoring system for learning.

Chapter 2: Monitoring

Difference between Monitoring & Evaluation

Monitoring and evaluation are two distinct but interrelated and converging processes that are critical for the effectiveness of an intervention or policy. In the midst of what can often be the overwhelming complexity of fragile and conflict environments, monitoring and evaluation processes allow us to take a step back—if only for a moment—to reflect and look at the data of what is or is not changing as a result of our actions. These two processes allow donors and practitioners to be accountable. More importantly, they enable us to assess what we have learned, as well as where we need to make improvements.

Monitoring is "a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds."[66] In other words, it is an on-going process which generates information that informs decisions about a programme while it is being implemented.

Monitoring provides critical, on-going information *related to and during* the implementation of a programme or policy. Its inquiries are generally focused on information that is *immediately relevant* to the implementation of the intervention. Monitoring provides information on where an intervention is in relation to achieving its intended results.

Evaluation is "the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability."[67] Evaluation may also include issues such as worth, including value-for-money, and/or the significance of an intervention or policy.

Evaluation may occur at the *mid-term* (half-way through or at a critical juncture) in the project lifecycle, or at the *end of a project* (summative evaluation). It frequently focuses on larger issues, examining both the anticipated and unanticipated outcomes or impact of the intervention.

What to Monitor?

Monitoring is an on-going process that enables all actors, including beneficiaries, an opportunity to learn and reflect on the changes that are taking place.   There are many different reasons why one should monitor a project, particularly in conflict and fragile states.

Most often, donors and implementers guide their monitoring process by what is written in their logframes, indicators, and M&E Plans.   If these are updated regularly to address the changing dynamics of a conflict and reflect evolving activities, then it is appropriate for one to look to these documents for guidance.

However, sometimes the logframe is outdated, the indicators are poorly written and defined, and the M&E plan stagnant. When this occurs, the cost of collecting and reporting on irrelevant indicators is not

---

66 *Glossary of key terms*, OECD-DAC, 27-28.
67 *Glossary of key terms*, OECD-DAC, 22.; *Learning What Works to Improve Lives,* DFID, 9.

only wasteful, but a missed opportunity to reflect and learn about the changes that are actually being achieved. In these cases, one should clearly not use these documents to guide their monitoring process.

There is much more to monitor than the indicators. In fact, when creating a monitoring plan, donors and implementers should focus on reflecting and measuring the following six types of monitoring processes:

Conflict monitoring provides critical information on the evolving context and conflict in which the intervention is taking place in. It is important to keep in mind the following points:
- How is the conflict evolving? Are there new actors? Changes in demands or shift in alliances? Are there new advances towards progress or peace? Is the conflict affecting women and men differently?
- Are you keeping track and paying attention to the different causes or triggers of conflict, peace and resilience?
- How is the environment responding to the changes you are achieving due to the intervention and other variables? How is the environment affecting your target group?
- Are there changes in the environment that require a change in activities, theory of change, or strategy?
- Are short-term activities or interventions going to produce harm in the long term? Will short-term intervention trigger or produce causes for future conflicts?
- Will staff and beneficiaries remain safe if the activities are implemented given the conflict dynamic?

This type of monitoring will ensure that you are being adaptive and reflective given the conflict. It also will confirm that the activities you are implementing are not in any way exacerbating the conflict dynamic(s) or producing harm to beneficiaries or staff.

Conflict Sensitivity: A recent paper on *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions* goes into detail on how to monitor and evaluate projects for conflict sensitivity. In summary, the paper states:

"At the core of M&E for **conflict sensitivity** is identifying, understanding and preventing the possible negative effects of interventions on conflict. Exploring the possible contributions to peace is a secondary interest, subordinate to the primary interest of avoiding contributing to conflict. For conflict sensitivity M&E can assess any contribution to peace, the process does not need to examine whether the intervention affects a *key* conflict driver positively."[68]

This paper would be useful for any donor or practitioner working in conflict and fragile states.

Implementation and quality monitoring is specifically concerned with the extent to which the intervention is doing what it said it would do and the quality of the intervention.   In conflict settings, it is possible to implement high quality and still not achieve the stated objectives. However, before one claims that the activities were of high quality, one has to measure quality. It is important to ask repetitively and throughout the programme the following questions:
- Are the activities being implemented in the manner described in the programme design, in order to achieve the desired outcomes and objectives?

---

68 Goldwyn and Chigas, *Monitoring and Evaluating Conflict Sensitivity,* 8.

- Have the activities taken place within the sequence and timeframe needed to produce the desired change? If not, why? Is there a need to redesign?
- Were the activities safe for all participants?
- Were the most appropriate individuals involved during the right activities at the right time?
- Are the expected targeted numbers of female participants incorporated in the high-level dialogue negotiation process as projected? Why or why not?
- Is efficiency being achieved given the resources in the grant?
- Are the activities taking into account women and men's role and responsibilities? Is the timing of training, facility, facilitation style, and environment conducive to the equal participation of both men and women?
- How can the scale of the activities be increased?

Measuring quality of an activity may be done by comparing evaluation forms of trainings or dialogue sessions against pre-determined criteria. The analysis of the evaluation forms should lead to changes on the activity to ensure greater impact. Peer-review of trainers is another methodology to measure quality deliverance of activities. Finally, it is important for implementing staff to have a safe space to discuss what has worked and not worked and how to capitalize on unexpected opportunities. As staff monitor the implementation of the programme, it is important that all measures are taken to avoid causing harm.[69].

Monitoring Theories of Change and Assumptions[70] enables practitioners to understand what changes are taking place and whether the assumptions underlying the design were accurate. The process of monitoring our assumptions and theories of change is the same as traditional monitoring of output and performance indicators: it involves an iterative cycle of regular data collection, analysis, reflection, feedback and action. The only thing that changes is *what* you are monitoring. [71] To monitor your theory of change, identify the key assumptions in the theory of change, then create a plan to collect key data to test the assumption(s) and the overall theory. You may want to reflect upon the following questions:
- Does the evidence reflect what we anticipated in the theory of change, its assumptions and our expectations of change? Why or why not?
- Are there other plausible, evidence-based explanations for the observed results? Why or why not?[72]

---

69 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID, 1.

70 For more information related to monitoring theories of change, see Ober, Heidi. *Guidance for designing, monitoring and evaluating peacebuilding projects: Using Theories of Change*. London: CARE International UK, 2012.

71 Corlazzoli, Vanessa, and Jonathon White. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part II: Using Theories of Change in Monitoring and Evaluation*. DFID: Department for International Development, 2012.

72 Corlazzoli and White, *Practical Approaches to Theories of Change,* 6.

And use the CARE Theory of Change Monitoring and Evaluation Planning and Collection framework:

Table 5: CARE ToC Monitoring and Evaluation Planning and Collection Grid							
1 Theory of Change	2 Lines of inquiry- research question(s)	3 How does the theory of change contribute to its related results in the results hierarchy	4 What is your evidence of the result being achieved?	5 Did the activities and lower-level results indeed lead to the anticipated higher-level results?	6 Were there changes in the context?	7 What other external factors could have contributed to the result?	8 What could have made the theory of change and/or the results more successful?

(source: Ober, *Guidance for Using Theories of Change*, 13.)

Risk Monitoring starts at the design of the project and continues throughout the life of the project. Working in conflict and fragile states means that donors and implementing agencies must be willing to take some risks, and therefore "results management needs to be closely integrated with risk management."[73]

DFID identifies two types of risks related to results: (1) risk of no achievement or underachievement of objectives; and (2) risk of doing inadvertent harm. [74] These risks are associated with operational risk related to safety of staff, partners, beneficiaries and financial or reputational risks.

Risk Monitoring may involve continuously asking the following questions:
- Was a risk assessment done to identify and prioritize the risks that could affect the project?
- Are the risks classified into different risk levels according to the rating system?
- If there was a change in conflict dynamic, how was/is the project affected? Do the changes produce any additional risks?
- Are we collecting information on key triggers of conflict that would also led to an increase in risk? (for instance food prices rising, human right situation deteriorating, governance environment deteriorating)[75]
- Did the activities and lower-level results lead to anticipated higher-level change?[76]
- What other external factors could have contributed to the result?
- What could have made this theory of change more successful?
- Are the scenarios in our risk assessment relevant and accurate?
- Is a strategy set in place for risk management? Is it still relevant?

To monitor risks you may consider creating a risk register or matrix to monitor risk at different levels and set out appropriate risk management strategies and scenarios.

Monitoring for Value for Money. "Value for money considerations in conflict and fragile states need to take into account the difficult context."[77] In monitoring for value for money you may consider the following points:[78]

---

73 *Interim Guidance Note: Measuring and managing for results in fragile and conflict-affected states and situations*. London: DFID: Department for International Aid, 2010: 2.
74 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID, 8; *How to Note: Managing fiduciary risk when providing Financial Aid: A DFID Practice Paper.* London: DFID: Department for International Aid, 2009.
75 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID, 16.
76 For more guidance, see *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID.

- Considering on-going risks and returns
- Deriving appropriate comparators as unit costs are likely to be higher in conflict settings
- Factoring in the benefits of wider impacts of interventions (such as the contributions of a sector programme to security, institution building or strong state-society relations)
- The costs of not intervening (or another relevant counterfactual)

Monitoring for Learning. Learning is supposed to underpin the entire monitoring process. That said, in the busy implementation cycle, one has to take conscious effort keep learning at the forefront of the conversation. The following tips can help you maximise learning from monitoring processes:

- *Be honest.* In international development and particularly in conflict and fragile states we must be honest about what worked and what didn't work, and how it worked and when it didn't work.
- *Create safe spaces* for donors, implementing staff and beneficiaries to share lessons learned and make recommendations for improvement. These may be conducted in private if information is too sensitive to be shared in a group setting. Trust between all individuals is one of the most important factors that will enable learning.
- *Consider having a trusted facilitator* and setting up an environment where innovation and new ideas rise above criticism and blame.
- *Be action oriented.* Consider having focused conversations that enable staff to take concrete next steps towards modifying or improving their performance and the overall programme.

Planning to Monitor

Monitoring progress towards results "goes beyond simply reporting on planned versus actual activities and results."[79] The purpose of monitoring in conflict and fragile environments is to *use data gathered around key **outcome indicators** to inform decisions*. Data collected must be used not only for accountability purposes, but to inform programming decisions and improve program implementation.

When a programme is funded, implementing staff and donors should come together and question key monitoring decisions made at the design stage to ensure they are still relevant. Implementing staff, partners, and beneficiaries must identify the key decisions that will be made throughout the life of the project and plan data collection strategies that will enable them to: (1) collect information for key decisions, (2) monitor against the different types of monitoring (outlined above), and (3) collect against key output and outcome level indicators for reporting purposes.

To do all this, a clear monitoring and evaluation strategy must be agreed upon by all contributing players, including strategic partners and beneficiaries. This strategy should be written in the form of a monitoring and evaluation plan and regularly updated given the changing context and conflict.

---

77 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID, 2.
78 the bullets that are included in this section come from: *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID.
79 Church and Rogers, *Designing for Results*, 87.

Why it matters:
- Monitoring, in all its various forms, is absolutely essential to ensure that you: (1) implement a programme in the manner described in the design and/or (2) that the programme remains relevant to the ever-changing dynamics of conflict and fragility.
- Monitoring is an on-going learning exercise that helps improve the programme—its effect, interaction with the environment, and relevance—as it is being implemented.
- Monitoring should not get in the way of implementation of activities. It is essential to work as a team in order for monitoring activities to support long-term social transformation.
- It is important to monitor what is important, not what is easy to measure.[80] It is important to invest in data collection, identify data gaps, and build capacity of staff.

Why it's tricky:
- Monitoring in conflict and fragile environments is tricky because the variables that one tries to change (security, safety, legitimacy, institutions, and tolerance) are inherently intangible and difficult to measure.
- Monitoring for long-term changes, in short turn around programmes, is a challenge that can be mitigated by setting realistic milestones and benchmarks.[81]
- Monitoring doesn't just happen. It needs to be planned for in a thorough manner, with clear roles, responsibilities, timeframes, indicators and expectations. This means that all projects need a clear Monitoring and Evaluation Plan and strong program management leadership to see it through.
- There is a strong temptation to make implicit analyses and judgments on monitoring data. Implementation can be quite hectic, but there is value in explicitly writing analyses down, both for posterity and future programme staff. This will enable you to verify your assumptions, which are more likely to go unchecked if they remain implicit.

Tips:
- *Research and look for existing evidence.* It is important to conduct research and draw on experiences from similar programmes whether they took place in the same country, or from other conflict and fragile stats. If the programme is a pilot, it is very important to test and monitor it to be able to take it to scale.
- *Write a Monitoring and Evaluation Plan* (M&E Plan) within the first two months of the project and make sure that all key stakeholders are involved in the process. Once it is written, update the plan regularly to see what else you should be monitoring and how. Use the monitoring and evaluation plan to define indicators, mainstream gender, and set realistic targets and benchmarks.
- *Explicitly assign monitoring responsibilities* to different programme staff as part of the M&E Plan. People involved should know exactly what data they need to collect, as well as how, when and how often.
- *Go beyond indicators.* Your M&E Plan should go beyond the indicators and integrate the different types of monitored discussed above.

---

80 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID.
81 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID, 6.

- *Consider integrating your work plan* with your M&E plan to ensure that M&E is planned for and prioritized just as any other project activity would be.
- *Be prepared*. Determine the key decisions you will have to make throughout the programme. Then identify the information that will help you make those decisions to plan for the data collection. Expect the unexpected, but plan accordingly and be prepared.
- *Use a mix of data collection methodology* to monitor your project. This may include observation, informal interviews, most significant change stories, and participatory video techniques.
- *It takes time.* Program Managers should make sure to budget sufficient time for staff to collect, analyse, discuss, reflect on, and learn from the data.   This may mean setting up organisational structures and build capacity within staff and implementing partners.
- *Reflect on the data*. Take time to reflect on the monitoring data and your analyses—new or additional insights may arise. Bring together all project staff, and where possible beneficiaries, for these reflections and make sure you write your conclusions down.
- *Take a participatory approach*. Engage with your direct target groups or beneficiaries and ask them how the activities are being perceived, delivered, and what changes they feel are needed. If possible, invite beneficiaries to reflect with staff every three months to help ensure that activities are meeting needs, and at the very least, not exacerbating the conflict.
- *Save your monitoring data in a database.* Evaluators can use this information when conducting their mid-term or final evaluation. They may have different conclusions than you and will need to look at the raw data.
- *Integrate a knowledge management plan* into your monitoring and evaluation plan, so that you data is accessible and secure.
- *Share your learning* with the greater peacebuilding and security and justice community.

Methodologies and Tools to Monitor

Regardless of where a programme on security, justice, and peacebuilding takes place – be it in a stable, conflict, or fragile environment-- monitoring will result in capturing changes related to concepts that are inherently hard to measure or count. One will need to come up with creative and innovative ways to measure concepts related to culture norms, trust, attitude, legitimacy, safety, security, behaviour and social cohesion. Moreover, in peacebuilding and security and justice programmes, causal paths are not linear. It is difficult to measure how a change of attitude and behaviour can interact with other elements of societal systems, such as institutional reform or electoral outcomes.

As a result, it is important for conflict advisors and technical staff to choose the most appropriate social science tools to capture these changes and monitor towards results. There are a range of social science data collection tools that can be used in conflict and fragile environments, shown in the table below.[82] This is not an extensive list, but rather offers just some of the tools you may incorporate in your data collection strategy.

---

82 For more details, see Corlazzoli, Vanessa, and Jonathon White. *Measuring the Un-measurable*. DFID: Department for International Development, 2013.

Table 6: Potential Data Collection Tools

Outcome Measurements	Impact- Level and Long Term Measurement	Contribution to Peace Writ Large
• Likert Scales • Community Score Cards • Indices • Incident Logs • Media Content Analysis • Participant Diaries and Video Logs • Remote Monitoring • Social Network Analysis • Stakeholder Analysis • Outcome Mapping	• Impact Evaluation • Quasi- and Experimental Methods • Natural Experiments • List Experiments • Most Significant Change • Global Giving Storytelling Methodology • Systems Analysis	• Longitudinal • Cohort Studies • Meta-Analysis

Why it matters:
- It is important to first identify what it is that you need to learn and what change you are trying to measure. Only thereafter can you choose the most appropriate data collection tool.
- Choosing the most appropriate data collection methodology and strategy, you will make you more confident on your decisions and results.

Why it's tricky:
- More often than not, staff members navigate towards the most common research tools: surveys, focus groups, and key informant interviews. While these tools are foundational, other methodologies and approaches have advanced to ensure that tools can be empowering, statistically rigorous and more accurately measure "intangible concepts."
- Monitoring in conflict and fragile environments is usually left to implementing organizations, including strategic local partners that may not have the capacity or knowledge related to data collection tools.
- Be aware of the common pitfalls and challenges of collecting information in conflict and fragile environments, which may include political and security constrains, cultural and linguistic problems, management issues, and lack of capacity to draft, collect, and analyse findings.
- Tools and methodologies must be rigorous and appropriately implemented in order for resulting data to be considered valid and of good quality.

Tips:
- *Train staff and build capacity of the core concepts of data collection tools.* Training should include: foundational tools of surveys, focus groups and key informant interviews; do no harm practices for collecting sensitive data; security of confidential information; and creating knowledge management plans.
- *Be participatory*. Where possible and appropriate, consider using tools that are participatory in nature. This will enable you to empower beneficiaries to also reflect on the conflict and changes taken place.

- *Mix-methods is the best approach.* Mixing qualitative and quantitative data will give you both breadth and depth of information. It is generally seen as the best approach to apply in conflict and sensitive situations where individuals may not feel comfortable answering certain questions in surveys or focus groups.
- *Be innovative.* By combining different data collection methodologies, and approaches, it will be easier to innovate your data collection methodologies. Don't be afraid of using newer methodologies, such as outcome mapping, to measure non-linear result chains.
- *Comparison groups.* In conflict and fragile states it may be impossible to find a control group. Consider then having the most likely-group given the circumstances and acknowledging the factors that are beyond our control. Having comparison groups, even in approaches that do not include an impact evaluation, will increase the rigor of your monitoring or evaluation.
- *Triangulate.* Regardless of the data collection tool chosen, triangulating data points between sources and across different data collection tools is important.
- *Share.* Where possible connect and working collaboration with other implementing organizations to share data already existing. Donors may consider playing a facilitating role for data to be shared.
- *Contribute to national ownership.* Where possible it is important to build national ownership of data generation and analysis. If possible, work within existing research bodies, national agencies, survey, and information bureaus.

Chapter 3: Evaluation

The peace, security and justice sectors have struggled with the implementation of rigorous evaluations in conflict and fragile states. When compared with other humanitarian and development sectors, relatively few evaluations are conducted, and even fewer are made publicly available for research and learning by the community as a whole.[83] Key questions related to the extent to which programmes can contribute or attribute to peace writ-large and the causalities of programmes in complex environments persist.

This section draws on existing evaluation guidelines: the OECD-DAC's *Evaluating Peacebuilding Activities in Settings of Conflict and Fragility* guidance; *Learning what works to Improve Lives The UK's Government Policy for Evaluation (DRAFT 2012);* and *Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs.* The paper aims to highlight key evaluation terminology for evaluation planning, as well as a few additional tips. It aims to show that properly planning for an evaluation can transform the process from a simple box-checking exercise into a more rigorous, learning-focused process.

What Characterises an Evaluation:

1) Clear governance arrangements (steering/reference group) to ensure international standards are met on independence, quality and usefulness to ensure findings help decisions making

2) A systematic approach with appropriate and robust methods, following international evaluation criteria, as the model and then adapting them as necessary, to suit the content and the particular programme

3) Going beyond the immediate objectives of the programme to ask why and how it works, including investigating the theory and assumptions behind the intended effects and checking the unintended effects

4) Independent assessments separate from policy makers, programme managers and implementers

5) Transparency and publication

(source: *Learning What Works to Improve Lives,* DFID, 10.)

Occasionally, people will use the terms 'evaluation' and 'research' interchangeably. It is important to note that while evaluation and research may use some of the same tools and methodologies, their purposes, audiences, and results are different. According to Michael Scriven, "evaluation determines the merit, worth, and value of things," aiming to inform and make concrete recommendations for decision-makers, policies, and programmes.[84] In other words, evaluators are asked to make judgements based on facts and evidence that they collect.   Research, on the other hand, focuses on generating new or contributing to existing knowledge.

---

83 *Evaluating Peacebuilding*, OECD-DAC, 7; Search for Common Ground. "DM&E For Peacebuilding: The Learning Portal for Design, Monitoring and Evaluation for Peacebuilding." http://dmeforpeace.org/ (accessed March 24, 2013).
84 Scriven, Michael. *Evaluation thesaurus.* Newbury Park: Sage, 4th ed., 1991.

Evaluability

The first step to having a good evaluation is to conduct an evaluability assessment and determine the "extent to which an activity or program can be evaluated in a reliable and credible fashion."[85] An evaluability assessment can be used to clarify program logic to: 1) improve program implementation, and 2) determine the feasibility of an evaluation.

Evaluability is used to assess the "**coherence and logic of the programme**, **clarify data availability**, and assess the extent to which program managers or stakeholders are likely to **use the evaluation findings**, given their interests and the timing of any evaluation."[86]

Why it matters:
- Two products are usually produced from evaluability assessments: 1) an agreed-upon program logic and design with *realistic* and *measurable* goals, objectives, theory(ies) of change, and indicators that the program can be held accountable to; and, 2) recommendations on options to improve one or more of the following: (a) management of program activities, (b) uses of information in program performance during monitoring,[87] and/or (c) the evaluation of the program.[88]
- Prepares evaluation users for acting upon evaluation findings by orienting them to the shortfalls of current program designs and how it might become more realistic and measurable.

Why it's tricky:
- Evaluability assessments are not evaluations. While it might be tempting to add evaluative questions into the assessment, doing so will add considerable time to the process and may distract from the core purpose of the assessment.
- Key program stakeholders might have differing perspectives on how or why a program evolved, or even what the program is trying to achieve. It can be a time consuming process to determine such information. It is also important to make sure key program stakeholders are 'on the same page,' since not all evaluators are skilled facilitators.
- The timing of an evaluability assessment is critical, and is fundamentally linked with the purpose of the inquiry. For example, if the purpose is to improve program design, then the assessment should take place early in the program cycle so that any recommendations from the assessment can be included in the design prior to or during implementation.

Tips:
- *Conduct the assessment with a diverse team* of representatives from key stakeholder groups to ensure greater buy-in for using the results. Consider including programme implementers, administration and M&E specialists.
- *Invest time from the outset to understand the history and evolution of the programme*. The purpose of the programme may have shifted over time, and it is important to understand how

85 Kusek, Jody Zall, and Ray C. Rist. *Ten steps to a results-based monitoring and evaluation system: a handbook for development practitioners*. Vol. 289. World Bank Publications, 2004: 225.
86 Reiman, Cordula. *Evaluability Assessments in Peacebuilding Programming: CDA Working Papers on Program Review & Evaluation*. Cambridge: CDA Collaborative Learning Projects, no. 3, 2012: 4;
Trevisan, Michael S., and Yi Min Huang. "Evaluability assessment: a primer." *Practical Assessment, Research & Evaluation* 8, no. 20, 2003: 3.
88 Reiman, *Evaluability Assessments*, 7.

and why, so that your re-constructed programme logic and recommendations are relevant to user needs.[89]

Evaluation Preparation:

Key Stakeholders

Evaluation preparation refers to the initial stages of preparing for an evaluation. Evaluation preparation is one of the most important steps in an evaluation process, especially given the complex context that the evaluation is taking place within. Without good planning and management, you will not get the most out of your evaluation.

Generally, evaluation preparations begin with the programme design: identifying key purposes of the evaluation, its scope, programme objectives, and budget. Whether monitoring and evaluation technical staffs like to admit it or not, most of the evaluative decisions are shaped by the budget that was allocated in the initial proposal or call for proposal. If there is limited budget in the evaluation line, it will be impossible to ask interesting evaluative questions, and tough compromises will have to be made in the evaluation design. Think carefully about evaluation needs at all stages of the programme as it is being designed and budgeted for: reflect on key information that will need to be collected during the baseline, and as the monitoring and evaluation plan is created.

Leading up to the end of the programme, even more decisions will be made regarding the evaluation. Key programme stakeholders and beneficiaries who should be involved in the evaluation may not be immediately identifiable in the evaluation preparation phase. Nevertheless, it is still possible to convene key programme stakeholders, including **partners**, **organisation** and **programme management** and **staff**, **M&E specialists**, and to the extent possible, **key programme beneficiaries, and donors**.

Why it matters:
- It is important to convene a range of key stakeholders to the evaluation so that the evaluation meets their needs. There is little purpose in conducting an evaluation without ensuring that it is relevant to the needs of key evaluation stakeholders—this will help ensure that the findings get used.
- The initial conversations with all key stakeholders should be framed around identifying "*what we need to learn from the evaluation*."
- Bringing key stakeholders together to determine the scope of the evaluation will help foster an evaluation culture, and achieve user buy-in.

Why it's tricky:
- Who to involve and when can be difficult. Getting the 'right' people in the room can be problematic, and can be compounded by trying to include too many people in the process. Consider developing strategies prioritising feedback from certain key individuals who are most likely to have a greater stake in, and/or use of the findings of, the evaluation.

---

89 Williams, Valerie. "EPE Week: Valerie Williams on Evaluating Environmental Education Programs." AEA365: A Tip-a-Day by and for Evaluators. http://aea365.org/blog/?tag=evaluability-assessment (accessed February 15, 2013).

- Different actors may want to learn different things from the evaluation. Managing relationships and the politics of prioritising learning objectives will be tricky, even for experienced program managers and monitoring and evaluation experts.

Tips:
- *Consider inviting staff who work on other similar programmes to contribute to the evaluation process.* This will encourage cross-fertilisation of learning, and greater use of evaluation findings beyond the immediate programme.
- *Assign a trusted individual to act as the **Evaluation Manager** throughout the entire process of the evaluation*. This person will be critical for facilitating conversations across diverse stakeholders, maintaining relationships with the evaluator, helping to arrange logistics, and making sure that the evaluation process runs as smoothly as possible.
- Ideally, the Evaluation Manager would be an individual that has not been involved in the programme, but has a good relationship with all key stakeholders and knows the administrative bureaucracy of the organization or country programme.

Evaluation Purpose: Accountability and Learning

"Defining the purpose and the objective of an evaluation is the most important planning step."[90]
There are two potential purposes to evaluation: learning and accountability. Most evaluations seek to blend the two:

- **Accountability** is the "obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-à-vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms."[91] It may also "refer to obligations of partners to act accordingly to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources."[92] The audience that the programme is being held accountable to may differ. For instance:
  - **Upward Accountability** generally refers to being accountable to donors, host governments, government laws, and the general public (including tax-payers).
  - **Horizontal Accountability** generally refers to being accountable to one's colleagues and peers, whether within the same or other organizations.

> **The evaluation purpose enables the commissioner of an evaluation to answer the following:**
>
> 1) Why are we doing an evaluation?
> 2) How will the information be used?
> 3) Who will use this information?
> 4) Who will make decisions based on the evaluation findings?

---

90 *Evaluating Peacebuilding*, OECD-DAC, 26.
91 *Glossary of key terms*, OECD-DAC, 11.
92 *Glossary of key terms*, OECD-DAC, 15.

- o **Downwards Accountability** generally refers to being accountable to those being served by the programme.[93]
- "**Learning** looks to provide evidence and improve knowledge of results and performance," including an examination of what did and did not work, and why, with an eye towards improving future performance.[94] Key learning objectives are usually found or embedded in the evaluation criteria (see page 49).

Tips:
- Ask yourself: *"what is this evaluation meant to ascertain and how will this information be used?"*[95]
- *Most accountability-oriented evaluations seek upwards accountability*, from implementers to donors, and from donors to governments and citizens. If you are concern with upwards accountability, evaluation criteria may include efficiency, effectiveness, and sustainability.
- *To include more **downwards accountability**, consider asking evaluators to use participatory and most significant methodology* that involves program participants generating their own analysis and goes beyond simple survey methods. You may also use evaluation criteria related to relevance, sustainability, and effectiveness. Consider how the programme might be held accountable to beneficiaries through the utilisation plan or alternatively, how donors might be more accountable to implementers by providing realistic expectations, flexibility, and support.
- *The importance of learning cannot be overemphasised in the midst of complex, fragile and conflict environments.* With a wide range of factors pushing and pulling on the outcomes and impacts of the intervention, it is all the more important to understand what role the intervention played in bringing about observable changes.

Evaluation Scope

The scope of the evaluation refers to "the issues, funds, or types of interventions to be covered"[96] in the evaluation as well as the extent to which findings can be generalised.[97] This might include time periods, geographical coverage, target groups, and participants groups, as well as specific policies, such as memorandums of understanding or, if you are a donor, the original request for proposals.[98]

For example, the scope may be a single project, programme, or portfolio. Within a project or programme scope, it is possible to define specific objectives, indicators or geographic areas. The scope should be aligned with the evaluation purpose and the learning objectives.

---

93 Jacobs, Alex, and Robyn Wilford. "Listen First: A pilot system for managing downward accountability in NGOs." *Development in Practice* 20, no. 7, 2010: 797-811.
94 *Evaluating Peacebuilding*, OECD-DAC, 41.
95 *Evaluating Peacebuilding*, OECD-DAC, 40.
96 *Evaluating Peacebuilding*, OECD-DAC, 45.
97 Church and Rogers, *Designing for Results*, 124.
98 *Guidance on Evaluating,* OECD-DAC, 45-46.

Why it matters:
- The scope of an evaluation must be confined in order for the evaluation to be feasible. It should be derived from the purpose of the evaluation, as well as address what you would like to learn from a specific aspect of or the whole intervention.
- For donors, scope is all the more critical in large-scale evaluations. This includes portfolio or sector-level evaluations, where there are a large number of programmes and projects included and a full evaluation of each one would be a monumental undertaking.

Why it's tricky:
- There are often so many things we want to learn about a programme that it can be difficult to decide what to focus on. Consider what your most immediate and mid-term knowledge needs are, as well as the overall trajectory the organisation may be taking with that programme or similar programmes.

Tips:
- *Don't be overly ambitious, particularly for scope, content and timelines of the evaluation.* Provide a few broad questions at the outset that can be included for greater depth or add to the evaluation analysis.[99] The depth and width of the scope may be partially determined by the budget allocated for the evaluation – this underscores the importance of thinking about the final evaluation during the programme design phase and budgeting accordingly.
- *Don't forget to connect the implications of micro-level changes back to macro-level systems and dynamics.*   Failure to do so may result in you missing "important system-wide effects or constraints."[100]
- *Include gender considerations in the scope of an evaluation*. Failure to do so may result in an inadequate "understanding of different gender needs and roles," and therefore of the intervention's overall effectiveness, impact and relevance.[101]
- *Be explicit about asking the evaluator to incorporate an analysis on the conflict dynamic and the theory of change.* It is likely that both of these have evolved during the life of the programme and the key question will be related to understanding how effectively the programme adapted to the environment changes and what results were achieved given the context evolving.
- *Consider including criteria or an assessment of the programme's equity*: an assessment of whether the programme addressed or exacerbated societal or target area/population inequity(ies), directly or indirectly, intended or unintended.[102]

---

99 *Glossary of key terms*, OECD-DAC, 48.
100 *Glossary of key terms*, OECD-DAC, 49.
101 *Glossary of key terms*, OECD-DAC, 48.
102 For further information, see Bamberger, Michael, and Marco Segone. *How to design and manage for Equity-focused evaluations*. New York: United Nations Children's Fund, 2011.

Evaluation Criteria

Evaluation criteria describe what you want to learn from the evaluation. The criteria can range from traditional, such as identifying results, to less traditional, such as determining if the activities of a project are in alignment with the organisational vision."[103] Keep in mind that these should be connected to the purpose and scope of the evaluation and that the OECD-DAC has produced multiple publications on Evaluation Criteria.

The standardised criteria for all conflict and fragile international development assistance are described by the OECD-DAC[104] and summarised below:

1. "**Relevance:** the extent to which the objectives and the activities of the intervention(s) respond to the needs of the beneficiaries and the peacebuilding process."
2. "**Effectiveness:** the extent to which the intervention has met its intended objectives with respect to its immediate peacebuilding environment or likely to do so."
3. "**Efficiency:** assess how economically resources (funds, expertise, time, etc) are converted to results" This is also referred to as value-for-money.
4. "**Impact:** refers to the wider effects: positive or negative, and may be produced directly or indirectly, intentionally or unintentionally."
5. "**Sustainability:** the continuation of benefits on end of assistance. The probability of continued long-term benefits and resilience to risk over time, as well as lasting benefits in the economy, institutions, human resource management, etc. As in other fields, sustainability also includes 'ownership' of peace and development process."

In fragile and conflict-affected environments, it is important to consider three additional criteria:

1. Extent to which the intervention is addressing the driving factors of conflict;
2. Extent to which an analysis of conflict and fragility dynamics influenced the programming and implementation.; [105] and,
3. Extent to which the intervention was coherent and coordinated with other actors working in the environment.[106]

For peace and conflict-specific programming, five further criteria may be considered for effectiveness.[107] These can also be applied to development-based programming in fragile and conflict environments.

> 1. The effort results in the creation or reform of political institutions to handle grievances in situations where such grievances do, genuinely, drive the conflict.
> 2. The effort contributes to a momentum for peace by causing participants and communities to develop their own peace initiatives in relation to critical elements of conflict analysis.
> 3. The effort prompts people increasingly to resist violence and provocations to violence.
> 4. The effort results in an increase in people's security and their sense of security.
> 5. The effort results in meaningful improvement in inter-group relations.

---

103 Church and Rogers, *Designing for Results*, 100.
104 *Guidance on Evaluating* OECD-DAC, 65-72
105 *Guidance on Evaluating,* OECD-DAC, 47.
106 *Guidance on Evaluating,* OECD-DAC, 71.
107 *Reflecting on Peace Practice*, CDA Collaborative Learning Projects, 29.

Why it matters:

- *Criteria helps to ensure that everyone is on the same page about what type of questions the evaluation will seek to answer.* Using pre-established and well-defined criteria will enable the donor, the implementing organization, and the evaluator to use the same definitions and standards for frequently used words like "effectiveness" and "impact."
- Evaluation Criteria will help you create lines of inquiry or evaluation questions. The lines of inquiry are perhaps the single most important part of the evaluation since these are the questions that the evaluator will have to answer (using rigorous methodology) during the evaluation. They will choose their data collections tools based off of the criteria in order to answer the lines of inquiry.

Why it's tricky:

- At first, you may be tempted to simply include the five key OECD-DAC criteria set out above and learn about everything. However, this is not realistic. You must choose two to three criteria to focus on. Otherwise, it will be impossible to gather any real evidence and provide in-depth analysis on all five criteria, even if you have a generous budget.

Tips:

- *Consider the criteria that the programme will be evaluated against carefully.* There are, as outlined above, multiple criteria that an evaluation might employ. It is essential for the evaluation commissioner to understand the criteria, their strengths and weaknesses, and which is most suitable for the task at hand.
- *Be strategic about what you want to learn and how you use the evaluation criteria.*
- *Provide a copy of the conflict analysis to the evaluator.* This will help the evaluator make more informed conclusions regarding the key evaluative criteria listed above, and provides an excellent learning and accountability exercise for staff associated with the intervention.
- *Define additional criteria.* If you decide to choose an evaluation criterion that is not included in the OECD-DAC, make sure that definitions of key words are included in the evaluator's terms of reference and in the inception report. For instance, if you want to measure whether the approach was "appropriate" – it will be necessary to define 'appropriateness.'
- *International Development vs. Peacebuilding OECD-DAC Criteria.* The OECD-DAC first developed evaluation principles in 1991. These were later developed into criteria to evaluate international development programmes. The criteria definitions from the OECD-DAC International Development[108] and the OECD-DAC Conflict and Fragile States[109] are different even when the same words are used: impact, relevance, effectiveness, efficiency, and sustainability. *Pay close attention to each definition and choose carefully*, as the criteria that you use will shape your entire evaluation and the evaluation findings.

---

108 *Evaluating Development Key Norms and Standards,* OECD-DAC .

109 *Glossary of key terms,* OECD-DAC.

Lines of Inquiry

Lines of Inquiry are a list of questions that the evaluator will answer throughout the evaluation process. The lines of inquiry are created based on the scope, purpose, objective and criteria of the evaluation. The lines of inquiry are often not well-defined in the project documents, and those commissioning the evaluation frequently rush the process of writing lines of inquiry or evaluation questions. This is a mistake that should be avoided.

Why it matters:
- Lines of inquiry operationalize the criteria and break them down in order to allow the evaluator to focus on assessing the key aspects of the programme. Lines of inquiry are sub questions based on the criteria. You can create lines of inquiry by asking: 'what is it about [insert criteria] that you would like to learn?'
- Evaluators use the criteria and the lines of inquiry to create data collection tools. One data collection tool, such as an interview, may enable the evaluator to gather key evidence on more than one criterion and in more than one line of inquiry.
- Each line of inquiry needs to be answered with qualitative and quantitative information by multiple sources of information in order to uphold best practices of triangulation, quality, and rigour.

Tips:
- *Engage with the evaluator to refine and think through your lines of inquiry.* They should be able to suggest ways to improve them and to cut lines of inquiry that are redundant or not appropriate. This will also ensure that the evaluator and the key stakeholders are on the same page about evaluation needs.
- *Don't put generic lines of inquiry in the terms of reference.* While there are examples of lines of inquiry in the OECD-DAC, which are listed in Table 6 below for convenience, try to make your own lines of inquiry as specific to the programme as possible.
- *Limit yourself to three to five lines of inquiry per evaluation criterion.* You will be unable to have all your questions thoroughly answered if you have too many lines of inquiry. It is better to prioritize and choose a handful of well-crafted lines of inquiry than risk having too many.

Table 6: Examples of OECD-DAC Criteria Lines of Inquiry[110]

Criteria	Examples of Lines of Inquiry from the OECD DAC
Relevance	• Is the intervention based on valid analysis of the situation of conflict and fragility? • Has the intervention been flexible adapted to update analyses over time? • In light of the conflict analysis, is the intervention working on the right issues in this context at this time? • Does the intervention appear to address relevant key causes and drivers of conflict and fragility? • What is the relevance of the intervention as perceived by the local population, beneficiaries and external observers? Are there any gender differences with regards to the perception of relevance? • Do activities and strategies fit objectives? Is there internal coherence with what the

---

110 *Evaluating Peacebuilding*, OECD-DAC, 65-72.

	programme is doing and what is trying to achieve?
Efficiency	• Have those who benefit from and have a vested interest on-going violence or instability, or who resist movement towards peace, been addressed adequately? • Will improvements in inter-group relationships persist in the face of new challenges and risks? • Will the parties to a negotiated agreement honour and implement it?
Efficiency	• Does the intervention deliver its results in an efficient manner compared to the counterfactuals? • How well are resources (human, financial, organisational) used to achieve results? • Are there better (more efficient) ways of achieving objectives? • What is being done to ensure the cost efficiency of the intervention?
Impact	• What are the primary and secondary, direct and indirect, positive and negative, intended and unintended, immediate and long term, short term and lasting effects of the activity or policy in question? • Does it exert a significant effect on key factors of conflict and peace? • Drawing on the conflict analysis, what key drivers of conflict and fragility were affected and how? Are there any secondary negative effects? • What changes can be ascertained in attitudes, behaviours, relationships or practices? • Has the situation changed over time and what, if any , has been the contribution of the intervention to those changes? • What impacts have the intervention had on specific indicators of well-being? • Has the intervention impacted policy? How do the polices relate to conflict?
Sustainability	• Which steps have been taken or are planned to create long-term process, structures, norms, and institutions for peace? To what extent has the building of ownership and participation included men and women? • Will new institutions designed to address conflict and fragility survive? Are they being used? By whom? • Have those who benefit from and have a vested interest on-going violence or instability, or who resist movement towards peace, been addressed adequately? • Will improvements in inter-group relationships persist in the face of new challenges and risks? • Will the parties to a negotiated agreement honour and implement it?

Type of Evaluation

Evaluation may occur throughout the programme cycle.   Generally the type of evaluation refers to when the evaluation occurs, and to an extent indicates what you can learn from an evaluation. Different types of evaluations are better suited for certain purposes, so choose the type of evaluation carefully.

The UK government does not have a preference on the type of evaluation or methodology used. Instead, the UK draft evaluation policy advises that the type of evaluation should be chosen based on the programme's underlying theory or logic, objectives, program attributes and context. [111]

The type of evaluation is generally determined by and dependent on a range of decisions, including scope, purpose, and approach.

Scope:
- **Project vs. Programme Evaluation. A project evaluation** will assess one set of activities within an implementation. **A programme evaluation** is broader in scope and may evaluate more than one project at the same time over a larger period of time.
- **Thematic Evaluation** will assess a series of projects or programmes that have similar theme, and may cut across programmes, institutions and sectors**.**

Purpose:
- **Formative evaluation** explores progress to date, as well as how the programme might be improved. They may explore key concepts related to the design or theories of change. They tend to take place during the project implementation and are commonly known as "mid-term evaluations." It is advisable to have a formative evaluation in pilot projects or after major changes in the implementation environment.
- **Summative evaluation** provides an assessment of the programme's value, based on the evaluation. They take place towards or at the end of a project.
- **Ex-post evaluation** enables us to assess long-term impact(s) of the project and answer questions related to peace writ-large more adequately. This type of evaluation should take place at least 5 years after the programme was completed and, as a DFID guidance note states, would "ensure that we gain full understanding and record of successes, shortcomings and any inadvertent impacts."[112]

Approaches (see page 55)
- **Process evaluation** explores the extent to which the programme was implemented in an effective and efficient manner. They tend to look at management processes and try to answer organizational questions.

---

111 *Learning What Works to Improve Lives,* DFID, 11.
112 *Interim Guidance Note: Measuring and managing for results in FCAS,* DFID, 3.

- **Meta-evaluation** explores the quality of evaluation reports by analysing the reports against pre-existing evaluative criteria, such as the AEA Evaluation Standards[113] or the OCED Evaluating Development Co-Operation: Summary of Key Norms and Standards, 2nd Edition.[114]
- **Real Evaluation Approach** seeks to ensure the highest level of methodological rigor, given constraints of implementing evaluations with limited budgets, data availability, and political pressures.[115]
- **Developmental Approach** aims to integrate evaluation principles from the beginning of the intervention until the end. It seeks an evaluative framework that can adapt to emergent interventions and complex environments.[116]
- **Theory Based Approach** assesses whether underlying theories of change or assumptions of a programme are correct by identifying the causal linkages between different variables: from inputs to expected results.
- **Empowerment Approach** aims to increase the probability of achieving program success by 1) providing program stakeholders with tools for planning, implementation, and self-evaluation of their program, and 2) mainstreaming evaluation as part of the planning and management of the program/organization."[117]

Internal vs. External Evaluation: **Internal evaluations** refer to evaluations conducted by a person or team of persons that are from the organization implementing the programme. Individuals external to the organization implementing the programme conduct **External Evaluations**. Internal and external evaluations may involve conducting any of the different types of evaluations described above. Summative and formative are perhaps the most common types of evaluation, as these are more concerned with outcomes and impacts—the actual changes in the environment—than process evaluations, which examine cost-effectiveness, timeliness, and other aspects of implementation.

Why it matters:
- The type of evaluation will be guided by the evaluation purpose, objectives, and approach—and all should be interconnected. The type of evaluation will also determine what you can learn about given the conflict dynamic and the security situation.
- In conflict and fragile states, evaluations tend to focus on process and mapping the context.[118] In order for the fields of peacebuilding, security, and justice to evolve and grow, there is a need for evaluations to draw lessons learned and improve the rigour of the methodology.
- Many projects in conflict and fragile states have long-term goals and change that they try to achieve. The impact or result of the project may not be seen within the life of the project. In this

113 See "Program Evaluation Standards." American Evaluation Association.http://www.eval.org/evaluationdocuments/progeval.html (accessed March 24, 2013); Yarbrough, Donald B., Flora A. Caruthers, Lyn M. Shulha, and Rodney K. Hopson. *The program evaluation standards: A guide for evaluators and evaluation users*. Sage Publications, Incorporated, 2010.
114 See *Evaluating Development Co-Operating Summary of Key Norms and Standards.* (2nd ed.). OECD-DAC Network on Development Evaluation, 2010.
115 Rugh, Jim, Michael Bamberger, and Linda Mabry. *RealWorld evaluation: Working under budget, time, data, and political constraints*. Sage Publications, Incorporated, 2011. and http://www.realworldevaluation.org/
116 Michael Quinn Patton. "Developmental Evaluation Applying Complexity Concepts to Enhance Innovation and Use" Guildford Press. June 2010
117 Pamela Cox, et al., *Evaluation for Improvement : A Seven-Step Empowerment Evaluation Approach for Violence Prevention Organizations* (National Center for Injury Prevention and Control and Centers for Disease Control and Prevention, 2009, 11). Quoted in http://www.cdc.gov/violenceprevention/pdf/evaluation_improvement-a.pdf.
118 *Evaluating Peacebuilding*, OECD-DAC, 7.

case, consider having an **ex-post evaluation**, which is conducted 5 to 10 years after the project has closed.

Impact evaluation is defined different by different agencies. Broadly speaking, there are three perceptions of impact evaluation:

1. Traditionally speaking, any evaluation that includes an impact (i.e., the "positive and negative, primary or secondary long-term effects" produced by an intervention, "directly or indirectly, intended or unintended"[119]) criteria or indicators is, by definition, an impact evaluation. This may include purely qualitative evaluations, provided there is an explicit inclusion of impact-level indicators in the investigation.
2. The World Bank, on the other hand, qualifies the definition of impact evaluation with the methods used to conduct the evaluation (i.e., experimental and quasi-experimental using a counterfactual), but still use the OECD definition of impact: "Impact evaluations compare the outcomes of a program against a counterfactual that shows what would have happened to beneficiaries without the program... [It] permit[s] the attribution of observed changes in outcomes to the program being evaluated by following experimental and quasi-experimental designs."[120]
3. Impact evaluation may also be defined as an evaluation that takes place long after a programme has been completed. Therefore the analysis will be conducted 2, 10, or even 15 years after the programme was closed.
   - It may or may not involve a longitudinal study that explores and describes changes over time: before and after the intervention, often years or decades. Longitudinal studies examine change over time and are useful to discern trends at the macro level.

Evaluation Approach

Evaluation approach refers to the philosophical underpinnings by which an evaluation is designed. Marvin Alkin and Christina Christie describe the following three branches of evaluation approaches, all of which are based on social inquiry, accountability and control:

- **Use** approaches focus on utility of findings in decision-making.
  - This includes utilisation-focused evaluation, developmental evaluation, outcome mapping, and most significant change.
- **Methods** based approaches seek generalizability and knowledge construction through rigorously designed and implemented research methods.
  - This includes impact evaluation and other experimental or quasi-experimental designs such as randomised control trials.
- **Valuing** approaches recognise the essential role of the evaluator in placing value on data for clients.

---

119 *Glossary of key terms*, OECD-DAC, 24.
120 *The Development IMpact Evaluation (DIME) Initiative*. The World Bank, http://siteresources.worldbank.org/INTDEVIMPEVAINI/Resources/DIME_project_document-rev.pdf. (accessed March 18, 2013).

- o This includes goal-free evaluation, participatory evaluation, and rapid appraisal methods, which are all evaluation approaches.[121]

Why it matters:
- The evaluation approach should reflect and be aligned with the purpose, scope, objectives and intended users of the evaluation.
- Different evaluators have different philosophies about evaluations and tend to lean towards one of the three approaches described above. When hiring an evaluator, whether internal or external, it is important to know which philosophy they generally ascribe to because it is likely that their own personal philosophy will influence their overall evaluative approach, including choice of data collection tools and staff interaction.

Why it's tricky:
- Certain approaches are 'in vogue' at different times, and there may be an interest to adopt a particular approach simply because it is a hot topic and not necessarily because it is most suited for the evaluation purpose, lines of inquiry, or methodology.
- Some approaches that are better known than others (for instance, using a Participatory Approach vs. Developmental Approach). Furthermore, approaches can be combined and adapted given the situation. For non-technical staff, this can be confusing. It is important to remember that you are hiring evaluation expertise for a reason. Your role is to ask the right questions to the evaluator and engage with them in a conversation about how they will conduct the evaluation.

Tips:
- *Choose the approach that is right for the evaluation.* "There is no single blueprint methodology for evaluating donor [or implementer] engagement in fragile and conflict-affected situations. Rather, the golden rule is to apply the right tools and methods to the right questions."[122]
- *A good evaluator will be able to easily describe the approach they will use, avoiding jargon and without making it seem complicated.* Consider asking the evaluator what their approach is during the interview process.
- *Where possible, try to ensure that the evaluation approach fits into the team or organizational culture.* If the approach to the evaluation does not work well with the internal culture, it is likely that there will be unnecessary friction and the findings will not be perceived as useful.
- *Regardless of the approach, the evaluator, and/or evaluation team, should have the skills and experience relevant to the task at hand.*

---

[121] Alkin, Marvin C., and Christina A. Christie. "An evaluation theory tree." *Evaluation roots: Tracing theorists' views and influences*, 2004: 12-65.
[122] *Evaluating Peacebuilding*, OECD-DAC, 49; brackets added.

Timing of Evaluation

The timing of evaluations matters, and should be aligned with both the purpose of the evaluation, as well as the state of conflict and fragility in the intervention environment.   Once the type of evaluation is decided, the timing is generally straightforward. Other considerations, such as context, conflict and culture may affect the timing of the evaluation, and need to be considered when planning an evaluation.

Why it matters:
- The timing of evaluation may affect the ability to conduct the evaluation. One is unable to examine impacts or sustainability at the mid-way point in a programme, or to examine the effectiveness of the intervention when the programme manager or other key informants and/actors are on vacation.
- Context matters as well. An escalation in tensions or direct violence may make it impossible for the evaluation team to access key areas of programme implementation. The personal safety of all evaluation staff, especially if they are external evaluators traveling from another area, needs to be taken into account.

Why it's tricky:
- We have no control over the dynamics of conflict or state of violence in the environment. Evaluations facing such restrictions need to find a way to either work within these restrictions or postpone the data collection phase.

Tips:
- *Be aware of conflict dynamics*, and keep in mind whether an escalation of tension or direct violence will hinder the evaluation process.
- *Consider national holidays, memorials or traumatic events* that may be prominent in the national psyche. It may be inappropriate to conduct data collection if the nation is in mourning, healing or reflecting.
- *Think about weather conditions.* The rainy season may make it nearly impossible to reach certain areas, or raise the costs of doing so.
- *Consider the priorities and work schedules of staff in the programme and project.* It is very important that staff is available during the time that the evaluator is going to collect information, not only to answer key questions, but to also assist where needed.
- *Evaluations must follow national laws and ethical research guidelines.* National governments often have strict laws or procedures related to the collection of certain data. Evaluators, just like any citizen, are bound by the laws of the country in which they operate.
- *Consider aligning evaluation with key decision-making moments* so that decisions can be made based on evidence.

Who conducts the Evaluation?

The decision of who is responsible for evaluating the programme is not a decision to take lightly.

Central vs. Decentralized Evaluations. DFID-led evaluations commissioned by the DFID Evaluation Department are called **central evaluations**.   **Decentralized evaluations** are those that are

commissioned by (1) DFID staff managing programmes, policies, partnerships, (2) development partners, or (3) independent agencies. [123]

Internal vs. External. Once it has been decided whether an evaluation is central or decentralized, it must be decided who is best placed to conduct the evaluations. **Internal evaluations** refer to evaluations conducted by a person or team of persons that are from the organization implementing the programme or commissioning the evaluation. Evaluations conducted by individuals external to the organization implementing the programme or commissioning the evaluation are considered **external evaluations**.

There are strengths and weakness for having a decentralized evaluation conducted by the implementing agency's internal staff or by an external evaluator. This decision may affect the quality of the evaluation, validity of the findings, and credibility of the overall process.

Why it matters:
- Different ethical dilemmas, as well as management issues, arise depending on whether the evaluator is internal or external. Identifying these dilemmas and issues ahead of time helps you make a more informed decision.

Why it's tricky:
- The decision on whether the evaluation should be made by an internal staff of an implementing agency or an external consultant should be made by considering the evaluation purpose, scope, criteria, and compared against the potential evaluator's skills, experience, and overall familiarity with the organisation or programme. [124]
- That said, this is hardly the practice. In reality, most implementing organizations make this decision at the designing stage when they budget for the evaluation.
- Internal evaluators may not feel comfortable speaking honestly regarding the results achieved and may feel that they cannot be critical of the project. They may not have the time or skills to assess evaluation criteria effectively, rigorously and credibly.
- *Personal relationships with external evaluators can complicate the evaluation relationship*. Issues may arise when there is the desire to maintain positive relationships—personal or professional—between the evaluator, evaluation team, and/or individual within the commissioning organisation.

Tips:
- *Consider a mix-team approach to the evaluation*. An Internal-External Evaluation team ensures that the external evaluator has more knowledge about the programme, that capacity of the internal evaluator is increased, and that recommendations are more likely to influence the implementing organization.
- *If you need to conduct an internal evaluation, try to use someone from the organisation, but not the same country*. For instance, perhaps it is possible to bring someone from within the implementing organisation, but who is from another country, region, or from headquarters, to conduct the evaluation.

---

[123] *Building the evidence to reduce poverty: the UK's policy on evaluation for international development.* London: DFID: Department for International Development, 2009.
[124] Church and Rogers, *Designing for Results*, 127.

- *The evaluator, or an individual in the evaluation team, should have experience in conflict analysis and familiarity with conflict prevention and peacebuilding theory and practice.*
- *Consider the evaluator's past performance or experience in settings of conflict and fragility, which are notoriously difficult to work in.* In particular, do they "a) demonstrate skills and comfort working in potentially dangerous and politically sensitive situations in a calm, non-threatening manner; b) employ interpersonal approaches that are transparent, trusting and evoking trust; and c) exhibit skills for managing conflicts and tension?"[125]
- *Regardless of whether the evaluation is conducted internally or externally, evaluators must adhere to International Evaluation Standards.* Among them are:
  - **Credibility**," which depends on the [evaluation] process being systematic, transparent, inclusive, as well as on skill and experience of the reviewers of evaluators and those managing the process".[126]
  - **Impartiality**: "the evaluators are expected to make balanced judgements, reporting, and analysing success and failure alike. If stakeholders have very different views this should be made clear in the evaluation."[127]
  - **Propriety and ethics:** evaluations should be conducted legally, ethically, and with due regard to the welfare of those involved in the evaluation.[128]
- *It would be unethical to ask an evaluator that does not have the right skill level or experience in conflict settings to undertake an evaluation.*
- *Evaluators are bound by professional ethical standards.* Perhaps the best known are the American Evaluation Association's "Guiding Principles for Evaluators" and "Program Evaluation Standards". Many organisations have their own guiding principles for research and evaluation, including DFID.[129]

Key Documents: Terms of Reference

A Terms of Reference (TOR), sometimes referred to as a scope of work (SOW) is a "written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, and reporting requirements."[130] A TOR contains the information identified in the evaluation preparation stage, such as the purpose, scope, objectives, methods, approach, and expectations.

It is, essentially, the job description for the evaluator and evaluation team.

---

[125] *Evaluating Peacebuilding*, OECD-DAC, 34.
[126] *Building the evidence to reduce poverty,* DFID, 39.
[127] *Building the evidence to reduce poverty,* DFID, 39.
[128] *Building the evidence to reduce poverty,* DFID, 39.
[129] *DFID Ethics Principles for Research and Evaluation.* London: DFID: Department for International Aid, 2011.
[130] *Glossary of key terms*, OECD-DAC*,* 36.

Why it matters:
- Shares the rationale and all the information that what was identified in the evaluation preparation stage. Includes key information related to the conflict or the contexts to prepare the applicants to see if they are interested.[131]
- Describes the skills required of the evaluator. This may include, for example, language skills, data collection techniques, and other pertinent experience.
- Allows the programme team to begin thinking about the evaluation methodology, which then provides the basis for future conversations and negotiations with the evaluator.

Why it's tricky:
- The evaluation preparation stage may not have been conducted, in which case the TOR authors must initiate that process themself.

Tips:
- *You should not feel overwhelmed by the task of writing the terms of reference.* There are plenty of templates and guidance notes on how to write a good terms of reference[132]. There are also several listserves where implementing organisations regularly post their terms of references, and these can be used as examples.[133]
- *The TOR should be finalised and agreed upon by stakeholders in the evaluation preparation stage.*
- *The commissioner of the evaluation's expectations should be clearly described in the TOR,* particularly regarding the utilisation of findings, reporting and communication between the evaluator and commissioner.
- *Write to your audience.* If you have a particular evaluator or type of evaluator in mind, try to cater to what would attract them to the evaluation.
- *Distribute the Terms of Reference widely.*

Key Document: Inception Reports

The Inception Report is a critical report that the evaluator writes in response to the Terms of Reference. This report contains much more detail than the Terms of Reference, and it provides the evaluator an opportunity to go into detail about key areas of the evaluation, including framework, methodology, and key appendices.

The report is usually written after the evaluator has been shortlisted, but sometimes before there is an actual contract. The evaluator has usually conducted a desk study of key programme documents (including the log frames, quarterly reports, baseline reports, etc.), but has not collected any additional data.

At a minimum the inception report should include the following:

---

[131] Roberts, Khattri and Wessal. *Writing Terms of Reference*, 3.

[132] Church and Rogers, *Designing for Results*,; Search for Common Ground. "Terms of Reference." DM&E For Peacebuilding: The Learning Portal for Design, Monitoring and Evaluation for Peacebuilding. http://dmeforpeace.org/learn/subject/evaluation/terms-reference (accessed March 28, 2013).

[133] Davies, Rick. "Monitoring and Evaluation NEWS." http://mande.co.uk/ (accessed March 25, 2013); "American Evaluation Association." American Evaluation Association. http://www.eval.org/ (accessed March 25, 2013); "European Evaluation Society." European Evaluation Society. http://www.europeanevaluation.org/ (accessed March 28, 2013).

- Programme Theory of Change
- Criteria
- Lines of inquiry
- Explanation of data collection methodology, including risks and limitations
- Detailed workplan and evaluation plan
- Budget
- Copy of preliminary data collection methods

Why it matters:
- The inception report facilitates conversation between the commissioner of the evaluation and the evaluator. It enables both parties to make sure that they are on the "same-page." It is the last step in evaluation planning and the first step in evaluation implementation.
- The inception report is often added as an appendix to the contract to ensure that the evaluator complies with the workplan and utilizes the methodologies and approaches stated in the inception report.

Why it is tricky:
- The approval of the inception report is often rushed. The stakeholders commissioning the evaluation may be tired of having to make so many decisions related to the evaluation planning, and usually does not pay close attention to the inception report, which could have grave repercussions.
- The commissioners of the evaluation are busy implementing activities, or getting ready to transition or close the programme. This means that reading another report is not a priority.   The evaluation manager should try to get the attention of key stakeholders to ensure that they review the inception report.

Tips
- *Don't skip the inception report.* The inception report will enable continuous conversation about the status of the evaluation and will give the evaluator and the commissioner of the evaluation an opportunity to dialogue and communicate.
- *The inception report shows strengths and weaknesses of the evaluator.* This is your final opportunity to disengage from a relationship that is not working, or come up with a plan to overcome weaknesses. Proceed with caution if the inception report is of low quality or late.
- *Inception reports are not just for external evaluations*. Inception reports should be written for all types of evaluations, including internal evaluations and mix-team evaluations.
- *The inception report should include an advanced copy of data collection tools, as well as the evaluation plan* (next section). If the evaluator does not include the data collection tools, consider asking him or her to send you a draft. This way, there is room for the evaluation manager to engage the evaluator in a dialogue about what questions will be asked and when. That said, don't be too pushy or micromanage the data collection methodology—you want to make sure that the evaluator maintains their independence and credibility. Your role (as the commissioner of the evaluator) is to facilitate the process for the evaluation to gather evidence and facts.

Key Documents: Evaluation Plan

An evaluation plan "provides a structured layout for designing an evaluation."[134] It is a work plan for the evaluation that describes the following elements:[135]

- Evaluation Objectives –come directly from the terms of reference (TOR).
- Lines of inquiry, indicators and standards – determined by the evaluation objectives outlined in the TOR.
- Decisions to inform – what decisions will this information inform? This then determines how it is presented.
- Means of verification – the method by which data will be collected for the specific objective.
- Data source & quality – where the information will be found and/or accessed.
- Location of data collection – more narrowly defined geographic scope of where data will be collected. This is generally narrower than the scope outlined in the evaluation TOR since the evaluator may not be able to visit every single site.
- Conflict considerations – describes the ways in which the conflict or characteristics of fragility might hinder or affect the evaluation process, and strategies for overcoming these challenges.
- Means of analysis – describes how the findings will be analysed, and is particularly important when working with evaluation teams to ensure all members are analysing data in the same, consistent manner.
- Time – describes the amount of time required to accomplish each task.

The evaluation plan can be developed either by the person commissioning the evaluation or the evaluation team, or jointly created.

Why it matters:
- Clearly describes how and when the evaluation will be accomplished.
- Provides an opportunity for the evaluator and commissioner of the evaluation to identify evaluation use processes, particularly under the "means of analysis" section.
- The evaluation plan can be used by the evaluation manager to ensure the evaluation is 'on track.'

Tips:
- *Consider developing the evaluation plan with the commissioner of the evaluation*. This will provide multiple, different perspectives and enhance the feasibility of the plan.
- *Get creative.* Finding data sources that can be accessed and which provide reliable information can be a challenge, particularly when dealing with intangibility in fragile and conflict environments.[136]
- *Put the evaluation plan into a spread sheet that includes task tracking and completion*. This will help keep the evaluation manager informed, and keep your team on schedule.

---

[134] Church and Rogers, *Designing for Results*, 153-158.
[135] Church and Rogers, *Designing for Results*, 153.
[136] For more creative ways to overcome these challenges, see Corlazzoli and White, *Measuring the Unmeasurable*

- *Modify the standard evaluation plan to a set of columns that include "criteria, lines of inquiry, data collection, questions in each data collection tool."* This will make sure that enough evidence will be collected to answer each line of inquiry.
- *Another variation of the evaluation plan may contain the breakdown of the theory of change*, and key ways in which it will be tested.

Evaluation Utilisation

The greatest value of evaluation processes occurs in its utilisation. Evaluation utilisation is the process by which the findings of an evaluation are shared, learned and institutionalised. It provides information for decision-making and for improving projects. This is particularly important in the complexity of fragility and conflict, where things rarely go according to plan and in which unexpected outcomes or dynamics may arise that can be capitalised on in future programming.

The sharing, learning and institutionalisation of evaluation findings may occur at the individual, organisational or field-wide levels. Here, we are primarily concerned with individual and organisational utilisation.

In addition, utilisation frequently occurs in three phases[137]:
1. **Reflect and generalize.** What worked? What didn't and why? What should be changed in the future?
2. **Apply.** Adapt the project, or similar projects, accordingly.
3. **Share internally and externally.** Offer new thinking to the office, organisation and broader fields.

Why it matters:
- Utilisation completes the evaluation process by ensuring the findings and their implications are incorporated into future programmatic decision, thus improving programming.
- Practitioners need to constantly learn, otherwise their projects will not improve – and there is always room for improvement. Evaluation utilisation facilitates this need, which is heightened in complex environments.

Why it's tricky:
- Everyone is busy and if learning is not communicated effectively and efficiently in a way that is easy to digest, you have lost your opportunity.
- Identifying the 'right' evaluation users and stakeholders may not be as easy as it seems. Users may vary depending on the purpose of the evaluation and the intended use of the findings. Consider the terms of reference and evaluation design carefully.
- Intended use, scope of the evaluation, and needed information may not align. Utilisation needs to be thought about when designing the evaluation.
- "Evaluation use doesn't happen naturally; it needs to be facilitated."[138]

---

[137] Adapted from Church and Rogers, *Designing for Results*, 180.
[138] Rugh, Jim, Michael Bamberger, and Linda Mabry. *RealWorld evaluation: Working under budget, time, data, and political constraints*. Sage Publications, Incorporated, 2nd ed., 2011: 17-18.

- Incentive systems that support or hinder evaluation utilisation may be beyond your control. The challenge is working within these constraints, and pushing them when appropriate.

Tips:
- Evaluation utilisation considerations must be built into the design of the evaluation – not tackled ad-hoc with the delivery of the final report. *The objectives of the evaluation must be aligned with how the key stakeholders/audiences will use the findings to improve their work*.
- *Get user buy-in from the outset of the evaluation*. If they are invested in the evaluation from the beginning, which can be done by, for example, identifying their learning needs when designing the evaluation, then they are more likely to value and use the findings.
- *Appoint a learning facilitator to lead the utilisation process* for the evaluation findings. This may or may not be the evaluator, depending on their skill set and the terms of reference for the evaluation. The process may involve key stakeholders, including project staff and staff working on similar projects, supervisors, and partners, to come together and collaboratively identify the key lessons and their implications for future programming.
    - Help users identify options for what the findings imply for their work, but let the evaluation users decide what actions will be taken, how, when and with whom.[139]
    - Include beneficiaries and other programme stakeholders. They may have different insights than you that can aid future programming.
- *Develop a follow-up plan*. As you discuss how the evaluation will be used, also consider the timeline by which the lessons and recommendations will be institutionalised and operationalized. You might even consider creating indicators to monitor progress.[140]
- *Don't let the evaluator leave without giving a presentation of preliminary findings to the key stakeholders*.
- *Time*. Allow staff time to give and receive feedback to the evaluator on the findings of the evaluation.
- *Connect to the RfP.* Connect the evaluation findings and implications back to the original Request for Proposals from which the project was funded: what do the findings imply for future RfPs?
- *Evaluators might maintain regular contact with evaluation manager and project director*, achieving key project staff buy-in to the evaluation process and its findings.
- *Be creative and fun with facts and lessons learn* – and then apply your new findings to your next project.
- *Be creative in ways that it can be shared with different audiences, such as through* twitter, Facebook, websites, case studies, bullets or presentations.
- *Last, but not least, make sure that the evaluation findings and staff learning gets incorporated into the next programme.*

---

[139] Rugh, Bamberger and Mabry, *RealWorld Evaluation*.
[140] Rugh, Bamberger and Mabry, *RealWorld Evaluation*, 18.

Reporting on Results: Evaluation Reports and Utilization

Table 7: DFID Guidelines on Facilitating Learning from Evaluation[141]

DFID Guidelines on Facilitating Learning from Evaluation
• Specific, prioritised, constructive, relevant and feasible evaluation recommendations
• Present evidence and results in short, succinct reports and ensure constructive not critical presentation. Make results and evidence more accessible through the use of abstracts, synthesis and meta-evaluations.
• Use creative means of communicating evidence including new media (e.g. social media) in addition to written reports.
• Exploit established fragile states and other networks to disseminate and promote the uptake of evidence instead of traditional methods. Engage multiple senior managers in setting results and evaluation agendas.
• Identify stakeholders early and link with them to ensure that the evidence serves their needs and dovetails into known business processes.
• Ensure budgets are adequate to both capture and disseminate evidence effectively. Provide guidance to partners on suitable evaluation budgets and promote a flexible budget for quick evaluation and research to support evidence production and uptake.
• Be honest about and learn from failure by understanding what went wrong. Distinguish between implementation failure and theory failure.
• Ask for and demonstrate evidence-based decision-making. Ensure formal management response to evaluation evidence and use senior management to advocate for evidence uptake. Ensure transparent monitoring and reporting of the response. Showcase evaluation evidence utilisation and spotlight good examples of humanitarian evidence uptake in the same way DFID showcases success stories.

(source: *How to Note: Results in Fragile and Conflict-Affected States and Situations,* DFID)

Table 8: Evaluation Utilisation Checklist for Evaluation Users

This checklist is meant to assist evaluation managers, commissioners, and, critically, users, to ensure that the evaluation process, from start to finish, is conducive to <u>use</u> by intended users.

Evaluation Utilisation Checklist for Evaluation Users	
Evaluation Preparation	Key users consulted throughout the evaluation preparation stage.
	Key user priorities are clearly reflected throughout the evaluation design: • Evaluation purpose includes an explicit emphasis on learning, why, and explains *how* learning will be accomplished; • Evaluation objectives are conducive to learning ; • Evaluation objectives are aligned with key user learning needs; • Key user needs are clearly and explicitly identified, either in the TOR or upon hiring the evaluator(s).
	Terms of Reference includes an explicit requirement that evaluator either: • Facilitate him/herself learning and utilisation throughout implementation and upon the delivery of the final report; and/or • Collaborate with an appointed utilisation facilitator to draw out key findings and implications in a presentable manner to the key users.
Evaluation Management & Implementation	Key users consulted and feedback incorporated into evaluation design on: • Evaluation hypotheses, indicators, methods; and, • When, how, to whom and with what frequency the evaluator is to report

	findings.
	Key users actively appraised of progress throughout evaluation.
	Key users involved in interpreting data and drawing conclusions.
Evaluation Report & Findings	Finalisation of evaluation report includes input from evaluation manager and key users.
	Evaluator-led presentation to and/or discussion with key users on the findings including facilitated Q&A on the implications of findings for current and future programming.
	Dissemination mechanisms and strategies consistent with key user needs.
	Evaluator prepared action brief responding to and detailing how findings will be used. End of evaluation assessment by evaluator to appraise key user satisfaction on the evaluation process, its findings and their inclusion throughout. Post-evaluation assessment by evaluator to determine if, how, and why key users have used evaluation findings.

Recommended Resources by Topic

General Resources

Church, Cheyanne, and Mark Rogers. *Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs*. Washington, DC: Search for Common Ground, 2006.

Evaluating peacebuilding activities in settings of conflict and fragility improving learning for results. Paris: OECD-DAC, 2012.

Glossary of key terms in evaluation and results-based management. OECD-DAC Working Party on Aid Evaluation, 2002.

Neufeldt, Reina C. ""Frameworkers" and "Circlers"–Exploring Assumptions in Impact Assessment."*Berghof Handbook for conflict Transformation, Section II: Analysing Conflict and Assessing Conflict Transformation, Berghof Foundation*, 2011: 484-502.

Principles for Good International Engagement in Fragile States. Paris: OECD-DAC, 2007.

Reflecting on Peace Practice: Participant Training Manual. Cambridge: CDA Collaborative Learning Projects, 2009.

DFID Resources

Barnett, Chris, Julian Barr, Angela Christie, Belinda Duff and Shaun Hext, *Governance and Conflict Indicators Report,* ITAD and DFID: Department for International Development, 2011. http://www.dfid.gov.uk/r4d/PDF/Outputs/Mis_SPC/60797_ITAD-Gov-Conflict-Indicator-Rpt-Jan11.pdf.

Building Peaceful States and Societies: A DFID Practice Paper. London: DFID: Department for International Development, 2010. http://www.dfid.gov.uk/Documents/publications1/governance/building-peaceful-states-I.pdf.

DFID Research Programme Consortia : Information Note on Monitoring and Evaluation. London: DFID: Department for International Aid, 2009. http://www.dfid.gov.uk/r4d/PDF/Publications/Information_note_M&E.pdf.

DFID's Approach to Value for Money (VfM) Practice Paper. London: DFID: Department for International Development, 2011. http://www.dfid.gov.uk/Documents/publications1/DFID-approach-value-money.pdf.

How to Note: Guidance on using the revised Logical Framework: A DFID Practice Paper. London: DFID: Department for International Aid, 2011. http://www.dfid.gov.uk/Documents/publications1/how-to-guid-rev-log-fmwk.pdf.

Interim Guidance Note: Measuring and managing for results in fragile and conflict-affected states and situations. London: DFID: Department for International Aid, 2010. http://www.agulhas.co.uk/cms_files/14/InterimGuidanceNote-Managing_results_in_conflict-affected_and_fragile_states_a_stock-takeoflessonsexperienceandpractice.pdf .

Violence against Women and Girls: CHASE Guidance Note Series: A DFID Practice Paper. DFID: Department for International Development, no.3, 2012. http://www.dfid.gov.uk/Documents/publications1/How-to-note-VAWG-3-monitoring-eval.pdf.

CCVRI Resources

Bayne, Sarah. *M&E of Integrated Peacebuilding and Development*. DFID: Department for International Development, 2013.

Corlazzoli, Vanessa, and Jonathon White. *Back to Basics: A Compilation of Best Practices in Design, Monitoring & Evaluation in Fragile and Conflict-affected Environments*. DFID: Department for International Development, 2013.

Corlazzoli, Vanessa, and Jonathon White. *Measuring the Un-measurable*. DFID: Department for International Development, 2013.

Corlazzoli, Vanessa, and Jonathon White. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part II: Using Theories of Change in Monitoring and Evaluation*. DFID: Department for International Development, 2012.

Goldwyn, Rachel. *Making the Case for Conflict Sensitivity in Security and Justice Sector Reform Programming*. DFID: Department for International Development, 2013.

Goldwyn, Rachel and Diana Chigas, *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions*. DFID: Department for International Development, 2013.

Woodrow, Peter. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part I*. DFID: Department for International Development, 2012.

Chapter 1: Design Resources
Why Design Matters
Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: a resource pack. Conflict Sensitivity Consortium, 2004.

Davies, Rick. "Monitoring and Evaluation NEWS." http://mande.co.uk/ (accessed March 25, 2013).

Evaluating peacebuilding activities in settings of conflict and fragility improving learning for results. Paris: OECD-DAC, 2012.

Evergreen, Stephanie. "AEA Webinars." American Evaluation Association. http://comm.eval.org/coffee_break_webinars/home/ (accessed March 25, 2013).

Glossary of key terms in evaluation and results-based management. OECD-DAC Working Party on Aid Evaluation, 2002.

Lederach, John Paul, Reina Neufeldt, and Hal Culbertson. *Reflective peacebuilding: A planning, monitoring, and learning toolkit*. Catholic Relief Services, 2007.

OECD-DAC International Network on Conflict and Fragility (INCAF). "Conflict and fragility: Effective Engagement in Fragile States." http://www.oecd.org/dac/incaf/effectiveengagementinfragilestates.htm (accessed March 23, 2013).

Reflecting on Peace Practice: Participant Training Manual. Cambridge: CDA Collaborative Learning Projects, 2009.

Stetson, Valerie, Guy Sharrock, and Susan Hahn. *ProPack I: Project Design and Proposal Guidance for CRS Project and Program Managers*. Catholic Relief Services, 2004.

"USIP Online Courses and Simulations." United States Institute of Peace. http://www.usip.org/academy/online-courses-and-simulations (accessed March 25, 2013).

Woodrow, Peter*. Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part I*, DFID: Department for International Development, 2012.

Conflict Analysis
Guidance on Evaluating Conflict Prevention and Peacebuilding Activities. Paris: OECD-DAC, 2008.

Conducting Conflict Assessments: Guidance Notes. London: DFID: Department for International Development, 2005.

Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: a resource pack. Conflict Sensitivity Consortium, 2004: 11-40. http://www.conflictsensitivity.org/sites/default/files/Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding Resource Pack.pdf.

Working Effectively in Conflict-affected and Fragile Situations Briefing Paper A: Analysing Conflict and Fragility: A DFID Practice Paper. London: DFID: Department for International Development, 2010.

Conflict Sensitivity
Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: a resource pack. Conflict Sensitivity Consortium, 2004. http://www.conflictsensitivity.org/sites/default/files/Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding Resource Pack.pdf.

"Conflict Sensitivity Consortium." DFID: Department for International Development. conflictsensitivity.org (accessed March 23, 2013).

Goldwyn, Rachel and Diana Chigas, *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions*. DFID: Department for International Development, 2013.

Guidance on Evaluating Conflict Prevention and Peacebuilding Activities. Paris: OECD-DAC, 2008.

Preventing Violent Conflict: A DFID Policy Paper. London: DFID: Department for International Development, 2007.

Reflecting on Peace Practice: Participant Training Manual. Cambridge: CDA Collaborative Learning Projects, 2009.

Zicherman, Nona with Aimal Khan, Anne Street, Heloise Heyer and Oliver Chevreau, *Applying Conflict Sensitivity in Emergency Response: Current Practice and Ways Forward*. Humanitarian Practice Network, no. 70, 2011.

Do No Harm
Anderson, Mary B. *The Do No Harm Handbook: The Framework for Analyzing the Impact of Assistance on Conflict*. Cambridge: CDA Collaborative Learning Projects Inc., 2004.

DNH Guidance Note: Developing Options. Cambridge: CDA Collaborative Learning Projects Inc., 2012.

DNH Guidance Note: Using Dividers and Connectors, Cambridge: CDA Collaborative Learning Projects Inc., 2010.

Gender Mainstreaming
Building Peaceful States and Societies: A DFID Practice Paper. London: DFID: Department for International Development, 2010.

DFID Research : Guidance On Gender Mainstreaming and Social Exclusion in Research. London: DFID: Department for International Aid, 2009.

"Interagency Gender Working Group (IGWG)." USAID: United States Agency for International Development. http://www.igwg.org/ (accessed March 25, 2013).

"What is U.N. Security Council Resolution 1325 and Why is it so Critical Today?" United States Institute of Peace. http://www.usip.org/gender_peacebuilding/about_UNSCR_1325 (accessed March 25, 2013)

Winslow, Donna. "Gender Mainstreaming: Lessons for Diversity." *Commonwealth & Comparative Politics* 47.4 (2009): 539-58.

Design Hierarchy

Corlazzoli, Vanessa, and Jonathon White. *Measuring the Un-measurable*. DFID: Department for International Development, 2013.

Evaluating peacebuilding activities in settings of conflict and fragility improving learning for results. Paris: OECD-DAC, 2012.

Glossary of key terms in evaluation and results-based management. OECD-DAC Working Party on Aid Evaluation, 2002.

Levine, Carlisle J. *Guidance for Developing Logical and Results Frameworks*. Baltimore: Catholic Relief Services, 2007.

Logical Framework: Making it Results Oriented. CIDA: Canadian International Development Agency, 2001.

Örtengren, Kari. *The Logical Framework Approach: A summary of the theory behind the LFA method*. SIDA: Swedish International Development Cooperation Agency, 2004.

Performance Monitoring & Evaluation TIPS: Building a Results Framework, 2nd ed. Washington, DC: USAID: United States Agency for International Development, no. 13: 2010.

Principles for Evaluation of Development Assistance. Paris: OECD-DAC, 1991.

Theory of Change

Corlazzoli, Vanessa, and Jonathon White. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part II: Using Theories of Change in Monitoring and Evaluation*. DFID: Department for International Development, 2012.

Evaluating peacebuilding activities in settings of conflict and fragility improving learning for results. Paris: OECD-DAC, 2012.

Ober, Heidi. *Guidance for designing, monitoring and evaluating peacebuilding projects: Using Theories of Change*. London: CARE International UK, 2012.

"Theory of Change Resources." Hivos Knowledge Programme. http://www.hivos.net/Hivos-Knowledge-Programme/Themes/Theory-of-Change/Resources (accessed March 25, 2013).

Vogel, Isabel. *Review of the use of 'Theory of Change' in international development: Review Report*. DFID: Department for International Development, 2012.

Woodrow, Peter. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part I*. DFID: Department for International Development, 2012.

Design Tools

The Catholic Agency for Overseas Development (CAFOD). Mitigating the impact of the economic downturn on vulnerable groups. London, UK : Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), 2011

Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: a resource pack. Conflict Sensitivity Consortium, 2004. http://www.conflictsensitivity.org/sites/default/files/Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding Resource Pack.pdf.

Corlazzoli, Vanessa, and Jonathon White. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part II: Using Theories of Change in Monitoring and Evaluation*. DFID: Department for International Development, 2012.

Davies, Rick. "Monitoring and Evaluation NEWS." http://mande.co.uk/ (accessed March 25, 2013).

Evergreen, Stephanie. "AEA Webinars." American Evaluation Association. http://comm.eval.org/coffee_break_webinars/home/ (accessed March 25, 2013).

Lederach, John Paul. *Building peace: Sustainable reconciliation in divided societies*. Washington, DC: United States Institute of Peace Press, 1997: 39.

Ober, Heidi. *Guidance for designing, monitoring and evaluating peacebuilding projects: Using Theories of Change*. London: CARE International UK, 2012.

Reflecting on Peace Practice: Participant Training Manual. Cambridge: CDA Collaborative Learning Projects, 2009.

Sartorius, Rolf, and Chris Carver. *Monitoring, Evaluation, and Learning for Fragile States and Peacebuilding Programs: Practical Tools for Improving Program Performance and Results*. Social Impact.

"USIP Online Courses and Simulations." United States Institute of Peace. http://www.usip.org/academy/online-courses-and-simulations (accessed March 25, 2013).

Woodrow, Peter. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part I*. DFID: Department for International Development, 2012.

Integrated Programmes

Bayne, Sarah. *M&E of Integrated Peacebuilding and Development*. DFID: Department for International Development, 2013.

Community-based Development in Conflict-affected Areas: An Introductory Guide for Programming, Washington, DC: USAID: United States Agency for International Development, 2007.

Lederach, John Paul. *Building peace: Sustainable reconciliation in divided societies*. Washington, DC: United States Institute of Peace Press, 1997: 39.

McCandless, Erin, and Mohammed Abu-Nimer. "Peace Operations and Development Interventions: Expanding Focus on Context, Politics, Participation and Transparency." *Journal of Peacebuilding & Development* 5, no. 1, 2009: 1-7.

Rogers, Mark, Aaron Chassy, and Tom Bamat. *Integrating Peacebuilding Into Humanitarian and Development Programming: Practical Guidance on Designing Effective, Holistic Peacebuilding Projects*. Catholic Relief Services, 2010.

Van der Leest, Kristin, Daniela Kolarova, and Laurie Mecreant, *A Guidance for Integrating Peacebuilding in Development*, Brussels: Initiative for Peacebuilding, 2010.

Zelizer, Craig. *Integrated peacebuilding: innovative approaches to transforming conflict*. Boulder, CO: Westview Press, 2013.

Indicators

Barnett, Chris, Julian Barr, Angela Christie, Belinda Duff and Shaun Hext, *Governance and Conflict Indicators Report*, ITAD and DFID: Department for International Development, 2011.

Church, Cheyanne, and Mark Rogers. *Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs*. Washington, DC: Search for Common Ground, 2006.

Corlazzoli, Vanessa, and Jonathon White. *Measuring the Un-measurable*. DFID: Department for International Development, 2013.

Evaluating peacebuilding activities in settings of conflict and fragility improving learning for results. Paris: OECD-DAC, 2012.

Glossary of key terms in evaluation and results-based management. OECD-DAC Working Party on Aid Evaluation, 2002.

Goldwyn, Rachel and Diana Chigas, *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions*. DFID: Department for International Development, 2013.

Guide to Gender Sensitive Indicators. Quebec: CIDA: Canadian International Development Agency, 1997.

Logical Framework: Making it Results Oriented. CIDA's International Development Information Centre, 2001.

Roberts, Dawn, and Nidhi Khattri. *Designing a Results Framework for Achieving Results: A How-to Guide*. Washington, D.C.: The World Bank, 2012.

Baseline

Kusek, Jody Zall, and Ray C. Rist. *Ten steps to a results-based monitoring and evaluation system: a handbook for development practitioners*. Vol. 289. World Bank Publications, 2004.

Chapter 2: Monitoring Resources

Monitoring v. Evaluation

Glossary of key terms in evaluation and results-based management. OECD-DAC Working Party on Aid Evaluation, 2002.

Herrero, Sonia. *Integrated Monitoring: A Practical Manual for Organizations that Want to Achieve Results*. Berlin: inProgress, 2012.

Kusek, Jody Zall, and Ray C. Rist. *Ten steps to a results-based monitoring and evaluation system: a handbook for development practitioners*. Vol. 289. World Bank Publications, 2004.

What to Monitor
Corlazzoli, Vanessa, and Jonathon White. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part II: Using Theories of Change in Monitoring and Evaluation*. DFID: Department for International Development, 2012.

Church, Cheyanne, and Mark Rogers. *Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs*. Washington, DC: Search for Common Ground, 2006.

Glossary of key terms in evaluation and results-based management. OECD-DAC Working Party on Aid Evaluation, 2002.

Goldwyn, Rachel and Diana Chigas, *Monitoring and Evaluating Conflict Sensitivity: Methodological Challenges and Practical Solutions*. DFID: Department for International Development, 2013.

How to Note: Managing fiduciary risk when providing Financial Aid: A DFID Practice Paper. London: DFID: Department for International Aid, 2009.

Ober, Heidi. *Guidance for designing, monitoring and evaluating peacebuilding projects: Using Theories of Change*. London: CARE International UK, 2012.

Sartorius, Rolf, and Chris Carver. *Monitoring, Evaluation, and Learning for Fragile States and Peacebuilding Programs: Practical Tools for Improving Program Performance and Results*. Social Impact.

Woodrow, Peter. *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes Part I*, DFID: Department for International Development, 2012.

Planning to Monitor
Church, Cheyanne, and Mark Rogers. *Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs*. Washington, DC: Search for Common Ground, 2006.

Chapter 3: Evaluation Resources
Evaluability

Davies, Rick. *Criteria for Assessing the Evaluability of a Theory of Change*, Rick on the Road, 2012.

Evaluability Assessment Template. United Nations Office on Drugs and Crime. http://www.unodc.org/documents/evaluation/IEUwebsite/Evaluability_Assessment_Template.pdf.

Guidance Note on Carrying out an Evaluability Assessment: Evaluation Guidance Note Series. UNIFEM: United Nations Development Fund for Women, 2009.

Kaufman-Levy, Deborah, and Mary Poulin. "Evaluability Assessment: Examining the Readiness of a Program for Evaluation." *Program Evaluation Briefing Series*. Washington, D.C.: U.S. Department of Justice, no. 6, 2003.

Kusek, Jody Zall, and Ray C. Rist. *Ten steps to a results-based monitoring and evaluation system: a handbook for development practitioners*. Vol. 289. World Bank Publications, 2004.

Reiman, Cordula. *Evaluability Assessments in Peacebuilding Programming: CDA Working Papers on Program Review & Evaluation*. Cambridge: CDA Collaborative Learning Projects, no. 3, 2012.

Scriven, Michael. *Evaluation thesaurus.* Newbury Park: Sage, 4th ed., 1991.

Trevisan, Michael S., and Yi Min Huang. "Evaluability assessment: a primer." *Practical Assessment, Research & Evaluation* 8, no. 20 (2003): 2-9.

Williams, Valerie. "EPE Week: Valerie Williams on Evaluating Environmental Education Programs." AEA365: A Tip-a-Day by and for Evaluators. http://aea365.org/blog/?tag=evaluability-assessment (accessed February 15, 2013).

Evaluation Preparation
Bamberger, Michael, and Marco Segone. *How to design and manage for Equity-focused evaluations*. New York: United Nations Children's Fund, 2011.

Carden, Fred, and M. Alkin. "Evaluation Roots: An International Perspective." *Journal of MultiDisciplinary Evaluation* 8, no. 17, 2012.

Church, Cheyanne, and Mark Rogers. *Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs*. Washington, DC: Search for Common Ground, 2006.

"Front-end Analysis of the Evaluation Process: Narrative 3." In *International Program for Development Evaluation Handbook*. International Program for Development Evaluation Training, 2007: 117-178.

Glossary of key terms in evaluation and results-based management. OECD-DAC Working Party on Aid Evaluation, 2002.

Guidance on Evaluating Conflict Prevention and Peacebuilding Activities. Paris: OECD-DAC, Annex 7, 2008.

Horn, Jerry. "A checklist for developing and evaluating evaluation budgets." *Kalamazoo, Michigan: Evaluation Checklist Project, The Evaluation Center, Western Michigan University*, 2001.

White, Howard. *Some Reflections on Current Debates in Impact Evaluation*. New Dehli: International Initiative for Impact Evaluation, no. 1, 2009.

Evaluation Management

Alkin, Marvin C., and Christina A. Christie. "An evaluation theory tree." *Evaluation roots: Tracing theorists' views and influences* (2004): 12-65.

Bamberger, Michael, and Marco Segone. *How to design and manage for Equity-focused evaluations*. New York: United Nations Children's Fund, 2011.

Church, Cheyanne, and Mark Rogers. *Designing for Results: Integrating Monitoring and Evaluation in Conflict Transformation Programs*. Washington, DC: Search for Common Ground, 2006.

Developing an Effective Evaluation Plan: Setting the Course for Effective Program Evaluation. Atlanta: Centers for Disease Control and Prevention, 2011.

The Development IMpact Evaluation (DIME) Initiative. The World Bank, http://siteresources.worldbank.org/INTDEVIMPEVAINI/Resources/DIME_project_document-rev.pdf. (accessed March 18, 2013).

Evaluating Development Co-Operating Summary of Key Norms and Standards. (2nd ed.). OECD-DAC Network on Development Evaluation, 2010.

Evaluating peacebuilding activities in settings of conflict and fragility improving learning for results. Paris: OECD-DAC, 2012.

Guidance on Evaluating Conflict Prevention and Peacebuilding Activities. Paris: OECD-DAC, Annex 7, 2008.

Jacobs, Alex, and Robyn Wilford. "Listen First: A pilot system for managing downward accountability in NGOs." *Development in Practice* 20, no. 7, 2010: 797-811.

"Program Evaluation Standards." American Evaluation Association. http://www.eval.org/evaluationdocuments/progeval.html (accessed March 24, 2013).

Quinn Patton, Michael. *"Developmental Evaluation Applying Complexity Concepts to Enhance Innovation and Use"* Guildford Press. June 2010.

Rugh, Jim, Michael Bamberger, and Linda Mabry. *RealWorld evaluation: Working under budget, time, data, and political constraints*. Sage Publications, Incorporated, 2011.

Reflecting on Peace Practice: Participant Training Manual. Cambridge: CDA Collaborative Learning Projects, 2009.

Roberts, Dawn, Nidhi Khattri and Arianne Wessal. *Writing Terms of Reference for an Evaluation: A How-to Guide*. Washington, D.C.: The World Bank, 2011.

Stufflebeam, Daniel L. "Evaluation plans and operations checklist." *Kalamazoo, Michigan: Evaluation Checklist Project, The Evaluation Center, Western Michigan University,* 1999.

Yarbrough, Donald B., Flora A. Caruthers, Lyn M. Shulha, and Rodney K. Hopson. *The program evaluation standards: A guide for evaluators and evaluation users*. Sage Publications, Incorporated, 2010.

Evaluation Utilisation

Bonbright, David. "Use of Impact Evaluation Results." *Interaction Impact Evaluation Notes.* Interaction, no. 4, 2012.

Patton, Michael Quinn. "Utilization-focused evaluation (U-FE) Checklist." *Evaluation Checklists Project*, 2002.

Ethics in Evaluation

DFID Ethics Principles for Research and Evaluation. London: DFID: Department for International Aid, 2011.

Grasso, Patrick G. "Ethics and Development Evaluation: Introduction." *American Journal of Evaluation* 31, no. 4 (2010): 533-539.

Guiding Principles for Evaluators. American Evaluation Association, 2004.

Morris, Michael, and Brittany Clark. "You Want Me to Do What? Evaluators and the Pressure to Misrepresent Findings." *American Journal of Evaluation* 34, no. 1, 2013: 57-70.

Program Evaluation Standards. American Evaluation Association, 2011.