

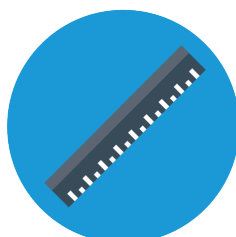


Project Evaluation Planning Guide for Sustainability Fund recipients

Prepared for the
Department of Environment, Land, Water and Planning



RESEARCH



EVALUATION



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1 Introduction

1.1 Overview

Under the Environment Protection Act 1970, the Municipal and Industrial Landfill Levy is charged on waste disposed at landfill sites across Victoria. Part of the levy goes towards the Sustainability Fund (the Fund), which resources projects and programs across the state in line with its legislated objectives to foster:

- environmentally sustainable uses of resources and best practices in waste management to advance the social and economic development of Victoria
- community action or innovation in relation to the reduction of greenhouse gas substance emissions or adaptation or adjustment to climate change in Victoria.

The Sustainability Fund has been administered by the Department of Environment, Land, Water and Planning (DELWP) since July 2015. To promote transparency, accountability and continuous improvement, DELWP developed a monitoring and evaluation framework for the Fund.

This document has been prepared to assist projects in commencing the development of evaluation plans that align to the Sustainability Fund's framework as a first step in the process. It does this in two main ways:

- outlining the steps to develop a program logic to describe the different components of the project
- providing a set of standardised evaluation questions to help focus evaluation efforts at the project-level

It is recommended that an evaluation plan be developed early in the life of new projects (e.g. within the first six or so months). This will ensure that data can be collected throughout delivery – both for reporting to the Fund, but also to ensure a robust end-of-project evaluation.

This document does not delve into the specifics of different forms of evaluation or the timing, this tends to be guided by the size and complexity of the program. This is a starting point and we would encourage project team staff to seek out additional advice (e.g. from internal evaluators or others with experience in evaluation).

2 What is being evaluated?

2.1 Overview

Evaluations are about understanding the outcomes and achievements of programs and learning how those programs can be improved into the future. Part of evaluation, therefore, is clearly identifying what programs are hoping to achieve and, in many cases, how they ‘fit’ into larger programs or priorities such as those held by the Sustainability Fund.

This section provides a basic process for developing a program logic (also known as a theory of change). This is a commonly used tool for identifying, clarifying and depicting the steps that occur from the activities implemented through to the outcomes anticipated by the end-of-project. It is also useful to understand how these various outcomes align to relevant strategic priorities of the Fund and their associated outcomes.

It may be useful to have a copy of the Sustainability Fund’s evaluation framework nearby while reviewing this section as a reference.

2.2 Developing program logic models

2.2.1 Background

A program logic model is a visual representation of the anticipated outcomes resulting from delivery of your project. These are typically underpinned by ‘rationale’ or evidence (i.e. how we know these outcomes will result from the project) and assumptions – where we are expecting outcomes to occur, but we don’t necessarily have any evidence for this. An important element of the evaluation is to then test these assumptions by gathering evidence to determine if the ‘activity’ led to the ‘outcome’.

There is no one ‘set’ format for a program logic – though they are typically represented in linear formats (whether that is left-to-right, bottom-to-top, etc).

All Sustainability Fund funded projects are required to align to at least one strategic priority. The Sustainability Fund’s evaluation framework outlines a range of outcomes that ‘fit’ within each strategic priority. Thus, the role of your logic is to depict the outcomes that will occur at different stages of your project, and to identify the specific Sustainability Fund outcomes you are contributing to through project delivery (noting that these are captured and documented in your MoU).

2.2.2 Examples and clarifying concepts

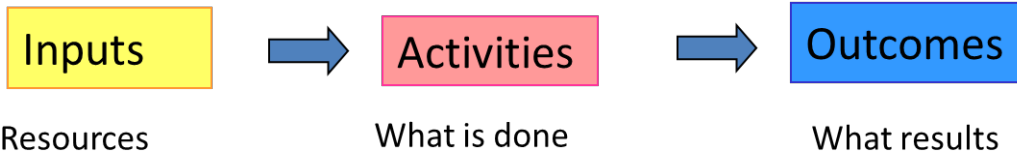
In general, a basic program logic model describes ‘what goes in’ (**inputs** – resources, funding, etc), what is done (**activities**, written in active language such as ‘deliver workshops with community members) and what results from the activities (**outcomes** – such as community increase knowledge on how to take action on climate change).

In essence, it is a series of IF-THEN statements:

- ‘IF we use these resources, THEN we can do these activities.’

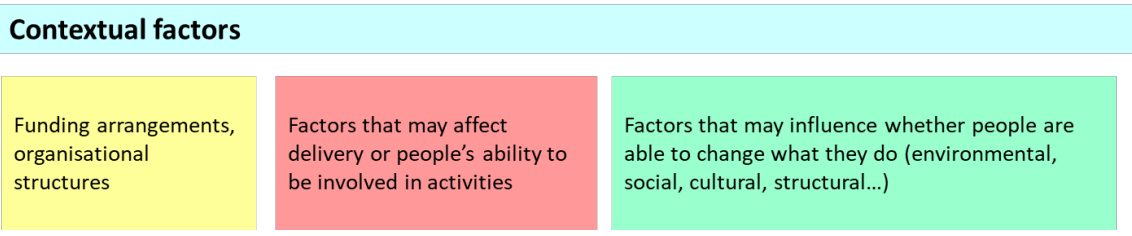
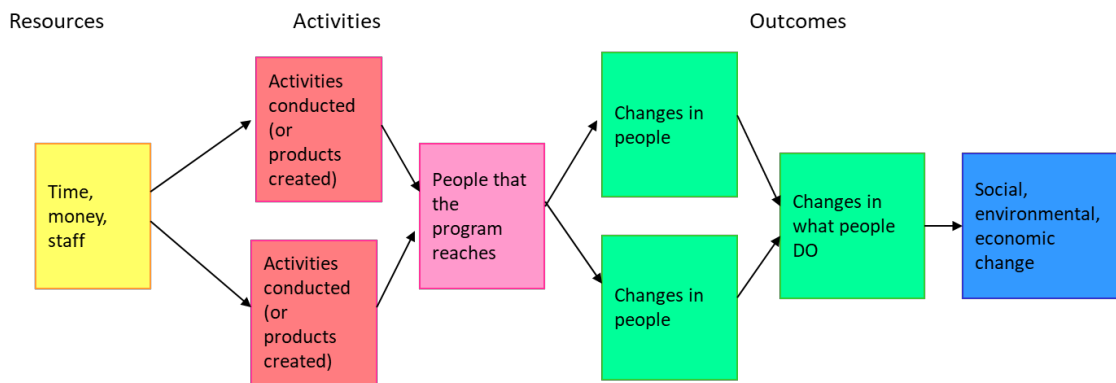
- IF we do these activities, THEN we can achieve these results.”

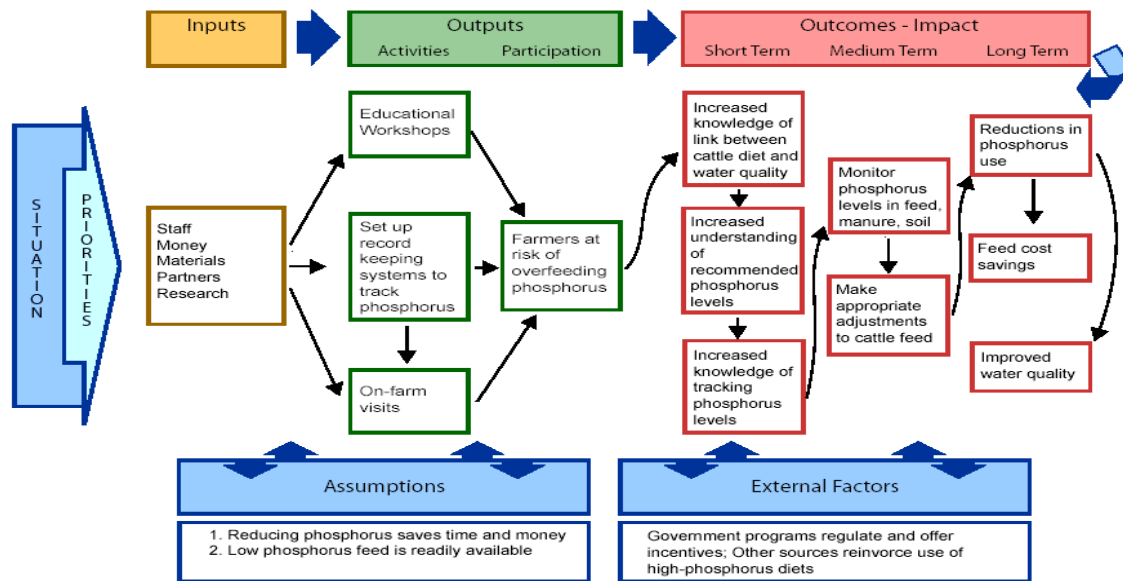
The arrows between the boxes below act as the ‘link’ – and is what represents our assumptions or rationale. For instance, we assume that IF we deliver workshops that community will increase knowledge.



This example is very simple, but logic models can become more complex quickly. There is a balance between complexity and usefulness in logics. A good rule of thumb is that a logic should fit on an A4 page and that someone else outside of the project should be able to interpret what your project is doing and what it hopes to achieve. This gives you a sense of the detail required – it is NOT a project plan but captures the ‘essence’ of your project and its goals.

Below are some more detailed examples. You can add in other elements to encapsulate contextual factors or other things that might be outside of your control / influence which may in turn influence the potential for outcomes (think of them like risks or similar that might need to be mitigated).





(Example taken from: Taylor-Powell, E., & Henert, E. (2008) <http://www.uwex.edu/ces/pdande>).

2.2.3 Developing logics for the Fund

Hopefully these examples have highlighted that logics can look very different. You can also see already that there is different terminology used throughout. To help guide you in developing a logic for the Fund we would suggest capturing:

- Inputs – the things that go ‘into’ your project (resources)
- Activities – the things that you ‘do’
- Outputs – the ‘stuff’ produced (usually countable, such as the number of workshops)
- Outcomes, which are split between:
 - Short-term – these are the immediate or reactions that occur after activities (e.g. the immediate change in stakeholders who attend a workshop – such as knowledge)
 - Intermediate – slightly longer-term outcomes that occur IF the stakeholders act on that knowledge (e.g. changes in behaviour)
 - End-of-project/program – these would be the ultimate outcomes anticipated by the end of the funded period (e.g. what results from that change in behaviour). Depending on the project it may be that behaviour change is the end-of-project outcome – that is OK. This is outlining (ultimately) what you are holding yourself accountable to for the evaluation (i.e. there should be evidence of these outcomes in your end-of-project evaluation report)
- Sustainability Fund outcomes – as you can see in the Sustainability Fund evaluation framework, there are a range of outcomes that you can align to. It would be worth documenting in your logic the link (i.e. the arrow) between your project activities / outcomes and those of the Fund that have been documented in the MoU/IFM. Think of it like capturing how your project will align with the strategic priorities in a diagram.

2.3 Steps to develop your own logic

The first stage in developing a program logic is to identify the program aims and objectives, expected outputs, expected outcomes and the level of impact that would be desirable given the level of investment.

Below are some simple steps to help you get started in creating your own program logic¹.

To get started on creating a program logic:

1. Make a list of **expected outcomes** at all levels of the program

Prompts: What is the overall purpose of this program? What are you hoping/expecting to change? What would success look like in this program? What would this look like as specific outcomes?

e.g. Improved awareness of litter issues in community, Inter/intra organisation co-operation and working relationships strengthened, Improvement in water quality and/or indicator species.

2. Arrange the **outcomes** in a chain of if-then statements

This is about thinking how the outcomes you identified feed into one another. Take the outcomes you have identified and play with mapping out what will *lead to* what. For example, IF Outcome A occurs, THEN we will get Outcome B.

e.g. IF awareness of litter issues in community is improved, THEN there will be an improvement in behaviour of community in relation to litter. Or, IF awareness of litter issues in community is improved, THEN there will be increased advocacy for litter management.

3. Attempt to organise these into three groups of **short, intermediate and end-of-project outcomes**

¹There is also a useful guide published by the NSW Ministry of Health (2017) – while it is in the health sector it is a useful resource to review <http://www.health.nsw.gov.au/research/Publications/developing-program-logic.pdf>.

Outcomes are organised into short, intermediate and end-of-project categories in a program logic model. It might be helpful to **name/number** your outcomes as Outcome ST (short term) 1, 2, 3 and so on.

As you do this reflect on whether these outcomes follow a **logical relationship** from short to intermediate to end-of-project, in other words, will Outcome ST1 really **lead to** Outcome I1? Do these outcomes follow a **logical order from short to longer term**? *e.g. will improved awareness really lead to an improvement in behaviour?*

Important to note or document is where you have evidence for this assumption (i.e. it is proven) or you do not have evidence but are assuming it. Just because it is an assumption does not mean it is bad, rather, it means your evaluation efforts should ‘test’ if this assumption is true (i.e. the activity does lead to the outcome) or it is ‘false’ (i.e. it did not occur, and if not, why?)

Short term	Intermediate	End-of-project
<i>e.g. Improved awareness of litter issues in community</i>	<i>e.g. Improvement in behaviour of community in relation to litter</i>	<i>e.g. Reduction in number of litter hotspots</i>

4. What were the **Fund outcomes nominated in the MoU/IFM with the Sustainability Fund?**

e.g.: Your end of project outcome is to establish new processes for increasing capacity to process organic waste. This is both an outcome for the Fund, but also a precursor to other outcomes.

5. Make a list of the program deliverables and group these as **program outputs**

Create a list of everything you are expecting program and project teams to *produce* as part of this program. These are the **Outputs** to go in the program logic model. These are usually the ‘countable’ aspects of the project.

e.g.: Litter prevention resource materials (booklets, monitoring kits);Community awareness events, km of fence installed

6. Make a list of **program activities that correspond to each of these outputs**

Take the list of Outputs you generated under the point above and make a list of the major activities that will lead to these outputs being produced.

e.g.: Developing partnerships, designing and promoting workshop events, developing resources

7. Make a list of resources of any kind that are being invested into this program and be as specific as possible

Prompts: How many people are working on this program, at what time fraction? What is the dollar investment and where are those funds coming from? Who is providing telecommunication, office space and printing facilities and how much is being provided? Include cash and in-kind contributions. These are your Inputs.

8. Begin to examine the reasons why the activities you listed are expected to lead to the outcomes you have identified. These reasons are assumptions that you will be interrogating in your evaluation. We want to find out if these assumptions proved to be valid when the program was implemented (see also Step 3).

Expand upon the if-then chain of Outcomes you completed earlier and now consider WHY you believe that the Activities will lead to Outputs and WHY these Outputs will produce the Outcomes you have identified and are hoping for.

(e.g. An assumption is: Awareness about litter in the community will lead to an improvement in the behaviour of the community in relation to litter. We know that this is a reasonable assumption if it is combined with appropriate infrastructure. We will test whether our awareness-raising and other activities are sufficient to lead to a change in behaviour).

Transfer the information you have so far into the template below. This is a simple version, but you can also use PowerPoint and other programs to lay out logic models similar to the examples provided previously.

Inputs	Activities	Outputs	Outcomes			Sustainability Fund Outcomes
			Short term	Intermediate term	End of Project	
→						
Assumptions (if, then)						

3 What do we want to find out?

Once we have a program logic, we should be a lot clearer about what the program is really trying to achieve and the steps along the way. The next step is to clarify just what is needed or wanted from an evaluation of our program. This involves:

- identifying the objectives and audience for the evaluation
- defining key evaluation questions (KEQs)
- identifying indicators
- beginning to think about what data we need to collect to answer these questions.

3.1 Why are we evaluating - objectives and audience of the evaluation

A clear starting point for working out what we want from an evaluation is to consider:

- the evaluation objectives
- the audience for the evaluation.

The objectives and audience of the evaluation may be determined by funding agreements and other stakeholder requirements.

3.1.1 Evaluation objectives

Evaluations tend to have three underlying objectives:

- demonstrating the impacts and achievements of the program
- providing accountability to funders and other key stakeholders
- identifying ways of improving the program into the future.

In identifying the objectives of an evaluation, it is important to consider:

- what the requirements are from the Sustainability Fund
- what you / your organisation want from the evaluation itself—what do you need it to do?

As an example, previous objectives for the evaluation of Sustainability Fund funded projects were:

1. Develop an evaluation report that addresses the requirements of the Department of Treasury and Finance's Lapsing Program Guidelines and the requirements of the Sustainability Fund.
2. Identify and report on the outcomes and achievements of the program to support future funding applications.
3. Identify lessons and recommendations to improve future program delivery.

These objectives translate to key evaluation questions (KEQs) which guide the scope and focus of evaluation efforts.

3.1.2 Evaluation audience

It is also important to consider the needs of the audience for your evaluation as these needs can be woven into the way you design the evaluation and the program and future programs.

Consider the main audiences for your evaluation and what they might want and/or need from the evaluation. Table 1 outlines a simple structure for doing this with two typical audiences provided as examples. This structure can then be used to reflect on how you might develop the evaluation to meet this set of needs.

Table 1 – Identifying the audience for the evaluation

Audience	What they are likely to need/want from an evaluation
Sustainability Fund	Detailed reporting concerning the delivery of the program, outcomes, learning and data that aligns and contributes to the Sustainability Fund’s own evaluation framework.
Funded projects/grant recipients	Summarised findings presented in non-technical language, particularly with respect to program achievements Clear information about program funding and the need for this program Examples of community voices captured in the evaluation, such as case studies

3.1.3 Reporting and reporting requirements

At the same time as you are considering the objectives and audience of an evaluation, it is worth considering the options and requirements for reporting. The Sustainability Fund’s evaluation framework references two main requirements:

- Quarterly reporting, with the fourth quarter report requiring projects to report to the Fund against relevant indicators identified in the MoU/IFM
- End-of-project evaluation report, addressing questions such as those provided in Section 3.2.

It is also worth considering and incorporating into your evaluation planning any needs your own department or organisation has.

3.2 Defining Key Evaluation Questions

Identifying key evaluation questions (KEQs) is an important stage of evaluation planning – they help focus and guide data collection towards information that is more relevant. Generally, 3 to 5 KEQs is a manageable amount, with specific-sub questions used to break down a KEQ into its component parts. These in turn guide specific questions used in data collection. See Figure 1 for a breakdown.

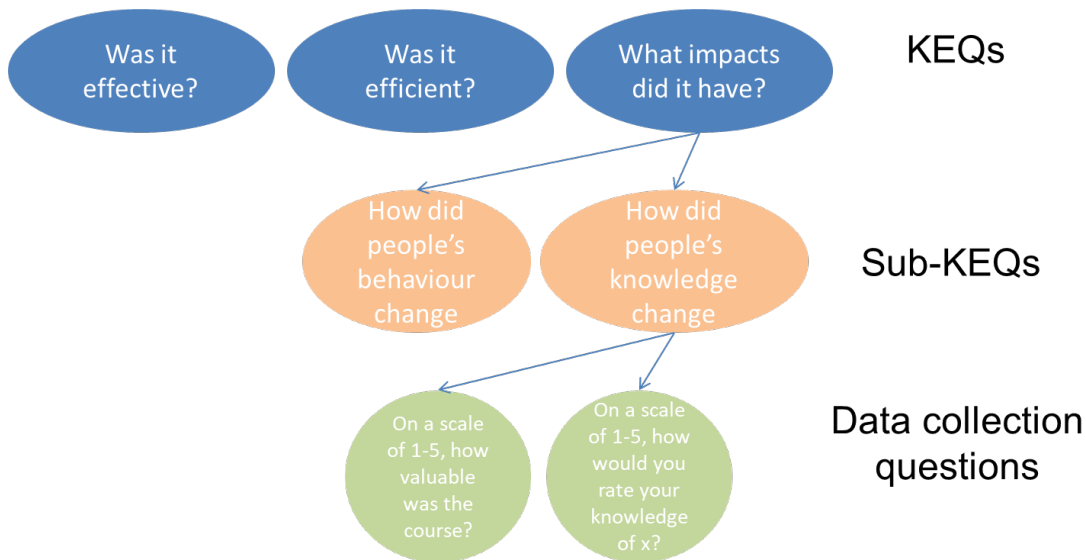


Figure 1: How KEQs and Sub-KEQs link to data collection

KEQs generally relate to the key domains of program delivery, which are: the **need** for the program; program **efficacy and impacts**; program **efficiency**, program **delivery** and **lessons** for the future. It can be good to frame the start of evaluation questions with the phrase:

To what extent...

Rarely are evaluation questions framed in discrete or absolute terms (though they may be at the sub-evaluation question level).

Below are a set of suggested questions for all projects to address through their end-of-project evaluation. These can be supplemented by other questions identified through the evaluation planning process.

1. To what extent did the project achieve its stated outcomes and objectives and contribute to the Sustainability Fund’s objectives?
2. What strategies or plans are in place to capture or document longer term outcomes that result from delivery of the project and occur post-Sustainability Fund funding?
3. What are the lessons from delivery of the project that other individuals, organisations and projects would benefit from knowing about?

3.3 Identifying indicators

On this page and the next, we will begin the process of identifying a set of indicators. To complete this section, you will need to refer to the notes you made for your program logic model (Appendix 1, page 32), particularly the **outcomes you want to measure**, and any notes you made on the previous page. We have included some examples on the first three rows to get you started. Anything you enter into the righthand column could be a potential indicator.

Table 2 – Identifying Outcomes and possible Indicators

Outcomes identified in the program logic	Signposts or flags that the outcome is occurring (possible Indicators)
Councils have increased knowledge and understanding of how to design programs and maximise the delivery of best practice education, infrastructure and enforcement for waste and resource recovery	Evidence that councils are accessing resources designed to assist them in developing waste reduction and resource recovery programs Extent to which councils across the region developed and launched a waste reduction and resource recovery program
Measurable outcomes in waste reduction and landfill diversion	Number of tonnes of recyclables diverted Number of tonnes of e-waste diverted Number of tonnes of organic waste diverted
Improved collaboration, knowledge sharing and joint partnerships between metropolitan local governments	Council respondents reporting success of new and existing partnerships Increases in the sharing of resources and uptake of resources shared by local governments

Outcomes identified in the program logic	Signposts or flags that the outcome is occurring (possible Indicators)

4 What data do we need to evaluate our project?

4.1 Overview

By this point, you have started to develop:

- a program logic model
- a set of KEQs
- a set of potential indicators

The next stage in the evaluation planning phase requires us to think about **data**. We need to begin to identify data sources and data collection methods.

If indicators are the signposts that we will be looking for, what materials (sources of data) do we need to collect and collate to build these signposts?

4.2 Data sources

A data source is anything and/or anyone that can provide us with something that could contribute to finding out how about our KEQs and indicators.

Data sources may include any or all of the following:

- Program documents and records
- Departmental and project staff
- Grant recipient staff
- Grant recipients' documents and their own project-specific sources of data
- Stakeholders involved with any of the funded projects
- Research and/or grey literature
- Expert or specialist stakeholders

Consider the following questions when thinking about identifying possible data sources.

- **What would data from this source look like? What form would it take?**
- **How would data be collected from this source?**
- **Are there any access issues to consider with this data source? For example, permissions needed?**
- **When will data be available from this source? Will this data source be available and accessible to us in the future?**

Have a go at identifying any data sources you can think of for each outcome you have listed in the program logic model on the next page.

Table 3 – Identifying possible data sources

Outcomes	Indicators	Data sources
Councils have increased knowledge and understanding of how to design programs and maximise the delivery of best practice education, infrastructure and enforcement for waste and resource recovery	Evidence that councils are accessing resources designed to assist them in developing waste reduction and resource recovery programs Extent to which councils across the region developed and launched a waste reduction and resource recovery program	Council reports Council employees State-wide reports
Measurable outcomes in waste reduction and landfill diversion	Number of tonnes of recyclables diverted Number of tonnes of e-waste diverted Number of tonnes of organic waste diverted	Project reports Council reports Audit reports
Improved collaboration, knowledge sharing and joint partnerships between metropolitan local governments	Council respondents reporting success of new and existing partnerships Increases in the sharing of resources and uptake of resources shared by local governments	Council employees Analytics of website visits and downloads

Outcomes	Indicators	Data sources

4.3 Multiple projects, aggregated data

Planning a program evaluation may involve working closely with grant recipients and project teams to ensure that **appropriate data is obtained by those project teams** and organised effectively.

Data sources may vary from project to project but should be fed into a central program data repository.

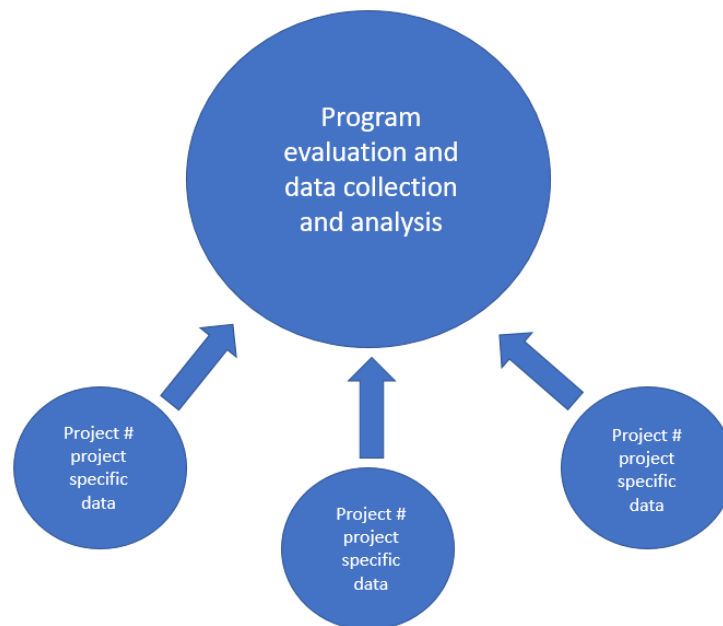


Figure 2. Flow of data and information to address program-level evaluation questions.

Because data will be coming in from a variety of projects, project team staff will need clear guidelines concerning the data they are expected to collect. Ensuring that project teams have this information in a timely manner will involve investment of resources at the project planning phase.

For example, Table 3 above lists project reports as a source of data on waste reduction. This is a clear signpost for thinking about and providing guidance on what sort of data projects will need to collect. Importantly, this includes considering how that data can be made consistent across a program or funding stream.

Project staff will need to be aware of:

- any metrics relating to aggregable data that they are required to collect
- any other guidelines for data they are required to collect that is project-specific
- any guidelines for putting a plan in place for ongoing data collection for monitoring purposes

Table 4 below provides space for considering indicators that may need identification at the project-level so as to feed up for reporting at the program level.

Table 4 – Identifying indicators for aggregable and project-specific indicators and data

Indicators at the program level (that require project-level data)	Project specific data (what can be collected to aggregate at the program level)	Guidance on project specific data (e.g. format, standard unit, minimum standards, etc.)

4.4 Project-specific data sources

The next step is to begin to explore how and when the projects will be supported **to identify project-specific data sources and collect their own data.**

Have a go at answering the questions below. Any gaps in what you can answer at this stage will point to things that need to be clarified very early on. In Section 7 we will expand on this to develop a program timeline for evaluation planning and implementation.

How will you let the project teams know what you need from them concerning evaluation data?

How will individual projects transfer their data to you?

How will you ensure that the projects have the capacity to collect data?

Who will be responsible within each project team for evaluation data?

How and when will you make project teams aware of what you need them to measure (if anything) in a standardised way?

5 How do we collect and analyse data?

Having identified potential data sources, we need to plan the data collection processes and decide upon methodologies. Remember that these may vary from project to project.

5.1 Data collection

5.1.1 Overview

Data collection is the process of using a range of simple tools to capture the data we are interested in. In most cases, a range of data collection methods will be used at different points. The most common of these are:

- document review (e.g. of program records, budgets, waste statistics etc., other literature and policies, etc.)
- an online, mail or telephone survey (good for collecting quantitative measures that are able to be summarised as simple numbers)
- semi-structured interviews (an interview where a predefined set of questions is used but also allowing for the conversation to go beyond these questions)
- physical sampling—most likely done at the project level, but could include waste audits, data collected by participants, standardised litter monitoring (e.g. using the Local Litter Measurement Toolkit)
- observations – again, most likely at the project level but could include observations of behaviour, of infrastructure use, of signage quality or prevalence etc.

Data collection opportunities can be listed on the next page, drawing on the indicators and data sources you have identified so far. The first row has been completed as an example. Note that we have included the project team member, date due, and whether there is a plan in place for submission of data. Figure 3 provides an example of what this might look like in practice.



Figure 3 – Example data management process with projects

You might also like to consider the skills needed to collect each type of data and begin thinking about how you will ensure that the project teams possess these skills. We will continue onto planning for evaluation capacity and capacity building in the subsequent sections.

5.1.2 Standardised Questions for the Sustainability Fund

The below questions have been prepared as a starting point to guide development of questions asking for feedback from participants.

Standardised questions to guide projects asking for feedback from participants (as per the Sustainability Fund MoU and the evaluation framework). Note that these are not essential but may help in aligning/guiding questioning between projects. Questions should be modified to fit program particulars and the stakeholders that would be surveyed or involved. This may include omitting or substituting questions.

The target of questions would depend on the structure of the project and whether it is appropriate to survey:

- individuals/businesses that have been involved with project activities (potentially in cases where these stakeholders have derived benefit/substantial interaction with the project)
- recipients of grants
- project partners and delivery agents.

The questions below aim to address elements of the Sustainability Fund MoU and may also suit other areas of need such as the Lapsing Program Guidelines. These questions have been developed for use in a survey (phone or online) but could be adapted for other methods such as interviews.

While these are standardised questions they are not mandatory – all data collection should be tailored and fit-for-purpose for your project.

Preamble for the question:

Based on your experiences with the project:

1. To what extent is the project contributing to the objective of [xx insert relevant project/Fund objective (e.g. supporting Victorians to manage the costs of electricity; strengthening markets for recyclable materials)]?
 - a. **Not at all** (The project is not well aligned with this objective or has not delivered what it needed to)
 - b. **Somewhat** (The project has made a small contribution, but it is less than what it should have given the project scope/resources)
 - c. **Moderately** (The project has made a good contribution to the objective in line with its scope/resources. Longer-term impacts may yet have emerged)
 - d. **Very much so** (The project has made a substantive contribution to the objective, with demonstrable impacts and a clear and effective delivery model)
 - e. **Unsure/don't know**

2. To what extent is the project trying to address a demonstrable need?
 - a. **There is not a clear need** for government intervention in this area
 - b. **There is some need** for government intervention in this area
 - c. **There is a strong need** for government intervention in this area
3. To what extent have you been satisfied with [very dissatisfied, dissatisfied, satisfied, very satisfied]:
 - a. implementation/delivery of the project
 - b. [engagement/communication] with key stakeholders such as yourself
4. What improvements could be made to the project?

Table 5 – Identifying data collection methods and allocating responsibilities and deadlines

Indicator	Data sources	Data collection methods	Project team member responsible (Name & Project)	Data expected by	Plan for ongoing monitoring data in place
Quantifiable outcomes of the program	Community stakeholders	Semi-structured interviews	Peter Burns, Project z	30/06	Yes
	Council records	Document review	Jane Doe, Project Y	30/06	Yes

5.2 Data analysis

The appropriate method of data analysis depends on the type(s) of data collected. In many cases data analysis can be outsourced and/or program staff can be trained in the appropriate methods, such as thematic analysis of qualitative data and/or simple statistical analysis of numerical data.

In planning an evaluation, it is worth considering this analysis phase as it can help:

- guide the details of how some data is collect (e.g. whether qualitative feedback can be collected online to avoid a lengthy data entry phase)
- identify and plan for when analysis and analytical support might be required.

6 Governance, timeframes and risks – what happens when and by whom

6.1 Overview

As with any project planning, it is important when planning an evaluation to identify what is going to happen when, and by whom. The subsections below talk briefly about:

- the key steps that should be considered at different points that will help engage staff in the evaluation and outline key responsibilities
- a process for assessing risks and mitigation options for the evaluation.

6.2 Weaving evaluation into a program

Collection of evaluation data can be woven into the delivery of the program and related projects *if* expectations and requirements for data management are made clear to all involved from the planning stage, building upon the initial plans you made for ensuring data is collected for ongoing monitoring purposes in Table 5.

It is critical to put evaluation on the agenda during the planning phase. Some of the key milestones for the evaluation of the program could be timetabled and interwoven into the program using a template such as Table 6 below.

Table 6 – Mapping the evaluation planning process and timelines

Timepoint	Evaluation milestone	Person responsible
Prior to funding announcements	Develop program logic model (see Appendix 2 for a simple template)	
	Develop KEQs and indicators	
	Nominate/appoint key evaluation contact for project teams within the program team	
During the early program planning phase	Create evaluation guidelines for project teams including a template to be completed by them at regular intervals. Appendix 3 provides a starting point.	

Timepoint	Evaluation milestone	Person responsible
	Advise project teams of the cut off date for final evaluation data to be submitted. Allow time for robust analysis of data to be conducted and for circulating for comments prior to the deadline for the final evaluation report	
	Require project teams to nominate/appoint a team member for responsibility for evaluation	
	Consider organising an evaluation capacity building workshop for all Project Managers/nominated project team members	
	Collect a brief evaluation plan from project teams including expected data sources and proposed data collection opportunities	
	Create a central data repository and ensure project teams know how to access and share their data	
	Map the evaluation plans from the project teams against combined data sources and data collection opportunities. Identify what the complete dataset will look like Map timeframes for data analysis and confirm who will conduct this process(es)	
During program implementation	Host regular check-in meetings with Project Managers and project team member responsible for evaluation to support them and troubleshoot any evaluation-related concerns	
	Consider asking Project Managers to present initial observations based on their preliminary data at Working Group meetings	
	Analyse evaluation data in stages where possible	
Towards the end of the program	Check that project teams are confident that they will be able to provide sufficient data to demonstrate outcomes and ask all teams for an estimate of the amount of data they will be providing	

Timepoint	Evaluation milestone	Person responsible
After the program has ended	Data analysis process to be carried out	
	Circulate evaluation findings to project teams, asking for comment on any outcomes that may have been missed	
	Complete final draft of evaluation report and circulate	

6.3 Identifying risks

Part of evaluation planning is identifying potential risks. A set of key risks and mitigation strategies are outlined below. These can be added to on a program-by-program basis. Use Table 7 to identify the risks outlined as low, medium or high and identify any risks you need to develop a risk strategy for.

Table 7 – Identifying and mitigating risks

Risk Area	Mitigation strategies	Low, Med, High Risk	Mitigated (Y/N)
Under-developed/poorly developed program logic model, leading to a lack of clarity on expected inputs, activities, outputs, and outcomes	<ul style="list-style-type: none"> Develop program logic model during program scoping phase with program team and evaluation team (Appendix 2) Refine the program logic to ensure that the outcomes listed are logical results of activities listed Review and test program logic with program partners and stakeholders as appropriate Consider hiring external consultants for assistance with program logic models for large complex programs 		

<p>Failure to provide sufficient information to project teams concerning what is required of them regarding evaluation, leading to project teams feeling unable to collect sufficient evaluation data in a timely manner</p>	<p>Map in detail the timelines from allocation of funding to projects to recruitment of project staff and collection of data by project teams</p> <p>Identify the indicators that you want to collect data against and identify any specific metrics that apply across all projects</p> <p>Develop clear guidelines for project teams concerning what is expected of them, the types of data needed, and the protocols for submitting their data to you</p> <p>Ensure data repository is accessible and staff roles in data collection and data management are nominated at program and project level</p>		
<p>Vast inconsistencies in the types and quantities of evaluation data being submitted by project teams, leading to a dataset that is difficult to analyse and draw conclusions from</p>	<p>Organise regular reporting on evaluation data collection and discuss at meetings at regular intervals (Appendix 3)</p> <p>Identify any inconsistencies between data requirements and data being submitted.</p> <p>Arrange extra support for projects on data collection if necessary</p> <p>Consider arranging evaluation training for projects team members</p>		
<p>Insufficient evaluation capacity among program and project team members, compromising the quality and appropriateness of data being collected and submitted</p>	<p>As above</p> <p>Consider hiring an external consultant to run a full-day evaluation capacity building workshop at the project planning phase</p>		
<p>Failure to meet deadlines in collecting and submitting data for analysis, meaning that the evaluation report may not be completed on time</p>	<p>Make regular reporting on evaluation data collection a requirement of project teams and provide them with a template for this purpose</p> <p>Identify any delays or difficulties early and identify with project teams whether the problem lies in the types of data expected and/or the capacity to collect the data</p> <p>Consider whether other types of data are available. Consider providing additional capacity building support if this will significantly enhance the quality of the data being collected and usefulness of the evaluation report</p>		

Appendix 1 Glossary

Table 8 provides some basic definitions of key terms found in evaluation. Some (but not all) are referenced in this document – they are provided to help give some clarity to key concepts in evaluation.

Table 8: Glossary of terms

Term	Definition
Activity	Tasks undertaken to deliver an output, which contributes to a project or program
Baseline	The starting point for the indicator or basis on which success / change will be measured. E.g. where are you starting from, where things stand at the start
Cost effectiveness	Cost Effectiveness Analysis compares the quantifiable relative costs (in dollars) and outcomes (effects) of two or more courses of action. Used when the benefits of a program are similar for each option. The costs are compared with outcomes measured in natural units – e.g. cost per hectare. This process is used to identify the lowest cost means of achieving that outcome. Consideration needs to be given to any co-benefits of a particular initiative that may not be captured by the analysis.
Effectiveness	The extent to which a program achieves its objectives
Efficiency	The extent to which a program is delivered with the lowest possible use of resources, to the areas of greatest need, and continues to improve over time by finding better or lower cost ways to deliver outcomes.
Evaluation	A rigorous, systematic and objective process to assess the effectiveness, efficiency, appropriateness and sustainability of programs
Indicator	A measure used to assess or check a program or project's effectiveness. It can also be thought of as an (often incomplete) 'window of insight' on a particular outcome or concept.
Inputs	Any resources of any kind that are fed into and made use of during the program, for example, human resources, telecommunications, cash and in-kind funding
Monitoring	A process to periodically report against planned targets. Monitoring is typically focused on outputs rather than outcomes and is used to inform managers about the progress of a program and to detect problems that may be able to be addressed through corrective actions
Objectives	Concise statement about what a program or project is aiming to achieve
Outcome	Changes in physical, social or organisational attributes (e.g. changes in behaviour, resource use, energy production, attitudes, awareness, policies).
Output	The products, goods, and services which are produced by the program
Program logic	A tool that presents the logic of a program in a diagram or chart (with related descriptions). The program logic illustrates the logical linkage between the identified need or issue that a program is seeking to address; its intended activities and processes; their outputs; and the intended program outcomes.
Reach	The size/scale of the influence or impact of the program, how many people know about it, how many people are involved, how many people's lives have been touched by it
Stakeholders	Individuals and organisations who are involved in or may be affected by project activities

Appendix 2 Program Logic Template

Inputs	Activities	Outputs	Outcomes			Sustainability Fund Outcomes
			Short term	Intermediate term	End of Project	
→						
Assumptions (if, then)						

Appendix 3 Project Team Evaluation Management template

<p>What are the project activities that you have undertaken this [insert interval]?</p> <p>List of program activities</p> <p>Space for project teams to enter their own</p>
<p>What has worked well this [interval]?</p>
<p>What has not worked well this [interval]?</p>
<p>What data collection activities have been carried out this [interval]?</p> <p>How much data has been collected? Has this data been submitted to the central program data repository?</p>
<p>Do you have any preliminary findings to report on at this stage?</p> <p>For example, are there any outcomes that you think are worth mentioning at this stage? If so, what are they? Are these outcomes that you identified in your project plan or evaluation planning?</p>

Have you identified any additional opportunities for data collection?

If so, what are they?

Do you currently foresee any risks to you being able to collect and submit all data by the deadline?