

## **Project Design, Monitoring, and Evaluation**

**SIS-750-003**

School of International Service, American University

Fall 2018

Monday: 5:30 – 8:00 pm

Location: SIS 355

Office hours: Wednesday, 1:00 – 3:00 pm

Book office hours [here](#).

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### **COURSE DESCRIPTION**

This introductory course aims to help students understand how to monitor and evaluate development, humanitarian, or peacebuilding projects. The course will focus on enabling students to apply the concepts that they learn, including by critically assessing projects and identifying the most appropriate approach to monitoring and evaluation. Each student will choose one project to work with for the entirety of the class and, by the end of the class, produce a Monitoring and Evaluation Assessment and Design for that project.

In Part I of the course, we will cover some of the basic aspects of project design. We will review the components of a project: aims, inputs, outputs, outcomes, and impact. We will then discuss theories of change and logic models, which describe the causal process through which the project's activities are supposed to achieve its intended impact. The first assignment will be for each student to produce a document outlining the theory of change, logic model, and logical framework for her/his project's outcome(s).

In Part II of the course, we will discuss project monitoring and adaptive management. We will focus on the particular role that monitoring can play in helping development, humanitarian, or peacebuilding organizations improve their project performance and learn from their successes and failures. Students will discuss, in class, how to apply these approaches to their project and include a detailed monitoring and adaptive management plan in their final Monitoring and Evaluation Assessment and Design memos.

In Part III of the course, we will examine different approaches to evaluating the effect of development, humanitarian, or peacebuilding projects. We will begin by reviewing the basic principles of research design that underlie these evaluation approaches, focusing on two different ways of thinking about causality (deterministic and frequentist) and associated approaches to comparative case selection and respondent sampling. We will then discuss four different types of evaluation designs: Comparative Case Study Designs, Participatory Designs, Randomized Controlled Trials (RCTs), and Quasi-Experimental Designs. Students will assess the relevance of each of these evaluation types for their project in one-page memos that we will discuss in class.

In Part IV of the course, we will discuss different data collection instruments, approaches to data analysis, and the potential ethical and political challenges faced while collecting and analyzing

data. In their final memo, students will be asked to identify the appropriate data collection instruments for their evaluation design and discuss how they will address the ethical and political challenges that they may face during data collection and analysis.

The course will not provide, nor does it assume that students have, training in the research design, data collection, or data analysis skills necessary to apply the monitoring and evaluation approaches reviewed in the class. If students wish to conduct independently the types of evaluations discussed in this class, further research design, data collection, and data analysis skills will be needed. Prof. Campbell will discuss where and how students might obtain these skills. Prof. Campbell also offers an advanced monitoring and evaluation course where students will be able to design real evaluations using some of the evaluation approaches covered in class.

### **LEARNING OBJECTIVES**

This course will explain how to:

- (1) Identify a project's theory of change and develop an associated logic model and logical framework;
- (2) Assess the relevance of each of the three main evaluation designs (participatory, comparative case study designs, randomized controlled trials/quasi-experimental) to the project;
- (3) Identify how the evaluation can be managed and monitored in a way that integrates adaptive management and organizational learning, and how this may influence the effect of the evaluation;
- (4) Develop a preliminary monitoring and evaluation plan for the project.

### **LEARNING OUTCOMES**

By the end of this course, students should be able to:

- (1) Develop the theory of change for a project or program and develop a related logical framework;
- (2) Identify and apply the key components of four main types of evaluation designs - participatory, comparative case study designs, randomized controlled trials, and quasi-experimental;
- (3) Identify opportunities for organizational learning and adaptive management in the monitoring and evaluation of a project or program;
- (4) Identify and address key ethical and political challenges in the implementation of monitoring and evaluation plans;
- (5) Critically assess the strengths and weaknesses of the different monitoring and evaluation approaches; and
- (6) Design a monitoring and evaluation plan for one of the four different types of evaluations.

## COURSE POLICIES

- *Use of technology.* The use of cell phones and computers is not permitted in class. Texting or using cell phones in other ways is disruptive to the learning environment. Studies have [shown](#) that taking notes by hand, rather than on a laptop, increases student learning.
- *Readings.* Students are expected to complete all required readings *before* class and come prepared for a lively discussion. All readings are on Blackboard or available through the library's Reserve desk. Students are not required to do the readings in the "further reading" section, which are listed on the syllabus so that students may deepen their knowledge of a particular topic.
- *Attendance policy.* Students are required to attend each class. Active participation in class discussion and demonstration of knowledge of the assigned readings constitute 10% of your grade.

## COURSE REQUIREMENTS

The course requirements are intended to help students understand and apply the course material. The weekly quizzes will test students' understanding of the readings. The written assignments focus on the application of the course material to specific development, humanitarian, or peacebuilding projects. *Students should upload each assignment to the appropriate Blackboard discussion thread by the deadlines listed below.*

### PROJECTS

Students can either choose projects that they are already familiar with or they can choose from among the projects funded by the [UN Peacebuilding Fund](#) or another [Multi-Donor Trust Fund](#). Students must notify Prof. Campbell of the project choice before 5:30pm on September 10, 2018.

#### *A) Theory of Change, Logic Model, and Logical Framework (15%)*

Each student will submit a document of approximately five pages outlining the theory of change, logic model, and logical framework for his/her project. The purpose of this assignment is not to duplicate the theory of change or logical framework found in existing project documents. Instead, students should improve the existing project document and clearly identify the outcome(s) around which s/he will design an evaluation. This assignment should be approximately five pages, although the exact length may vary depending on the precise scope of the selected project. This assignment is due by 5:30pm on October 8, 2018 (Week 6).

#### *B) Preliminary Evaluation Assessments (15%)*

For each of the four types of evaluation designs (Case Study, Participatory, RCT, and Quasi-Experimental), each student will submit a one-page, single-spaced memo applying this type of evaluation design to his/her project and describing the pros and cons of this type of evaluation design for her/his project. This one-page memo is due by 5:30pm on the Sunday before the relevant evaluation design class (Weeks 9, 10, 11, and 12). Students will receive written feedback on their memo from a small group of classmates and discuss this feedback during class.

### C) Monitoring and Evaluation Assessment and Design (40%)

Each student will submit a 10-15-page double-spaced memo on how his/her project should be monitored and evaluated. The memo should contain two separate components. First, the memo should select one evaluation design and argue why this is the best design for the particular project, explaining precisely why each of the three other evaluation designs are not the ideal choice. Second, the memo should present the basic components of her/his monitoring plan and evaluation design: evaluation purpose; comparison design (case study vs. treatment/control); respondent sampling strategy; monitoring and data collection plan; and adaptive management plan. This assignment is due before 5:30pm on December 10, 2018 (Week 15).

### Weekly Quizzes (20%):

At the end of each class, students will complete multiple-choice quizzes (administered through Blackboard). These quizzes will test student comprehension of the material discussed in the readings and reviewed in class. Quizzes will be timed and open book. The lowest grade from each quiz will be dropped.

### Class Participation (10%):

Students are expected to come to class each day with at least two questions and/or informed comments on the material. Students are also expected to engage actively in class discussions and small group discussions and work. They are expected to be professional and constructive in their oral and written interactions with other students and with the professor. Students are expected to attend all class sessions. Absences will result in a reduction in the student's participation grade.

## **COURSE SCHEDULE AND TOPICS**

The sections below list the topic and readings for each class. The required readings are mandatory and must be done **before** class. All readings are posted on Blackboard. The further readings provide additional resources to further explore each topic in more depth.

### **Overview of Weekly Topics**

<b>Week</b>	<b>Date</b>	<b>Topic</b>
1	08/27/2018	Introduction to the Course
2	09/10/2018	The Value of Monitoring and Evaluation: Feedback, Learning, and Impact <i>Notify Prof. Campbell of the project that you will use for class</i>
3	09/17/2018	Theories of Change and Logic Models
4	09/24/2018	Logical Framework and Indicator Development
5	10/01/2018	Adaptive Management, Monitoring, and Learning
6	10/08/2018	Guest Speaker <i>Assignment A Due – Theory of Change, Logic Model, and Logical Framework</i>
7	10/15/2018	Introduction to Evaluation Design I: Causation and Inference

8	10/22/2018	Introduction to Evaluation Design II: Comparison and Sampling
9	10/29/2018	Participatory Evaluation Designs <i>Assignment B for Participatory Designs Due – One-page memo</i>
10	11/05/2018	Case Study Evaluation Designs (Small-n attribution) <i>Assignment B for Case Study Designs Due – One-page memo</i>
11	11/12/2018	Randomized Controlled Trial (RCT) Designs <i>Assignment B for RCTs Due – One-page memo</i>
12	11/19/2018	Quasi-Experimental Designs <i>Assignment B for Quasi-Experimental Designs Due – One-page memo</i>
13	11/26/2018	Data Collection Instruments and Analysis
14	12/03/2018	Ethics, Politics, and Next Steps
15	12/10/2018	<i>Assignment C Due – Final Monitoring and Evaluation Assessment and Design</i>

The sections below list the topic and readings for each class. The required readings are mandatory and must be done **before** class. All readings are posted on Blackboard. The further readings provide additional resources to further explore each topic in more depth.

#### **Week 1: August 27, 2018 – Introduction to the Course**

This introductory session will review the course content, expectations, and assessment criteria. It will also discuss the central questions that this course examines.

- How can one understand if a project is working?
- How can monitoring and evaluation improve the likelihood that a project will work?

#### **Week 2: September 10, 2018 – The Value of Monitoring and Evaluation: Feedback, Learning, and Impact**

*By 5:30pm, notify Prof. Campbell of the project that you will use for class.*

- What is the incentive structure of development, peacebuilding, and humanitarian aid agencies?
- What is the role of feedback in project effectiveness?
- What role can monitoring and evaluation play in improving project effectiveness?

*Required Reading:*

- Campbell, Susanna P. 2018. "Introduction." *Global Governance and Local Peace: Accountability and Performance in International Peacebuilding*. Cambridge: Cambridge University Press, 1-35.
- Easterly, William. 2006. "Planners Versus Searchers." *The White Man's Burden*. Oxford: Oxford University Press, 3-33.
- Natsios, Andrew. 2010. *The Clash of the Counter-bureaucracy and Development*. Washington, DC: Center for Global Development, 1-10, 34-45.
- Gugerty, Mary Kay and Dean Karlan. 2018. "Chapter 2: Introducing the CART Principles." *The Goldilocks Challenge: Right-Fit Evidence for the Social Sector*. Oxford: Oxford University Press, 15-29.

*Further Reading:*

- Banerjee, Abhijit. "[Making Aid Work](#)." *Boston Review* 31, no. 4 (2006).
- Responses by: Ian Goldin, Halsey Rogers and Nicholas Stern. "Forum Response Making Aid Work." [Boston Review](#) 31, no. 4 (2006); and Ruth Levine. "Forum Response Making Aid Work." [Boston Review](#) 31, no. 4 (2006).
- *Further information on project cycles of key agencies:*
  - UNOCHA: <https://www.humanitarianresponse.info/en/programme-cycle/space>
  - USAID: <https://usaidlearninglab.org/program-cycle-overview-page>
  - World Bank Group: <http://www.worldbank.org/en/projects-operations/products-and-services/brief/projectcycle>

**PART I: PROJECT DESIGN**

**Week 3: September 17, 2018 – Theories of Change and Logic Models**

- What is program theory? What is a theory of change? What is a logic model?
- How do you identify a program theory, theory of change, and logic model?
- What role do program theories, theories of change, and logic models play in project design, monitoring, and evaluation?

*Required Reading:*

- Church, Cheyanne and Mark Rogers. "Chapter 2: Understanding Change" and "Chapter 3: Program Design." In [Designing for Results: Integrating Monitoring and Evaluation Transformation Activities](#), 10-42. Washington, DC: Search for Common Ground, 2011.

- Gugerty, Mary Kay and Dean Karlan. 2018. "Chapter 3: The Theory of Change" and "Chapter 8: Educate! Developing a Theory of Change for 'Changemakers.'" *The Goldilocks Challenge: Right-Fit Evidence for the Social Sector*. Oxford: Oxford University Press, 30-48, 148-165.
- Funnell, Sue C. and Patricia J. Rogers. 2011. "Chapter 1: The Essence of Program Theory," "Chapter 9: Representing Program Theory." *Purposeful Program Theory: Effective Use of Theories of Change and Logic Models*. San Francisco, CA: Jossey-Bass, 3-13, 241-291.
- [\*Program Theory and Logic Models\*](#). St Paul, MN: Wilder Research, 1-19.
- OECD-DAC. [\*Glossary of Key Terms in Evaluation and Results Based Management\*](#). Paris: Organization of Economic Cooperation and Development-Development Action Committee. (You do not need to read this full document. It is a reference for you in case there are terms with which you are not familiar.)
- *Assigned project* - Before class, students will select a project that they will use in their class exercises and individual assignments. Students are expected to read this project document in preparation for this class.

#### Further Reading:

- Conflict Sensitivity Consortium. [\*Resource Pack on Conflict Sensitivity\*](#). May 2015.
- CARE. [\*The Basics of Project Implementation: A Guide for Project Managers\*](#). Atlanta, GA: CARE USA, 2007.
- Department for International Development. [\*Conducting Conflict Assessments: Guidance Notes\*](#). London: 2002.
- Foundations of Success. [\*Using Results Chains to Improve Strategy Effectiveness: An FOS How-To Guide\*](#). Bethesda, MD: Foundations of Success – Improving the Practice of Conservation, May 2007.
- International Labor Organization and COOP Africa. [\*Project Design Manual - A Step-by-step Tool to Support the Development of Cooperatives and Other Forms of Self-Help Organizations\*](#), 25-45. Dar es Salaam and Geneva: ILO, 2010.
- Kessler, Adam with Nabanita Sen. [\*Guidelines to the DCED Standard for Results Measurement: Articulating the Results Chain\*](#). The Donor Committee for Enterprise Development, April 2015.
- [\*Logic Model Development Guide\*](#). Battle Creek, MI: W.K. Kellogg Foundation, January 2004.
- Taplin, Dana, Hélène Clark, Eoin Collins and David Colby. [\*Theory of Change Technical Papers: A Series of Papers to Support Development of Theories of Change Based on Practice in the Field\*](#). New York, NY: ActKnowledge, 2013.

#### Week 4: September 24, 2018 – Logical Frameworks and Indicator Development

- What is a logical framework (logframe)? What are the pros and cons of logframes?
- What are the components of a logframe and how can you differentiate between them?
- What is a good indicator and how do develop one?
- What is the relationship between a project's logical framework, theory of change, and logic model?

#### Required Reading:

- Church, Cheyanne and Mark Rogers. "Chapter 4: Indicators" and "Chapter 6: Monitoring." In [\*Designing for Results: Integrating Monitoring and Evaluation Transformation Activities\*](#), 43-60, 81-90. Washington, DC: Search for Common Ground, 2011.
- Lennie, June, Jo Tacchi, Bikash Koirala, Michael Wilmore, and Andrew Skuse. 2011. [\*"Module 2: Setting objectives and indicators."\*](#) *Equal Access Participatory Monitoring and Evaluation toolkit*.
- Gasper, Des. 2000. "Evaluating the 'Logical Framework Approach' Towards Learning-Oriented Development Evaluation." [\*Public Administration & Development\*](#), 20, 17-28.
- Gugerty, Mary Kay and Dean Karlan. 2018. "Chapter 7: Collecting High-Quality Data" and "Chapter 11: Invisible Children Uganda: An Evolving Monitoring and Evaluation System." *The Goldilocks Challenge: Right-Fit Evidence for the Social Sector*. Oxford: Oxford University Press, 118-143, 199-210.
- USAID. 2016. [\*"Performance Indicator Reference Sheet \(PIRS\) Guidance Template."\*](#) Washington, DC: US Agency for International Development.

#### Further Reading:

- Bakewell, Oliver and Anne Garbutt. [\*The Use and Abuse of the Logical Framework Approach\*](#). Stockholm: Sida, 2005.
- Kessler, Adam with Nabanita Sen. [\*Guidelines to the DCED Standard for Results Measurement: Measuring Changes in Indicators\*](#). The Donor Committee for Enterprise Development, July 2015.
- ICRC. [\*Programme/project management: The results-based approach\*](#). Geneva: International Committee of the Red Cross, May 2008. (*Simple and clear guide from ICRC for RBM.*)
- Sen, Nabanita, Adam Kessler, and Donna Loveridge. [\*Guidelines to the DCED Standard for Results Measurement: Defining indicators of change and other information needs\*](#). The Donor Committee for Enterprise Development, June 2017.
- UNICEF. [\*16 Tools for Programming for Policy Results: Towards the Meaningful Use of Results-Based Management and Theory of Change for Social Inclusion and Policy – A Reference Guide\*](#). Thailand: UNICEF EAPRO, 2015.



## PART II: PROJECT MONITORING AND ADAPTIVE MANAGEMENT

### Week 5: October 1, 2018 – Adaptive Management, Monitoring, and Learning

- What is adaptive management? What is its relationship to monitoring and evaluation?
- What are the different types of project monitoring? What are the ways in which monitoring can and cannot facilitate project effectiveness?
- What is organizational learning? What is its relationship to project monitoring, evaluation, and adaptive management?
- What are possible obstacles to learning and adaptation how could they be addressed?

#### *Required Reading:*

- Chechvala, Sarah. 2017. [\*“From Feedback to Action” Why so much talk and so little action?\*](#) Cambridge: CDA Collaborative Learning Projects.
- DFID. 2016. [\*Moving Targets, Widening Nets: monitoring incremental and adaptive change in an Empowerment and Accountability programme – The experience of the State Accountability and Voice Initiative in Nigeria.\*](#) London: Department for International Development. (This is a case study of adaptive management. No need to read it in detail, but you should scan it to understand adaptive management in practice.)
- Gugerty, Mary Kay and Dean Karlan. 2018. “Chapter 5: Monitoring with the CART Principles.” *The Goldilocks Challenge: Right-Fit Evidence for the Social Sector*. Oxford: Oxford University Press, 66-89.
- Queen, Emily Forsyth, Jessica Baumbardner-Zuzik, Elizabeth Hume, and Melanie Greenberg. 2018. [\*Snapshot of Adaptive Management in Peacebuilding Programs: What are the key challenges and recommendations for implementing adaptive management in peacebuilding programs?\*](#) Washington, DC: Alliance for Peacebuilding.
- USAID. 2018. [\*Discussion Note: Adaptive Management.\*](#) Washington, DC: US Agency for International Development.

#### *Further Reading:*

- Biggs, Stephen and Sally Smith. 2003. “A Paradox of Learning in Project Cycle Management and the Role of Organizational Culture.” [\*World Development\*](#), 31(10), 1743–1757.
- Brinkerhoff, Derick W., Sarah Frazer, and Lisa McGregor-Mirghani. [\*Adapting to Learn and Learning to Adapt: Practical Insights from International Development Projects.\*](#) Policy Brief, January 2018. Research Triangle Park: RTI Press.
- Jones, Harry and Enrique Mendizabal. [\*“Strengthening Learning from Research and Evaluation: Going with the Grain: Final Report.”\*](#) Overseas Development Institute. Cambridge: Department for International Development, September 2010.

- Rogers, Patricia. "[Does Evaluation Need to Be Done Differently to Support Adaptive Management](#)." Better Evaluation, March 2017.
- USAID. [Collaboration, Learning, and Adaptation Toolkit](#). Washington, DC: USAID, 2017.
- USAID. [Evidence Base for Collaborating, Learning, and Adapting: A Summary of the Literature Review](#). Washington, DC: United States Agency for International Development, April 2017.
- USAID Learning Lab. [Context-Driven Adaptation Collection](#). Washington, DC: US Agency for International Development.
- USAID Learning Lab. [Leaders in Learning](#). Podcast Series. Washington, DC: US Agency for International Development.
- USAID Learning Lab. [Procuring and Managing Adaptively: 5 Case Studies of Adaptive Mechanisms](#). Washington, DC: US Agency for International Development.

#### **Week 6: October 8, 2018 – Guest Speaker**

*Assignment A Due – Theory of Change, Logic Model, and Logical Framework*

### **PART III: EVALUATION DESIGNS**

#### **Week 7: October 15, 2018 – Introduction to Evaluation Design I: Causation and Inference**

- What are the basic components of a research design?
- What is the fundamental problem of causal inference?
- What is the frequentist conceptualization of causality?
- What is the deterministic conceptualization of causality?
- What are internal and external validity?

#### *Required Reading*

- Dixon, Jeffrey, Royce A. Singleton, and Bruce C. Straits. 2015. "Chapter 4: Research Designs – It Depends on the Question." *The Process of Social Research*, 73-102. Oxford: Oxford University Press.
- Khandker, Shahidur, Gayatri Koolwal, and Hussain Samad. 2010. "Chapter 2: Basic Issues of Evaluation." [Handbook on Impact Evaluation: Quantitative Methods and Practices](#). 7-25. Washington, DC: World Bank.
- Befani, Barbara. 2012. [Models of Causality and Causal Inference](#). Review prepared as part of the DFID study, Broadening the Range of Designs and Methods for Impact Evaluation. London: Department for International Development.

*Further Reading:*

- Bamberger, Michael. 2012. [\*Introduction to Mixed-Methods in Impact Evaluation\*](#). Washington, DC: Interaction.
- Brady, Henry E. 2008. "Causation and Explanation in Social Science." In Janet M. Box-Steffensmeier, Henry E. Brady, and David Collier, eds., *The Oxford Handbook of Political Methodology*. Oxford: Oxford University Press.
- Humphreys, Macartan. Evidence in Governance and Politics. "[10 Things to Know About Causal Interference](#)."
- Jalil, Mohammad Muaz. [\*Practical Guidelines for conducting research: Summarizing good research practice in line with the DCED Standard\*](#). Donor Committee for Enterprise Development, February 2013.
- Mahoney, James and Gary Goertz. "Part I: Causal Models and Inference." and "Part II: Within-case Analysis." *A Tale of Two Cultures: Qualitative and Quantitative Research in the Social Sciences*. 41-83 and 85-124. Princeton, New Jersey: Princeton University Press, 2012.
- Sen, Nabanita. [\*Guidelines to the DCED Standard for Results Measurement: Estimating Attributable Changes\*](#). The Donor Committee for Enterprise Development, June 2018.

<b>Week 8: October 22, 2018 – Introduction to Evaluation Design II: Comparison and Sampling</b>
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- How do experimental designs approach comparison between different groups?
- How do comparative case study designs approach comparison between different groups?
- What is random sampling? How does it relate to frequentist/experimental notions of causality?
- What is purposive sampling and how does it relate to deterministic notions of causality?

*Required Reading:*

- Dixon, Jeffrey, Royce A. Singleton, and Bruce C. Straits. 2015. "Chapter 6: Sampling – Case Selection as a Basis for Inference." *The Process of Social Research*, 137-172. Oxford: Oxford University Press.
- Glennerster, Rachel. 2013. "Chapter 2 – Why Randomize?" In *Running Randomized Evaluations: A Practical Guide*, 24-44. Princeton, NJ: Princeton University Press.
- Patton, Michael Q. 2002. "Chapter 5: Designing Qualitative Studies" (read only pp. 227 – 257). In *Qualitative Research and Evaluation Methods*, 3rd Edition. Los Angeles, CA: Sage Publications.
- Yin, Robert K. 2018. "Designing Case Studies: Identifying Your Case(s) and Establishing the Logic of Your Case Study." *Case Study Research: Design and Methods*, 6<sup>th</sup> Edition, 25-62. Thousand Oaks, CA: Sage.

### Further Reading:

- Bamberger, Michael, and Jim Rugh, and Linda Mabry. "Chapter 11: Evaluation Designs." *Real World Evaluation: Working Under Budget, Time, Data, and Political Constraints*, 2<sup>nd</sup> Edition, 207-244. London: Sage, 2012.
- Fairbairn, William, and Adam Kessler. [Practical Advice for Selecting Sample Sizes](#). The Donor Committee for Enterprise Development, May 2015.
- Mahoney, James, and Gary Goertz. "A Tale of Two Cultures: Contrasting Quantitative and Qualitative Research." [Political Analysis](#) 14 (2006): 227-249.
- Mahoney, James, and Gary Goertz. "Part III: Concepts and Measurement." and Part VI: Research Design and Generalization." *A Tale of Two Cultures: Qualitative and Quantitative Research in the Social Sciences*. 127-173 and 175-226. Princeton, New Jersey: Princeton University Press, 2012.

### Week 9: October 29, 2018 – Participatory Evaluation Designs

By 5:30pm on Sunday, October 28th – One-page Memo for Participatory Designs Due

- Why are participatory designs focused on program improvement as opposed to impact evaluation?
- What are the common elements of participatory designs?
- What are the pros and cons of a participatory design?
- What is the relationship between participatory designs and adaptive management?
- What is the relationship between participatory designs and other types of designs, such as comparative case study designs?

### Required Reading:

- Catley, Andy, John Burns, Dawit Abebe, and Omeno Suji. 2014. [Participatory Impact Assessment: A Design Guide](#). Medford, MA: Feinstein International Center, Tufts University.
- CDI. 2016. [Balancing Inclusiveness, Rigour, and Feasibility: Insights from Participatory Impact Evaluations in Ghana and Vietnam](#). Center for Development Impact Practice Paper. Brighton: Institute of Development Studies, no. 14.
- Davies, Rick and Jess Dart. 2005. [The 'Most Significant Change' \(MSC\) Technique - A Guide to Its Use](#), 8-14.
- Dozois, Elizabeth, Marc Langlois, and Natasha Blanchet-Cohen. 2010. [DE 201: A Practitioner's Guide to Developmental Evaluation](#). Montreal: The J.W. McConnell Family Foundation.
- Gugerty, Mary Kay and Dean Karlan. 2018. "Chapter 6: The CART Principles for Impact Evaluation" and "Chapter 9: BRAC – Credible Activity Monitoring for Action." *The*

*Goldilocks Challenge: Right-Fit Evidence for the Social Sector*. Oxford: Oxford University Press, 90-117, 166-180.

*Further Reading:*

- Asadullah, Sarah. and Muniz, Soledad. 2015. [Participatory Video and the Most Significant Change. A guide for facilitators](#). Oxford: InsightShare.
- CARE International. [Participatory Monitoring, Evaluation, Reflection, and Learning for Community-based Adaptation – PMERL Manual: A Manual for Local Practitioners](#). Geneva: CARE International, June 2012.
- Cornwall, Andrea and Alia Aghajanian. “How to find out what’s really going on: understanding impact through participatory process evaluation.” [World Development](#) 99 (2017): 173-185.
- Patton, Michael Q. 2010. “Chapter 1: Developmental Evaluation Defined and Positioned.” *Developmental Evaluation Applying Complexity Concepts to Enhance Innovation and Use*, 28-52. New York: Guilford Press.
- Patton, Michael Q. 2012. “Introduction, Overview, and Context.” *Essentials of Utilization-Focused Evaluation*, 1-14. Los Angeles: Sage Publications.

**Week 10: November 5, 2018 – Comparative Case Study Evaluation Designs (Small-n attribution)**

*By 5:30pm on Sunday, November 4th – One-page Memo for Comparative Case Study Designs Due*

- How do comparative case study designs employ causal inference?
- What are the main steps in developing a comparative case study design?
- How do comparative case study designs address external validity?
- What respondent sampling strategy and data collection strategies do you employ with comparative case study designs?
- How can comparative case study designs be integrated with other types of evaluation designs?

*Required Reading:*

- Balbach, Edith. 1999. [Using Case Studies to do Program Evaluation](#). Sacramento, CA: California Department of Health Services.
- CDI. 2015. [Straws-in-the-wind, Hoops, and Smoking Guns: What can Process Tracing Offer to Impact Evaluation?](#) Brighton: Institute of Development Studies, no 10.
- CDI. 2015. [Applying Process Tracing in Five Steps](#). Centre for Development Impact Practice Paper. Brighton: Institute of Development Studies, no 10, Annex.
- Colvin, John and Mutizwa Mukute. 2018. [Governance in Ethiopia: Impact evaluation of the African Climate Change and Resilience Alliance \(ACCRA\) project](#). Oxford: Oxfam UK.

(Read the evaluation design on pp. 14-20 and scan the rest of the evaluation so you can see an example of a comparative case studies and process tracing design.)

- White, Howard and Daniel Phillips. 2012. [Addressing attribution of cause and effect in small n impact evaluations: toward an integrated framework](#). *3ie Working Paper* 15. 4-28. New Delhi: International Initiative for Impact Evaluation.

*Further Reading:*

- Beach, Derek and Rasmus Brun Pedersen. *Process-Tracing Methods: Foundations and Guidelines*. Ann Arbor: University of Michigan Press, 2013.
- Bennett, Andrew and Jeffrey T. Checkel. *Process Tracing: From Metaphor to Analytic Tool*. Cambridge: Cambridge University Press, 2014.
- Goodrick, Delwyn. 2014. [Comparative Case Studies](#). UNICEF Methodological Briefs Impact Evaluation No. 9. New York: UNICEF.
- Yin, Robert K. "Application #1, #2, and #3." *Case Study Research: Design and Methods*, 6<sup>th</sup> Edition, 66-80. Thousand Oaks: Sage, 2018.
- Yin, Robert K. "Appendix B: A Note on the Uses of Case Study Research in Evaluations." *Case Study Research: Design and Methods*, 6<sup>th</sup> Edition, 269-285. Thousand Oaks: Sage, 2018.
- Woolcock, Michael. [Using case studies to explore the external validity of "complex" development interventions](#). WIDER Working Paper No. 2013/096. UNU-WIDER, 2013.

<b>Week 11: November 12, 2018 – Randomized Controlled Trial (RCT) Evaluation Designs</b>
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<i>By 5:30pm on Sunday, November 11th – One-page Memo for RCT Designs Due</i>
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- How do RCTs employ causal inference?
- What is random assignment and how is it used in RCTs?
- What are the main RCT design options and what are potential implementation challenges?
- How do RCTs address external validity?
- What respondent sampling strategy and data collection strategies does one employ with RCTs?
- How might RCTs be integrated with the other types of evaluation design?

*Required Reading:*

- Glennerster, Rachel. 2013. "Chapters 2 – Why Randomize?" and "Chapter 4 – Randomizing." In *Running Randomized Evaluations: A Practical Guide*, 44-65 and 98-140. Princeton, NJ: Princeton University Press.

- Gugerty, Mary Kay and Dean Karlan. 2018. “Chapter 6: The CART Principles for Impact Evaluation” and “Chapter 12: Deworm the World: From Impact Evidence to Implementation at Scale.” *The Goldilocks Challenge: Right-Fit Evidence for the Social Sector*. Oxford: Oxford University Press, 90-117, 211-226.
- Heard, Kenya, Elisabeth O’Toole, Rohit Naimpally, and Lindsey Bressler. April 2017. [Real World Challenges to Randomization and Their Solutions](#). Abdul Latif Jameel Poverty Action Lab (J-PAL).
- J-PAL. 2016. [“Can we talk in private \(about family planning\)?”](#) J-PAL Policy Briefcase. Cambridge: Abdul Latif Jameel Poverty Action Lab. (We will discuss this case in class.)
- J-PAL. 2017. [“Six Rules of Thumb for Determining Sample Size and Statistical Power.”](#) Cambridge: Abdul Latif Jameel Poverty Action Lab (J-PAL).

*Further Reading:*

- Blattman, Christopher and Jeannie Annan. 2011. [“Reintegrating and Employing High Risk Youth in Liberia: Lessons from a randomized evaluation of a Landmine Action agricultural training program for ex-combatants.”](#) Evidence from Randomized Evaluations of Peacebuilding in Liberia: Policy Report 2011.1. New Haven: Innovations for Poverty Action.
- Duflo, Esther and Abhijit Banerjee (eds). 2017. [Handbook of Field Experiments](#). North Holland: Elsevier.
- Glennerster, Rachel. 2013. “Chapter 4 – Randomizing.” and “Chapter 7 – Threats.” In *Running Randomized Evaluations: A Practical Guide*, 98-179 and 298-322. Princeton, NJ: Princeton University Press, 2013.
- J-PAL. 2017. [“Administrative Data and Evaluation Guides.”](#)
- Paluck, Elizabeth Levy. 2010. The Promising Integration of Qualitative Methods and Field Experiments.” *The Annals of the American Academy of Political and Social Science* (March 2010): 59-71.

<p><b>Week 12: November 19, 2018 – Quasi-experimental Designs</b></p>
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<p><i>By 5:30pm on Sunday, November 18th – One-page Memo for RCT Designs Due</i></p>
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- How do quasi-experimental designs employ causal inference?
- What are the three core quasi-experimental designs? What are their pros and cons?
- How do quasi-experimental designs address external validity?
- What respondent sampling strategy and data collection strategies do you employ with quasi-experimental designs?
- How might quasi-experimental designs be integrated with the other types of evaluation designs?



*Required Reading:*

- Gaarder, Marie and Jeannie Annan. June 2013. "Impact Evaluation of Conflict Prevention and Peacebuilding Interventions." [Policy Research Working Paper 6496](#). Washington, DC: World Bank Independent Evaluation Group.
- Glennerster, Rachel. 2013. "Chapters 2 – Why Randomize?" and "Chapter 4 – Randomizing." In *Running Randomized Evaluations: A Practical Guide*, 28-44 (read again). Princeton, NJ: Princeton University Press.
- Khandker, Shahidur, Gayatri Koolwal, and Hussain Samad. 2010. "Chapter 4: Propensity Score Matching," "Chapter 5: Double Difference," and "Chapter 7: Regression Discontinuity and Pipeline Methods:" [Handbook on Impact Evaluation: Quantitative Methods and Practices](#). 53-68, 71-84, and 103-112. Washington, DC: World Bank. (Focus on the intuition and not on the algebra.)

*Further Reading:*

- Khandker, Shahidur, Gayatri Koolwal, and Hussain Samad. 2010. [Handbook on Impact Evaluation: Quantitative Methods and Practices](#). Washington, DC: World Bank.

**PART IV: DATA COLLECTION, ANALYSIS, ETHICS, AND MANAGEMENT**

**Week 13: November 26, 2018 – Data Collection Instruments and Analysis**

- What are the different approaches to collecting qualitative and quantitative data? What are their pros and cons?
- Which data collection instrument might you use for which type of evaluation?
- How does data collection relate to project monitoring and adaptive management?

*Required Reading:*

- Bamberger, Michael, Jim Rugh, and Linda Mabry. 2012. "Chapter 14: Mixed-Method Evaluation." In *Real World Evaluation: Working under Budget, Time, Data, and Political Constraints* 2<sup>nd</sup> edition, 319-354. Los Angeles, CA: Sage.
- Church, Cheyanne, and Mark Rogers. 2011. "Chapter 5: Baseline." In [Designing for Results: Integrating Monitoring and Evaluation Transformation Activities](#), 61-80. Washington, DC: Search for Common Ground.
- Gugerty, Mary Kay and Dean Karlan. 2018. "Chapter 10: Salama SHIELD Foundation – The Challenge of Accountability." *The Goldilocks Challenge: Right-Fit Evidence for the Social Sector*. Oxford: Oxford University Press, 181-198.
- Morra-Imas, Linda and Ray C. Rist. 2009. "Chapter 8: Selecting and Constructing Data Collection Instruments." In [The Road to Results: Designing and Conducting Effective Development Evaluations](#), 289-354. Washington, DC: World Bank.



**Further Reading:**

- Creswell, John and Vicki Plano Clark. "Chapter 3: Choosing a Mixed-Method Design." *Designing and Conducting Mixed Methods Research*, 2<sup>nd</sup> Edition, 53-106. Los Angeles: Sage Publications, 2011.
- Dixon, Jeffrey, Royce A. Singleton, and Bruce C. Straits. "Chapter 12: Quantitative Data Analysis" and "Chapter 13: Qualitative Data Analysis." *The Process of Social Research*, 352-427. Oxford: Oxford University Press, 2015.
- Glennerster, Rachel. "Chapter 8 – "Analysis." In *Running Randomized Evaluations: A Practical Guide*, 324-385. Princeton: Princeton University Press, 2013.
- Patton, Michael Q. "Part 2: Qualitative Designs and Data Collection." In *Qualitative Research and Evaluation Methods*, 4<sup>th</sup> Edition, 243-518. Los Angeles: Sage Publications, 2015.
- Robson, Colin, and Kieran McCartan. "Chapters 11: Survey and Questionnaires," Chapter 12: Interviews and Focus Groups," "Chapter 13: Tests and Scales," "Chapter 14: Observational Methods," and Chapter 15: Additional Methods of Data Collection." In *Real World Research*, 4<sup>th</sup> Edition, 243-384. West Sussex, UK: John Wiley and Sons Ltd., 2016.

<b>Week 14: December 3, 2018 – Ethics, Politics, Management, and Next Steps</b>
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- What are the ethical and political challenges facing monitoring and evaluation? How should the evaluator address them?
- Once you have designed your evaluation, how should you manage it?

**Required Reading:**

- Campbell, Susanna P. 2017. "Ethics of Research in Conflict Environments." *Journal of Global Security Studies*, 2(1), 89-101.
- Church, Cheyanne and Mark Rogers. 2011. "Chapter 8: Evaluation Preparation" and "Chapter 9: Evaluation Management." In [\*Designing for Results: Integrating Monitoring and Evaluation Transformation Activities\*](#), 96-135, 137-177. Washington, DC: Search for Common Ground.
- OECD-DAC. ["DAC Criteria for Evaluating Development Assistance."](#) Paris: OECD-DAC.

**Further Reading:**

- American Evaluation Association. [Guiding Principles for Evaluators](#).
- Bamberger, Michael, Jim Rugh, and Linda Mabry. "Chapter 6: Political Constraints." *Real World Evaluation: Working Under Budget, Time, Data, and Political Constraints*, 2<sup>nd</sup> Edition, 107-120. London: Sage, 2012.
- Dixon, Jeffrey, Royce A. Singleton, and Bruce C. Straits. "Chapter 3: The Ethics and Politics of Research: Doing What's 'Right.'" In *The Process of Social Research*, 38-72. Oxford: Oxford University Press, 2015.

- Lake, Milli, and Sarah E. Parkinson. "The Ethics of Fieldwork Preparedness." [\*Political Violence @ a Glance\*](#). June 2017.

**Week 15: December 10, 2018**

*By 5:30pm - Final Assignment Due: Final Monitoring and Evaluation Assessment and Design*

**ADDITIONAL RESOURCES**

There are many excellent evaluation resources that are free and publicly available. Below are just a few resources that I find to be particularly helpful.

[Teaching Resources](#), J-PAL

[DME for Peace](#), Design, Monitoring, and Evaluation for Peacebuilding.

[American Evaluation Association](#)

Better Evaluation [Rainbow Framework for Planning an Evaluation](#)

International Rescue Committee's [Outcomes and Evidence Framework](#).

## American University Policies and Services

### ACADEMIC INTEGRITY

University policies on [academic integrity](#) (this includes plagiarism) govern all students and will be strictly enforced. Standards of academic conduct are set forth in the University's [Academic Integrity Code](#). By registering for this course, you have acknowledged your awareness of the Academic Integrity Code, and you are obliged to become familiar with your rights and responsibilities as defined by the Code. Violations of the Academic Integrity Code will not be treated lightly and disciplinary actions will be taken should such violations occur. Please see me if you have any questions about the academic violations described in the Code in general or as they relate to the requirements for this course.

### POLICY FOR SHARING OF COURSE CONTENT

Students are not permitted to make visual or audio recordings, including live streaming, of classroom lectures or any class related content, using any type of recording devices (e.g., smart phone, computer, digital recorder, etc.) unless prior permission from the instructor is obtained, and there are no objections from any of the students in the class. If permission is granted, personal use and sharing of recordings and any electronic copies of course materials (e.g., PowerPoints, formulas, lecture notes and any classroom discussions online or otherwise) is limited to the personal use of students registered in the course and for educational purposes only, even after the end of the course.

Exceptions will be made for students who present a signed Letter of Accommodation from the Academic Support and Access Center. See: [ASAC Accommodations](#). To supplement the classroom experience, lectures may be audio or video recorded by faculty and made available to students registered for this class. Faculty may record classroom lectures or discussions for pedagogical use, future student reference, or to meet the accommodation needs of students with a documented disability. These recordings are limited to personal use and may not be distributed (fileshare), sold, or posted on social media outlets without the written permission of faculty. Unauthorized downloading, file sharing, distribution of any part of a recorded lecture or course materials, or using information for purposes other than the student's own learning may be deemed a violation of *American University's Student Conduct Code* and subject to disciplinary action (see Student Conduct Code VI. Prohibited Conduct).

### EMERGENCY PREPAREDNESS

In the event of a declared pandemic (e.g. influenza or other communicable disease) or other emergency (e.g. snow day), American University will implement a plan for meeting the needs of all members of the university community. Should the university be required to close for a period of time, the university is committed to ensuring that all aspects of its educational programs will be delivered to its students. These may include altering and extending the duration of the traditional term schedule to complete essential instruction in the traditional format and/or use of distance instructional methods. Specific strategies will vary from class to class, depending on the format of the course and the timing of the emergency. Faculty will communicate class-specific information to students via AU e-mail and Blackboard, while students must inform their faculty

immediately of any absence due to illness. Students are responsible for checking their AU e-mail regularly and keeping themselves informed of emergencies. In the event of a declared pandemic or other emergency, students should refer to the AU Web site ([american.edu/emergency](http://american.edu/emergency)) and the AU information line at (202) 885-1100 for general university-wide information, as well as contact their faculty and/or respective dean's office for course and school/college-specific information.

#### **SUPPORT FOR AU STUDENTS**

During the semester, there may be times when you can benefit from the resources that AU makes available to students to help with stress or academic challenges. Some useful resources are listed below.

**[Academic Support and Access Center \(ASAC\)](#) MGC 243, 202-885-3360.** All students may take advantage of the Academic Support and Access Center (ASAC) for individual academic skills, counseling, workshops, tutoring and writing assistance, as well as Supplemental Instruction. All services are free. The services include the [Writing Center](#) (first floor of Bender Library), which assists students with academic writing and assignments. The [Math/Stat Lab](#) (Myers Building, 202-885-3154) which provides mathematics and statistics tutoring. Additional content tutoring is also available in the ASAC's [Tutoring Lab](#).

**Students with Disabilities.** American University is committed to making learning and programming as accessible as possible. Students who wish to request accommodations for a disability, must notify me with a letter of approved accommodations from the ASAC. As the process for registering and requesting accommodations can take some time, and as accommodations, if approved, are not retroactive, I strongly encourage students to contact the ASAC as early as possible. For more information about the process for registering and requesting disability-related accommodations, contact ASAC.

**[Counseling Center](#) MGC 214, 202-885-3500** is here to help students make the most of their university experience, both personally and academically. It offers individual and group counseling, urgent care, self-help resources, referrals to private care, as well as programming to help you gain the skills and insight needed to overcome adversity and thrive while you are in college. Contact the Counseling Center to make an appointment in person or by telephone, or visit the Counseling Center page on the AU website for additional information.

**[Center for Diversity & Inclusion](#) MGC 201, 202-885-3651** is dedicated to enhancing LGBTQ, Multicultural, First Generation, and Women's experiences on campus and to advance AU's commitment to respecting & valuing diversity by serving as a resource and liaison to students, staff, and faculty on issues of equity through education, outreach, and advocacy.

**[OASIS: The Office of Advocacy Services for Interpersonal and Sexual Violence](#) McCabe Hall 123, 202-885-7070, [oasis@american.edu](mailto:oasis@american.edu),** provides free and confidential advocacy services for students who experience sexual assault, dating or domestic violence, sexual harassment, and/or stalking. Please email or call to schedule an appointment with one of the two victim advocates in OASIS.

American University expressly prohibits any form of discriminatory harassment including sexual harassment, dating and domestic violence, sexual assault, and stalking. The university is an equal opportunity, affirmative action institution that operated in compliance with applicable laws and regulations, and does not discriminate on the basis of race, color, national origin, religion, sex (including pregnancy), age, sexual orientation, disability, marital status, personal appearance, gender identity and expression, family responsibilities, political affiliation, source of income, veteran status, an individual's genetic information or any other bases under federal or local laws in its programs and activities.

If you experience any of the above, you have the option of filing a report with the [AU Department of Public Safety](#) 202-885-2527 or the [Office of the Dean of Students](#) 202-885-3300 [dos@american.edu](mailto:dos@american.edu). To file a Title IX complaint, contact the Title IX Program Officer 202-885-3373 or [TitleIX@american.edu](mailto:TitleIX@american.edu). Please keep in mind that all faculty and staff - with exception of counselors in the Counseling Center, victim advocates in OASIS, medical providers in the Student Health Center, and ordained clergy in the Kay Spiritual Life Center - who are aware of or witness this conduct are required to report this information to the university, regardless of the location of the incident.

**[International Student & Scholar Services](#), Batelle 4th Butler Pavilion, Room 410** has resources to support academic success and participation in campus life including academic counseling, support for second language learners, response to questions about visas, immigration status and employment and intercultural programs, clubs and other campus resources.