
GTZ Conference 2011
Systemic Approaches in Evaluation
Origins
A Canadian crown corporation (1970) that supports research in developing countries, by developing country researchers

- Annual budget of about $200 million Canadian
- EcoHealth programme funds 15 projects doing action/research on the links between the health of people and socio-ecological systems
EcoHealth Challenge

Need for

- Better evidence of **outcomes** of the research
- **Theories of change** of how EcoHealth research makes a difference
- **Monitoring and Evaluation** approaches that adequately capture complex systems and outcomes and are oriented to help projects adjust

*With special thanks to Tricia Wind, Senior Program Officer, Evaluation Unit, IDRC*
The solution – open study

- Learn from crafting M&E approaches incorporating complex systems perspectives
- Outcome oriented M&E, focused on use for EcoHealth action research projects themselves
- Four projects paired with four consultants
- Innovate – try out new ideas and approaches, and compare experiences
- In sum – developmental evaluation!
Consortium for Health, Environment and Development

Ecohealth Action Research on the working conditions, environment and health of waste recyclers and their families
Lima, Peru 2008-2010

With special thanks to José VALLE, Ruth ARROYO, Anita LUJAN, Walter VARILLAS, Karim CASTRO
HOUSEHOLDS OF RECYCLERS ON LEFT BANK OF RIMAC RIVER, NOV. 2010
Why Developmental Evaluation?

The **purpose** was right:

- Support development of an innovation and adaptation of a new way of doing M&E
- ECOSAD was open to changing the nature of its intervention

The **situation** was appropriate:

- Complex, dynamic environment
- Priority problems with no known solution
- No certain way forward and multiple pathways possible
- Need for innovation, exploration, and social experimentation
FIRST MOVEMENT

September and October 2009
Process

Workshop Ottawa – September

- Complex systems and EcoHealth overview

Role of developmental evaluator

☑ Understand when and where evaluative thinking would be useful
Process

Workshop Lima – October

1. Address the complex systems reality of the ECOSAD project
2. Agree on M&E plan for November 2009-April 2010

Role of developmental evaluator

- Identify the evaluative questions that would support development of the M&E system.
- Design a methodology to generate answers to the questions.
What do we understand as “complex systems thinking”?
Systems thinking for ECOSAD

- Identify the parts of each system with which ECOSAD was involved.
- Look at the interrelationships between those actors and factors rather than looking at each in isolation.
- Understand how those relationships together add up to more than the sum of their interactions and interdependencies.
- Accept the fundamentality complex nature of the EcoHealth systems
Recyclers and buyers waste management

Domestic and industrial waste production

Institutions of health and environment

Municipal waste management

Recyclers and buyers waste management

System(s) in which ECOSAD intervenes

SOCIAL DIMENSION

ENVIRONMENTAL DIMENSION

ECONOMIC DIMENSION
Signs of their complexity

There was a considerable lack of agreement about the nature of the EcoHealth problem. This was the reason for being of the ECOSAD action research project.

Similarly, there was high uncertainty about what the results would be from ECOSAD’s activities and outputs, and considerable uncertainty about what ECOSAD should do more than twelve months in advance.
Logframed
First conclusion

➢ Need a monitoring system that focuses on outcomes achieved in real time.
ECOSAD’s existing monitoring system
### RESULTS

R1: Comprehensive risk levels (occupational, environmental and social) for workers and their families are established.

R2: The Risk Analysis studies allowed determination of the association between occupational, environmental and social risk factors and the harm to the health of workers and their families.

R3: The relationships between hazardous occupational exposure and changes in the health of workers and their families are established.

### ACTIVITIES IN LAST YEAR

- **Pilot and Survey**
  - Specific studies in occupational health, environmental, economic and social development.

- **GIS Database**
  - Maps of household and community risk factors
  - Routes of contamination – map of their trajectories.

- **Clinical and laboratory tests of workers and their families**
  - Assessments of environmental risk factors (physical, chemical and biological) in household and the zones of greater environmental vulnerability.
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Agreed to develop an alternative M&E process

- Identify **outcomes** – changes in the social actors in the systems
- Monitor
Agreed to develop an alternative M&E process

Identify outcomes – changes in the social actors in the system

Formative evaluation

Learn systemically from the outcomes

Monitor
Agreed to develop an alternative M&E process

Identify outcomes – changes in the social actors in the system

Learn systemically from the outcomes

Make changes in the research/action process

Improve ECOSAD intervention

Monitor

Formative evaluation
Agreed to develop an alternative M&E process

- Identify outcomes – changes in the social actors in the system
- Learn systemically from the outcomes
- Make changes in the research/action process
- Improve ECOSAD intervention
- Monitor outcomes – changes in the social actors in the system
- Monitor
Process

Workshop Lima – October

- Decision to adapt a tool Ricardo has used to evaluate the outcomes of a wide variety of social actors and their programmes and projects
- ECOSAD team would apply the tool to harvest outcomes achieved to date and interpret them in a December workshop

Role of developmental evaluator

- **Evaluative question**: How could the ECOSAD team harvest outcomes even more efficiently and effectively?
- **Methodology**: Trial and error in using the harvesting tool
Second Movement

November-December 2009
Harvesting and interpreting outcomes
One monitoring instrument

**Title**: In a sentence synthesize *who* changed *what*, *when* and *where* since the beginning of the ECOSAD project.

**Description**: In a paragraph please characterize the observable outcome. What did the social actor or group of social actors change in their behaviour, relationships, actions, policies or practices due to the influence - partial or total, direct or indirect, intentional or not of the ECOSAD project?

**Significance**: In the light of the objectives of the ECOSAD project, why is the change important?

**ECOSAD’s contribution**: What did ECOSAD do that influenced the change, whether intentional or not? What other actors and factors contributed? What is the evidence?

**Classification**: To which of the ECOSAD project objectives does the outcome correspond?
ECOSAD team’s harvest

1. Ministry of the Environment acknowledges the National Federation of recyclers
2. National Federation of Recyclers develops advocacy capacity to influence policy
3. The recyclers’ organisation ATALIR strengthens itself politically and legally
4. Recycling leaders participate in ergonomic study
5. Both recyclers’ organizations (ATALIR and ATIARRES) begin to identify toxic waste
6. ATALIR and ATIARRES participate in psychosocial study
7. Recyclers’ leaders employ legal arguments
8. Recyclers begin to use protective equipment and clothing
9. Recent university graduates practice participatory action research.
10. Social science researchers become researchers for development.
**Alcance #2: FENAREP desarrolla capacidad política.** En el curso de 2009, la Federación Nacional de Recicladores del Perú (FENAREP) desarrolló la capacidad de conducirse exitosamente en espacios políticos.

**Descripción:** Inicialmente la FENAREP no fue convocada ni aceptada a participar de la Mesa de Trabajo para elaboración del Reglamento de la Ley 29419, Ley que regula la actividad de los recicladores. Por ende, la Federación emprendió un proceso de aprender hacer y hacer incidencia por primera vez, realizando gestiones ante el Ministerio del Ambiente que finalmente accede a que FENAREP participe. Este alcance conlleva cambios a nivel de destrezas los dirigentes de la FENAREP quienes han aprendido a conducirse en espacios políticos, identificando sus posibles aliados y opositores con mayor claridad y abordándoles exitosamente con propuestas en lugar de protestas.

A nivel de actitudes la autovaloración y la seguridad de que sus aportes son importantes y relevantes en el proceso de formulación del Reglamento.

A nivel de conocimientos los dirigentes aprendieron la ruta que se sigue para la promulgación de una ley, sus derechos a participar de este proceso, aspectos sobre la conducción de sus reuniones y asambleas.

El primer paso fue que los dirigentes de FENAREP hicieron varios intentos de ser convocados y luego estratégicamente aprovecharon la ceremonia de promulgación de la Ley, cuando el Presidente de la FENAREP menciona su disposición y la importancia de participar en el proceso de elaboración del Reglamento, de inmediato fueron invitados a participar de la reunión del Consejo de Ministros en donde sostuvieron aspectos importantes para incorporar en el Reglamento.

Luego realizaron gestiones ante el Ministerio del Ambiente siendo finalmente invitados a participar como UN representante con voz y voto en la Mesa. Además, luego de sustentar en la reunión de la Mesa, los representantes de FENAREP lograron que se la Mesa aceptara su participación en calidad de invitados representantes de las bases de la FENAREP y sus asesores (Proyecto Ecosalud).

En todas las reuniones de la Mesa el Sr. Herrera, presidente de FENAREP, realiza intervenciones que buscan colocar derechos clave que han identificado los recicladores y son materia de discusión en la Mesa: el libre tránsito de los recicladores, el uniforme único a nivel nacional, el registro en la Dirección General de Salud Ambiental y no en los Municipios. Sustentados en casos específicos de recicladores que han sufrido atropellos de autoridades municipales entre otros.

**Significado del alcance:** Favorece los procesos democráticos y participativos para la generación de propuestas de políticas. También, favorece las posibilidades de desarrollo del trabajo de recicladores y de intervenir en aspectos de trabajo y ambiente que se plantean con el proyecto.

**Contribución del Proyecto ECOSAD al alcance:** En las reuniones de los dirigentes de FENAREP se contó con asesoría de parte del Proyecto Ecosalud y los dirigentes analizaron la estrategia para lograr ingresar en la Mesa. El proyecto también aportó con la asesoría en los documentos a presentar ante autoridades y la Mesa de Trabajo, la logística para la movilización de los dirigentes clave y la asesoría en el análisis de documentos legales.

**Clasificación:**

Objetivo 4. Mejorar la capacidad de agentes y actores locales para participar en la evaluación de procesos peligrosos, su prevención y la promoción de la salud y de espacios de diálogo para mejorar el reciclaje de residuos sólidos.
Third Movement

December 2009 workshop
The “E” of M&E would be understood as formative evaluation

Answers three systems questions:
What is the meaning of the **interrelationships** between the outcomes and how what ECOSAD contributed related to what other actors and factors contributed?
What is the significance of the **perspectives** of the social actors involved in the outcomes and in the activities that contributed to them?
How appropriate are the **boundaries** we established between the actors and factors in and outside the systems in which ECOSAD is intervening?
An unexpected conclusion: ECOSAD research project is a system

**ACTION**
Policy advocacy and technological innovation by recycling workers, their families and associations

**PARTICIPATORY RESEARCH**
Generating knowledge and capacity of the ECOSAD team

**CAPACITY-BUILDING**
Recycling workers, their families and associations
Outcomes in relation to the ECOSAD research project

**ACTION**
Policy advocacy and technological innovation by recycling workers, their families and associations

**CAPACITY-BUILDING**
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**PARTICIPATORY RESEARCH**
Generating knowledge and capacity of the ECOSAD team
Ecosad Project Sub-systems

SOCIAL DIMENSION

Municipal waste management

Domestic and industrial waste production

PARTICIPATORY RESEARCH

CAPACITY-BUILDING

Recyclers and buyers waste management

ACTION

Institutions of health and environment

ENVIRONMENTAL, DIMENSION

ECONOMIC DIMENSION
Conclusions

Workshop Lima – December

- Recognised the usefulness of identifying outcomes
- Realised that for the ECOSAD team members to formulate outcomes is very time-consuming
- Appreciated the value of team discussion
- Needed to verify what we understood with the subjects of the outcomes

Role of developmental evaluator

✓ Sounds like the outcome harvest was effective but not efficient
Role of developmental evaluator

- New evaluative question: What will be the most efficient and effective way to verify outcomes?
- Methodology: ECOSAD team will experiment with Ricardo’s advice.
Obtaining different perspectives

Recyclers and their organisations

Government authorities

ECOSAD team
Perspectives through focus groups and interviews

- Recyclers and their associations
- Representatives of:
  - Municipality of Lima
  - Environmental Ministry
  - Ministry of Women and Social Development,
  - MUNIRED
  - Environmental Ministry
Unexpected results

New outcomes in 2009

11. Recyclers’ organizations had engaged with candidates for political office.

12. Recyclers’ organizations had made formal proposals to policy decision-makers.

New boundary:
For the governmental authorities, “ECOSAD” is no longer just the EcoHealth action/research project team but the university consortium that sponsors the team and who will now engage with the governmental authorities.
More results

**August**

13. FENAREP leaders participate as candidates in municipal elections.
14. Policy decision-makers recognise FENAREP’s legitimacy as a political actor.
15. FENAREP members negotiate commercial agreements with the Association of Exporters ADEX.

**October**

16. Recyclers' organisations work with municipalities on how to best interpret and apply the Law of Recycling.
17. Recyclers demand that authorities implement a training program related to the Recycling Law.
18. FENAREP persuades candidates for the Mayor of Lima to take positions on the *problemática* of the recyclers.
In conclusion
Additional lessons learned

- Need to deepen understanding of what constitutes the systems in which ECOSAD engages, especially social systems versus non-living (chemical, physical) systems.
- Differentiate between all changes in the social actors and those that are most useful for ECOSAD to understand.
- For ECOSAD’s uses, it is sufficient to formulate one sentence outcomes – Who changed what, when and where.
- Monitoring should be every 2-3 months and essentially participatory.
- One team member should be responsible for facilitating the M&E process as a developmental evaluator.
- Need to be realistic about investment of time, human and financial resources required.
Thank you!

Ricardo.Wilson-Grau@inter.nl.net
Revisiting the boundaries

In the light of the outcomes, ECOSAD team asks itself have we set the right boundaries?

➢ What influences how we understand the systems and how they behave?

➢ Who or what is being excluded or marginalized, a "victim" of how we understand the systems and how they work?

➢ What are the consequences of the decisions we made about the boundaries of the systems?