



## Step-by-step guide to the Impact Evaluation Methodology



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## INTRODUCTION

The purpose of the Impact Evaluation Methodology (IEM) is to provide cities with a structured approach to evaluate the impact of peer reviews and their outcomes on city resilience and disaster risk reduction (DRR). The IEM is an integrated component of the peer review tool and is embedded in the three phases of the peer review process i.e planning the peer review, undertaking the peer review, and after the peer review.

This step-by-step guide provides a user's manual to apply the four stages of the IEM which are completed in steps 6, 10, and 13 of the peer review process (see the full peer review process in Appendix A). This guide also introduces the self-assessment tools needed to implement the IEM (see Appendices B, C, D and E).

The IEM should be conducted by the Host and by the Reviewer before, during and after the peer review to:

- agree a clear understanding of the desired impact of the peer review on city resilience and DRR strategies.
- determine benchmarks for desired and achieved impact of the peer review.
- identify good practice and the potential of that to be transferred for greater impact.
- seek views on the peer review process.
- gain feedback after the peer review to support city resilience and DRR strategies.

### 2. The process of implementing IEM

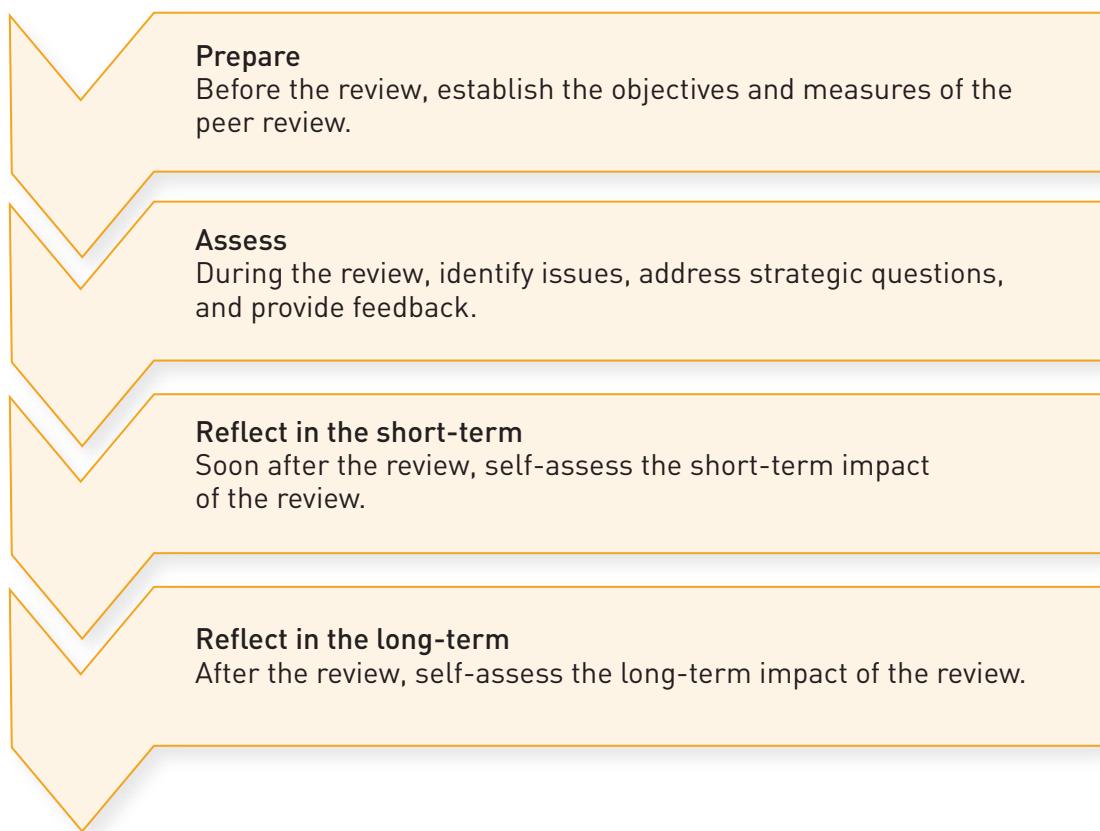
The IEM involves 4 stages that should be conducted by the Host and the Reviewer:

1. Stage 1 - Prepare: Conducted before the review.
2. Stage 2 - Assess: Conducted during the review.
3. Stage 3 - Reflect: Conducted shortly after the review.
4. Stage 4 - Reflect: Conducted in the year(s) after the review.

A summary of the aims of the four IEM stages are provided in Figure 1.



## FIGURE 1: THE PROCESS OF IMPLEMENTING THE IEM



These stages provide an audit trail for the city to track the progress of the peer review. During all stages, it is important for the Host and the Reviewer to decide timescales to plan and implement the IEM. The following subsections guide the user in undertaking each stage of the IEM.

### 2.1. Stage 1: Before the review

Stage 1 addresses the desired benefits for the peer review for the Host and the Reviewer. It is a self-assessment process which should be conducted by the Host and the Reviewer in the weeks or months before the start of the peer review (see Appendices B and C). For the Host, the goal of Stage 1 is to establish the benefits, objectives and measures for their peer review. For the Reviewer, the goal of Stage 1 is to establish the benefits and impacts they seek for

their city. The self-assessments should be undertaken with relevant stakeholders to present an appropriate and consolidated vision for the peer review.

Completing Stage 1 involves the following activities:

1. Complete Stage 1 self-assessment form by selecting/ticking the relevant boxes (Appendix B).
2. Provide a brief justification for the selections made.
3. Identify actions to take as a result of the Stage 1 self-assessment.
4. Assign responsibilities for these actions.
5. Consider the timeframe for undertaking these actions.

## FIGURE 2: THE PROCESS OF CONDUCTING STAGE 1 OF THE IEM



The Host and the Reviewer should independently answer questions in the Stage 1 self-assessment form and may wish to share and discuss their answers. For the first six questions of the self-assessment form, the Host and the Reviewer should:

1. Describe the benefit: Describe the desired measurable improvements resulting from the peer review.
2. Identify the benefit owner: Identify the stakeholders who may be impacted by the benefits sought from the peer review.
3. Define the objectives that support the benefit: Define how the benefit will be obtained as a result of the peer review.
4. Identify a direct or proxy measure of the benefit: Identify how the benefit is currently measured in the city and if this measure is appropriate for the peer review.
5. Identify a current value for each measure before the peer review, where appropriate: If a measure exists, identify how it is used to create a baseline evaluation before the peer review.
6. Identify the target improvement in the value as a result of the peer review, where appropriate: Identify what changes you aim to see as a result of the peer review and how to monitor the changes during and after the peer review to measure the impact.

Next, the Host and the Reviewer should agree (with their stakeholders) the desired impact of the peer review. Impact is measured using a management systems perspective to evaluate all the areas that are needed for a city to perform effectively on DRR and resilience building strategies. These systems are represented by the following five core categories:

1. Strategy, vision, and leadership (e.g. developing the culture and strategies for DRR).
2. Intelligence (e.g. analysing external and internal information, building strategic collaborations, and exploring the environment).
3. Management of systems, processes and planning, including audit (e.g. sustainable resource management, performance measurement, and learning from itself and others).
4. Coordination and communication of operations (e.g. coordinating resources and partners, and sharing information effectively internally and externally).
5. Delivery of operations (e.g. managing effective and efficient on-site delivery, and adapting to external feedback).

An example of a completed Stage 1 self-assessment form can be found in Appendix C.

The Host and the Reviewer may wish to share and discuss their experiences of their self-assessment with each other to:

1. Ensure that their expectations are understood (Stage 1, before the peer review).
2. Identify the benefits owners (Stage 1, before the peer review).
3. Assess whether the benefits of the peer review have been realised (Stages 3 and 4, after the peer review).
4. Help the Reviewer to understand how their knowledge and DRR practices can benefit the peer review, and how they will benefit from it.
5. Inform the design of the peer review.

These conversations should begin in the weeks or months before the peer review to ensure a consistent and agreed understanding of expectations on impact and value. Once the actions resulting from these priorities have been implemented, the self-assessment form can be used to assess progress and identify new priorities in Stages 2, 3, and 4.

## 2.2. Stage 2: During the review

The Host and the Reviewer should conduct Stage 2 during the peer review and should allocate sufficient time in the agenda for this activity. Figure 3 summarises the process of conducting Stage 2 which involves conversations between the Host and the Reviewer to:

1. Provide feedback to the Host.
2. Clarify any issues for the Host.
3. Identify and record new issues to be explored during the peer review.

These conversations may be held during wrap-up meetings at the end of each day of the peer review as well as on the last day.

The Host and the Reviewer may also wish to consider whether they conduct focus groups or one-to-one conversations with key stakeholders to discuss the progress of the peer review in meeting the objectives and expected benefits from impact.



## FIGURE 3: THE PROCESS OF CONDUCTING STAGE 2 OF THE IEM



The IEM questions to be addressed during Stage 2 include:

1. How is the peer review influencing your thinking on:
  - a. Strategy, vision and leadership.
  - b. Intelligence.
  - c. Management of systems, processes and planning, including audit.
  - d. Coordination and communication of operations.
  - e. Delivery of operations.
2. What impacts and benefits are expected from initial recommendations regarding:
  - a. Strategy, vision and leadership.
  - b. Intelligence.
  - c. Management of systems, processes and planning, including audit.
  - d. Coordination and communication of operations.
  - e. Delivery of operations.
3. How could the peer review be adapted to have more impact on the Host?

Conducting Stage 2 of the IEM allows for recent and relevant information to be used to adjust the peer review for maximum impact. It also helps the Host and the Reviewer to quickly organise and analyse information gathered during the peer review to ensure maximum impact for the city.



### 2.3. Stage 3: In the months after the review

Stage 3 is conducted in the weeks and months following the peer review. The aim of this stage is to evaluate and consider the short-term impacts of the review. As such, it provides an audit trail of timely information regarding the initial impact of the peer review.

The self-assessment in Stage 3 should be led by the Host and the Reviewer in their own cities and should include their stakeholders. A city consensus should be reached about the impact of the peer review and any future actions to be taken. Cities should consider that it may be useful for the Reviewer to provide the Host with the peer review feedback report to support them in completing this stage of the self-assessment.

Whilst the peer review is driven by the objectives of the Host, and the role of the Reviewer is to conduct an evaluation based on the choices made by the Host, conducting the self-assessment is still an important task for both cities to analyse the benefits and impacts of peer reviews and to evaluate city progress on resilience and DRR.

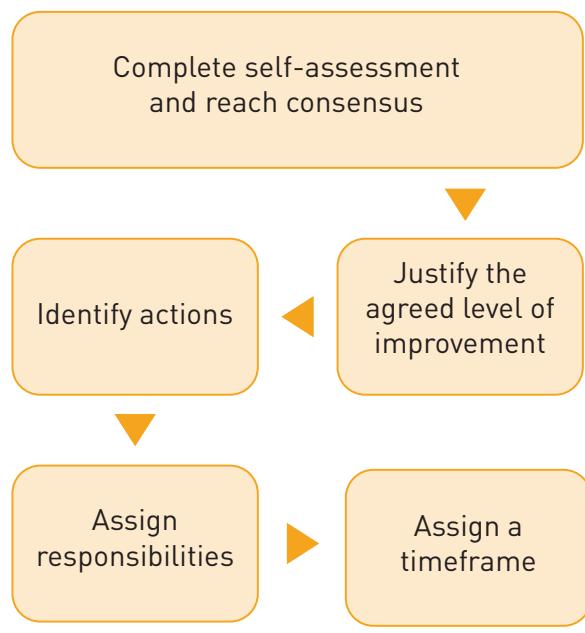
For Stage 3, the Host and the Reviewer can consider the level of impact they have made to track their development. These levels of impact include:

- We have made no meaningful progress.
- We are approaching a satisfactory level of impact.
- We have delivered a satisfactory level of impact.
- We have exceeded a satisfactory level of impact but have more to achieve.
- We have achieved all the impact we want.

The process of conducting Stage 3 involves the following (Figure 4):

1. Complete the self-assessment form for Stage 3 in the months after the peer review by agreeing the level of impact achieved amongst stakeholders.
2. Provide a brief justification for why the level of impact achieved has been identified (in the Stage 3 self-assessment form).
3. Identify actions to take as a result of the peer review. The Host and the Reviewer may also wish to refer to the answers given in the Stage 1 self-assessment form.
4. Select who would be responsible for any future actions to be taken.
5. Assign a timeframe in which these actions should be taken.

**Figure 4: The process of conducting Stage 3 of the IEM**



For the first two questions in the Stage 3 self-assessment form (Appendix D), the Host and the Reviewer should consider the extent to which the expected benefits and objectives identified in Stage 1 of the self-assessment have been achieved.

After this, the Host and the Reviewer should highlight key learning points and the Reviewer recommendations identified from the peer review, to improve the next peer review they participate in.

Next, for each learning point and Reviewer recommendation, the Host and the Reviewer should consider to what extent these have had impact on the following five core categories:

1. Strategy, vision and leadership (e.g. developing the culture and strategies for DRR).
2. Intelligence (e.g. analysing external and internal information, building strategic collaborations, and exploring the environment).
3. Management of systems, processes and planning, including audit (e.g. sustainable resource management, performance measurement, and learning from itself and others).
4. Coordination and communication of operations (e.g. coordinating resources and partners, and sharing information effectively internally and externally).
5. Delivery of operations (e.g. managing effective and efficient on-site delivery, and adapting to external feedback).

An example of a completed Stage 3 self-assessment form can be found in Appendix E. Note that the self-assessments for Stages 3 and 4 use the same template in Appendix D but, for the purposes of demonstration, Appendix E has been completed as though it were a few months after the peer review.

## 2.4. Stage 4: Year(s) after the review

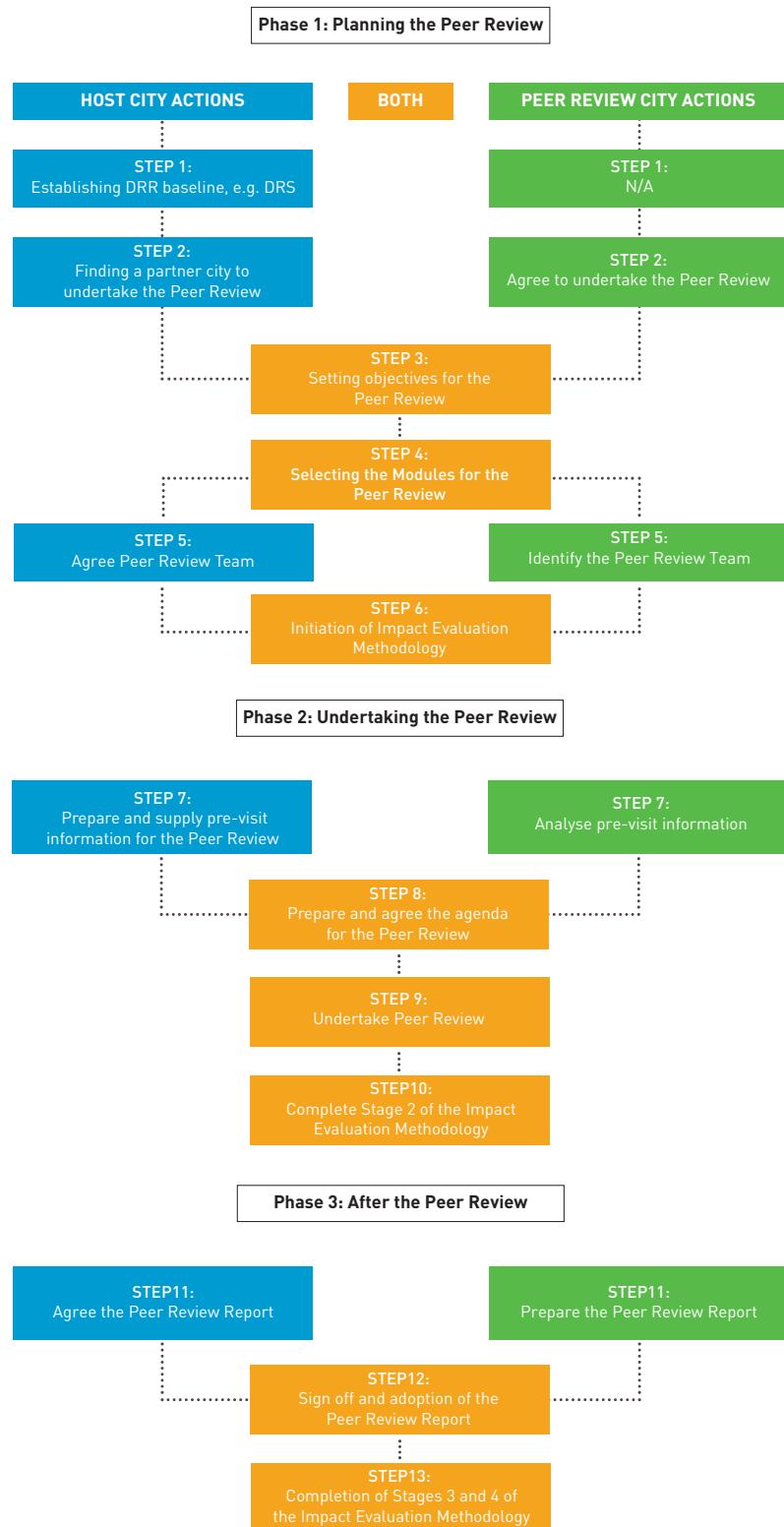
Stage 4 of the IEM is conducted in the year(s) after the peer review. The aim of this Stage is to evaluate and consider the long-term impact of the review. The process of conducting Stage 4 is identical to that of Stage 3 and also uses the same self-assessment form in Appendix D. To conduct Stage 4, please follow the instructions in Section 2.4, as demonstrated in Figure 4.

## 3. Summary

This document guides the user on conducting the impact evaluation methodology (IEM). It details the steps involved, defines responsibilities, and provides the needed forms. It is advisable to follow the guides in this manual to obtain the most value from the IEM. It is possible to adjust the process to fit the users' context should that be necessary. Any adjustment should not change the core process of implementing the IEM.



## APPENDIX A: THE PEER REVIEW PROCESS



## APPENDIX B: SELF-ASSESSMENT FORM FOR STAGE 1

Stage 1 Before the review.	Yes	No	Justification for assessment. Provide details of current progress, what more should be done (by who and when)
<b>For each expected benefit, have you:</b>			
1. Described the benefit.			
2. Identified the benefit owner.			
3. Defined the objectives that support the benefit.			
4. Identified a direct or proxy measure of the benefit.			
5. Identified a current value for each measure before the peer review, where appropriate.			
6. Identified the target change in the value as a result of the peer review, where appropriate.			
<b>For each expected benefit, have you agreed the desired impact on:</b>			
1. Strategy, vision and leadership (e.g. developing the culture and strategies for DRR)			
2. Intelligence (e.g. analysing external and internal information, building strategic collaborations, and exploring the environment)			
3. Management of systems, processes and planning, including audit (e.g. sustainable resource management, performance measurement, and learning from itself and others)			
4. Coordination and communication of operations (e.g. coordinating resources and partners, and sharing information effectively internally and externally)			
5. Delivery of operations (e.g. managing effective and efficient on-site delivery, and adapting to external feedback)			

## APPENDIX C: EXAMPLE OF A COMPLETED SELF-ASSESSMENT FORM FOR STAGE 1

<b>Stage 1 Before the review.</b>	<b>Yes</b>	<b>No</b>	<b>Justification for assessment. Provide details of current progress, what more should be done (by who and when)</b>
<b>For each expected benefit, have you:</b>			
1. Described the benefit.	X		Identified the need to improve the city's emergency response plan.  We expect positive benefits to be felt by all citizens, especially vulnerable communities as they are most at risk.
2. Identified the benefit owner.	X		
3. Defined the objectives that support the benefit.	X		Identified relevant stakeholders to help develop our objectives and inform our aims to improve the city's emergency response plan [government, research centres, civil protection and emergency services]. (1 month).
4. Identified a direct or proxy measure of the benefit.	X		Reduced forecasted mortality rates as a proxy measure of resilience.
5. Identified a current value for each measure before the peer review, where appropriate.	X		We have yet to agree on the values we will use for mortality forecasting [research centres. 3 months].
6. Identified the target change in the value as a result of the peer review, where appropriate.	X		We expect forecasted mortality rates to fall but need to address the values used to measure this [government, research centres, civil protection and emergency services. 4 months].
<b>For each expected benefit, have you agreed the desired impact on:</b>			
1. Strategy, vision and leadership (e.g. developing the culture and strategies for DRR)	X		The desired impact on strategy is to develop and increase awareness and investment for the city's emergency response plan and to promote resilience strategies to protect citizens.
2. Intelligence (e.g. analysing external and internal information, building strategic collaborations, and exploring the environment)	X		We are working to develop collaborations with research institutions, communities and municipal bodies to share information on actual and perceived risk to inform the development of the emergency response plan.

## APPENDIX C: EXAMPLE OF A COMPLETED SELF-ASSESSMENT FORM FOR STAGE 1

For each expected benefit, have you agreed the desired impact on:			
3. Management of systems, processes and planning, including audit (e.g. sustainable resource management, performance measurement, and learning from itself and others)	X		A well-established emergency response plan in place with scope for testing and learning.
4. Coordination and communication of operations (e.g. coordinating resources and partners, and sharing information effectively internally and externally)	X		Improve, coordinate and decentralise responses with clearly defined roles, responsibilities and financial resources as a result of the emergency response plan.
5. Delivery of operations (e.g. managing effective and efficient on-site delivery, and adapting to external feedback)	X		We have yet to determine how the city's emergency response plan will be operationalised. This includes what internal and external resources are available after an incident, and how information will be effectively communicated amongst responders and to the public.

## APPENDIX D: SELF-ASSESSMENT FORM FOR STAGES 3 AND 4

Stage 3/4 Impact evaluation of peer review actions in the weeks/ months/year(s) after the peer review	To what extent have your expected benefits and objectives from the peer review been achieved?	What were your main learning points from the review?	What would you do differently next time you participate in a peer review?	For each learning point and each reviewer recommendation, to what extent has it had impact on you:				
				Justification for assessment, including examples	What more should be done (by who and when)			
We have made no meaningful progress								
We are approaching a satisfactory level of impact								
We have exceeded a satisfactory level of impact but have more to achieve								
We have achieved all the impact we want.								
What more should be done (by who and when)								

## APPENDIX E: EXAMPLE OF A COMPLETED SELF-ASSESSMENT FORM FOR STAGES 3 AND 4

The following is completed using answers to Stage 3.

<b>Stage 3/4</b> <b>Impact evaluation of peer review actions in the weeks/ months/ year(s) after the peer review</b>	<b>Justification for assessment, including examples</b>  <b>We have achieved all the impact we want.</b>  <b>We exceed a satisfactory level of impact but have more to achieve</b>  <b>We deliver a satisfactory level of impact</b>  <b>We are approaching a satisfactory level of impact</b>  <b>We have made no meaningful progress</b>	<b>What more should be done (by who and when)</b>  We need more resources and involvement at the national and regional level to support longevity of DRR and resilience efforts (civil protection, city administration, national and regional government. 2021).	<b>What were your main learning points from the review?</b> <ul style="list-style-type: none"> <li>A good relationship with the administrative structure should be developed to support resource allocation.</li> <li>Existing collaborations with external stakeholders should be improved through a permanent common platform with relevant stakeholders.</li> <li>The city's emergency response plan should be developed so it is practical and efficient, and with clearly defined roles and responsibilities.</li> </ul> <b>What would you do differently next time you participate in a peer review?</b> <ul style="list-style-type: none"> <li>Better organise the stakeholder interviews to ensure more time with them, and ensure that the most relevant participants are selected.</li> <li>Allocate more human and financial resources for the review.</li> <li>Synthesise relevant information more efficiently before sending it to the Reviewers.</li> </ul>
To what extent have your expected benefits and objectives from the peer review been achieved?	X		

## APPENDIX E: EXAMPLE OF A COMPLETED SELF-ASSESSMENT FORM FOR STAGES 3 AND 4

For each learning point and each reviewer recommendation, to what extent has it had impact on your:			
1. Strategy, vision and leadership (e.g. developing the culture and strategies for DRR)	X	We have been successfully involving the most vulnerable stakeholders to improve DRR culture. Improvements could be made in terms of national and regional support.	We need to develop a permanent common platform with relevant stakeholders (led by the city administration and civil protection, 2019).
2. Intelligence (e.g. analysing external and internal information, building strategic collaborations, and exploring the environment)	X	Stronger collaboration on intelligence sharing has ensured the plan is future proof for foreseeable risks and within some changes in population.	We need to continue analysing partner reports and changes in risks, demography and city characteristics to ensure currency of plan. (Emergency services civil protection, local stakeholders, 2021).
3. Management of systems, processes and planning, including audit (e.g. sustainable resource management, performance measurement, and learning from itself and others)	X	We have worked collaboratively with stakeholders to test the plan. Testing the city's emergency response plan has provided vital feedback on usefulness and usability.	We should increase mapping of critical infrastructure and interlinking risks, which would help ensure all risks are accounted for and updated (civil protection, private infrastructure, 2020).
4. Coordination and communication of operations (e.g. coordinating resources and partners, sharing information effectively internally and externally)	X	We have effectively exchanged information with partners and developed the emergency response plan accordingly. Several views were considered from key sectors to support the developments of the plan.	The plan should be regularly tested and updated to monitor emerging risks and to ensure that the plan is fit for purpose (civil protection, city administration, emergency services, 2021).
5. Delivery of operations (e.g. managing effective and efficient on-site delivery, and adapting to external feedback)	X	The emergency response plan benefited from further consideration of private sector and NGO involvement in operations.	Future work should build relationships to benefit from lessons learnt in disasters, and to draw on capacity and capability (Civil protection, city administration, emergency services, NGOs, private sectors, 2019).



## NOTES:

