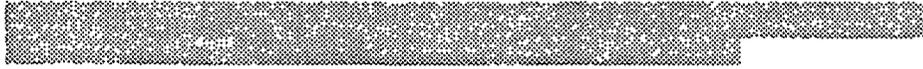


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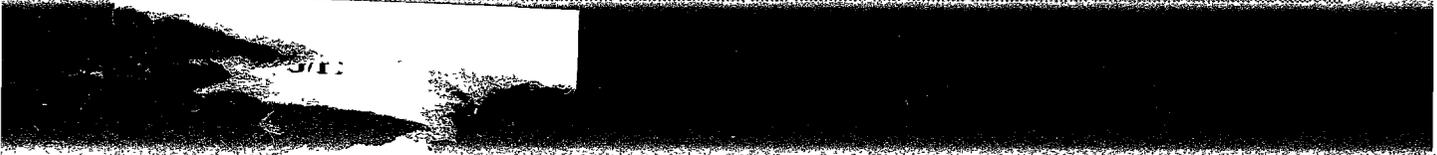



GUIDELINES

***FOR EVALUATION OF
G/PHN/POP PROJECTS***

February, 1995

Agency for International Development
Center for Population, Health & Nutrition
Office of Population
Evaluation Process Improvement Committee

INTRODUCTION

Evaluation is, and should be, a key management tool for the Center for Population, Health & Nutrition. It can provide important information about the cost-effectiveness and efficiency of population, health and nutrition projects, allowing the Center and its Offices to maximize the impact of its resources. To be consistent with the results-oriented stance of the Agency, the evaluation process should be strengthened in the PHN Center and its respective Offices. Two possible avenues are to (1) incorporate this function more fully into Office and project performance and (2) apply performance indicators to projects.

Origin of the Guidelines. In 1988, the Office of Population formed an Ad Hoc Working Group on Evaluation to improve the quality and usefulness of its project evaluations. This group met on a regular basis to provide assistance to those planning or participating in S&T/POP evaluations. Given the wide range of issues that must be taken into consideration during evaluation planning, field work, report writing, briefings and follow-up, the group decided that brief guidelines would be of assistance to Office of Population staff. The guidelines that were developed identified the key steps in the evaluation process and relevant decision-points of which project managers needed to be aware.

In 1994 the Evaluation Working Group changed its name to the Evaluation Process Improvement Committee (EPIC). The group's objective continues to be the improvement of the process of evaluation for Office of Population projects. The decision was made by this group to revise the evaluation guidelines and to combine them in one document with the management review guidelines that were developed by the Office in 1992; the result would be a single document (i.e., the one presented here) that would address the evaluation process in the Office of Population.¹

This document describes a standard set of procedures for conducting two different types of project (i.e., contracts and grants) evaluations. The first--the Management Review--is a type of process evaluation. It is designed to inform G/PHN/POP how well a project is functioning and achieving its expected outputs on an annual basis. The second--the External Evaluation--can be either a process or an outcome evaluation, depending on its purpose. It is different from the management review in that it uses evaluators who are external to the project and typically is focused on the extent of progress toward meeting end-of-project status (program outcomes of results packages). Each project Cognizant Technical Officer or Technical Advisor should become thoroughly familiar with these procedures in

¹ These guidelines will be reviewed and revised periodically by the EPIC.

order to be able to apply them to the project management process in a timely manner.

G/PHN/POP Evaluation Process. As part of the Center for Population, Health & Nutrition, G/PHN/POP evaluation policy supports an objective, rigorous and balanced evaluation process to guide management decision-making and to improve project design and implementation. At the same time, G/PHN/POP is concerned with making sure that evaluations are cost-effective. G/PHN/POP expects the following:

- normally no more than one external evaluation per 5-year project, generally conducted in year 4;
- greater emphasis on doing annual Management Reviews (except in the year of the external evaluation);
- incorporation into new projects improved systems for collecting indicator data on a regular basis;
- greater emphasis on the outcomes or results achieved by the projects as well as on how well the project is able to coordinate and collaborate within the PHN Center; and
- occasional special-issue or sectoral-level evaluations focusing on broad issues of concern that cut across a number of projects.

The Office of Population will continue to search for creative, cost-effective alternatives for executing external evaluations.

Evaluation Timelines

Type of Evaluation	Timing
Management Review	Conducted annually, around the anniversary date of project award, except in year external evaluation undertaken.
External Evaluation	Typically done in Year 4 of project.
	Planning begins 6-12 months prior to time evaluation is expected to take place.
	Scope of Work should be completed and sent to the EPIC 6 months prior to the evaluation.
	A period of 4-6 months planning time is needed between the time approval of the Office Director is obtained and the evaluation begins.

***GUIDELINES FOR
CONDUCTING A
MANAGEMENT REVIEW***

Version: December 28, 1992; modified February 28, 1995

This section of the document details the basics and procedures for conducting management reviews--preparatory steps, implementation, and guiding questions. It also provides a suggested outline for the management review document.

The Basics

- WHO?** The G/PHN/POP CTO² is the primary person responsible for conducting the management review; the management review is an internal process and is not to be contracted to an external person or group. If the project is co-managed, both people may want to participate in the management review. The CTO should meet with the Project Director and other staff as appropriate, including subcontract staff.
- WHAT?** The purpose of a management review is to provide an overall assessment of the contractor/grantee's performance under its agreement with G/PHN/POP. The focus can be on process or product or both, but particular emphasis should be given to how the Cooperating Agency's (CA's) activities relate to its annual workplan. The review considers progress-to-date, problems encountered, issues requiring particular attention over the next assessment period, and items requiring contract modification. The management review is also an opportunity for the CA staff to comment on the quality of the relationship with G/PHN/POP from their perspective.
- WHERE?** The management review can be done as a desk review; however, it is recommended that the review be conducted at the home offices of the contractor/grantee and their subcontractors. Doing the management review on site facilitates meeting with project staff and provides an opportunity to see how the project office is operating.
- WHY?** The management review is important because it provides an opportunity to examine problems that hamper implementation, limit potential, or reduce efficiency and to make any modifications that may be needed to improve project performance mid-stream.
- WHEN?** Management reviews are typically conducted annually, around the anniversary of project award, except in the year when the external evaluation is undertaken.
- LENGTH?** 10-20 pages is typical. The report should be long enough to cover the important issues yet short enough not to be overly burdensome and should be one that both the CTO and the CA can use as a management reference over the subsequent reporting period.

² Throughout this document, the abbreviation "CTO" (Cognizant Technical Officer) also includes Technical Advisors.

DISTRIBUTE? The review document should be shared in draft form with the Project Director (who can circulate it to project staff). The CTO should incorporate any relevant comments and then distribute the review in final to the Office of Population Front Office, Division Chiefs and perhaps on a selected basis, to field missions. In addition, it should be circulated in the CTO's own Division and transmitted formally to the Project Director.

Preparatory Steps for CTOs:

1. Read the PP and contract, grant, or cooperative agreement and the current workplan.
2. Review previous management reviews, particularly sections on problems and potential problems.
3. Review other project documents (e.g., trip reports, quarterly and semi-annual reports) for information on project accomplishments and financial status.
4. Prepare a list of questions that the project should be prepared to answer for the management review and share this with the Project Director approximately two weeks in advance of the review. Inform the CA whether or not written responses to the questions should be prepared. In addition, advise the CA on what materials should be available at the time of the site visit and provide a list of issues to be discussed.
5. In collaboration with the Project Director, plan an agenda for the site visit.

Conducting the review:

1. Meet with the Project Director, and other project staff (i.e., support as well as technical) as necessary, to discuss project status and management. If the project involves subcontractors, talk with their staff as well. Take advantage of the management review as an opportunity to meet, perhaps privately, with project staff with whom you normally have limited contact.
2. Contact field missions for their input. Particularly in countries where the project has had substantial involvement, the missions should be contacted by e-mail to request their feedback on the project's performance.
3. Set and meet the deadline for completing and distributing the review.
4. Follow up on the actions (e.g., contract revisions, etc.) recommended in the review.

5. Use the review as a tool for project monitoring over the next review period.
6. In cases where there are special management concerns, an external management assessment might be initiated.

Guiding Questions:

The following are examples of questions that might be addressed during a management review. *Specific questions should be tailored to the project being reviewed.* The management review should focus on the immediate issues at hand in the daily implementation of the project. An attempt should be made to develop questions that focus on process, outputs, and outcomes of the project. In certain instances, the primary focus of the management review might be on project outcome. The project contract and project workplan are documents that will be particularly helpful in formulating questions for the management review. It probably will be useful to request financial and LOE analyses during the management review process.

Project Implementation

- Are the workplans realistic? Are activities consistent with the workplan? Are there any shortfalls or delays in project implementation? If so, why?
- Is the CA responsive to the needs of field Missions? Does the CA appropriately implement field support agreements?
- Is the CA responsive to the needs of G/PHN/POP?
- What efforts is the project making to collaborate with other CAs? Are project staff aware/knowledgeable of what other CAs are doing in the countries where the project is active? How can collaboration and coordination be improved (e.g., joint strategic planning, joint programs)?

Output

- What progress has the project made toward achieving project outputs (i.e., deliverables)?
- Does the project have an internal evaluation plan? Does the plan include indicators and data sources at the input, process, output, and outcome levels? Are data being collected? How are the data being used?
- Is the CA demonstrating the expected ability to provide TA/training?

Outcome

- What progress has the project made toward accomplishing the project purpose (i.e., impact) and expected end-of-project status?
- Is the underlying rationale for the project still relevant and valid? If not, can changes be made, and if so, how?
- Is project implementation consistent with the Joint Country Programming Strategy? What mechanisms are in place to monitor agreement with the Strategy?
- What is the project doing to take into account cross-cutting program issues (e.g., reproductive health, maximizing access and quality of care, gender, adolescents)? Are there ways that increased attention can be given to these issues despite constraints that might exist under the current agreement?

Process

Project Organizational Structure

- Is the project organizational structure efficient? How have recent changes hindered or benefitted the project?
- Is there adequate collaboration among the different sectors where the project is institutionally located (e.g., between departments in a university)?

Project Management

- What aspects of the project should be particularly closely monitored over the next few months/year?
- What contract modifications, if any, are required in order for the CA to act on your recommendations?
- Are there changes that can be made in the way the project is managed that will improve project performance (e.g., communications between prime and sub, interaction between project staff or between project staff and G/PHN/POP staff)?
- Are reporting requirements being met? Are the reporting documents informative? Are reports submitted in a timely fashion?

Financial Management

- Are project funds being spent in a prudent and efficient fashion?
- Are project expenditures being tracked and projected by line item and by country? If not, why not?
- Is financial reporting adequate and submitted on time?

Level of Effort (LOE) Management

- Is LOE for the project being tracked and projected relative to total project LOE? How well does the LOE track with financial expenditures?

Illustrative Outline for Management Review

The following is an illustrative outline for the written report of the management review. Modifications can be made as necessary. Typically, management review reports are 10-20 pages in length but in some cases may need to be longer for thorough presentation of the findings and issues.

- I. Executive Summary
- II. Background
 - A. Nature of project (awareness-raising, data collection, CBD, training, procurement, research, etc.)
 - B. Award date
 - C. CA and subcontractor(s)
 - D. Total budget
- III. Project Description (can come directly from the contract)
 - A. Project Purpose and expected End of Project Status (EOPS)
 - B. Required Outputs
 - C. Fit with the PHN Strategy
- IV. Issues Raised in Last Review (if this is not the first one)
 - A. If resolved, explain how
 - B. If not resolved, progress toward resolution
- V. Project Accomplishments to Date (Is the project on track?)
 - A. Brief descriptions of progress on each of the components (compare to contract requirements and including discussion of timeliness, reasons for delay, etc.)
 - B. Notable successes/failures
 - C. Collaboration with other CAs & other donors
 - D. Attention to cross-cutting program issues (reproductive health, maximizing access and quality of care, gender)
 - E. Evaluation activities

VI. Project Organization and Management

A. Organizational structure

1. Prime/sub
2. Strengths/weaknesses
3. Staffing and skill mix

B. Management

1. Chain of command & decision-making process
2. Allocation of labor resources
3. Communication (e.g., within project, with G/PHN/POP, with missions)
4. Timeliness and quality of reporting

VII. Financial and LOE Analysis

A. Total budget

1. Analysis of sources of funding, including field support funds
2. Obligations to date compared to expected (table)
3. Expenditures to date compared to obligations
4. Share of budget going to Joint Program/Planning Countries

B. Line item analysis

1. Actual versus expected
2. Explanation of discrepancies

VIII. Issues and Recommendations

A. Problems

1. Causes
2. Recommended actions

B. Potential problems

C. Suggested contract/cooperative agreement amendments

D. Future directions (e.g., need for evaluation, redesign, new award, etc.)

ADDENDUM

CA Response to Management Review Report

***GUIDELINES FOR
EXTERNAL EVALUATION
OF POPULATION PROJECTS***

Version: November 7, 1989; modified February 28, 1995

This section of the document details the basics and procedures for conducting external evaluations--preparatory steps, implementation, and guiding questions. It also provides a suggested outline for an evaluation scope of work and a sample scope of work, guidelines for debriefings and for report preparation, and the Agency's evaluation summary forms.

GUIDELINES FOR CONDUCTING AN EXTERNAL EVALUATION

1. Deciding How to Conduct an External Evaluation

Because evaluation resources are scarce, they must be used wisely. An evaluation should be seen as an opportunity to address specific needs for information about project achievements. An evaluation should always be asking, "Is the project doing what it is designed to do and is it making a difference?" In addition, the evaluation should contribute to management decision-making. The scale of the evaluation to some extent will be determined by whether or not the project implementation is proceeding on track and whether or not there will be a follow-on or similar project. In deciding how to evaluate, project managers should consider:

- What does the Office (Center) need to know? For what Office or Center decisions might this evaluation provide valuable information or insights? What are the key issues to be addressed and for what purpose will the evaluation information be used? Are the questions such that a management review would be more appropriate than an external evaluation?
- What is an appropriate level of effort? A higher level of effort probably is called for if there are project design issues that need to be assessed for the purpose of future programming and if these issues are complex and their assessment requires a variety of types of expertise and/or international travel. The level of effort of the evaluation should be appropriate to the magnitude and complexity of the issues being addressed. Evaluation teams generally have two to three members although they may have as few as one and as many as five members. In general, the team should not exceed four members. The decision on the size of the team should be based on what would be adequate for executing the scope of work for the evaluation.
- Could this evaluation be combined with evaluation of another similar project in the Office? An evaluation comparing two or more FP services or training projects, for example, might be more cost-effective and more useful for future decision-making than a series of separate evaluations. In some cases, evaluations might be done within or across sectors.
- What will the CTO's role be? Generally, the CTO should play a leading role in planning the evaluation and developing the evaluation scope of work. The CTO may suggest individuals whose skills would match the evaluation scope of work but does not make the final selection of the team. The CTO should be available as a resource person but should not accompany the team during site visits and interviews. The CTO may not serve as an official member of the evaluation team.

When the evaluation draft report is submitted³, the CTO reads and reviews it, meets with the evaluators to discuss the evaluation findings and to correct any factual errors in the report, sets up debriefing meetings with G/PHN/POP staff and with the staff of the project being evaluated (details below), and plans follow-up actions.

- What is the role of POPTECH? The POPTECH project provides a mechanism for funding and managing G/PHN/POP evaluations. Evaluation teams generally are selected by POPTECH in consultation with (and with final approval from) G/PHN/POP. POPTECH is responsible for recommending candidates and contacting them to ascertain their availability, making logistical arrangements including obtaining travel concurrence from missions, providing orientation and general support of the team, and producing and distributing the evaluation report prepared by the team. It is the responsibility of POPTECH to ensure that the team's report adheres to the format specified in the scope of work and meets the highest professional, editorial and technical standards. POPTECH staff participate in the EPIC (1-2 persons) and may also serve on an evaluation team.

2. Preparing the Scope of Work (SOW) for an Evaluation

In planning the time line for an evaluation, the CTO should keep in mind future activities that are dependent on the completion of the evaluation. The planning for the evaluation should begin 6-12 months prior to the time the evaluation is expected to take place and should begin with identifying major issues to be addressed and types of team members desired. The SOW should be completed 6 months prior to the evaluation. A period of approximately 4-6 months is needed between the time approval of the Office Director is obtained and the evaluation begins; the sooner the approval process is completed, the greater the likelihood of POPTECH being able to recruit a well-qualified team.

The evaluation SOW should clearly identify the purpose of the evaluation and the specific questions that USAID managers want answered during the evaluation. A suggested format for G/PHN/POP evaluation SOW is attached to these guidelines in Appendix A; a sample SOW is included in Appendix B. Before preparing a workscope, CTOs are expected to meet with the Chairperson of the EPIC to discuss the development of the SOW. The first draft of the SOW should be submitted to the EPIC Chairperson, who will suggest any necessary revisions. Once revisions are made, the SOW will be submitted to the full EPIC for review at a meeting that will be scheduled by the Chairperson. At the review meeting, EPIC will offer recommendations for fine-tuning the SOW. Only if major revisions are

³ At the time of the debriefing, the draft report typically is preliminary and is focused primarily on the recommendations that will be made at the debriefing.

necessary will the SOW need to be re-reviewed; this review would be done by a subcommittee of the EPIC members.

The final workscope as well as the team composition must be cleared by the Chief of the Division where the project is located and the POPTECH CTO and approved by the Office Director or designee. It is up to the discretion of the CTO as to whether or not to let the cooperating agency (CA) being evaluated see the SOW before it has been approved. The CA should be informed of the team composition and be given the opportunity to object in cases where there might be a conflict of interest between any of the team members and the CA.

In preparing an evaluation scope of work, project managers should ask:

- What are G/PHN/POP's priority questions about this project? What are the issues that need to be assessed to inform future decisions regarding this project and future G/PHN/POP projects? Priority questions may relate to the appropriateness of the project design, achievement of project purpose, project management, measurable impact or potential for impact, and future need and focus of any subsequent project. It is important to seek input from EPIC in defining priority questions. If possible, the workscope should be organized around the priority questions. At the very least, priority questions should be identified clearly in the scope of work (and emphasized in the team briefing), to ensure that the team allocates its time appropriately.
- What empirical evidence will the evaluators be expected to consider in answering the priority questions in the workscope? Is a full field assessment called for, or can the information required be provided through simple, less costly means such as a desk study (i.e., of available data and project documentation) in combination with telephone interviews?

For each priority question it is generally useful to develop sub-questions that suggest specific issues that the evaluators would be expected to consider. For example:

Priority question: To what extent has the project accomplished the purpose as set forth in the project design?

Sub-questions:

1. How do the activities completed by the project compare with what is required in the contract? If there are discrepancies, what accounts for them?
2. How responsive has the project been to various stakeholders?
3. How technically competent are the project staff?

In some cases, empirical data or evidence necessary to address questions may not be available. The evaluators can be asked to assess this and make recommendations for collection of essential data to be required in similar projects in the future.

- Are there Office/Center-wide programmatic issues that can be addressed through this evaluation? To make the evaluation of a specific project as relevant as possible to broader office concerns, it is useful for the CTO to meet with EPIC to discuss their concerns and to find out whether they have any specific questions related to how the project to be evaluated fits into the G/PHN/POP portfolio, and how any follow-on project might be better designed relative to the overall Office program. Evaluations typically are expected to provide "forward looking" recommendations; this expectation should be clearly stated in the scope of work.
- What are the specific types of expertise that will be required to answer the questions in the workscope? What is the minimum number of team members required?
- By what date (approximately) does the office need to have the report submitted? The date for submission of the evaluation report should be chosen by the CTO and front office. This date should be specified in the scope of work.

3. Choosing the Evaluation Team

Choosing the team is one of the most critical steps in the process. Team members should be good analysts and clear, quick writers who can meet deadlines. The CTO together with the front office should assist POPTECH in identifying the team. In selecting the team, the following questions/issues should be considered:

- Has the net been cast wide widely enough? Is "X" (a "tried-and-true" evaluator) being used too often in G/PHN/POP evaluations?
- Do any of the proposed team members have conflicts of interest? While "pure" objectivity rarely, if ever, exists, the goal should be objective team members.
- Have proposed evaluation team members within the last five years worked full time for or had a close working relationship (e.g., as a full time consultant) with the contractor they are expected to evaluate? Do they work for a "rival" organization or one that may wish to compete for a follow-on contract?

If a candidate for the team yields an affirmative answer to any of the questions in the latter two bullets, another candidate should be sought.

Staff from G/PHN/POP other than the CTO may serve on evaluation teams. In some cases, an overseas HPN officer may be a particularly good choice to provide the team with a USAID "field" perspective. In other cases, however, it may be preferable for the team to maintain total independence from USAID.

CA Participation. The selection of evaluation team members should take into consideration the individual's current professional demands. In certain cases where proposed team members are currently employed by CAs, the CTO of the proposed team member's project should be contacted prior to inviting the team member to participate on the evaluation team. It should be made clear that evaluation team members who are currently working for a CA will not be paid directly for their participation on the evaluation team unless they perform the evaluation during their leave time or while on a temporary leave of absence. In all instances, evaluation team members should receive travel and per diem paid by the evaluation implementing agency.

Individuals employed by the CA community can contribute great expertise to the evaluation process. Participation by individuals currently employed by CAs is a cost-effective arrangement. However, in some instances the CTO or an EPIC member may identify a perceived or real conflict of interest between the proposed CA evaluation team member and the project being evaluated; or the CTO or CA may feel that the CA cannot do without the services of the proposed member over the course of the evaluation. In these cases, the proposed evaluation team member should not be invited to participate on the evaluation team.

4. Team Planning Meetings

In most cases an evaluation begins with a two-day team planning meeting during which the team is briefed by project CTO and POPTECH staff on the purpose, strategy and status of the project and the evaluation scope of work. The work schedule is finalized at this time and detailed plans are made for how the evaluation will be conducted and for how responsibilities will be divided among team members.

5. The Format of the Report

Specifying the format of the report is important. It helps ensure that G/PHN/POP CTOs receive the answers to their questions in a way that allows them to (a) quickly understand the bottom line and (b) take appropriate action. POPTECH has developed a set of guidelines for report preparation that is given to the team at the time of their initial team meeting. If the CTO wishes to make any significant modifications to the format suggested in these guidelines, they should be indicated at the time of the team meeting. The guidelines for preparation of the written report by the evaluation team are included in Appendix C.

6. Evaluation Team Debriefing

G/PHN/POP guidelines for evaluation debriefings are attached in Appendix D. There should be three separate debriefings: one for the CTO and Division Chief of the project's home Division (to be held first), one for the Office of Population and other USAID staff, and one for the CA being evaluated. The team should provide a full, open and balanced discussion of all evaluation findings during the evaluation debriefing. The CTO should give the evaluation debriefing guidelines to the team at the team planning meeting to allow them time to prepare their presentation accordingly.

7. G/PHN/POP Review of the Evaluation Report and G/PHN/POP Follow-up

When evaluation teams travel to the field, immediately upon their return the CTO should reconfirm with the team leader and POPTECH the date when the draft evaluation report is to be submitted and make appropriate arrangements if this date needs to be changed.

A preliminary draft of the report will be given by the team to both POPTECH and the CTO; the CTO will pass a copy of the draft to the CA. POPTECH will review this draft to make sure that the draft is complete. The CTO and CA will review the draft in order to assess whether there are any factual errors and whether any findings presented in the report need to be discussed further with the team or to be clarified in the report. Whether or not such discussions result in changes in the team's report will be up to the discretion of the team.

The final draft of the report will be submitted by the team leader to POPTECH for final editing and distribution. POPTECH is responsible for submitting the final draft to the CTO.

Upon receipt of the final draft the CTO should:

- Send a copy to the CA.
- Prepare comments to POPTECH on the final draft report. The CTO should provide his/her views on the team's conclusions, findings, and recommendations and on whether the report addresses the questions in the scope thoroughly and objectively. This memo should be cleared by the CTO's Division Chief.
- Prepare a memo to the project contractor on actions to be taken to follow-up on the evaluation's recommendations. USAID does not necessarily have to agree with or act on all evaluation recommendations. Thus, this memo should make clear which recommendations USAID believes should be acted on, and which ones do not require action or are lower priority. In lieu of preparing this memo, the CTO

can share the Project Evaluation Summary cover memo. The choice of which mechanism will be used to share this information with the cooperating agency will be up to the CTO.

- Prepare a Project Evaluation Summary (PES) (the form to be used appears in Appendix E).

8. Conflict Resolution

In some cases it is inevitable that there will be disagreement among the various parties to the evaluation. Where there is disagreement among team members conducting the evaluation, the team leader should have the final decision, with dissenting opinions provided as footnotes. In cases where POPTECH editors and reviewers are not satisfied with the report content, it shall be the responsibility of POPTECH to work out differences and present a deliverable report of findings and recommendations in a timely fashion. Again, irreconcilable disagreements, if any, can be footnoted.

In cases where there is significant disagreement of the CTO or the Division with the report of findings and recommendations, these disagreements should be taken to the EPIC for resolution. The POPTECH CTO should not be asked to reconcile these disagreements. As a last resort, the Front Office, as a cross-sectional, third-party group, will serve the function of resolving disagreements between report findings and CTO or Divisional perceptions.

It should be kept in mind that an evaluation should be an independent and objective review of project process and outcomes. This objectivity should be protected and the findings and recommendations should be considered. However, acceptance or rejection of the evaluation findings and future program action will be at the discretion of management and will rarely, if ever, be based exclusively on the evaluation findings.

If the CA, CTO and/or Division does not agree with the evaluation findings, these disagreements can be sent in a memo to the team leader after the evaluation debriefing. The team, however, will have the ultimate decision on how to incorporate the expressed concerns. If the CA, CTO and/or Division is not in agreement with the final report, they will be permitted to have their concerns included as an appendix in the final report.

Appendix A

SUGGESTED OUTLINE FOR AN EVALUATION

SCOPE OF WORK

- I. Activity to be evaluated
 - A. Identify program/project name and number
 - B. Contractor/grantee
 - C. Life of project funding/dates
- II. Background
 - A. Provide a brief history of the project or program, a brief description of the purpose and of what the project does, and its current status, (how far along, what does USAID believe the project is achieving); refer to end-of-project status, project outputs and means of verification from logical framework in preparing history
- III. Purpose of the evaluation
 - A. What will the evaluation be used for?
 - B. What are the major issues?
 - C. When will the information be needed?
- IV. Statement of Work
 - A. Questions USAID wants answered: major questions as well as secondary ones.
 - B. List the issues to be examined.
 - C. For each issue/question, develop a series of questions that will provide the answers.
- V. Methods and Procedures
 - A. Data sources
 1. What information is available? List relevant sources, (previous evaluations/management reviews, status reports, trip reports, relevant studies, etc.).

B. Methods of data collection

1. Desk review of documents
2. Interviews: with whom?
3. Questionnaires: For whom/? What means of contact? (cable, telex, telephone, letter).
4. Field Visits: Where? Whom to interview during site visits?

C. Duration and timing

1. When will the evaluation take place?
2. How much preparatory work? How much time should be spent on each activity (preparation, data gathering, writing)? To what extent should team members conduct separate field visits and interviews?

VI. Team composition and size

- A. Identify the different qualifications and skills team members collectively should have (i.e., family planning clinical skills, training, demography, anthropology, etc.) and level of experienc.
- B. Approximate team size.

VII. Report

- A. When draft due
- B. Number of copies of report needed
- C. Languages in which report is needed

VIII. Funding and Logistical Support

Appendix B

Sample Evaluation Scope of Work

EVALUATION SCOPE OF WORK Evaluation of Family Planning Program Impact Project

The Office of Population (G/PHN/POP) has a five-year (September 1991-September 1996), \$14 million contract with the Carolina Population Center (CPC) of the University of North Carolina for the implementation of the Evaluation of Family Planning Program Impact (EVALUATION) Project. The project is being implemented by CPC and its subcontractors, Tulane University and The Futures Group International. The EVALUATION Project is one of two projects that is supported under the Policy and Evaluation Division's Evaluating Family Planning Program Impact (EFPPI) ten-year umbrella project. At the end of September, the EVALUATION Project will be entering its fourth year of implementation. The proposed evaluation will examine the EVALUATION Project's performance and accomplishments to date and will provide guidance for the design of the follow-on procurement.

I. Basic Project Information

Project Name and Number	Evaluation of Family Planning Program Impact (936-3060)
Contract Numbers	DPE-3060-C-00-1054-00 DPE-3060-Q-00-1055-00
Core Contract Value	\$14,175,385
Obligations to Date	\$10,249,000

II. Background

A. EVALUATION Project Scope of Work

The purpose and objectives of the EVALUATION Project are laid out in the ten-year EFPPI project paper. No separate purpose and objectives were defined for the first five year contract; but rather, it was expected that the contractor would make clear although not complete progress toward accomplishing the ten-year purpose and objectives by the end of the first five years.

The purpose of the EVALUATION Project is "to strengthen USAID's population assistance by enhancing the ability to evaluate the impact of population programs on fertility." Accomplishment of this purpose would be demonstrated by the following end of project status (EOPS):

- Improved methodologies and consistently defined evaluation impact indicators are used across population project and program evaluations.
- Methodologies developed by project are applied in USAID's central and field population projects and programs.
- All new population projects have a plan for impact evaluation built in at the project design stage.
- Procedures and norms for conducting impact evaluations are institutionalized within family planning service and support organizations.

The project activities aimed at accomplishing the Project's objectives can be grouped into the several broad categories listed below. Required activities within each of those categories are also noted.⁴

- Those aimed at improving measures of family planning program impact and use of existing data

Production of reference documents including:

1. a state-of-the-art paper reviewing the literature relevant to family planning program evaluation,
2. a conceptual framework of family planning program dynamics,
3. a typology of family planning programs and appropriate evaluation strategies by program type,
4. an evaluation manual,
5. a handbook of consistently defined indicators, and
6. an interactive computer program and companion hard copy guide for using DHS data for program evaluation.

Organization of functional level working groups in the functional areas of service delivery; commodities and logistics management; operations research; training; management; information, education, and communication; policy; and evaluation.

The conduct of impact and methodological studies (either by the project or commissioned to other researchers) aimed at improving the understanding of

⁴ Exact numbers of each type of activity are indicated in the EVALUATION Project's contract.

how family planning inputs contribute to fertility decline and to test improved ways of measuring this contribution.

- Those aimed at increasing and institutionalizing evaluation expertise among USAID, host-country organizations, and cooperating agency (CA) staff

Provision of technical assistance in designing evaluation plans and conducting evaluations.

The conduct of U.S.-based and field-based training workshops.

- Those aimed at improving the dissemination of evaluation information

Distribution of reference documents and research reports developed by the project.

Publication of project findings in professional journals.

Presentation of project findings at professional meetings.

B. Management Review

Management reviews of the EVALUATION Project were conducted in December 1992, and March 1994. Both of these reports will be available to the evaluation team for review. The most important point coming out of the management reviews was the need for several contract amendments due to changing demands on the EVALUATION Project's time (e.g., a greater than expected demand for technical assistance, a request by G/PHN for the EVALUATION Project to organize and lead a Reproductive Health Indicators Working Group, need for a greater than expected number of working group meetings, etc.). A request for those contract amendments has been submitted to the USAID contracts office.

III. Purpose of the Evaluation

The purpose of the current evaluation is four-fold:

- To assess the extent to which the project has accomplished the purpose as set forth in the project design.
- To assess how organization, management, and finances have influenced the accomplishments of the project.
- To evaluate whether or not the activities included in the design of the project were the best ones for accomplishing the project purpose.
- To identify remaining needs that should be addressed in the follow-on procurement.

IV. Evaluation Scope of Work

The evaluation should address the following types of questions. This list of questions/issues is intended to be illustrative, and the evaluation team should modify/add questions as appropriate.

- To what extent has the project accomplished the purpose as set forth in the project design?

Project Implementation and Technical Accomplishments

1. How do the activities completed by the project compare with what is required in the contract? If there are discrepancies, what accounts for them?
2. What aspects of the project's work are considered most and least valuable to various constituent groups (e.g., G/PHN/POP, missions, CAs) and to the Project itself? Why?
3. How responsive has the EVALUATION Project been to various constituent groups (e.g., G/PHN/POP, missions, CAs)?
4. How technically competent are members of the project staff? Have their skills and experience been appropriate for meeting the needs of various constituent groups (e.g., G/PHN/POP, missions, CAs)?
5. To what extent has the project contributed to the evaluation work of other donors?

Project Outcomes and Impact

In assessing project outcomes and impact, the evaluation team should keep in mind that the objectives for the project are based on a ten-year project paper period. Consideration should be given as to whether or not the progress toward accomplishing these objectives has been reasonable.

1. What has been the contribution of EVALUATION Project activities to improved methodologies and consistently defined evaluation impact indicators being used across population projects and program evaluations?
2. What methodologies developed by the project are being applied in USAID's central and field population projects and programs? How are they being applied?
3. How are project activities influencing the inclusion of a plan for impact evaluation at the project design stage of new population projects?

4. Are the procedures and norms for conducting impact evaluations becoming institutionalized within family planning and support organizations; and if so, how have project activities contributed to this institutionalization?
 5. How does the definition of "impact" being employed by the project compare with what was conceptualized at the time of the project design. If there are differences, how might they best be addressed?
- How have the organization, management, and finances of the EVALUATION Project influenced its accomplishments?

Project Organization and Management

1. How do the organization and management of the EVALUATION Project at the prime as well as the subcontractor level contribute to or detract from the functioning of the project? What, if any, specific changes are needed? How does management from USAID affect the functioning of the project?
2. Is the project staff sufficient to meet the demands being placed on the project? Do the other commitments of project staff influence their performance on the project? If so, how?
3. What steps have been taken by the project to monitor and evaluate their activities on an ongoing basis? When evaluation information is gathered, how is it used in project planning?
4. How has the project responded to changes in G/PHN/POP priorities and its expanding mandate? How have these changes affected the contractor?

Financial Issues

1. Are there any issues regarding financial management of the project that are of concern?
 2. Is the level of funding for the project sufficient for the project to meet the expectations that have been placed on it?
- Were the activities included in the design of the project the best ones for accomplishing the project purpose?
 1. Completing all contractually required activities does not necessarily ensure that the project purpose will be accomplished. Sometimes the exact type of activities, the mix of activities, or the weight given to each type of activity may not be appropriate for accomplishing the purpose and objectives of a project. Also, the establishment of evaluation norms and changing the way in which evaluations are conducted across other organizations are outcomes that depend on actions outside of direct project control. The evaluation

team should reflect on these issues and provide their assessment of the appropriateness of the contractually required activities.

2. Would there have been any advantages of having a cooperative agreement rather than a contract for the EVALUATION Project? If so, should consideration be given to making the follow-on procurement a cooperative agreement?
- What evaluation needs remain after the first phase of the project to be addressed in the follow-on procurement?
 1. What, if any, modifications need to be made in the purpose and objectives of the 10-year umbrella evaluation project? Should the project be amended to include other reproductive health outcomes; and if so, what would be the advantages and disadvantages of doing so?
 2. Based on what has been learned from the project to date, through what mix of activities might the objectives of the follow-on project best be addressed? Are any modifications in funding levels necessary overall or across activities?
 3. Based on what has been accomplished to date and on changes in G/PHN/POP's mandate, what should be the ordering of priorities in the follow-on procurement?

V. Methods and Procedures

The evaluation team will review all project documentation, including but not limited to the following: the EFPPI project paper, the EVALUATION Project contract, the 1992 and 1994 management reviews, annual workplans, semi-annual reports, trip reports, activity evaluations, relevant correspondence, and financial reports. In addition, the team will review all documents that have been produced in fulfillment of contractual requirements. Also, the team will conduct interviews with the EVALUATION Project staff at the Carolina Population Center in North Carolina; at Tulane University in New Orleans; and at The Futures Group, International in Washington, DC.

Because much emphasis in this project is on improving evaluation among USAID/W and CA staff, this evaluation will differ from many other central project evaluations in that a greater proportion of time will be spent in meeting with and talking to U.S. based population professionals. The team will meet with G/PHN/POP/P&E staff, the G/PHN/POP Front Office, the DAA/G/PHN, representatives from all Divisions of G/PHN/POP, CDIE representatives, and staff from G/PHN/HN who have been involved in EVALUATION Project activities or who have interest in evaluation. In addition, the team will also contact in person or by phone, the Project Director or key staff of all CAs, representatives of various donor groups, the Chairpersons of the EVALUATION Project's Policy Advisory Group (PAG) and Technical Advisory Group (TAG), and representatives of the PAG and TAG. The team will be provided with a list of essential contacts as well as a list from which they will be able to select randomly persons to interview. To facilitate this

interviewing process, the team should develop a standard questionnaire to use during the interviews.

Prior to the evaluation team's arrival in Washington, G/PHN/POP/P&E will send a cable to all field missions to gather input into this evaluation. All missions will be asked to comment on the likely need for future assistance by the EVALUATION Project; missions in countries where EVALUATION has been active will be asked to comment specifically on the work done by the EVALUATION Project. Based on the review of mission responses, the team may wish to follow up the cables with telephone interviews with mission staff from countries where site visits will not be made.

Following the U.S.-based data collection, members of the evaluation team will visit two countries where the EVALUATION Project has been active: Morocco and Tanzania. These countries have been selected because they are focus countries of the project and will demonstrate a range of the project's activities. While in country, the team will meet with USAID mission staff and local counterparts with whom the EVALUATION Project has worked. Two team members will go to each country.

It is anticipated that the evaluation can be completed in four weeks based on the following illustrative schedule and division of responsibilities:

	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
Week 1	DC	DC	DC	NC	NC	NC	Travel
Week 2	NO	DC	DC/NY	DC	DC	Travel	Travel
Week 3	Tanzania/ Morocco	Tanzania/ Morocco	Tanzania/ Morocco	Travel	Travel	DC	Free Day
Week 4	DC	DC	DC	DC	DC Debriefing		

Note. DC = Washington, DC
 NO = New Orleans (Tulane)
 NC = North Carolina (Carolina Population Center, Family Health International)
 NY = New York (Rockefeller, Alan Guttmacher Institute, Association for Voluntary Surgical Contraception, Population Council, UNFPA)

All interviews and data gathering will occur during the first three weeks of the evaluation. At the end of Week 3, all team members will return to Washington, DC, for preparation of the evaluation report and debriefing of the Office of Population and the contractor. Some slight modifications of this schedule might be necessary to accommodate team members' scheduling constraints.

G/PHN/POP/P&E would like to have the evaluation finished and in final form for distribution prior to the March 29-31 TAG/PAG meeting at which future needs in evaluation will be discussed. Thus, the evaluation should take place in the period between early to mid January and early to mid February. A detailed outline of the key findings and recommendations should be provided to G/PHN/POP and Project staff after the fieldwork is

completed; and a draft report should be available to the project's Technical Advisor no later than March 3, 1995.

The evaluation team will consist of 4 people who, among them, have the following expertise and experiences:

- Ph.D. or equivalent in social science or statistics with particular knowledge of demography, mathematical modeling, multilevel analysis, and family planning program evaluation;
- Knowledge of critical issues in evaluation of program impact;
- Familiarity with USAID and USAID projects;
- Proficiency in French (if Morocco is to be visited); and
- Excellent writing skills.

VI. Funding and Logistical Support

All funding and logistical support for the EVALUATION Project evaluation will be provided through the Health Technical Services Project of the Office of Health and Nutrition. Activities that will be covered include recruitment of the evaluation team, payment of evaluation team members for a six-day work week, support for all expenses related to the evaluation, logistical support, and publication of the draft and final reports.

Appendix C

POPTECH REPORT PREPARATION GUIDELINES

All consultants should familiarize themselves with the report guidelines even if they are not participating in final report drafting. Knowledge of report format—especially the presentation of findings, conclusions, and recommendations—will aid the team in carrying out the assignment.

The following report guidelines reflect USAID reporting specifications. The guidelines are meant to assist authors in report preparation and have been kept to a minimum to allow the authors license to write a report which responds to the needs of USAID. The consultant team is responsible for preparation of a clear, concise report which adheres to these guidelines.

REPORTING OBLIGATIONS

Team Leader

The Team Leader is in charge of all aspects of report preparation, consolidation, and submission. The team leader

- Collects and compiles all portions of the report if other team members are responsible for report sections.
- Reviews report for responsiveness to the Scope of Work, logical consistency (e.g., the conclusions and recommendations are based on an analysis of findings), avoidance of repetition and wordiness, and coherence of the various sections into an internally consistent whole.
- Compiles all lists of persons contacted, bibliographies, and appendices.
- Shares the draft with other team members for comment prior to submission to POPTECH.
- Submits a first draft to POPTECH on the agreed-upon date (usually 10 working days after returning from fieldwork).

REPORT OUTLINE

When submitting the first draft, the team leader is responsible for providing POPTECH the following five basic elements of the report:

1. **Introductory Section.** The introductory section of the report should include
 - Table of Contents
 - Acknowledgments (optional)
 - Abbreviations
 - Project Identification Data Sheet

2. Executive Summary. The Executive Summary (approximately 4-5 pages) should convey the important points of the report in an effective and concise manner. The opening paragraph should provide an overall assessment of the project performance, highlighting principal strengths and weaknesses, and suggest any major changes that may be needed in the future. Topic headings may also be used as chapter headings in the report. Principal recommendations should be set forth in the Executive Summary. This section should be written after the report is completed.

3. List of Recommendations. Recommendations will be numbered and listed in the order that they appear in the report. (See Recommendations below).

(The Executive Summary and List of Recommendations will generally be published and distributed separately to a wide audience.)

4. Body of the Report. To simplify report preparation, the inclusion of an introduction, findings and conclusions, issues, recommendations, a strategy for action, and tables and figures are suggested as components. The recommended length of the body of the report is 30-40 pages. This length encourages concise, direct writing and inclusion of the discussion needed to support conclusions and recommendations.

The introduction should provide the basic background of the project or activity being examined.

Initially, the report is divided into chapters. Keep the organization simple and straightforward. The Scope of Work (SOW) may serve as the basis of a preliminary report outline; however, additional information may be included or an explanation given if all questions in the scope of work are not answered. Main topics in the SOW may serve as chapter headings. Topics may be divided according to the skills or assignments of the team members, and individual chapters can be written by different team members. It is extremely helpful to divide all chapters into headings and subheadings.

Findings and conclusions form the basis of the report. Findings are facts and observations, and conclusions—based on the findings—are the team's assessment of project performance. Successes should be detailed first and highlighting these helps make the report balanced and objective. The tendency is often to overlook the pluses and to concentrate on problems. Evaluations, in particular, are by their nature critical assessments and call for special efforts to present a balanced perspective.

Issues are problems that remain unsolved at the time of the evaluation and should set the stage for the recommendations that follow.

Recommendations are the action(s) suggested by the team to remedy the problems identified in the report. Ensure that the basis for each recommendation has been set forth in the earlier sections of the report.

Recommendations should be numbered and summarized with a lead sentence or two which will be extracted for the List of Recommendations to follow the Executive Summary. Discussion of individual recommendations may follow the lead sentence(s).

In developing recommendations, the team should consider the following:

- Do not offer too many recommendations. Not all problems need to be addressed by a recommendation.
- Offer recommendations that can be accomplished.
- Insofar as possible, recommendations should specify who should take the action, when it should be taken, and by what means.
- If several alternative courses of action are possible, set forth all options. It is important, however, to identify the option preferred by the team.
- Recommendations are best placed at the end of the chapter/section to which they pertain.

After all recommendations are made, principal recommendations should be identified and presented as a strategy for action, preferably in a final chapter.

Lessons learned may appear in the report, if appropriate. Lessons learned should extrapolate general principles about how projects should be designed or implemented in ways which may be applicable to other settings. Country-specific lessons may also be noted, and should be identified as such.

To provide a clear picture of how well a CA has performed with respect to expected project outputs, the report should include tables and figures that summarize the most important aspects of project performance, such as activities, deliverables, subprojects, and budgets. POPTECH will produce the tables, however, *the author is responsible for accurate information, explanatory footnotes as needed, and a source for each table.*

5. Appendices. The appendices of the report should provide background on the assignment: its purpose, a brief background on team members, the schedule for different activities, methodology, and constraints that may have been encountered. Three attachments should be provided for all reports:

- A. Scope of Work
- B. List of Persons Contacted
- C. Bibliography

Other appendices may provide important background material which supplements to the basic message of the report. Appendices should be used judiciously.

Final Report Submission and Deadline

All reports should be prepared on a computer (in Word for Windows or WordPerfect 5.1) following the guidelines. Style formatting, such as fonts, page breaks, and title bolding or italics, should be deleted from the text. Formatting will be completed by the POPTECH editing staff. Distinct text, such as emphasized wording (bold or underlined), quotations, or bullets, should remain. A copy of the diskette should be provided to POPTECH. The consultant should retain a copy of the diskette and the draft.

The due date for the first draft of the final report will be specified in the consultant's contract. Ordinarily, this is 10 working days following the return from fieldwork.

POPTECH Review and Editing

After POPTECH receives the draft report from the team leader, the schedule is as follows:

- The POPTECH editor will distribute the draft report to the POPTECH assignment manager, the project CTO or Mission, and the CA(s) involved for their comments.
- Comments will be forwarded to POPTECH, and the assignment manager will discuss the comments with the team leader (approximately one week).
- If necessary, the team leader will incorporate the comments into the draft and make changes/additions to the draft and resubmit it to POPTECH (approximately one week).
- POPTECH will edit and format the report and contact the team leader for additional clarification, if needed. POPTECH reserves the right to edit all reports for style, presentation, organization, and language. (Approximately three weeks.)

USAID Clearance and Publication

- POPTECH will submit the final draft to USAID for review and clearance. (USAID review is generally three weeks.)
- Upon receipt of USAID approval, POPTECH will print the final edition of the report and distribute it in accordance with instructions from the USAID CTO or Mission. All authors will receive a copy.

All materials produced by the consultant are the property of the United States Government, which has a royalty-free, nonexclusive, and irrevocable license to reproduce, translate, and deliver the material throughout the world.

Appendix D

GUIDELINES FOR EVALUATION DEBRIEFINGS

1. The debriefing should focus on key findings, issues, conclusions and recommendations of the evaluation. The tone as well as the content should be consistent with the report. The team should recognize that this is the only opportunity to present the substance of the evaluation to many people -- very few will read the report. The debriefing should be given only after the team has agreed upon the content and tone, and should be scheduled as soon as possible, given the above. (It should be noted that this does not preclude dissension within the team. If a team member does not agree with the conclusions of the other team members, this may be discussed at the debriefing.)

The team should have its major conclusions and recommendations written out for distribution. If possible, this should be distributed prior to the debriefing. This listing need not be in final form, but it should accurately reflect the substance of the debriefing and of the report.

2. The team should make a balanced as well as accurate presentation; i.e., it should present strengths and accomplishments as well as shortcomings and problems. The impact of what is conveyed in the debriefing meeting will be greater and will be felt much faster than that of the written report itself. It can be assumed that everything said in the debriefing will be discussed throughout the population community. This does not mean that team members should censor themselves -- the oral debriefing is often the only time to discuss issues that may have come out during the evaluation.

3. The team should hold three separate meetings:

- With the CTO and the division chief;
- With Office and other USAID staff;
- With the contractor.

4. The debriefing presentation should be as concise as possible; the team should try to limit their presentation to one hour, to allow time for discussion.

5. The timing should be such that as many people from the Office as possible can attend. Each division should be represented at this meeting.

6. While the actual structure of the debriefing is up to the team, the substance should include at least the following:

- a brief overview of the project being evaluated and the purpose of the evaluation.
- a brief discussion of the evaluation methodology.
- major conclusions and recommendations, and a summary of findings on which they are based.

Appendix E

Project Evaluation Summary Form

A.I.D. EVALUATION SUMMARY - PART I

1. BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS
2. USE LETTER QUALITY TYPE, NOT "DOT MATRIX" TYPE

IDENTIFICATION DATA

A. Reporting A.I.D. Unit: Mission or AID/W Office _____ (ESA _____)	B. Was Evaluation Scheduled in Current FY Annual Evaluation Plan? Yes <input type="checkbox"/> Skipped <input type="checkbox"/> Ad Hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY ____ Q ____	C. Evaluation Timing Interim <input type="checkbox"/> Final <input type="checkbox"/> Ex Post <input type="checkbox"/> Other <input type="checkbox"/>
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D. Activity or Activities Evaluated (List the following information for project(s) or program(s) evaluated; if not applicable, list title and date of the evaluation report.)

Project No.	Project /Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (\$00)	Amount Obligated to Date (\$00)

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director	Name of Officer Responsible for Action	Date Action to be Completed
Action(s) Required		

(Attach extra sheets if necessary)

APPROVALS

F. Date Of Mission Or AID/W Office Review Of Evaluation:			
	(Month)	(Day)	(Year)
G. Approvals of Evaluation Summary And Action Decisions:			
	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer
Name (Typed)			
Signature			
Date			

ABSTRACT

H. Evaluation Abstract (Do not exceed the space provided)

[Empty space for Evaluation Abstract]

COSTS

I. Evaluation Costs

Name	1. Evaluation Team	Affiliation	Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. \$)	Source of Funds

2. Mission/Office Professional Staff
Person-Days (Estimate) _____

3. Borrower/Grantee Professional
Staff Person-Days (Estimate) _____

A.I.D. EVALUATION SUMMARY - PART II

S U M M A R Y

J. Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3) pages provided)

Address the following items:

- Purpose of evaluation and methodology used
- Purpose of activity(ies) evaluated
- Findings and conclusions (relate to questions)
- Principal recommendations
- Lessons learned

Mission or Office:

Date This Summary Prepared:

Title And Date Of Full Evaluation Report:

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1950 1.01 1951 1.05

ATTACHMENTS

K. Attachments (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier; attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

COMMENTS

L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report

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**INSTRUCTIONS FOR COMPLETING AND SUBMITTING
"A.I.D. EVALUATION SUMMARY"**

This form has two parts. Part I contains information to support future A.I.D. management action, and to process the evaluation into A.I.D.'s automated "memory". Part II is a self-contained summary of key elements of the full evaluation report; it can be distributed separately to interested A.I.D. staff.

WHAT WILL THIS FORM BE USED FOR?

- Record of the decisions reached by responsible officials, so that the principals involved in the activity or activities evaluated are clear about their subsequent responsibilities, and so that headquarters are aware of anticipated actions by the reporting unit.
- Notification that an evaluation has been completed, either as planned in the current Annual Evaluation Plan or for *ad hoc* reasons.
- Summary of findings at the time of the evaluation, for use in answering queries and for directing interested readers to the full evaluation report.
- Suggestions about lessons learned for use in planning and reviewing other activities of a similar nature. This form as well as the full evaluation report are processed by PPC/CDIE into A.I.D.'s automated "memory" for later access by planners and managers.

WHEN SHOULD THE FORM BE COMPLETED AND SUBMITTED? After the Mission or A.I.D./W office review of the evaluation, and after the full report has been put into a final draft (i.e., all pertinent comments included). The A.I.D. officer responsible for the evaluation should complete this form. Part of this task may be assigned to others (e.g., the evaluation team can be required to complete the Abstract and the Summary of Findings, Conclusions, and Recommendations). The individual designated as the Mission or A.I.D./W evaluation officer is responsible for ensuring that the form is completed and submitted in a timely fashion.

WHERE SHOULD THE FORM BE SENT? A copy of the form *and attachment(s)* should be sent to each of the following three places in A.I.D./Washington:

- The respective Bureau Evaluation Office
- PPC/CDIE/DI/Acquisitions, Room 209 SA-18 (Note: If word processor was used to type form, please attach floppy disk, labelled to indicate whether WANG PC, WANG OIS or other disk format.)
- SER/MO/CPM, Room B930 NS (please attach A.I.D. Form 5-18 or a 2-way memo and request duplication and standard distribution of 10 copies).

HOW TO ORDER ADDITIONAL COPIES OF THIS FORM: Copies of this form can be obtained by sending a "Supplies/Equipment/Services Requisition" (A.I.D. 5-7) to SER/MO/RM, Room 1264 SA-14 in A.I.D./Washington. Indicate the title and number of this form ("A.I.D. Evaluation Summary", A.I.D. 1330-5) and the quantity needed.

PART I (Facesheet and Page 2)

A. REPORTING A.I.D. UNIT: Identify the Mission or A.I.D./W office that initiated the evaluation (e.g., U.S.A.I.D./Senegal, S&T/H). Missions and offices which maintain a serial numbering system for their evaluation reports can use the next line for that purpose (e.g., ES# 87/5).

B. WAS EVALUATION SCHEDULED IN CURRENT FY ANNUAL EVALUATION PLAN? If this form is being submitted close to the date indicated in the current FY Annual Evaluation Plan (or if the final draft of the full evaluation report was submitted close to that date), check "yes". If it is being submitted late or as carried over from a previous year's plan, check "slipped". In either case, indicate on the next line the FY and Quarter in which the evaluation was initially planned. If it is not included in this year's or last year's plan, check "ad hoc".

C. EVALUATION TIMING: If this is an evaluation of a single project or program, check the box most applicable to the timing of the evaluation relative to the anticipated life of the project or program. If this is the last evaluation expected to inform a decision about a subsequently phased or follow-on project, check "final", even though the project may have a year or more to run before its PACD. If this is an evaluation of more than a single project or program, check "other".

D. ACTIVITY OR ACTIVITIES EVALUATED: For an evaluation covering more than four projects or programs, only list the title and date of the full evaluation report.

E. ACTION DECISIONS APPROVED BY MISSION OR A.I.D./W OFFICE DIRECTOR: What is the Mission or office going to do based on the findings, conclusions, and recommendations of the evaluation; when are they going to do it; and who will be responsible for the actions required? List in order of priority or importance the key actions or decisions to be taken, unresolved issues and any items requiring further study. Identify as appropriate A.I.D. actions, borrower/grantee actions, and actions requiring joint efforts. Indicate any actions that are preliminary pending further discussion or negotiation with the borrower/grantee.

F. DATE OF MISSION OR A.I.D./W OFFICE REVIEW OF EVALUATION: Date when the internal Mission or office review was held or completed.

G. APPROVALS OF EVALUATION SUMMARY AND ACTIONS DECISIONS: As appropriate, the ranking representative of the borrower/grantee can sign beside the A.I.D. Project or Program Officer.

H. EVALUATION ABSTRACT: This one-paragraph abstract will be used by PPC/CDIE to enter information about the evaluation into A.I.D.'s automated "memory". It should invite potentially interested readers to the longer summary in Part II and perhaps ultimately to the full evaluation report. It should inform the reader about the following:

- If the evaluated activity or activities have characteristics related to the reader's interests.
- The key findings, conclusions, and lessons.
- An idea of the research methods used and the nature/quality of the data supporting findings.

Previous abstracts have often been deficient in one of two ways:

- Too much information on project design, implementation problems, and current project status discourages readers before they can determine if there are important findings of interest to them.
- A "remote" tone or style prevents readers from getting a real flavor of the activity or activities evaluated; progress or lack of progress; and major reasons as analyzed by the evaluation.

In sequential sentences, the abstract should convey:

- The programming reason behind the evaluation, and its timing (e.g., mid-term, final);
- The purpose and basic characteristics of the activities evaluated;
- A summary statement of the overall achievements or lack thereof to date;
- A picture of the status of the activities as disclosed in the full evaluation report;
- An idea of the research method and types of data sources used by the evaluators;
- The most important findings and conclusions; and key lessons learned.

Avoid the passive tense and vague adjectives. Where appropriate, use hard numbers. (An example of an abstract follows; "bullets" may be used to highlight key points).

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EXAMPLE OF AN ABSTRACT

The project aims to help the Government of Zaire (GOZ) establish a self-sustaining primary health care (PHC) system in 50 rural health zones (RHZ). The project is being implemented by the Church of Christ in Zaire and the GOZ's PHC Office. This mid-term evaluation (8/81-4/84) was conducted by a GOZ-USAID/Z team on the basis of a review of project documents (including a 4/84 project activity report), visits to nine RHZ's, and interviews with project personnel. The purpose was to clarify some uncertainties about the initial design and set future priorities for activities. The major findings and conclusions are:

- This well-managed and coordinated project should attain most objectives by its 1986 end.
- Progress has been good in establishing RHZ's, converting dispensaries into health centers, installing latrines (over double the target), and training medical zone chiefs, nurses, and auxiliary health workers. Long-term training has lagged however, and family planning and well construction targets have proven unviable.
- The initial assumption that doctors and nurses can organize and train village health committees seems invalid.
- User fees at health centers are insufficient to cover service costs. A.I.D.'s PRICOR project is currently studying self-financing procedures.
- Because of the project's strategic importance in Zaire's health development, it is strongly recommended to extend it 4-5 years and increase RHZ and health center targets, stressing pharmaceutical/medical supplies development and regional Training for Trainers Centers for nurses, supervisors, and village health workers.

The evaluators noted the following "lessons":

- The training of local leaders should begin as soon as the Project Identification Document is agreed upon.
- An annual national health conference spurs policy dialogue and development of donor sub-projects.
- The project's institution-building nature rather than directly service nature has helped prepare thousands of Zairois to work with others in large health systems.

I. EVALUATION COSTS: Costs of the evaluation are presented in two ways. The first are the cost of the work of the evaluation team per se. If Mission or office staff serve as members of the team, indicate the number of person-days in the third column. The second are the indirect estimated costs incurred by involvement of other Mission/Office and borrower/grantee staff in the broader evaluation process, including time for preparations, logistical support, and reviews.

PART II (Pages 3-6)

J. SUMMARY OF EVALUATION FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS: The following reflects a consensus among A.I.D.'s Bureaus on common elements to be included in a summary of any evaluation. The summary should not exceed the three pages provided. It should be self-contained and avoid "in-house" jargon. Spell out acronyms when first used. Avoid unnecessarily complicated explanations of the activity or activities evaluated, or of the evaluation methodology; the interested reader can find this information in the full evaluation report. Get all the critical facts and findings into the summary since a large proportion of readers will go no further. Cover the following elements, preferably in the order given:

1. Purpose of the activity or activities evaluated. What constraints or opportunities does the loan and/or grant activity address; what is it trying to do about the constraints? Specify the problem, then specify the solution and its relationship, if any, to overall Mission or office strategy. State logframe purpose and goal, if applicable.

2. Purpose of the evaluation and methodology used. Why was the evaluation undertaken? Briefly describe the types and sources of evidence used to assess effectiveness and impact.

3. Findings and conclusion. Discuss major findings and interpretations related to the questions in the Scope of Work. Note any major assumptions about the activity that proved invalid, including policy related factors. Cite progress since any previous evaluation.

4. Principal recommendations for this activity and its offspring (in the Mission country or in the office program). Specify the pertinent conclusions for A.I.D. in design and management of the activity, and for approval/disapproval and fundamental changes in any follow-on activities. *Note any recommendations from a previous evaluation that are still valid but were not acted upon.*

5. Lessons learned (for other activities and for A.I.D. generally). This is an opportunity to give A.I.D. colleagues advice about planning and implementation strategies, i.e., how to tackle a similar development problem, key design factors, factors pertinent to management and to evaluation itself. There may be no clear lessons. Don't stretch the findings by presenting vague generalizations in an effort to suggest broadly applicable lessons. If items 3-4 above are succinctly covered, the reader can derive pertinent lessons. On the other hand, don't hold back clear lessons even when these may seem trite or naive. Address:

- Project Design Implications. Findings/conclusions about this activity that bear on the design or management of other similar activities and their assumptions.
- Broad action implications. Elements which suggest action beyond the activity evaluated, and which need to be considered in designing similar activities in other contexts (e.g., policy requirements, factors in the country that were particularly constraining or supportive).

NOTE: The above outline is identical to the outline recommended for the Executive Summary of the full evaluation report. At the discretion of the Mission or Office, the latter can be copied.

K. ATTACHMENTS: Always attach a copy of the full evaluation report. A.I.D. assumes that the bibliography of the full report will include all items considered relevant to the evaluation by the Mission or Office. NOTE: If the Mission or Office has prepared documents that (1) comment in detail on the full report or (2) go into greater detail on matters requiring future A.I.D. action, these can be attached to the A.I.D. Evaluation Summary form or submitted separately via memoranda or cables.

L. COMMENTS BY MISSION, AID/W AND BORROWER/GRANTEE: This section summarizes the comments of the Mission, AID/W Office, and the borrower/grantee on the full evaluation report. It should enable the reader to understand their respective views about the usefulness and quality of the evaluation, and why any recommendations may have been rejected. It can cover the following:

- To what extent does the evaluation meet the demands of the scope of work? Does the evaluation provide answers to the questions posed? Does it surface unforeseen issues of potential interest or concern to the Mission or Office?
- Did the evaluators spend sufficient time in the field to fully understand the activity, its impacts, and the problems encountered in managing the activity?
- Did any of the evaluators show particular biases which staff believe affected the findings? Avoid ad hominem discussions but cite objective evidence such as data overlooked, gaps in interviews, statements suggesting a lack of objectivity, weaknesses in data underlying principle conclusions and recommendations.
- Did the evaluation employ innovative methods which would be applicable and useful in evaluating other projects known to the Mission or Office? Note the development of proxy measures of impact or benefit; efforts to construct baseline data; techniques that were particularly effective in isolating the effects of the activity from other concurrent factors.
- Do the findings and lessons learned that are cited in the report generally concur with the conclusions reached by A.I.D. staff and well-informed host country officials? Do lower priority findings in the evaluation warrant greater emphasis?