PN.ABM-669
79806

Evaluation Handbook

Roles and Responsibilities

Prepared by
Christian Hougen

Project *ASSIST*
The Pragma Corporation
1601 North Kent Street
Suite 902
Arlington, VA 22209
(703) 528-1388

Contents

IV. Annexes

I. Purpose

THIS PRESENTATION OF roles, responsibilities, and procedures will help A.I.D. project managers and consultant team members conduct useful evaluations and produce quality evaluation reports. We hope that defining and agreeing on each party's responsibilities at the early stages of an evaluation will result in a rewarding evaluation exercise and the timely production of quality evaluation reports.

Chances are that you will be working with us, the staff of Project ASSIST[1] and The Pragma Corporation, to evaluate an A.I.D. health project. ASSIST has coordinated a number of evaluations for the A.I.D. Office of Health. The Project ASSIST team, like similar projects whose mandates include coordinating evaluations (such as the Water and Sanitation for Health (WASH) project, to whom credit is due for having originated many of the evaluation coordination methods discussed in this handbook) believes "the productivity and effectiveness of the team are greater than the sum of the capacities of the individuals involved."[2]

---

[1] ASSIST: Advisory Service Support for Infant Survival Technology.

[2] WASH. November, 1985. *Facilitator Guide for Conducting a Team Planning Meeting: WASH Technical Report Number 32.* Camp Dresser & McKee International, Inc.: Arlington, Virginia.

II. General Roles and Responsibilities

A. A.I.D.

A.I.D.'s most important responsibility is to convey—through the scope of work, interviews with team members, participation in the pre-team planning meeting and team planning meeting—its expectations of the evaluation team and the evaluation report. The A.I.D. project manager is responsible for meeting R&D/Program Office evaluation guidelines in drafting the scope of work, as well as other administrative requirements described in "A.I.D. Evaluation Guidance Memorandum: Administrative Procedures for Conducting Evaluations" and "Steps for Conducting Evaluations" included as Annex A.2.

A.I.D. is represented throughout the evaluation by the **project manager** of the project being evaluated.

B. Project ASSIST/Pragma

Project ASSIST and the Pragma home office staff will work to coordinate and schedule the evaluation and final report production. Project ASSIST/Pragma offers administrative support, travel and accommodation arrangements, meeting facilitation, portable computers, etc. Project ASSIST/Pragma support is coordinated by the ASSIST **activity manager**. The activity manager also monitors the team's work, responds to the team's needs, and can facilitate communication between the team, A.I.D., and the project being evaluated. The team should notify the activity manager of any events and team decisions affecting the course of the evaluation.

C. Team Members and the Team Leader

Team members will conduct the evaluation and produce a well written and organized report responsive to the scope of work. While the composition of each team varies according to the project being evaluated, there routinely is a team leader.

The team leader's responsibility is to manage the evaluation team and coordinate the team's production of the evaluation report. Team leaders are often contracted longer than other team members because they are expected to be involved in—and responsible for—many aspects of preparation and coordination. Staff of Pragma's Training Division have written elsewhere that, "team leaders are expected to coordinate and integrate the work of individuals of disparate experience, technical expertise, and expectations for the assignment and with whom they have no prior work experience. Team leaders are also responsible for their own technical contribution to the team's work."

The team leader's responsibilities most often include:

- Establishing consensus on who will address which section of the scope of work and draft that section of the evaluation report

- Coordinating the participation of all team members in key meetings and discussions

- Establishing interview and data gathering protocols to ensure uniformity across team members' data when it is gathered independently

- Monitoring the timely production and submission of draft report sections by team members and coordinating the integration of these sections into a uniform first draft

- Completing the Project Evaluation Summary (PES), unless otherwise indicated by A.I.D.

- Serving as a liaison between team members, A.I.D., and ASSIST

D. Table of Specific Roles and Responsibilities

TASK		RESPONSIBLE PARTY		
Step	Prior to the Evaluation	A.I.D.	ASSIST	Team
	Develop SOW for evaluation	X		
	Submit draft SOW to Program Office (R&D/PO) for review and comment	X		
	Specify level of effort for evaluation	X		
	Specify skills and expertise sought in team members	X		
	Specify dates for evaluation	X		
	Initiate liaison with contractor being evaluated	X		
	Propose candidates for team		X	
	Schedule interviews with evaluation team candidates		X	
	Draft implementation schedule of evaluation's main events		X	
	Draft budget for evaluation		X	
	Approve budget for evaluation	X		
	Specify background materials to be disseminated to team prior to evaluation	X		
	Collect, copy, and distribute above background materials		X	
	Hire consultant team members		X	
	Schedule and facilitate pre-team planning meeting		X	
	Specify names of people team is to interview	X		
	Schedule appointments with people to be interviewed		X	
	Coordinate initial team briefing by contractor		X	
	Provide logistic and administrative support to team		X	
	Arrange any necessary travel		X	

Step	During Evaluation	A.I.D.	ASSIST	Team
	Facilitate team planning meeting		X	
	Brief team on project background and key issues; elaborate on and respond to questions regarding the scope of work	X		
	Provide portable computers and printers as needed		X	
	Arrange any necessary travel		X	
	Write draft evaluation report			X
	Integrate team members' sections into organized draft, edit for uniformity amongst sections			X
	Sketch and provide necessary data for all charts, tables, and diagrams to be included in report			X
	Edit and format draft report		X	
	Specify A.I.D. officers to review draft report	X		
	Disseminate first draft to team and contractor for comment		X	
	Respond to comments and incorporate revisions into penultimate draft			X
	Edit and produce final, including cover, binding, graphics		X	
	Specify number of copies of final report to be printed	X		
	Provide distribution list of final report	X		
	Distribute final report		X	
	Schedule and facilitate team debriefing to members of R&D/Health and other interested A.I.D. personnel		X	
	Conduct a briefing presentation to A.I.D. project managers on team's findings and recommendations			X
	Complete Project Evaluation Summary (PES) form required by R&D/PO	X		X
	Comply with R&D/PO requests for documentation	X		
	Submit two copies of evaluation report to CDIE	X		

III. The Evaluation Process

TEAM PRODUCTIVITY AND the synergy that fuels it can be enhanced through advance preparation. Advance preparation frees team members from juggling administrative and coordination tasks once the team begins gathering data, traveling, and drafting the report.

The **pre-team planning meeting** and the **team planning meeting**, explained below, provide the team with an opportunity to work with A.I.D. project managers and the ASSIST/Pragma team to define and plan the evaluation exercise. An evaluation specialist from the R&D/Program Office may brief the team on A.I.D. evaluation guidelines at either of these meetings.

A. Pre-Team Planning Meeting (P-TPM)

The P-TPM is an opportunity for the evaluation coordinators—the A.I.D. project manager, the evaluation team leader, the ASSIST activity manager, and the TPM meeting facilitator—to become acquainted, put the evaluation into context by discussing the history of the project being evaluated, and discuss the TPM agenda. Specifically, becoming familiar with the scope of work and deciding when the meeting facilitator should pass stewardship of the meeting to the team leader are key points for discussion at the P-TPM.

The P-TPM discussions help the A.I.D. project manager, the evaluation team leader, the ASSIST activity manager, and the TPM facilitator anticipate and prepare for issues that are likely to arise during the TPM.

B. The Team Planning Meeting (TPM)

Team planning meetings enhance the team's effectiveness and help consultant team members make the best use of their limited time. More than an orientation, the TPM builds management practices. The TPM is in fact the first stage to a consulting assignment, not a precursor to it.

Objectives of the TPM include[3]:

- Review the background of the assignment and its current status
- Identify primary and secondary users of the evaluation
- Agree on an approach to working with the evaluation users
- Analyze and reach a common understanding of individual and team scopes of work
- Agree on the objectives and desired outcomes of the assignment
- Clarify and prioritize the evaluation questions presented in the scope of work
- Develop a work plan to carry out the scope of work, including an evaluation methodology and a list of data sources
- Plan how the team will work together
- Define and agree upon the role and responsibilities of the team leader

Several **products** will result from coming to agreement on the above issues during the TPM. These products include[4]:

- List of evaluation users and their stake in the assignment
- Purpose and expected outcomes of the assignment
- Individual scopes of work for consultant team members
- Assignment of specific items in the evaluation scope of work to team members
- End product outline, such as a table of contents for the report that indicates who is responsible for which section of the report
- Team leader job description
- Detailed work plan
- List of key unresolved issues

Toward the end of the TPM or on the following day, the team will conduct a **briefing** for the A.I.D. project manager and participating Project ASSIST staff. Representatives from other A.I.D. officers may also attend. The team leader should coordinate the presentation of the team's understanding of the assignment, and present: (1) the finalized scope of work; (2) the work plan; (3) an illustrative outline of the report; (4) the team's roles and responsibilities; and (5) a list of unresolved

---

[3] WASH. *Facilitator Guide,* 14.

[4] ibid., 8

questions to be discussed. With the conclusion of the TPM, the team turns its attention toward data collection, analysis, and report writing.

Throughout the evaluation, it may help team members to keep in mind the following checklist of desirable team characteristics. These characteristics are regarded as operational parameters for a successful team, one that—

- Has confidence in its leadership
- Has clear and shared goals
- Uses the resources of all team members
- Has decision-making procedures
- Has problem-solving techniques
- Deals openly with disagreement
- Has clear priorities
- Establishes a work schedule with deadlines
- Periodically evaluates results and team processes

C. Conducting the Evaluation

A study by the Development Assistance Committee of the Organization for Economic Cooperation and Development reports that the world's aid donors have little in common as to how they evaluate their programs. They agree, however, that evaluations should be designed to improve assistance rather than to simply find fault.[5]

Because each evaluation assignment is unique, it is inappropriate to prescribe a set evaluation methodology. How the team will collect and analyze data is a function of the kind of evaluation the team has been tasked with, the duration and scope of the evaluation, the capabilities of the team members, and A.I.D.'s information needs as specified in the scope of work.

Nevertheless, a basic data gathering protocol must be agreed upon during the TPM, especially if the team will divide into groups. For example, the team should agree upon a standardized format for conducting interviews and draft questionnaires to be

[5] Development Assistance Committee, Expert Group on Aid Evaluation, 1985. *Evaluation Methods and Procedures: A Compendium of Donor Practice and Experience.* Organization for Economic Development and Cooperation.

faxed or cabled to the field. This is particularly the case when the evaluation must be conducted without overseas travel. See Annex A.4. "Sources of Information and Data for A.I.D. Evaluations" for more information.

D. Debriefing

Team debriefings to A.I.D. and the management of the project being evaluated are an opportunity for the team to strengthen the impact of its findings and emphasize lessons learned during the evaluation.[6] However, debriefings are often not taken seriously. This results in an unsatisfactory evaluation wrap-up. A strong sense of closure is vital to a successful debriefing, especially because consultant team members often move on to other assignments or return to far away homes. Debriefings can be easily improved by identifying the objectives and anticipated outcomes of the meeting.

The **purpose** of a debriefing is to:

1. Discuss the findings, recommendations, and evaluation methodology
2. Capture and present the major lessons learned from the assignment
3. Review the status of the final report and clarify the steps needed to complete it
4. Discuss the adequacy of team preparation, support, and the evaluation scope of work
5. Suggest improvements in the evaluation process

While the actual debriefing may last approximately an hour, preparation for the debriefing requires the better part of a day.

A **sample agenda** might be:

9:00 Introduction to the debriefing

9:15 Discussion between team and ASSIST activity manager (covering points 3, 4 and 5 above)

10:45 Preparation for the formal debriefing

---

[6] This section presents material developed by the WASH project in the report: WASH, July, 1988. "*Guide for Conducting a Debriefing: Supplement WASH Technical Report No. 32.*" Camp Dresser & McKee International, Inc.: Arlington, Virginia.

(organizing visual aids, preparing room, etc.)

12:00 Lunch

1:00 Formal debriefing

2:00 Wrap-up (unstructured discussion of points raised in the debriefing, loose ends and overall feedback)

Timing of the debriefing differs for each evaluation. Team members unable to attend will be contacted and interviewed over the phone and their responses included in the debriefing. Evaluators will occasionally be requested by local USAID missions to conduct mini-debriefings on findings that result from local site assessments before leaving the country.

IV. Evaluation Report Production

AN EVALUATION REPORT is the team's final product. As authors, the evaluation team is responsible for the quality and accuracy of the report's technical content and its findings, as well as the report's organization and readability.

Project ASSIST provides editorial review and acts as a sounding board for the team during the drafting process. Revising a report's contents and organization, however, remains the responsibility of the team. The revision process may continue for weeks after the actual evaluation has been conducted.

Project ASSIST staff will work with the team leader and team members, but *cannot* substitute for the team members during this revision process. The revision process is discussed and graphically presented in section IV.B.

Project ASSIST has established a report format which, according to preferences expressed by A.I.D., Pragma's editorial staff, and the ASSIST team, is both functional and attractive.

A. Format and Style Preferences

As previously noted, each evaluation and evaluation report is unique. Nevertheless, we maintain consistent editorial and format standards. We hope this information will be a useful reference throughout the evaluation and report writing process.

Format Preferences. Project ASSIST/Pragma will edit, format, and desktop publish the evaluation report. ASSIST staff will discuss and modify aspects of the standard format preferences presented below should changes be required. Key components of A.I.D. project evaluation reports most commonly include:

- acknowledgements
- acronyms and abbreviations, in alphabetical order
- table of contents
- an executive summary, between 5 and 10 pages long, to include abridged recommendations (see Annex A.7., "A.I.D.-Specified Executive Summary Outline")
- A.I.D.-required Project Identification Data Sheet (see Annex A.5)

- the body of the report, organized in a way that best corresponds to the scope of work, with the scope of work question being addressed in the header of that section of the report, if appropriate
- liberal use of tables, charts, and graphs to improve readability
- a closing section: "Conclusions and Recommendations," or "Composite Recommendations"; the structure of the closing will be determined by the organization of the body

Annexes should include:

- the evaluation scope of work
- a list of people interviewed, including their title and affiliation
- a list of documents consulted by the team
- *optional*: trip reports or project country activity profiles of overseas project sites visited by team members for the evaluation

B. Revision Process

The diagram on the next page represents the production of drafts leading to a final report. The revision process is as follows:

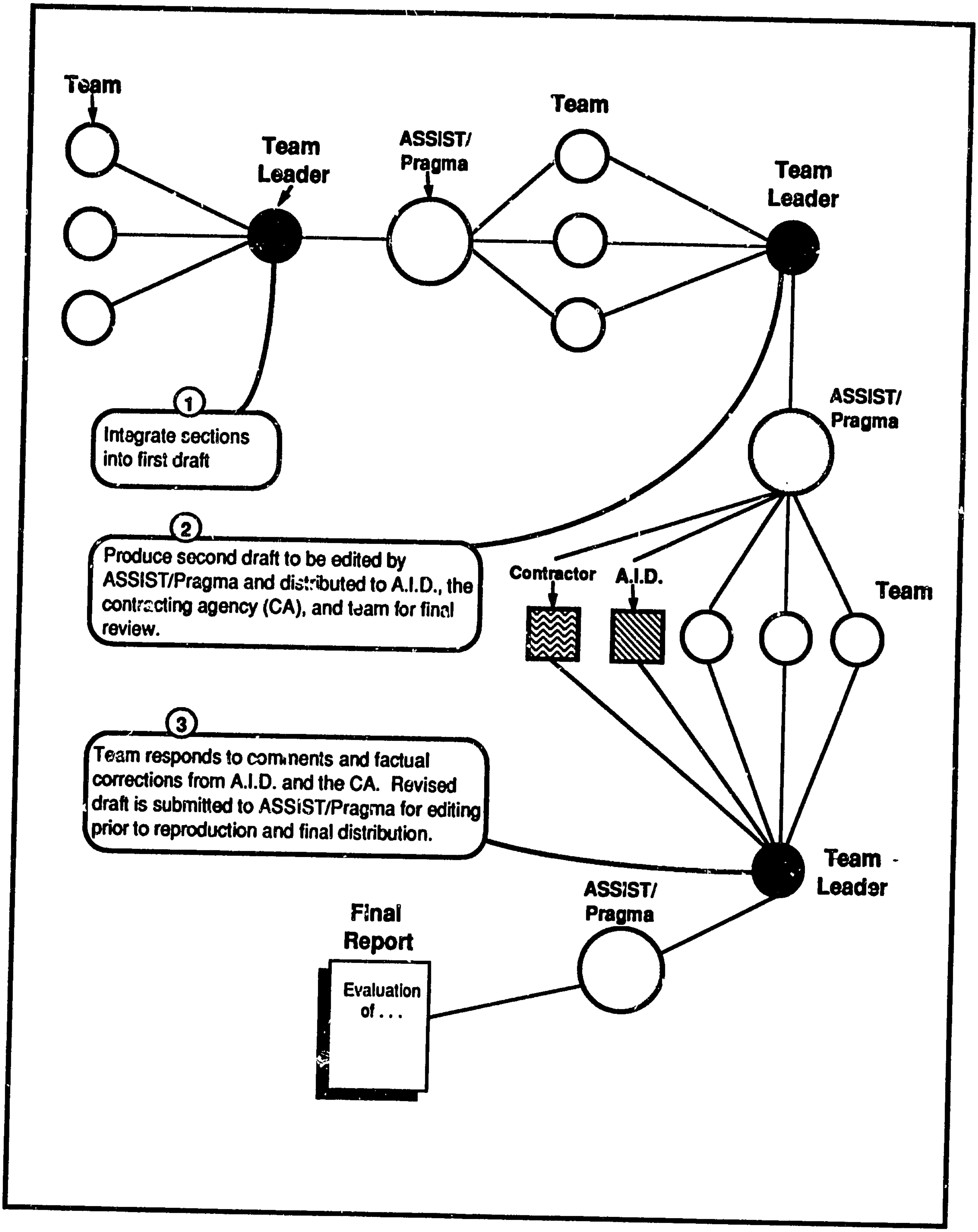
1. Once all team members have drafted their sections, the team leader coordinates their integration into a uniform **first draft** that conforms to the format preferences previously indicated. This draft is edited by Project ASSIST/Pragma staff, then returned to the team members for preliminary review and comment to be completed by an agreed upon date.

2. Once team members have revised their sections, the team leader coordinates the production of a **second draft**, which is reviewed by ASSIST/Pragma. At this stage, copies of the second draft are distributed to A.I.D., the contracting agency, and evaluation team members for final review. Normally, two weeks are scheduled for these groups to review and comment on the draft.

3. Upon receipt of comments from A.I.D. and the contracting agency, the team leader oversees the production of the **final draft**. The team, at its discretion, responds to A.I.D.'s and the contracting agency's comments, suggestions, and factual corrections. The revised draft is submitted to Project ASSIST/Pragma for review by our editors. Failing the need to

make any substantive revisions to the report's contents, the editors' changes are reviewed by the team leader. The report is then reproduced and distributed.

Evaluation Report Revision Process



V. Conclusion

EFFECTIVE EVALUATIONS AND evaluation reports demonstrate the participants' collective professionalism. For team members, applying their technical expertise, cooperating with the team leader, and pride of authorship are important to the success of an evaluation. For A.I.D., a thorough articulation of its needs helps the team produce a useable management and reference resource. For Project ASSIST/Pragma, responding to A.I.D.'s request to coordinate an evaluation, helping the team conduct its assessment, and producing a useful report are accomplished more efficiently when everyone involved understands their role in the evaluation process.

Annex A

A.I.D. Evaluation Requirements and Administrative Procedures
Original documents attached.

A.1. A.I.D. Evaluation Guidance Memorandum, "Administrative Procedures for Conducting Evaluations"

Original document on next page.

NOTICE

JAN 17 1991

PROGRAM GUIDANCE 91-06

TO: See Distribution

FROM: AA/S&T, Richard E. Bissell REB

SUBJECT: Administrative Procedures for Conducting Evaluations

REFERENCES: (A) HB 3, Appendix 3K
(B) HB 3, Chapter 12
(C) HB 3, Chapter 14 (and Appendix 14A)
(D) AID Evaluation Handbook (April 1987) (HB3, Supplement C)
(E) Guidance Memorandum of March 22, 1990

Introduction: This guidance replaces the March 22, 1990 memo (reference E) on the same subject. The guidance provides a consistent administrative approach for conducting and processing evaluations in S&T.

Reference D (pp. 14-21) provides guidelines on when to evaluate. I would call attention to three points:

(1) The major factor in determining when to evaluate is the need for evaluative information to guide key upcoming decisions about the future implementation of the project or program. A.I.D. requires that such information be available prior to these decisions and that it be used to substantiate decisions and actions taken. (p. 15.)

(2) Evaluations are required when a follow-on project is anticipated (p. 15).

(3) A Project Assistance Completion Report (PACR) is required for all projects. However, the requirement for a PACR may be waived if a final evaluation is conducted (p. 19; see also reference C).

18

The guidance clarifies certain administrative aspects of the evaluation process including the following:

-- The bureau evaluation officer (EO) should be involved in the process in conformance with the Agency evaluation guidelines.

-- Evaluation Summaries should be completed within 30 days of receipt of the final evaluation report.

-- Evaluation reports and summaries will be submitted to the Program Office for distribution.

The A.I.D. Evaluation Summary (ES) form, with instructions, is provided as Attachment 1. Attachment 2, "Steps for Conducting Evaluations," was prepared to help in developing evaluation scopes of work. Attachment 3 is a list of cross-cutting themes which are to be addressed in each S&T evaluation.

<u>Procedures</u>:

1. Once it has been decided to conduct an evaluation, the technical office arranges an initial meeting to discuss evaluation process requirements, which include but are not limited to:

   --the evaluation scope of work;

   --the proposed evaluation schedule;

   --composition of the evaluation team;

   --procurement mechanism; and

   --the funding source and costs.

   In addition to technical office staff, participants at this initial meeting should include the S&T/PO/AE - analyst and the EO.

2. The project officer prepares or coordinates the preparation of the evaluation scope of work in draft for review within the technical office and by S&T/PO.

   We have identified in Attachment 3 cross-cutting themes particularly relevant for S&T projects. These themes should be addressed in each evaluation, either by incorporating them into the text of the SOW or by using Attachment 3 as an addendum to the SOW.

19

3. The final SOW should be approved by the Agency/Office Director and the EO as part of the PIO/T clearance process. (In some instances, the use of management entities might preclude the need for a PIO/T; <u>the SOW should still be given to the EO for review.</u>)

4. The evaluation team is selected. The EO is an <u>ex officio</u> member of all S&T evaluations and as such should be afforded the opportunity to attend any preliminary sessions held with the evaluation team and any other meetings/briefings during the evaluation.

5. When a draft of the evaluation report is submitted for review, copies should be circulated. The technical office arranges a meeting to review the draft evaluation report. Participants should include technical office staff, members of the evaluation team, S&T/PO, and possibly staff of other offices and/or bureaus.

6. The technical office provides a synthesis of comments to the evaluation team to be considered in preparing the final evaluation report. The technical office should arrange for a meeting to review the final report if the office feels that this is necessary. Further, the technical office should arrange a senior level review of the evaluation report if the nature of the project or the issues merit such review.

7. The technical office prepares the A.I.D. Evaluation Summary (ES) within 30 days after receipt of the final evaluation report. (The ES form with instructions is attached.)

   We suggest that the evaluation SOW require the evaluation team to complete several sections of the ES, including the abstract on Page 2 (Section H) and the A.I.D. Evaluation Summary - Part II, on Page 3 (Section J). Section E (Action Decisions Approved by AID/W Office Director) on Page 1 and Section L (Comments by AID/W Office on Full Report) on Page 6 should be completed by the technical office. Section L should include a discussion of acceptance or rejection of each of the evaluation recommendations and where we go from here and why.

8. The ES, along with the evaluation report and other attachments per Block K of Page 6 of the ES, is submitted to S&T/PO for clearance by the EO.

-VD

9. S&T/PO will be responsible for having copies made and for distribution to PPC/CDIE (for inclusion in the Agency's evaluation reports data base) and to other offices/bureaus. Distribution will be made as follows:

PPC/CDIE/DI	1
PPC/CDIE/PPE	1
FVA/PPM	1
BIFAD/S	1
PPC/PDPR	1
APRE/DP	1
AFR/DP/PPE	2
LAC/DP/SD	1
ENE/DP/E	1
AA/S&T	2
S&T/PO	2

10. Follow-up: The ES discusses the actions to be taken and the time frame. S&T/PO will maintain a tracking system, with quarterly reporting on outstanding actions. It is the responsibility of the offices to advise S&T/PO when and how action items are resolved. A review of action items will be a part of the portfolio reviews.

Should you need additional information or clarification about this guidance, please contact the S&T Program Office.

Attachments (3)
(1) ES Form with Instructions
(2) Steps for Conducting Evaluations
(3) Cross-cutting Themes

Clearances:
S&T/PO, D. Sheldon _______ Date 1/14/88
DAA/S&T, B. Langmaid ___(info)___ Date ______

#3123d:1/10/91:FA:875-4235

21

A.2. Steps for Conducting Evaluations

Original document on next page.

Attachment 2

Steps for Conducting Evaluations

A. Identify evaluation needs and purpose.

- o Who should be involved?
- o Who should decide the scope of evaluations?
- o What process is best suited to making decisions?

B. Create research questions.

- o What must be studied?
- o What additional information would be desirable?

C. Create evaluation design.

- o What kinds of evidence are necessary and credible?
- o What financial and personnel resources are available?

D. Create evaluation budget.

- o How much time will be involved for various personnel?
- o What salary and direct and indirect costs are involved?

E. Prepare evaluation working plan.

- o What are the specific evaluation tasks?
- o Who should do them?
- o When should they be accomplished?

F. Collect evaluation information.

- o What are the sources of information?
- o What ethical questions are involved?

G. Prepare information for analysis.

- o What computer-related resources are necessary/available?
- o What Agency reports, studies, meetings will be available?

H. Conduct information analysis.

- o What analytical methods are appropriate?
- o What interpretations can be made?
- o What are the strengths of the study?
- o What are the weaknesses of the study?

I. Report the information.

- o What/who are the audiences?
- o What are their decision-making needs?
- o What are their learning/grasping needs/style?
- o Should these audiences see the entire report?
- o Should they get a one/two pager with bullets?

J. Final product.

- o What should the final product look like?
- o Should it be in volumes?
- o How long/short should it be?
- o Would a short report with attachments suffice?
- o Should it have a one/two pager with bullets?
- o Should the results be shared at an open forum?
- o How should diffusion/dissemination be done?

2943d:12/5/89:FAlejandro/875-4235
2664d:12/15/89

A.3. A.I.D. Program Design and Evaluation Methodology Report Number 7, Section 3.5 "Writing an Evaluation Scope of Work"

Original document on next page.

the questions to be examined by the evaluation and answered in the evaluation report is critical. These questions depend largely on the type of project to be evaluated, its stage of implementation, and the issues or problems that need to be resolved. However, A.I.D. requires that evaluations examine several broad concerns that are applicable to virtually any type of development assistance. These are the following:

-- Relevance. Are the development constraints the project was initially designed to address major problems that are germane to the current development strategies supported by A.I.D.?

-- Effectiveness. Is the project achieving satisfactory progress toward its stated objectives?

-- Efficiency. Are the effects of the project being produced at an acceptable cost compared with alternative approaches to accomplishing the same objectives?

-- Impact. What positive and negative effects are resulting from the project?

-- Sustainability. Are the effects of the project likely to become sustainable development impacts--that is, will they continue after A.I.D. funding has stopped?

These issues help focus evaluations on the major concerns of development managers. They force evaluators to go beyond mere examination of inputs and outputs and think about the more important questions of why the project is or is not having anticipated effects, what can be done to improve the overall performance of the activity, and what can be done to ensure that this investment produces enduring benefits. Attention to these issues makes the evaluation process useful in promoting policy dialogue.

3.5 Writing an Evaluation Scope of Work

AGENCY REQUIREMENT: A.I.D. requires that evaluation scopes of work contain the following sections: (1) activity to be evaluated, (2) purpose of the evaluation, (3) background of the activity, (4) evaluation questions, (5) methods and procedures, (6) team composition, (7) reporting requirements, and (8) funding. Reporting requirements must specify that the evaluation report will contain an executive summary stating the findings (evidence), conclusions, and recommendations of the evaluation. Compliance

26

with the scope of work is mandatory for final payment for contractor-conducted evaluations. (Additional requirements for each section of the scope of work are specified below.)

The scope of work is critical to obtaining the types of information needed. It must articulate as clearly and precisely as possible the questions managers need addressed through an evaluation. For the evaluation team, a good scope of work directs them to the key issues and problems of the activity to be evaluated. Experience clearly demonstrates that the time and effort required for writing a sound scope of work acceptable to host country as well as A.I.D. managers is easily justified by improvements in the quality, utility, and acceptance of the evaluation results.

A.I.D. officers are reminded that certification of the voucher for payment for contractor-conducted evaluations requires that the evaluation report conform to the conditions stipulated in the scope of work.

An evaluation scope of work must include the following sections:

1. Activity to be evaluated. Identify the activity or activities to be evaluated. For projects, this would include the authorization number, title, cost, life-of-project dates, and most recent project assistance completion date (PACD). Modify accordingly if only specific components or multiple projects are to be evaluated.

2. Purpose of the evaluation. Specify the reason(s) the evaluation is needed, key management issues to be addressed, who will use the results of the evaluation, and how the evaluation findings and recommendations will be used.

3. Background. Describe the history and current implementation status of the project, including the names of agencies and organizations involved, in no more than two pages.

4. Statement of work. Cite the specific questions the evaluation is to address using language that requires answers based on empirical evidence rather than subjective interpretation. Avoid vague terminology open to various interpretations. If terms such as "adequate," "sufficient," "relevant," and the like have to be used, specify what constitutes "adequate," "sufficient," or "relevant". State 5 to 10 questions in an order indicating their importance to management. Specify that the evaluation report is to provide empirical findings to answer these questions, conclusions (interpretations and judgments) that are based on the findings, and recommendations based on an

assessment of the results of the evaluation exercise. Also specify that the report is to provide lessons learned that may emerge from the analysis.

5. Methods and procedures. Specify the data collection and analysis methods to be used by the evaluation team. In many cases, the questions posed for the evaluation (and even their wording) indicate the types of methods that are suitable for the study. Funding for the evaluation also determines what types of research methods can be used. In short, required methods should be consistent with the evaluation questions and should be feasible given available funding.

Specify procedural matters in this section, including timing or phasing of the team's work; requirements for working 6-day weeks or holidays; preparatory work in the United States, such as document reviews or interviews; local conditions that may affect the study, such as logistics, communications, working hours, location of and access to pertinent data; and social or cultural factors that may influence interviewing procedures.

6. Evaluation team composition. Specify requirements for language proficiency, areas of technical competency, previous in-country work experience, and male/female team composition, as necessary. The nature of the activity and the focus of the evaluation questions should determine the composition of the evaluation team. In general, an evaluation team requires technical specialists as well as at least one evaluation specialist. A.I.D. strongly encourages the use of multidisciplinary teams. A social scientist with field research experience or a management specialist with development project experience can often serve as the evaluation specialist.

To avoid conflicts of interest, final or ex post evaluation teams must be composed entirely of individuals with no previous connection (from initial design through implementation) with the activity being evaluated. This includes both U.S. and host country personnel. Combining project staff with outside evaluators is encouraged for interim process evaluations. Outsiders working with project staff can quickly "get up to speed" on the objectives and present status of the project. Project staff benefit from the disinterested perspective outsiders bring to the evaluation. This also adds to the perceived legitimacy of the evaluation and facilitates more rapid use of the findings and recommendations.

Including A.I.D. direct-hire staff on evaluation teams who are not associated with the project, either from other Missions or from A.I.D./Washington, and who have the necessary skills and experience specified in the scope of work is encouraged whenever possible. Their participation serves as a direct link to Agency operations, expediting the transfer of experience and lessons learned from the evaluation.

7. Reporting requirements. Specify reporting requirements, including when draft and final versions of the evaluation report are due.

A.I.D.'s required format for evaluation reports is as follows:

-- Executive Summary

-- Project Identification Data Sheet (see Appendix A)

-- Table of Contents

-- Body of the Report

-- Appendixes

The executive summary states the development objectives of the activity evaluated; purpose of the evaluation; study method; findings, conclusions, and recommendations; and lessons learned about the design and implementation of this type of development activity. (See Appendix B for more detailed instructions.)

The body of the report should include discussion of (1) the purpose and study questions of the evaluation; (2) the economic, political, and social context of the project; (3) team composition and study methods (one page maximum); (4) evidence/findings of the study concerning the evaluation questions; (5) conclusions drawn from the findings, stated in succinct language; and (6) recommendations based on the study findings and conclusions, stated as actions to be taken to improve project performance. A page limit must be stated for the body of the report--usually 30 to 40 pages is sufficient--with more detailed discussions of methodological or technical issues placed in appendixes.

Appendixes should include a copy of the evaluation scope of work, the most current Logical Framework as pertinent, a list of documents consulted, and individuals and agencies contacted. Additional appendixes may include a brief discussion of study methodology and technical topics if necessary.

Reporting requirements in the scope of work may also include (1) a schedule that relates submission of drafts to completion of fieldwork and other research; (2) the stipulation that the evaluation team leader complete the abstract and narrative sections of the A.I.D. Evaluation Summary form; (3) responsibility of the team leader for submitting the final revised evalua-

29

tion report, with additional time allocated to the contract for this work; (4) translation of the report or portions of it; and (5) debriefings by the evaluation team or team leader with A.I.D. and counterpart staff.

8. Funding. Estimate the cost and source of funds for the evaluation. Include funds for in-country travel, translators, interviewers, and other additional costs beyond evaluation team expenses.

3.6 Backstopping the Evaluation: Mission or Office Responsibilities

3.6.1 Preliminary Planning

Because of the lead time built into A.I.D.'s contracting process, detailed planning for conducting an evaluation should begin soon after the decision to evaluate has been made. Less planning time is required when A.I.D. and host country staff conduct an internal, process evaluation. However, much of the planning for internal and external evaluations, particularly developing a clear scope of work with specific evaluation questions, is very similar.

Preliminary planning is necessary in order to (1) obtain host country approval of the timing and evaluation scope of work, (2) select qualified evaluators, (3) arrange for logistical and other support services, (4) ensure that the team reviews project documents and other pertinent literature and has access to other relevant data, (5) prepare for the Team Planning Meeting, and (6) alert officials and others associated with the project that they will be contacted by the evaluation team. The A.I.D. officer must set aside sufficient time for such planning and preparations if the evaluation is to succeed.

The following is a generic checklist of preliminary activities involved with planning the implementation of an evaluation. (The indicated lead times are only suggestive; actual lead times will depend on contracting requirements.)

1. As soon as the decision to evaluate has been made

   -- Assign responsibility for conducting the evaluation.

   -- Reach agreement with counterparts on the purpose of the evaluation, a schedule for the evaluation, and their role in the evaluation.

   -- Reserve funds for the evaluation.

A.4. A.I.D. Bureau for Research and Development Cross-Cutting Evaluation Themes

Original document on next page.

31

Attachment 3

S&T Cross-Cutting Evaluation Themes

1. **Cost-sharing**. S&T projects are rarely financed by S&T alone. We frequently depend on the financial and substantive participation of other parts of AID through buy-ins (which are the subject of topic 2). S&T also usually assumes participation of other non-A.I.D. organizations, which we call cost-sharing. In the context of evaluation, we need to examine this "non-A.I.D." participation. Cost-sharing is an important factor which contributes to project success. We should logically encourage cost-sharing as a means of mobilizing resources for our project objectives.

-- Is cost-sharing considered a part of the original project design? If not, should it have been?

-- Do project implementation instruments reflect requirements for cost-sharing? Did cost-sharing from the contractor, grantee or project participants have an effect, positive or negative, on the project?

-- Have outside parties provided resources for the project? Can we assess the efficacy and impact of this contribution if any?

2. **Buy-ins**. For many S&T projects, a substantial amount of a project's financing comes through buy-ins. We can conservatively estimate that the total buy-in contribution to S&T projects is in excess of $300 million. The use of this mechanism to support a major part of S&T efforts is becoming institutionalized and consequently essential to our oversight and accountability function.

-- Is there a buy-in component under the project? If yes, is that buy-in component described in project design? Is there a process for tracking activities financed through the buy-ins? Are there mechanisms in place to measure the substantive effects of buy-ins?

-- Have the buy-ins made a positive contribution to the project? Have the buy-ins complemented the S&T-funded portion of the project and enhanced the overall effect of the project?

-- Has the project changed its focus as a result of the buy-ins? Have project objectives changed to incorporate the buy-ins? Is achievement of the project's original objectives dependent or independent of the buy-ins? In what way?

-- What are the attributes of buy-in experiences which have worked well, e.g., attributes of success? Similarly, what has not worked well?

3. Sustainability. Institutionalization of S&T-supported interventions is critical to longer-term sustainability.

-- How is sustainability addressed by our project? Is sustainability addressed directly in project design? Is capacity building a part of the project? Is there verifiable progress on institutionalization from project efforts to date?

-- Does the project take into account the financial and institutional requirements to continue operation of the project activities after A.I.D. funding is terminated?

-- Can we assess the extent to which the project target audience is motivated to ensure long term sustainability?

4. Women in Development. Gender considerations are implicit in most A.I.D. projects. Agency policy is to emphasize and support the active participation and substantive contributions of women in the development process. As a result, project designs have been considerably improved in respect to language application and use. However, this has created a need for oversight of gender-related effects and issues.

-- Were gender issues discussed in the PP?

-- Were gender issues taken into account during project implementation?

-- Can project impact be disaggregated by gender? Do project data reflect gender considerations?

5. Peer Review. All projects having a cumulative cost over $100,000 for research must have a peer review plan as part of the PP. For projects having a research component costing less than $100,000 the Office Director may determine if peer review is needed.

-- If research is a major part of the project, does it have a peer review plan?

-- What is the extent of peer review under the project as implemented to date? Are peer review mechanisms documented? Has practice followed the agreed approach? Have peer review mechanisms met, in substance, the Bureau and Agency objective set forth in the guidance?

33

6. Information Collection and Dissemination. Dissemination of findings should be an important part of S&T projects. Project components addressing information collection and dissemination are often critical to project success.

-- Are the collection and dissemination of information identifiable components of the project? Were these components planned in the PP?

-- Does the project support a reference library or "data base"? What are the project's mechanisms for dissemination? Are project data being disseminated?

-- Has the project had an ascertained effect attributed to dissemination?

A.5. Project Identification Data Sheet

Original document on next page.

47

A.6. Sources of Information and Data for A.I.D. Evaluations

Original document on next page.

-76

Table 2. Sources of Information and Data for A.I.D. Evaluations

Internal Sources	External Sources	
Secondary and Contextual Data	**Secondary and Contextual Data**	
(Usually available in A.I.D./ Washington or at the USAID Mission)	(Often available at the USAID Mission, the U.S. Embassy, or from counterpart agencies, other donors, etc.)	
- A.I.D. Policy Papers (as pertinent) - CDSS and Regional Strategies - PIDs and Project Papers - Project files (monthly reports, prior evaluations, memos, letters, cables) - Project Papers and evaluations of similar A.I.D. projects - Sector Assessments	- Host country development plans and policies - Host country project records, reports - Private sector organizations' reports - Books, periodicals, and journals - Research studies - Other bilateral/multilateral donor project and program documentation - Informant reports/expert opinions - World Bank reports/studies	
Primary Data	**Primary Data**	
(Available at the USAID Mission or can be obtained through the host government)	(Often unavailable or inadequate, unless the project design specifically provides for collection during project implementation)	
- Sector survey data - Periodic data collected against key indicators - Host country, USAID Mission, contractor, and project beneficiary interviews	Observation	Participant or nonparticipant; could be developed as part of regular site visits by project staff
	Survey	Through interviews or by using structured questionnaires
	Other	- Case studies of before/ after conditions - Record-keeping by project staff in the form of journals, etc. - Group sessions to stimulate discussion on project experience and lessons learned

Source: Asia Near East Bureau Procedural Guidelines for Evaluation, February 1986, p. 12.

A.7. A.I.D.-Specified Executive Summary Outline

Original document on next page.

-758

APPENDIX B

EXECUTIVE SUMMARY OUTLINE

The executive summary is a two- to three-page, single-space document containing a clear, concise summary of the most critical elements of the report. It should be a self-contained document that can stand alone from the report. The summary should be written in such a way that individuals unfamiliar with the project can understand the project's basic elements and how the findings from the evaluation are related to it without having to refer to any other document.

1. Name of Mission or A.I.D./Washington Office initiating the evaluation, followed by title and date of full evaluation report.

2. Purpose of the activity or activities evaluated. What constraints or opportunities does the 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 the purpose and goal from the Logical Framework, if applicable.

3. Purpose of the evaluation and methodology used. Why was the evaluation undertaken and, if a single project or program evaluation, at what stage--interim, final, ex post? Briefly describe the types and sources of evidence used to assess effectiveness and impact.

4. Findings and conclusions. Discuss major findings and conclusions based on the findings as 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.

5. 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, including recommendations for approval/disapproval or for fundamental changes in any follow-on activities. Note any recommendations from a previous evaluation that are still valid but were not acted upon.

6. 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: how to tackle a similar development problem, key design factors, and factors pertinent to management and to evaluation itself. There may be no clear lessons. Do not stretch the findings by presenting vague generalizations in an effort to suggest broadly applicable lessons. If items 4-5 above are succinctly covered,

the reader can derive pertinent lessons. Conversely, do not hold back clear lessons even when they seem trite or naive. Address particularly the following issues:

-- 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 that suggest action beyond the activity evaluated and that need to be considered in designing similar activities in other contexts (e.g., policy requirements, procedural matters, factors in the country that were particularly constraining or supportive).

LP

A.8. Project Evaluation Summary (PES) Form

Original form on next page.

41

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 ____________
(ES# ____________)

B. Was Evaluation Scheduled In Current FY Annual Evaluation Plan?

Yes ☐ Slipped ☐ Ad Hoc ☐

Evaluation Plan Submission Date: FY ____ Q ____

C. Evaluation Timing

Interim ☐ Final ☐
Ex Post ☐ Other ☐

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 (000)	Amount Obligated to Date (000)

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director

Action(s) Required	Name of Officer Responsible for Action	Date Action to be Completed

(Attach extra sheet 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	Mission or AID/W Office Director
Name (Typed)				
Signature				
Date				

42

ABSTRACT

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

COSTS

I. Evaluation Costs

1. Evaluation Team Name	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) __________

-43

A.I.D. EVALUATION SUMMARY - PART II

SUMMARY

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:

44

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

45

Annex B

References

The Pragma Corporation. *Team Planning Meeting Reference Handbook.* Falls Church, Virginia.

WASH. November 1985. *Facilitator Guide for Conducting a Team Planning Meeting: WASH Technical Report Number 32.* Camp Dresser & McKee International, Inc.: Arlington, Virginia.

WASH. July 1988. "*Guide for Conducting a Debriefing: Supplement WASH Technical Report No. 32.*" Camp Dresser & McKee International, Inc.: Arlington, Virginia.

Development Assistance Committee, Expert Group on Aid Evaluation, 1985. *Evaluation Methods and Procedures: A Compendium of Donor Practice and Experience.* Organization for Economic Cooperation and Development.

Agency for International Development. April 1987. *A.I.D. Program Design and Evaluation Methodology Report Number 7: A.I.D. Evaluation Handbook.* Washington, D.C.: Agency for International Development.

Development Project Management Center, U.S. Department of Agriculture. 1984. *Making Technical Assistance Teams More Effective: The TPM Advantage.* Washington, D.C.: U.S. Department of Agriculture.