

The Evaluation Process in 10 Steps - a Guideline



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Foreword

Evaluations are becoming increasingly important in international development cooperation. External evaluations are used to provide accountability e.g. towards donors and – much more importantly – to learn from the experiences and assessments of external experts.

In order for evaluations to satisfy both the requirements of the implementing organisation and donors' requirements, it is important that the process is properly planned and supported and that the scheduled timescale is adequate.

When do I start planning? What constitutes high-quality Terms of Reference? How do I assess whether a report is good or bad? These are typical questions that arise during an evaluation process. These guides have been produced to provide employees and partner organisations of Brot für die Welt – Evangelischer Entwicklungsdienst (Bread for the World – Protestant Development Service) with practical assistance during the evaluation process.

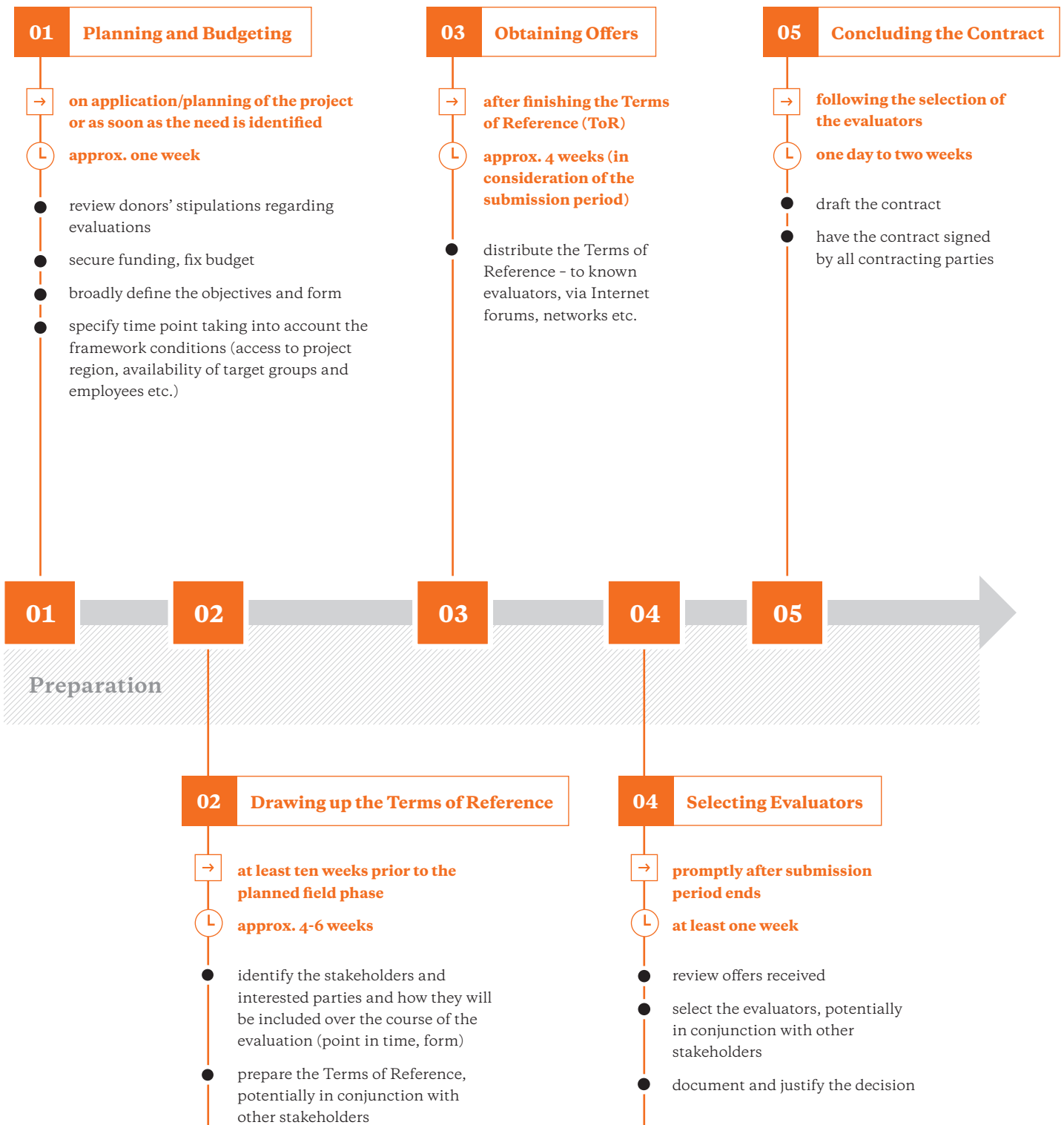
The evaluation process has been divided into ten steps. A guide has been produced for each of these process steps. The guides can be used independently of one another. There is also an introductory guide that contains basic information about the topic of evaluation. The data-collection step is performed by the external evaluators, meaning that there is no guide for this step.

Each guide explains what needs to be considered during this step, why it is important and who needs to be involved. The aim is to provide important tips and assistance as to how the individual steps can be implemented. The guides are specifically tailored to external evaluations, but they also contain relevant information for other evaluation forms. All guides are available in the five languages of communication of Bread for the World – Protestant Development Service (Bread for the World).

The guides and their attachments/tools should be understood as aids: there is no obligation to use them. For details on Bread for the World's stipulations regarding evaluation, please refer to the document "Requirements for implementation of project evaluations" in the enclosure to cooperation agreement. However, please note that other donors may have other stipulations that also need to be taken into account.

Bread for the World is always available for any questions and suggested improvements you may have.

Steps of an Evaluation

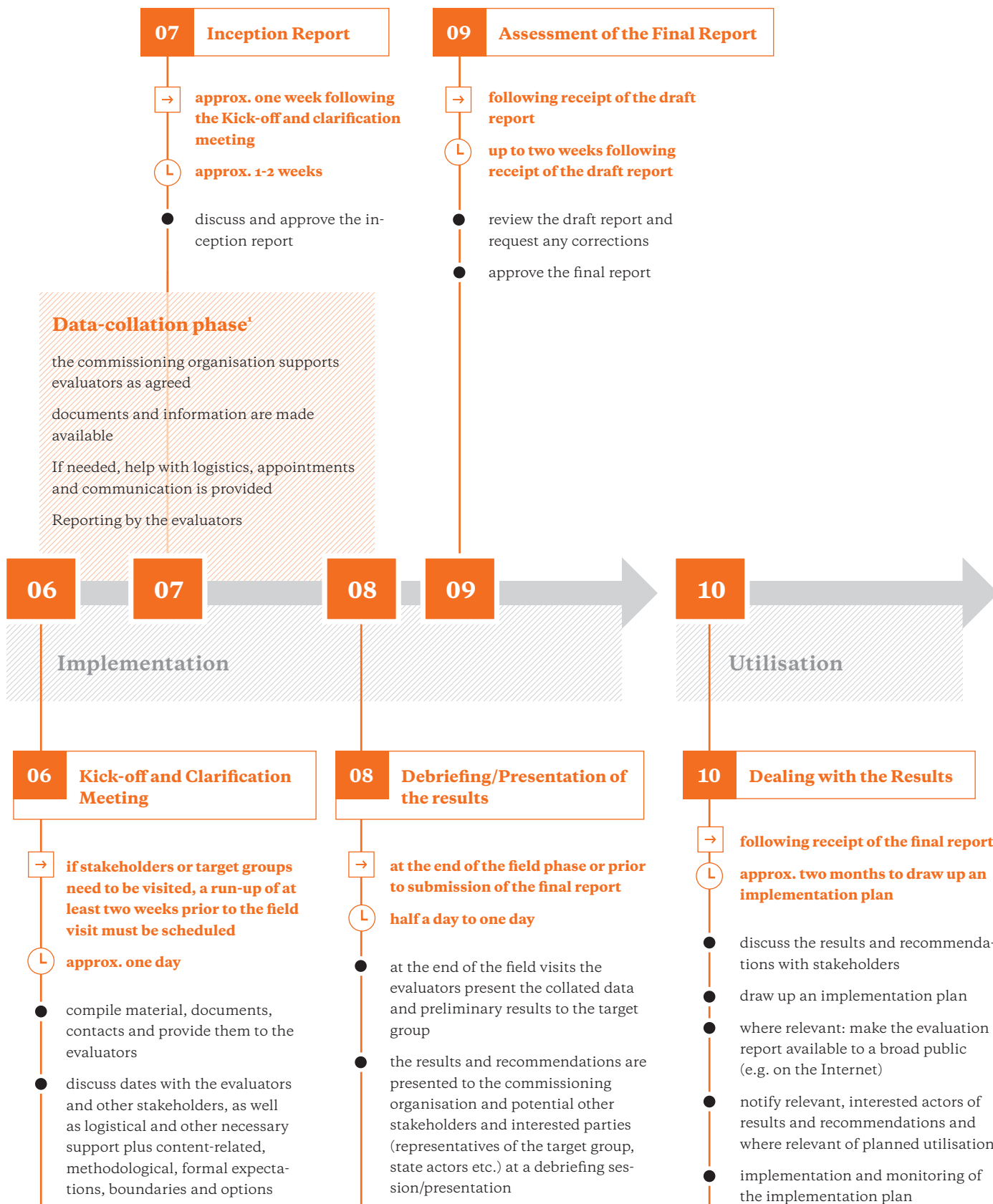


Legend

→ When

L Duration

¹ As the data is collected by the external evaluators, there is no guide for this step.



Evaluation - Introduction

Definition:

To evaluate means to assess, analyse, appraise.

In international cooperation evaluation is defined as “The systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability.

An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors.”

OECD-DAC Glossary¹

Why evaluation?

Evaluations have two key **objectives**:

- **Learning** by all stakeholders, i.e. target groups, partner organisations, Bread for the World, donors and other actors, often in conjunction with other institutions and organisations in development cooperation with whom the results will be shared, and
- **Accountability** towards donors (private donors, co-financers, etc.).

- a higher-level programme comprising multiple projects (e.g. all projects in a country)
- a (sector) policy
- an instrument, an approach to work
- an organisation or individual directorates or processes of an implementing organisation (e.g. PME, finance systems, HR or management structure).

What is evaluated?

The **object of the evaluation**, i.e. what is being evaluated, may vary substantially. Examples of this may include:

- one or more individual project component(s)
- a project (project evaluation)
- several projects with the same thematic thrust (overarching evaluation)

Who evaluates?

Evaluations may be conducted in different **ways**, i.e.

- as a **self-evaluation** by the people responsible for the implementation of the project/programme
- as an **internal evaluation**, i.e. by people who, although they work in the same organisation that is implementing or financing the project/programme, are not involved in its execution
- as an **external evaluation** by external, independent evaluators

¹ OECD DAC: Glossary of Key Terms in Evaluation and Results Based Management, 2009

Overview: Who will realise the evaluation and which points should be considered			
	Self-evaluation	Internal evaluation	External evaluation
Costs	...are relatively low as normally no fee for an external evaluator is incurred.	...are relatively low as normally no fee needs to be paid for an external evaluator.	...are relatively high because an external evaluator needs to be paid for, often including their transport and accommodation.
Non-monetary overhead (time, personnel etc.)	...can be high as at least one person from the project/organisation will need to be heavily involved in the preparation (methodology, questions etc.) and realisation.	...is relatively high for the implementing person, but the overhead is limited given that the person already knows the organisation and the framework conditions.	...are not necessarily lower as the Terms of Reference need to be drafted, the tender procedure organised and the selection made. Additionally, external evaluators often do not know the project and the stakeholders, meaning that a comparatively large amount of time needs to be invested in information, communication and organisation.
Possible negative effects to be considered	Depending on cultural conditions and prerequisites within the team, it may be difficult or even impossible for the team-members to engage critically with themselves and their work and any potential improvements.	Within the team care must be taken to ensure that the results and recommendations are related to the project/organisation and accepted in that spirit and not taken amiss from the person conducting the evaluation. Similarly, the neutrality of the person conducting the evaluation must be guaranteed.	Depending on the personality and prior knowledge of the external evaluator, it can be difficult for him/her to understand the project as a whole and its framework conditions. Similarly, it must always be ensured that all stakeholders are treated with the respect due and that anonymity is guaranteed.
Possible positive side-effects	The team-members can learn not only that they are responsible for success, but also that they can influence the design.	“Learning from each other” within the organisation and an exchange of ideas can be fostered, with the result that more of colleagues’ existing insights and knowledge can be fed into the implementation process.	An impartial outsider’s view can reveal new aspects, raise new questions, generate new ideas and by doing so provide new impetus for the project/organisation.
Products	Normally no formal evaluation report is produced. The way in which the results are documented must be agreed in advance.	The form of the evaluation report must comply with internal stipulations; if no stipulations exist, an agreement must be reached in advance.	An evaluation report that answers the questions set down in the Terms of Reference and complies with the contract and the OECD/DAC guidelines must be prepared.

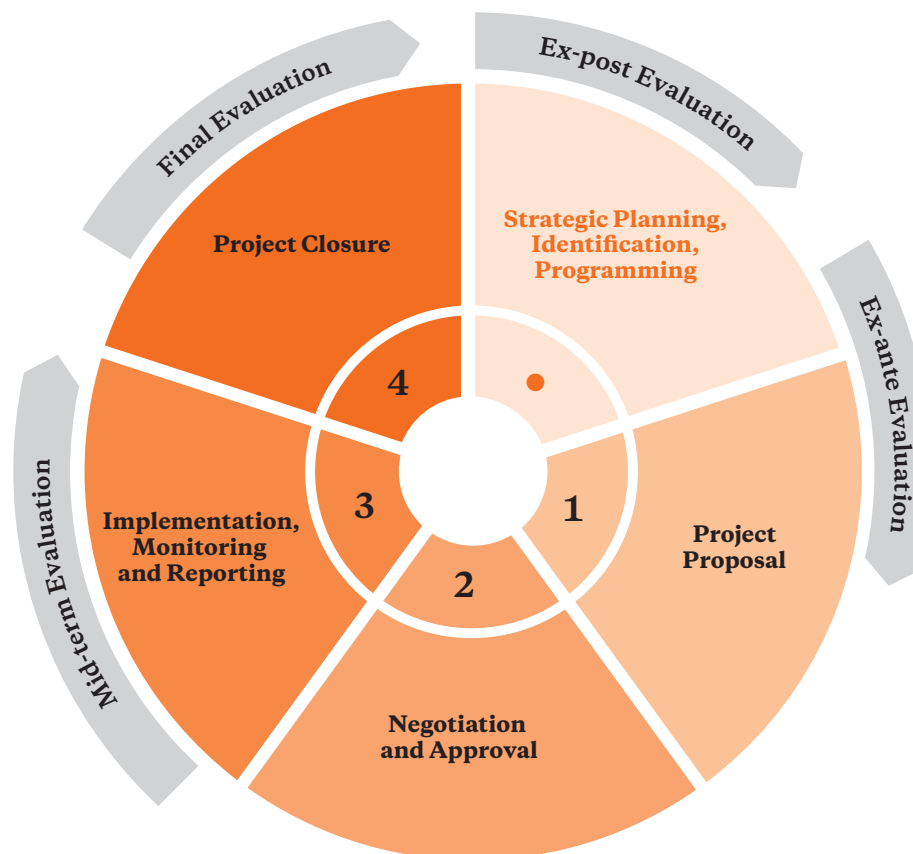
It is impossible to say **whether one type of evaluation is better than any other - organisations should opt for one or the other form depending on the donors' requirements, objectives and specifications.** The previous points should only be regarded as a decision-making aid.

When is the evaluation conducted?

The **point** at which an evaluation is conducted may vary; there are:

- **Ex-ante evaluations**, i.e. the framework conditions and prerequisites are compiled and evaluated before a project begins - generally to obtain a better picture of the situation and requirements;
- **Mid-term evaluations**, i.e. an evaluation is conducted at some point during the course of the project to ensure that everything is moving in the direction of achieving the defined objectives and to identify any potential for improvement. Additionally, the results can be used as a learning tool for a coming funding phase or similar projects;
- **Final evaluations**, i.e. to establish whether the defined objectives have been met at the end of a project (funding period), and which effects are already apparent in order to learn for a coming funding phase or similar projects;
- **Ex-post evaluations**, i.e. once a certain amount of time has passed since the end of the project the changes effected by the project and also their impact beyond the end of the project implementation are surveyed.

When to Evaluate - the Project Cycle



How is the evaluation realised? - Quality standards

Evaluation standards describe how the process of an evaluation should be structured to achieve a high quality. Their principle purpose is to act as an orientation for the realisation, selection process and appraisal of evaluations.

The most important standards² are:

- **Impartiality and independence** - For external evaluations in particular the external evaluators need to be as independent of the commissioning organisation, the target group and any other stakeholders as possible in order to avoid conflicts of interest. Also, the evaluation should present stakeholders' and target groups' different perspectives and the assessments should be made fairly and as far as possible uninfluenced by personal feelings.
- **Credibility of the evaluators** - those conducting the evaluations should be methodologically and technically competent, impartial and independent in order to attain the optimum level of credibility and acceptance for the evaluation results.
- **Precision of the data** - an evaluation should produce and communicate credible information and results relating to the evaluation object and questions of the evaluation. Key ways of guaranteeing this are:
 - to deploy adequate methodologies,
 - to take account of the perspective of all relevant stakeholders,
 - to collect sufficient data for a generally valid statement and appraisal to be made.
- **Participation** - As far as possible all stakeholders in a project/programme - target groups, implementing organisations, donor institutions, other actors - need to be listened to and considered - from planning through execution up to the implementation of the recommendations of the evaluation.
- **Usefulness/Utility** - An evaluation should address the objectives of the evaluation and the users' information requirements. Evaluation reports should contain all necessary information and should be easy to understand and comprehensible.

- **Feasibility** - an evaluation should be planned and conducted in a realistic, thoughtful, diplomatic, and cost-effective manner.
- **Fairness** - in the course of the evaluation all people and groups involved should be treated with respect and fairness; the safety, dignity and rights of the people involved in an evaluation must be protected. The evaluation results should also be made available to all stakeholders and target groups to the extent possible.

Cross-cutting issues

Cross-cutting issues are topics that run through the work of the commissioning organisation like a red thread and consequently also through the evaluation of a project/programme/organisation. Cross-cutting issues should be taken into consideration as far as possible - depending on the investigatory interest, framework conditions and any stipulations from donors or stakeholders.

Gender, environmental impact and inclusion are cross-cutting issues for Bread for the World. This means for example that an evaluation should be able to answer the question as to how the intervention(s) investigated will impact women, men and people with a disability. As regards the cross-cutting issue of environmental impacts, the question as to the extent to which the measures being evaluated will contribute to the protection and maintenance of the natural environment should be investigated during the evaluations. To achieve this, these cross-cutting issue should be consistently referred to in the Terms of Reference (ToR).

² Based on the OECD-DAC quality standards for development evaluations and the DeGEval evaluation standards. Reference documents with further explanations, cf. link list.

Notes

In all cases, it should be ensured that the evaluation standards are complied with and the cross-cutting issue taken into account at every step from the very outset - i.e. when formulating the Terms of Reference through to the preparation of the implementation plan - to ensure that the quality of the evaluation corresponds to expectations and the interests of all stakeholders are considered.

Links

on self-evaluation

IDRC: Enhancing Organizational Performance. A Toolbox for Self-Assessment. 1999. (English)

<https://idl-bnc-idrc.dspacedirect.org/handle/10625/22953>

on external evaluation

Recommendations for Clients of Evaluations (English)

<http://www.degeval.de/publikationen/clients-of-evaluations>

Austrian Development Agency: Guidelines for Project and Programme Evaluations. 2009. (English)

<https://www.oecd.org/development/evaluation/dcdndep/47069197.pdf>

on evaluation standards

DeGEval: Standards for evaluation. 2008. (English)

http://www.degeval.de/fileadmin/user_upload/Sonstiges/STANDARDS_2008-12_kurz_engl.pdf

OECD-DAC: Principles for Evaluation of Development Assistance. 1991. (English)

<http://www.oecd.org/development/evaluation/50584880.pdf>

OECD-DAC: Quality Standards for Development Evaluation. 2010. (English)

<http://www.oecd.org/development/evaluation/qualitystandards.pdf>

01

Step 01 Planning and Budgeting

Key points in brief:

1. The evaluation plan is a component of project planning and budgeting.
2. The duration of the evaluation process needs to be considered and its commencement scheduled at an early stage.

Background

Evaluations need to be considered as early as the project planning stage in order to ensure sufficient time for preparation, realisation and financing.

The following aspects need to be assessed when planning a project and deciding whether an evaluation should be conducted:

- Are there any stipulations (e.g. from donors) as to which projects need to be evaluated and when?
- If any of the following points applies, it makes sense to conduct an evaluation:
 - the project is an innovative project and the feasibility or effectiveness of the approach used need to be reviewed after a certain period,
 - the framework conditions are uncertain and are subject to extreme change, meaning that the feasibility or effectiveness under the altered conditions need to be reviewed,
 - the project is to be expanded,
 - the project is of particular strategic or political significance

The need to conduct an evaluation may also arise during the course of the project, for example if

- substantial delays occur,
- objectives will not (foreseeably) be achieved,
- key framework conditions have changed.

When planning the evaluation period it is important to remember that both preparation - particularly reaching agreement with the stakeholders (including the target groups) when drawing up the Terms of Reference - and also realisation and corresponding tasks will take time. Similarly, the availability of target groups needs to be taken into account. For example it is unlikely that farmers will be able to support the evaluation during the harvest period.

An item for the evaluation must also be included in the budget. Depending on the size of the project a rough estimate of how many days the evaluators will require and what costs (e.g. travel costs) will be incurred may be made (see checklist at the end of the document).

Function within an evaluation

The purpose of drawing up a specific plan and making adequate provision in the budget is to ensure that the evaluation can be conducted at the right time, with adequate methods and in the defined scope and the questions asked can be answered.

In any event the process of drawing up the ToR should be started in good time in order to ensure that the evaluation can be concluded by the scheduled point in time (see overview “Steps of an evaluation”).

Approach and involved parties

As a rule, the project implementing organisation draws up the budget for the evaluation. It also needs to be ensured that the people in the organisation who are responsible for the evaluation have enough time to prepare the evaluation content and to support the evaluation process.

The evaluation plan should be agreed with donors and other stakeholders in the project.

Notes

The planning phase includes a **provisional budget prior to the start of the project**. This plan will need to be modified subsequently during the process of drawing up the Terms of Reference (ToR) or if framework conditions change, additional questions arise, evaluator teams are deployed etc.

Checklist

The following issues need to be considered when planning the budget for an evaluation:

- | | |
|---|--|
| <input type="checkbox"/> Should the evaluation be conducted by one or several evaluators? | <input type="checkbox"/> Will additional costs be incurred due to e.g. taxes such as VAT? |
| <input type="checkbox"/> Is an international evaluator required? | <input type="checkbox"/> Will the costs of insuring the evaluator need to be covered? (e.g. for field trips to hazardous areas) |
| <input type="checkbox"/> Which areas/project regions need to be included in the evaluation and possibly also visited? | <input type="checkbox"/> Will the evaluation be translated into one or multiple languages? |
| <input type="checkbox"/> Will the evaluation involve one or more field trips? | <input type="checkbox"/> Will rooms have to be rented for group discussions or the presentation? |
| <input type="checkbox"/> Roughly how many (evaluator) working days will be required? | <input type="checkbox"/> Will travel costs and/or refreshments for representatives of target groups, government representatives, experts etc. have to be paid? |
| <input type="checkbox"/> What is the average local and/or international daily rate for evaluators? | <input type="checkbox"/> Will translators be required for the data collation? What costs will this incur? |
| <input type="checkbox"/> Roughly what costs will be incurred by transport, accommodation, visa, other logistics? | |

02

Step 02 Terms of Reference (ToR)

Key points in brief:

1. ToR provide the reference framework for the evaluators and are enclosed as an attachment to the contract.
2. ToR should be created by the commissioning organisation in consultation with other stakeholders.
3. The evaluation questions should take into account both the five OECD DAC criteria and cross-cutting issues.

According to the OECD-DAC³ Terms of Reference (ToR) are a

“Written document presenting

- the purpose and
- scope of the evaluation,
- the methods to be used,
- the standard against which performance is to be assessed or analyses are to be conducted,
- the resources and
- time allocated,
- and reporting requirements.”

³ OECD DAC
Glossary of Key Terms in Evaluation and Results Based
Management, 2009

Background

ToR are a description of the performance to be rendered for an evaluation and constitute the framework of reference for evaluator(s).

In accordance with international quality standards, evaluations need to assess the respective subject matter under the five DAC criteria (relevance, effectiveness, efficiency, sustainability and impact). For this reason, it is helpful to formulate questions relating to all five criteria in the ToR. Of course, additional questions may also be formulated.

Function within an evaluation

Participatory (see below) development of the ToR is a key process towards discussing and clearly defining the investigatory interest of the various stakeholders (i.e. what should be found out?). This enables all stakeholders to clarify what needs to be done under what framework conditions (available time, financial resources, size of target group, etc.) and with what objective.



Approach and involved parties

ToR are usually produced by the commissioning organisation. To obtain maximum benefit from the evaluation, as many stakeholders in the project as possible (e.g. representatives of the target group, the partner organisation, the funding organisation) and, if it appears useful, other actors (e.g. representatives of a relevant local ministry or public authority or specialist organisations) should be involved in developing the evaluation questions. This increases openness and interest in the results as well as the willingness to provide information to the evaluators. If not all interested stakeholders are involved in developing the ToR, they should at least be given an insight so they can keep abreast of matters. This serves to allay any fears prior to the evaluation.

CSS (consultancy and support services) can support the creation of the ToR.

Evaluators are not involved in the creation of the ToR. However, the ToR should always be discussed during the kick-off and clarification meeting and may be amended subsequently (any amendments will be recorded in the inception report or a protocol). The interests of the commissioning organisation should be paramount in the formulation of the ToR, which means that the ToR should not be drafted to align with the competences of pre-selected evaluators.

Cross-cutting issues must be included in the ToR depending on the requirements of the commissioning organisation or donors in order for them to be included in the evaluation.



Notes

- Questions regarding the management of the implementing organisation can also be included in the evaluation questions during a project evaluation. **Caution:** Questions regarding the organisation (management, organisational development etc.) require specific expertise on the part of the evaluators which needs to be taken into account when drawing up the key qualifications in the ToR.
- In some cases the stipulations of the commissioning organisation and/or the donors may have to be taken into account (e.g. minimum components of the final report). This may be noted in the ToR and details discussed at the kick-off and clarification meeting (see also attachment “Sample structure for the evaluation report” in guide “6. Kick-off and clarification meeting”).
- The evaluators may be instructed via the ToR to prepare an implementation plan with all recommendations made in the final report. Any additional costs that may be incurred must be planned for. **Important:** The implementation plan per se is not a component of the final report that the evaluator is required to draw up.
- It should be assessed whether it makes sense to work with evaluator teams. This may be the case if specific linguistic or technical knowledge is required. Representation of men and women in the team must be ensured. This is absolutely essential if for example men are not permitted to visit women’s groups in certain cultures. It is also desirable for international and local evaluators to work together because the exchange of knowledge and experience about evaluation methods and cultural specifics can enhance the quality of the evaluation. If an evaluation team is required, this should be noted in the ToR.
- Gender as well as the other cross-cutting issues such as environmental impact and inclusion should be taken into account depending on the objective and framework conditions of the subject matter of the evaluation or the internal regulations of the commissioning organisation or donor. Questions about the cross-cutting issues may be integrated into the questions under the various DAC criteria. The aim of including cross-cutting issues in the ToR is for statements on gender, inclusion and environmental impact to feed into conclusions, recommendations, lessons learned etc.
- Questions about previous projects may be included in evaluations of ongoing projects. The primary aim of this is to get information regarding their long term impact and sustainability.
- To enable maximum participation, the final report (or at least the summary) should be available in the respective language of communication and possibly also in the local language. This should be included in the ToR.
- There are a number of ways of handling the planned budget in the ToR (see table on next page)

- The ToR should refer to the fact that the evaluation questions - wherever possible and practical - should be answered differentiated by age, gender and other criteria such as socio-economic affiliation, disability etc.

Options for handling the planned budget in the ToR:			
Option for handling the budget		Advantages	Disadvantages
1	<p>Make no reference to the evaluation budget in the ToR</p> <p><i>→ In this case upon inquiry the evaluators can be informed e.g. by phone regarding the maximum amount</i></p>	In their offer, prospective evaluators provide a proposal as to how the questions in the ToR can best be answered and provide a corresponding budget. The offers tend to be more heterogeneous.	The offers may substantially exceed the planned budget.
2	<p>Specify the maximum available budget in the ToR</p>	This information can provide the prospective evaluators with a guideline so that their offers do not exceed the maximum limit.	There is a risk that all offers exhaust the specified budget such that the cost estimates are not necessarily based on the actual input required.
3	<p>Include a detailed cost plan in the ToR</p>	The prospective evaluators submit offers that correspond exactly to the expectations of the commissioning organisation.	The evaluators only have limited scope to structure the evaluation (methodology and procedure).

Links

World Bank (ed.): Writing Terms of Reference for an Evaluation: A how-to Guide. 2011. (English)

http://siteresources.worldbank.org/EXTEVACAPDEV/Resources/ecd_writing_TORs.pdf

Canadian International Development Agency: How to Perform Evaluations - Model TOR. 2000. (English)

<http://www.oecd.org/derec/canada/35135190.pdf>



Download Word document

Sample structure

The text below the headings provides tips for commissioning organisations that are intended to assist in developing these points. This text (i.e. the information provided in grey) must be replaced by text that refers to the specific evaluation. Note: Not all points/questions need to be included in the ToR. These questions are for orientation purposes only!

Terms of Reference for evaluations

1. Introduction

Examples:

- Brief profile of the commissioning organisation
- Description of the subject matter of the evaluation (i.e. the project, the programme, the project component or instrument), the objective of the project/programme/etc., the geographic coverage, the target group/s, the organisations involved in the project, institutions, groups, timescale etc. to be evaluated
- Other stakeholders relevant to the evaluation (organisations, partners, networks, governmental bodies etc.)
- Presentation of the relevant environment, notable features or difficulties
- Funding source
- When did the last evaluation take place?

Why?

The evaluators must be able to identify what is to be evaluated and against what background. Additionally, the evaluators will be given an insight into the environment and placement of the project so that they can assess who has interest in and influence over the project. No details need to be provided here as these can be discussed extensively during the preparation of the evaluation.

2. Cause and objective of the evaluation

Here the direct investigatory interest and the motivations underlying the evaluation should be explained.

Examples:

- Why should the evaluation be performed?
- What will the results be used for?
- Who will use the results?
- Why at this point in time?
- Who caused the evaluation to be performed?

Why?

The evaluators need to understand the motivations and objectives for the evaluation in order to tailor their offers and later their workload accordingly.

3. Key questions

Here specific questions are formulated that the evaluators should respond to. Gender or other cross-cutting issues such as environmental impact and inclusion of people with a disability should be taken into account in the evaluation questions.

Why?

It must be ensured that the evaluators meet the expectations; the final report must answer the questions set out here. This is one of the key quality criteria for the evaluation.

⇒ Relevance

Are we doing the right thing? This criterion measures the extent to which the objectives of a project/programme align with the needs of the beneficiaries and strategies (policies) of partners and donors.

⇒ Effectiveness

Are the objectives of the project/programme being achieved? This criterion measures the extent to which the objectives of a project/programme will (foreseeably) be achieved.

⇒ Efficiency

Will the objectives be achieved in an economically viable manner? This criterion measures the adequacy of the deployed resources in relation to the achieved results and effects.

⇒ Impact

Will the project/programme contribute to the attainment of overall development goals? This criterion assesses whether and to what extent the project/programme will contribute towards the attainment of the intended primary and secondary long-term objectives under development policy. Additionally, whether and, if so, which other positive and negative changes have occurred will be investigated.

⇒ Sustainability

Will the intended positive changes (foreseeably) have a lasting effect? This criterion assesses the extent to which the positive effects of the development intervention will continue beyond the end of the project period.

Additionally, an organisation's or programme's processes, procedures and standards or M&E system may be assessed during an evaluation.

4. Evaluation design/methods

This point should include a short description of the minimum requirements regarding the methods and evaluation design. Normally reference is made here to the fact that the OECD-DAC standards need to be taken into account.

Additionally, there should be a few words on which stakeholders (partners, target group, other organisations, government bodies, donors etc.) need to be included in the evaluation and which documents (project proposal, progress reports etc.) need to be considered.

Why?

This tells the evaluators which quality standards definitely need to be considered when preparing the offer and complied with when performing the evaluation, as well as which quality standards they are bound by given that the ToR are an integral component of the contract.

The information about stakeholders and documents helps the evaluators estimate how much time they will need for the evaluation. However, it should be noted that this is the “minimum information”; if other stakeholders are deemed important during the evaluation, these should also be included.

Note: There is no need to mention methods for the evaluation at the ToR stage as these could and should be proposed and supplemented by the evaluators. However, it is certainly possible to propose methods that definitely must be used.

5. Process of the evaluation/time frame

A rough time frame should be set out here that includes when the evaluation is to take place, by when certain interim results must be presented and the point at which the evaluation should be completed.

Why?

The evaluators need to be able to identify the time stipulations and whether they can supply the specified products within the given deadlines.

6. Expected products

This point should set out which products with what content and features the evaluators are required to submit (language, formal requirements etc.):

Examples:

- Inception report (see also the guide on the inception report)
- Interim report (depending on the scope of the evaluation)
- Draft of the final report
- Final report¹ (e.g. maximum number of pages, language)

Why?

The evaluators are able to assess the work required and are contractually obliged to deliver the products that need to comply with the specified features as the ToR are a contractual component.

7. Key qualifications of the evaluators

This point should define the qualifications, previous knowledge and experience of the evaluators – as regards technical expertise, linguistic skills, methodology, cultural and regional specifics. A team is not necessarily required, but recommended in many cases.

Why?

The evaluators are aware of the expectations and requirements of the commissioning organisation and are thus able to assess whether they are able to apply or whether (an) other evaluator(s) should be involved to guarantee that any gaps in skills and experience are addressed.

¹ For a sample structure see “Sample structure of final report” at the end of guide “6. Kick-off and clarification meeting”.

8. Content of the evaluator's offer

This point should specify what an evaluator's offer should contain, e.g.:

- CVs of all evaluators involved
- Technical/specific proposal:
 - Technical/specific proposal:
 - short explanation and justification of the methods to be deployed; here the commissioning organisation – depending on the investigatory interest – may request a specific paragraph that sets out how relevant cross-cutting issues need to be taken into consideration
- Financial proposal
 - Complete cost estimate that includes both, the fee as well as any ancillary costs to be incurred, such as transport, accommodation, taxes, fees and costs of workshops in the scope of the evaluation etc.
- Additionally, information should be provided here regarding
 - by when (submission deadline),
 - in what form (digital or by post),
 - to whom (e-mail address or/and address with details of the responsible person)the offer may be submitted in order to apply for the abovementioned order/evaluation as described.

Why?

The evaluators know what they need to submit so that the commissioning organisation receives comparable and informative offers. If prospective evaluators have any questions, they know who they can contact.

03

Step 03 Obtaining Offers

Key points in brief:

1. As a rule at least three offers should be obtained.
2. The offers will be obtained on the basis of the ToR.

Background

Several offers for an evaluation should always be obtained.⁴ Often offers from external evaluators will open up completely different ways of looking at things, raise new questions and/or suggest different methodologies. Offers usually include a content-related/methodological part, a financial estimate and their CVs that show what prior knowledge the evaluators have. This also enables their independence to be assessed.

Function within an evaluation

Offers should be obtained once the Terms of Reference have been drawn up, i.e. the qualifications needed to conduct the evaluation have been established. The Terms of Reference are the foundation on the basis of which prospective evaluators can submit an offer. Obtaining offers enables both financial estimates and content-related/methodological approaches to be compared. Similarly, it should be ensured that the evaluators are independent and unbiased and have the requisite technical expertise.

Approach and involved parties

The commissioning organisation is usually responsible for obtaining offers.

One option is to target the invitation for offers to evaluators and consulting firms that are already known to the tendering organisation, were recommended by other organisations or that were found via targeted Internet research.

Other options for obtaining offers include advertisement e.g. in newspapers or magazines, publication on the Internet or via an e-mail distribution list for networks of freelance evaluators and consulting firms.

If CSS consultants (if available) have contacts in the evaluator sector, they can support the process and provide contacts.

⁴ The Implementing Guidelines of Bread for the World - Protestant Development Service stipulate that the project partner is obliged to obtain at least three quotations for any purchases above €400.

04

Step 04 Selecting Evaluators

Key points in brief:

1. The selection of evaluators should be a participatory, transparent process following pre-defined criteria.
2. Data-protection provisions should be complied with when handling CVs.

Background

Once the offers have been received, the external evaluators are selected. This selection should be as participatory as possible in order to take into account the full range of perspectives at this stage, too. It is important to set down criteria prior to the actual selection that can be used as a basis for assessing the offers and making the selection. In order to guarantee that the contract is awarded in a transparent manner, the assessment and the reasons for selection or rejection must be documented. This also enables evaluators to be given feedback on their offer on request and also ensures accountability to auditors (see “Sample form for the selection of evaluators” at the end of this document).

Function within an evaluation

Both the evaluator’s experiences and knowledge as well as the proposed methods are key factors for the credibility and practicability of the evaluation results, which is why a careful analysis is needed of whether the requirements and expectations formulated in the ToR are (at least mostly) satisfied.

Approach and involved parties

When selecting the evaluators as many of the parties affected by the evaluation should be involved so that different perspectives are taken into account, which can ultimately also have the effect that the results are accepted more easily.

As the offer usually includes the evaluator’s CV, it needs to be ensured that data-protection requirements are satisfied and the information is not passed to third parties outside the project.

During the selection process the commissioning organisation has the opportunity to negotiate with the evaluators regarding the offer submitted (e.g. number of evaluator days, timescale etc.).

It may make sense to invite one or two evaluators to an interview if both offers appear interesting or if it is difficult to reach a decision based on the written offers alone.

See also the tips in guide “2. Terms of Reference” on the selection of evaluator teams.



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Notes on the use of the form for selecting evaluators

The following form can be used for documenting the decision of a selection process and the reasons therefore.

- This is an example that should be adapted for the specific evaluation, i.e. criteria can be deleted and new ones added, and particularly important criteria should be given a higher weighting, or can be split.
- Use of the below form is not mandatory

When is it expedient to use the form?

The form can help to compare assessments e.g.

- if several persons are involved in the selection process. All selectors can read the offers submitted and then use the form for an assessment. It is important that all persons involved in the selection complete the form alone so that their own assessments can be exchanged with others.
- if a large number of offers have been submitted. The form can be used to compare the various offers with one another without losing sight of the bigger picture.

How is the form structured?

First of all general information is entered into the upper section, so that at the end it is still clear which evaluation belongs to which assessment sheet.

The second section includes five criteria which could result in exclusion from the selection procedure if they are not met.

The third part contains a table that enables the quality of the submitted offer to be assessed.

The assessment is subdivided into two main criteria:

1. **The assessment of the evaluator** in terms of evaluation experience, thematic and regional experience etc. In order to document different quality levels, a points system is introduced at this stage (for instance 0 points indicate a very low level of qualification, and the respective highest score, a very high level). The maximum score varies as certain criteria may have a **higher significance or weighting** than others.
2. **The assessment of the offer** (if available) for the evaluation. This follows the same pattern as the assessment of the evaluator.

At the end of the process the points are added together and a total score for each offer is produced. These assessments can be compared with other people who have also completed the form.

The comments column can be used in various ways if people want to note certain points that were particularly striking (e.g. a wide-ranging methodology).

At the bottom there is an option for the person completing the form to enter their name, date and their role if they so wish.



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Sample form for selecting evaluators

Project: _____

Period: _____

Evaluator/consultancy: _____

Was the bid received within the deadline?	<input type="checkbox"/> Yes	<input type="checkbox"/> No ► rejection
Is the offer complete?	<input type="checkbox"/> Yes	<input type="checkbox"/> No ► rejection
Is the evaluator free of vested interests? Are they independent and unbiased?	<input type="checkbox"/> Yes	<input type="checkbox"/> No ► rejection
Has the evaluator attracted negative attention in the past, or have they been negatively assessed (by Bread for the World or other organisations)?	<input type="checkbox"/> No	<input type="checkbox"/> Ja ► rejection
Does the offer fall within the intended financial scope of the assignment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No ► rejection

Assessment of evaluator/team

Criterion	Weighting	Assessment	Comment/ reasoning
... can provide credible evidence of the necessary technical knowledge and experience.	up to 60		
... can provide credible evidence of knowledge of evaluation methods.	up to 50		
... can provide credible evidence of knowledge and expertise in dealing with the relevant cross-cutting issue(s).	up to 20		
... speaks the requisite language(s)	up to 25*		
... can provide credible evidence of knowledge and experience in the region.	up to 15		
... can provide credible evidence of social skills and experience in handling target groups and partners.	up to 20		
... meets preferences for personal characteristics (e.g. gender).	up to 10		
... can conduct and complete the evaluation within the scheduled timescale.	up to 10*		
Subtotal of assessment of evaluator/team	max. 220		

* may be a rejection criterion

Assessment of bid

Criterion	Weighting	Assessment	Comment/ reasoning
... is appropriate, i.e. the concept and the working plan correspond to stipulations and expectations.	up to 150		
... considers local resources (where possible).	up to 30		
<i>Subtotal for assessment of bid</i>	max. 180		
TOTAL	max. 400		

Assessed by: Name: _____

Role: _____

Date: _____

05

Step 05 Concluding the Contract

Key points in brief:

1. The ToR and offer should be appended to the contract as scheduled.
2. The contract should bindingly stipulate what each party is required to deliver, and how and by when.

Background

The contract is a legally binding document. By signing the contract, the contracting parties accept the terms and obligations set down within it.

Many organisations have templates for the contract that merely need to be adapted to the specific assignment. This is incredibly helpful because the relevant laws of a country need to be considered and certain clear legal formulations must be used when drafting a contract. In the case of international contracts, if for example an evaluator is contracted from abroad, it must be ensured that the place of jurisdiction, i.e. the legal system on which the contract is based, is specified.

Both the Terms of Reference and the evaluator's offer should be appended to the contract and be an integral component of it. Provisions relating to e.g. billing that also need to be considered may be appended.

Function within an evaluation

The signing of the contract defines clearly

- what,
- by when
- and how (form, features)

needs to be delivered by the commissioning organisation and the evaluators and what obligations each party needs to satisfy. This gives the contracting parties clarity about the assignment and their rights and obligations.

Approach and involved parties

The contract is concluded between the commissioning organisation (a legal entity) and the contractor (legal entity or natural person) - in this case the evaluator. In the event of a subcontracting arrangement with several external evaluators, it is essential that the party responsible for the submission of the report is clearly stipulated.

As with all contracts, this contract, too, should be produced and signed in duplicate. The commissioning organisation retains one copy, and the evaluator receives the other.

Checklist for contract creation

Points that should be covered by an evaluation contract:

- | | |
|--|---|
| <input type="checkbox"/> Name, address and contact details of the commissioning organisation(s) | <input type="checkbox"/> Contract term - start and finish of the contract term |
| <input type="checkbox"/> Name, address and contact details of the contractor | <input type="checkbox"/> Any subcontracts, i.e. the commissioning organisation can specify whether the contractor may subcontract aspects of the performance of the contract to third parties. This is important particularly to ensure that personal and publication rights are upheld |
| <input type="checkbox"/> Subject matter of the contract (e.g. evaluation of project xy that was implemented between MM.YYY to MM.YYY in yx) | <input type="checkbox"/> Insurance - indication of whether the contractors and any items of equipment are insured via the commissioning organisation, or whether the contractors themselves need to take out insurance |
| <input type="checkbox"/> Expected products (e.g. inception report, draft of the final report, final version of the report etc.) with deadline | <input type="checkbox"/> Provisions relating to the responsibilities for ensuring ability to work (e.g. obtaining visas etc.) |
| <input type="checkbox"/> Rights to products, e.g. that the report and the results may only be published by the commissioning organisation | <input type="checkbox"/> Consequences for failure to comply with the stipulations of the contract, whereby a distinction needs to be made between non-performance of the contract due to third-party fault or force majeure or alternatively fault on the part of the contractor |
| <input type="checkbox"/> Confidentiality - including beyond the end of the contract - i.e. <ul style="list-style-type: none"> - the personal rights of interview partners must be guaranteed (e.g. by anonymising statements), and also - documents need to be treated in such a manner that they cannot be viewed by third parties, - information obtained is not passed to third parties without the expressed consent of the commissioning organisation. | <input type="checkbox"/> Reference to the fact that any contractual amendments or other arrangements need to be in writing to have legal validity |
| <input type="checkbox"/> Contract sum divided into <ul style="list-style-type: none"> - invoiceable fee, with details of any taxes accruing - costs (e.g. travel costs) that will be reimbursed if the corresponding receipts are presented (possible reference to mandatory stipulations or maximum amounts) | <input type="checkbox"/> Signatures, whereby it needs to be ensured that signatures for companies and organisations who are contracting partners must be provided by a person who has commercial power of attorney |
| <input type="checkbox"/> Payment modalities: Deadlines and prerequisites for (partial) payments, whereby the point at which the evaluator incurs costs e.g. due to travel needs to be taken into account <p>Note: The final payment should only ever be made after approval of all agreed products (e.g. final report) by the commissioning organisation.</p> | <input type="checkbox"/> Appendix: ToR, offer and any other provisions such as travel cost policies, code of conduct |

06

Step 06 Kick-off and Clarification Meeting

Key points in brief:

1. The kick-off and clarification meeting is a discussion between the commissioning organisation and the evaluators before the start of the evaluation.
2. Objectives, stipulations, opportunities and boundaries of the evaluation can and should be discussed at this meeting.
3. Prepare a results protocol!

Background

The kick-off and clarification meeting is a discussion between representatives of the commissioning organisation and the contracted evaluators in order to discuss the assignment in detail, provide an opportunity for queries to be answered and to hand over initial information such as basic documents and contact details, potentially also from representatives of the target group or other stakeholders.

Function within an evaluation

At the start of a term of cooperation, **after** the signing of the contract with the evaluators, a proper clarification of the assignment needs to take place. Above all, all key points of the ToR as well as additional stipulations (e.g. from donors) must be discussed and logistical issues clarified. This avoids conflicts, produces a constructive, target-orientated partnership and fosters understanding between the two parties regarding the opportunities and boundaries of the other party (for example the evaluator may not consider it possible for some questions from the ToR to be answered and they may therefore need to be changed).

Approach and involved parties

The parties directly involved – representatives of the commissioning organisation and the evaluators – should take part in the kick-off and clarification meeting. Depending on the objective and scope of the evaluation, representatives of stakeholders, donors or supporting structures such as CSS (if relevant) may be invited.

The kick-off and clarification meeting should always only take place following the signing of the contracts as sensitive documents and data (e.g. project reports, data relating to target groups etc.) may be handed to the evaluators.

Notes

- It is recommended that brief minutes of the meeting are prepared containing the key points discussed.
- Project documents and data may be sent to the evaluators prior to the kick-off and clarification meeting. It must be ensured that the contract has already been signed.

- An ongoing dialogue between the commissioning organisation and the evaluators after the kick-off and clarification meeting is also important to ensure that the evaluation proceeds smoothly.
- Some subjects that might be “sensitive”, such as conflicts, may not be included in the ToR, but should be discussed in the kick-off and clarification meeting.

Checklist for a kick-off and clarification meeting

A sufficient amount of time must be scheduled for the meeting, as other questions and issues requiring clarification will frequently arise. The following list

contains questions that you can use to structure your kick-off and clarification meeting. The questions are optional and merely serve as an aid.

1. Basic information (e.g. vision, mission, size) about the **commissioning organisation**.
2. Precisely what is the **subject matter of the evaluation** (e.g. project, instrument, several projects, a specific project component etc.)? Which **period** should be considered? Who are the **target group** and **stakeholders**? What are the **framework conditions**?
3. Precisely what does the commissioning organisation or donor hope to achieve through the evaluation? (**Objective**)
4. Precisely what are the results intended to be used for? (**Utilisation**) Who will use the results? (**Addressee of the recommendations**)
5. Why is there any interest at all in the results? Why now? (Cause)
6. What **methods** are to be used to collate the data?
7. When should the products (e.g. draft final report) be delivered? (**Deadlines**, including dates for interim results)
Have the **periods for comments** by the commissioning organisation (e.g. on the inception report or the draft evaluation report) been clarified?
8. Which groups/people are to be questioned on their perspectives on the project or the framework conditions? (e.g. government representatives, other organisations)
9. Which **stipulations** - general quality standards and formal requirements e.g. from the donor - need to be complied with? (evaluation concept, OECD-DAC documents on evaluation, minimum requirements for the final report)
10. Which baseline data, monitoring data and evaluations already exist within this project or from previous projects? (Previous products)
11. Discussion/clarification of **evaluation questions**. Are there any **unclear issues**? Which **results** will foreseeably **not be delivered** (due to external framework conditions)? What may have to be **modified** to produce these results (e.g. more time)? May some questions have to be removed or amended?
12. What needs to be absolutely avoided or considered during the evaluation? (Critical topics, cultural taboos etc.)
13. Next steps: Who will communicate with whom (e.g. **who is responsible at the commissioning organisation**, announcement and introduction of the evaluators e.g. to target groups and stakeholders). Who will pass the necessary documents and data to the evaluators?
14. Is the planned **time frame** for the evaluation still realistic and has it been agreed with all stakeholders (e.g. target groups, stakeholders, etc.)? Are any amendments to the time frame needed?
15. What support do the evaluators need regarding **logistics, transport, accommodation, translation etc.**? Who is **responsible** for that?
16. References to **key contractual points**, e.g. on **invoicing** (what is needed for invoicing, what evidence needs to be submitted, deadlines etc.), to **confidentiality clauses** etc.
17. In the event of an evaluator team: have the **roles** and **responsibilities** been clarified?



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Sample structure for the evaluation report

The points set below are the minimum components of an evaluation report; cross-cutting issues should be taken into account where practicable

Cover sheet with

- Project title
- Project number
- Implementing organisation
- Evaluator (author)
- Report date
- Region/country
- Possibly project period

Table of contents

List of abbreviations

Summary

- Short presentation of the subject matter of the evaluation, possibly including key framework conditions
- Brief information on the evaluation: Cause and objective, assessment period
- Key findings
- Key recommendations

1. Short description of the subject matter of the evaluation

- Project/programme/instrument (idea, target group, formulated objectives)
- Implementing organisation, term, donors

2. Framework conditions (only as far as relevant to the subject matter of the evaluation)

- Political, economic, ecological, societal and socio-cultural factors
- Risks to project success, assumptions/prerequisites
- Relevant activities of other organisations/private-sector companies
- Role of government actors

3. Description of the evaluation and the methodology used

- Timing of the evaluation within the course of the project
- Composition/expertise of the evaluation team
- Methodology
- Groups of people involved, number of participants
- Potential difficulties in conducting the evaluation and how to deal with them

4. Results

- 4.1 Relevance
- 4.2 Effectiveness
- 4.3 Efficiency
- 4.4 Impact
- 4.5 Sustainability

5. Recommendations (based on findings, realistic, specific and addressed)

6. potentially: General conclusions (lessons learned)

- for the project type (including exemplary nature)
- regarding the procedures and instruments

7. Appendix

- Travel and working procedure
- Sources (discussion partners, documents, specialist literature, field research etc.)
- Overview chart/map
- Terms of Reference

07

Step 07 Inception Report

Key points in brief:

1. The inception report is prepared by the evaluators and approved in writing by the commissioning organisation.
2. The inception report includes a presentation of the assignment concept, the evaluation methods, a time frame and potential restrictions.

Background

The inception report is a report by the evaluators in which at least

- the assignment is set out again in detail,
- any limitations and difficulties are presented (e.g. that certain evaluation questions cannot be answered),
- the proposed methodology is described and
- a detailed timetable is drawn up.

Function within an evaluation

The inception report is a key document within an evaluation because it provides a further opportunity to ensure that the assignment has been properly understood and the evaluation can be conducted at an intensity and quality that corresponds to the standards of the commissioning organisation and, if relevant, the donor. Additionally, the evaluator can state which support regarding necessary documents and any support regarding transport, logistics etc. is needed, meaning that

these requirements can be met in good time. Any difficulties and limitations may also be specified, i.e. evaluators can state what they do not consider to be feasible.

An inception report must be approved in writing by the commissioning organisation (e.g. in the form of an e-mail) within an agreed deadline in order to take effect and form the basis for the realisation of the evaluation.

Approach and involved parties

The inception report is prepared by the evaluators following the kick-off and clarification meeting and an initial reading of basic documents, provided this is set down in the ToR. Representatives of the commissioning organisation are involved in a monitoring and commenting capacity and approve the inception report.

!! Notes

- An inception report is neither a preliminary nor an interim report. Detailed analyses of the subject matter of the evaluation are not a component of the report.
- It is essential that all points set out above (at part 1. “Background”) are set out in writing. The form in which this is done (formal report, e-mail, etc.) can be clarified between the commissioning organisation and the evaluator.

▶ Links

Sample structure and guide for inception reports: UNESCO: Guidelines for Inception Reports. 2008. (English)
<http://unesdoc.unesco.org/images/0015/001583/158397e.pdf>

08

Step 08

Debriefing/Presentation of the Results

Key points in brief:

1. A debriefing session is a short presentation and discussion of the results with the target group/commissioning organisation.
2. A presentation of the results is a communication of the results to the commissioning organisation.
3. Mixed formats are possible and welcomed!

Background

During a debriefing session/presentation of the results the evaluators present their provisional results and conclusions to the stakeholders, target groups and the commissioning organisation and discuss them with them. On the basis of this discussion, the evaluators either make corrections or include key points from the discussion in the final report.

Function within an evaluation

Debriefing sessions/presentations have two primary functions:

- First, the representatives of the target group and stakeholders as well as the commissioning organisation are notified of the results. This gives them the sense that they are more than a source of information: they also have the opportunity to draw their own conclusions from the results and voice their opinions about the evaluator's conclusions and recommendations.

- Second, this provides another opportunity to rectify misunderstandings or incorrect information.

Approach and involved parties

There are various options for conducting debriefing sessions and presentations, including:

Debriefing with target group(s):

It is recommended that a debriefing session for the target groups is held directly following the data-collation phase on the ground (fairness).

Debriefing/presentation with commissioning organisation:

A debriefing session or presentation of the results should be held with the commissioning organisation at the end of the data-collation and analysis phase respectively shortly before or after the submission of the final report (in draft form).

Presentation with all stakeholders:

A presentation should take place shortly before or after the submission of the final report (in draft form) to

which – depending on the framework conditions – ideally representatives of the target groups, representatives of the commissioning organisation, of the donor and also other key stakeholders such as representatives of the local administration or representatives of other implementing organisations are invited.

The commissioning organisation is responsible for notifying the corresponding stakeholders about and inviting them to this meeting.

Links

Guide (English): Arlen Gullickson & Daniel L. Stufflebeam 2001: Checklist for feedback workshops.
<http://www.wmich.edu/sites/default/files/attachments/u350/2014/feedbackworkshop.pdf>

09

Step 09

Assessment of the Final Report

Key points in brief:

1. The draft of the evaluation report can and should be commented on!
2. Incorrect factual statements must be amended by the evaluator!
3. In any case it must be assessed whether the formal stipulations of the ToR have been complied with.

Background

The evaluators must always submit the final report of an evaluation as a draft version which is read and commented on by all relevant stakeholders and then returned to the evaluators. This should be discussed with the relevant people in advance so that it can be properly scheduled.

The commissioning organisation may agree minimal formal requirements for an evaluation report with the evaluators, for example that there should always be a summary, the Terms of Reference (ToR) should be appended (see also sample structure of the evaluation report in guide “6. Kick-off and clarification meeting”). Additional stipulations may have to be complied with for certain donors. These requirements should be communicated in the ToR or at the kick-off and clarification meeting.

Function within an evaluation

The aim of this step is first to review the objective accuracy of statements and descriptions and to correct them if need be. Second, it permits a critical review of whether the quality requirements regarding evaluations and evaluation reports - for example the evaluation standards and criteria - have been complied with. Above all, it needs to be established whether the questions from the ToR have been answered and the approach agreed in the inception report has been followed.

Approach and involved parties

The draft of the evaluation report must be read and commented on in writing by at least representatives of the commissioning organisation who are well acquainted with the subject matter of the evaluation. The evaluators must take the comments into account in an adequate form in the final report. The final report must be approved by the commissioning organisation.

IMPORTANT: The results of the external evaluation themselves can and should not be discussed further unless they are based on demonstrably false facts or misunderstandings. The recommendations only need to be commented on if they are of low quality or are incomprehensible.

!! Notes

All criteria for assessing evaluation reports set out above and in the enclosed form apply equally to the draft and the final version of the evaluation report. A key difference is that only the **draft of the evaluation report** can be commented on by the commissioning organisation and amended by the evaluator. Once the final report has been formally approved, no more amendments are generally possible.



Download Word document

Sample form for assessing evaluation reports

No.	Criterion	Assessment			Comment
		Yes	No	Partially	
Formal criteria					
1	A cover sheet is included.	<input type="checkbox"/>	<input type="checkbox"/>		
2	The cover sheet contains the following information:	<input type="checkbox"/>	<input type="checkbox"/>		
	▪ Project title	<input type="checkbox"/>	<input type="checkbox"/>		
	▪ Project number	<input type="checkbox"/>	<input type="checkbox"/>		
	▪ Implementing organisation	<input type="checkbox"/>	<input type="checkbox"/>		
	▪ Name(s) of evaluator(s) (author(s))	<input type="checkbox"/>	<input type="checkbox"/>		
	▪ Report date	<input type="checkbox"/>	<input type="checkbox"/>		
	▪ Region/country	<input type="checkbox"/>	<input type="checkbox"/>		
	▪ Report type (e.g. draft evaluation report or final report)	<input type="checkbox"/>	<input type="checkbox"/>		
3	A table of contents with page numbers is included.	<input type="checkbox"/>	<input type="checkbox"/>		
4	A list of abbreviations is included.	<input type="checkbox"/>	<input type="checkbox"/>		
5	A summary containing a project description, results and recommendations is included.	<input type="checkbox"/>	<input type="checkbox"/>		
6	An appendix that contains the ToR, list of interview partners, time frame, possibly maps is included.	<input type="checkbox"/>	<input type="checkbox"/>		
7	The font style and size is appropriate.	<input type="checkbox"/>	<input type="checkbox"/>		
8	The language is clear, and the report as a whole is easy to read.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9	Rules of spelling have been complied with.	<input type="checkbox"/>	<input type="checkbox"/>		
10	The report has an adequate number of pages (as specified in the ToR) – as many as needed for a comprehensible presentation of the matters at hand and recommendations	<input type="checkbox"/>	<input type="checkbox"/>		
11	Have the formal stipulations set down in the ToR been complied with?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12	The ratio of image and text is sensible, i.e. the images support the issues presented in the text.	<input type="checkbox"/>	<input type="checkbox"/>		
13	The report (cover sheet, main text and appendixes) is available in a single file.	<input type="checkbox"/>	<input type="checkbox"/>		
Content-related criteria					
No.	Content-related criteria	Yes	No	Partially	Comment
14	The structure of the report is logical and comprehensible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
15	The questions from the ToR have been answered. Any variations have been specified and adequately justified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
16	The subject matter of the evaluation is described in a comprehensible manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
17	All DAC criteria (relevance, effectiveness, efficiency, impact, sustainability) have been taken into account.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

18	The DAC standards are/have been complied with. That means: <ul style="list-style-type: none"> ▪ everyone’s rights are protected. ▪ anonymity and confidentiality are assured. ▪ the report presents different positions and perspectives of stakeholders and affected parties in a neutral and balanced manner. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
19	Cross-cutting issues have been adequately considered (e.g.: gender)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
20	The methodology used is described (number of persons surveyed, type of documents etc.).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
21	The sample, data-collation and evaluation methods seem generally suited to answering the evaluation questions. All relevant stakeholders are involved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
22	The strengths and weaknesses of the subject matter of the evaluation have been recorded as fully as possible and presented in a balanced and fair manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
23	The results can be clearly allocated to the subject matter of the evaluation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
24	The recommendations: <ul style="list-style-type: none"> ▪ are clearly separated from the results, i.e. in a separate section or clearly labelled as such. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<ul style="list-style-type: none"> ▪ are clearly based on specific results. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<ul style="list-style-type: none"> ▪ are addressed. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<ul style="list-style-type: none"> ▪ are implementable/realistic. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

10

Step 10 Dealing with the Results of Evaluations

Key points in brief:

1. After each evaluation the commissioning organisation should draw up an implementation plan that governs how the recommendations should be dealt with.
2. Each person or group who is named in the implementation plan and has some responsibility should be included in the drafting of the plan.
3. Dates for the implementation should be specified!

Background

The very purpose of the evaluation process - i.e. learning - implies that the process does not end on receipt of the final report. As a rule an evaluation report contains not only recommendations for the commissioning organisation, but also for other stakeholders in the project. All addressees (e.g. partner ministries, donors, target groups) should act on the recommendations addressed to them.

Function within an evaluation

This step is fundamental to the meaningfulness of any evaluation, because only by implementing the acceptable and realistic recommendations will the evaluation have the effect of learning and change in a positive way.

Recommendations and results can and should be taken into account when planning follow-up projects or similar projects.

Approach and involved parties

Depending on to whom the recommendations in the final report are addressed, the addressed organisations, departments etc. should start by stating whether they can accept the recommendation. If they are unable to accept the recommendation, or only accept it in part, an explanation as to why this is not possible, or only partially possible, needs to be provided and documented. If the recommendation is approved, how the recommendation will be implemented needs to be agreed as well as who is responsible for the implementation, in what timescale, and who needs to be involved. This should be set down in the form of an implementation plan (see attachment for a sample implementation plan), which is generally created by the commissioning organisation.

Similarly, the person responsible for implementing the agreed measures and potentially also to monitor their impact should also be specified.

The planned dealing with the recommendations should be shared with the desk officers on the donor side.

!! Notes

- If not all recommendations can be implemented immediately, a prioritised time frame may be specified in the implementation plan (see below Sample implementation plan column “(By) when (M/Y)”).
- Sometimes the results of an evaluation that are not the subject of a recommendation in the final report need to be acted on as well. The project managers (of the implementing organisation) should also include these in the implementation plan.
- Evaluators may prepare an implementation plan, but they may only complete the column for the recommendations (see below Sample implementation plan). All further steps need to be completed by the addressees - the commissioning organisation, the target group, other stakeholders.



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Sample implementation plan

Date:	
Evaluation title:	
Overall responsibility/lead at commissioning organisation:	
Name(s) of evaluator(s):	
Date of final version of the final report:	
People involved in devising the implementation plan:	
Person responsible for monitoring the implementation plan:	

Brief information on the objective of evaluation: *[above all this is important when the evaluation had a special focus and/or only some parts of the project were evaluated and/or it is a cross-cutting evaluation or an evaluation of instruments used]*

Recommendations from the evaluation report/ results that require action	Is the recommendation shared?			If “yes”: specification of key sub-steps or indicators for implementing the recommendation If “partially” or “no”: reason why the recommendation cannot be implemented, or alternative suggestions (with sub-steps)	(By) when (M/Y)	Responsibility
	yes	partially	no			
<i>Recommendation 1: [Text/quote from the evaluation report]</i>						
<i>Recommendation 2: [Text/quote from the evaluation report]</i>						
<i>Recommendation 3: [Text/quote from the evaluation report]</i>						
<i>Recommendation 4: [Text/quote from the evaluation report]</i>						
<i>Recommendation 5: [Text/quote from the evaluation report]</i>						
⋮						

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