



# Advanced Evaluation Design and Management

USAID MONITORING, EVALUATION, AND  
LEARNING ACTIVITY

Stephanie Monschein

# Agenda Overview

## **Day 1: Strong and Useful SOWs**

Evaluation and USAID

Evaluation Purpose  
Writing Good Questions

Statements of Work

## **Day 2: Strong and Useful Designs**

Ethics and Evaluation

Evaluation Design  
Instrument Review

Quality Management Toolkit

## **Day 3: Strong and Useful Reports**

Evaluation Report

Utilization  
Dissemination

# ICEBREAKERS

On the sheet on the wall

- I) How well do you think you currently understand evaluation design and management? Scale 1-5. **Place a sticker where you think you are!**

Share: what do you want to learn this week



# — DAY I: EVALUATION SOWS



# Agenda & Reflection Questions – Day 1

## Evaluation and Development Effectiveness

Why is evaluation important for development effectiveness and other current USAID priorities? (localization, sustainability, inclusive development)

## Evaluation SOWs

What are three things that make a strong SOW? Do you have a better understanding of evaluation SOWs? How can you use SOWs as a good management tool? What can I do better with this training?

## Writing Good Evaluation Questions

What makes a good evaluation question? How can I tell if it's going to get us the answer we need and not the answer we want?

# USAID, DEVELOPMENT EFFECTIVENESS, AND EVALUATION



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# Why Evaluation?

- ✓ Development effectiveness
- ✓ USAID priorities: ADS 201 and Evaluation Policy
- ✓ It is good for you.
- ✓ You have to!





# USAID Priorities

- ✓ USAID ADS 201 and Evaluation Policy
- ✓ CLA and learning efforts
- ✓ Emphasis on Sustainability



## EVALUATION

Learning from  
Experience

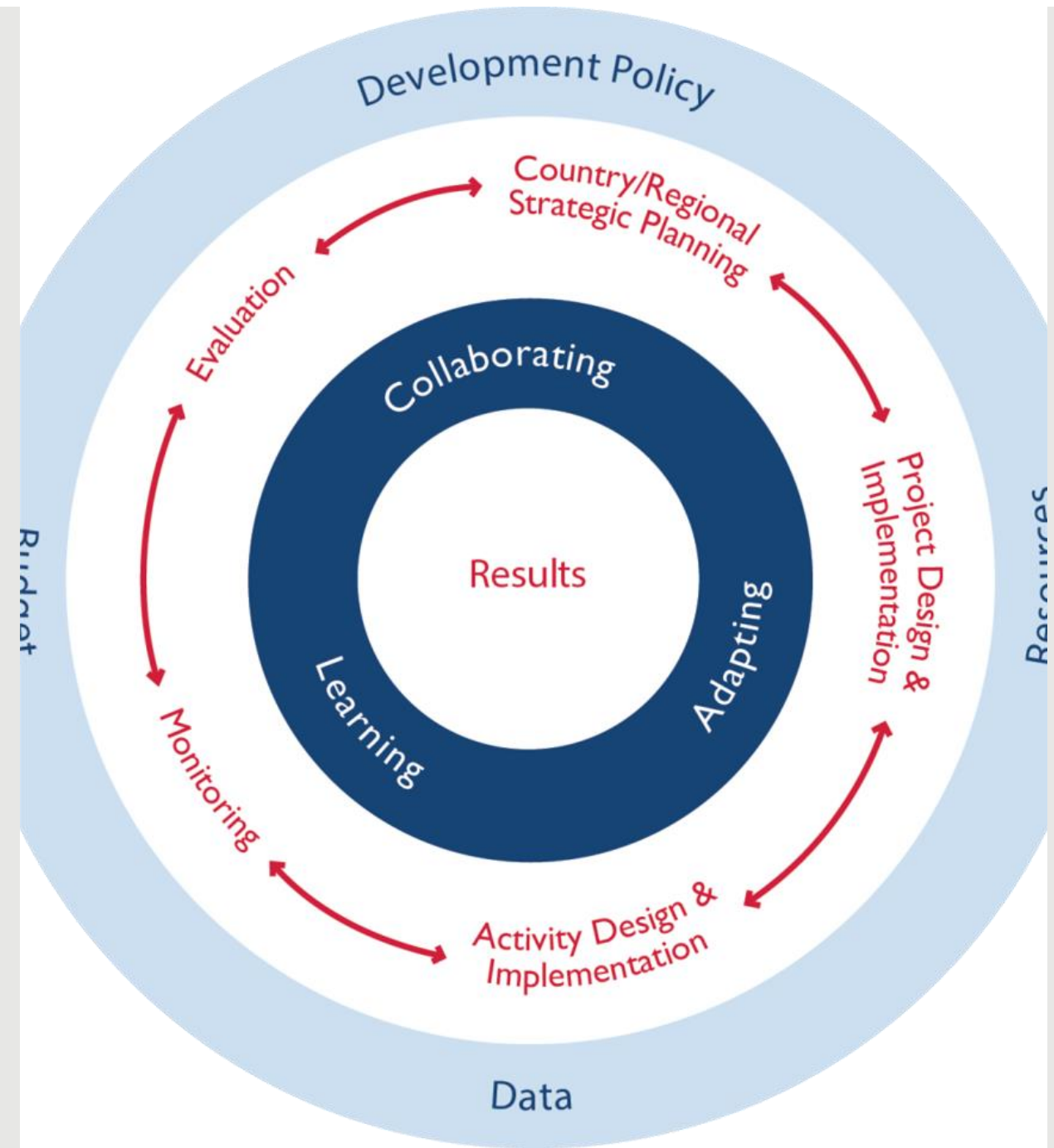
USAID  
EVALUATION  
POLICY

October 2020



# Evaluation and the Program Cycle

- ❑ CDCS
- ❑ PMPs
- ❑ Project Design
- ❑ Activity MEL plans
- ❑ In the Budget Cycle
- ❑ Portfolio Reviews



## EVALUATIONS

The DEC provides access to over 10,000 USAID evaluations, spanning several decades of development activities at USAID.

- Evaluation at USAID
- FY 2015 Evaluation at USAID
- FY 2016 Evaluation at USAID
- FY 2017 Evaluation at USAID



## EVALUATIONS IN THE DEC

### Evaluation Plan

- ✓ Reference external evaluations
- ✓ Any internal evaluation plans

## Evolution of evaluation at USAID

- ✓ It has always been important.
- ✓ 2 X 2 X 2
- ✓ Trying to make it more collaborative, learning centered





## COUNTRY DEVELOPMENT COOPERATION STRATEGY (CDCS)

June 30, 2020 – July 1, 2025

## USAID Jordan priorities

- ✓ Is it clear?
- ✓ It is useful?
- ✓ Does it connect to the bigger picture?





## Key Things to Know about Evaluation

- ✓ Rooted in performance improvement, learning, and accountability
- ✓ Share successes, challenges, and lessons learned



## Why?

- How evaluations are used affects the spending of billions to fight problems
- Often, political pressure to show program effects can lead to “cherry-picking” or “stove-piping” – selecting and passing on only those data that support preconceived positions and ignoring or repressing contrary evidence
- Misuses also result from lack of competence, inadequate resources, and premeditation and corruption

# SOWs Part I: Identify purpose and develop strong evaluation questions

# Writing Utilization Focused Purpose Statements

**Formative Evaluation:** The purpose of this evaluation is to determine **why the project is not achieving what are considered reasonable performance targets** and to **help the management team identify what modifications are needed.**

**Summative Evaluation:** The purpose of this evaluation is to **inform the design process for a follow-on project** by determining **which components have contributed the most and least to achieving this project's results, and why**, and what gaps appear to exist in this project's design, management processes or collaboration with other activities that need to be addressed in a new project.

## Evaluation Purpose dos and don'ts

The purpose of this evaluation is to review the progress made in achieving the Project's objectives and assess relevance, effectiveness, and efficiency of major project activities.

What's good and not so good about this purpose?

# Evaluation Question design

MUST BE:

- ✓ An evaluation question
- ✓ Limited in scope
- ✓ Clear
- ✓ Researchable

<https://usaidlearninglab.org/resources/tips-developing-good-evaluation-questions>



## Evaluation questions design

MUST ALSO BE:

- ✓ Useful for evaluation purpose and audience:
- ✓ Tied to your learning agenda / learning questions
- ✓ Should be a question not a statement

## Performance Evaluation Questions can ask:

- Whether the theory of change of a strategy, project, or activity is valid;
- Whether the expected results of a particular strategy, project, or activity have been achieved;
- How a particular strategy, project, or activity is being implemented;
- How it is perceived and valued;
- Whether USAID assistance contributed to the results achieved;
- Possible unintended outcomes from USAID assistance;
- Whether outcomes have been, or are likely to be, sustained; and
- Other questions pertinent to the design, management, and operational decision making of strategies, projects, or activities.

## Evaluation Types: to define questions

- **Developmental Evaluation:** An approach to the continuous adaptation of interventions through the use of evaluative thinking and feedback. Developmental evaluation includes having one or more evaluators embedded in a program team, ideally on a full-time basis, and working with them to contribute to modifications in program design and targeted outcomes throughout implementation.
- **Formative Evaluation:** Conducted to assess whether a program, policy, or organizational approach—or some aspect of these—is feasible, appropriate, and acceptable before it is fully implemented. It can include process and/or outcome measures. A formative evaluation focuses on learning and improvement and does not aim to answer questions of overall effectiveness.
- **Outcome Evaluation:** An outcome evaluation can help answer the question, "Were the intended outcomes of the program, policy, or organizational approach achieved?"; however, unlike an impact evaluation, it typically cannot discern causal attribution.
- **Process or Implementation Evaluation:** Assesses how the program or service was delivered relative to its intended theory of change, and often includes information on the content, quantity, quality, and structure of services that were provided. These evaluations can help answer the question, "Was the program, policy, or organization implemented as intended?" or "How is the program, policy, or organization operating in practice?"

## Additional Resources

Tips for developing good evaluation questions (for performance evaluations)

Webinar on Developing Good Evaluation Questions (PPL)

# Group Practicum: Reviewing Evaluation Questions

How to identify a good vs weak question?

[Review the questions on slides as a group]

Learning Objective: Be able to more effectively write a strong evaluation question aligned with USAID's evaluation policy and guidance in their SOW How to Note, Evaluation Toolkit, etc



Good, Bad, Meh?

## A Typical Evaluation Question

"The Contractor will assess the *relevance* and *effectiveness* of the project activities in helping Freedonia create a financially viable and sustainable municipal water sector able to deliver *quality* services to the population, public institutions and local industries, as well as to assess the *efficiency* of major project activities and suggest approaches for potential follow-on programming. The Contractor will *consider all components* of the project with particular emphasis on the following three items..."

## From bad to better:

Questions from an evaluation of an HIV Service Provider support project

From: “To what extent is the project relevant?”

### How can you make this better?

1. Is the training and technical support to HIV service providers being delivered as intended according to project design?
2. Does the training and technical support to HIV service providers meet the needs and priorities of project stakeholders?
3. What are the financial and organization characteristics, mission, and coverage area of HIV service providers who have received the project training and TA? Have the appropriate (as defined in the project design documents) HIV service providers receive the project training and technical support

From bad to better....

Questions from an evaluation of a youth employment project

*From:*

To what extent is the project effective in meeting its objectives?

*To:*

To what extent did the intended outcome of increasing youth employment in targeted regions occur over the course of the project? Did employment outcomes differ by region and gender?

Did the project meet its targets in training youth in employable skills.

Are key stakeholders satisfied with the performance of the implementer in training youth in appropriate skills? Why or why not?

## From bad to better:

From an evaluation of a municipal capacity development project

To what extent is the activity efficient?

How much did it cost to provide each municipality with budgeting software and training? How does the cost per municipality compare to other similar projects?

Did the project provide the software and training to the appropriate number of municipalities and individuals on time per their work plan? \*define appropriate

How quickly did the project respond to requests from municipalities with software installation and training? Were municipal stakeholders satisfied with the response?

## From bad to better:

To what extent is the activity efficient?

How much did it cost to provide each municipality with budgeting software and training? How does the cost per municipality compare to other similar projects?

Did the project provide the software and training to the appropriate number of municipalities and individuals on time per their work plan? \*define appropriate

How quickly did the project respond to requests from municipalities with software installation and training? Were municipal stakeholders satisfied with the response



## Good examples

### Final evaluation of an Elections Management Project

Has the IFES workflow analysis conducted for the Central election commission been successful in identifying areas to improve administration of elections? Has the CEC implemented or committed to the implementation of administrative reforms resulting from IFES recommendations?

Kabul Municipality has increased its revenues greatly during the Kabul City Initiative Project Implementation, more than doubling in just two years. During the reform to which KCI contributed, how much of KM's revenue has come from one-off actions, such as one-time business license fees or the Municipality selling land, and how much is reliable yearly revenue such as safayi taxes?

**Request for recommendation:** “What are the most promising opportunities for the KAbul Municipality to further expand revenue collection in a sustainable manner?”

# Thoughts?

## Example

### Advancing National Integration Project Evaluation

The "Advancing National Integration" Project encourages youth participation in civic life and building connections among young people...The program provides training and practical experience in civic activism and helps young people build connections to youth in other regions of the country.

1.How effective has ANI been in developing a common understanding of national unity among youth? Has it been different for girls and boys?

Effectiveness in this question will be demonstrated by stakeholders (primarily youth perception of the activity and whether it has made changes in the following:

- Youth engagement in local activism, tolerance related activities, and cross-regional collaboration;
- Youth participation in cultural exchanges; and
- Any multiplier effect onto families, peers and/or community.

## Small group exercise: question prioritization and refinement

Review the handout of questions in your packet. (SATR Eval Report) towards the end of your booklet (says 35-38 on the bottom)

Think through:

1. What is wrong with this set of questions?
2. How can you prioritize them and reduce the number?
3. How can you refine them to be more clear, answerable, useful, etc?

Work as a group to develop a new set of no more than 5 evaluation questions, that are the highest priority based on what it seems they really want to know

USAID/Armenia requires evaluations of the following activities: Armenia-Turkey Rapprochement (SATR), IFES and NDI electoral and political process Associate Awards under the Consortium for Elections and Political Process Strengthening (CEPPS), Rule of Law Initiative (ABA-RO LI), and the Small Scale Infrastructure Program (SSIP). The purposes of this Task Order are to evaluate the success of these projects in their relevant areas and assess effectiveness of these in achieving set programmatic goals and the USAID/Armenia's strategic objectives. Two of the five planned evaluations are designed as midterm evaluations (Armenia-Turkey Rapprochement, and ABA-ROLI), while the other three are designed as end-of-project evaluations (IFES, NDI and SSIP). In the case of mid-term evaluations the findings will be used to inform USAID's determination whether they are on track achieving their set programmatic goals and targets and whether the initial design of the projects still leads them to the set objectives. They will feed information into the future work plans. In the case of end-of-project evaluations, the findings will be used to inform design and development of future projects. Therefore, the evaluations will identify "lessons learned"; assess strengths and weaknesses of strategies and activities performed under these projects; and provide recommendations to USAID for project planning purposes for the next three to five years. The Contractor will seek to capture effective approaches; analyze the utility of performance monitoring efforts; consider respective outcomes and results; and assess the influence of internal and external changes on the achievement of results. The evaluation should measure and analyze the accomplishments or the progress toward achievement of the results of the activities, including an "effectiveness and efficiency assessment" that looks at how successful the programs have been in achieving their set targets, and how effectively USG resources have been used. Additionally, USAID/Armenia would like to measure the sustainability of the project results on respective beneficiaries where applicable and possible.

# Resources

How to Note on Evaluation Statements of Work (in your packet)

Six Key Issues to Consider when Development an SOW (will share)

Tech Talk on Rapid Qualitative Evaluations (will share)

GAO Guide to designing evaluations (will share)

# SOWs Part 2: Writing a strong evaluation SOW

## The SOW Design Process at a glance

- ✓ first determine purpose
- ✓ *then* co-create evaluation questions with key stakeholders
- ✓ *then* write your SOW
- ✓ internal Peer Review!



## Key Issues

- ✓ Balanced
- ✓ Flexible
- ✓ Stakeholder involvement
- ✓ Adequate time to develop
- ✓ Gender considerations, inclusive development

## THE SOW IN THE EVALUATION PROCESS

### **INITIAL PLANNING BEGINS SIX MONTHS PRIOR TO START OF THE SOW**

1. Reviewing and preparing background material about the project/activity to be evaluated;
2. Determining the appropriate evaluation questions, suggested methods, and evaluator qualifications;
3. Drafting the SOW;
4. Preparing a budget and independent government cost estimate;
5. Choosing a mechanism;
6. Conducting an in-house peer review of the SOW;
7. Sharing the SOW with relevant stakeholders;
8. Revising the SOW based on the peer review and stakeholder feedback; If the evaluation is to be commissioned through a competitive process:
9. Submitting to OAA for approval and RFP preparation;
10. Proposal preparation and submission by external evaluators; and
11. Selection of the evaluation team and award.



# What does a good SOW look like?

## SOW Elements at a Glance

1. Background and Description of Strategy/Project/Activity to be evaluated
2. Purpose
3. Questions
4. Methods
5. Deliverables and Timeline
6. Team Composition
7. Scheduling and Logistics
8. Budget

## HOW-TO NOTE

### Evaluation Statements of Work

#### Monitoring and Evaluation Series

Evaluation statements of work should clearly communicate why the evaluation is needed, how it will be used, and what evaluation questions will provide answers managers need.

**How-To Notes** are published by the Bureau for Policy, Planning and Learning and provide guidelines and practical advice to USAID staff and partners related to the Program Cycle. This How-To Note supplements USAID ADS Chapter 203.

#### INTRODUCTION

This How-To Note addresses key issues for USAID staff who are developing a Statement of Work for an externally contracted evaluation. Following these practices will help to establish clear expectations and requirements for the evaluation team. These practices also serve as a guide for reviewing the quality of evaluation statements of work for internal peer review processes. While the information in this Note is applicable to both performance and impact evaluation, the complexity of an impact evaluation and multi-stage evaluations will be addressed with additional guidance for SOW development.

#### BACKGROUND

An Evaluation Statement of Work contains the information that those who conduct the evaluation need to know:

- purpose of the evaluation and how it will be used;
- background and history of the activities, projects, or programs being evaluated;
- questions that must be answered, and how they might be answered;
- expected deliverables;
- expertise needed to do the job; and
- time frame and budget available to support the task.

#### KEY ISSUES IN PREPARING THE SOW

##### INTERRELATED ELEMENTS

Drafters need to ensure that evaluation questions are consistent with the evaluation purpose, that the evaluation methods are appropriate for answering the evaluation questions, and the evaluation team members have the requisite skills to employ the proposed evaluation methods.

# Evaluation SOW Checklist

Let's review the SOW Checklist

## Evaluation Statement of Work Compliance Checklist

This checklist is for determining if required, essential, or highly recommended elements are present in an Evaluation SOW. It is not a means for assessing quality of these elements. For assessing quality of the Evaluation SOW as part of a peer review process, please see the [Evaluation Statement of Work Review Template](#). For guidance on developing an Evaluation SOW, see the [Evaluation Statement of Work How-to Note and Template](#).

Evaluation Title:		
Evaluation SOW Review By:		Date:
<b>1. Information about the Strategy, Project, or Activity Evaluated</b>	✓	<b>Comments</b>
1.1. Does the SOW identify the evaluation as either an impact or performance evaluation, per the definitions in Automated Directives System (ADS) 201?		
1.2. Does the SOW identify the specific strategy, project, activity, or intervention to be evaluated?		
1.2.1. Award number(s) listed?		
1.2.2. Award dates listed (start and end dates)?		
1.2.3. Funding level listed?		
1.2.4. Implementing partner(s) listed?		
<b>2. Background Information</b>		
2.1. Does the SOW provide country and/or sector context?		
2.2. Does the SOW describe the specific problem or opportunity the intervention was designed to address?		
2.3. Does the SOW describe how the intervention addresses the problem?		
2.4. Does the SOW specify what existing and relevant strategy, project, or activity documents or performance information sources will be available to the evaluation team?		
<b>3. Purpose</b>		
3.1. Does the SOW state why the evaluation is being conducted (purpose)?		
3.2. Does the SOW state who will use the results of the evaluation (audience)?		
3.3. Does the SOW state the anticipated use(s) of the evaluation?		
<b>4. Evaluation Questions</b>		
4.1 Does the SOW include a list of 1-5 questions that are answerable with empirical evidence and relevant to future programmatic decisions or learning?		
4.1.1 Per ADS 201mab, do evaluation questions avoid ambiguous terms, such as "effective," "sustainable," "efficient," "relevant," "objectives," "results," and "success" unless these are well-defined?		
4.2. Does the SOW identify all questions requiring sex-disaggregated data, the use of gender-sensitive data collection methods, and analysis of differential impacts on males and females?		

# Background and Overview of Activity

## **Project/Activity Basics**

Where? When? Target groups? Budget? Consider including a map to help explain the scope

## **Project/Activity purpose/intent**

Original? Have there been modifications?

What problem or opportunity does the activity address?

Where are/were the project's intended results?

***What was/is the theory of change? Provide a graphic representation of the RF if it exists? If not, use “if, then” statements.***

*Are there gender aspects of the program theory? Is there a gender lens or differentiated approaches?*

# Methods and Sources

- **What is Already Known:**
  - Quarterly or Annual Reports?
  - Performance Monitoring Reports?
  - Previous Evaluations?
- **Provide illustrative methods linked to each question**
  - Design Matrix
  - Guidance on methods and sampling
  - Level of precision or rigor
  - This supports budget development

*The more existing information an evaluation team is aware of through the SOW, the less time they will spend re-discovering what you already know.*

## Small group exercise

- Develop a getting to answers matrix using a flip chart paper for one of the SOWs in the back of your booklet.
- Keep it simple
- Be creative
- Make note of what you need to know to finalize

# SOWs Part 3: Defining Evaluation Team Composition, Deliverables, Schedule, Budget

# Clarify the Evaluation Team Composition

What are your needs for **each specific** evaluation? How to define them?

- Not cookie cutter
- Tailored to each evaluation's needs

Minimum:

(1) Evaluation Specialist and Methodologist (2) Sector Expert (3) Local Evaluation specialist or sector expert

# Deliverables and Timeline

At minimum the SOW must specify for each deliverable:

- ❑ Products
- ❑ Timeframe
- ❑ Content



# Budget

A good SOW includes illustrative LOE information

Matrix displaying team member days by evaluation task

TASK	Team Member LOE			
	Team Lead	Eval specialist	Local ES	Other
Develop Evaluation Design	5	4	2	
Data Collection	30	30	30	
Data Analysis	20	20	15	
Report Writing	10	7	7	

# Evaluation Deliverables

- ❑ Evaluation design
- ❑ Draft report
- ❑ Final report
- ❑ Datasets

# Breakout exercise

Rate a sample SOW against the SOW checklist

What is good? What needs improvement?

Learning objective: Have a better understanding of what a strong SOW looks like and what to look for when developing and reviewing them!

Evaluation Statement of Work Compliance Checklist

Evaluation Title:	
Evaluation SOW Review By:	Date:
If Impact Evaluation:	
4.3. Are the questions about measuring the change in specific outcome(s) attributable to a specific USAID intervention?	
4.4. Is there a question describing the extent to which implementation of the intervention evaluated followed the work plan?	
5. Purpose Data Collection and Analysis Methods	
5.1. Does the SOW specify data collection methods or request that prospective	
quantitative methods?	
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s" regarding significant unresolved	
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discussion guides—in an annex	
xperly identified and listed in an annex	
d for deliverables?	
y the evaluation requested to be provided	

Evaluation Title:	
Evaluation SOW Review By:	Date:
in an electronic file, in an easily readable format, and organized and fully documented for use by those not fully familiar with the project or the evaluation?	
6.6. Does the SOW include criteria for evaluation reports from the <a href="#">ADS 201maa</a> Criteria to Ensure the Quality of the Evaluation Report?	
If Impact Evaluation:	
6.7 Does the SOW list required elements outlined in <a href="#">ADS 201mah</a> ?	
6.7.1 Does the SOW ask for mandatory cost analysis, per ADS 201.3.6.4?	
6.7.2 Does the SOW ask for a statistical balance table and statistical output tables to demonstrate treatment and control groups are comparable?	
6.7.3 Does the SOW include a detailed explanation of the method of deriving the comparison (i.e., control) group? If a quasi-experimental method, the SOW is required to provide an explanation of how the comparison group was formed and the source of the comparison group respondents (e.g., government administrative data list or census or evaluator conducted household survey)?	
7. Evaluation Team Independence and Qualifications	
7.1. Does the SOW identify expectations about the methodological and subject matter expertise and composition of the evaluation team, including expectations concerning the involvement of local evaluation team members and evaluation specialists?	
7.2. Does the SOW require team members provide a written disclosure of conflicts of interest (COI) and require key personnel to submit their COI disclosure with the proposal?	
7.3. Does the SOW describe intended participation of USAID staff, implementing partners, national counterparts, or beneficiaries in the design or conduct of the evaluation?	
8. Methods Schedule and Logistics	
8.1. Does the SOW state the expected period of performance?	
8.2. Does the SOW specify any scheduling, logistics, security requirements, or other support that USAID will provide?	
9. Methods Level of Effort (LOE) and Budget	
9.1. Does the SOW include illustrative information about the LOE expected?	
9.2. Is the SOW accompanied by an independent government cost estimate (if applicable)?	

Evaluation Statement of Work Compliance Checklist

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y the evaluation requested to be provided	

# Homework: Develop a SOW for a sample (but real) evaluation

Learning Objective: Be able to develop a stronger needs-driven SOW

# Final Questions and Discussion

## WHAT DID YOU LEARN?

What's one thing you've learned so far?

What's one question you have?

What's something you want to learn more about during the training?

Everyone put one of each in the chat or unmute and share/ ask!

# — DAY 2: EVALUATION DESIGN



# Agenda & Reflection Questions – Day 2

## Ethics and Evaluation

Why are ethics and values important for evaluation? How does this affect your design and management of evaluations?

## Evaluation Design

Do you have a better understanding of basic evaluation design? What makes a good design? How can you use evaluation design matrices and G2A matrices as good management tools?

## Instrument Design and Review

What makes a good data collection instrument? How can I tell if it's going to get us the answer we need?

# Values, ethics, and standards in evaluation

# International History of Research Ethics

- Development of Frameworks, Codes and Laws on Research Ethics
- Nuremberg Code
- Declaration of Helsinki
- National Research Act
- The Belmont Report
- Federal Policy for the Protection of Human Subjects  
    \_\_\_\_\_ (Common Rule)

# Ethics in Data Collection

- International
- USAID
- AEA
- Jordan Law



**USAID**  
من الشعب الأمريكي

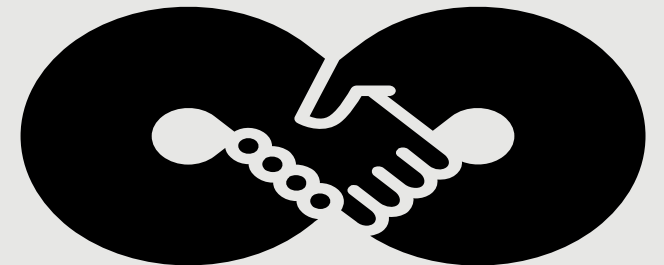


# United States guidelines



# Ethical Principles: Respect for Persons/Autonomy

- Respect for persons is the understanding that people are autonomous and entitled to their own opinions and choices, unless harmful to others.
- Not all people are capable of self-determination and require protection.
- This principle is why we require informed consent before participating in a data collection and why certain people (ex. children) cannot provide consent on their own.



# Ethical Principles: Beneficence

- Beneficence is the recognition that people are treated in an ethical way by not only respecting their decisions and protecting them from harm, but also by committing to ensuring their well-being
- For data collections, this means maximizing potential benefit while minimizing potential harms.





# Ethical Principles: Justice

- Justice recognizes the need to evaluate who receive the benefits of research and who should bear the burdens of research.
- This means that examining whether people are selected based on their position or vulnerability as opposed to the connection they have with the research question.
- It also means making sure people are not excluded due to financial and other barriers even though they have a connection to the research question.



# USAID

- ✓ Common Rule
- ✓ Foreign rules “at least equivalent”
- ✓ Doesn’t generally include evaluation



# American Evaluation Association



Systematic Inquiry



Competence



Integrity



Respect for People



Common Good and Equity

# Jordan Law

- ✓ Passed in 2001
- ✓ Based on Declaration of Helsinki
- ✓ Includes informed consent



Image Credit: Geoff Thurner, 2020

## Ethical Principles: Risk

- It is important to acknowledge the risk that exists with any data collection.
- The risk for a particular data collection can vary depending on the context and type of research being conducted. The implications could be as serious as loss of life and property to potential embarrassment and stigma.



# Ethics in Practice

- While federal regulations only cover specific practices for human subject research as opposed to project/activity monitoring and evaluation (see 22 CFR 225 for USAID) , it is expected practice to apply these standards across any data collection involving human participants as applicable.
- For privacy and protection of personal identifiable information (PII), research/evaluation studies should be compliant with USAID ADS 508.
- This includes:
  - Collecting informed consent/assent prior to data collection
  - Gathering only what data is needed
  - Protecting privacy, anonymity and confidentiality
  - Engaging with Institutional Review Boards/Ethics Review Committees (when appropriate)

# Questions on Ethics?

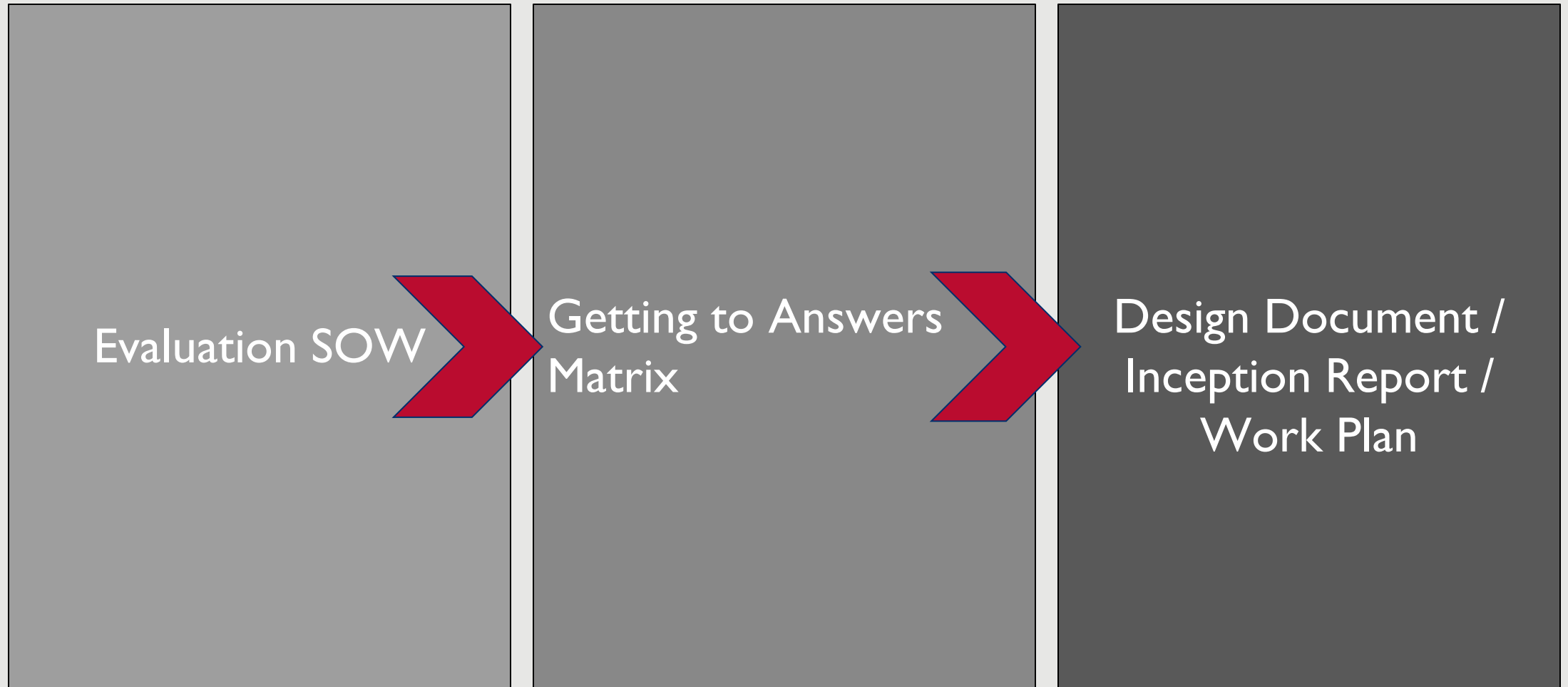
# DESIGNING A STRONG EVALUATION: KEY TOOLS AND APPROACHES



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## The Evaluation Process



# Mixed-Methods Evaluation

## **WHEN**

- (1) When different evaluation questions require different methods, or when a single evaluation question requires more than one method to answer all components.
- (2) When different methods are used to answer the same elements of a single question, increasing confidence in the validity and reliability of the evaluation results.
- (3) When the results from one method are used to help design future phases of the evaluation using other methods.

## **WHY**

- Are more likely to reveal unanticipated results.
- Can provide a deeper understanding of why change is or is not occurring as planned.
- Often capture a wider range of perspectives than might be captured by a single method.

## Using different methods to answer the same question or different questions

For example, suppose an SOW involves an evaluation of a project that includes a new teaching technique, and includes two questions:

“Was there a statistically significant difference between female and male students’ academic achievement test scores?”

“How did students’ parents perceive the effects of the project?”

OR

“Was there a statistically significant difference between female and male students’ scores? And, what explains possible gender differences in test scores?”

## (USING DIFFERENT METHODS TO ANSWER THE SAME QUESTION: TRIANGULATION

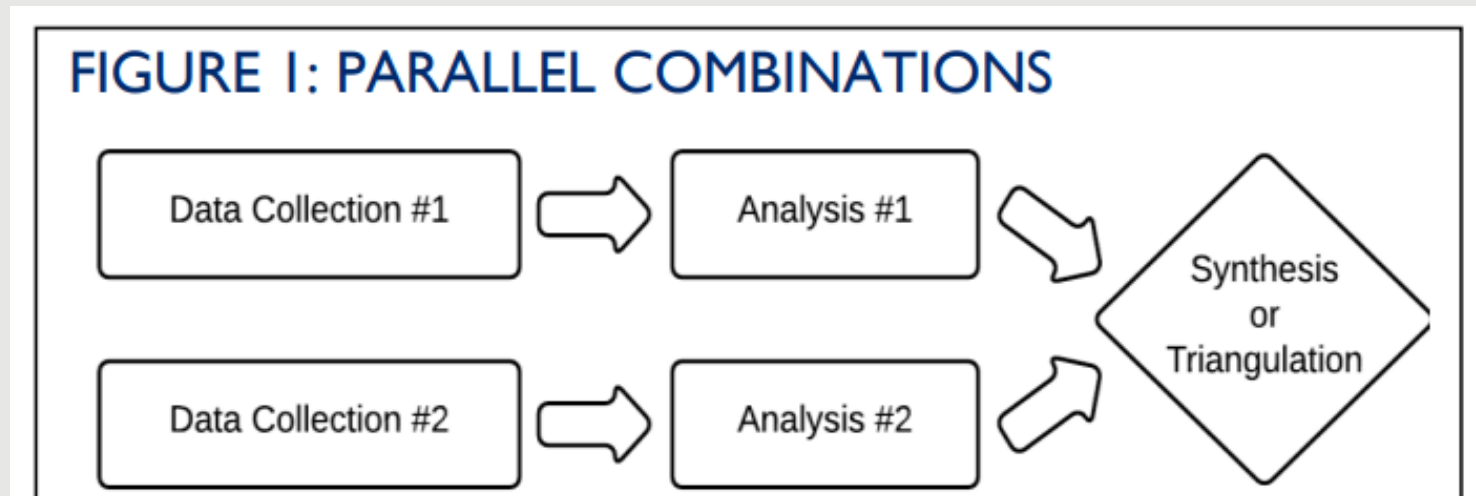
- ✓ Gain a more complete understanding of the issue
- ✓ More confidence in the findings
- ✓ Compare and contrast results of the different methods
- ✓ Reduce biases
- ✓ Uncover cause of divergent findings

## USING ONE METHOD TO INFORM THE DESIGN OF ANOTHER METHOD

- ✓ One method (focus groups or interviews) can help you to identify best wording, or answer choices to include (in a survey)
- ✓ Mixed in a SEQUENTIAL process
- ✓ **This has resource and time implications!**

# PARALLEL COMBINATIONS

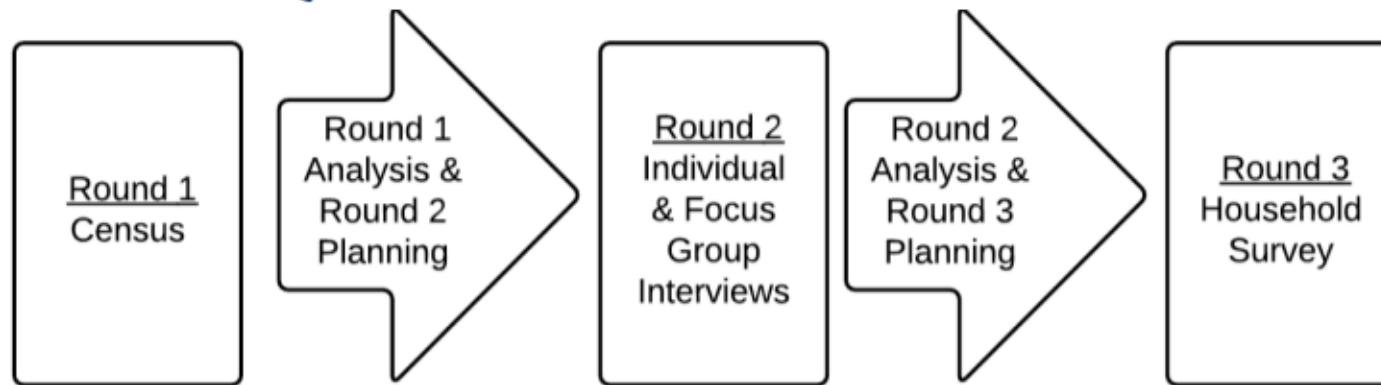
- The key point is that in parallel combinations, each method is conducted in its entirety, separately from the other methods



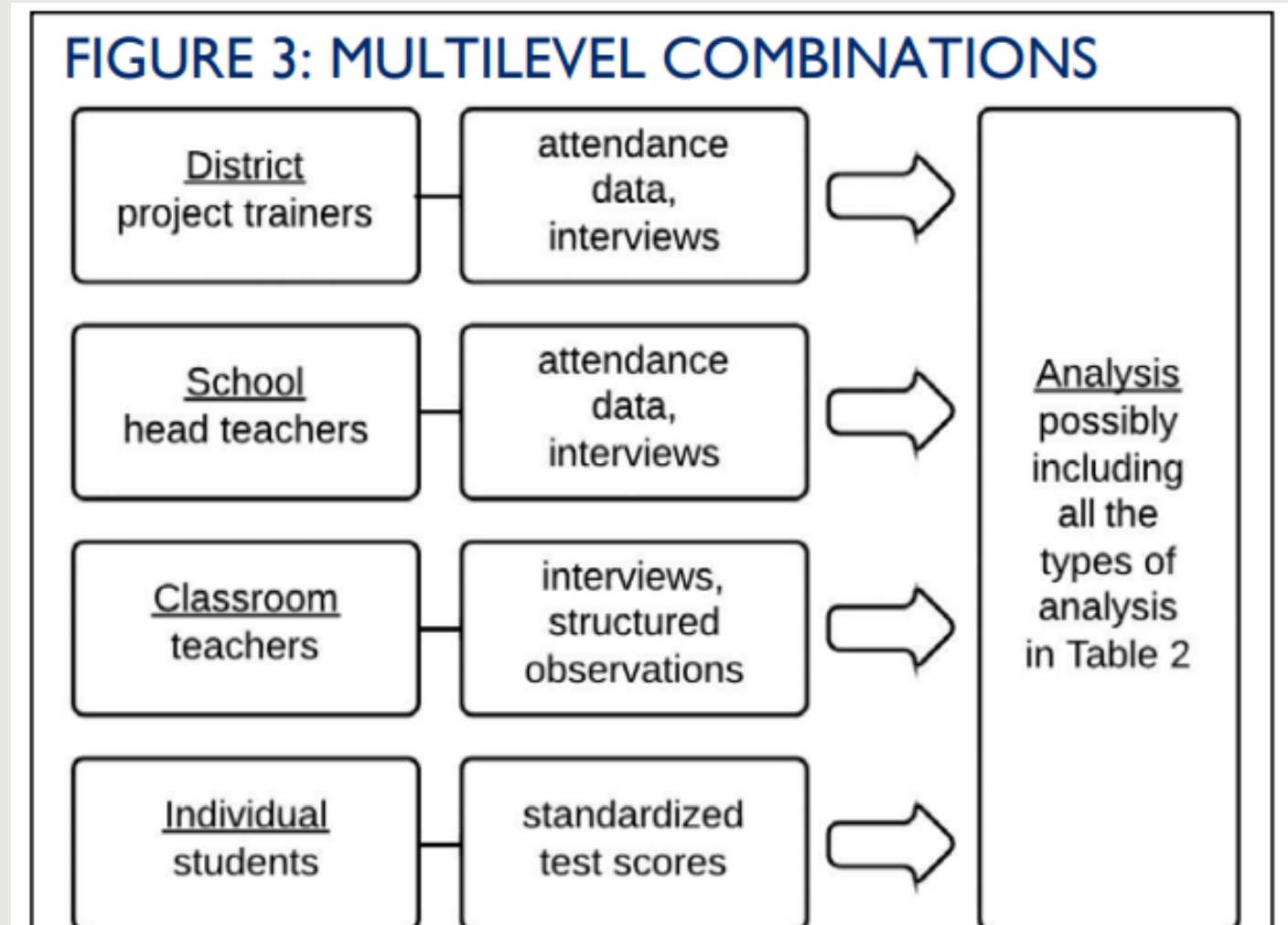
# SEQUENTIAL COMBINATION

- ✓ Multiple methods also can be used at different times and in a specific order.
- ✓ Methods are employed one after the other, with the findings from methods used earlier in the evaluation informing the design and implementation of methods used later in the evaluation.

**FIGURE 2: SEQUENTIAL COMBINATIONS**



# MULTILEVEL COMBINATIONS





## HYPOTHETICAL EXAMPLE

- Multi-year gender equity project
- The project goals are **to increase the number of women who graduate from secondary school.**
- The project attempts to achieve these goals by **combining scholarships and mentoring** provided by the host government's Ministry of Education (MoE) with **support and training from the project staff.**

The evaluation questions ask:

- (1) Has the project been successful in meeting its targets for number of scholarships distributed and number of mentors connected with scholarship recipients?
- (2) In the targeted secondary schools, did the project increase the number of female graduates?
- (3) What changes could be made to the project to increase its effectiveness?

**TABLE 1: SAMPLE MIXED-METHOD EVALUATION DESIGN MATRIX**

<b>Q#</b>	<b>Data collection method</b>	<b>Data collection instrument</b>	<b>Sample questions on the instrument</b>	<b>Data source</b>
<b>1</b>	Desk review	Annotated bibliography	NA	Project managers
<b>1</b>	Data quality review	Checklists, project reports	NA	Project staff
<b>2</b>	Review of School statistics	School data form	Enrollment records by year, grade, and gender	Project staff, government officials, school administrators
<b>2</b>	Semi-structured interview	Interview protocol	What are the reasons you stayed in or left school?	Students, teachers, mentors
<b>2</b>	Focus group interview	Focus group protocol	How do you decide whom to send to school?	Parents
<b>3</b>	Semi-structured interview	Interview protocol	What worked? What did not work?	Project staff, government staff, school administrators, students, teachers, mentors
<b>3</b>	Focus group interview	Focus group protocol	What worked? What did not work?	Students, teachers, parents, mentors
<b>3</b>	Survey	Survey instrument	Did the project receive enough money?	Project staff, government staff, school administrators, Students, teachers, mentors

One template: Getting to Answers Matrix

		Data Collection			
Evaluation question	Type of answer/ evidence	Source	Method	Sampling/ selection	Data analysis methods

## Worked Example

### TRADE EXAMPLE: GETTING TO ANSWERS

USAID/Pakistan's 2008 evaluation of its Developing Non-Bankable Territories for Financial Services Project included a matrix of evaluation questions by methods as a report annex. Portions of that table are provided below to illustrate how data collection and analysis methods vary by the type of question included in an evaluation SOW. Slight differences in matrix forms are less important than the care taken in selection

Evaluation Questions	Type of Answer/Evidence Needed	Method of Data Collection	Data Sources	Selection Criteria	Data Analysis Methods
1. How many loans have been disbursed in each quarter since Khushhali Bank started operations in the region? (by region and gender)	Counts of loans by quarter	Review of bank records	Interviews with bank staff or request to bank staff		Describe the pattern of loan disbursements over the life of the project to date by region and gender
2. What are projections for loan disbursements in the future? (by quarter, region and gender)	Counts of loans by quarter	Interview	Interviews with bank staff or request to bank staff		Projections of future loan disbursements without USAID involvement by region and gender
3. How were the loans used and what impact did they have on household wellbeing?	Descriptive	Surveys	Survey of loan recipients; interviews with bank staff or request (cash flow)	Stratify sample to obtain sufficient responses from different regions and from women	Estimate average household impact by region and gender
4. Have the loans generated any secondary impacts as a result of increased income? (by region)	Aggregate increases in incomes by quarter and region	Drawn from existing studies	Existing multipliers, if available		Apply multipliers to estimate additional income or jobs created

<< Getting to Answers Template

Up

Evaluation SOW Review Checklist >>

# Small Group Activity: Develop an Evaluation Design Matrix

ONE HOUR:  
USE A FLIP CHART PAPER TO  
DEVELOP YOUR OWN SIMPLE  
EVALUATION DESIGN  
MATRIX

FOR ONE OF THE SOWS  
IN YOUR BOOKLET  
(same as you used for the  
checklist)

PRESENT YOUR DESIGN TO  
THE GROUP

Getting to Answers Template (Optional)

Evaluation Questions	Type of Answer/ Evidence Needed (Check one or more, as appropriate)	Performance Evaluation Design/Specific Methods for Data Collection			Sampling or Selection Approach (Random Sample, Success Case)	Data Analysis Methods (e.g., Frequency Distributions, Trend Analysis, Cross-Tabulations, Content Analysis, Regression)
		Data Source(s) (Ministry, Households or Firms, Project Records, Elected Officials)	Evaluation Design (Before and After, Comparison to Norms, Time Series, Panel Study, Case Study, Causal Tracing, Contribution Analysis)	Specific Methods (Existing Data Series, Structured Observation, Key Informants, Mini-Survey, Focus Groups)		
	Yes/No					
	Description					
	Comparison					
	Explanation					
	Yes/No					
	Description					
	Comparison					
	Explanation					

Hide +/- Row Show +/- Row

# Developing and Reviewing Data Collection Instruments



## Interview instrument

- What makes a strong interview instrument?
- What are some key principles and elements?



## FGD instrument

- What makes a strong FGD instrument?
- What are some good principles and key elements?





## Survey Instrument design

- What makes a strong survey design and questions?
- What are some key considerations?

- **Yes, surveys can collect qualitative data AND quantitative!**
- **Define a clear goal**
- **Keep it short**
- **Don't ask leading questions**



# Document Review Instruments



- ✓ Relevance
- ✓ Clear objectives
- ✓ Standardization
- ✓ Simple
- ✓ Pilot
- ✓ Interrater reliability

## Exercise:

**Learning Objective:** ability to review data collection tools. Better understand what a strong instrument looks like

# Evaluation Design Document

What should it include?

- Expansion of the SOW
  - More detailed methodology section, including specific collection methods, tools, sources
- Workplan:
  - Timeline
  - Budget
  - LOE

# Evaluation Quality Management

# Evaluation Management Checklist

## Checklist of Tasks and Milestones for

- Planning
- Managing
- Sharing, Reporting, Using, and Learning

# Evaluation Management

## **Tools and Resources** to control the quality of evaluations

- ❑ SOW Checklist
- ❑ Team Planning Meetings
- ❑ Weekly Check ins
- ❑ FCR Matrix
- ❑ Rolling data analysis
- ❑ Submission of data ongoing (IPs, evaluation teams)
- ❑ Evaluation Report Checklist and criteria to control the quality

# Evaluation Quality Check Points

## **Before field work**

- ☐ Conduct desk review for initial findings before TPM to identify gaps to be filled during data collection
- ☐ Desk review template to share initial findings
- ☐ Weekly check in meetings
- ☐ Evaluation Design Matrix

## **During field work**

- ☐ Daily check in meetings (or email briefs)
- ☐ Use of shared data collection documents
- ☐ Daily interview notes write up
- ☐ Weekly cleaning interview or other notes

## **After field work**

- ☐ Findings Conclusions Recommendations Matrix
- ☐ Midline presentation of initial findings, conclusions, and recommendations
- ☐ Evaluation report How To Note and Report quality checklist
- ☐ Handover of all data collected to the evaluation management team
- ☐ Early drafts of evaluation report for internal review
- ☐ What else?



# TPM Agenda – after SOW, design matrix, initial desk review, before field work

## Goals

- Develop team working style: define interests, skills, and roles
- Understand evaluation quality standards and process
- Clarify the SOW
- Finalize the evaluation design

## Introductions

### Practical considerations

- Communications
- Key players
- Main contacts

### Project/Team Evaluation process and quality standards

- Summary
- Resources

## SOW review

- Understanding the evaluation purpose
- Understanding the evaluation questions
- Addressing gender in the findings
- Running list of questions to ask USAID

## Desk review

- Highlights
  - General findings
  - Question by question
- What does this mean for field work?

## Evaluation deliverables & Quality checkpoints (see other slide)

## Small group exercise

Develop a Quality Management plan and agenda for an evaluation!

- Develop an agenda for your kickoff TPM
- Develop a timeline with tools and quality checkpoints for your evaluation

# Questions and Discussion

## WHAT DID YOU LEARN?

What's one thing you've learned so far?

What's one question you have?

What's something you want to learn more about during the training?

# — DAY 3: EVALUATION REPORTS, UTILIZATION, AND DISSEMINATION

# Today's Agenda and Learning Questions



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# Agenda & Reflection Questions – Day 3

## Evaluation Reports

What makes a strong evaluation report? What tools do I have to make sure I'm including the right information and sections? How do I ensure it will be read and used?

## Dissemination

When do I begin thinking about dissemination? What are some tools I can use to make sure the report is being disseminated to the right people in the right way at the right time

## Utilization

What are some ways I can ensure that my report will be used by the right people at the right time? When do I start thinking about utilization?

# Essence of a Great Evaluation Report



# What does a strong evaluation report look like?

Criteria to Ensure the Quality of the Evaluation Report

Meta Evaluation of Quality and Coverage of USAID Evaluations 2009-2012

# Evaluation Report Key Inclusions

- Opening Sections
  - Title
  - Abstract
  - Executive Summary
  - Table of Contents
  - Acronyms
- Main body
  - Evaluation purpose
  - Description of the project/activity
  - Background Information
  - List of evaluation questions
  - Descriptions of methods for data collection and analysis
  - Start/end dates
  - Limitations
- Findings and Conclusions
  - Are the data sources for each finding clear? Analyzed facts.
  - Outcomes on males and females
  - Are the conclusions tied directly to findings?
- Recommendations
  - Are the recommendations tied directly to findings and conclusions: is the line clear?
  - Are there a limited number of recommendations?
  - Are the recommendations actionable and specific?
- Annexes
  - SOW
  - Full methods and tools
  - Sources
  - Statements of Difference
  - COI forms

# Evaluation Report Sections

1. Executive Summary
2. Evaluation Purpose and Questions
3. Project Background
4. Methods and Limitations
5. Findings, Conclusions, and Recommendations
6. Annexes

USAID Branding and Graphics standards

Title and Title Page

Acronyms

Table of Contents

No more than 30 pages

The following resources can be used as samples or templates, or provide more information on evaluation reports and on evaluation in general. Some other resources exist but are out-of-date with current USAID guidance. Where information differs, the USAID Evaluation Policy and the USAID ADS (Automated Directives System) 200 series take precedence over that in other resources.

**Evaluation Report Template:** <http://kdid.org/kdid-lab/library/sample-eval-report-template>

**Evaluation Cover Samples:** <http://kdid.org/kdid-lab/library/sample-eval-report-covers>

**Sample Disclosure of Conflict of Interests Form:** <http://kdid.org/kdid-lab/library/DisclosConflictInterest>

**USAID Graphic Standards Manual:** [http://pdf.usaid.gov/pdf\\_docs/PNADB334.pdf](http://pdf.usaid.gov/pdf_docs/PNADB334.pdf)

**USAID's Center for Development Information and Evaluation Publications: Style Guide: Guidelines for Project Managers, Authors, and Editors, December 2001**  
[http://pdf.usaid.gov/pdf\\_docs/PNACN266.pdf](http://pdf.usaid.gov/pdf_docs/PNACN266.pdf)

# Breakout exercise

Rate a sample evaluation report against the Evaluation Report Checklist.

Learning Objective: Strengthen evaluation report quality

## EVALUATION REPORT COMPLIANCE CHECKLIST

### Evaluation Report Compliance Checklist

This Checklist is for determining if required, essential, or highly recommended elements are present in an evaluation report. It is not a means for assessing the quality of these elements. For assessing quality of a draft evaluation report as part of a peer review process, please see the Evaluation Report Review Template. For guidance on developing an evaluation report, see the [How-To Note: Preparing Evaluation Reports](#), [Evaluation Report Template](#), and [ADS 201mah USAID Evaluation Report Requirements](#).

Evaluation Title:	
Evaluation Report Checked By:	Date:

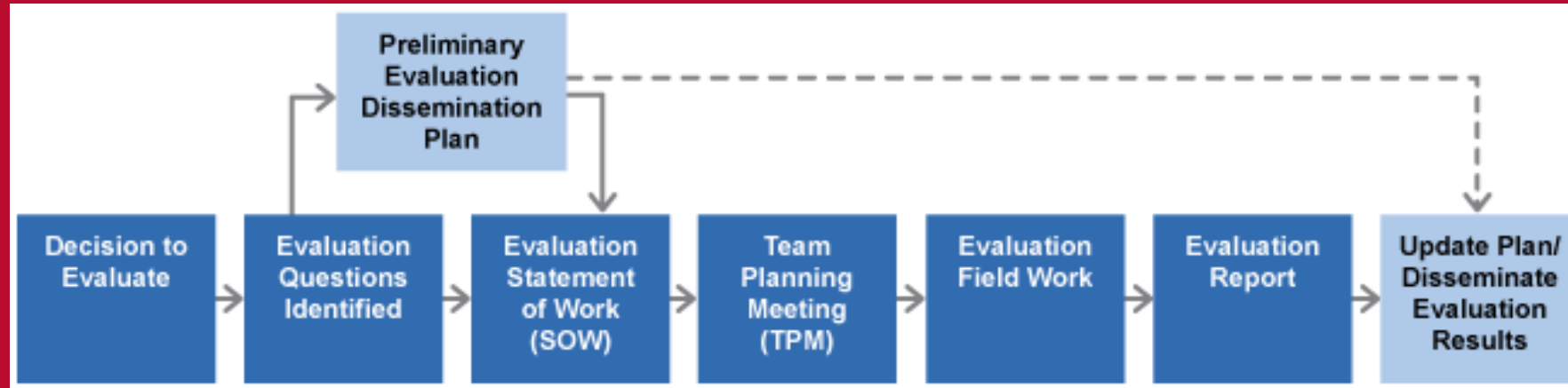
I. Structure and Content	✓	COMMENTS
1. Does the opening section of the report include:		
1.1. A title that identifies the evaluation as either an impact or performance evaluation, per the definitions in Automated Directives System (ADS) 201?		
1.2. An abstract of not more than 250 words briefly describing what was evaluated, evaluation questions, methods, and key findings or conclusions? (The abstract should appear on its own page immediately after the evaluation report cover).		
1.3. An executive summary 2-5 pages in length that summarizes key points (purpose and background, evaluation questions, methods, findings, and conclusions)?		
1.4. Table of contents?		
1.5. List of acronyms?		
2. Does the main body of the report include:		
2.1. Description of evaluation purpose, including information on:		
2.1.2. Why the evaluation was conducted (purpose)?		
2.1.3. Who will use the results of the evaluation (audience)?		
2.1.4. How the results of the evaluation will be used (anticipated use(s))?		
2.2. Description of the strategy, project, activity, or intervention evaluated, including information on:		
2.2.1. Award number(s)?		
2.2.2. Award dates (start and end dates)?		
2.2.3. Funding level?		
2.2.4. Implementing partner(s)?		
2.3. Description of background information, including information on:		
2.3.1. Country and/or sector context?		
2.3.2. The specific problem or opportunity the intervention addresses?		
2.3.3. The development hypothesis, theory of change, or simply how the intervention addresses the problem?		
2.4. List of the evaluation questions?		
2.5. If an impact evaluation, are the evaluation questions about measuring the change in specific outcome(s) attributable to a specific USAID intervention?		
2.6. Description of the evaluation method(s) for data collection and analysis.		

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August 2017

EVALUATION REPORT CHECKLIST AND REVIEW TEMPLATE-2



# Dissemination and Communication



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# Targeting your evidence to your audience and purpose

- ★ Start early in the process
- ★ Ensures that strong linkages between evaluation and planning in Program Cycle
- ★ Doesn't require much information to get started
- ★ All one really has to know is who the project stakeholders are and what types of questions the evaluation will try to address!
- ★ Just begin to envision appropriate processes and products for communicating evaluation results, whatever they may be, to the various audiences

## Group exercise: Dissemination Plans

- Develop a dissemination plan for a sample evaluation.
- Think through who, how, for what purpose

**Learning Objective:** Think intentionally about utilization and target audiences at the start of evaluations, rather than the end

# Evaluation Utilization



## Evaluation Utilization: context

(Evaluation Utilization Study) **Evaluation Utilization Occurs at Multiple Levels:** The study found that 93 percent of evaluations have been used in some capacity, most frequently in project design and implementation as well as strategy and policy formulation. At the country level, 59 percent of approved Country Development Cooperation Strategies (CDCS) referenced findings from USAID evaluations.

- *Increased Spillover Effects of Evaluations*
- *Evaluations More Frequently Inform Project and Activity Design:*
- *Learning Is Happening*
- *Evaluations are being used to improve programming in ways that contribute to better development outcomes.*
- **By furthering the accessibility and utility of evaluations, USAID has the opportunity for greater impact at two levels**
- **Data and information are only as relevant as the extent to which they are synthesized, made available, understood, discussed and acted upon.**

## Utilization Best Practices

- Engage partners during the evaluation process from planning to implementation to review through dissemination.
- Share guidance on best practices to ensure that quality, relevant evaluations are conducted every time.
- Hold briefings—not just with USAID staff but with implementing partners, the donor community and local country governments and stakeholders.
- Develop trackers that link evaluation recommendations to specific actions, responsible parties and timelines.
- Create accessible products to complement the evaluation report.
- Short briefs and abstracts offer an overview of key points and enable conversation and decision-making.
- Synthesize evaluation findings across multiple evaluations in key sectors to ease accessibility of information for missions.

## Small group activity: Utilization and Follow up

Learning objective: more frequent utilization of evaluation results

# Final Questions and Discussion



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## WHAT DID YOU LEARN?

What's one thing you've learned so far?

What's one question you have?

What's something you want to learn more about during the training?

Everyone put one of each in the chat or unmute and share/ ask!