

EVALUATION PROCEDURES
OFFICE OF PLANNING AND EVALUATION
Working Draft #1
March 19, 1985

87.

Evaluation Procedures Manual: Office of Planning and
Evaluation

 INTERNATIONAL DEVELOPMENT RESEARCH CENTRE

EVALUATION PROCEDURES*

OFFICE OF PLANNING AND EVALUATION

1.0	INTRODUCTION	1
2.0	EVALUATION ASSESSMENT AND TERMS OF REFERENCE	1-3
3.0	CONSULTANT SELECTION	3
4.0	EXECUTION OF THE EVALUATION	4
4.1	COORDINATION OF CONSULTANT	5
4.1.1	ADMINISTRATION OF CONSULTANCY (DAP Centre Administered)	5
4.1.2	ADMINISTRATION OF CONSULTANCY (DAP Regional Office Administered)	5
4.2	REPORTING DURING CONSULTANCY	6
5.0	FINAL REPORT	6-7
6.0	FOLLOW-UP	8
ANNEX	1. EVALUATION CRITERIA	
	2. ADMINISTRATION OF CONSULTANCY	
	3. CLASSIFICATION OF EVALUATION DOCUMENTS	
	4. GUIDELINES FOR EVALUATION COMPLETION REPORT	
	5. GUIDE FOR EVALUATION REPORTING	
	6. LETTER OF INTRODUCTION FOR CONSULTANT	

* The procedures developed in this manual for evaluation studies are also applied to planning studies undertaken by IDRC.

1.0 INTRODUCTION

Three of the main operating principles of the evaluation approach adopted by OPE for the Centre's planning and evaluation requirements are:

1. tailoring evaluation studies to meet user needs;
2. ensuring the utilization of evaluation results; and
3. stimulating/building of evaluation activities/capabilities in the Third World.

In light of this, evaluation procedures are developed that are consonant to these operating principles. These evaluation procedures underscore the two main elements of an evaluation study: **the evaluation process** and **the product of the evaluation**. For OPE, these two elements are interlocking and necessary for the success of an evaluation study. Therefore, equal weighting is given to these two elements in the evaluation procedures. In operational terms, this calls for OPE staff in an evaluation study to concentrate as much effort in their discussions and liaison with the user/s, other Centre staff and Centre recipients, as they would in the methodology and final report. It becomes even more important in evaluation studies which utilize consultants as evaluators. Given these operating conditions, the evaluation procedures outlined in the following pages are to guide the various activities and elements undertaken in an evaluation study so as to reflect the operating principles of the approach adopted by the Division, and also in consideration of the diversity of evaluation studies and activities undertaken or monitored by OPE as IDRC's responsibility centre for evaluation activities. The criteria OPE has established for conducting evaluation studies of the Centre's programs and projects are listed in Annex 1.

2.0 EVALUATION ASSESSMENT AND TERMS OF REFERENCE

This stage is a key element in the process of conducting an evaluation. It is introduced to provide the opportunity for dialogue between the users and OPE staff in order to clarify and deliberate users' needs. Specifically, the discussion should identify: the users of the evaluation, the scope and nature of the evaluation, the objectives of the evaluation, the resources available or to be committed, the possible use of consultants, and whether an evaluation is needed. It should be viewed as the front-end planning part of the evaluation cycle which affords OPE and the users the occasion to determine and concretize the needs of the users and the operational responsibilities of both parties to the evaluation.

Process:

- (i) Discussion and liaison with users (Centre staff, recipient) about their needs:

**Purpose of Evaluation
Use of Evaluation
Specific Objectives of
Evaluation;
Methodology of Evaluation
Use of Consultant/s for Study**

Discussion with collaborating partner/s of evaluation (if applicable):

- the basis of the collaboration so that relative benefits can be maximized.
- the objectives of the evaluation and the respective interests of collaborating partners so that a decision can be made with regards to which of the objectives to be pursued in order to maximize the interests of both parties.

(ii) WRITE EVALUATION ASSESSMENT

- (iii) Circulation of Evaluation Assessment : Document to be circulated to the primary user of the evaluation i.e. the user/s who has/have requested the evaluation. In this case, it could be Program staff, Centre Management, Board of Governors, or Research Institutions.

- (iv) Discussion with user about possible candidates for consultancy and decision whether to evaluate.

Product:

(i) Evaluation Assessment

The document should contain:

Purpose/Use of Evaluation
Evaluation Issues of the Study
Methodology (Preliminary)
Evaluation Options

(ii) Terms of Reference

The document should contain:

Purpose of Evaluation
Objectives of the Evaluation
Projects/Program Identified for Evaluation
Objectives of Projects/Program
Specific Evaluation Issues
Information Sources
Methodology/Data gathering procedures - consultant to propose alternative/additional methodologies.
Evaluation Work Schedule (Milestones)
Preliminary determination of Costs, including number of days of consultancy.
Dateline for Final Report.

- (v) Session to design terms of reference if partner is a collaborating institution (if applicable).
 - (vi) Write Terms of Reference.
 - (vii) Circulation of Terms of Reference: The procedure for the distribution of this document is the same as (iii) above.
-

3.0 CONSULTANT SELECTION

In line with OPE's operating principle of tailoring evaluation studies to meet user needs, the process of selecting consultants for an evaluation study is designed specifically to reflect this principle. No single criteria is used for the choice of consultants other than the set of criteria listed in paragraph (iii).

Process:

- (i) Consultation with Centre user/s and recipient/s for names of possible consultants. In principle, the recipient's nominations will be considered with those of the Centre user/s and OPE. Preparation of dossiers of possible consultants.
- (ii) In terms of nationality of consultants, preferences will be in the following order:
 - (a) nationals of Third World countries.
 - (b) nationals of Canada.
 - (c) nationals of other developed countries.

Product:

- (i) Inform Centre user/s and recipient the final choice by letter or memorandum.

- (iii) In terms of criteria for choice/s of consultant/s if evaluation document is necessary for policy making.
 - a) Stature in the field.
 - b) Experience.
 - c) Ability to handle methodology required for evaluation.
 - d) Conflict of interest areas.
 - e) References.
 - f) Acceptability to Centre User/Recipient.
 - (iv) If possible, solicit proposals for evaluation study from consultant/s to enable assessment of evaluation experiences/abilities of the consultant/s, costs of consultancy, and alternative methodologies.
 - (v) Review the final list of consultants with Centre user/s and if possible, with recipient.
-

4.0 EXECUTION OF THE EVALUATION

Because the evaluation process is considered just as important as the product of the evaluation, this stage of the evaluation study is designed specifically to reflect this. Briefing the consultants and file reviews are necessary stages in producing a satisfactory evaluation report. In order to ensure that the product of the report is useful for users' needs, users are informed of the progress of the evaluation and are encouraged to provide feedback to OPE and the consultant/s on the progress reports. This will ensure that the evaluation continues to be in line with the terms of reference developed during the evaluation assessment phase.

4.1 COORDINATION OF CONSULTANT

Process:

- (i) Consultant/s briefing can be in Ottawa/field/Regional Office. Briefing to be made by OPE Staff or Regional Directors/Program Staff.
- (ii) Consultant/s to review project/program files. Project/Program file accessibility to be guided by the sensitivity of information in the files, especially if recipient is conducting the evaluation.
- (iii) If PCR's are to be released, approvals from appropriate Program Directors to be sought.
- (iv) Inform consultant/s who will see final report and the conditions of Canada's Access to Information Act. Encourage consultant to write any possible sensitive assessments in a confidential memorandum to the Director of Planning and Evaluation.

4.1.1 ADMINISTRATION OF CONSULTANCY (DAP Centre Administered)

(SEE ANNEX 2 FOR DETAILS)

4.1.2 ADMINISTRATION OF CONSULTANCY (DAP Regional Office Administered)

(SEE ANNEX 2 FOR DETAILS)

4.2 REPORTING DURING CONSULTANCY

Process:

- (i) To ensure that responsible divisional staff at Ottawa and the Regional Offices are informed of the ongoing activities of the evaluation, relevant letters, comments and memoranda of the evaluation should be copied if possible to the respective Centre staff.
 - (ii) Progress trip reports in verbatim or written form to be provided by consultant/s on an ongoing basis.
 - (iii) Interim written reports may be required for long consultancies.
-

Product:

Interim Report for long consultancies.

5.0 FINAL REPORT

The Final Report forms one of the last stages of the evaluation cycle. To further underscore the importance of the evaluation process, the division views the executive briefing of the report and OPE's review of the report (if it is done by consultant/s) to be important processes of ensuring awareness of the evaluation and the utilization of the recommendations of the report by the users.

Process:

- (i) Distribution of Draft Final Report:
 - Distribute draft final report to the Centre user/s who have requested the evaluation.
 - If possible, distribute draft final report to recipient. However, it is important to avoid having a final report which incorporates only points of agreement.

Product:

- (i) **Final Report:**

The document should be in two parts. Part 1 of the report to include the consultant/s assessment and any comments made by recipient. Part 1 can also include workshop proceedings if evaluation was conducted jointly by IDRC and a recipient institution. Part 2 of the report to include OPE and Centre user/s comments.

Therefore, encourage recipient to comment and include these comments in part I of final report.

The document should include an executive summary.

If the evaluation is a program review, a companion document on the review of program area, needs and rationale of the projects/program evaluated should be prepared.

- (ii) **Prepare OPE review of Draft Final Report with recommendations to users who have requested the evaluation.**
 - (iii) **If possible, Executive Briefing of Draft Final report to Centre user/s before report is formally submitted to the Centre.**
 - (iv) If evaluation is jointly supervised i.e., with a recipient or another institution, a workshop to be organized for final report discussion.
 - (v) Recipient to receive Final Report Part 1.
 - (vi) Distribution of Final Report:
 - to be decided by the President.
 - (vii) The Final Report to be written or translated into one of the three working languages of the Centre.
 - (viii) The Final Report should be classified in the following categories:
 - i) unclassified;
 - ii) IDRC Confidential.**(SEE ANNEX 3 FOR DETAILS)**
 - (ix) The number of copies of the Final Report to be printed should be between 10 - 20. The cost of printing to be included as a line item in the DAP.
-

6.0 FOLLOW-UP

This final stage of the evaluation cycle is designed basically to inform Centre Management of the findings of evaluation studies, to provide an avenue for evaluations to be included in the planning activities of the Centre and for the Centre to have a corporate memory of the outcomes and impact of its program/project activities.

Process:

- (i) Planning Officer to prepare an Evaluation Completion Report.
- (ii) Planning Officer to follow up on the recommendations of evaluation vis-à-vis the policy decisions of the Centre user/s and recipient six months after the evaluation has terminated.
- (iii) Report to be analysed and entered into Planning and Evaluation Information System of Corporate Memory.
- (iv) Internal IDRC workshop to review report if applicable.
- (v) Provide a periodic review to the President and President's Committee about the recommendations of evaluation studies and the implementation of these recommendations.

Product:

- (i) Evaluation Completion Report. (ANNEX 4)

EVALUATION CRITERIA

- Cyclical and Comprehensive Evaluations undertaken in the form of indepth divisional reviews and project completion reports (PCRs).
- Specific evaluation studies undertaken at project and program levels. Criteria for these evaluations are:

Two main criteria to select and focus studies :

1) Users or clients.

2) Purposes or uses to which results will be put.

1) The potential users/clients of evaluations are :

Third World Researchers	Board of Governors
Third World Policymakers/	President
Administrators	President's Committee
	Management Committee
	Regional Directors
	Divisional Directors
	Program Officers
	OPE

With limited resources to devote to evaluation work and a very large number of possibilities, it is important to optimize returns to this activity by choosing carefully. Therefore, requests from the above users will be given attention. Preference given to Division which has to carry out retrospective analysis for President's Committee and Board - likelihood of results being used by widest audience in Centre.

2) Purposes :

Evaluation studies that can make a contribution to the following purposes will be given priority :

- i) focus on operational policies and practices - improve the way IDRC identifies, develops, monitors and audits projects.
- ii) provide policy formulation - to help establish or alter the Centre's policies on program priorities, donor relationships, strategies for development research.
- iii) increase the effectiveness of current activities - analysis of experience to date to improve and support decisions for continued funding of a project/program.
- iv) promote evaluation research - to demonstrate the value of evaluation research, to increase the evaluability of projects/programs and improve management, and to increase evaluation skills and capabilities.

Other indicators used to make final selection for evaluation studies :

- balance between types of projects, programmes and regions;
- past investment;
- cost and ease of assessment, and availability of data;
- receptivity and likelihood of use to recipient (cooperation by recipient);
- commitments and future intentions;
- offer input to widest audience in Division and Centre; and
- collaboration with other donor agencies.

ADMINISTRATION OF CONSULTANCY

(DAP Centre Administered)

Process:

- i) Inform Administrative Assistant of DAP for update of DAP funds.
 - ii) Issue consultancy letter. Consultant to be informed that s/he responsible for visa and health requirements. PTA to be issued if possible.
 - iii) Consultant to be informed that s/he has two contact points in the Centre and any requests (for ex. appointments with Centre Staff, travel arrangements, etc.) s/he might have are to be channelled through these contact points:
 - a) Planning officer for technical aspects of the evaluation.
 - b) Administrative assistant for financial and other support aspects of the evaluation.
 - iv) Secretarial help during consultant's stay at the Centre will be provided by a temporary secretary secured from the budget of the consultancy.
 - v) Orientation discussion : Consultant to have a session with administrative assistant for orientation to the Centre's financial and administrative procedures for filing consultancy claims and IDRC travel regulations. A briefing folio consisting of the following to be given to consultant/s:
 - i) Guide for Evaluation Reporting (ANNEX 5);
 - ii) OPE Evaluation Policy and Philosophy (Briefing Notes);
 - (iii) Procedures for submitting Consultancy Claims and Expenses.
 - (iv) Letter of introduction from Director of OPE or designate for consultant's visits to IDRC's project recipients and identification during travel on Centre business. (ANNEX 6)
 - vi) Consultant's fees are to be based on IDRC's administrative manual unless otherwise specified. Surcharges to be paid for consultants hired from other organizations.
-

(DAP - ASRO ADMINISTERED)

Process:

- (i) Inform Regional Comptroller for update of funds.
- (ii) Issue standard consultancy letter indicating inter alia
 - a) Visa/health requirements;
 - b) RD/PO as contacts; and
 - c) PTA/per diems/advances.
- (iii) On receipt of acceptance of contract letter, issue PTA/perdiems/advances.
- (iv) Secretarial help during Consultant's stay at Regional Office will be provided by a temporary secretary secured from the budget of the consultancy.
- (v) Orientation discussion: Consultant to have a session, with RD/PO on administrative/financial aspects of consultancy, if RD/PO feel this is necessary or expedient.
- (vi) Letter of introduction from RD/PO for consultant's visits to IDRC project recipients and identification during travel on Centre business.
- (vii) Consultant's fees are to be based on IDRC's Administrative Manual unless otherwise specified. Surcharges to be paid for consultants hired from other organisations.

(DAP - EARO ADMINISTERED)

Process: (Same Procedures as Centre Administered)

(DAP - SARO ADMINISTERED)

Process:

- i) Evaluation consultancy study and DAP to be included in RODF Pipeline.
 - ii) OPE/ROCU to be consulted and their views sought if evaluation study is of Regional Office initiative.
 - iii) Negotiate consultancy contract.
 - iv) For countries other than India in the SARO region obtain necessary Government approval for evaluation studies.
 - v) Prepare and issue consultancy contract letters.
 - vi) Inform consultant of contact points at Regional Office which would normally be RD and appropriate PO for professional discussion and Regional Comptroller and Administrative Officer for administrative purposes.
 - vii) Discussions with RD and RC regarding Centre procedures.
 - viii) Issuance of letters of introduction from RD.
 - ix) Consultants fees to be based on policy manual, non regional consultants salary for regional consultants to be negotiated by RD.
-

CLASSIFICATION OF EVALUATION DOCUMENTS

- a) unclassified;
- b) IDRC Confidential - Criteria:
"documents relating to Centre policies or projects in the formulation or assessment stages which contain information that could be embarrassing or damaging to reputations if widely disseminated. Examples are assessments of the worth of project proposals, of the competence of research institutions, of the credibility or honesty of research personnel or other persons, and such evaluative studies as project completion reports. Contents of these documents are not to be disclosed to others than IDRC personnel unless specific authorization is received from an officer." (President's memo to Centre Officers 15/10/81)

EVALUATION COMPLETION REPORT

- 1) Was the evaluation undertaken satisfactorily in terms of methodology used, issues examined and recommendations provided to satisfy the user/s needs?
- 2) What lessons were learnt from the evaluation concerning
 - i) Centre policy and practices; and
 - ii) research for development.
- 3) Were the recommendations of the evaluation accepted by the user/s? If some of the recommendations were not accepted, what were the reasons? Were the recommendations of the evaluation implemented as program/divisional/Centre operational policy?
- 4) Did the evaluation build up evaluation capacity and generate an interest in undertaking evaluation?

GUIDE FOR EVALUATION REPORTING

It is critically important that evaluation reports be written in such a way that "users" can easily locate and understand recommended courses of action. In addition the Centre wishes to consolidate and learn from its evaluation work. Efforts to accumulate experiences can be made much easier if some common reporting format is adopted.

The purpose of this guide is merely to give evaluators an example of a possible format which might be used when writing their reports.

TITLE PAGE:

Title of report
 Author(s)
 Date
 Requesting organization/Centre division.

TABLE TO CONTENTS

ACKNOWLEDGEMENTS (optional)

1. EXECUTIVE SUMMARY

An Executive Summary is essential. It should consist of a short introduction to the study, leading into a synthesis of major conclusions and recommendations. It should reflect the priorities of the analysis and of the findings. The Executive Summary should be able to stand on its own, giving the reader a concise understanding of the strengths and weaknesses of the project or programme under review.

2. INTRODUCTION

The Introduction should set the stage for the remainder of the report. As such, the following topics should be considered:

- ° What problem(s) or issues(s) the evaluation is tackling, leading up to why the evaluation is being done.
- ° A list of evaluation objectives as well as a description of how the objectives were devised is essential.
- ° An outline of logistics may be helpful and could include who was chosen to do the evaluation and, for teams, the respective responsibilities of each member, by whom evaluator(s) were selected, the time frame for the study, etc.

- ° A description of the methodology is necessary to show how the problems, issues and objectives were studied. Objectives are often written in general terms and it is necessary for the evaluator(s) to disaggregate them into more meaningful and manageable issues. Hence, it is useful to show how the evaluator(s) interpreted the objectives and transformed them into "issues" or discrete topics. Where formal research tools (eg: Interview guides, questionnaires) are devised, copies should be included in the appendix. A brief critique of the methodology should be given.
- ° Any directions to guide the reader through the remainder of the report should conclude the Introduction.

3. DESCRIPTION OF THE PROJECT

A very brief description of the project/programme should include the following:

- ° The rationale for the project/programme, or, why it was developed and funded. What ex-ante work was completed prior to documenting the project/programme.
- ° The objectives of the project/programme.
- ° What inputs were to be provided both by the Centre and the recipient institution.
- ° What monitoring work has been done along with a summary of the changes which resulted.

4...n MAJOR ISSUES TO BE ADDRESSED BY THE EVALUATION

As noted in Section 3 above, likely, each evaluation objective can be disaggregated into more meaningful topics. Each objective along with their corresponding issues could form a discrete chapter of the report. A precise summary should conclude each chapter in which the evaluation objective in question is fully addressed.

n+1 CONCLUSIONS AND RECOMMENDATIONS

Using the summaries at the end of each "ISSUES" chapter, major conclusions and recommendations can be quite easily formulated. Both the strengths and weaknesses of the project/programme should be included. Justification should be given prior to listing each recommendation, even though it may duplicate that which has been written elsewhere in the report. If possible, recommendations should be grouped by policy and operational issues, by the evaluation objectives, or by short, medium and long term recommendations, etc.

APPENDICES

- A. Evaluator(s) Terms of Reference
- B. Itinerary if applicable
- C. Detailed research design including examples of research tools and workplan if appropriate.
- D. Contact list/bibliography.
- E. Synthesis of or actual project summary.
- F. Costing of the evaluation if available.
- G. Synthesis of interview/questionnaire results, etc.

To Whom It May Concern.

I am pleased to introduce (name of consultant/s), (position), (institution), who has/have been contracted by the International Development Research Centre to evaluate (Title of Project/Name of Program) which has been partially supported by the Centre for the past (no. of years). On behalf of the Centre, I would appreciate if you could provide any assistance to (name of consultant/s) in the conduct of his/her/their evaluation activities.

With best wishes.

Yours sincerely,

W. D. Daniels,
Director,
Office of Planning & Evaluation.