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EVALUATION STATEMENTS OF WORK GOOD PRACTICE EXAMPLES

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EVALUATION STATEMENTS OF WORK

GOOD PRACTICE EXAMPLES



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INTRODUCTION

USAID’s evaluation office frequently receives requests from its staff for examples of exemplary evaluation Statements of Work (SOWs) to assist them in developing high-quality SOWs for evaluations of projects and programs. However, while many evaluation SOWs excel in one or two elements, these same SOWs do not necessarily provide the best models for other elements. This document attempts to respond to these requests by providing readers with “good practice” examples of the various elements of an evaluation SOW. This guide is aligned with USAID’s evaluation policy (and the associated Answers to Frequently Asked Questions), USAID’s Automated Directives System (ADS) Section 203, and the USAID TIPS - Preparing an Evaluation Statement of Work. To successfully write a high-quality SOW, it is important to be familiar with all three of these documents, as this guide intentionally avoids duplicating the information found within them.

An important foundation for this guide is a review of a set of evaluation SOWs that was undertaken in 2010 for USAID’s evaluation office.¹ In any cases where none of the SOWs that were initially reviewed offered a good model for constructing a particular section of an evaluation SOW, the authors adapted these from other USAID project and program documents. References for all the sources drawn upon in compiling this guide are listed at the end of the document, and, where available, links to these are provided.

The examples included in this volume are drawn primarily, but not exclusively, from SOWs for USAID performance evaluations, as defined in USAID’s evaluation policy. Examples for impact evaluation SOW elements are included wherever the differences between performance and impact evaluations have important implications for SOW development.² The main differences between these two types of evaluations, from a SOW development perspective, lie in the purpose for which they are undertaken, the questions they address, and their design, duration, and cost.

USAID Evaluation Policy: Impact and Performance Evaluations

- **Impact evaluations** measure the change in a development outcome that is attributable to a defined intervention; impact evaluations are based on models of cause and effect and require a credible and rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change. Impact evaluations in which comparisons are made between beneficiaries that are randomly assigned to either a “treatment” or a “control” group provide the strongest evidence of a relationship between the intervention under study and the outcome measured.
- **Performance evaluations** focus on descriptive and normative questions: what a particular project or program has achieved (either at an intermediate point in execution or at the conclusion of an implementation period); how it is being implemented; how it is perceived and valued; whether expected results are occurring; and other questions that are pertinent to program design, management and operational decision making. Performance evaluations often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual.

¹ This review of evaluation SOWs was carried out by scoring each SOW against the checklist included as Annex A to this document. This checklist has been updated to reflect the evaluation policy. In some cases the language in examples has been edited or adapted from its original form.

² In this guide the term “impact” is used in more than one way. Since January 2011, USAID has used this term to refer to evaluations that include a comparison group or use some other method for testing the counterfactual, or what would have occurred in the absence of the intervention that is being evaluated; this is the meaning implied whenever the term “impact evaluation” is used in this guide. However the term “impact” is also sometimes used in SOW evaluation questions to refer to long-term effects of projects or to the highest-level outcome in a chain of results.

Structurally, this document is divided into five sections, each of which addresses a group of evaluation SOW elements.

- I. **Background Information:** The first section of this guide covers SOW elements that describe the project or program to be evaluated. This includes any relevant background information on what a project intended to accomplish, who it was intended to benefit, and any changes that have occurred during implementation. Typically, all of this information is drawn from existing documents.
- II. **Evaluation Rationale:** The second section addresses the fundamentals of an evaluation, including its purpose, its intended audience and uses, and the evaluation questions it is expected to address. USAID policy envisions the development of these aspects of an evaluation SOW as an iterative and collaborative process that begins in the design phase and involves in-country partners and stakeholders.
- III. **Evaluation Design and Methodology:** The third section focuses on technical aspects of an evaluation SOW, namely the evaluation's design and the methods that are to be used for data collection and analysis.
- IV. **Evaluation Products:** The fourth section of this document provides information on what the evaluation team is responsible for delivering to USAID, both throughout the evaluation and upon its completion. Specifically, this refers to the final evaluation report, which must meet USAID's reporting criteria, as well as any other reports, research instruments, or briefings required by the Agency.
- V. **Team Composition:** The fifth section details what USAID expects will be the intended size of an evaluation team, the roles and responsibilities of team members, and the specific qualifications that team members are expected to possess.
- VI. **Evaluation Management:** The final section addresses the management elements of an evaluation SOW, not the least of which is USAID's budget for the evaluation. Additional SOW elements in this section include the evaluation logistics, timeline, and period of performance.

While a good SOW does not guarantee that a resulting evaluation will be of a high quality or will increase the development effectiveness of USAID assistance, a good SOW will help evaluators understand USAID's expectations, which in turn should improve evaluation quality.

I. BACKGROUND INFORMATION

An evaluation SOW provides an evaluation team with a detailed overview of the project that is to be examined. It supplies basic project identification data, describes the context in which the project was initiated, and outlines the project's intent and implementation approach. This information is typically drawn from documents such as the project work plan, performance management plan (PMP), or quarterly and annual reports.

A. IDENTIFYING INFORMATION

Evaluations can focus on projects or programs being implemented within a single country or in multiple countries. In some instances the focus of an evaluation may be a single innovative intervention within a project. A SOW introduces the project that USAID wishes to evaluate, stating its title, start and end dates, funding levels, funding sources (e.g., mission, regional office, or Washington), implementing partners, and sector or topic. This information is presented in either a list or narrative format.

Example I: Project Identification Data

1. Program: President's Emergency Program for AIDS Relief (PEPFAR)
2. Project Title: Positive Change: High Risk Corridor Initiative
3. Award Number: 663-A-00-01-00350-00
4. Award Dates: February 2001–September 2008
5. Funding: \$6,972,186
6. Implementing Organization: Save the Children, USA
7. Cognizant Officer's Technical Representative (COTR): Dr. Omer Ahmed

Source: Ethiopia High Risk Corridors Initiative (HRCI) Project

B. DEVELOPMENT CONTEXT

In addition to identifying the project to be evaluated and the relevant information that is available on it, a good SOW contextualizes the project by outlining the specific problem or opportunity the project was designed to address. This background information usually includes a description of the target group the project intended to reach and the geographic area it intended to affect.

I. PROBLEM OR OPPORTUNITY ADDRESSED

Most USAID projects are responses to specific development problems or opportunities. A good SOW provides a short background section that describes why a project was initiated. It also identifies any unique circumstances that prevailed in a country or countries at the time the project was designed, such as a change in the political climate or a recent natural disaster.

Example 2: Development Problem

Although infant, child, and maternal mortality rates in Mozambique have been decreasing in recent years, the rates are still among the highest in Africa and the world at large. Communicable infectious diseases and parasites, namely malaria, diarrhea, respiratory infections, tuberculosis, and the rapid spread of AIDS dominate the country's epidemiological profile. Health infrastructure and service provision remain weak, resulting in poor quality of care. While the Government of Mozambique is committed to building an equitable health system that is affordable and sustainable, the health services network is not yet sufficiently developed to meet the health needs of a highly dispersed population.

Source: Mozambique Fostering Optimization of Resources and Technical Excellence for National Health (FORTE) Saúde Project

2. TARGET AREAS AND GROUPS

An evaluation SOW clearly identifies the target areas where the project was implemented, or the area it was attempting to affect (i.e., implemented in Kenya to affect Somalia). It also specifies each of the target populations that the project was designed to assist.

Example 3: Target Area and Target Populations

The High Risk Corridor stretches almost 1,000 kilometers from Addis Ababa to Djibouti City along two main routes. There are 27 communities along these routes, of which 25 are accessible based on security considerations. The HRCI has been implemented in 24 towns in five regions along two main trucking routes: Addis Ababa–Nazereth–Awash–Galafi–Djibouti border and Addis Ababa–Nazereth–Awash–Dire Dawa–Djibouti border. The high-risk corridor includes the Amhara, Afar, Oromiya, Dire Dawa, and Somali Regions.

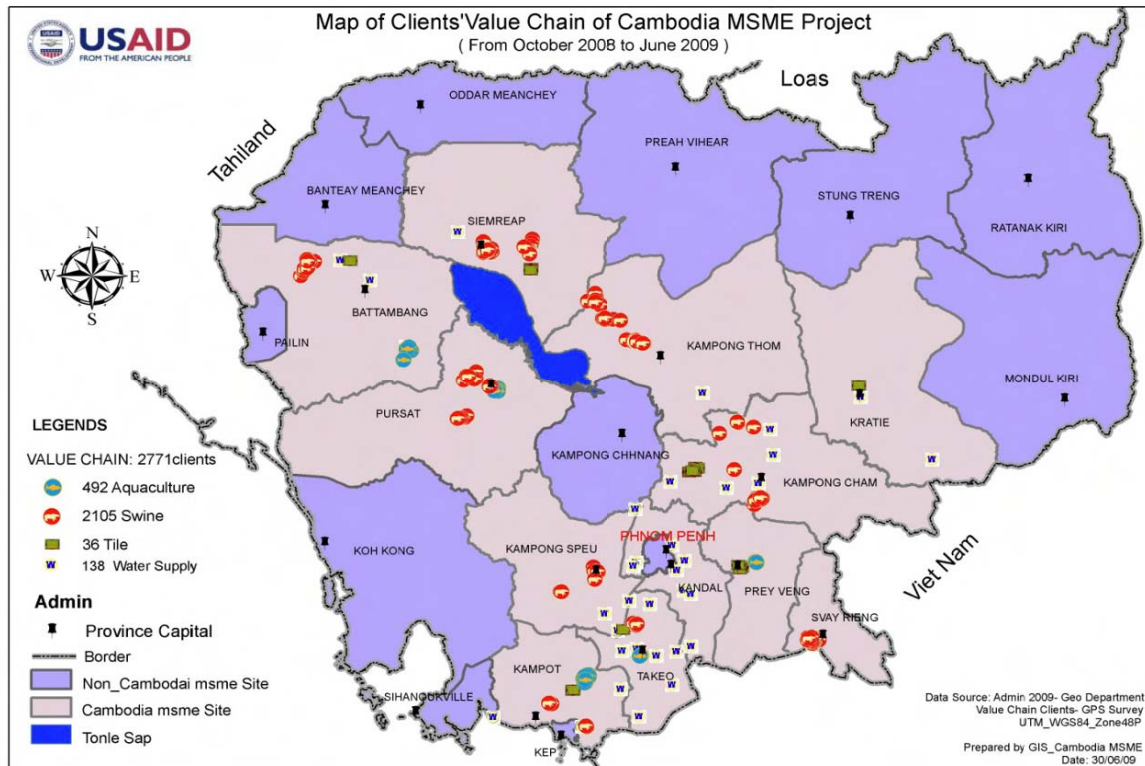
The project focuses on several target populations: higher-risk youth (including street youth, commercial sex workers, in and out of school youth, unemployed, sexually vulnerable girls); mobile higher-risk groups (transport workers and assistants and commercial sex workers); influential leaders; employed civil service personnel; and groups affected by HIV and AIDS, PLWHA, and orphans and vulnerable children.

Source: Ethiopia High Risk Corridors Initiative (HRCI) Project

It is helpful when evaluation SOWs include a map that displays where project activities are being implemented. Any relevant demographic information can also be presented in this manner: for example, if project activities affect a range of ethnic groups, a SOW might include a map that shows how these populations are dispersed across the target area. Maps also help evaluation teams understand the travel implications of the prospective work.

Example 4: Map of Target Areas and Project Activities

The project operates in twelve provinces in Cambodia: Battambang, Siem Reap, Kampong Thom, Kampong Cham, Kampong Speu, Kandal, Kratie, Prey Veng, Svay Rieng, Pursat, Takeo, and Kampot.



Source: Cambodia MSME 2/BEE Project

C. INTENDED RESULTS

USAID designs programs and projects to achieve specific results. An evaluation SOW identifies these intended results and explains how its assistance—which can be delivered through a mix of modalities, such as training, technical assistance, or grants to local organizations—is expected to lead to their achievement. Explanations of this sort often involve a sequence or chain of “if-then” statements that USAID terms “development hypotheses.” USAID mandates that development hypotheses be included in evaluation SOWs, and these can normally be found in project documents.

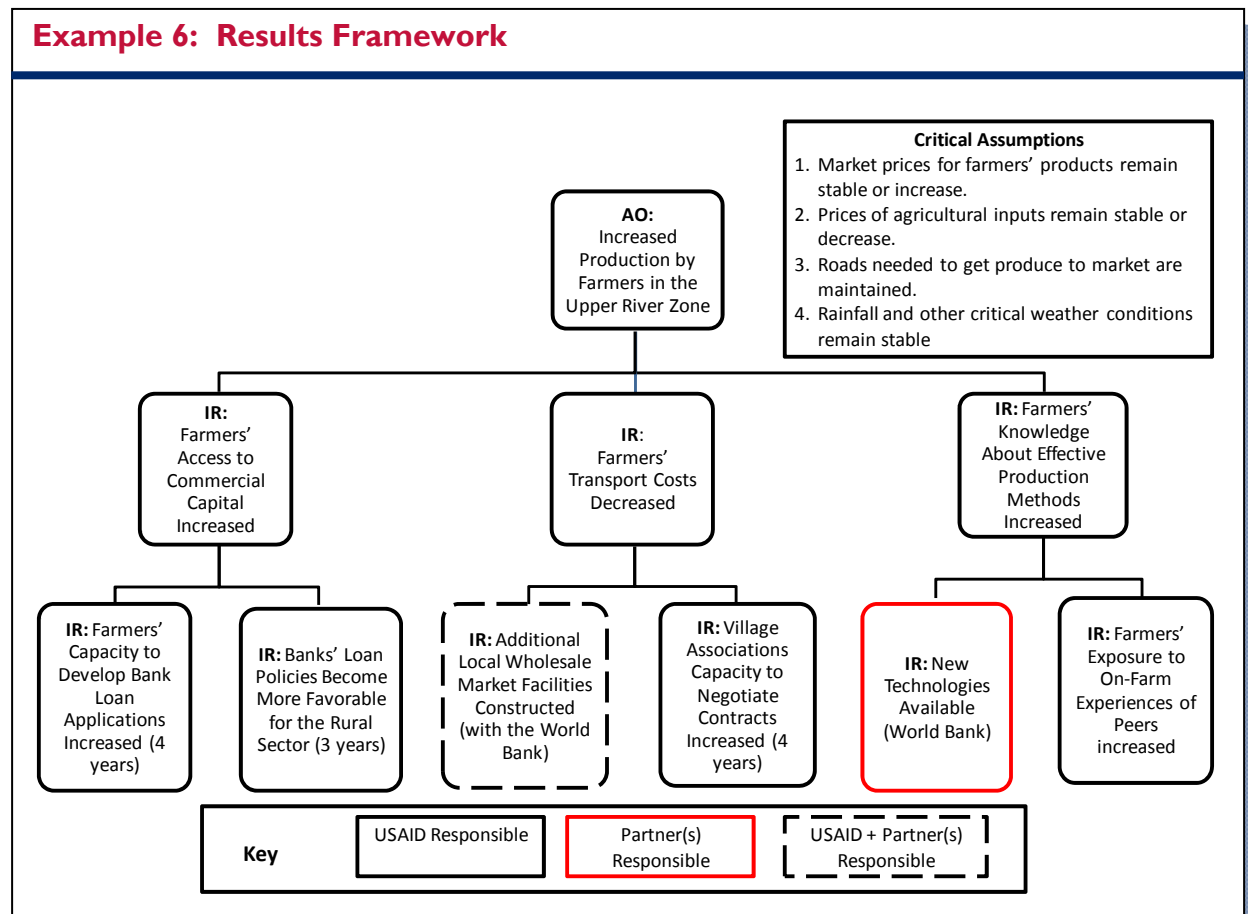
Example 5: Development Hypothesis

If USAID improves the Government of Macedonia’s capacity and coordination related to increasing domestic investment and attracting more foreign investment under the framework of the GOM’s new Industrial Policy; supports a comprehensive and effective export promotion strategy; continues to support improvements in the public procurement capacity; develops and institutionalizes stronger mechanisms for public-private dialogue; and reforms and streamlines the laws and processes related to the planning and permitting of construction land, the result will be an improved business environment in these critical areas.

Source: Macedonia Investment Development and Export Advancement Support (IDEAS) Project

While development hypotheses may be stated in a narrative form, they can also be presented graphically. USAID normally uses a Results Framework to display the development hypotheses for programs or, less frequently, for multi-component projects.

Example 6: Results Framework



Source: USAID TIPS - Building a Results Framework

For most projects, however, USAID’s ADS recommends using a Logical Framework to present the development hypotheses and the assumptions upon which the project’s “if-then” chain of results depends. If a Logical Framework is available for a project, it is helpful to include this in an evaluation SOW.

If no Results Framework, Logical Framework, or other clear presentation of a project’s development hypotheses is available, it is important that a SOW mention this, since this gap may have implications for carrying out an evaluation.

Example 7: Logical Framework

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
<p>Program Goal: Economic Growth enhanced.</p>	<ul style="list-style-type: none"> ▪ Economic growth rate of better than 4% ▪ Positive trend in small business share of GDP 	<ul style="list-style-type: none"> ▪ Calculations involving existing sets of data on national and SME economic performance 	
<p>Project Purpose: Competitiveness of Serbian SMEs in twelve target sectors sustainability increased.</p>	<p>End of Project Status:</p> <ul style="list-style-type: none"> ▪ Sales revenue from SMEs in target sectors increase by 10% ▪ Share of SME products in target sector exports increased by 15% ▪ Ten percent increase in investment in target sector SMEs ▪ Jobs in target sector SMEs doubled. 	<ul style="list-style-type: none"> ▪ Firm specific baseline and post intervention data for a sample of SMEs in target sectors and for comparison first in the sector that were not assisted. 	<p>Affecting the purpose-to-goal link:</p> <ul style="list-style-type: none"> ▪ No significant internal/external economic shocks ▪ Political stability ▪ Changes in profile of larger industries and their contribution to GCP remains relatively stable
<p>Outputs:</p> <ol style="list-style-type: none"> 1. Management practices in target SMEs improved. 2. SME participation in market expansion/exporting expanded 3. Regulatory environment for SME firms improved 4. Awareness of private sector opportunities in 12 target sectors, and this project, increased. 	<ul style="list-style-type: none"> ▪ Scores on management status rating system improved by two ratings on average ▪ 20% increase in the number of SMEs engaged in deliberate market expansion activities ▪ At least 3 of 5 target laws/regulations changed ▪ 10% increase in SMEs demonstrably aware of opportunities in their sectors 	<ul style="list-style-type: none"> ▪ Standardized, participatory firm level management and financial management assessment system ▪ Annual competitive environment awareness survey. 	<p>Affecting output-to-purpose link:</p> <ul style="list-style-type: none"> ▪ Steady or growing domestic and/or international demand for target sector products ▪ Stable or increasingly favorable prices for inputs and final products ▪ Stable or improving transportation costs
<p>Inputs:</p> <ol style="list-style-type: none"> 1. Sales and marketing assistance to SMEs in target sectors, e.g., trade shows, promotional campaigns, market research. 2. Education & Training – executive education, financial management, etc. 3. Policy advice & reform advocacy 4. Public and media outreach 	<p>Level of Efforts/Expenditures [See project budget]</p>	<ul style="list-style-type: none"> ▪ Project records concerning the provision of inputs 	<p>Affecting input-to-output link:</p> <ul style="list-style-type: none"> ▪ No significant change in government attitude toward private sector

Source: Serbia Competitiveness Project

D. APPROACH AND IMPLEMENTATION

In addition to specifying a project’s activities and its intended results, a good SOW describes how the project was implemented—the approach USAID adopted to transform project resources into results. It also alerts an evaluation team to any modifications that have been made to a project’s design or budget.

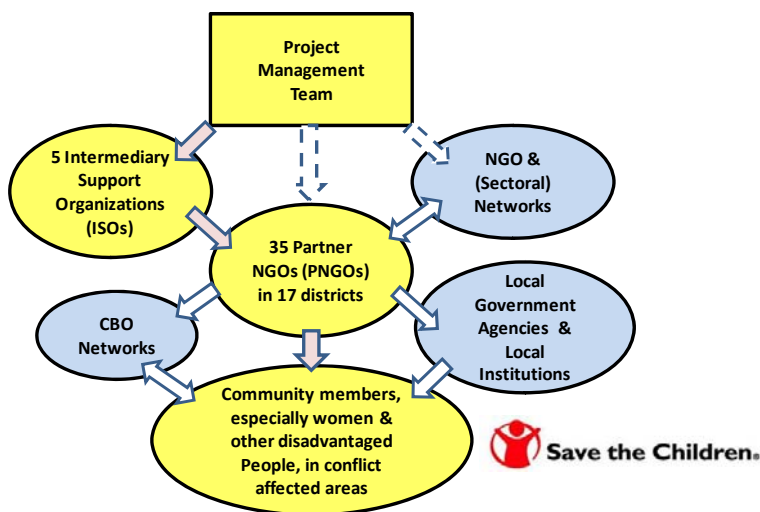
Some SOWs provide a brief narrative or a graphic depiction of the project’s implementation approach. They inform potential evaluators about a project’s sequence of activities, its phases, or its use of a tested or recognized model, such as a “value chain,” that vertically links all of the actors involved in the production of a good or service. If an approach encountered difficulties due to either internal or external factors, the SOW details any adjustments that were made to address these. Diagrams, such as that shown in the example below, help an evaluation team understand how the project was carried out and why particular strategies were considered appropriate.

Example 8: Project Approach

The DIMP followed an “organizational development” issue-based approach whereby the organizational assessment tool was the basis for NGOs to assess their organizations and formulate activity plans to address their issues and build on their strengths. This approach was constrained by the NGOs’ lack of knowledge of how to address the issues they identified, and by the need of the project to have consistent activities across the NGOs to ensure common indicators in the planning matrix are addressed, and to ensure that the Project Management Team (PMT) can manage the range of intervention activities required. During FY 2005, the PMT with Intermediary Support Organizations (ISOs) revised the approach and identified a new tool, Institutional Development Framework (IDF), to more effectively help NGOs assess where they are now and where they want to reach. Based on the tool and the assessment of NGOs, a set of major interventions were identified using a training approach, and the development of modules was initiated. Since August 2005 SANDEEP has been implementing ‘project-set interventions’ to all PNGOs and ISOs that have not reached “capability” in the five organizational categories as defined by the project.

The model provides support through the PMT of SANDEEP to five ISOs which in turn support 35 local district PNGOs to strength their internal organizational capacities so that they can improve services to target communities. The ISOs are developed as organizational development and capacity building support organizations by PMT, applying their expertise both with PNGOs and within their own organizations.

Project Outreach to NGOs and Communities



Source: Strengthening the NGO Sector in Nepal (SNSN) Project

If any contractual modifications have been made to a project’s design or budget, it is helpful to summarize these and describe how they have affected the project.

Example 9: Project Modifications

In December 2004, USAID/Liberia initiated CEPPS to support Liberia's democratization following 14 years of civil war, political and social disintegration, and a negotiated transitional governing period leading to landmark multi-party elections in October 2005. During the initial period of the Agreement (from 12/14/2004 as amended through 07/31/2006), the overall goal of USAID/Liberia's democracy and governance objective was to support key institutions and processes in order to (a) realize successful Liberian national general elections in October 2005, and (b) help ensure a successful transition from conflict to a newly elected government based on democratic principles of participation, representation, and accountability.

After the successful elections in October 2005 and the transfer of power from the Transitional Government to the Sirleaf Administration, the political climate was extremely delicate and challenging. USAID and CEPPS agreed on modified activities to be responsive to the political and atmospheric challenges. Effective 12/20/2006, a major project and budget modification to CEPPS was completed to implement a new phase of elections and political process strengthening assistance through 10/31/2008. This new project took into account the successful transfer of power from the National Transition Government of Liberia, negotiated under the Comprehensive Peace Agreement, to a legitimately-elected president and national legislature. The revised project description was drafted to reflect the new political dispensation and technical assistance needs of the Government of Liberia. The Political Processes Strengthening Project was revised to support the Strategic Objective "Democratic Governance Enhanced" and Intermediate Result 9.4 Political Processes Strengthened (to include legislature, elections, political parties, and legal reform. From December 2004 until the present a total of USD \$17,816,097 has been obligated to CEPPS.

Source: Liberia Elections and Political Processes Project

E. EXISTING DATA

A good SOW specifies the documents that will be available to evaluators, such as the project's work plan, PMP, or monitoring and evaluation plan. Since it is USAID's intent that evaluations build on, rather than duplicate, existing performance information, a SOW also identifies any available baseline data, quarterly or annual reports, or previous audits or evaluations of the project. If any key documents are unavailable, outdated, or inaccurate, this is also noted. Similarly, whenever the projects or programs to be evaluated lack baseline data, it is helpful to specify this, since the absence of a baseline (and the potential need to reconstruct it) may have implications for the level of effort required to carry out an evaluation.

It is particularly important that a SOW clarify when and how an evaluation team will gain access to these documents. In some cases a SOW may state that they will be provided when the team arrives in-country, but a SOW can also include some or all of these materials as attachments or detail how they can be located online. Attaching, or providing links to, such documents allows evaluation teams to become familiar with this information as quickly as possible and helps them to develop more realistic evaluation plans and proposals.

Any additional resources an evaluation team should reference that are not project specific—such as sector analyses or reports on related efforts of USAID, host-country governments, or other donors—are also highlighted in this section.

Example 10: Background Documents

The team may find it useful to consult a broad range of background documents apart from project documents provided by USAID/Zimbabwe. These may include documents that relate to HIV/AIDS testing and counseling services, social marketing of health commodities, and communication strategies that seek behavior change—particularly in increasing public knowledge of HIV risks. The team may also find the PSP-One project website useful: www.pspiqc.org, as well as background information on the state of the Zimbabwean health care system.

USAID and the Partnership Project will provide the evaluation team with a package of briefing materials, including:

- The SOW for the Partnership Project.
- Project quarterly reports, work plans and management reviews developed as part of routine monitoring.
- DFID annual reviews of PSI
- A self-assessment of the Partnership Project that will be completed in February 2008.

Source: Zimbabwe HIV/AIDS Partnership Project

II. EVALUATION RATIONALE

Having identified and described the project to be evaluated, a good SOW outlines what USAID wants or expects from the evaluation. Evaluators must know why an evaluation is necessary at this stage of the project, who will use the information it produces, and what decisions will it inform. The team also needs to know the evaluation questions (and, preferably, the priority assigned to them) to determine how to structure their work.

USAID evaluation guidance recommends that these elements of a SOW be developed through a consultative process involving country-level stakeholders and implementing partners. Although stakeholder consultations take time, they help ensure the most widespread usage of the evaluation by verifying that the questions it asks are those that are most important to all audiences and that its timing is appropriate to inform key decisions.

A. EVALUATION PURPOSE

The purpose statement in an evaluation SOW explains why an evaluation is being conducted. At the broadest level, USAID undertakes evaluations to enhance learning and to provide accountability; however the most immediate purpose of a given evaluation will be to improve program or project effectiveness or to inform specific future decisions. What distinguishes evaluations from research, and a good SOW from a weak one, is the management relevance of their statement of purpose: it is never simply “to undertake an evaluation.”

When the need for an evaluation is identified during the project design phase, its anticipated management purpose will likely also be clear at that time. For example, if a project is introducing an innovative intervention, an evaluation might be planned to determine whether the intervention should be scaled up. In other cases, the need for an evaluation and its purpose may only become apparent during implementation. For example, if a project is experiencing implementation problems, an evaluation conducted at this stage could be valuable in establishing what modifications should be made to it.

Example 11: Evaluation Purpose (During Implementation)

This external evaluation comes at the chronological mid-point of the Afghan e-Quality Alliances project. It is a mid-term evaluation whose objectives are to help determine what activities are working well and why, which perhaps are not and why, and to make modifications and mid-course corrections, if necessary, to help guide the Afghan e-Quality Alliances project over its second half. Examined should be the flexibility and adaptability of the project, as typified by the Masters of Public Policy and Administration at Kabul University, and the ANGEL center in the Institute of Diplomacy of the Ministry of Foreign Affairs not planned for in the original agreement, but now realities. The evaluation should provide pertinent information, statistics, and judgments that assist WSU and its Implementing Partners, the MOHE, and USAID to learn what is being accomplished academically and organizationally, and what relevant management, financial, and cost efficiency findings present themselves. In summary, the evaluation will help all involved to better understand the initial results and contributions of the project, and help re-focus and strengthen it.

Source: Afghan e-Quality Alliances Project

USAID may also decide to conduct an evaluation toward the end of a project's life cycle. The purpose of an evaluation conducted at this stage could be to inform the design of a follow-on project or to provide lessons learned to those who are considering undertaking similar projects in other countries.

Example 12: Evaluation Purpose (Approaching End of Project)

The USAID/Ukraine Mission intends to conduct an evaluation of its legislative strengthening project assisting the Ukrainian Verkhovna Rada. This evaluation is meant to serve a dual purpose: (1) to learn to what extent the project's objectives and goals—at all result levels—have been achieved; and (2) to inform the design of a new governance project. It is expected that approximately one-third of the evaluation team's effort be devoted to an evaluation of IUPDP's activities from 2003-2008, and two-thirds of the evaluation team's effort be devoted to informing the design of the new governance initiative.

The life of the current USAID activity is scheduled to come to an end in July 2008. This evaluation will assist the Mission in reaching decisions related to: (1) the effectiveness of the current approach to strengthening the legislative process; (2) the type of mechanism the Mission should use in any future assistance to the Ukrainian legislative process; and (3) the nature and scope of possible future interventions in the sector of legislative assistance, based on lessons learned from the current project, and an assessment of the legislative process viewed more broadly; and (4) inform Mission's non-DG strategic objectives on the feasibility of accessing parliamentary committees to influence policy decisions that impact on other Mission legislative priorities.

The Mission anticipates as a deliverable for this evaluation/assessment, a two-part report. The first section should focus on an evaluation of IUPDP activities from 2003-2008, and the second section should focus on recommendations for the Mission's new Governance Program, outlining priority directions for governance assistance over the next three-five years. Technical recommendations within this paper will serve as the basis for a concept paper for the new design and form the basis for the project description to be developed for this project. The paper shall also recommend optimal procurement options for the Mission's consideration.

Source: Ukraine Legislative Strengthening Project

Some USAID missions have chosen to undertake an evaluation at some point after a project has ended; this may occur anywhere from several months to several years after its completion. For this type of evaluation, often called an ex-post facto evaluation, the purpose is usually to determine the sustainability of USAID's efforts—e.g., whether beneficiaries continue to experience the positive effects engendered by a project, or whether other institutions have continued to offer services similar to those previously provided by USAID.

B. AUDIENCE AND INTENDED USES

A SOW explains who will use the results of an evaluation and how they will do so. The primary audience for an evaluation is normally USAID, and a good SOW specifies the intended users of the evaluation within the Agency, such as a country or regional missions, technical offices, or USAID/Washington. Secondary users of an evaluation may include governments or NGOs with whom USAID collaborates. Such audiences may, for example, plan to carry on project services after USAID funding ends and will use the evaluation to help plan and manage their efforts. Other potential users include local academic institutions or other donors.

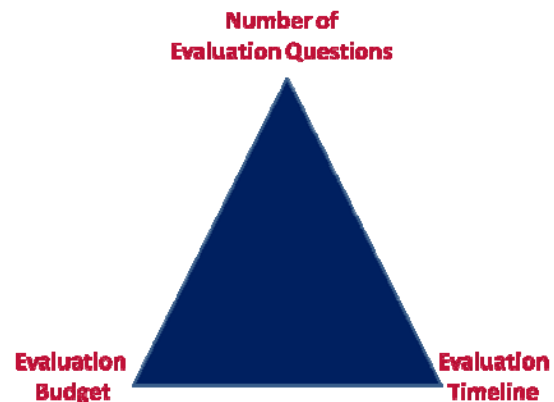
Example 13: Audience and Intended Uses

The audience of the evaluation report will be the USAID/Mozambique Mission, specifically the health team, the Africa Bureau, and the implementing partner. An Executive Summary and recommendations will be provided to the MOH. USAID will use the report to make changes to its current strategy of providing support to the central level and to share lessons learned with other stakeholders; Chemonics and its subcontractors will learn about their strengths and weaknesses and adjust their project accordingly; and the MOH will learn more on how to better benefit from Chemonics TA. It is expected that the PVO partners and the Provincial Health Directorates will have the opportunity to discuss how the Chemonics Forte Saúde project assisted them and how this type of project could better assist them in the future to meet goals.

Source: Mozambique Fostering Optimization of Resources and Technical Excellence for National Health (FORTE) Saúde Project

C. EVALUATION QUESTIONS

Evaluation questions structure the evaluation process, and USAID intends that these be aligned with an evaluation's purpose and expected uses. USAID encourages that the set of questions which any planned evaluation is expected to address be considered during the program or project design phase. Early identification of these questions will clarify the type of baseline data that a project will need to collect and will inform decisions on whether any comparison groups need to be established before an intervention starts. While some evaluation questions will be anticipated early in program or project design, these may need to be refined when a SOW is written; USAID may also want to add additional questions to an evaluation SOW to address any unanticipated issues that have emerged during project implementation. Regardless of when USAID decides to undertake an evaluation, questions that enquire about the cost-effectiveness of project activities may provide useful information for making future resource allocation decisions.



A good SOW tries to guarantee that each evaluation question is answerable with the highest-quality and most credible evidence possible, given time and budget constraints. To ensure that a team will be able to gather adequate evidence to sufficiently address each of the evaluation questions, USAID explicitly states that a limited number of evaluation questions be included in a SOW. In practice, this means that while brainstorming sessions among USAID and other stakeholders may generate a wide range of potential evaluation questions, a critical review is often needed to narrow these down to a manageable number.

The types of questions that are included in evaluation SOWs are also closely related to the evaluation's timing. SOWs for performance evaluations to be carried out during project implementation are likely to focus on processes and often include questions about a project's approach, implementation management, or relationships among project partners, as well as questions about a project's early results—many of which may have been anticipated and budgeted for during project design.

Example 14: Evaluation Questions (During Implementation)

- How effectively has each of the activities engaged Timorese stakeholders at the local and national level?
- How effectively have activities coordinated with USAID or other donor efforts to achieve overall strategic objectives?
- How effective have non-state mechanisms and state institutions been in improving the protection of legal rights of women, children, and other vulnerable populations, and in reducing impediments to achieving fair, impartial, and consistent justice?

Source: Fostering Justice in Timor-Leste: Rule of Law Project

An evaluation SOW developed toward the end of a project's life cycle can include a range of questions that will vary according to specific purpose of the evaluation. One of the most common purposes of an end-of-project evaluation is to inform decisions about a follow-on project, while other evaluations undertaken at this stage may focus more accountability and learning than making immediate decisions.

Example 15: Evaluation Questions (Approaching End of Project)

- Was progress towards the agreement's planned results positive or negative?
- What were the unintended consequences and effects of the project?
- To what extent was NLT able to build capacity for the Government of Namibia ministries and community organizations?
- To what extent did NLT monitor and evaluate the outcomes and impact of the range of communication activities supported by the project?
- To what extent did NLT use a strategic and sustainable mix of communication channels to reach diverse populations of persons at risk?
- What were the implications of making a transition from JHU to NLT on project implementation, management, and financial savings?

Source: Namibia NAWA Life Trust Project

Evaluation Criteria developed by the OECD/DAC suggests that several categories of questions may be worth considering for any performance evaluation, including questions relating to the relevance of the project to the problem it addressed or the project's effectiveness, efficiency, impact, and sustainability.³ Which of these categories are most appropriate will depend on the specific evaluation.

³ *Evaluating Development Co-Operation*. Organization for Economic Co-Operation and Development, Development Assistance Committee (OECD/DAC). 2010, p. 13.

Example 16: Evaluation Questions Based on OECD/DAC Criteria

Question Category	Question or Issue to be Addressed
Impact	<ul style="list-style-type: none"> • Explain the results and net impacts of activities and identify any unintended impacts. • If results were not met, identify why not and provide recommendations for strengthening the development strategy so they can be or will be met. • To the extent possible, measure the increase in the delivery of government services to the population.
Sustainability	<ul style="list-style-type: none"> • What are the prospects for the sustainability of the end results produced by this project? • What identified results appear to be less sustainable and why? • Was the scale appropriate to ensure sustainability?
Client Satisfaction	<ul style="list-style-type: none"> • Determine if the customer (GOI) needs were met, and if not met what wasn't met and why.
Cost Effectiveness	<ul style="list-style-type: none"> • Was this project implemented and managed cost effectively?
Relevance	<ul style="list-style-type: none"> • How relevant is this project to the short, middle, and long-term development needs of Iraq?
Validity of hypotheses and assumptions	<ul style="list-style-type: none"> • Is the original project design framework still valid, or have framework parameters changed, and why?

Source: Iraq Tatweer Project

In contrast to performance evaluations, which may include a heterogeneous set of evaluation questions, impact evaluations questions tend to be more narrowly centered upon the examination of causality. Causality-focused questions inquire about the effects of an intervention and suggest the need for an impact evaluation that can use rigorous methods to obtain strong evidence and address attribution.

Multi-project or program evaluations that examine the effectiveness and contributions of several projects to the achievement of a common goal are undertaken less frequently than are individual project evaluations. SOWs for this type of evaluation can include some program-related questions and other project-specific questions.

Regardless of when in the project cycle an evaluation is conducted, an evaluation SOW can include questions that will help USAID understand the differential effects of projects on male and female beneficiaries. USAID also expects evaluations to consider differences in the ways that women and men participate in projects, as well as the number and percentage of each sex that are actively involved.

Example 17: Gender Considerations in Evaluation Questions

The evaluation should examine gender issues within the context of the evaluation of IUPDP activities, and make recommendations for the new governance project design.

- Is governance in Ukraine gender-responsive?
- Has the project integrated gender considerations into its activities?
- Has the project developed any measures to enhance women's participation in governance?

Source: Ukraine Legislative Strengthening Project

In addition to specifying the questions to be addressed, a good SOW indicates the priority that USAID assigns to these questions. A SOW can accomplish this by arranging questions in order of importance (and stating that it has done so), or it by estimating the likely level of effort (LOE) necessary for answering each.

Example 18: Evaluation Priorities

This evaluation will:

- Assess progress to date in achieving planned results (estimated level of effort – 50%);
- Assess collaboration modalities in support of improved supply chain management (estimated level of effort – 10%);
- Assess management structures and their role in achieving planned results (estimated level of effort – 10%); and
- Identify additional approaches or activities to achieve objectives (estimated level of effort – 30%).

Source: Ethiopia RPM+/SPS and SCMS Projects

Finally, a good SOW also phrases evaluation questions in a manner that indicates the type of answer USAID wants, which in turn influences decisions about an evaluation’s design and methodology. USAID’s evaluation policy associates performance evaluations with questions that require descriptive and comparative (or normative) answers; impact evaluations employ rigorous methods to examine cause-and-effect-relationships.

Example 19: Types of Answers Implied by Evaluation Questions

Evaluation Questions	Type of Answer or Information Required
• How have project activities coordinated with other relevant USAID efforts?	Descriptive
• Did project activities meet their original targets?	Comparative (or normative)
• What impact have project activities had (or not had) on immediate stakeholders and beneficiaries?	Cause-and-effect

Source: USAID/Cambodia’s Labor and Industrial Productivity Activities Project

III. EVALUATION DESIGN AND METHODOLOGY

Once a SOW has given potential evaluators an overview of the project and the purpose of the evaluation being planned, it also discusses the type of evaluation USAID is requesting and clarifies any expectations or preferences the Agency may have with respect to the evaluation’s design and methodology. It is USAID’s intent that the design and methodology used in an evaluation “generate the highest quality and most credible evidence that corresponds to the questions being asked.” Credible evidence, it notes, depends on “sound social science methods and tools” used in a manner that minimizes the “need for evaluator-specific judgments” and ensures, to the greatest degree possible, that “if a different, well-qualified evaluator were to undertake the same evaluation, he or she would arrive at the same or similar findings and conclusions.” Gaps in program or project information, such as the absence of a clear statement of a program or project’s development hypotheses, or missing baseline data, can be impediments to sound evaluation design. When such gaps exist, they can sometimes, but not always, be rectified by incorporating tasks aimed at their reconstruction in USAID plans for an evaluation.

USAID evaluation SOWs vary considerably on the degree to which they prescribe an evaluation design and methodology. While some SOWs specify that a particular design or set of methods must be used by the evaluation team, others instead ask that the evaluators propose a set of methods for USAID’s review and approval. The remainder fall somewhere between these two extremes, offering some suggestions about the design and methods to be used, but at the same time soliciting evaluators’ input on which might be most appropriate.

A. EVALUATION DESIGN

The evaluation design refers to the conceptual approach that will be used to answer an evaluation’s questions. This term is sometimes used in the broadest possible sense to describe all aspects of an evaluation—key questions, methods, data collection instruments, and any plans for data analysis and dissemination. USAID evaluation policy intends that this design “be shared with country-level stakeholders as well as with the implementing partners for comment before being finalized.” If a collaborative review of this sort is to take place after an evaluation team has been selected, time for this review needs to be built into the SOW’s evaluation schedule.

The term design can also be used in a narrower, more technical sense to describe the specific approach a team will adopt to evaluate a project or program. Although simple evaluation designs, such as those that examine the status of a target population both before and after an intervention takes place, can determine whether a change occurred among a target population, they cannot provide definitive evidence about whether (or to what degree) USAID’s intervention caused this change. Evaluation designs that provide stronger evidence about causality, such as experimental or quasi-experimental designs, involve comparisons between a target group and a comparable group that does not receive project assistance. Within any evaluation design there are a variety of methods or techniques an evaluation team can use to collect and analyze data.

Example 20: Design for an Impact Evaluation

Since September 2009, IFES has implemented USAID’s Voter Opinion and Involvement through Civic Education (VOICE) project in the DRC. While VOICE voter education activities are intended to reach all citizens, the Congolese Independent Electoral Commission found that VOICE efforts prior to the 2006 general elections did not adequately reach rural voters, many of whom are illiterate. In response, IFES designed voter education sessions that utilize *boîtes à images*, or image boxes, to visually communicate information about the political process. To test the effect of this innovative approach among rural voters, USAID will undertake an impact evaluation. The impact evaluation design must provide for a comparative analysis of knowledge changes between citizens exposed to the *boîtes à images* sessions and a comparison group that will not take part in the sessions. Pre and post-exposure data will need to be collected on questions that gauge respondents’ knowledge and opinions of political processes in the country.

Source: The Democratic Republic of the Congo VOICE Project

Not all evaluations use overarching designs of this sort. SOWs for performance evaluations that do not address cause-and-effect questions, but instead ask about a project’s implementation process, its cost-effectiveness, or for early evidence of the likelihood it will be sustained, may not request an evaluation design. SOWs for this type of evaluation may simply discuss the use of a mix of data collection and analysis methods to generate answers.

B. DATA COLLECTION METHODS

When USAID chooses to prescribe how the data for an evaluation will be collected and analyzed, a SOW provides details on the design and methodology that USAID is requesting. In these cases, it is also helpful for

the SOW to link the methods it expects the team to use—i.e., observations, interviews, or instrumental measures—to the specific questions each will be used to answer. To this end, an evaluation SOW can use a format such as that shown in the “Getting to Answers” matrix below.

Example 21: “Getting to Answers” Matrix

Evaluation Questions	Type of Answer Needed	Data Collection Method(s)	Data Source(s)	Sampling or Selection Criteria	Data Analysis Method(s)
1.	<input type="checkbox"/> Descriptive <input type="checkbox"/> Comparative (normative) <input type="checkbox"/> Cause-and-Effect				
2.	<input type="checkbox"/> Descriptive <input type="checkbox"/> Comparative (normative) <input type="checkbox"/> Cause-and-Effect				

Source: MSI’s Certificate Course in Evaluation

In the instances where methods are neither completely prescribed nor completely left up to a team to propose, it is common for USAID to encourage a collaborative approach to their development. An evaluation SOW can suggest potential methods and outline any expectations or preferences USAID may have, while also specifying that USAID will seek evaluators’ input before reaching any final decisions.

Example 22: Data Collection Methods

The evaluation team should consider starting its work with a paper review of all the documents cited in the “Sources of Information” section above. It should also be prepared to conduct interviews with a sample of assisted enterprises and “demonstration effect” (or “replicative”) enterprises in a sample of corridors. The evaluation methodology also should provide for an assessment of approximately 10 business/value chains (to include participating productive and service enterprises). At this point, it is unclear whether the evaluation will use probability or non-probability samples. The Mission expects the evaluation team to present strong quantitative analysis, within data limitations, that clearly addresses key issues found in the research questions such as the direct and indirect impact and cost effectiveness of PRA.

The Mission is looking for new, creative suggestions regarding this evaluation, and it is anticipated that the implementer will provide a more detailed explanation of the proposed methodology for carrying out the work. The methodology will be comprised of a mix of tools appropriate to the evaluation’s research questions. These tools may include a combination of the following:

- Review PRA documentation (e.g., mid-term evaluation; quarterly reports);
- Quantitative analyses (e.g., cost-benefit or return on investment analysis, as appropriate);
- Review trade and competitiveness constraints identified by MYPE Competitiva and other sources (e.g., Alternative Development Project; World Bank “Doing Business” Report);
- Organize focus group discussions with PRA, MYPE Competitiva, and Alternative Development stakeholders;
- Conduct stakeholder interviews (ESCs; service providers; assisted and non-assisted enterprises);
- Case studies of successful enterprises and successful (or emerging) supply chains, value chains, and clusters.

To facilitate the bidder’s formulation of the methodology to be used for quantitative analyses of such issues as direct and indirect impact and cost-benefit ratios, Annex B provides a summary description of the content and structure of the data in the PRA database.

Source: Peru Poverty Reduction and Alleviation (PRA) Project

C. DATA ANALYSIS METHODS

Establishing the methods that will be used to analyze data is an important part of an evaluation design, and an evaluation SOW either explains how USAID expects data to be analyzed or asks evaluators to outline their own data analysis plans. Ideally, this plan will directly address each evaluation question with specific methods for collecting and for analyzing the data that will be used to answer it. For example, a discussion of data analysis methods might address how responses in focus groups will be documented and analyzed, or what statistical tests will be used to determine whether any changes observed in target groups are greater than might be explained by normal variation. This practice helps to avoid the collection of extraneous data and increases the likelihood that the all data that is collected will be analyzed.

Example 23: Data Analysis Plan

Prior to the start of data collection, the evaluation team will develop and present, for USAID review and approval, a data analysis plan that details how focus group interviews will be transcribed and analyzed; what procedures will be used to analyze qualitative data from key informant and other stakeholder interviews; and how the evaluation will weigh and integrate qualitative data from these sources with quantitative data from “doing business” indicators and project performing monitoring records to reach conclusions about the effectiveness and efficiency of the economic corridors initiative.

Source: Peru Poverty Reduction and Alleviation (PRA) Project

In addition to proposing, or requesting recommendations on, data collection and analysis methods, an evaluation SOW communicates USAID’s requirement to disaggregate data by gender. A good SOW explains that this requirement applies to outcomes as well as to training and other inputs. An evaluation SOW might indicate, for example, that any data illustrating the degree to which target farmers adopted the technologies recommended by a project be reported on a sex-disaggregated basis. A SOW also needs to indicate whether evaluation questions need to be answered with information that is disaggregated by ethnic group, region, age, or some other characteristic.

Example 24: Data Disaggregation

The information collected will be analyzed by the Evaluation Team to identify correlations and establish what are the major trends and issues. The basis unit of analysis will be each NGO. Data will be disaggregated by gender, caste, and ethnicity to identify how project inputs are benefiting disadvantaged and advantaged groups.

Source: Strengthening the NGO Sector in Nepal (SNSN) Project

To help ensure that evaluations commissioned by USAID are based on methods and data that warrant confidence, a SOW may choose to advise evaluation teams that USAID’s information quality standards in ADS 578 apply to evaluations as well as to performance monitoring.⁴

⁴ Referencing ADS 578.3.4.2 in a SOW, also incorporates (via a link provided in that section) all of the data quality standards in ADS 203.3.5.1 that USAID routinely applies to its performance monitoring data.

D. METHODOLOGICAL STRENGTHS AND LIMITATIONS

USAID’s evaluation policy states that any methodological strengths and limitations are to be communicated explicitly in evaluation SOWs. When likely study limitations are described in an evaluation SOW, USAID is in a better position to decide whether to go ahead with the evaluation in spite of these or to adjust the evaluation questions, timeline, or budget to eliminate or minimize their impact on the quality of the evidence an evaluation yields.

Example 25: Methodological Limitations

Key informant interviews are suggested as a primary data source for this evaluation. Given the short timeline for this study, the evaluation team may not be able to cross-check key informant characterizations of changes in beneficiary behavior and competencies through direct beneficiary interviews or observation. Further, in Nicaragua it is anticipated that some interviews may be conducted through translators by the international team required for this evaluation, though that will not be the case for Ghana field visits. As a result, some differences in language could enter the interview process and interview notes taken and analyzed by the evaluators in Nicaragua may not capture the full intent or meaning offered by the key informants. It is anticipated that some interviews may be conducted in the presence of at least one or more outside observers, including project and USAID staff, and that interview responses could be affected by the presence of these observers.

Source: USAID’s Global Leadership, Management, and Sustainability Project

IV. EVALUATION PRODUCTS

A good SOW states what deliverables the evaluation team will be responsible for producing and how these will be delivered. It also explains USAID’s evaluation criteria and how an evaluation report is to be structured. Including this information ensures that USAID receives all the reports, briefings, and associated materials that it requires, and that it receives these in the format and quantity that it expects.

A. DELIVERABLES

A good SOW explains what deliverables are required and provides deadlines for each deliverable. Deadlines do not require specific dates, but can instead be phrased in such a manner that they are contingent upon another prior deliverable or deadline: for example, a SOW can specify that “the draft report shall be submitted no more than ten days from the end of the field work” or “the final report will be submitted no later than five days after receipt of USAID’s comments.”

Example 26: Deliverables

Work Plan: During the TPM, the team will prepare a detailed work plan which will include the methodologies to be used in the evaluation. The work plan will be submitted to the CTO at USAID/Egypt for approval no later than the sixth day of work.

Methodology Plan: A written methodology plan (evaluation design/operational work plan) will be prepared during the TPM and discussed with USAID prior to implementation.

Discussion of Preliminary Draft Evaluation Report: The team will submit a rough draft of the report to the USAID CTO and PH team, who will provide preliminary comments prior to final Mission debriefing. This will facilitate preparation of a more final draft report that will be left with the Mission upon the evaluation team's departure.

Debriefing with USAID: The team will present the major findings of the evaluation to USAID/Egypt through a PowerPoint presentation after submission of the draft report and before the team's departure from country. The debriefing will include a discussion of achievements and issues as well as any recommendations the team has for possible modifications to project approaches, results, or activities. The team will consider USAID comments and revise the draft report accordingly, as appropriate.

Debriefing with Partners: The team will present the major finding of the evaluation to USAID partners (as appropriate and as defined by USAID) through a PowerPoint presentation prior to the team's departure from country. The debriefing will include a discussion of achievements and activities *only*, with no recommendations for possible modifications to project approaches, results, or activities. The team will consider partner comments and revise the draft report accordingly, as appropriate.

Draft Evaluation Report: A draft report of the findings and recommendations should be submitted to the USAID CTO prior to the team leader's departure from Egypt. The written report should clearly describe findings, conclusions, and recommendations. USAID will provide comment on the draft report within two weeks of submission.

Final Report: The team will submit a final report that incorporates the team responses to Mission comments and suggestions no later than five days after USAID/Egypt provides written comments on the team's draft evaluation report (see above). The format will include an executive summary, table of contents, methodology, findings, and recommendations. The report will be submitted in English, electronically. The report will be disseminated within USAID. A second version of this report excluding any potentially procurement-sensitive information will be submitted (also electronically, in English) for dissemination among implementing partners and stakeholders.

Source: Egypt Integrated Reproductive Health Services Project

While the most traditional deliverables for an evaluation are the draft and final evaluation reports, any number of additional deliverables may also be requested. For example, USAID sometimes includes a team planning meeting (TPM) to be held in advance of field work as a deliverable. While each TPM is somewhat unique, the following example demonstrates how a previous SOW has discussed this deliverable.

Example 27: Team Planning Meeting

A two-day team planning meeting will be held in Indonesia before the evaluation begins. This meeting will allow USAID to present the team with the purpose, expectations, and agenda of the assignment. In addition, the team will:

- Clarify team members' roles and responsibilities;
- Establish a team atmosphere, share individual working styles, and agree on procedures for resolving differences of opinion;
- Review and develop final evaluation questions (work out realistic expectations of the team within each of the four topic areas during meetings with HSP, MOH, and USAID);
- Review and finalize the assignment timeline and share with USAID;
- Develop data collection methods, instruments, tools, and guidelines;
- Review and clarify any logistical and administrative procedures for the assignment;
- Develop a preliminary draft outline of the team's report; and
- Assign drafting responsibilities for the final report.

Source: Indonesia Health Services Project (HSP)

Some evaluation SOWs specify additional deliverables that can serve as checkpoints for assessing an evaluation's progress and quality. For example, as a first step, a team may be asked to prepare a report summarizing the findings from its initial document review. A team may also be asked to submit a detailed evaluation plan or any data collection instruments it plans to use for USAID's approval. During data collection a SOW may ask for progress reports, specifying the frequency with which such reports are expected. Once primary data have been collected and analyzed, but before a team has started writing its report, USAID might require, as a deliverable, a preliminary debriefing on the team's main findings, conclusions, and recommendations to ensure that sufficient evidence has been gathered to answer the evaluation questions.

If USAID has even a preliminary plan for the dissemination of the evaluation results when a SOW is being developed, referring to this can help guide the identification of deliverables and evaluation reporting requirements for which the team will be responsible. For example, USAID may wish to have an evaluation team present the evaluation results to stakeholders such as government representatives, implementing partners, beneficiaries, or other audiences.

B. REPORTING GUIDELINES

USAID's evaluation policy requires that all evaluation SOWs include USAID's *Criteria to Ensure the Quality of the Evaluation Report*, shown in the box below.⁵ Directly reproducing these criteria in future evaluation SOWs will ensure that a team is aware of these guidelines before it begins an evaluation. A good SOW also outlines in detail any additional expectations USAID has regarding a report's structure, format, and length. It can also expand the guidance it provides by directing evaluation teams to USAID's TIPS – Constructing an Evaluation Report.⁶

⁵ This policy can be accessed at http://www.usaid.gov/evaluation/USAID_evaluation_policy.pdf.

⁶ Available at <http://www.usaid.gov/policy/evalweb/documents/TIPS-ConstructinganEvaluationReport.pdf>.

USAID Evaluation Policy - Appendix I

Criteria to Ensure the Quality of the Evaluation Report

- The evaluation report should represent a thoughtful, well-researched and well organized effort to objectively evaluate what worked in the project, what did not and why.
- Evaluation reports shall address all evaluation questions included in the scope of work.
- The evaluation report should include the scope of work as an annex. All modifications to the scope of work, whether in technical requirements, evaluation questions, evaluation team composition, methodology, or timeline need to be agreed upon in writing by the technical officer.
- Evaluation methodology shall be explained in detail and all tools used in conducting the evaluation such as questionnaires, checklists and discussion guides will be included in an Annex in the final report.
- Evaluation findings will assess outcomes and impact on males and females.
- Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).
- Evaluation findings should be presented as analyzed facts, evidence, and data and not based on anecdotes, hearsay or the compilation of people's opinions. Findings should be specific, concise and supported by strong quantitative or qualitative evidence.
- Sources of information need to be properly identified and listed in an annex.
- Recommendations need to be supported by a specific set of findings.
- Recommendations should be action-oriented, practical, and specific, with defined responsibility for the action.

Example 28: Evaluation Report Requirements

The format for the evaluation report is as follows:

1. **Executive Summary**—concisely state the most salient findings and recommendations (2 pp);
2. **Table of Contents** (1 pp);
3. **Introduction**—purpose, audience, and synopsis of task (1 pp);
4. **Background**—brief overview of MSH project in Malawi, USAID project strategy and activities implemented in response to the problem, brief description of MSH, purpose of the evaluation (2–3 pp);
5. **Methodology**—describe evaluation methods, including constraints and gaps (1 pp);
6. **Findings/Conclusions/Recommendations**—for each objective area; and also include data quality and reporting system that should present verification of spot checks, issues, and outcome (17–20 pp);
7. **Issues**—provide a list of key technical and/or administrative, if any (1–2 pp);
8. **Future Directions** (2–3 pp);
9. **References** (including bibliographical documentation, meetings, interviews and focus group discussions);
10. **Annexes**—annexes that document the evaluation methods, schedules, interview lists and tables—should be succinct, pertinent and readable.

The final version of the evaluation report will be submitted to USAID/Malawi in hard copy as well as electronically. The report format should be restricted to Microsoft products and 12-point type font should be used throughout the body of the report, with page margins 1" top/bottom and left/right. The report should not exceed 30 pages, excluding references and annexes.

Source: Enhanced HIV/AIDS Prevention and Improved Family Health (EHAP-IFH) Project, Malawi

A SOW also addresses how the report should be submitted (e.g., electronically or in hard copy) and whether the report or its executive summary is to be submitted in more than one language to support dissemination. If an evaluation report is being requested in hard copy, a SOW specifies how many copies of the report are expected and to whom these should be delivered. In addition, a SOW addresses USAID evaluation policy requirements on transferring and warehousing the data on which the report was based, including specifying how this data should be transferred (e.g., via email or on a flash drive or CD). This policy also requires that an evaluation report be submitted to the Development Experience Clearinghouse within 90 days of its completion. If USAID expects the evaluation team to make this submission, this information must be included in a SOW.

Example 29: Report Delivery

The evaluation team leader shall incorporate USAID's comments and submit the final report to USAID in electronic format (Microsoft Word) as well as printed and bound copies (five copies in English and 15 copies in French) no later than six working days of the receipt of the comments. IOS Partners will be responsible for translating the final report into French. The evaluation team leader shall submit one either electronic or hard copy to the Development Experience Clearinghouse at <http://dec.usaid.gov> or M/CIO/KM, RRB M01, USAID, Washington DC 20523.

Source: Senegal Accelerated Growth and Increased Competitiveness (SAGIC) Project

V. TEAM COMPOSITION

A good evaluation SOW describes the intended size of an evaluation team, the roles and responsibilities of team members, and the specific qualifications that team members are expected to possess. The evaluation team leader in particular, according to USAID's evaluation policy, should be "an outside expert with appropriate skills and experience." It is not unreasonable in an evaluation SOW for USAID to request examples of past evaluation reports produced under the direction of a proposed evaluation team leader.

USAID's ADS also requires that at least one member of every evaluation team be an evaluation specialist. An evaluation specialist is a person who has significant experience in designing evaluations and a strong understanding of data collection and analysis methodologies.

Example 30: Team Composition

The evaluation team will consist of a team leader and 2 technical experts. A representative from the MoH and/or NAC may be asked to participate as well.

1. Team Leader/Senior Evaluation Specialist should have a post graduate degree in health or an applicable social sciences field. S/he should have at least 5 years senior level experience working in HIV/AIDS prevention and care and health/population programs in a developing country (preferably in countries with high HIV prevalence). S/he should have extensive experience in conducting qualitative evaluations/assessments and strong familiarity with the NGO sector. Excellent oral and written skills are required. The Team Leader should also have experience in leading evaluation teams and preparing high quality documents.

The Team Leader will take specific responsibility for assessing and analyzing the organization's progress towards targets, factors for such performance, benefits/impact of the strategies, and compare with other possible options. S/he will also suggest ways of improving the present performance, if any.

S/he will provide leadership for the team, finalize the evaluation design, coordinate activities, arrange periodic meetings, consolidate individual input from team members, and coordinate the process of assembling the final findings and recommendations into a high quality document. S/he will write the final report. S/he will also lead the preparation and presentation of the key evaluation findings and recommendations to the USAID/Malawi team and other major partners.

2. HIV/AIDS Technical Advisor should have a post graduate degree in public health or related subject. S/he should have at least 10 years experience with HIV/AIDS prevention and care design and implementation in developing countries (preferably in countries with high HIV prevalence). S/he should be knowledgeable in program assessment and evaluation methodologies in HIV/AIDS prevention/care programming, organizational, and institutional capacity building. S/he should have extensive experience in conducting qualitative evaluations/assessments around HIV/AIDS service development and delivery by the NGO sector. S/he should have experience developing services and demonstrated knowledge of state-of-the-art strategies for evidenced-based HIV/AIDS programming.
3. Capacity Building Technical Advisor should have a post graduate degree in organizational development or health systems. S/he should have at least 5 years experience with NGO capacity building and organizational development in developing countries (preferably in countries with high HIV prevalence). S/he should be knowledgeable in project assessment and evaluation methodologies in capacity building, HIV/AIDS, organizational and institutional development. S/he should have extensive experience, and demonstrate state-of-the-art knowledge, in conducting qualitative evaluations/assessments around improving capacity for service delivery.

Source: Malawi Umoyo Network Project

Beyond the requirements for an external team leader and for the inclusion of an evaluation specialist, USAID guidance is flexible with respect to team composition. USAID encourages the participation of local experts on evaluation teams, including in the roles of evaluation specialist and team leader. USAID staff are also encouraged to participate on evaluation teams, as are implementing partners or other stakeholders when their participation would be beneficial for skill development or their engagement in the evaluation would help to ensure the use of evaluation results within USAID.

Example 31: Stakeholder Involvement in an Evaluation

As a lesson learned from previous evaluations, the mid-term evaluation needs to be carried out in a participatory fashion, forming a team that, in various places and times, includes a range of managers, implementers, community leaders, partner agency staff, and stakeholders. The process and findings are expected to enable ACDI/VOCA and its partners to clearly and easily evaluate the quality of programming over the last two and a half years.

Source: ACDI/VOCA Title II Food Security Project

USAID intends that gender be considered in the formation of an evaluation team, as this can lend a more balanced perspective to the evaluation. In some circumstances, it may also be important for cultural reasons that a male or female evaluator conduct a given interview or observation.

Example 32: Attention to Gender in Team Composition

The team should consist of a Team Leader, one-two other expatriate consultants, and two local consultants (CCNs). All attempts should be made for the team to be comprised of an equal number of male and female members.

Source: Afghan e-Quality Alliances Project

VI. EVALUATION MANAGEMENT

With the project information, evaluation purpose, and evaluation design clearly outlined, there are several management issues that a potential evaluation team should also be aware of when preparing a response to a SOW. A good evaluation SOW outlines the parameters within which an evaluation proposal must respond, indicating any logistical, scheduling, or budgetary constraints that a team must take into account.

A. LOGISTICS

An evaluation SOW outlines the specific kinds of support USAID will provide, along with specifying any additional logistical roles or responsibilities that it expects the team to fulfill.

Example 33: Logistical Support

USAID/Egypt will provide overall direction to the evaluation team, identify key documents, and assist in facilitating a work plan. USAID/Egypt will assist in arranging meetings with key stakeholders and identified by USAID prior to the initiation of field work. The evaluation team is responsible for arranging other meetings as identified during the course of this evaluation and advising USAID/Egypt prior to each of those meetings. The evaluation team is also responsible for arranging vehicle rental and drivers as needed for site visits around Cairo, but USAID/Egypt will facilitate travel to sites in the governorates (including air travel when/if necessary) USAID/Egypt can also assist with hotel arrangements if necessary but the evaluation team will be responsible for procuring its own work/office space, computers, internet access, printing, and photocopying. Evaluation team members will be required to make their own payments. USAID/Egypt personnel will be made available to the team for consultations regarding sources and technical issues, before and during the evaluation process.

Source: Egypt Integrated Reproductive Health Services Project

USAID sometimes undertakes joint evaluations with other donors or partner country government entities. When this occurs, specialized management arrangements may be put in place. A SOW needs to make an evaluation team aware of any such arrangements.

Example 34: Management of a Joint Evaluation

The evaluation will be organized by CRS Indonesia, which will also serve as the primary point of contact for the evaluation team. CRS will work with MC as the direct grantee of the Gates Foundation that funds and supports this activity and with Oxfam – GB, who will take the lead in following up with the development of ECB Indonesia contingency plan or protocol/guideline for joint emergency response.

Coordination, administration, and funding support: Mercy Corps, as the grantee of the Gates Foundation, will cover the costs of the evaluation. As the lead agency in this evaluation, CRS will sign a sub-grant contract with Mercy Corps and manage the funds for this event, as well as recruit and hold the contract with the evaluation team leader/consultant. An evaluation steering committee, composed of representatives from CRS and 3-4 other Consortium members, will oversee the evaluation, specifically: finalizing the TOR, selection of the evaluation team and leader, inform the methodology, name key informants, review of the draft evaluation report, and develop an evaluation management response.

Technical support: The ECB global Accountability and Impact Measurement (AIM) Advisors will support the evaluation as necessary, such as reviewing the TOR and assisting in the selection of the evaluation team.

Source: Indonesia Emergency Capacity Building (ECB) Project

B. SCHEDULING

A SOW provides information to potential evaluators on any scheduling restraints that could affect the evaluation. It states the expected period of performance for the evaluation, identifying any specific dates within this period that need to be incorporated into the evaluation plan, such as pre-scheduled meetings or local holidays. While the period of performance should be clear and precise, it is a good idea to allow for some flexibility since the timing of the evaluation may be subject to change.

Example 35: Period of Performance

Work is to be carried out over a period of approximately 10 weeks, beginning on or about (o/a) April 25, 2008, with field work completed in June 2008 and final report and close out concluding o/a July/August 2009.

Source: Ethiopia High Risk Corridors Initiative (HRCI) Project

Although not a requirement, a timeline of activities, by week or phase of an evaluation, is an asset in an evaluation SOW. A timeline sets expectations for evaluators and helps them to plan the evaluation. It also alerts them to any expectations USAID may have about roles they are expected to play in a dissemination process after their evaluation report is finished.

Example 36: Timeline

Pre Field-Work Obtain key documents, make key contacts, and plan for interviews and discussions in Cambodia with project staff, beneficiaries, RGC officials, other donors, and other USAID project reps as needed. Most of this work will be done through email and Skype. The team will work through USAID and activity Chiefs of Party to set as many meetings and interviews as possible prior to arrival in Cambodia. A part-time local hire will be brought on board to assist with this process.

Field Work - Week One: The focus at the beginning of this period will be on meeting with USAID, the staff of PACT, gathering and reviewing data not already available, and solidifying plans for visits to rural communes. In the latter part of this week we will begin the interview process with beneficiaries and others.

Field Work - Week Two: The focus of this entire week will be on interviews and discussions with beneficiaries, donors, government officials, representatives of related USAID projects, and others who work with or have been impacted by the activities under evaluation. Team members will visit and assess activities in at least six Cambodian communes that have been involved in project activities. Those selected will vary by level of isolation, relative wealth, and other key qualities. As time allows, the team will begin preparing the first few sections of the final report on the background, setting, and previous evaluative efforts related to the set of activities under review.

Field Work - Week Three: Any remaining interviews will be completed. Follow-up meetings to discuss questions arising from the interviews and to clarify and remaining issues will be held with the implementation teams for each activity. The balance of the final report will be drafted, to the extent possible.

Post Field-Work: Submission of the completed draft final report by April 13. The final report will be submitted no later than two weeks following receipt of final comments from USAID/Cambodia.

Source: Egypt Integrated Reproductive Health Services Project

C. BUDGET

Optimally, a complete budget in dollar terms is provided in the SOW. At minimum, it is important to include information about the LOE or work days allotted for the evaluation team. A chart that distributes days by each team member on an illustrative basis is more useful than one that simply provides the overall number of days allotted to the team as a whole. A matrix that displays team member days allotted by evaluation task on a notional basis is even more useful. Evaluations that involve the reconstruction of a Results Framework or baseline data, or that include a number of post-evaluation briefings or workshops to support dissemination, need to allocate time and resources to these tasks.

While there are no hard and fast rules as to how to distribute the time for an evaluation team across the tasks to be completed, research previously carried out by USAID suggests allocating roughly one-third of the time to evaluation planning and preparation (including pre-tests of evaluation instruments), one-third to data collection, and one-third to the process of data analysis and report preparation.⁷

⁷Molly Hageboeck, *Manager's Guide to Data Collection* (Washington, DC: USAID, 1979), p. 46. Available at: http://pdf.usaid.gov/pdf_docs/PNAAH434.pdf

Example 37: Estimated LOE Budget

Task/Deliverable	Estimated Duration/LOE		
	Team Leader**	Technical Specialists (x2)	Local Consultant
1. Review background documents & offshore preparation work	4 days	3 days	3 days
2. Travel to Egypt	2 days	2 days	
3. Team Planning Meeting and meeting with USAID Egypt	2 days	2 days	2 days
4. Information and data collection. Includes interviews with key informants (stakeholders and USAID staff) and site visits*		15 days	15 days
5. Discussion, analysis, and draft evaluation report in country	5 days	5 days	5 days
6. Debrief meetings with USAID and key stakeholders. (preliminary draft report due to USAID)	1 day	1 day	1 day
7. Team leader meets with CHL TL, & USAID to synthesize findings/discussion	2 days		
8. Depart Egypt/Travel to US	2 days	2 days	
9. USAID & partners provide comments on draft report (out of country)			
10. Team revises draft report and submits final to USAID (out of country)	5 days	3 days	3 days
11. USAID completes final review			
12. GH Tech edits/formats report (one month)			
Total Estimated LOE	38 days	33 days (2 people)	29 days
* A six-day work week is authorized when working in country			
** Additional LOE may be required for the CHL and Takamol team leaders to meet to synthesize findings on the points identified in section 3 above during their last week in-country, depending on whether both evaluations are run concurrently or separately.			

Source: Egypt Integrated Reproductive Health Services Project

It also helps to include in an evaluation SOW the estimated amount to be spent on other direct costs (ODCs), particularly local costs associated with field work. This might include an estimate of the time required to travel by car from USAID's office to each of the districts in which the project is active, the number of days USAID estimates will be required to carry out a field visit, and the approximate number of such visits USAID estimates the team will need to make. All of this information will help an evaluation team construct a budget that responds well to the SOW and to any in-country conditions with which the team may not be entirely familiar.

Budgets can be divided into stages for impact evaluations involving pre- and post-intervention data collection among an assisted group and a comparison or control group. Budgets can also account for any work to be conducted by an evaluation team between the collection of baseline and end line data, such as monitoring the conformance of project implementation to written plans or the extent to which assistance recipients may have left the project area.

SOURCES OF EXAMPLES

Example 1:

Hunt, Jenny et al., 2008. *Final evaluation: USAID/Ethiopia high risk corridors initiative*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACM990.pdf.

Example 2:

Kropsch, Lia and Jennifer Robinson. 2008. *FORTE Saude mid-term evaluation*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACM682.pdf.

Example 3:

See Example 1 above.

Example 4:

Cambodia MSME 2/BEE Project. 2009. *Quarterly Report No. 3* (April 1-June 30, 2009). http://pdf.usaid.gov/pdf_docs/PDACN624.pdf.

Example 5:

Macedonia Investment Development and Export Advancement Support Project (IDEAS). http://www.rciproject.com/compscopesofwork_files/SOW_IDEAS_Macedonia_2010.pdf.

Example 6:

USAID TIPS – Building a Results Framework. Updated 2010.

Example 7:

Logical Framework for the USAID/Serbia Competitiveness Project (2007-2011). Training course handout from a USAID/EGAT short course on Strategic Frameworks (2008-2009).

Example 8:

Thapa, Mohan M., Kedar P. Badu, and Shanker R. Pandey. 2008. *Final evaluation of strengthening the NGO sector in Nepal (SNSN) project*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACM275.pdf.

Example 9:

Nelson, Sue et al., 2008. *Liberia elections and political processes program evaluation: final report*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACM833.pdf.

Example 10:

Jansen, William and Victoria James. 2008. *Zimbabwe HIV/AIDS partnership project & behavior change programme: a joint USAID/DFID assessment*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACM725.pdf.

Example 11:

Boardman, Gerald et al., 2009. *Mid-term evaluation of Afghan e-quality alliance (AeQA) by USAID in the Islamic Republic of Afghanistan*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACN521.pdf.

Example 12:

Rudenshiold, Eric and Keith Schulz. 2008. *Evaluation of the Indiana University parliamentary development program [and] assessment of the development and functioning of the Verkhovna Rada [and] recommendations for future assistance*.

Note: references indicate evaluations that resulted from SOWs—not to the SOWs themselves. SOWs can be located as annexes to evaluations, and can be referred to as Scopes of Work, Statements of Work, or Terms of Reference.

Washington DC: US Agency for International Development.
http://pdf.usaid.gov/pdf_docs/PDACM769.pdf.

Example 13:

See Example 2 above.

Example 14:

Chopra, Tanja, Susan Pologruto, and Timotio de Deus. 2009. *Fostering justice in Timor-Leste: rule of law program evaluation*. Washington DC: US Agency for International Development.
http://pdf.usaid.gov/pdf_docs/PDACM677.pdf.

Example 15:

Bessinger, Ruth, and Willis Odek. 2010. *USAID/Namibia: NAWA life trust cooperative agreement end-of-project evaluation*. Washington DC: US Agency for International Development.
http://pdf.usaid.gov/pdf_docs/PDACR880.pdf.

Example 16:

QED Group. 2011. *Tatweer National Capacity Development program final evaluation: final report*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACR430.pdf.

Example 17:

See Example 12 above.

Example 18:

Hawkins, Steve, Tsige Gebre-Mariam, and Erwin Lassooy. 2009. *RPM+/SPS (rational pharmaceutical management plus (RPM Plus)/strengthening pharmaceutical systems (SPS) and SCMS (supply chain management system) in Ethiopia: an evaluation*. Washington DC: US Agency for International Development.
http://pdf.usaid.gov/pdf_docs/PDACO833.pdf.

Example 19:

Deuster, Paul, Barry MacDonald, and Don Zimmerman. 2009. *Evaluation of USAID/Cambodia's labor and industrial productivity activities*. Washington DC: US Agency for International Development.
http://pdf.usaid.gov/pdf_docs/PDACO261.pdf.

Example 20:

IFES. 2011. "IFES Impact Survey to Shed Light on Voter Education Efforts in DR Congo."
<http://www.ifes.org/Content/Publications/Articles/2011/IFES-Impact-Survey-to-Shed-Light-on-Voter-Education-Efforts-in-DR-Congo.aspx?p=1>.

Example 21:

"Getting to Answers" Matrix. Training course handout from MSI's Certificate Program in Evaluation, presented for USAID (2000-2010).

Example 22:

Weidemann Associates. 2008. *Final evaluation of USAID/Peru poverty reduction and alleviation (PRA) activity: final report*. Washington DC: US Agency for International Development.
http://pdf.usaid.gov/pdf_docs/PDACN110.pdf.

Example 23:

See Example 22 above.

Example 24:

See Example 8 above.

Example 25:

Dinkin, Donna R., and Robert J. Taylor. 2009. *Evaluation of the leadership, management and sustainability (LMS) project*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACN290.pdf.

Example 26:

Riggs-Perla, Joy et al., 2009. *Takamol mid-term evaluation*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACO254.pdf.

Example 27:

Caro, Deborah A. et al., 2008. *Evaluation of the health services program (HSP) in Indonesia: taking stock and looking forward*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACM989.pdf.

Example 28:

Maynard-Tucker, Gisele, Janet Gruber, and Richard Pollard. 2008. *The enhanced HIV/AIDS prevention and improved family health program (EHAP-IFH), Malawi*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PNADO563.pdf.

Example 29:

Sibley International. 2009. *Mid-term evaluation of task order no. 1: support for accelerated growth and increased competitiveness IQC—final report*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACO429.pdf.

Example 30:

Putnam, Eliot T. Jr., Jean Meyer Capps, and Ann Von Briesen Lewis. 2005. *Mid-term evaluation report: Save the Children's capacity building for quality HIV/AIDS services (Umoyo network)*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACF130.pdf.

Example 31:

Baro, Mamadou, and Colette Powers. 2009. *ACDI/VOCA/Uganda : Title II multi-year assistance program—mid-term evaluation report*. Washington DC: US Agency for International Development. http://pdf.usaid.gov/pdf_docs/PDACN710.pdf.

Example 32:

See Example 11 above.

Example 33:

See Example 26 above.

Example 34:

Wilson, Pauline, Budi Setiawan, Maria Josephine Wijastuti, LeAnn Hager, and Yacobus Runtuwene. 2010. *Report of the joint evaluation of the Indonesian ECB consortium's responses to the West Java and West Sumatra earthquakes*. Emergency Capacity Building Project. <http://www.alnap.org/pool/files/ecb-joint-evaluation-indonesia-earthquakes-response-april2010-tor.pdf>.

Example 35:

See Example 1 above.

Example 36:

See Example 26 above.

Example 37:

See Example 26 above.

ANNEXES

ANNEX A: EVALUATION SOW CHECKLIST

Statement of Work Checklist

Based on USAID ADS and Evaluation Policy

Statement of Work (SOW) Elements and Sub-Elements	How Well is the SOW Element Addressed ⁹					Issues Noted by SOW Reviewer
	Complete		Partial	Incomplete		
	Above average	Acceptable	At least one aspect is missing	Element not addressed or inadequate	Not applicable	
	1	2	3	4	5	
Identify the activity, project, or approach to be evaluated						
1. Is the SOW clear and specific about what is to be evaluated, e.g., the program/project/project component or approach, funding level and sources, sector/topic, and target group/area?						
2. Is the program/project duration (start and end dates) provided?						
Provide a brief background on the development hypotheses and its implementation						
3. Is the SOW clear and specific about the problem or opportunity the program/project was expected to address?						
4. Does the SOW state the program/project's development hypotheses (or theory of change)—i.e., what USAID would deliver (training, TA, etc.), the expected results (outputs and especially outcomes), and any critical assumptions—in a Results Framework, Logical Framework or narrative?						
5. Does the SOW include information about any changes in the project environment since the start of implementation, e.g., policy, economic, political, or revised project assumptions?						
6. Does the SOW include information about changes in the program/project's design/approach since the start of implementation, e.g., changes in budget or team, relationships with other entities, or any other substantive modifications?						
Identify existing performance information source, with special attention to monitoring data						
7. Is SOW clear and specific about any existing program or project-specific performance monitoring data/reports that are available and when/how evaluators can access them?						
8. Does the SOW describe other documents or sources of information that would be useful to an evaluation team, such as government or international data (e.g., growth rate, poverty rate) that USAID is using to monitor program/project outcomes?						

⁹ Key: Complete – Above average: all aspects of SOW element are present and exemplary; Complete – Acceptable = all aspects of SOW element are present; Partial = most aspects of the SOW element are present, but at least one important aspect is missing; Incomplete – Missing: element not addressed or significant gaps exist; Incomplete – Not applicable: element is missing because it is not relevant for the type of evaluation described.

Statement of Work (SOW) Elements and Sub-Elements	How Well is the SOW Element Addressed ⁹					Issues Noted by SOW Reviewer
	Complete		Partial	Incomplete		
	Above average	Acceptable	At least one aspect is missing	Element not addressed or inadequate	Not applicable	
	1	2	3	4	5	
State the purpose of, audience for, and use of the evaluation						
9. Is the SOW clear and specific about why, in management terms, the evaluation is being conducted, i.e., what management decisions an evaluation at this time will inform? <i>(USAID's evaluation policy and ADS suggest a number of management reasons and "triggers" for evaluation)</i>						
10. Does the SOW explicitly state whether USAID requires a performance evaluation or an impact evaluation, as defined in the Agency's evaluation policy?						
11. Does the SOW indicate who makes up the audience for the evaluation, i.e., what types of managers in which organizations (USAID, implementing partners, host governments, other donors, etc.) need and are expected to benefit from the evaluation, and how might they use it?						
Clarify the evaluation questions						
12. Does the SOW include a list of the specific questions the evaluation team is expected to answer? <i>Please enter the number of question in the far right hand column.</i>						Number of Questions SOW asks the evaluation to address (count question marks): _____
13. Is the list of evaluation questions consistent with USAID's guidance on limiting the number asked? <i>(USAID's ADS says "a small number of key questions or specific issues answerable with empirical evidence"; "small" is often considered to be a number less than ten.)</i>						
14. Does the SOW indicate the relative priority of each evaluation question, e.g., are questions listed in order of priority or are "top priorities" identified?						
15. As a group, do the evaluation questions appear to be consistent with and supportive of the evaluation's purpose?						
Identify the evaluation methods <i>(USAID may either specify methods or ask the evaluation team to suggest methods)</i>						
16. Is it clear from the SOW whether USAID requires the use of specific methods for data collection and analysis or if it is instead requesting that the evaluators propose appropriate methods?						
17. If the SOW recommends specific methods, does it link them to particular evaluation questions?						
18. Does the SOW propose or ask evaluators to propose a specific plan for sampling or otherwise identify units (people, farms, etc.) from which data will be collected?						
19. Is the SOW clear and specific about any data disaggregation that is expected, e.g., by gender, age, or ethnicity?						
20. Does the SOW state that written records are to be kept of data collected during the evaluation, e.g., focus group transcripts?						
21. Does the SOW include a data analysis plan or propose specific techniques for analyzing data from each data collection method proposed?						

Statement of Work (SOW) Elements and Sub-Elements	How Well is the SOW Element Addressed ⁹					Issues Noted by SOW Reviewer
	Complete		Partial	Incomplete		
	Above average	Acceptable	At least one aspect is missing	Element not addressed or inadequate	Not applicable	
	1	2	3	4	5	
22. Does the evaluation SOW explicitly state known methodological limitations to methods USAID proposes or request that evaluators who propose methods state the limitations of the methods they propose?						
Specify evaluation deliverable(s) and the timeline						
23. Are the deliverables the evaluation team is responsible for producing clearly described in the SOW?						
24. Does the SOW include information about expected start and completion dates for the evaluation?						
25. Are the dates or timing of all of the deliverables specified in the evaluation requirements?						
Discuss evaluation team composition and the participation of customers and partners						
26. Is the SOW clear about the size of the team that is required (or the LOE that is available) for the evaluation?						
27. Are specific positions and/or skills the team is expected to have clearly defined, including any technical, geographic, language, and other skill/experience requirements?						
28. Is the SOW explicit about requiring that one team member be an evaluation specialist?						
29. Does the SOW provide explicit instructions concerning the inclusion of local evaluators or other specialists on the evaluation team?						
30. Is the SOW clear about whether and how USAID expects its staff, partners, customer/beneficiaries, or other stakeholders to participate in the design and conduct of the evaluation?						
Cover procedures such as scheduling and logistics						
31. Is the SOW clear and specific about any specific dates that need to be reflected in the evaluation team's plan, e.g., local holidays or any specific dates for oral presentations already scheduled)?						
32. Does the SOW indicate whether it will be USAID's responsibility to provide the team with office space, a car, or equipment and to schedule any appointments, or if the team is expected to make its own arrangements?						
Clarify requirements for reporting						
33. Does the SOW provide a clear outline of what USAID requires in the evaluation report (e.g., Executive Summary, methodology description and instruments, SOW as an attachment, list of places visited, language(s) in which the report is to be submitted)?						
34. Does the SOW include a copy of Annex 1 of the USAID evaluation policy which describes USAID's criteria for ensuring the quality of an evaluation report, as required by that policy?						

Statement of Work (SOW) Elements and Sub-Elements	How Well is the SOW Element Addressed ⁹					Issues Noted by SOW Reviewer
	Complete		Partial	Incomplete		
	<i>Above average</i>	<i>Acceptable</i>	<i>At least one aspect is missing</i>	<i>Element not addressed or inadequate</i>	<i>Not applicable</i>	
	1	2	3	4	5	
35. Is the SOW clear about any requirements that will support the dissemination of the evaluation's results, e.g., the number of hard copies needed of the final report, PowerPoint/handouts for oral briefings, submission to the DEC?						
36. Is the SOW clear about what types of raw data and intermediate work products (e.g., SPSS files) are to be delivered to USAID with the final report, and how these products will be delivered (e.g., on a CD or flash drive)?						
Include a budget						
37. Is the SOW clear about the total budget, or at least the LOE that is available, for the evaluation?						
Reviewer sense of reasonableness						
38. In the reviewer's judgment, is the relationship between the number of evaluation questions, timeline, and budget for this evaluation clear and reasonable?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Information is inadequate for determining this					
	Comment, if any:					

MHageboeck, MSI, 7/08, updated 7/11