End-Phase Project Evaluation Guidance Note

For EIF Tier I and Tier II-funded projects

July 2015

GUIDANCE NOTE FOR THE END PHASE EVALUATION OF AN EIF PROJECT

INTRODUCTION AND CONTEXT

The EIF is centred on delivering results at project and programme levels. Since the EIF delivers most of its work through partner country projects, it is critical that it has a system of feedback on completed projects through project evaluation. This helps to assess the extent of results achieved, identify constraints to project implementation and solutions applied, provide lessons learned and recommendations for future programming if any.

This guidance note sets out the procedures for conducting end of project evaluation of country-level projects (Tier I and Tier II), preparing the Terms of reference and reporting the outcome of the evaluation.

PREPARING FOR AN EVALUATION

Scope and Purpose

The National Implementation Unit (NIU)/or Main Implementing Entity (MIE) should determine the purpose, scope and main users of the evaluation outcomes including a timeline for the evaluation. Consultation with stakeholders to determine the scope of the evaluation is a good way of identifying some important issues for the evaluation. This consultation process also helps the NIU/MIE to accommodate the key stakeholders' priorities when drafting the Terms of Reference (TOR).

When determining the purpose of the evaluation, the NIU/MIE should emphasize the assessment of the relevance of the project objectives and approach, how the project activities have proved efficient and effective, the extent to which the project has achieved its planned outcomes, and whether the project is likely to be sustainable.

If a midterm evaluation was undertaken, mention its scope, the findings, the recommendations made, and the extent to which the recommendations were adopted and implement. State the role of the MTR in the final evaluation (actions taken and whether the final evaluation is to build on the results of the midterm evaluation).

IMPLEMENTING THE EVALUATION

During project implementation, the NIU/MIE ensures that evaluation takes place in a timely manner. Staff in the NIU/MIE, with support from the FP, plays the important role of supervising and monitoring the progress of the evaluation. This process can be led by the NIU Coordinator and/or the M&E contact person in the country or at the MIE. The following checklist guides the NIU/MIE throughout the evaluation process.

CHECKLIST OF TASKS

No.	Task	Yes	No
1	Conducted a stakeholder meeting to determine scope of the evaluation including the target audience for the evaluation.		
2	Discussed and determined the key evaluation questions.		
3	Prepared draft TOR for the evaluation and send a copy to ES/TFM.		
4	TOR approved by NSC/MIE		
5	TOR endorsed by EIF Executive Secretariat (ES) and the Trust Fund Manager (TFM).		
6	ToR advertised for consultants		
7	Through in-country procurement system independent evaluation consultants selected or MIE procurement system respecting country system		
8	ES and TFM informed of the selection process for endorsement.		
9	Consultant(s) selected and approved by NSC/MIE.		
10	Contract signed and consultants hired.		
11	Inception report produced by consultants.		
12	NIU/MIE supporting the consultant in data collection, logistic and practical to the consultants.		
13	Stakeholders involved in the entire evaluation process.		
14	Draft evaluation report submitted by consultants.		
15	Draft evaluation report shared with stakeholders including ES and TFM.		
16	Comments received on draft evaluation report.		
17	Final evaluation report submitted by consultant.		
18	Final evaluation report endorsed by NSC/MIE.		
19	Final evaluation report submitted to ES and TFM.		
20	Final evaluation report approved by the ES and TFM.		
21	Post evaluation processes (report validation workshop, dissemination of results and lessons learned, recommendations to be taken forward.		
22	Submit the final evaluation report to the NSC/MIE through the FP and send copies to relevant national stakeholders, including the ES and		

	TFM.		
23	Ensure proper follow-up on the recommendations.		

Preparing TOR

The TOR are the key guide for the evaluation. The TOR clarify the reasons for the evaluation, highlight issues that have become apparent, indicate the general depth, scope and methodology required and the mix and qualifications of the consultants on the evaluation team. The NIU/FP/MIE is responsible for ensuring that clear and focused TOR guides the evaluation.

The ES/TFM will assist, where necessary, including reviewing the TOR, helping in the selection process of consultants, such as reviewing the short list, etc.

The content of the TOR should include the following:

1. ***Brief background on project and context***

   It provides a summary of the project's context, management and development over time. A clear description of the project goals, objectives and the intended results, how and when it started, should be stated. Reference should also be made to the national socio-economic and political contexts of the project and to the EIF context. It should also explain why the evaluation is to be done and what triggered it.

2. ***Scope of the evaluation***

   The purpose describes the reason for the evaluation and the project stakeholders. The scope specifies the coverage of the evaluation, i.e. looking at the whole project, key issues and aspects on which the evaluation should focus and the timeframe to be covered by the evaluation-normally the 3 or 5 year phase of the project**.** The scope should be realistic; it needs to be feasible given the budget and time available for the evaluation.

3. ***Evaluation questions***

   The questions should relate to the purpose, specific objectives and scope of the evaluation, with the project-level logframe as reference point. Questions should be precisely stated to guide the evaluators in designing the evaluation and in collecting data and should be referenced within the criteria of relevance, efficiency, effectiveness, sustainability and impact of the project (**See annex 1 for example**).

4. *Methodology*

Methodology refers to the data collection and analytical methods to be used to answer the questions, the stakeholder groups to be consulted and their main interests and concerns about the project.

5. *Main outputs/deliverables and timeline*

- ***Inception report***: *a methods paper* which specifies the evaluation objectives and scope, description of evaluation methodology, evaluation questions, method of data collection and analysis, work plan and reporting requirements. It is advised to hold a briefing meeting with the consultants for the NIU/FP/MIE to discuss the project, as well as information availability. This meeting can inform the drafting of the methods paper.

- ***Draft evaluation report****:* This should be delivered within adequate time to allow stakeholder discussion of the findings, recommendations and lessons learned.

- ***Final evaluation report****:* The main output of the evaluation is a *final evaluation report* aimed at decision-makers inside and outside of the project. If a certain format or layout of the evaluation report is required, these should also be specified.

6. *Competencies of evaluators*

- The TOR should outline the skills, experience and qualifications that will be needed to effectively conduct the evaluation. Specifically:
- It has to specify the size of the team required and an estimate of the number of person-days required;
- If more than one consultant, identify the composition and competencies required;
- The team should always demonstrate:
  - Technical competence in trade issues, particularly Aid for Trade and/or in specific sector for Tier II projects;
  - Knowledge of, and a strong record in, designing and leading evaluations (both qualitative and quantitative evaluation methods);
  - Skills in data analysis; and
  - Facilitation skills.

7. *Management arrangements*

This section of the TOR describes the role of the NIU/FP/MIE in managing the evaluation. A task manager could be dedicated to coordinate the evaluation process. It should contain:

- The timeframe, with deadlines for each major step in the process; and

- The budget limit for the evaluation (if permitted under the procurement/selection process).

8. Ethical code of conduct

This section outlines the code of conduct for evaluators in conducting the evaluation. It sets out the procedures to be used in specific ethical situations, such as conflicts of interest or the acceptance of gifts.

9. Annexes

These are support materials that provide additional information to the consultants to compete in the bidding process and could be used in the overall conduct of the evaluation. The following documents could be appended to the TOR:

- Project document;
- EIF Compendium; and
- Criteria for the selection of proposals.

Box 1: Procedure for drafting and circulating the TOR

- ✓ The NIU/FP/MIE prepares the first draft of the evaluation TOR.
- ✓ During the process, the NIU/FP/MIE consults with, and receives inputs from, the project staff, the NSC, the Donor Facilitator and other key stakeholders.
- ✓ The draft TOR are then circulated to the ES and the TFM for comments within a specified timeframe.
- ✓ The NIU/MIE integrates the comments into the draft TOR, as appropriate, and submits the TOR to the NSC for final approval and to the ES/TFM for endorsement.

Hiring Evaluator(s)/consultant(s)

- Qualified trade/development and sector specific experts and evaluators should undertake the evaluation.
    - It is strongly recommended that local experts be included in the team of consultants to conduct the evaluation.
- Before contracting the consultant, the NSC and/or MIE must approve the choice, following the appropriate in-country procurement process.

- Upon request, the NIU/FP/MIE shall send to the ES/TFM the proposed evaluator(s)' curriculum vitae and a brief explanation of why they were selected as per the procurement/selection process.

Competencies of the Evaluator(s)

- Skilled in implementing evaluations, particularly in trade-related programmes and projects and in a specific sector for Tier II projects;
- Good knowledge of trade, particularly Aid for Trade, and development issues including knowledge of the sector for Tier II projects;
- Knowledge of, and experience in, applying qualitative and quantitative evaluation methods;
- Data analysis and interpretation skills;
- Good report writing skills; and
- Adherence to good evaluation practices and ethical principles.

EVALUATION REPORT

The evaluation report is the key output of the evaluation. The evaluation report (draft and final) will provide answers to the project-specific evaluation questions. The evaluation report should not usually exceed 35 pages, excluding annexes. The report should be presented following the sample structure below.

1. ***Cover page***
   - Key project data: Project title, project number, project start and completion dates, plan and final cost of project, country.
   - Key evaluation data: start and completion dates of the evaluation mission, names of the evaluators/firm, date of submission of evaluation report.

2. ***Executive Summary*** (maximum of 3)
   - Concisely states the most important findings, conclusions and recommendations of the evaluation.
   - Should be read and understood as a stand-alone document.

3. ***Brief background on the project***
   - Brief description of the project's goal and rationale.
   - Summary of the project's context, management and development over time.
   - Clear description of the project objectives and the intended outcomes.

4. *Purpose, scope and stakeholders of evaluation*

- Reason for the evaluation.
- Brief description of the scope of the evaluation.
- Specify key stakeholders for whom the evaluation was conducted and others that it may be useful to.
- Reference to the TOR and evaluation questions.

5. *Methodology*

- A brief narrative of the evaluation methods used and the limitations.
- Types and sources of data, data collection technique including data limitations.
- Remarks on problems encountered in data gathering and analysis, if any.

6. *Review of Project design and implementation*

- Brief review of project design and governance processes.
- Brief review of the main stages in the implementation of the project highlighting main milestones and challenges.
- Stakeholders involved, institutional context.

7. *Presentation of findings*

- Findings should be based on the evaluation questions.
- Findings should cover the evaluation criteria but concentrating on key issues and specific concerns.
- Analysis and discussion of quantitative and qualitative information.

8. *Conclusions*

- Reflecting evaluators' assessment and interpretation of the findings.
- Main message(s) of the evaluation.

9. *Recommendations*

- Recommendations should be based on evaluation findings, including possible proposals for review of project processes.
- Recommendation should be provided in simple language aimed at improving the ongoing project, future projects, and general EIF operations.
- Presented in a clear, concise and actionable manner, making concrete suggestions for improvements, i.e., "who should do what to improve what".

10. Lessons learned

- This highlights experiences about what has been tried that produced good results and why it worked well. It reflects good practice in project implementation that could be generalized and/or replicated.
- It includes observations, insights, and practices extracted from the evaluation that are of general interest beyond the domain of the project and contribute to wider organizational learning.

11. Annex

- Offers additional material that explains evaluation methods, data collection instruments, schedules, documents reviewed.
- Should include the TOR and list of persons contacted and interviewed.
- Can include any other relevant information, i.e., statistical tables with supplementary data, survey questionnaires, etc.

Box 2: *Procedure for producing the report*

- ✓ The evaluators prepare a complete report according to the TOR and submits this first draft in electronic form to the NIU/FP/MIE;
- ✓ The NIU/FP/MIE submits the draft, without changes, to the key stakeholders of the evaluation, including the ES and the TFM;
- ✓ The stakeholders review the report and submit comments on the content to the NIU/FP/MIE, with a copy to the NSC, by a date specified by the NIU/FP;
- ✓ The NIU/FP/MIE forwards the consolidated comments to the evaluators to prepare the final report. As much as possible, comments should be anonymous;
- ✓ The evaluators are expected to incorporate the comments into the report, as appropriate.
- ✓ The evaluators complete the final report according to the TOR and submit it in electronic form to the NIU/FP/MIE;
- ✓ The NIU/FP/MIE forwards it (without modifications other than formatting) to key stakeholders who have participated in the evaluation and to the NSC for approval; and
- ✓ The NIU/FP/MIE submits the final evaluation report to the ES/TFM for endorsement.

Feedback and follow-up

The evaluation does not end with production of the final report. The outcome of the evaluation process should enable the NIU/FP/MIE and partners to take informed decisions. After the evaluation, the NIU/FP/MIE is advised to prepare and implement a follow-up plan that focuses on capturing lessons learned and making them accessible to interested users.

The NIU/MIE is encouraged to disseminate the executive summary, or an evaluation summary report prepared from the final evaluation report that highlights the most important lessons learned from the evaluation. Disseminating results is easier if a dissemination plan is developed before the final evaluation report is produced.

ANNEXES

Annex 1a: Indicative Evaluation Questions for EIF Tier 1 Project

The evaluators are encouraged to adopt the scope and flexibility necessary for developing questions to be included in the Inception Report. The following are issues to be considered when drafting the evaluation questions. ***Please adapt to project and country situation***.

1. An assessment/overview of the overall EIF institutional set-up and processes in the country (Focal Point, NSC, NIU, Donor Facilitator) and the organisational links to key ministries and other relevant bodies in country.

   a) Description of tasks and mandate of NSC and how have they been implemented in relation to trade development and trade mainstreaming context in the country;
   b) Brief review of NSC activities/functions and its roles and responsibilities throughout the project cycle and in relation to the project delivery and timelines;
   c) Assessment of the NIU's tasks, mandate (formalised in government decision) and its actual role, responsibilities and activities in relation to the project delivery, timelines and project cycle management; the linkage of the NIU's functions with the ministry responsible for trade and trade related line ministries. This assessment should include the extent to which the NIU's functions and activities have been integrated into the structure and agenda of the ministry responsible for trade ;
   d) The organisational links (including physical location) of the NIU with the ministry responsible for trade; and
   e) An assessment of whether integration/coordination has evolved during project implementation and how it worked.

2. Results and activities for the Tier 1 Project

a) List and describe main results of the project. What has been achieved; contributing and militating factors to achieving results and pathways to results/how results were achieved.
b) Did the implementation of the project make effective use of time and resources toward achieving results?
c) What factors influenced delivery and implementation of the project?
d) How responsive was the management of the project to the changing needs of the ministry responsible for trade and the trade needs in the country in general?
e) To what extent were the project objectives achieved? What role have external factors played?
f) How effective is the EIF M&E system in measuring progress towards achieving EIF objectives?

3. Review of trade mainstreaming processes in the country (In line with the EIF Logframe)
   a) Assess the complementarity between trade and development aspect of the country's trade strategy and how it links into its national development and/or vision.
   b) Describe how trade aspects have been integrated in strategies of trade related line ministries e.g. ministry of agriculture, tourism etc.
   c) How has inter-ministerial coordination on trade issues been organised to support elaboration, implementation and monitoring of such strategies?
   d) Assess and describe if/how the Tier 1 project contributed to this process.
   e) Describe how the country's trade policy and/or export development strategy is being implemented to promote trade including inclusiveness of the process.

4. Coordination of TRTA engagement with private sector and other non-governmental stakeholders on trade and trade policy issues
   a) How effective is the public-private sector consultation mechanism functioning in the country? How involved is the private sector in influencing the national trade agenda. Assess capacity constraint in this direction.
   b) Assess and describe if/how the Tier 1 project contributed to this process.

5. Donor coordination on trade related assistance
   a) How effective is the government and donor consultation on trade related matters? What is the level of engagement of donors in the DTISU process and support to the identified trade and trade related priorities?
   b) Assess and describe if/how the Tier 1 project contributed to this process.

6. Wider mobilisation of funds for TRA – formulation of Tier 2 projects

a) Describe the state of affairs with formulation of new trade related assistance and identification of funding sources. Identify successes over the TIER 1 project phase and hindrances in the process.
b) Assess and describe if/how the Tier 1 project contributed to this process.

7. Sustainability

a) How effective has the project been in establishing national ownership?
b) Has the project prepared for an exit plan to ensure a proper hand-over to the national government and institutions?
c) Were national stakeholders involved in project implementation, and are willing and committed to continue with the objectives of the project?
d) Are the project results likely to be sustainable? Are results anchored in national institutions and can the national institutions and implementing partners be likely to maintain them financially once EIF funding ends?
e) Is there an exit strategy for the actions and resources of the EIF to be followed up with appropriate government actions/strategies after the project ends?
f) How are project resources (human/functional and financial) being integrated into the overall management of the ministry responsible for trade?

8. Impact

a) Are the project results likely to make contributions to the overall national goal of inclusive economic growth, sustainable development and poverty reduction in the country?
b) Can observed changes in capacities (human, institutional, etc.) in the ministry responsible for trade or other line ministries be linked to the contribution of the EIF?
c) Can any unintended positive or negative effects be observed as a consequence of the Tier 1 project?
d) Did the project interventions correspond to the trade needs of the country?
e) How relevant is the EIF to the contemporary context of the AfT initiative in the country?
f) Did any new multilateral, regional and bilateral trade initiatives impact the relevance of the project to the trade needs of the country?

Annex 1b: Indicative Evaluation Questions for EIF Tier 2 Projects
***(Please adapt to project and country situation*)**

1. Relevance
   a) Were the project objectives and design relevant to the trade and development priorities of the country?
   b) How relevant is the EIF to the contemporary context of the AfT initiative in the country?
   c) Have any new multilateral, regional and bilateral trade initiatives impacted the relevance of the EIF to in the country?

2. Effectiveness
   a) To what extent have the objectives of the project and outcomes of the components objectives been achieved? What role have external factors played?
   b) How adequate are the outcomes and indicators in responding to the strategic priorities of the sector in the country?
   c) How effective is the EIF M&E system in measuring progress towards achieving the objectives?

3. Efficiency
   a) Has the implementation of the Tier 2 project made effective use of time and resources toward achieving results?
   b) What factors influenced delivery and implementation of the project?
      i. Were inputs delivered and outputs achieved on time and on budget?
   c) How responsive has management of the project been to changing needs of the sector and/or direct beneficiaries of the project?

4. Impact/Potential Impact
   a) What is the impact of the project on trade development and poverty reduction in general?
      i. What is the impact generated in terms of job creation?
      ii. What is the impact on employment: how many women, men and youth were employed?
   b) What are institutional and capacity development impacts of the project at the local and national levels?
   c) What is the impact of the project, if any, on the environmental?
   d) Did the project introduce any new/improved technology/innovative issues to the community?

i. Were the innovations adopted by the project beneficiaries or do they have the potential to be adopted?
ii. Are there plans to scale-up or replicate the innovation in the same or similar communities?

e) Are there any other positive or negative effects observed due to the project

5. Sustainability

a) Are project results likely to be sustainable?
i. Is there an exit strategy for the actions and resources of the EIF to be followed up with appropriate government actions/strategies after the project ends?
ii. What is the extent of government committed (in human, financial, and institutional resources)?

b) What is the extent of involvement and potential contribution to the future of the project by direct beneficiaries of the project and other key stakeholders?

c) What factors will positively or negatively account for sustainability of the project objectives and associated results?

Annex 2: Consultant/Team Evaluation Criteria

The following evaluation criteria will be used to analyse the application and for the consultant/team of consultants to demonstrate a level of understanding of the scope of work. Points will be awarded based on the consultant/team of consultants' ability to provide and demonstrate in-depth knowledge of the services stated in the Terms of Reference (TOR) for a maximum total of 100 points. Consultant/team of consultants that score below **65** points will be considered technically non-compliant.

Passing Score: 65%, equivalent to 65 points out of 100 points

Criteria	**Description**	**Max. Points**	**Points awarded**
Consultant/Team members capability to provide services as stipulated in the TOR =35%			
Education and linguistic proficiency to undertake the work	Do the CVs indicate clearly the level and nature of degrees (e.g. Masters in economics) and linguistic proficiency to undertake the work?	5	
Skills and experience	Do the skills (e.g. communication, trade, management, evaluation) and experiences mentioned in the CVs meet the TOR requirements?	5	
Multi-stakeholders and multi-cultural	Does the consultant/team, demonstrate experience in engagement with high-level trade and development officials on a multi-stakeholder project?	5	

engagement			
Project formulation, monitoring and evaluation	Does the consultant/team have knowledge of M&E of multi-donor funded trade and development projects/program?	5	
Trade and Development	Does the consultant/team demonstrate an understanding of trade and development issues in LDCs and trade mainstreaming?	5	
Knowledge on aid for trade/understanding of sector (Tier 2 projects)	Does the consultant/team have in-depth understanding on Aid for Trade and understanding of the specific sector of the project in case of Tier II projects?	5	
Experience in evaluating Capacity building	Does the consultant/team have working experience in evaluating trade capacity development initiatives?	5	
Competence of the consultant/team to undertake the evaluation =10%			
Multi-donor and multi-country programming	Does the consultant/team have proven experience in inter-agency coordination mechanisms of multi-donor and multi-country trade and development projects/programmes?	5	
Networking	Does the consultant/team have experience in working with LDC Governments, donors and international agencies on trade and development or project sector specific issues?	5	
Consultant/team proposal on the approach and methodology to conduct the evaluation =55%			
Understanding of the project and scope of the evaluation	Does the consultant/team demonstrate a clear understanding of the scope, specific requirements, issues and general expectations of the evaluation in the overall context of the project?	20	
Methodology	Does the consultant/team provide a methodology to undertake the evaluation with a clear indication of the approach and tools including data collection & analysis to address the identified issues in the TOR?	20	
Work plan and overview of task	Does the consultant/team provide a detailed work plan covering the task within the timeframe as stipulated in the TOR?	15	
	Total Points	100	