Enhanced Integrated Framework

Trade for LDC development

Project Evaluation Guidance Note

For EIF projects

November 2020

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ABBREVIATIONS

AfT	Aid for Trade
DF	EIF Donor Facilitator
EIF	Enhanced Integrated Framework
EQAB	Evaluation Quality Assurance Body
ES	Executive Secretariat for the EIF
FER	Final Evaluation Report
FP	EIF Focal Point
LDCs	Least developed countries
M&E	Monitoring and Evaluation
MIE	Main Implementing Entity
MIS	EIF Management Information System
MOU	Memorandum of Understanding
MTE	Mid-term Evaluation
NIU	EIF National Implementation Unit
NSC	EIF National Steering Committee
OECD-DAC	Organisation for Economic Cooperation and Development-Development Assistance Committee
PCR	Project Completion Report
SDG	Sustainable Development Goal

SSP	Sustainability Support Phase
TFM	EIF Trust Fund Manager
UNEG	United Nations Evaluation Group
USD	United States Dollar

1 INTRODUCTION AND CONTEXT

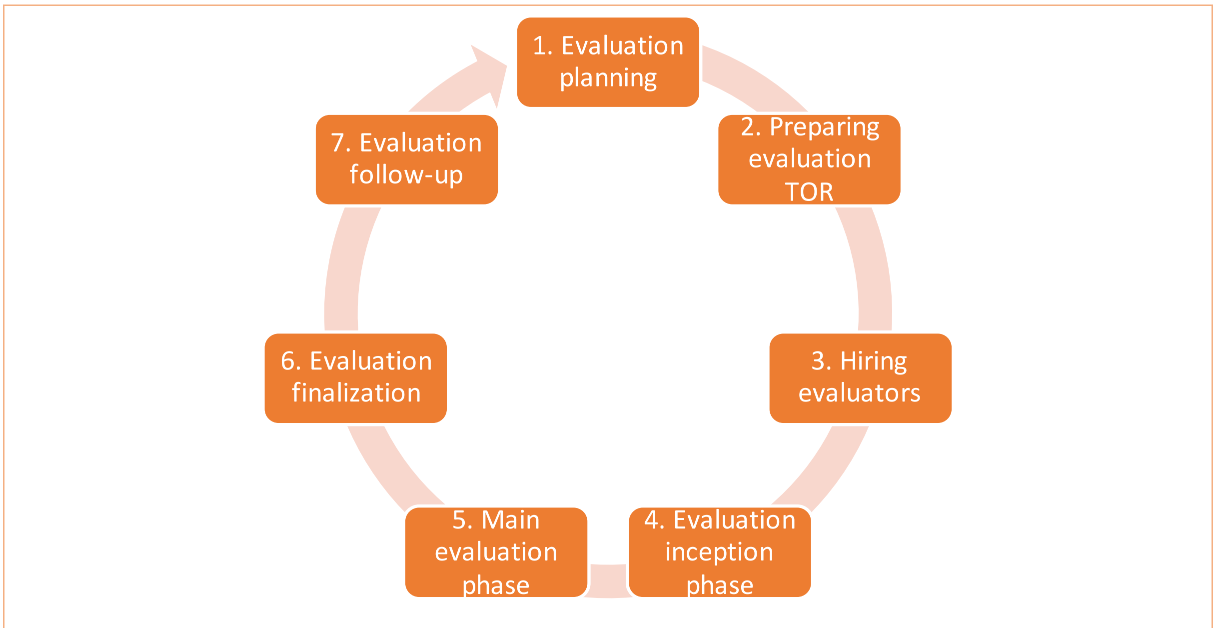
The Enhanced Integrated Framework (EIF) is centred on delivering results at project and programme levels. Since the EIF delivers most of its work through partner country projects, it is critical that it has a system of feedback on the design, implementation and results of ongoing or completed projects 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 recommended procedures for conducting project evaluations of EIF country- and regional-level projects. The purpose is not to provide a mandatory framework for project evaluations but rather to contribute to further increasing the quality and utility of EIF project evaluations.

Section 1 of the Guidance Note provides an introduction and the context within which the current update was executed. Section 2 explains the underlying principles for the EIF project evaluations and the roles to be played by the various stakeholders in EIF projects. Section 3 provides an overview and describes in detail the various steps to be undertaken in an evaluation, distinguishing between seven stages, from evaluation planning, the implementation of the evaluation, up to the feedback and follow-up to an evaluation (Figure 1). The section also provides guidance on the structure and content of documents to be prepared and used in the process, as well as suggestions regarding the evaluation methodologies.

Throughout the document, checklists, templates and flowcharts provide additional support to evaluation managers in undertaking the various activities, and the annexes provide further detailed examples, templates and materials.

Figure 1: Overview of EIF project evaluation cycle and stages



2 EVALUATION PRINCIPLES AND ORGANIZATION

2.1 Evaluation principles

To fulfil its purpose as a tool for learning and continuous improvement, evaluations need to meet high standards in terms of conduct and quality. Therefore, EIF project evaluations should be undertaken in line with the United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation.[1] In particular, all stakeholders involved in the management and conduct of an evaluation are asked to adhere to the following principles:

- **Independence:** Project-implementing entities should not seek to influence external evaluators.
- **Impartiality:** Evaluations should be objective and based on non-biased analysis.
- **Professionalism:** Evaluations should be implemented using rigorous methodological approaches, including for the validation of data, and respecting established timelines.
- **Ethics:** Any stakeholders actively involved in an evaluation need to respect ethical principles including respect for the beliefs, manners and customs of the social and cultural environment; respect for human rights and gender equality; protection of privacy; and avoidance of conflicts of interest.
- **Transparency:** Implementing entities of projects being evaluated should provide all relevant data and information to evaluators, and evaluators should be transparent about the conduct of the evaluation. This highlights the importance of communication (see 7. in Section 3.5 below).

Annex 3 provides a template for a declaration on evaluation standards and conflicts of interests suggested to be requested to be signed by evaluators during the hiring stage.

2.2 Responsibility for evaluations

The Main Implementing Entity (MIE) is responsible for the organization and management of the evaluation and ensures that it takes place in a timely, efficient and effective manner. Staff in the MIE, with support from the EIF Focal Point (FP), play the important role of organizing, supervising and monitoring the progress of the evaluation. This process can be led by the Project Coordinator and/or the M&E contact person in the country or at the MIE.

For all projects where the MIE is not the EIF National Implementation Unit (NIU), it is of the utmost importance that the MIE involves the NIU at all stages of the evaluation cycle. Without this, national ownership of the evaluation and its recommendations would be more difficult to achieve.

While the MIE is responsible for managing the evaluation and the evaluators are responsible for undertaking it, monitoring and oversight of the evaluation are also important. At the national level, this is, where possible and feasible (considering operating modalities), the role of the EIF National Steering Committee (NSC) or the Project Steering Committee, if relevant. Where the NSC cannot effectively perform this role throughout the evaluation, e.g., because it meets too infrequently, it is suggested that, at the start of the evaluation process, a separate evaluation quality assurance body be established. This could for example be a sub-committee of the NSC; it should include representatives of the project implementer and beneficiaries, as well as the donor community.

At the EIF programme level, oversight over project evaluations is provided by the Executive Secretariat for the EIF (ES) with input from the EIF Trust Fund Manager (TFM).

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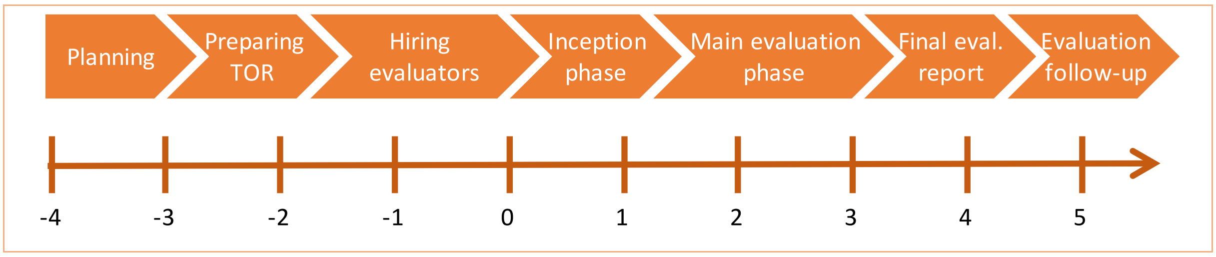
[1] Available at http://www.unevaluation.org/document/download/2787.

3 THE EVALUATION PROCESS

An overview of one complete evaluation cycle is provided in Figure 2, indicating typical times required for the various stages. From the point of view of an evaluation manager, work on the evaluation begins a considerable time prior to the start of the actual evaluation, i.e., with the evaluation planning, the preparation of the terms of reference (TOR) for the evaluation and the hiring of the evaluator(s). During the implementation of the evaluation exercise itself and the preparation of the evaluation report, the evaluation manager's role is one of oversight and monitoring of, as well as support to, the evaluator or evaluation team. Evaluation follow-up again is a core task for the MIE and project staff.

Overall, the time required for a project evaluation is typically 9 to 12 months. The planning activities should start 6 months (but at least 4 months) prior to the anticipated start of the evaluation, and the implementation of the evaluation itself will normally require another 4 to 6 months (Figure 2).

Figure 2: Indicative overall timeline for an evaluation (in months, start of evaluation = 0)



The following Checklist guides the MIE throughout the whole evaluation process. The following sections provide more details about the responsibilities and tasks in each of the phases.

Checklist: Tasks to be completed to manage an evaluation

Phase	No.	Task	Yes	No	N.A.
Evaluation Planning	1	Need for trigger-based evaluation discussed and agreed upon with the NSC/NIU and the ES/TFM			
	2	NSC evaluation sub-committee (or similar evaluation quality assurance body (EQAB)) established			
Preparing Evaluation TOR	3	Stakeholder meeting held to determine purpose, scope, target audience and timeline of the evaluation			
	4	Key evaluation questions discussed and determined with stakeholders			
	5	Draft evaluation TOR prepared and copy sent to the ES/TFM			
	6	TOR approved by the EQAB/MIE			
	7	TOR endorsed by the ES and the TFM			
Hiring Evaluators	8	TOR advertised for consultants			
	9	Independent evaluators selected through the national or the MIE procurement system respecting country system			
	10	ES and TFM informed of the selection process for endorsement			
	11	Selection of evaluator(s) approved by the EQAB			
	12	Contract signed with evaluators			
Inception Phase	13	Kick-off meeting held with evaluators			
	14	Inception Report produced by evaluators			
	15	Inception Report approved by the MIE and the EQAB			

Main Evaluation Phase	16	NIU/MIE has supported the evaluators in data collection and logistics (where required)			
	17	Stakeholders have been involved in the entire evaluation process			
Preparation of Evaluation Report	18	Draft evaluation report has been submitted by evaluators			
	19	Draft evaluation report shared with stakeholders including ES and TFM			
	20	Evaluation workshop has been held			
	21	Quality assessment of the evaluation report has been undertaken by the MIE			
	22	Comments on draft evaluation report sent to and received by evaluators			
	23	Final evaluation report (FER) submitted to the MIE by evaluators, alongside the review comments integration checklist			
	24	Final check of FER by the MIE to ascertain the extent of integration of review comments			
	24	Management response has been prepared by the MIE			
	25	Final evaluation report and management response approved by the NSC			
	26	Final evaluation report and management response submitted to, and endorsed by, the ES and the TFM			
	27	Copies of final evaluation report sent to relevant national stakeholders. At the programme level, the ES shall serve as the central repository of all project evaluations.			
Evaluation Follow-up	28	An action plan for the implementation of accepted recommendations as well as the dissemination of evaluation findings and lessons has been prepared			
	29	Accepted recommendations have been implemented			
	30	Evaluation findings and lessons have been disseminated internally and externally			

3.1 Evaluation planning, project reviews and determining the need for an evaluation

Generally, EIF rules require that an independent external end-of-project (final) evaluation is undertaken for each EIF project above the threshold value of USD 500,000. Common practice in the past has also been to undertake mid-term evaluations (MTE) of the vast majority of these projects. Box 1 provides an overview of the current practice.

Box 1: Types of EIF projects and current evaluation practice

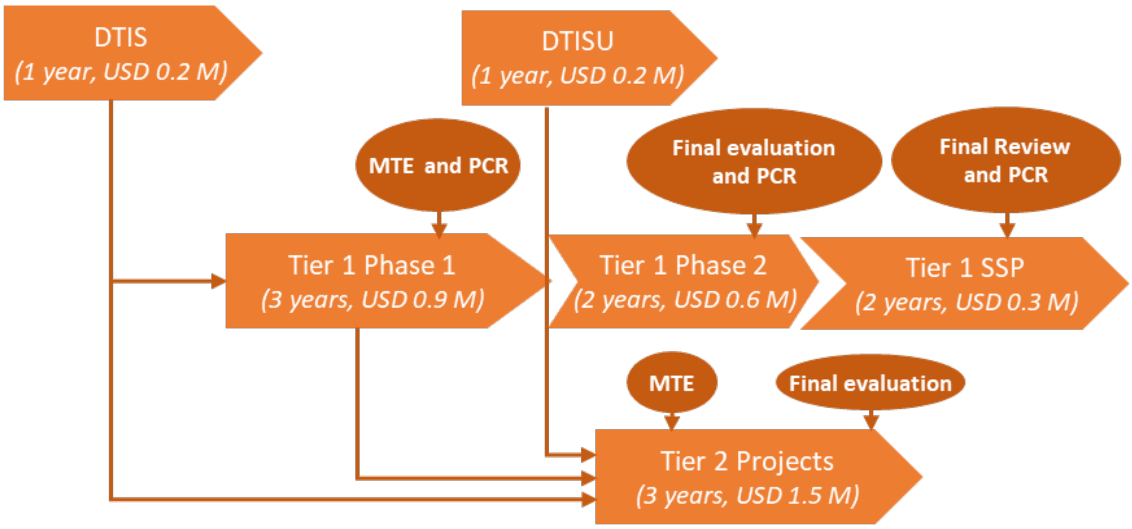
Generally speaking, the EIF distinguishes between three types of projects:

1. Diagnostic Trade Integration Studies (DTISs) and their Updates (DTISUs,) which are analytical tools for trade mainstreaming and providing a common basis for prioritization and hence mobilization of resources.
2. Institutional support to mainstream trade throughout the government actions and policies (the so-called "Tier 1" projects). These were initially intended to be five-year projects but

have been operationally broken into two phases and can be supported in a follow-on sustainability support phase (SSP).

3. Projects addressing supply-side constraints ("Tier 2" projects), typically formulated as part of Tier 1 support or derived from the Action Matrices developed as part of the DTISs/DTISUs.

The following figure provides a simplified graphical overview of these types of projects and indicates the typical evaluation stages. Thus, MTEs are undertaken at the end of Phase 1 of Tier 1 projects and (although not mandatory) at mid-point of most Tier 2 projects. End-of-project (final) evaluations are undertaken upon completion of Tier 1 Phase 2 and Tier 2 projects. Presently, no evaluations are foreseen for DTISs/DTISUs or other projects less than USD 500,000 with the exception of SSPs, where an assessment or review is required.



For more information, please consult the Compendium for EIF Phase Two, pp. 24-30.

Going forward, a more flexible approach is recommended for two reasons: First, because project activities and progress towards the achievement of outputs and outcomes is measured through the ongoing monitoring mechanisms, including reporting, separate MTEs do not always constitute good value for money. Second, there can be situations where an evaluation can be required even when not originally foreseen. Therefore, planned evaluations and trigger-based evaluations need to be distinguished.

Project Completion Reports (PCR)

A PCR is a standardized self-evaluation conducted by the NIU/MIE project manager for a completed EIF project. PCRs are mandatory for all EIF Tier 1 (including SSPs) and Tier 2 projects and are aimed at providing a rapid internal quantitative and qualitative assessment, which helps to determine the overall project performance and will be used for feedback. The ES provides a standardized PCR template that is to be used by the project manager.

Planned evaluations

Planned evaluations are those that are determined in the project document. The timing, goal and general scope of planned evaluations should be foreseen in the project concept note and a corresponding budget for them be earmarked.

Planned **end-of-project (final) evaluations** are required for all projects for which the EIF funding exceeds USD 500,000.

Planned **MTEs** are to take place if any of the following criteria apply:

1. The expectation of conducting an MTE is stated in the relevant project agreement document (Memorandum of Understanding – MOU), unless a waiver is provided by the ES.
2. A total project value above USD 1.5 million[2] or an intended project duration of more than 36 months. If a project extension is requested, which would lead to a total project duration exceeding the above limit, an MTE may be required to be undertaken – this will follow the processes for trigger-based evaluations as described below.
3. Co-funders of the project require an MTE.
4. The project uses particularly innovative or high-risk approaches, as determined during the project appraisal stage.

Trigger-based evaluations

For all projects where no planned external MTE or final evaluation is mandatory, a lighter internal interim review of the project should be done at one of the following stages of a project:

- At the mid-point of a project (at the earliest one year after the start of implementation).
- At the end of a SSP of Tier 1 projects, where no final evaluation in the strict sense is usually required.

The purposes of such a review are, first, to take stock of the project's implementation (apart from the normal reporting) and constitute a key point for reflection and, if needed, course correction; and, second, to ensure the involvement of the stakeholders in the process (including the EIF Donor Facilitator (DF)).

Such "light-touch"/interim project reviews could take the following format:

1. The MIE (M&E Officer) prepares a brief review report on the project progress and achievements, guided by a limited number of "review questions", which would be similar to evaluation questions and structured according to Organisation for Economic Cooperation and Development-Development Assistance Committee (OECD-DAC) criteria. Box 2 provides examples, and **Annex 10** provides a template.
2. An NSC, Project Steering Committee or Technical Appraisal Committee (NSC Chair/Representative; FP, DF and others as necessary) meeting is held – ideally with the ES Country Coordinator and/or TFM Regional Portfolio Manager joining this meeting, either in person or virtually. The meeting should be guided by a discussion of the same review questions addressed in the review report. The meeting should be action-oriented. For example, in an interim review, it should determine if changes to project implementation are required and also decide whether an independent external evaluation is necessary. In a final review, such as of SSPs, recommendations should focus on follow-up actions required to ensure sustainability, as well as on measures to ensure that lessons learned from the project are applied in future projects and initiatives (see Section 3.7).

[2] Excluding counterpart contributions where these constitute 20% or less than the total project value, i.e., where the EIF contribution is a maximum of USD 1.5 million and counterpart in-kind or cash contributions are equal to or less than USD 300,000.

3. The minutes of this meeting should be shared with the ES/TFM.

Box 2: Examples of key questions for internal project reviews

Interim reviews

- **Relevance:** To what extent does the project still correspond to the trade and development priorities of the country and the needs of the beneficiaries? To what extent is the project aligned to the country's SDG priorities?
- **Coherence:** How effectively is the project coordinated with other, related initiatives (both donor-funded and government initiatives), and how well do the project actions in practice contribute to the achievement of project objectives (quality of project design)?
- **Effectiveness:** Is the project on track towards achieving the targeted outputs/results?
- **Efficiency:** Are project activities in line with the plan, and have they been cost-efficient (i.e., are they in line with the achieved results)?
- **Potential impact:** Are there any indications that the project will contribute to the achievement of national objectives for which the project is relevant?
- **Sustainability:** Have activities been undertaken to ensure the sustainability of the project once completed? Is an exit strategy in place?
- **Cross-cutting issues:** Are cross-cutting issues, particularly gender, poverty and vulnerable groups, youth employment and environment, appropriately considered in project activities and monitoring?
- **Overall:** Does the project provide value for money?

Final reviews (upon completion of Tier 1 SSPs)

- **Relevance:** To what extent did the project correspond to the trade and development priorities of the country? To what extent did the project align to the Country's SDG priorities?
- **Coherence:** How effective was government and donor consultation on trade-related matters, and how effectively has the project strengthened the trade-related public-private dialogue?
- **Effectiveness:** To what extent and how has the project contributed to the integration of trade aspects into strategies of trade-related line ministries, and to what extent has additional trade-related assistance been secured?
- **Efficiency:** Were project activities in line with the plan, and has the budget been respected?
- **Impact:** 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?
- **Sustainability:** To what extent have the NIU's functions and activities been integrated into the structure and agenda of the ministry responsible for trade? How sustainable are activities undertaken as part of the SSP/Tier 1 project, and what can be done in the coming period to promote their ongoing sustainability?
- **Cross-cutting issues:** Were gender, poverty and vulnerable groups and environmental issues appropriately considered in project activities and monitoring?
- **Overall:** Did the project provide value for money?

An interim review could lead to a more comprehensive MTE in cases where any of the following **criteria** apply:

1. Major changes to the project implementation are deemed to be required in the meeting; or the project's performance is categorized as highly unsatisfactory (based on the scale used in the M&E toolkit) during the review – either overall or with respect to any of the evaluation

criteria (relevance, efficiency, effectiveness, sustainability, impact) – unless the underperformance can be explained by obvious external developments (such as overall economic developments, conflicts or other crises). In these cases, where there is a decision to proceed with an independent MTE, the MIE informs the NSC/Project Steering Committee about the decision to evaluate, and the ES and TFM endorse the trigger-based evaluation.

2. In the opinion of the ES and TFM, an MTE of the project would be necessary or add particular value.

Once the need for a trigger-based evaluation has been determined, the normal procedure for establishing the timeline, purpose and scope as set out in Section 3.2 will be followed. The specific goals and scope of a trigger-based evaluation will depend on the triggers and the justification for it.

3.2 Determining evaluation parameters and preparing evaluation TOR

Before the evaluation can start, its main parameters, i.e., the purpose, scope, evaluation questions to be addressed, and the timeline for the evaluation need to be determined. These parameters need to be defined by the MIE in consultation with the main project stakeholders.

The reference point for the evaluation is always the project document, especially the project logical framework, which outlines the hierarchy of results and corresponding indicators. This should be carefully revisited when determining the purpose and scope of the evaluation.

The evaluation parameters are established in the TOR for the evaluation, which is a binding document for the evaluators. The TOR is the main output of this stage. They clarify the reasons for the evaluation, highlight issues that have become apparent, indicate the general depth, scope and methodology required for the evaluation and the mix, qualifications and responsibilities of the consultants on the evaluation team.

A number of important issues to be considered when drafting the evaluation TOR are described in Box 3. **Annex 2 provides a template for evaluation TOR.**[3]

Box 3: Issues to be considered when drafting evaluation TOR

- ***Brief background on the project and the 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 what triggered the evaluation.

- ***Purpose, scope and users of the evaluation***

The **purpose** describes the reason for the evaluation. For end-of-project evaluations, a stronger focus will be on accounting for results (i.e., to what extent have the intended results been achieved), impact and sustainability. For MTEs, the purpose is generally to ensure learning and informed decision-making for project course correction, review project performance in order to provide greater insight into the operations and enable efficient and cost-effective project delivery and

[3] More information about how to write evaluation TOR is available at https://www.betterevaluation.org/en/evaluation-options/terms_of_reference

management. Sometimes, the purpose of an evaluation also is to determine whether the extension of a project is advisable. For trigger-based evaluations, the purpose will have been established as part of the decision to undertake an evaluation.

The **scope** specifies the coverage of the evaluation in terms of the timeframe to be covered (normally the project period lapsed until the time of the evaluation) and the key issues and aspects on which the evaluation should focus**.** The scope should be realistic; it needs to be feasible given the budget and time available for the evaluation. If an MTE was undertaken, its scope, findings, recommendations made and the extent to which the recommendations were adopted and implemented should be mentioned.

The main **users** of an evaluation will normally be the project-implementing bodies (i.e., the NIU/MIE), the ES/TFM, the NSC and the main project partners and beneficiaries. These should be clearly identified and their roles in the evaluation clarified.

- ***Evaluation criteria and questions***

The questions should relate to the purpose and scope of the evaluation, with the project-level logframe as the reference point. Questions should be precisely stated in the TOR to guide the evaluators when designing refined evaluation questions and when designing the evaluation and data collection methods. Evaluation questions should be referenced/designed along the lines of the OECD-DAC criteria of relevance, coherence, efficiency, effectiveness, impact and sustainability of the project.

To track selected overall impact indicators, such as jobs, it is recommended that evaluation questions specifically refer to indicators such as:

- The number of direct/indirect jobs created or retained (each counted separately). Retention of jobs refers to jobs that have been preserved thanks to the programme support measures, e.g., through further training, application of international standards or improvements in production.
- Likewise, for productive capacity projects, this will require assessing the direct results of production and export volumes and values supported through the project, as well as the likely contribution of the project to the overall outcome level change in the project sector (e.g., national production or export volumes/values).
- Investments facilitated as a result of the project (private sector, donor or government).
- Emerging social benefits as a result of the project (such as increased incomes, access to education, health, etc.).
- Systemic change generated through the project's interventions.

Evaluation questions should also address cross-cutting issues, such as gender or environmental/ climate change impact (**see Annex 1 for examples of evaluation questions**).

- ***Methodology***

Methodology refers to the analytical methods and data collection to be used to answer the evaluation questions, the stakeholder groups to be consulted and their main interests and concerns about the project, as well as the scoring system to be used (see Box 5 in Section 3.4 for more detail). The use of quantitative methods, where possible and appropriate, should be encouraged.

The TOR should provide overall guidance for the methodology but leave it to the evaluators to establish the detailed methodology in the offer and/or Inception Report.

- ***Main outputs/deliverables, timeline and resources***

This section lists and describes the evaluation outputs and when, in what form (electronic/hard copies) and how (e.g., by email, which file type, number of copies, etc.) they have to be delivered. Typically, the following outputs will be produced (for more details see Sections 3.4 and 3.6 below): Inception Report; draft evaluation report; and final evaluation report. Presentations and aide memoires may also be required.

The **evaluation timeline** should be established considering both external and internal deadlines (such as for submission of extension requests) and constraints (such as minimum periods for submitting offers, frequency of NSC meetings, etc.). **Resources** should be indicated in terms of person days estimated to be required for the evaluation.

- ***Competencies of evaluators***

The TOR should outline the skills, experience and qualifications that will be needed to effectively conduct the evaluation. Specifically:

1. Specify the size of the team required and provide an estimate of the number of person-days required.
2. If more than one consultant, identify the composition and competencies required.
3. The team should always demonstrate:
   a) Technical competence in trade issues, particularly of Aid for Trade (AfT) and/or in specific sectors for Tier 2 projects;
   b) Knowledge of, and a strong record in, designing and leading evaluations (both qualitative and quantitative evaluation methods);
   c) Skills in data analysis; and
   d) Facilitation skills.

It is preferable that evaluators undertake (or have already undertaken) the EIF's e-learning module on evaluation principles in the EIF. Likewise, the involvement of local evaluators is encouraged as are gender-balanced teams of evaluators **(see Section 3.3 below for more details).**

- ***Management arrangements***

This section of the TOR describes the role of the MIE and other stakeholders (the NIU, if different from the MIE; the ES and the TFM; the NSC or an NSC evaluation sub-committee; and beneficiary representatives) in managing the evaluation. A task manager could be dedicated to coordinate the evaluation process. The specific level of support that the MIE will provide to the evaluator (in terms of logistics and transport, organizing meetings, etc.) should be explained.

The section should also mention the budget available for the evaluation (if permitted under the procurement/selection process).

- ***Ethical code of conduct***

This section outlines the code of conduct for evaluators in conducting the evaluation. It should also refer to the template on ethical conducts that evaluators bidding for the evaluation should sign **(see Annex 3)**.

- ***Contractual modality and schedule of payment***

This section of the TOR shall provide details on the contractual modalities of the contract as applied either within the organization, the ministry or the country, depending on which applies. This section shall also provide clarity on the schedule of payment following the attainment of specifically defined milestones.

- ***Annexes***

These are support materials that provide additional information to the prospective evaluator/bidder 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:

1. Links to important documents (or the documents themselves), such as the project document/ results framework, the Compendium for EIF Phase Two, evaluation guidelines, etc.
2. Template for the declaration on ethical conduct **(see Annex 3)**.
3. Criteria for the selection of proposals **(see Annex 4 for more details)**.

The **roles** in preparing the TOR are as follows:

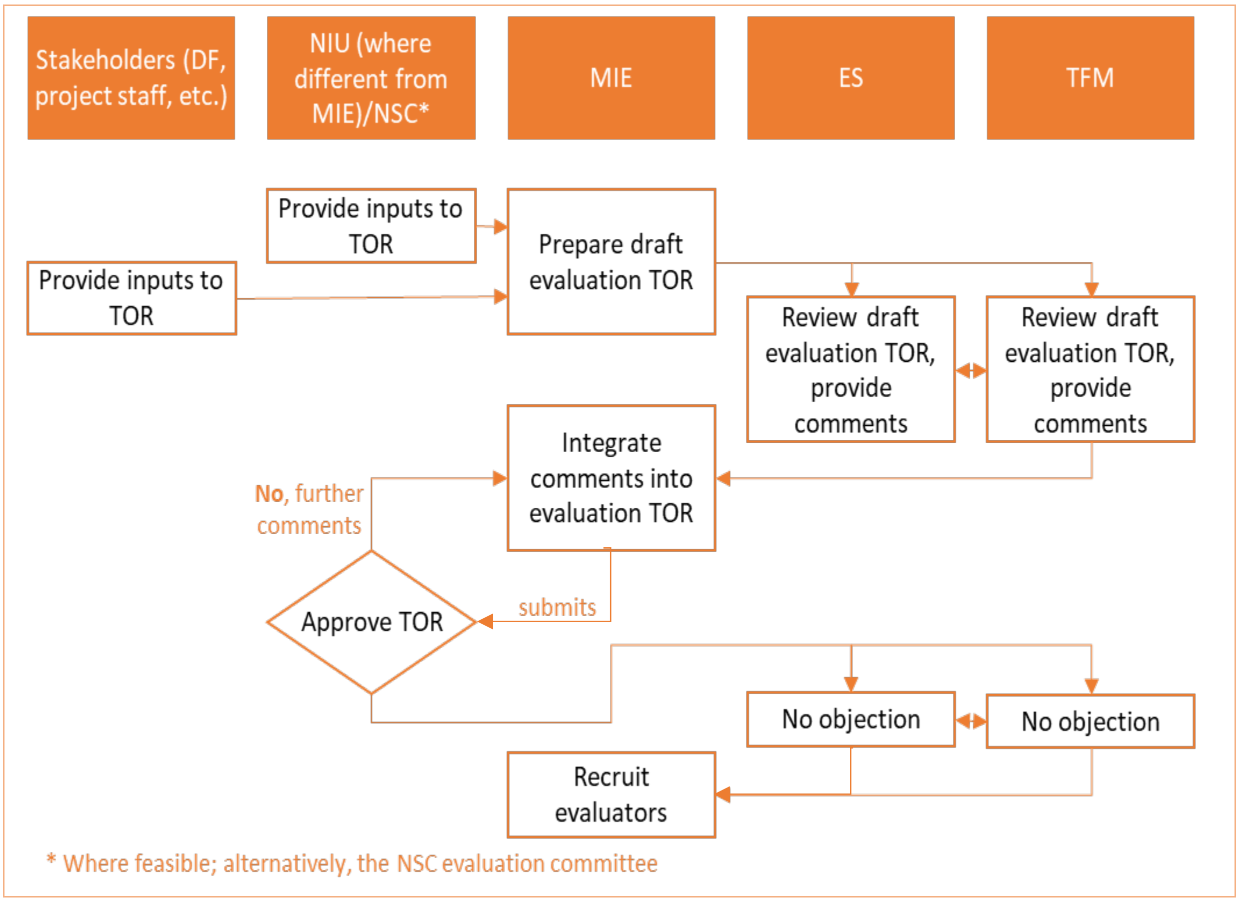
1. The MIE is responsible for preparing the TOR and ensuring that clear and focused TOR guide the evaluation. In cases where the MIE is different from the NIU, the MIE will closely involve the NIU in the process.
2. Where feasible, the NSC should be afforded an opportunity to provide input into the TOR, either prior to the development of the TOR through general principles or specific focus areas or in commenting on the draft TOR. Alternatively, an NSC evaluation committee could be established to provide closer follow-up to evaluations and to avoid delays in the process. This committee should comprise the FP, the DF and project beneficiary representative/s.
3. The ES/TFM will assist, where necessary, including with reviewing the TOR, helping in the selection process of consultants, such as reviewing the short list, etc.

When preparing the TOR, consultations with stakeholders is an important way of identifying some important issues for the evaluation. This consultation process also helps the MIE to accommodate the key stakeholders' priorities for the evaluation.

The **detailed procedure** for drafting, circulating and approving the TOR consists of the following steps:

1. The MIE prepares the first draft of the evaluation TOR.
2. During the process, the MIE consults with, and receives inputs from, the project staff, the DF and other key stakeholders.
3. The draft TOR are then circulated to the ES and the TFM for comments within a specified timeframe.
4. The MIE integrates the comments into the draft TOR, as appropriate, and submits the TOR to the ES/TFM for endorsement.
5. The MIE then proceeds with the hiring of the evaluators (see Section 3.3).

Figure 3: Flowchart for the preparation of evaluation TOR



3.3 Hiring evaluators

Qualified and experienced experts should undertake the evaluation. The knowledge and experience should comprise both trade/development (and, in the case of Tier 2 projects being evaluated, sector knowledge) and evaluation experience. This means that normally, EIF projects should be evaluated by teams of experts rather than one individual expert.[4] It is also strongly recommended that local experts be included in the team of evaluators. Likewise, gender-balanced evaluation teams are preferable.

Box 4 lists typical competencies that a team of evaluators (i.e., the evaluation team members taken together) should cover.

Box 4: Typical competencies required for evaluators of EIF projects

- Skilled in implementing evaluations, particularly of trade-related programmes and projects.
- Good knowledge of trade, particularly AfT, and development issues.
- In the case of Tier 2 projects, knowledge in the specific sector of the project.
- Knowledge of, and experience in, applying qualitative and quantitative evaluation methods.
- Data analysis and interpretation skills.
- Knowledge of the relevant national context, policies and stakeholders.

[4] Nevertheless, the MIE can decide to contract several individual experts for an evaluation or a company providing a team of experts.

- Knowledge of local language(s).
- Good communication, presentation and conflict management skills.
- Good report writing skills.
- Adherence to good evaluation practices and ethical principles.

The **procedure for hiring evaluators** will depend on the national/MIE procurement rules, but a number of principles should be applied:

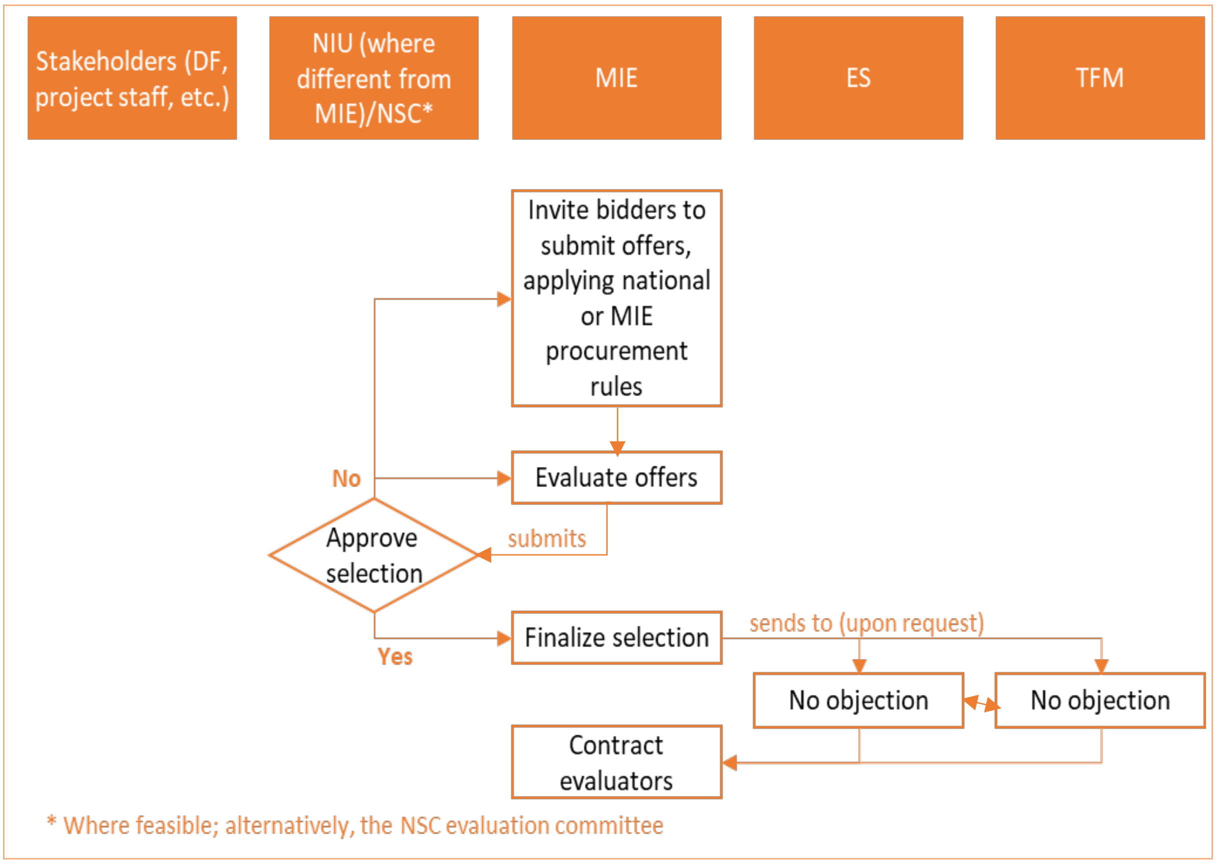
1. Evaluators should be selected based on a **competitive procedure,** which considers both the technical quality of proposals (both covering the evaluation approach and methodology and the qualifications, skills and experience of proposed evaluation team members) and financial considerations. To disseminate requests for proposals more widely, MIEs could ask the ES to post the evaluation TOR on the EIF website and disseminate them to a pool of experts. Usually, the technical evaluation should have a higher weight than the financial evaluation. **Annex 4** provides a tool for assessing the technical quality of evaluation proposals.
2. Declarations regarding the **absence of conflicts of interest and ethical standards** to be followed in evaluations should be required at the least from the selected evaluators, possibly from all applicants. **Annex 3** provides a template that could be used.

Some procedural steps are required in relation to the hiring of evaluators for EIF projects (see Figure 4).

Notably:

1. Before contracting the prospective evaluator(s), the NSC/a project review committee (respectively an NSC evaluation sub-committee) or the NIU must approve the choice, following the appropriate in-country procurement process.
2. Upon request, the MIE shall send to the ES/TFM the proposed evaluators' curricula vitae (CVs) and a brief explanation of why they were selected as per the procurement/selection process, for no objection.

Figure 4: Flowchart for hiring evaluators (detailed steps required by the EIF only)



3.4 Evaluation inception phase

The evaluation starts with an inception phase, during which the evaluators develop the methodology and activity schedule for the evaluation. It is advised to hold a briefing meeting with the evaluators for the MIE (and, if different from the MIE, the NIU/FP) to discuss the project, the understanding of the evaluation and the availability of information, as well as practical matters for the evaluation.

The output, which summarizes the work undertaken by the evaluators during the evaluation inception phase, is the Inception Report. This Report defines the final scope and methodology to be applied in the evaluation, including the scoring system to be applied (see Box 5 below), based on the preliminary research and meetings undertaken during the inception phase. The Inception Report should also explicitly address the evaluability of the project.

Box 5: Considerations for scoring in an evaluation

In order to harmonize scoring across EIF project evaluations and PCRs, unless the NIU or MIE systems have their own scale, the evaluation should apply the scale used in the EIF monitoring system, which distinguishes between the four scores "highly satisfactory", "satisfactory", "unsatisfactory", "highly unsatisfactory". These should be applied for each of the evaluation criteria (relevance, coherence, efficiency, effectiveness, impact and sustainability).

Applying the scores will always require an evaluator's judgement, especially where indicators are not quantitative, but as a rule of thumb, the following should be considered:

- **Highly satisfactory:** Progress or achievements meet all or exceed all the targets (for quantitative indicators: achievement rate equal to or above 100%).
- **Satisfactory:** Progress or achievements are largely in line with the targets (for quantitative indicators: achievement rate 75% to below 100%).
- **Unsatisfactory:** Progress or achievements fall well below the targets (for quantitative indicators: achievement rate 50%-75%).
- **Highly unsatisfactory:** Progress or achievements are extremely limited (for quantitative indicators: achievement rate below 50%).

Contextual conditions should always be taken into account in the scoring.

The aggregation of scores (both of several indicators within one evaluation criterion and across evaluation criteria into an overall "project score") again cannot be done mechanically but will depend on the indicators, the project context, and the type of evaluation. For example, in a final evaluation impact should be weighted higher than efficiency, whereas the opposite might be true in an MTE. In any case, the Inception Report should provide an explanation of the scoring system applied in the evaluation.

The Inception Report should not normally exceed 10 pages (plus annexes). Box 6 provides a suggested structure for an Inception Report. **Annex 5** **provides a template** that is suggested to be used.

Box 6 Sample structure for an evaluation Inception Report: main items

Executive Summary (maximum of two pages)

- Concisely states the project and evaluation context, evaluation methods and time plan.
- Should be understandable as a stand-alone document.

Brief background on the project (based on project documents and results framework)

- Brief description of the project's context, goal and rationale and main stakeholders.
- Summary of the project's governance and management (including risk management) structures and processes, including changes during the project period.
- Clear description of the project objectives and the intended outcomes and outputs, including changes during the project period. Analysis of how the project aligns to the country's SDG priorities.
- Brief review of the main stages and activities in the implementation of the project highlighting main milestones and challenges.
- If a previous evaluation of the project was undertaken, provide a summary of its findings and recommendations and the level of implementation of the recommendations.

Purpose, scope and stakeholders of evaluation

- Reason for the evaluation.
- Brief description of the scope of the evaluation.
- Indication of key stakeholders for whom the evaluation is conducted and others that it may be useful to.

Evaluability assessment

- The reference point for the evaluation is the project logical framework (or results framework), which outlines the hierarchy of results and corresponding indicators.

Monitoring and evaluation (M&E) plans, progress reports and other relevant project documents are also key sources of information for the evaluation process.

- The evaluators should review the quality of these documents to determine whether indicators, baselines, targets and information about the actual achievements are established and can be used to carry out the evaluation. Where issues or gaps are identified, the evaluators should provide alternative methods and tools for the evaluation (in Section 5).

Review and fine-tuning of the evaluation questions

- The basis for the evaluation questions are the questions included in the TOR. These need to be reviewed by the evaluators against the project documents (in particular the results framework), priorities of stakeholders and the evaluators' own assessment.
- Evaluation questions should be limited in number (normally, not more than 10) and cover all evaluation criteria and cross-cutting issues within the scope of the evaluation.

Evaluation methodology and tools

- For each evaluation question, judgement criteria, indicators and the measurement methodology and tools should be defined and described. This section should also make reference to the evaluation matrix that must be included in the annexes.
- Describe types and sources of data and data collection techniques, including data limitations. Quantitative methodologies are encouraged where appropriate and possible, given data availability. Likewise, approaches for triangulation of findings should be discussed.
- Describe the proposed evaluation analytical framework/approach that will generally guide the evaluation and interpretation of findings (for example, whether it will be a comparative analytical approach, a contribution analysis, a case study approach, a success case approach, an outcome harvesting approach, etc.).
- Describe the evaluation rating system to be applied (e.g., how many points scale shall be used). The evaluators are expected to make reference to the rating guide/checklist that shall be used for attributing specific rating scores. Such checklist or guide should be included in the annexes.
- Specifically address the consultation strategy – identify the stakeholders to be consulted and how communication with them will take place.
- Address limitations of the proposed methodologies and tools.

Evaluation work plan

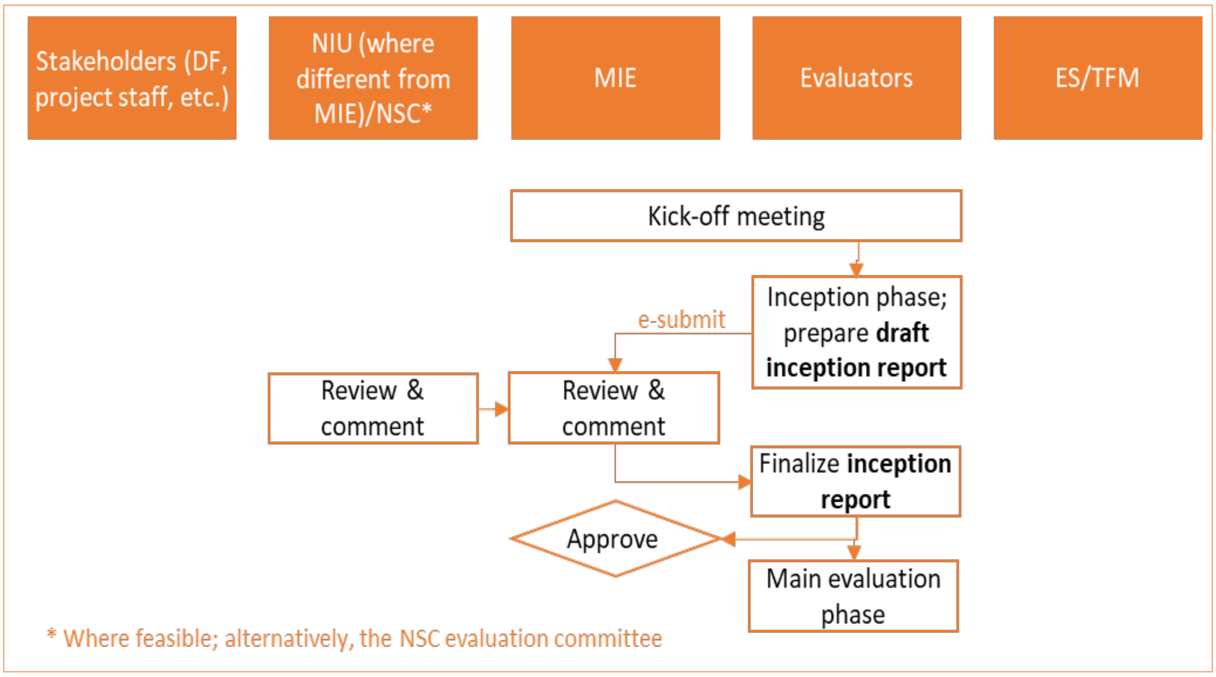
- Provide a timeline for the delivery of outputs and set milestones.
- Determine tasks per evaluation team member.
- Determine tasks/contributions expected from the NIU/MIE:

Annexes

- Offer additional material that explains evaluation methods, data collection instruments, survey questionnaires, etc.
- Include the evaluation matrix.
- Include a tentative outline of the final evaluation report.
- Include the TOR and list of persons to be contacted and interviewed.
- Include (optional) any other relevant information, e.g., statistical tables with supplementary data, documents reviewed, etc.

Figure 5 provides an overview of the activities undertaken during the inception phase.

Figure 5: Flowchart for the evaluation inception phase



3.5 Implementing, monitoring and communicating the evaluation

The implementation of the evaluation is the primary responsibility of the contracted independent evaluators, and the evaluation manager's (MIE) role is limited to supporting the evaluators where required and monitoring the evaluation progress and ensuring effective communication.

To ensure the independence of the evaluation, the following practices and behaviours should be adhered to:

1. Project staff should normally not suggest to the evaluators which stakeholders to consult during the evaluation. Rather, evaluators should prepare a list of those stakeholders they would like to consult, and project staff should then provide substantiated comments on the list if there should be changes. The same applies to the selection of any samples, if required, of sub-projects or activities to be evaluated.
2. Project staff should normally not participate in any meetings held by the evaluators with project stakeholders but should assist the evaluators in organizing the meetings, and they may provide logistical support.

Monitoring of the evaluation by the evaluation manager will mostly take place in the form of reviewing the various reports to be prepared by the evaluators, i.e., the inception and final reports, and ad hoc reporting and presentations by the evaluators (such as a debriefing upon completion of the field phase), to ensure that the evaluation progresses in line with the established time schedule.

An important aspect of any evaluation is to ensure that effective communication takes place throughout the whole process (Box 7). Communication is a two-way process: its objectives in an evaluation context are both to ensure that stakeholders are informed about the evaluation, its objectives, progress, findings and recommendations and uptake, and to ensure that the evaluators (and those involved in the management of the evaluation) are informed by other stakeholders about their views of the project being evaluated as well as about how the evaluation is undertaken. Communication activities need to be carefully planned and initiated already during the evaluation planning. During the implementation of an evaluation, the focus is particularly on communications with project stakeholders to ensure that views and perceptions about it feed into the evaluation.

Box 7: Communicating during an evaluation – key points

1. Communications activities should be designed during the evaluation planning phase to support the evaluation process at all stages.
2. It is important for the MIE to assess communications needs early in the process in collaboration with the evaluators. This will avoid situations where expectations are not clear between the MIE and the evaluators or there is no time/budget dedicated to communications.
3. Communications activities should take place before, during and after the evaluation, as communication does not only serve to communicate final findings:
    - Before an evaluation, during the planning phase, it can create awareness and ownership and can be used to manage the expectations of stakeholders.
    - During an evaluation, it can be used to share progress or initial findings, test findings or gather feedback.
4. In communicating with stakeholders during an evaluation, the evaluators should use different channels and formats. Because the choice of channels influences the understanding of the audience from the evaluation, different formats should be used to answer different information needs from stakeholders.
5. Encourage communications activities as a dialogue with stakeholders. This will ensure that their information needs are understood.
6. **Consider that most people learn through participation to a process (donors included). Participation in the process of the evaluation is thus an important factor and a good indicator for the subsequent use and uptake of evaluation findings.**

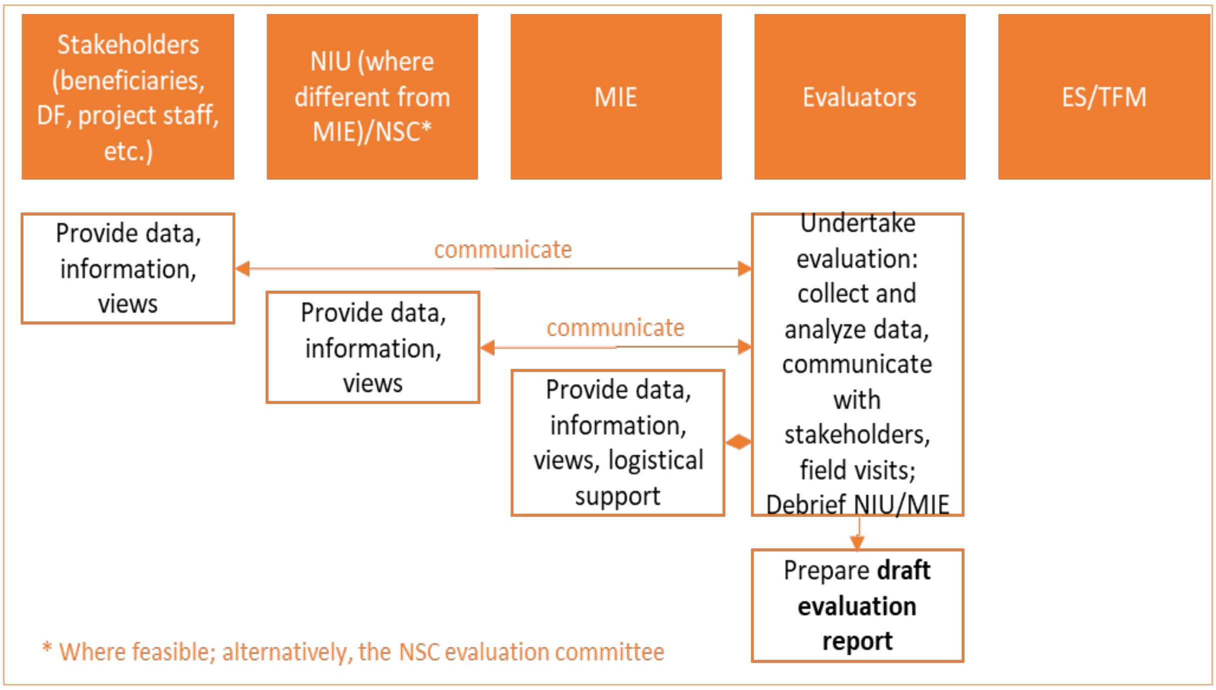
In sum, what is needed to integrate communications in evaluations is:

- The MIE needs to use a proactive approach to communications.
- The evaluation team needs to be aware of communications goals.

Source: Adapted from O'Neil, Glenn 2017: A Guide: Integrating Communication in Evaluation.

Figure 6 provides an overview of the activities undertaken during the implementation of an evaluation, up to the submission of the draft final evaluation report; steps for the completion of the evaluation report are addressed in the following section.

Figure 6: Flowchart for evaluation implementation



3.6 Preparing the evaluation report

The evaluation report is the key output of the evaluation and will provide answers to the project-specific evaluation questions, as well as recommendations for actions to be taken in order to further enhance the performance of the evaluated project (in the case of an MTE) or further projects and programmes. The evaluation report should not usually exceed 35 pages, excluding annexes. The report should be presented following the sample structure shown in Box 8 below. Annex 6 **provides a more detailed template** that is suggested to be used.

Box 8: Sample structure for an evaluation report: main items

Executive Summary (maximum of three pages)

- Concisely states the most important findings, conclusions and recommendations of the evaluation.
- Should be understandable as a stand-alone document.

Brief background on the project

- Covers the same issues as the corresponding section in the Inception Report (see above) but is updated and revised based on additional information and analysis undertaken during the evaluation.

Purpose, scope and stakeholders of evaluation

- Covers the same issues as the corresponding section in the Inception Report (see above), updated as needed.

Evaluation methodology

Summary of the methodology described in detail in the Inception Report, covering:

- A brief narrative of the evaluation methods used and the limitations.
- Types and sources of data and data collection techniques, including data limitations. Makes reference to the evaluation matrix in the annexes.
- A brief description of the analytical approach that will generally guide the evaluation and interpretation of findings.
- Type of evaluation criteria rating system.
- Remarks on problems encountered in data-gathering and analysis, if any.

Evaluation findings

- Findings should be based on the evaluation questions.
- Should contain an analysis and a discussion of quantitative and qualitative information.
- Findings should cover the evaluation criteria (relevance, coherence, efficiency, effectiveness, impact and sustainability) but concentrate on key issues and specific concerns.
- Findings on cross-cutting issues should be addressed in a dedicated section.
- Likewise, a summary assessment of the project's value for money should be provided.
    - *a. Relevance*
    - *b. Coherence*
    - *c. Efficiency*
    - *d. Effectiveness*
    - *e. Impact*
    - *f. Sustainability*
    - *g. Cross-cutting issues*[5]
        - i. Gender issues
        - ii. Poverty and vulnerable groups (e.g., youth, refugees, migrants, disabled, rural people)
        - iii. Environmental issues (climate change; local impact – biodiversity, water, air and soil quality, waste)
    - *h. Value for money* (economy, efficiency, effectiveness, equity)

Conclusions and lessons learned

- Reflect evaluators' assessment and interpretation of the findings.
- Present main message(s) of the evaluation, highlighting experiences of what worked well and not so well and explaining the underlying reasons.
- Reflect good practice in project implementation that could be generalized and/or replicated.
- Include 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.

[5] Depending on the project, other cross-cutting issues, such as labour rights, human rights or health issues might have to be considered.

Recommendations

- Should be based on evaluation findings and conclusions, including possible proposals for a review of project processes.
- Should be provided in simple language aimed at improving the ongoing project, future projects and general EIF operations.
- Should be presented in a clear, concise and actionable manner, making concrete suggestions for improvements. At a minimum, each recommendation should specify: (1) what is to be done to improve what; (2) by whom; and (3) by when.
- Should be structured by addressee, e.g., distinguishing recommendations for the NIU/MIE, to the NSC, to the government, to the ES/TFM and to other stakeholders.

Annexes

- Offer additional material that explains evaluation methods, data collection instruments, schedules and documents reviewed.
- Should include the evaluation matrix.
- 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.

The **procedure for producing the FER** involves the following activities (Figure 7):

1. The evaluators prepare the complete draft FER according to the TOR and submit it in electronic form to the MIE.
2. The MIE submits the draft, without changes, to the key stakeholders of the evaluation, including the ES and the TFM.[6]
3. Following the circulation of the draft evaluation report, a workshop should be organized by the MIE, at which the evaluators should present the findings and recommendations and discuss them with the stakeholders.
4. The stakeholders and the MIE review the report and submit comments on the content to the MIE, with a copy to the NSC, by a date specified by the MIE. **Annex 7** **provides a checklist** that aims at helping to assess the quality of evaluation reports.
5. The MIE forwards the consolidated comments to the evaluators to prepare the final report. As much as possible, comments should be anonymous.
6. The evaluators incorporate the comments into the report, as appropriate. Where comments are not accepted, the evaluators should provide a response indicating the reasons (a separate document should be prepared by the evaluators indicating the adjustments made in line with review comments). The evaluators have the final decision on the content of the report, and the MIE should ensure that no pressure, by any individual or group, is exerted on the independent evaluators to modify the report in a particular direction.
7. The evaluators complete the FER according to the TOR and submit it in electronic form to the MIE.
8. The MIE does a final check of the FER to ascertain the extent to which review comments from stakeholders had been incorporated and if not, why (these should be indicated in the separate document requested in 6. above). At this stage, should the MIE have any concern on the extent

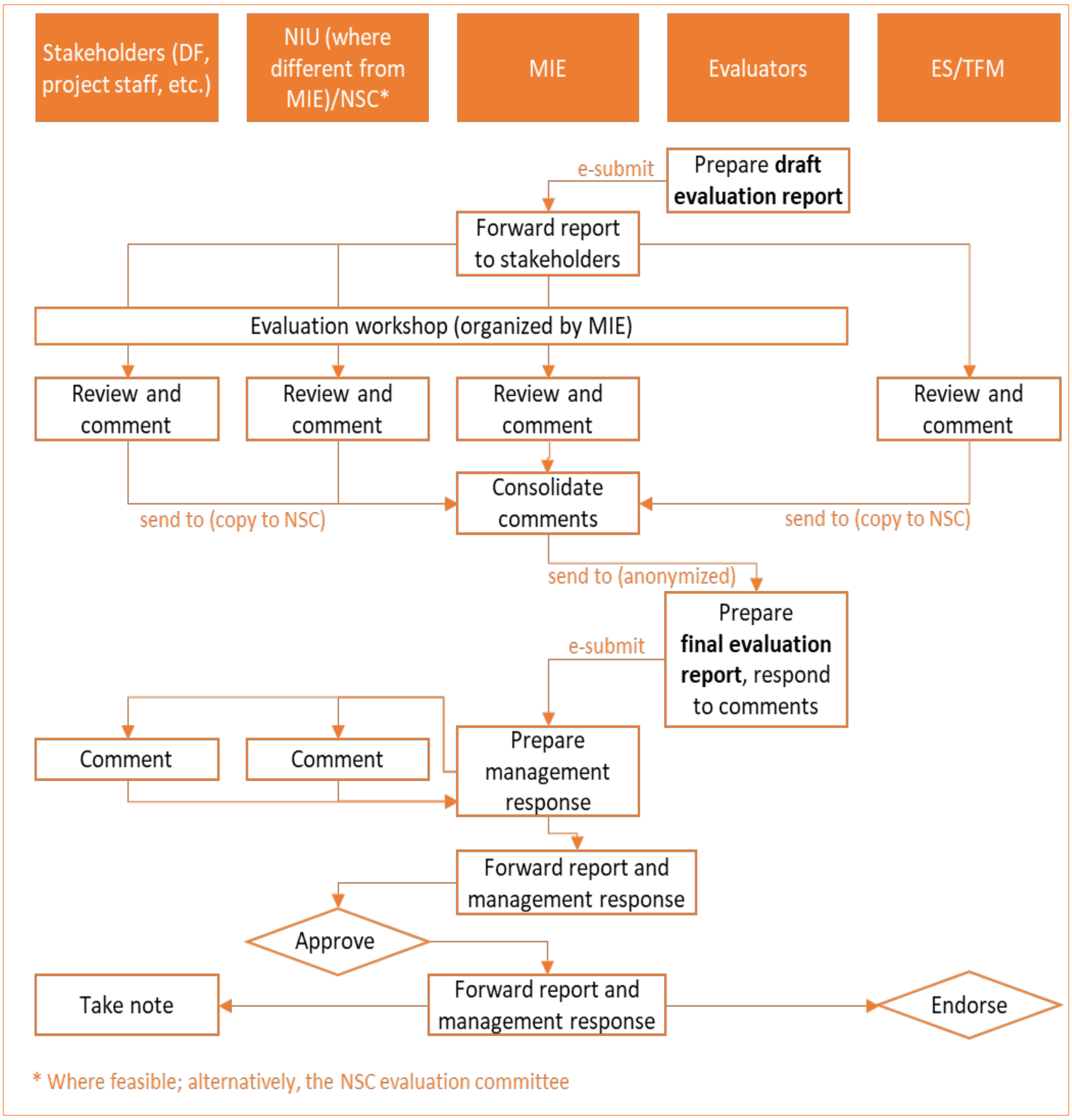
[6] While ensuring confidentiality, the ES may seek comments on the evaluation report through an international peer review mechanism.

of integration of review comments in the FER, the evaluators can be contacted once again to ensure that all outstanding review comments[7] have been integrated.

9. Depending the outcome of the final check, the evaluators, if contacted again, can decide to integrate final comments or decide to stay on their previous decision. In the case of the latter, the M&E Unit at the ES can be requested to provide advice on whether to proceed with the FER as it stands or have recourse to the services of a peer reviewer.
10. With the above steps addressed, the MIE prepares a management response (**see Template in Annex 9** below) outlining the project management views on the conclusions and recommendations and indicating the level to which each recommendation is accepted, partially accepted or rejected. Partially accepting or rejecting an evaluation recommendation should be substantiated with a reason. In developing the management response, the MIE should communicate with the NSC/evaluation committee/NIU (if different from the MIE).
11. The MIE forwards the FER (without modifications other than formatting) and the management response to key stakeholders who have participated in the evaluation and to the NSC for approval.
12. The MIE files the FER along with the management response and submits it to the ES/TFM for endorsement.

[7] Outstanding review comments can be considered as those review comments that were not integrated without relevant reasons provided or where the reasons provided were not solid enough to justify their non-integration into the FER.

Figure 7: Flowchart for producing the final evaluation report



3.7 Evaluation feedback and follow-up

The evaluation does not end with the production of the final report. Its ultimate purpose is to continuously improve projects, NIU/MIE operations and the EIF programme. For this to work, appropriate follow-up to the evaluation is required, covering the following (Figure 8):

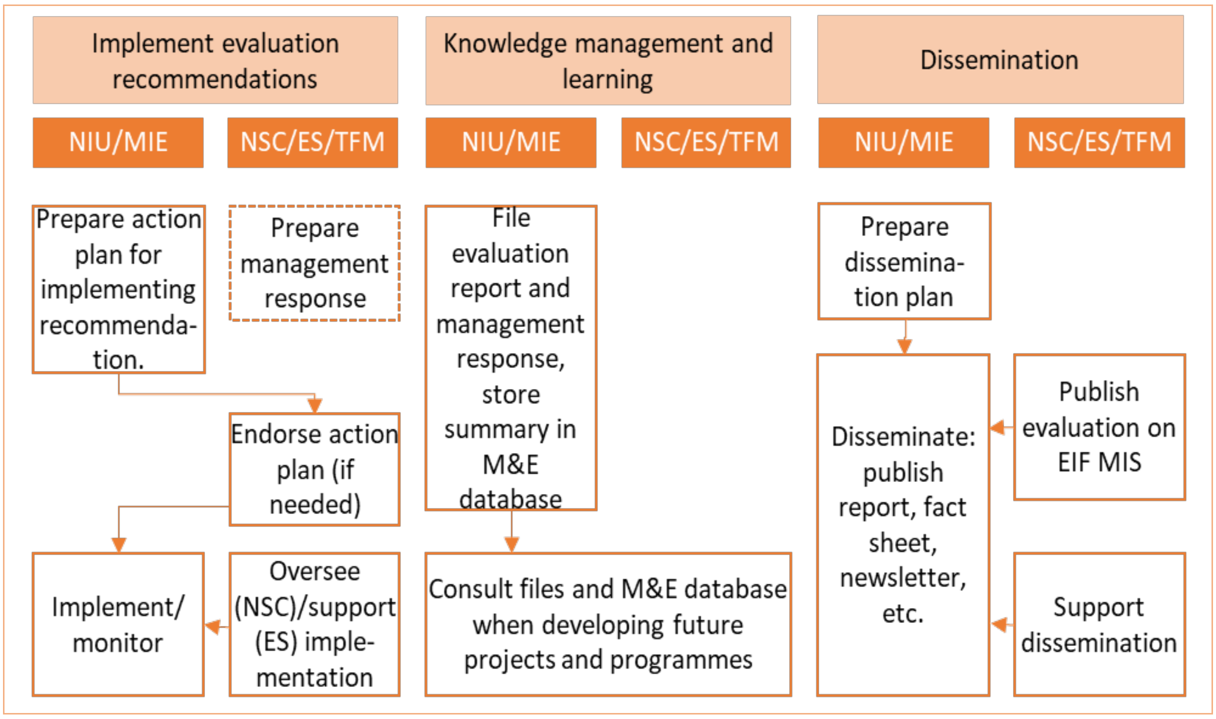
1. **Implementation of accepted evaluation recommendations:** The outcome of the evaluation process should enable the MIE and partners addressed by the recommendations to take informed decisions. After the evaluation, the MIE is advised to prepare a time-bound and budgeted action plan for the implementation of accepted recommendations. Depending on the measures to be taken, discussions with the ES/TFM and/or approval by the NSC may be

required.[8] To the extent that evaluation recommendations address the ES, the TFM or the NSC, these entities will also prepare a management response and implementation action plan.

2. **Knowledge management and learning** (internal): The MIE, the NIU and the ES/TFM should have access to the evaluation for future use. This requires that evaluation reports are appropriately filed. The NIU and the MIE should therefore store evaluation reports in a safe place (both physically and electronically and including management responses) so that the knowledge generated in the evaluations will not only be systematically fed into the design of new projects or another phase of a project but also become part of an MIE's ongoing monitoring practice. In addition, the executive summary of each evaluation report is registered in the M&E database. As a general practice, the NIU and the MIE should consult previous relevant evaluation reports and the M&E database whenever developing technical tools and designing new projects and approaches – not only in the context of donor-funded trade initiatives but also when formulating the government's trade policy measures. Likewise, the findings of project evaluations will feed into the EIF programme-level learning. The ES will undertake an annual review of evaluations concluded in that year to generate cross-cutting lessons and follow up on the implementation of recommendations of the previous year.
3. **Dissemination of evaluation findings and recommendations:** The NIU/MIE is also encouraged to disseminate the full evaluation report, the executive summary or an evaluation summary report prepared from the FER that highlights the most important lessons learned from the evaluation. Furthermore, the executive summary of each evaluation report may be included in the public section of the MIS to ensure accessibility to interested users. Disseminating results is easier if a dissemination plan is developed. The most commonly used dissemination formats are written reports, oral presentations, press releases, fact sheets, emails, newsletters, slide presentations and website postings. These formats differ in length, detail and the amount of technical information. The ES/TFM will assist the NIU/MIE in disseminating relevant lessons learned to interested EIF partners. The ES is to serve as central repository for all country project evaluations.

[8] Typically, the implementation of recommendations of an MTE will be directed at the MIE and address issues related to be addressed in the remainder of the project period. Recommendations of end-of-project evaluations are often less specific, both in terms of substance and in terms of the addressee – to address this frequent shortcoming, it is important for the MIE to ensure during the quality assurance of the draft evaluation report (see previous section) that recommendations are actionable.

Figure 8: Flowchart for evaluation follow-up



ANNEXES

Annex 1: Indicative list of evaluation questions

The following questions are intended to guide the NIU/MIE when drafting evaluation questions for the evaluation TOR. The issues would need to be selected and adapted depending on the type, scope and focus of the evaluation, as well as on the project and country situation.

a) Relevance

- To what extent did the project correspond to the trade and development priorities of the country as defined in the national development plan, the national SDG priority/strategy, DTIS, trade policy, etc.?
- To what extent did the project address the needs of the beneficiaries?
- How relevant is the EIF to the contemporary context of the AfT initiative in the country?
- Did any new multilateral, regional and bilateral trade initiatives impact the relevance of the project to the trade needs of the country?

b) Coherence

- Is the project well in line with priority projects in the DTIS Action Matrix?
- How important and adequate are the outputs and indicators of the project in responding to the strategic priorities of the sector/trade development in the country?
- Is the project in line with both EIF SDG targets and the country's SDG priorities?
- How effectively has the project been coordinated with other, related initiatives (both by the government and other donors) at project design and during project implementation? Were there any synergies or duplication of work?
- For Tier 1 projects: 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? How has the Tier 1 project contributed to this process?
- For Tier 1 projects: 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? How has the project contributed to this process?
- For Tier 2 projects: Does the productivity project in X sector have the potential of contributing to meeting some of the government's medium-term export strategy outcomes?

c) Effectiveness

- To what extent have the results of the project been achieved? What factors (internal or external) explain the levels of achievement (especially overachievement or underachievement)?
- To what extent has the project contributed to other EIF programme result areas not captured in the project's logical framework?
- For Tier 1 projects: To what extent and how has the project contributed to the integration of trade aspects in strategies of trade-related line ministries, e.g., ministry of agriculture, tourism, etc.? How has inter-ministerial coordination on trade issues been organized to support elaboration, implementation and monitoring of such strategies?
- For Tier 1 projects: To what extent has the project been successful in formulating new trade-related assistance and securing funding?

- How effective is the EIF M&E system in measuring progress towards achieving the objectives?
- For Tier 2 projects: To what extent has the project contributed to increasing productive capacity and exports of X product?

d) Efficiency

- Has the implementation of the project made effective use of time and resources toward achieving results?
- How well have governance structures/the NSC performed in providing strategic oversight and guidance to the project?
- Were inputs delivered and outputs achieved on time and on budget?
- What factors influenced delivery and implementation of the project?
- How responsive has management of the project been to the changing needs of the sector and/or direct beneficiaries of the project?
- How robust has the risk management of the project been?

e) Impact/potential impact

- Are the project results likely to make contributions to the overall national goals of inclusive economic growth, sustainable development and poverty reduction in the country? What is the impact generated in terms of job creation and employment, both overall and for different groups (women/men and youth)?
- For Tier 1 projects: 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?
- What are institutional and capacity development impacts of the project at the local and national levels?
- For productive capacity projects: Did the project introduce any new/improved technology/innovative issues to the beneficiaries? Were the innovations adopted by the project beneficiaries, or do they have the potential to be adopted? Are there plans to scale up or replicate the innovation in the same or similar communities?
- For productive capacity projects: What production and exports have been generated with support from the project (volume and value), and what is the likely contribution of the project to the overall outcome level change in the project sector (e.g., national production or export volumes/values)?
- What emerging social benefits are evident as a result of the project (such as increased incomes, access to education, health, etc.)?
- What further investments (private, government or donor) have resulted from the project interventions?
- How has the project contributed to sector-wide change/uptake and learning by others?
- Can any unintended positive or negative effects be observed as a consequence of the project?
- To what extent has the project contributed to achieving the country-level SDG priorities that the project targeted?

f) Sustainability

- How effective has the project been in establishing national ownership? Were national stakeholders and beneficiaries involved in project implementation, and are they willing and committed to continue with the objectives of the project?

- Has the project prepared for an exit plan to ensure a proper hand-over to the national government and institutions? Have appropriate government/institutional actions/ strategies been defined to ensure continuity after the project ends?
- Are the project results likely to be sustainable? Are results anchored in national institutions, and are the national institutions and implementing partners likely to maintain them financially once EIF funding ends? What is the extent of government commitment (in human, financial and institutional resources)?
- For Tier 1 projects: What is the linkage of the NIU's functions with the ministry responsible for trade and trade-related line ministries? To what extent have the NIU's functions and activities been integrated into the structure and agenda of the ministry responsible for trade?
- What factors will positively or negatively account for the sustainability of the project objectives and associated results?

g) Cross-cutting issues

- To what extent has the project benefitted (or negatively affected) women, and to what extent has it helped reduce the gender equality gap? What data or anecdotal evidence support the findings? Have sex-disaggregated indicators, data and targets been used comprehensively?
- How is the country's trade policy and/or export development strategy implemented to promote trade including inclusiveness and in particular to benefit disadvantaged and vulnerable groups? To what extent has the project contributed to this?
- What (intended or unintended) impact has the project had on the environment, both locally (e.g., impact on biodiversity, air quality, water availability and quality, soil quality and waste) and globally (e.g., greenhouse gas emissions and climate change)? To what extent has the project mitigated any potential negative effects?

Annex 2: Template for evaluation TOR

Terms of Reference for the Evaluation of [project]

Note on how to use this template (to be deleted in the actual TOR): Text without highlighting is standard text and could remain without change. Text highlighted in grey should be replaced with the specific information pertaining to the project being evaluated. Text highlighted in yellow provides explanations of/suggestions for what should be included in a specific section.

BRIEF BACKGROUND ON THE PROJECT AND CONTEXT

Briefly describe the history and current status of the project, including duration, budget, partners, donors and implementation phase.

Summarize the project rationale, theory of change and approach and how it fits into the EIF programme logic. Clearly describe the project objectives and the intended results. If the theory of change or results framework is not present or weak, please indicate this in the TOR.

Briefly describe the project institutional set-up as well as its evolution over time, including major milestones and the exit strategy.

Briefly describe the national socio-economic and political context of the project.

Refer to previous evaluations and reviews, including their findings, recommendations made and the extent to which the recommendations were adopted and implemented.

Explain what triggered the evaluation.

Purpose, scope and users of the evaluation

Evaluation purpose

Describe the main purpose of the evaluation. For end-of-project evaluations, a stronger focus will be on accounting for results (i.e., to what extent have the intended results been achieved), impact and sustainability. For MTEs, the purpose is generally to ensure learning and informed decision-making for project course correction; review project performance in order to provide greater insight into the operations; and enable efficient and cost-effective project delivery and management.

Briefly state how the evaluation will be used.

Evaluation scope

Specify the scope of the evaluation: Timeframe to be covered (normally the project period until the time of the evaluation); geographical and thematic coverage (if applicable); and target groups to be considered. Highlight specific priority issues to be covered. Also indicate if any aspects of the project are not to be covered in the evaluation.

Remember that the scope should be realistic; it needs to be feasible given the budget and time available for the evaluation.

The evaluation will give due attention to the review of cross-cutting issues throughout its methodology and all deliverables, including the final report. Notably, it will address how the project has addressed and impacted on issues of gender equality, inclusiveness and poverty and environmental impacts and climate change.

MAIN USERS OF THE EVALUATION

Mention the users of the evaluation. Normally, these are the project implementing bodies (i.e., the NIU/MIE), the ES/TFM, the NSC, donors and the main project partners and beneficiaries.

EVALUATION QUESTIONS

The evaluation should respond to the following indicative evaluation questions:

List suggested evaluation questions – preferably not more than 10-12. They should relate to the purpose and scope of the evaluation, with the project-level logframe as the 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 evaluation criteria of relevance, coherence, efficiency, effectiveness, impact and sustainability of the project. They should also address cross-cutting issues, such as gender, or environmental/climate change impact. **See Annex 1 of the Guidance Note for examples of evaluation questions**.

Evaluators will be requested to critically review the questions during the evaluation inception phase and propose, if appropriate, revised questions. They will also develop the appropriate sub-questions or judgment criteria and indicators. The final list of evaluation questions will be agreed upon between the evaluation manager and the evaluators and be presented in the final Inception Report.

METHODOLOGY

Provide overall guidance for the methodology but leave it to the evaluators to establish the detailed methodology in the offer and/or Inception Report. Specify that the methodology should:

- Include an evaluability assessment.
- Include an examination (or, if needed, reconstruction) of the project's theory of change.
- Comprise the use of various complementary methods, comprising both a quantitative and a qualitative analysis.
- Explain the use of data collection and analytical tools to be used.
- Describe the sampling method.
- Comprise inclusive communication with, and consultations of, all stakeholders, including those at risk of being excluded.
- Provide a gender-disaggregated analysis, even if the project design did not take gender into account.
- Critically discuss the limitations of the methodology.

In order to facilitate the aggregation of project-level evaluation findings into EIF-wide findings, the evaluation should apply the following scoring system for each of the evaluation criteria: highly satisfactory, satisfactory, unsatisfactory and highly unsatisfactory.

Based on the above outline, evaluators should propose a methodology for the evaluation, including a consultation strategy indicating the key stakeholders to be consulted and communications tools, in their proposal.

The final evaluation methodology will be developed during the evaluation inception phase. It will be agreed upon between the evaluation manager and the evaluators and be presented in the final Inception Report.

MAIN OUTPUTS/DELIVERABLES, TIMELINE AND INPUTS

Deliverables

The evaluators will produce the following deliverables:

An **Inception Report** will be submitted in draft form [xxx] weeks after the start of the evaluation. The Inception Report defines the final scope, evaluation questions and methodology to be applied in the evaluation, based on the preliminary research and meetings undertaken during the inception phase, and presents the final evaluation work plan. The draft Inception Report will be presented to, and discussed with, the [evaluation manager/MIE/NSC/M&E committee] prior to finalization and approval.

A **draft final report** will be submitted [xxx] weeks after the start of the evaluation. It will provide answers to the evaluation questions and detailed and actionable recommendations. The evaluation report should not usually exceed 35 pages, excluding annexes. It should be presented using a template to be provided by the contracting authority.

A stakeholder **evaluation workshop** will be held following the submission of the draft evaluation report to present and discuss the evaluation findings. Specify the expected number of participants and logistical arrangements, including if the evaluators or the MIE will be responsible for the logistics.

The **final report** will be submitted by the evaluators within two weeks after they have received the consolidated comments from the evaluation manager. It will incorporate the comments with which the evaluators agree, and the evaluators will provide written responses to those comments with which the evaluators disagree, explaining the reasons for the disagreement.

Mention other outputs as required.

The quality of reports submitted will be assessed against established quality assurance criteria. In addition, the contracting authority or the EIF may subject reports to an independent peer review.

Describe to whom, in what language, what form (electronic/hard copies) and how (e.g., by email, which file type, number of copies, etc.) reports have to be delivered.

Timeline and inputs

The evaluation is expected to be completed over a total period of [xxx] calendar weeks/months. Evaluators should propose a detailed evaluation plan as part of their offer, which will be finalized during the inception phase.

The timeline should be established considering both external and internal deadlines (such as for the submission of extension requests) and constraints (such as minimum periods for submitting offers, frequency of NSC meetings, etc.).

The anticipated total resource input by evaluators is [xxxx] person-days.

COMPETENCIES OF EVALUATORS

The evaluation should be conducted by [a team of xxx evaluators]. The involvement of local evaluators is strongly encouraged, as are gender-balanced teams of evaluators.

As a whole, the team is expected to possess the following qualifications, skills and experience:

- Proven experience in implementing project evaluations, particularly of trade-related interventions [possibly specify a number of evaluations that the evaluation team leader should have undertaken].
- Good knowledge of trade, particularly AfT, and development issues.
- In the case of Tier 2 projects, technical knowledge and experience in the specific sector of the project.
- Knowledge of, and experience in, applying qualitative and quantitative evaluation methods.
- Data analysis and interpretation skills.
- Knowledge of the relevant national context, policies and stakeholders.
- Knowledge of local language(s). Indicate level of knowledge required (fluency/working knowledge; written/spoken).
- Good communications, presentation and conflict management skills.
- Good report writing skills.
- Adherence to good evaluation practices and ethical principles.

Bidders should assign clear roles and responsibilities to the proposed individual evaluators and explain these in the proposal.

It is preferable that evaluators undertake (or have already undertaken) the EIF's e-learning module on evaluation principles in the EIF.

MANAGEMENT ARRANGEMENTS

Describe the role of the MIE and other stakeholders (the NIU, if different from the MIE; the ES and the TFM; the NSC or an NSC evaluation sub-committee and beneficiary representatives) in managing the evaluation. A task manager could be dedicated to coordinate the evaluation process.

Explain the specific level of support that the MIE will provide to the evaluators (in terms of logistics and transport, providing information, organizing meetings, etc.).

If permitted under the procurement rules/selection process, mention the budget available for the evaluation.

CODE OF CONDUCT

Evaluators are expected to meet the highest standards in terms of conduct and quality of the evaluation. This relates to ethical and professional standards and conflicts of interest. All proposed evaluators are required to sign the declaration regarding evaluation standards and conflicts of interest (see Annex B), which must be submitted as part of the proposal.

PAYMENT SCHEDULE

Indicate the payment schedule in line with the meeting of specific deliverables.

ANNEXES

Annex A: Important documents

Provide a list of important documents – such as the project document/results framework, the Compendium for EIF Phase Two, evaluation guidelines, etc. – including links or information how the documents can be obtained, or attach the documents themselves.

Annex B: Template for the declaration regarding evaluation standards and conflicts of interest

See **Annex 3 of the Guidance Note** for more details.

Annex C: Criteria for the selection of proposals

See **Annex 4 of the Guidance Note** for more details.

Annex 3: Template for the declaration regarding evaluation standards and conflicts of interest

The MIE should request that evaluators complete the following declaration regarding conflicts of interest[9] and ethical standards at the latest upon contract signature. Preferably, the declaration template should already be provided to potential evaluators at the procurement stage, and bidders should provide declarations signed by the proposed evaluators as part of the offer.

Declaration regarding evaluation standards and conflicts of interest

[**Note** (remove in the actual declaration): This declaration has been designed for use during the bidding stage. If used after the selection of evaluators, i.e., if only those evaluators that will conduct the evaluation are asked to sign it, the second option regarding conflicts of interest should be removed. Evaluators must be free of conflict of interest].

If selected as an evaluator for [project], I will adhere to the following standards:

Ethical standards

- **Impartiality:** I will operate in an impartial and unbiased manner and give an objective and balanced presentation of strengths and weaknesses of the project being evaluated.
- **Respect for human and other rights of stakeholders:** I will respect and protect the rights and welfare of human subjects and communities, in accordance with the UN Universal Declaration of Human Rights and other human rights conventions. I will respect differences in culture, local customs, religious beliefs and practices, personal interaction, gender roles, disability, age and ethnicity, while using evaluation instruments appropriate to the cultural setting. I will ensure that stakeholders are treated as autonomous agents, free to choose whether to participate in the evaluation, while ensuring that the relatively powerless are represented. I will make myself aware of, and comply with, relevant legal codes (whether international or national).
- **Confidentiality:** I will respect people's right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.
- **Avoidance of harm:** I will act to minimize risks and harms to, and burdens on, those participating in the evaluation, without compromising the integrity of the evaluation findings.
- **Omissions and wrongdoing:** Where I find evidence of wrongdoing or unethical conduct, I will report it to the Head of M&E at the Executive Secretariat for the EIF.

Professional standards

- **Independence:** I will ensure that independence of judgment is maintained and that evaluation findings and recommendations are independently presented.
- **Transparency:** I will clearly communicate to stakeholders the purpose of the evaluation, the criteria applied and the intended use of findings. I will ensure that stakeholders have a say in shaping the evaluation and that all documentation is readily available to, and understood by, stakeholders.
- **Accuracy, completeness and reliability:** I will ensure that evaluation reports and presentations are accurate, complete and reliable. I will explicitly justify judgments, findings and conclusions and

[9] The declaration has been derived from UNEG (2008): UNEG Code of Conduct for Evaluation in the UN System.

show their underlying rationale, so that stakeholders are in a position to assess them. I will accurately present the evaluation methodology, tools, data and findings and highlight any limitations or uncertainties of interpretation within the evaluation.

- **Accountability:** I am accountable for the completion of the agreed-upon evaluation deliverables within the timeframe and budget agreed, while operating in a cost-effective manner.

Conflicts of interest

- **Disclosure:** I will disclose in writing any past experience, of myself or my immediate family, which may give rise to a potential conflict of interest, and will deal honestly in resolving any conflict of interest that may arise.
- **Confirmation** (tick relevant option):

  ☐ I have no actual, potential or perceived conflict of interest in relation to the evaluation of the project being evaluated.

  ☐ I (may) have a conflict of interest of the following type:

    ☐ Actual – an existing conflict of interest (example: prior involvement as a consultant in the project being evaluated).

    ☐ Potential – a conflict of interest that is about to happen or could happen (example: possibility of being hired by the project implementing entity).

    ☐ Perceived – a conflict of interest that might be reasonably perceived by others as compromising my objectivity (example: close personal friendship with a project staff member).

    Description of the situation giving rise to the conflict of interest:

    ____
    ____
    ____
    ____
    ____

I confirm that I have read and understood and will abide by the above principles and that the information regarding conflicts of interest is accurate and in good faith.

Name: ____

Signature: ____

Place and date: ____

Annex 4: Criteria for the assessment of proposals for project evaluations, and proposed scoring grid

The following criteria will be used to assess the technical proposals made by potential evaluators or teams of evaluators both in terms of the experience of the proposed evaluation staff and in terms of the level of understanding of the scope of work and the project context. 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 TOR for a maximum total of 100 points. Technical proposals that score below **65** points would normally be considered technically non-compliant.

N/B: Note that the sections highlighted in yellow can be adapted to align with the specificities of the ToR.

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

Criteria	Description	Max. Points	Points Awarded
Consultants'/team members' capability to provide services as stipulated in the TOR = 35%			
Education and linguistic proficiency to undertake the work	Do the CVs clearly indicate the level and nature of degrees (e.g., Master's in economics) and linguistic proficiency to undertake the work?	5	
Skills and experience	Do the skills (e.g., communications, trade, management and evaluation) and experiences mentioned in the CVs meet the TOR requirements?	5	
Multi-stakeholder and multi-cultural engagement	Does the consultant/team demonstrate experience in engagement with high-level trade and development officials on a multi-stakeholder project?	5	
LDC Experience	Proposal confirms that the consultant/team have experience in working with LDC governments, donors and international agencies on trade and development or project sector-specific issues?	5	
Project formulation, M&E	Does the consultant/team have knowledge of M&E of multi-donor-funded trade and development projects/programmes?	5	
Trade and development	Does the consultant/team demonstrate an understanding of trade and development issues in the least developed countries (LDCs) and trade mainstreaming?	5	
Knowledge on AfT/ understanding of sector (Tier 2 projects)	Does the consultant/team have in-depth understanding of AfT and of the specific sector of the project in case of Tier 2 projects?	5	
Competence of the consultant/team in Conducting Evaluations = 10%			
General project and programme evaluations experience	Does the consultant/team have proven experience in inter-agency coordination mechanisms of multi-donor and multi-country trade and development projects/programmes?	5	
Specific evaluation experience in AfT	Does the consultant/team have experience in conducting evaluations specifically for AfT projects	5	

Criteria	Description	Max. Points	Points Awarded
projects and programmes	and programmes? And more specifically in the sector within which the evaluated project operated (Tourism, Agriculture Product value-chain etc)		
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 and analysis, to address the issues identified in the TOR?	20	
Work plan and overview of task	Does the consultant/team provide a detailed work plan covering the tasks within the timeframe as stipulated in the TOR?	15	
	Total points	100	

Annex 5: Template for an evaluation Inception Report

[Final] Evaluation of [Project]

[Draft] Inception Report

[Date]

Prepared by:
[names of evaluators]

Key project data

Project title: [...]

Category of project: [...]

Grant recipient entity: [...]

Project executing entity: [...]

MIE: [...]

Project budget (USD):

Item	Original Amount	Current Amount
EIF contribution	[...]	[...]
Beneficiary contribution	[...]	[...]
[other contributors: name, one line per contributor]	[...]	[...]
Total project budget	[...]	[...]

Project timeline:

Major Events	Date
Date of approval by the EIF	[...]
Date of signature of the MOU	[...]
Start of implementation	[...]
Original project end date	[...]
[First No-cost Extension]	[...]
Current project end date	[...]

Key evaluation data:

Evaluation start date: [...]

Planned evaluation end date: [...]

Date of Inception Report: [...]

Date of draft final report: [...]

Date of final report: [...]

Evaluators' e-course completed [...]

Evaluators: [...]

Disclaimer:

The views expressed in this report are those of the evaluators and do not present an official view of the project executing agency, the MIE or the EIF.

Note on how to use this template: *Text without highlighting is standard text and could remain without change. Text highlighted in grey should be replaced with the specific information pertaining to the project being evaluated. Text highlighted in yellow provides explanations of/suggestions for what should be included in a specific section.*

TABLE OF CONTENTS

LIST OF TABLES AND FIGURES

ABBREVIATIONS

EIF	Enhanced Integrated Framework
ES	Executive Secretariat for the EIF
FP	EIF Focal Point
MIE	Main Implementing Entity
NIU	EIF National Implementation Unit
NSC	EIF National Steering Committee
TFM	EIF Trust Fund Manager
USD	United States Dollar

EXECUTIVE SUMMARY

Maximum of two pages. Should be written in such a way that it is understandable as a stand-alone document. Briefly describe:

Project and evaluation context. [xxx]

Evaluation scope and users. [xxx]

Evaluation criteria and questions. [xxx]

Proposed evaluation methodology. [Quantitative and qualitative, sources and data collection tools, analytical tools]

Consultation strategy. [xxx]

Evaluation work plan. [xxx]

INTRODUCTION

Brief overview of the evaluation and the report.

PROJECT BACKGROUND AND EVALUATION CONTEXT

Based on project documents and results framework:

- Brief description of the project's context, goal and rationale and main stakeholders.
- Summary of the project's governance and management (including risk management) structures and processes, including changes during the project period.
- Clear description of the project objectives and the intended outcomes and outputs, including changes during the project period.
- Brief review of the main stages and activities in the implementation of the project, highlighting main milestones and challenges.
- If a previous evaluation of the project was undertaken, provide a summary of its findings and recommendations and the level of implementation of the recommendations.

PURPOSE, SCOPE AND USERS OF THE EVALUATION

Evaluation purpose

Describe the main purpose of the evaluation, based on the TOR. Briefly state how the evaluation will be used.

Evaluation scope

Mostly based on the TOR: Specify the scope of the evaluation:

- Timeframe to be covered.
- Target groups to be considered.
- Coverage of cross-cutting issues.
- Highlight specific priority issues to be covered.
- Also indicate if any aspects of the project are not to be covered in the evaluation.

Main users of the evaluation

Mostly based on the TOR: Specify key stakeholders for whom the evaluation was conducted and others that it may be useful to.

EVALUABILITY ASSESSMENT

Review the quality of the project documents – notably the results framework/logical framework and progress and monitoring reports – to determine whether indicators, baselines, targets and information about the actual achievements are established and can be used to carry out the evaluation.

Assess the accessibility of project sites and beneficiaries.

Where issues or gaps are identified, provide alternative methods and tools for the evaluation.

EVALUATION CRITERIA AND QUESTIONS

Based on the evaluation questions included in the TOR: Review against the project documents (in particular the results framework), priorities of stakeholders and own assessment and propose a final set of evaluation questions, along with sub-questions/judgment criteria and indicators.

Evaluation questions should be limited in number (normally, not more than 10) and cover all evaluation criteria and cross-cutting issues within the scope of the evaluation.

EVALUATION METHODOLOGY AND TOOLS

Approach to data collection and analysis

For each evaluation question, define and describe the measurement methodology and tools.

Describe types and sources of data, data collection techniques, including data limitations. Quantitative methodologies are encouraged where appropriate and possible, given data availability. Likewise, approaches for triangulation of findings should be discussed.

Consultations

Identify key stakeholders to be consulted during the evaluation.

Set out the methodology on how to communicate with stakeholders (e.g., personal interviews, site visits, surveys, etc.)

Describe the consultation action plan.

Limitations

Address limitations of the proposed methodologies and tools.

EVALUATION WORK PLAN

Schedule of work

Provide a timeline for the delivery of reports and set milestones.

Allocation of tasks

Determine tasks per evaluation team member.

Determine tasks/contributions expected from the NIU/MIE:

ANNEXES

Annex A: Evaluation TOR

Annex B: Evaluation Matrix

Annex C: Tentative outline of the FER

Annex D: List of stakeholders to be contacted and interviewed

Annex E: List of documents to be consulted

[Other annexes]

- Additional material that explains the evaluation methods, data collection instruments, interview or survey questionnaires, etc.
- Any other relevant information on work already undertaken during the inception phase, such as summaries of documents reviewed, statistical tables with supplementary data, etc.

Annex 6: Template for a FER

[Final] Evaluation of [Project]

[Draft] Final Report

[Date]

Prepared by:
[names of evaluators]

Key project data

Project title: [...]

Category of project: [...]

Grant recipient entity: [...]

Project executing entity: [...]

MIE: [...]

Project budget (USD):

Item	Original Amount	Current Amount
EIF contribution	[...]	[...]
Beneficiary contribution	[...]	[...]
[other contributors: name, one line per contributor]	[...]	[...]
Total project budget	[...]	[...]

Project timeline:

Major Events	Date
Date of approval by the EIF	[...]
Date of signature of the MOU	[...]
Start of implementation	[...]
Original project end date	[...]
[First No-cost Extension]	[...]
Current project end date	[...]

Key evaluation data:

Evaluation start date: [...]

Planned evaluation end date: [...]

Date of inception report: [...]

Date of draft final report: [...]

Date of final report: [...]

Evaluators' e-course completed [...]

Evaluators: [...]

Disclaimer:

The views expressed in this report are those of the evaluators and do not present an official view of the project executing agency, the MIE or the EIF.

__Note on how to use this template:__ Text without highlighting is standard text and could remain without change. Text highlighted in grey should be replaced with the specific information pertaining to the project being evaluated. Text highlighted in yellow provides explanations of/suggestions for what should be included in a specific section.

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MIE	Main Implementing Entity
NIU	EIF National Implementation Unit
NSC	EIF National Steering Committee
TFM	EIF Trust Fund Manager
USD	United States Dollar

EXECUTIVE SUMMARY

Maximum of four pages. Should be written in such a way that it is understandable as a stand-alone document. Briefly describe:

Project and evaluation context. [xxx]

Summary of evaluation purpose, scope, users, criteria and questions and methodology. [xxx]

Evaluation findings, conclusions and recommendations. [e.g., organized by the evaluation criteria/evaluation questions. Include scores]

Main Evaluation Question	Main Findings	Main Conclusions	Recommendations (if any)
	Relevance		
1.			
2.			
	Effectiveness		
3.			

INTRODUCTION

Brief overview of the evaluation and the report.

PROJECT CONTEXT

Based on project documents and the evaluation Inception Report:

- Brief description of the project's context, goal and rationale and main stakeholders.
- Summary of the project's governance and management (including risk management) structures and processes, including changes during the project period.
- Clear description of the project objectives and the intended outcomes and outputs, including changes during the project period.
- Brief review of the main stages and activities in the implementation of the project, highlighting main milestones and challenges.
- If a previous evaluation of the project was undertaken, provide a summary of its findings and recommendations and the level of implementation of the recommendations.

PROJECT DESIGN EVALUABILITY

- Review the quality of the project documents – notably the results framework/logical framework.
- Review the progress and monitoring reports – to determine whether indicators, baselines, targets and information about the actual achievements are established and can be used to carry out the evaluation.
- Assess the availability and quality of data and the accessibility of project sites and beneficiaries.

PURPOSE, SCOPE AND STAKEHOLDERS OF THE EVALUATION

Summarized from the evaluation Inception Report.

Purpose: Describe the main purpose of the evaluation as per the TOR and briefly say how the evaluation will be used.

Scope: Mostly based on the TOR. Describe the timeframe covered, the target group to be considered, the coverage of cross-cutting themes to be examined as per the TOR, highlight specific priorities for the evaluation and indicate aspects of the project not covered in the evaluation.

Stakeholders: Specify key stakeholders.

EVALUATION METHODOLOGY

Summarized from the evaluation Inception Report:

- A brief narrative of the evaluation methods used and the limitations.
- Describe the different data collection methods used.
- Evaluation/matrix or framework (Matrix representation of evaluation criteria, question types and sources of data, data collection technique, including data limitations). ***The evaluation matrix could be annexed or included under the methodology section.***

Evaluation Questions	Sub-Questions	Indicators/Success Standards	Sources of Data	Data Collection Methods/Tools	Data Analysis Technique
A. Relevance					
1.	1.1.				
	1.2.				
B. Effectiveness					
2.	2.1				
	2.2				

- Remarks on problems encountered in data-gathering and analysis, if any.

FINDINGS

Findings should be based on the evaluation questions.

The analysis should be based on both quantitative and qualitative information.

Concentrate on key issues and specific concerns.

Scoring should be provided at the end of each section.

Relevance

Coherence

Efficiency

Effectiveness

Impact

Sustainability

Cross-cutting issues

Gender issues

Poverty and vulnerable groups

Address effects on, e.g., youth, refugees, migrants, disabled and rural people.

Environmental issues

Address effects, e.g., on climate change as well as local impacts: biodiversity, water, air and soil quality, waste, etc.

Value for money

Address economy, efficiency, effectiveness, equity – most of this can be taken from the above.

Overall rating

Provide an overall rating of the project performance.

CONCLUSIONS AND LESSONS LEARNED

Reflect the evaluators' assessment and interpretation of the findings.

Present main message(s) of the evaluation, highlighting experiences of what worked well and not so well and explaining the underlying reasons.

Reflect good practice in project implementation that could be generalized and/or replicated.

Include 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.

RECOMMENDATIONS

- Should be based on evaluation findings, including possible proposals for a review of project processes.
- Should be provided in simple language aimed at improving the ongoing project, future projects and general EIF operations.
- Should be presented in a clear, concise and actionable manner, making concrete suggestions for improvements. At a minimum, each recommendation should specify: (1) what is to be done to improve what; (2) by whom; and (3) by when.
- Should be structured by addressee, e.g., distinguishing between recommendations to the NIU/MIE, to the NSC, to the government, to the ES/TFM and to other stakeholders.

ANNEXES

Annex A: Evaluation TOR

Annex B: List of stakeholders consulted

Annex C: List of documents consulted

Annex D: Evaluation Inception Report

[Other annexes]

- Additional material that explains evaluation methods, data collection instruments, interview or survey questionnaires, etc.
- Any other relevant information on analyses undertaken, such as summaries of documents reviewed, statistical tables with supplementary data, etc.

Annex 7: Checklist for quality assessment of evaluation reports

Quality Assessment (QA) checklist for EIF project evaluations
For NIUs and evaluation managers

Title of the evaluation:	
QA performed by (e.g., NIU Coordinator, M&E Officer):	
Evaluator (i.e., contractor):	
Date of QA:	

No.	Assessment Criteria	**Scoring** Yes, Partially, No, N/A	Comment if Scored as "Partially" or "No"
A	**Evaluation design and tools**		
A1	A clear evaluation framework has been used (evaluation questions with assessment indicators, linked to the evaluation criteria)		
A2	The report critically addresses the quality of the project design (results framework) and evaluability issues (e.g., missing indicators, baselines, targets, sources)		
A3	Data collection (e.g., interviews, surveys) and analysis are robust		
A4	Limitations of the evaluation are discussed		
B	**Evaluation findings and conclusions**		
B1	The evaluation findings meaningfully cover all evaluation criteria as per the TOR (i.e., context and attribution/contribution issues are discussed)		
	• Relevance		

	• Coherence		
	• Efficiency		
	• Effectiveness		
	• Impact		
	• Sustainability		
B2	The evaluation meaningfully covers cross-cutting issues as per the TOR		
	• Gender issues		
	• Climate change and environmental issues		
	• Poverty and inclusivity		
	• Climate change and environmental issues		
B3	Conclusions and lessons learned are derived from the findings		
B4	Conclusions and lessons learned provide clear responses to the questions/key areas defined in the TOR		
C	**Evaluation recommendations**		
C1	Recommendations are clearly derived from the analysis/findings		
C2	Recommendations are actionable:		
	• Specify an addressee		
	• Are specific		
	• Determine the timeline		
C3	Recommendations are prioritized		

Annex 8: Project Completion Report Template

PROJECT COMPLETION REPORT (PCR)

I. PROJECT INFORMATION			
Country/Countries			
MIE			
Project type			
Project title			
Report date			
PCR Team			
Processing milestones			
Project dates	EIF Board approval	Effective date for MOU signature:	
		Date of actual MOU signature:	
		Amendments (if applicable):	
		Original MOU closing date:	
		Revised MOU closure (if applicable):	
Financial information		Total amount disbursed:	

	Approved EIF budget	Total expenditure reported:	
		Original disbursement deadline:	
		Revised disbursement deadline (if applicable):	
Key events		Date effective for 1st disbursement:	
		Date of actual 1st disbursement:	
		Cancelled amounts:	
		Restructuring/major budget review (specify date and amount involved):	
		No-cost Extensions (specify dates):	
Country reports received, including final reports	Evaluation reports (date)	Mid-term:	Final:
	Technical reports	Number received:	Number pending:
	Audit	Number received:	Number pending:
	Financial reports	Number received:	Number pending:
Financing source		**Committed Amount (USD)**	**Percentage Disbursed**

Government		
EIF		
Other cash contributions (e.g., co-funders) *[Add rows as needed]*		
Other in-kind contributions		
Total		
Co-funders and other external partners (list)		
MIE(s)		
Summary of key results:		

II. PROJECT PERFORMANCE ASSESSMENT		
A. Relevance	Narrative Assessment (max. 250 words)	*Rating
1. Relevance of project objectives		
2. Relevance of project design		
B. Coherence		
1. Coordination with other related projects and initiatives		
2. Quality of the project design in meeting outcomes		
C. Effectiveness		
Progress towards achieving the project's objectives		
1. Overall project objective rating (*Provide a brief description of the project objectives, progress made and the context in which it was designed and implemented with reference to gender inclusiveness (maximum 400 words).*		Rating

2. Describe the extent of Outcome achievement	**Narrative assessment:** Indicative max. length of 50 words per Outcome.
Outcome 1	
Outcome 2	
Outcome 3	
3. Unanticipated or additional Outcomes *[Add rows as needed]*	**Narrative assessmen**t: Describe the type (e.g., gender, social, environment, other), whether positive or negative, and extent of impact on project (High, Medium, Low). Max. length of 50 words per Outcome.

4. Outcome Indicators reporting					
Outcome Indicators as per logframe *[Add rows as needed]*	Baseline Value/Level (Year)	Current Value/Level (A)	Target Value/Level (B)	Progress (A/B) (%)	Narrative Assessment per Indicator (indicative max. length: 50 words per Outcome Indicator)
Outcome 1, Indicator 1					
Outcome 1, Indicator 2					
Outcome N, Indicator n					

5. Output reporting				
Output Indicators as per logframe *[Add more rows as needed]*	Current Value/Level (A)	Target Value/ Level (B)	Progress (A/B) (%)	Narrative Assessment per Indicator (indicative max. length: 50 words per Outcome Indicator)
Output 1 Indicator 1				
Output 1, Indicator 2				
Output N, Indicator n				

6. Number of beneficiaries

[Add rows as needed]

Actual (A)	Planned (B)	Progress Towards Target (% realized) (A/B)	% of Women	% of Youth	Category (e.g., Growers, Sellers, Transporters)

D. Efficiency

1. Timeliness

Planned Project Duration – Years (A)	Actual Implementation Time – Years (B) (from 1st Disbursement)	Ratio of Planned and Actual Implementation Time (A/B)	Rating

Narrative assessment (indicative max. length: 250 words)

<table>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4">2. Resource use efficiency</td></tr>
<tr><td>Percent Implementation of Logframe (A)</td><td>Commitment Rate (%) (B) Total Commitment of EIF Funds)</td><td>Ratio of the Percentage Implementation and Commitment Rate (A/B)</td><td>Rating</td></tr>
<tr><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="4">Narrative assessment (indicative max. length: 250 words)</td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4">E. Sustainability</td></tr>
<tr><td colspan="3">1. Financial sustainability</td><td></td></tr>
<tr><td colspan="3">Narrative assessment (indicative max. length: 250 words)</td><td>Rating</td></tr>
<tr><td colspan="3"></td><td></td></tr>
<tr><td colspan="3">2. Institutional sustainability and strengthening of capacities</td><td></td></tr>
<tr><td colspan="3">Narrative assessment (indicative max. length: 250 words)</td><td>Rating</td></tr>
<tr><td colspan="3"></td><td></td></tr>
</table>

3.Ownership and sustainability of partnerships	
Narrative assessment (indicative max. length: 250 words)	Rating
4. Systemic change (degree to which the project has catalyzed ongoing change in the sector)	Rating
Narrative assessment (indicative max. length: 250 words)	
4. Environmental sustainability (if applicable)	
Narrative assessment (indicative max. length: 250 words)	Rating
F. Project impact (note any emerging or evident impacts)	
1. Impact on women	
Narrative assessment (indicative max. length: 250 words)	Rating

2. Impact on youth	
Narrative assessment (indicative max. length: 250 words)	Rating
3. Impact on job creation	
Narrative assessment (indicative max. length: 250 words)	Rating
4. Impact on the economy	
Narrative assessment, including quantifying and describing and public or private investments mobilized (indicative max. length: 250 words)	Rating
5. Impact on the environment	
Narrative assessment (indicative max. length: 250 words)	Rating

6. Social impact	
Narrative assessment, including potential impact on beneficiaries' access or use of education, health services, etc. (indicative max. length: 250 words)	Rating
7. Other impact	
Narrative assessment (indicative max. length: 250 words)	Rating
III. Performance of stakeholders	
1. Country performance	
Narrative assessment by the ES on the country performance in relation to the project. See guidance note on the issues to cover. (Indicative max. length: 250 words.)	Rating

<table>
<tr><td colspan="2">Narrative assessment by the TFM on the country performance in relation to the project. See guidance note on issues to cover. (Indicative max. length: 250 words.)</td><td>Rating</td></tr>
<tr><td colspan="2"></td><td></td></tr>
<tr><td colspan="3">2. Performance of the MIE or other stakeholders</td></tr>
<tr><td colspan="2">Narrative assessment on the performance of other stakeholders, including co-funders, contractors and service providers. See guidance note on issues to cover. (Indicative max. length: 250 words.)</td><td>Rating</td></tr>
<tr><td colspan="3"></td></tr>
<tr><td colspan="3">IV. Summary of key issues/lessons learned and recommendations</td></tr>
<tr><td colspan="3">Management response to the FER (indicate overall response)</td></tr>
<tr><td colspan="3">Management response approved by (Person) (Position) (Institution)</td></tr>
<tr><td colspan="3"></td></tr>
<tr><td>Evaluation Recommendation</td><td colspan="2">Management Response</td></tr>
<tr><td></td><td colspan="2"></td></tr>
<tr><td></td><td colspan="2"></td></tr>
<tr><td></td><td colspan="2"></td></tr>
<tr><td></td><td colspan="2"></td></tr>
</table>

1. Other key issues/lessons learned		
Key Issues *[max five per area; add rows as needed]*	***Key Lessons Learned/Key Issues***	***Target Audience***
Lessons learned related to ***relevance***		
Lessons learned related to ***coherence***		
Lessons learned related to ***effectiveness***		
Lessons learned related to ***efficiency***		
Lessons learned related to ***sustainability***		
Lessons learned related to ***impact***		
Key issues related to ***MIE or other stakeholders'*** **performance**		

2. Key recommendations (with particular emphasis on ensuring sustainability of project benefits)			
Key Issue *[max 10, add rows as needed]*	Key Recommendation	Person Responsible	Deadline

3. Key lessons for future EIF projects (with particular emphasis on other projects in the country/region; and/or for other EIF Trust Fund projects)	Indicate if added by MIE or ES/TFM

V. Overall PCR rating	
Dimensions and criteria	*Rating
DIMENSION A: RELEVANCE	
Relevance of project objective	
Relevance of project design	
DIMENSION B: COHERENCE	

Coordination with other related projects and initiatives	
Quality of the project design in meeting outcomes	
DIMENSION C: EFFECTIVENESS	
Project objective/outcomes	
DIMENSION D: EFFICIENCY	
Timeliness	
Resource use efficiency	
DIMENSION E: SUSTAINABILITY	
Financial sustainability	
Institutional sustainability and strengthening of capacities	
Ownership and sustainability of partnerships	
Environmental and social sustainability	
DIMENSION F: IMPACT	
Impact on women	
Impact on youth	
Impact on job creation	
Impact on the economy	

Impact on the environment	
Impact (social)	
Impact (other – including other areas in the SDGs)	
OVERALL PROJECT COMPLETION RATING	
VI. Human interest stories	
Provide some of the stories and voices of the project beneficiaries (include any that was published in newsletters, newspapers or any other public media). Quotations and photos from beneficiaries are encouraged.	

*For all ratings in the PCR, use the following scale: 4 (Highly satisfactory), 3 (Satisfactory), 2 (Unsatisfactory), 1 (Highly unsatisfactory)

RATING SCALE FOR EACH CRITERIA: 1 (Highly Unsatisfactory), 2 (Unsatisfactory), 3 (Satisfactory), 4 (Highly Satisfactory)

DIMENSION RATINGS: 1.00-1.49 (Highly Unsatisfactory), 1.50-2.49 (Unsatisfactory), 2.50-3.49 (Satisfactory), 3.50-4.00 (Highly Satisfactory)

OVERALL PCR RATING: This will be calculated as the average of the Dimension ratings. The following scale will apply: 1.00-1.49 (Highly Unsatisfactory), 1.50-2.49 (Unsatisfactory), 2.50-3.49 (Satisfactory), 3.50-4.00 (Highly Satisfactory)

VII. Annex 1: Completed Results Questionnaire

VIII. Annex 2: Acronyms and abbreviations

IX. List of additional annexed documents (such as key documents/publications from the project)

Annex 9: Management Response Template

INSERT PROJECT LOGO(S)

MANAGEMENT RESPONSE TEMPLATE

Title of the evaluation:

Date of the evaluation:

<table>
<tr><td colspan="6">Evaluation Recommendation 1:</td></tr>
<tr><td>Management Response:

☐ Fully accepted
☐ Partially accepted
☐ Rejected</td><td colspan="5"></td></tr>
<tr><td rowspan="2">Key Action</td><td rowspan="2">Expected result and means of verification (insert expected results and explain how this action supports the implementation of the recommendation)</td><td rowspan="2">Timeframe</td><td rowspan="2">Responsibility</td><td colspan="2">Tracking</td></tr>
<tr><td>Status</td><td>Comments</td></tr>
<tr><td>1.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>2.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>3.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Evaluation Recommendation X:</td></tr>
</table>

<table>
<tr><td>Management Response:

☐ Fully accepted
☐ Partially accepted
☐ Rejected</td><td colspan="5"></td></tr>
<tr><td rowspan="2">Key Action</td><td rowspan="2">Expected result and means of verification (insert expected results and explain how this action supports the implementation of the recommendation)</td><td rowspan="2">Timeframe</td><td rowspan="2">Responsibility</td><td colspan="2">Tracking</td></tr>
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<tr><td>3.</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">……..

(Insert rows to include Evaluation Recommendations XX as required)</td></tr>
</table>

Management Response prepared by:

Date: __________

Annex 10: Project "Interim" and SSP Review Template

PROJECT INTERIM REVIEW/SSP Review

I. PROJECT INFORMATION	
Country/Countries:	
MIE:	
Project type:	
Project title:	
Report date:	
Report author:	
Main source for review:	*[underlying project report(s)]*

II. REVIEW		
Relevance	Narrative assessment	*Rating
To what extent does the project still correspond to the trade and development priorities of the country as well as the needs of the beneficiaries? To what extent is the project still aligned to the country's SDG priorities?		
Coherence	Narrative assessment	*Rating
How effectively is the project coordinated with other, related initiatives (both donor-funded and government initiatives), and how well do the project actions in practice contribute to the achievement of the project objectives (quality of project design)?		
Effectiveness	Narrative assessment	*Rating
Is the project on track towards achieving the targeted outputs/results?		
Efficiency	Narrative assessment	*Rating
Are project activities in line with the plan and have they been cost-efficient (i.e., are they in line with the achieved results)?		
Potential impact	Narrative assessment	*Rating

Are there any indications that the project will contribute to the achievement of national objectives for which the project is relevant?		
Sustainability	Narrative assessment	*Rating
Have activities been undertaken to ensure the sustainability of the project once completed? Is an exit strategy in place?		
Cross-cutting issues	Narrative assessment	*Rating
Are cross-cutting issues, particularly gender, poverty and vulnerable groups, youth employment and environment, appropriately considered in project activities and monitoring?		
Conclusion	Narrative assessment	*Rating
How do you assess the project's performance overall? Does it provide value for money?		
What are the key issues related to the project's performance?		
III. RECOMMENDATION		
Is an external evaluation recommended?	Yes / no	
If yes: What should the evaluation focus on?		

*For all ratings, use the following scale: 4 (Highly satisfactory), 3 (Satisfactory), 2 (Unsatisfactory), 1 (Highly unsatisfactory)

Annexes:
Sources
Persons consulted