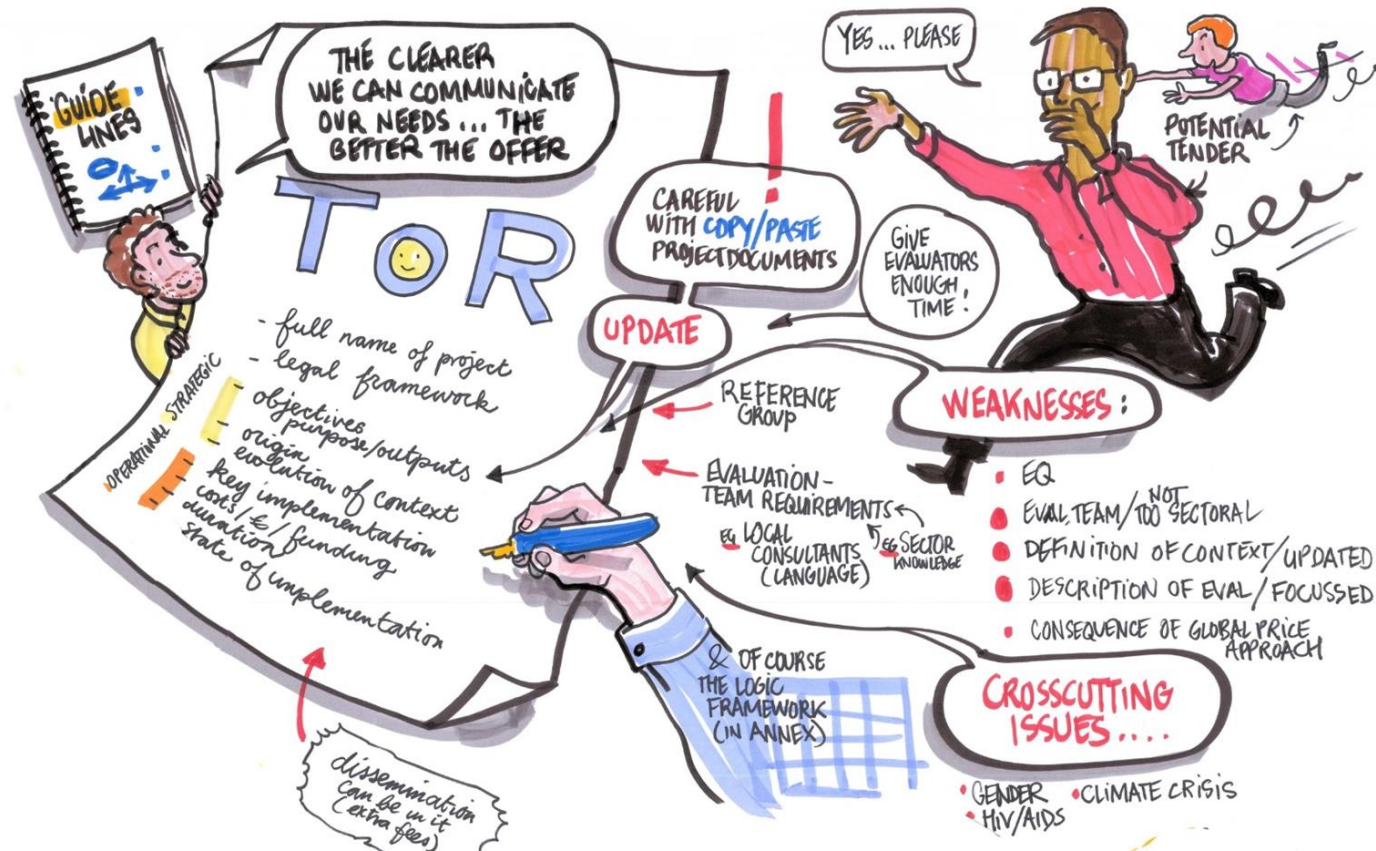


SESSION 9

Terms of Reference for an
Evaluation:

Structure & content

ToR drafting: do a quick self-test !



Experience sharing exercise on drafting of ToR

Activity | Case study

Discuss the following aspects with your group

- Mistakes to avoid in drafting terms of reference for an evaluation?
- Best practices for drafting TOR; tips and tricks



Terms of Reference for an Evaluation: Session Outline

- *Basic project / programme information*
- *Evaluation objectives and scope*
- *Issues to be addressed/ evaluation questions*
- *Methodology and approach*
- *Reporting requirements*
- *Workplan and timetable*



Let's explore the standard ToR template

Provide basic information describing the project/programme

- **Identification**

- ✓ Full **name** of the project/programme
- ✓ **Legal basis** and **commitment/decision** underpinning EC support

- **Strategic components**

- ✓ Overall **objectives, purpose, outputs** for the targeted groups/areas and activities (refer to the logical framework to be appended); any **significant change to the original objective**
- ✓ **Origin** of the project/programme, historical **background, design** and programming **process**, policies and strategies to which the project/programme contributes
- ✓ **Evolution of the context – major trends** – in the political, institutional, social and/or economic fields

These may be available in project documentation
Copy, Paste BUT Revise and Update

Provide basic information describing the project/programme

- **Operational components**

- ✓ **Components and key implementation arrangements**
(management, contracts, monitoring, co-ordination, partnerships).
- ✓ **Cost, funding** modalities, co-financing, significant **changes**, if any.
- ✓ **Duration and schedule**, significant **changes**, if any.
- ✓ **State of implementation**, indicating any noticeable successes or problems.

Define the evaluation objectives & scope

Objective & Scope

WHY ?

Main **objectives** and **purpose**
(*management, lessons learned, accountability*)

FOR WHOM ?

Use and users of the evaluation

WHICH PERIOD?

Temporal limits

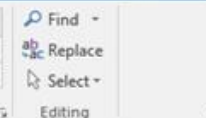
WHAT SCALE?

Geographic legal and administrative dimensions

WHAT FOCUS?

Sector or theme or component to be evaluated
(or issues to be studied)

Key part of the ToR



▼ ×

9.

Pages	Results
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1.1 Relevant country / region / se...

2.1 Objectives of the evaluation

2.2.1 Scope of the evaluation

2.2.2 Indicative Evaluation Qu...

- 2.3.1 Synoptic table
- 2.3.2 Inception Phase
- 2.3.3 Desk Phase
- 2.3.4 Field Phase
- 2.3.5 Synthesis Phase
- 2.3.6 Dissemination phase

- 2.5 Management and Steering of...
- 2.5.1 At the EU level
- 2.5.2 At the Contractor level

EXPERTISE REQUIRED

3.1 Number of experts and of wor...

3.2 Expertise required

3.3 Presence of management tea...

- 4.1 Starting period
- 4.2 Foreseen duration of the assign...
- 4.3 Planning, including the perio...
- 4.4 Location(s) of assignment

5.1 Content, timing and submission...

5.2 Use of the EVAL module by th...

Systematic and timely evaluation of its programmes and activities is an established priority⁴ of the European Commission⁵. The focus of evaluations is on the assessment of achievements, the **quality** and the **results**⁶ of Actions in the context of an evolving cooperation policy with an increasing emphasis on **result-oriented approaches and the contribution towards the implementation of the SDGs**.⁷

Evaluations should provide an understanding of the **cause and effect links** between: inputs and activities, and outputs, outcomes and impacts. Evaluations should serve accountability, decision making, learning and management purposes.

- an overall independent assessment of the past performance of the [name of the Action[s] to be evaluated], paying particular attention to its [in case of a mid-term evaluation you may add 'intermediate'] results measured against its expected objectives; and the reasons underpinning such results;
- key lessons learned, conclusions and related recommendations in order to improve current [if relevant] and future Actions.

Please describe in a few words why this evaluation is needed (e.g., to understand the performance of the Action, its enabling factors and those hampering a proper delivery of results in order to adjust its design or implementing modalities; or to understand the performance of the Action, its enabling factors and those hampering a proper delivery of results as to inform the planning of the future EU interventions and Actions in the same sector).

In describing this, make direct reference to the particular evaluation you are launching.

The main users of this evaluation will be [.....]

¹ SEC (2007)213 "Responding to Strategic Needs: Reinforcing the use of evaluation", http://ec.europa.eu/smart-regulation/evaluation/docs/eval_comm_sec_2007_213_en.pdf; SWD (2015)111 "Better Regulation Guidelines", http://ec.europa.eu/smart-regulation/guidelines/docs/swd_br_guidelines_en.pdf; COM(2017) 651 final "Completing the Better Regulation Agenda: Better solutions for better results", https://ec.europa.eu/info/sites/info/files/completing-the-better-regulation-agenda-better-solutions-for-better-results_en.pdf

* Reference is made to the entire results chain, covering outputs, outcomes and impacts. Cfr. Regulation (EU) No 236/2014 "Laying down common rules and procedures for the implementation of the Union's instruments for financing external action" - https://eur-lex.europa.eu/eli/reg/2014/236/oj/2014_236_2014_01_01_001_en.pdf

Formulate the evaluation questions

- Use or identify **key issues** to focus evaluation
- Refer to evaluation **criteria** with respect to the phase of the intervention cycle (*ex ante* – *in itinere* – *ex post*)
- Formulate **clear and precise** evaluation questions that are **linkable to causal chains** in the IL



If not comfortable drafting EQs,
it's fine to just identify key issues

A synthesis of all answers to
evaluation questions should
**allow an overall assessment
of the project/programme**

Navigation

evaluation questions

Result 1 of 28

Headings Pages Results

1 BACKGROUND

1.1 Relevant country / region / se...

1.2 The Action[s] to be evaluated

1.3 Stakeholders of the Action

1.4 Other available information

2 DESCRIPTION OF THE EVALUATIO...

2.1 Objectives of the evaluation

2.2 Requested services

2.2.1 Scope of the evaluation

2.2.2 Indicative Evaluation Qu...

2.3 Phases of the evaluation and r...

2.3.1 Synoptic table

2.3.2 Inception Phase

2.3.3 Desk Phase

2.3.4 Field Phase

2.3.5 Synthesis Phase

2.3.6 Dissemination phase

2.4 Specific Contract Organisatio...

2.5 Management and Steering of...

2.5.1 At the EU level

2.5.2 At the Contractor level

2.6 Language of the Specific cont...

3 EXPERTISE REQUIRED

3.1 Number of experts and of wor...

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4 LOCATION AND DURATION

4.1 Starting period

4.2 Foreseen duration of the assig...

4.3 Planning, including the perio...

4.4 Location(s) of assignment

5 REPORTING

5.1 Content, timing and submissi...

2.2.2 Indicative Evaluation Questions [or Issues to be addressed]

This chapter shall contain your **indicative Evaluation Questions** or (in alternative) the **issues to be addressed**. Do not forget to adapt the title of this chapter to reflect your choice.

In Chapter 2.1 (Objectives of the evaluation) you defined why the evaluation is needed and who are its users; in Chapter 2.2.1 (Scope of the evaluation) you defined the specific aspects to be evaluated.

In this chapter, you will define those **questions that the evaluators are requested to answer**. You can formulate them either as **Evaluation Questions**; or as **issues to be addressed**. Either option is acceptable.

The **Evaluation Questions** (or the **issues to be addressed**) will define what the evaluation focuses on, have a primary impact on the methodology that the evaluators will adopt and determine the findings that will be produced by the evaluation.

- The **Evaluation Questions** (EQs) are organised according to the five DAC criteria (Relevance, Efficiency, Effectiveness, Impact and Sustainability) and the 2 additional criteria, i.e., EU added value and the coherence of the Action. These 5+2 criteria are collectively defined as the **Evaluation Criteria**. Each evaluation criterion shall be covered by at least one Evaluation Question; as discussed in the box in chapter 2.2.1, your specific evaluation may suggest not covering all these criteria. The EQs must be discussed and agreed beforehand with the Reference Group of the evaluation; if this is not the case, this chapter shall include issues to be studied, instead. In formulating your **Evaluation Questions**, make specific reference to the **Action(s) to be evaluated** and avoid copying their standard definition. For more information about the formulation of **Evaluation Questions** please see http://ec.europa.eu/europeaid/sites/devco/files/evaluation-methods-guidance-vol1_en.pdf (Chapter 6).
- Issues to be addressed** are viable alternatives to the EQs: they describe your main topics of concern and are not organised according to evaluation criteria. They can be organised by main issue as to enhance readability of the **ToR** (i.e. policy/strategy,

areas, complementarity with other stakeholders, management and governance, etc.). If you are unsure about the evaluation terminology and/or the evaluation

Describe methodology and approach to be adopted

- Describe the **main methodological stages** and **products** of the evaluation process
- **Specify** the methodological **approach** if required
- Define **particular tools** to be used
- Define, if possible, the terms of **interaction** with the evaluators (seminar/workshop)
- **Adapt methodology & approach to the type of intervention** (*flexibility and recognition of the evaluators' expertise for project evaluation vs. standard and exhaustive sequence for strategic evaluation*)



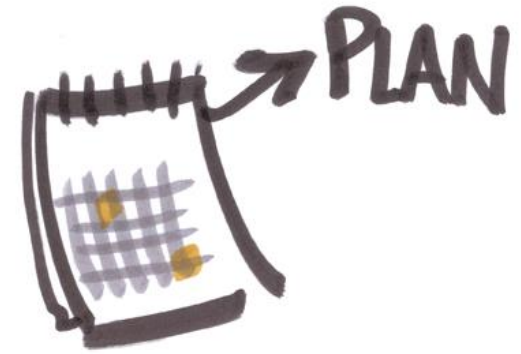
Describe in detail reporting requirements



And don't forget to describe milestone deliverables and dissemination products !

Draw up the workplan & timetable

- Do a **retro-planning** of activities
 - ✓ Define when you need the report -> Plan backwards
- Foresee **realistic time for feedback** from EUD and RG
 - ✓ **Use relative timing instead of fixed dates** e.g
Feedback on draft report: Delivery date + 10 days,
instead of 28/7
- Include **time buffer for unforeseen events**, especially
in the field phase



Example of workplan & timetable

<i>Evaluation process</i>	<i>Notes and reports</i>	<i>Dates</i>	<i>Meetings</i>
Desk phase			
Inception	submission inception note/report		Reference group meeting
Finalisation	submission desk report		Reference group meeting Interviews with programme management, EC services, etc.
Field phase			
Travel Information collection in country (De)briefing in country (De)briefing EC HQ	Seminar material		Seminar (if appropriate) Reference Group meeting
Synthesis phase			
Finalization of evaluation report	Drafting provisional final report		Reference group meeting
Final restitution (if appropriate)	Seminar material		Seminar (if appropriate)
	Final report		Presentation to final beneficiaries

Navigation

evaluation team

Search paused

Headings Pages Results

- 1.3 Stakeholders of the Action
- 1.4 Other available information
- 2 DESCRIPTION OF THE EVALUATION
 - 2.1 Objectives of the evaluation
 - 2.2 Requested services
 - 2.2.1 Scope of the evaluation
 - 2.2.2 Indicative Evaluation Questions
 - 2.3 Phases of the evaluation and results
 - 2.3.1 Synoptic table
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 - 2.3.3 Desk Phase
 - 2.3.4 Field Phase
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 - 2.4 Specific Contract Organisation...
 - 2.5 Management and Steering of...
 - 2.5.1 At the EU level
 - 2.5.2 At the Contractor level
 - 2.6 Language of the Specific contract...
- 3 EXPERTISE REQUIRED
 - 3.1 Number of experts and of working days
 - 3.2 Expertise required
 - 3.3 Presence of management team
- 4 LOCATION AND DURATION
 - 4.1 Starting period
 - 4.2 Foreseen duration of the assignment
 - 4.3 Planning, including the period of assignment
 - 4.4 Location(s) of assignment
- 5 REPORTING
 - 5.1 Content, timing and submission
 - 5.2 Use of the EVAL module by the evaluation team
 - 5.3 Comments on the outputs
 - 5.4 Assessment of the quality of the outputs
 - 5.5 Language

5 REPORTING

5.1 Content, timing and submission

The outputs must match quality standards. The text of the reports should be illustrated, as appropriate, with maps, graphs and tables; a map of the area(s) of Action is required (to be attached as Annex).

List of outputs:

The following table should be adapted and the outputs be consistent with what indicated in the Chapter 2, (Synoptic table). For instance, if you have merged (example) Inception phase and Desk phase you will have just one Inception report.



	Number of Pages (excluding annexes)	Main Content	Timing for submission
Inception Report [or Inception Note – compulsory requirement, it cannot be skipped]	[xx] pages	<ul style="list-style-type: none">Intervention logicStakeholder mapMethodology for the evaluation, incl.:<ul style="list-style-type: none">Evaluation Matrix: Evaluation Questions, with judgement criteria and indicators, and data analysis and collection methodsConsultation strategy [as needed]Field visit approach [including the criteria to select the field visits]Analysis of risks related to the evaluation methodology and mitigation measuresWork plan	End of Inception Phase
Desk Report [or Note]	[xx] pages	<ul style="list-style-type: none">Preliminary answers to each Evaluation Question, with indication of the limitations of the available informationData gaps to be addressed, issues still to be covered and hypotheses to be tested during the field visit[Update of the field visit approach if relevant][Update of the work plan of the following phases if relevant]	End of the Desk Phase
Intermediary Report [or Note]	[xx] pages	<ul style="list-style-type: none">Activities conducted during the field phaseDifficulties encountered during the field phase and mitigation measures adoptedKey preliminary findings (combining desk and field ones)	End of the Field Phase
Draft Final Report [compulsory requirement, it cannot be skipped]	[xx] pages	<ul style="list-style-type: none">Cf. detailed structure in Annex III	End of Synthesis Phase



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