



# CIDA EVALUATION GUIDE

*Overcoming challenges*

*Delivering results*

*Meeting expectations*

*Making a contribution*

Evaluation Division  
Performance & Knowledge  
Management Branch

October 2004



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## Forward

The “CIDA Evaluation Guide” was prepared to ensure that the Agency’s staff, consultants and partners are properly informed about how evaluations of CIDA’s investments in development cooperation are to be carried out, and what they are expected to achieve.

The Guide sets out to:

- ⊙ Build awareness and understanding about the evaluation function, and the role of evaluators
- ⊙ Enhance the value realized from CIDA’s investments in evaluations
- ⊙ Ensure compliance with Treasury Board Secretariat (TBS) requirements, and
- ⊙ Promote effective, consistent management and work practices, both at headquarters and in the field.

Our thanks are extended to the many individuals who contributed to this Guide. In particular, we would like to acknowledge the encouragement and support provided by Goberdhan Singh, Director, Evaluation Division, Performance and Knowledge Management Branch.

### We Welcome Your Comments

*Performance Review Branch (PRB) relies on hearing from users to improve our work effort. We welcome any comments and/or suggestions that you may have.*

Please contact us at:

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*The Agency’s websites offer a wide range of information on CIDA’s approach to performance measurement and reporting. In some cases, access may be restricted to internal audiences only.*





## Acronyms

ACAN	Advanced Contract Award Notice
CIDA	Canadian International Development Agency
DAC	Development Assistance Committee (OECD)
MERX	Government Electronic Tendering Service
NGO	Non-governmental organization
OAG	Office of the Auditor General
PKMB	Performance and Knowledge Management Branch
PSU	Program Support Unit
RBM	Results-Based Management
SOA	Special Operating Agency
TBS	Treasury Board Secretariat
TOR	Terms of Reference
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund





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## About this Guide

The “CIDA Evaluation Guide” documents the Agency’s current approach for evaluating development cooperation policies, programs and projects. It sets out the process to be followed, acceptable standards of performance, appropriate work practices, and guidelines for achieving success. The Guide is designed to promote and facilitate informed decision-making throughout the evaluation process: from the planning/design stage, then implementation, through to reporting and the sharing of results.

A thorough reading offers an in-depth understanding of the Agency’s evaluation activities. Or, individual items of interest can be quickly accessed. Uninitiated readers can learn about the fundamentals of the evaluation process, while seasoned practitioners can benefit from normative guidance to complete the task-at-hand.

### Value of Evaluations

Evaluations of the Agency’s programs and projects are carried out to inform CIDA management, the Agency’s partners in development cooperation and Canadians in general about what results are being achieved, what improvements should be considered, and what is being learned. To this end, Performance and Knowledge Management Branch (PKMB) serves as CIDA’s corporate-level responsibility centre for performance measurement and reporting.

CIDA looks to evaluations to determine what works – and what doesn’t – in achieving sustainable development. Producing credible, timely, and objective information that describes how CIDA’s investments are performing promotes effective and efficient programming. What is learned from evaluations becomes strategic to informed decision-making, in turn leading to improved development cooperation policies, strategies and practices. In this way, performance review functions as the Agency’s broad continuum for institutionalizing improvements.

Sharing evaluation results with key audiences demonstrates accountability and transparency to Canadians, and benefits development cooperation generally within the international development community. By building a greater understanding about CIDA programming, support is generated for what the Agency is intent on accomplishing.

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## What this Guide Covers

The Guide is divided into eleven chapters:

- |                                      |  |
|--------------------------------------|--|
| 1. The Basics                        | Fundamental information about why and how evaluations are carried out at CIDA                                |
| 2. Focus on Results                  | Describes the Agency's commitment to achieving development cooperation results                               |
| 3. Challenges & Expectations         | Understanding the context for conducting evaluations and what is expected                                    |
| 4. Thinking Ahead                    | Identifies key issues that should be at the forefront of an evaluator's thinking                             |
| 5. Preparing Terms of Reference      | Identifies requirements and sets out an 'model' text   |
| 6. Selecting the Evaluator           | Describes the contracting process, and what to look for when assessing candidates                            |
| 7. Preparing Evaluation Workplans    | Describes the essential elements and provides an 'model' text  |
| 8. Information Collection & Analysis | Discusses approaches, strategies and issues  |
| 9. Preparing Evaluation Reports      | Elaborates on report preparation (includes 'model' text for an Executive Summary)                            |
| 10. Optimizing Value                 | Shows how evaluation results contribute to developmental cooperation, and suggests ideas for sharing results |
| 11. Frequently Asked Questions       | Provides informative answers to fundamental questions about evaluations                                      |

## Chapter One: The Basics

In this chapter:

- Why CIDA carries out evaluations
- Types of evaluations
- What is expected
- Who does what
- How & when evaluations are carried out

In this chapter, we lay out the fundamentals. What is an evaluation? Why does the Agency perform evaluations? What are management's expectations? Who does what? How are evaluations carried out? How are evaluations scheduled?

Throughout, an emphasis is brought to the value that evaluations offer CIDA and their potential for benefiting the Agency's policies, programs/projects, strategies and practices.

Chapter 11: Frequently Asked Questions also addresses CIDA's evaluation function and processes. While redundancies exist with the information set out in this chapter, this duplication is thought to be helpful in facilitating electronic access to specific information on CIDA's websites.

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### 1.1 Why CIDA Carries Out Evaluations

The Development Assistance Committee (DAC) Working Party on Aid Evaluation describes an evaluation as being:

“The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results.”

In essence, evaluations offer a learning opportunity to find out about what is working, what isn't – and what needs to be improved. Evaluations demonstrate integrity and objectivity in identifying valid, balanced and accurate results that are supported by the evidence assessed.

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Government departments and agencies are accountable for their performance, and face many difficult decisions about how to allocate public funds. CIDA relies on evaluations to assess performance, measure effectiveness, identify results achieved, and determine alternative ways to meet its objectives.

In effect, evaluations allow us to reflect on what we are doing to learn how the Agency's programming can be strengthened so a better job can be done in the future. With access to this information, the President and Executive Committee can direct development efforts to meet intended objectives and managers can deliver targeted results more effectively and efficiently.

Evaluations demonstrate accountability and transparency to Canadians. Sharing results helps build understanding/credibility with our stakeholders and support for what CIDA is trying to accomplish.

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## 1.2 Types of Evaluations

Evaluations can be formative or summative. Formative evaluations are usually undertaken earlier on to gain a better understanding of what is being achieved and to identify how the program or project can be improved. Summative evaluations are carried out well into implementation or ex post to assess effectiveness, and to determine results and overall value.

Evaluations can also be identified by focus, for example:

- ⊙ Thematic evaluations (e.g. gender equality, basic human needs, capacity building)
- ⊙ Evaluations of programs, projects and other investments, or
- ⊙ Institutional evaluations that assess multilateral organizations (e.g. UNICEF, UNHCR) or international, Canadian and local NGOs.

Or, evaluations can be categorized in terms of the point-in-time and/or stage in the life cycle of the initiative being evaluated:

- ⊙ Mid-term evaluations measure and report on performance to date, allowing for adjustments and refinements during continuing implementation.

- ⊙ End-of-phase evaluations are undertaken at the completion of a phase during multi-phase initiatives, providing information for consideration in the implementation of subsequent phases.
- ⊙ End-of-project/investment or program evaluations are performed on completion. Often it takes time for an initiative to demonstrate results at the societal or impact level. This type of evaluation may, therefore, be restricted to reporting on developmental outputs and early indications of outcomes – but may not be conclusive in providing a true indication of what was achieved in the medium to longer term.
- ⊙ Ex post impact evaluations measure and report on development results achieved in the medium-to-longer term, focusing on the outcomes and impacts that result from the outputs realized.

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### 1.3 CIDA's Expectations

CIDA expects evaluations to bring improvements to the Agency's investments in development cooperation through better informed decision-making and problem-solving. Evaluators are to ensure that evaluations are results-driven, incorporating the principles and practices established by the Agency's over-arching, Results-Based Management (RBM) discipline. To this end, evaluation issues are to be linked to the factors set out in the Agency's "Framework of Results and Key Success Factors" (see Appendix A). A streamlined approach should consistently reflect the effective use and efficient consumption of valuable time and resources.

#### CIDA's "Framework of Results and Key Success Factors"

*This Framework provides a corporate focus for defining success, strategically aligning development cooperation with CIDA's expectations for results. It establishes a consistent body of information for decision-making and problem-solving.*

*The Framework is to be routinely and systematically applied as an integral work instrument throughout all planning, design, execution and reporting functions.*

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## 1.4 Who Does What

CIDA generally contracts out evaluations to an individual, firm or organization. In some cases, the Agency may form an evaluation team, selecting the individuals to be involved from a number of sourcing options.

CIDA's Evaluation Manager represents the Agency in ensuring the delivery of the evaluation and its conduct (i.e. appropriateness of design, resource utilization, value realized, etc.). She/he serves as the contact person for the evaluator.

The evaluator is responsible for the day-to-day management of activities and for the production of deliverables in accordance with contractual requirements set out in the Terms of Reference (TOR) for the evaluation.

Stakeholder participation is expected to be an integral, equitable and meaningful component of all evaluations.

*The term 'Evaluation Manager' refers to the lead individual from the representative program branch (or from Performance Review Branch) who is responsible for managing the evaluation on CIDA's behalf.*

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## 1.5 Process Followed

On the next page, we set out a step-by-step overview of how evaluations are carried out after CIDA management makes the decision to proceed, and identifies how tasking is typically delegated to CIDA's Evaluation Manager and the evaluator.

While TORs provide a broad indication of parameters, evaluations only become operational with the Agency's approval of the evaluator's workplan. With implementation, the evaluator should ensure that the evaluation remains on-track, strategically focused on the identification of results, and that efficient work practices are employed. The preparation of the evaluation report and the sharing of results represent key opportunities for promoting institutional learning within CIDA, and more broadly within the international cooperation community.

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## CIDA Evaluation Process

Phase	Function	Steps
Terms of Reference	CIDA's Evaluation Manager prepares initial statement of expectations, setting parameters and deliverables	<ul style="list-style-type: none"> <li>• Review information sources</li> <li>• Conduct consultations</li> <li>• Prepare terms of reference</li> <li>• Notify the 'post'</li> <li>• CIDA approval</li> </ul>
Selection of Evaluator	CIDA's Evaluation Manager selects suitably qualified candidate who demonstrates best value for carrying out the evaluation	<ul style="list-style-type: none"> <li>• Select sourcing option</li> <li>• List potential candidates</li> <li>• Prepare priority list</li> <li>• Carry out selection process</li> <li>• Inform candidates</li> <li>• Negotiate contract</li> </ul>
Evaluation Workplan	Evaluator prepares a workplan that describes how the evaluation is to be carried out and what is to be achieved	<ul style="list-style-type: none"> <li>• Consultations, document review, travel logistics</li> <li>• Develop evaluation workplan</li> <li>• CIDA approval</li> <li>• Notify the 'post'</li> </ul>
Information Collection and Analysis	Evaluator assesses performance to identify results	<ul style="list-style-type: none"> <li>• Logistics/on-site familiarization</li> <li>• Information collection</li> <li>• Progress reporting</li> <li>• Field debriefing</li> <li>• Information analysis</li> </ul>
Evaluation Report	Evaluator informs CIDA management about findings, lessons and recommendations	<ul style="list-style-type: none"> <li>• Determine results</li> <li>• Strategic assessment</li> <li>• Prepare evaluation report</li> <li>• CIDA approval</li> </ul>
Sharing Evaluation Results	CIDA Evaluation Manager communicates what was learned to promote better development cooperation	<ul style="list-style-type: none"> <li>• Strategic assessment</li> <li>• Distill lessons</li> <li>• Disseminate results</li> <li>• Corporate Memory System</li> <li>• e-Lessons</li> </ul>



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## 1.6 How Evaluations are Scheduled

CIDA's Executive Committee schedules major evaluations to be carried out by PRB in accordance with corporate priorities (as part of the corporate planning cycle). Executive Committee is ultimately responsible and accountable for performance in the Agency. The Committee deals with broad issues impacting on evaluations, and approves the "Annual Work Plan for Performance and Knowledge Management Branch".

Evaluations are planned and carried out in response to management's needs for information about development results and impact. Senior management may initiate corporate program evaluations, or program managers may wish to evaluate a particular development activity, warranting an independent review.

How is the decision made to proceed with an evaluation? The decision point is reached once management has a clear understanding of the evaluation specifics, parameters, and the potential value-added for CIDA. The final decision to proceed rests with the Responsibility Centre Manager funding the evaluation.

*'Project-level' evaluations are the responsibility of the operational and support branches, and are scheduled and carried out independently (distinct from PKMB evaluations) in accordance with specified needs.*



## Chapter Two: Focus on Results

In this chapter:

Role of performance review  
Results-based management  
Agency Accountability Framework  
Geographic Programs Roadmap  
Framework for Success and Key Success Factors

In 1994, CIDA launched an ambitious corporate renewal, making a commitment to Parliament and Canadians to become more results-oriented and accountable. In July of that year, the Agency issued its “Policy for Performance Review”, setting out a comprehensive framework for performance measurement and reporting. Evaluation was described as a key and integral element of CIDA’s performance review system. In October 1996, the “Update of CIDA’s Policy for Performance Review” provided clarification on individual roles and responsibilities and designated evaluations as a PKMB responsibility.

Performance review now functions as CIDA’s broad continuum, corporate think tank and catalyst for institutionalizing improvements. It functions as an integral component of the management process, linking a wide range of learning opportunities to improving the effectiveness of development cooperation. PKMB performs a leadership role in performance management initiatives, cooperating with the operational and support branches and gaining from their expertise and experience.

Performance review is expected to:

- ⊙ Provide work tools that enable CIDA’s managers to better exercise their roles in achieving expected results
- ⊙ Play a fundamental role in the Agency’s transformation into a more results-oriented, transparent and accountable organization, and
- ⊙ Serve as an essential contributor to CIDA’s management renewal initiative, bringing a focus to excellence, knowledge, learning, teamwork and innovation.

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## 2.1 Results-Based Management

"A result is a describable or measurable change in state that is derived from a cause and effect relationship."

Results-Based Management in CIDA  
Policy Statement, April 1996

RBM, adopted by CIDA in 1994 following recommendations by the Auditor General of Canada, serves as the Agency's over-arching management approach for achieving results and enhancing transparency and accountability through performance measurement and reporting. Through RBM, a results-based orientation is brought to: 1) development cooperation activities (programs, projects, other investments), 2) management-led performance measurement initiatives (risk assessments, financial audits, operational reviews, monitoring), and 3) independent corporate performance measurement initiatives (independent reviews, evaluations, special investigations, internal audits).

RBM emphasizes:

- ⊙ The importance of defining realistic expectations for results, clearly identifying beneficiaries and designing developmental efforts to meet their needs
- ⊙ The monitoring of progress using appropriate indicators, while effectively managing risk
- ⊙ The empowerment of line managers and partners to measure performance and act on performance information
- ⊙ The added value of independent and professional internal audit and evaluation functions
- ⊙ Meaningful stakeholder participation (developing a common understanding)
- ⊙ Transparency in performance reporting (e.g.

## 2.2 Agency Accountability Framework

PRB issued “The Agency Accountability Framework” in July 1998 to articulate CIDA’s accountabilities as a federal government department.

This Framework established:

- ⊙ CIDA acceptance of full accountability for operational results and shared accountability for developmental results, and
- ⊙ Accountabilities for selected positions in CIDA, including those relating to performance review and measurement.

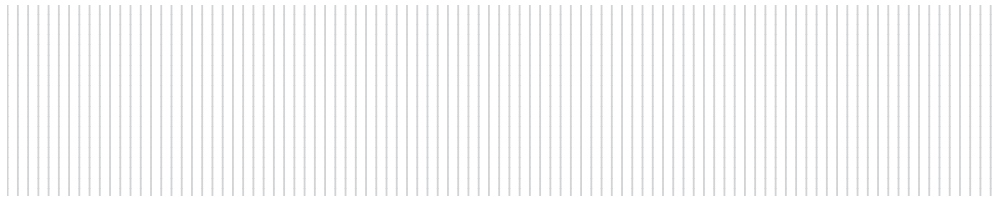
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## 2.3 Geographic Programs Roadmap

The Geographic Programs Roadmap serves as the Agency’s ‘how-to-manual’ for bilateral development cooperation programming, explaining both the context for operations, and established methods/practices for developing and implementing projects/programs. The Roadmap guides the reader through the complex, diverse and evolving compendium of policy papers, regulations and methodological texts that shape bilateral development cooperation programming.

### Addressing Evaluations during Investment Planning & Design

Evaluations are facilitated - and the potential for carrying out successful evaluations is enhanced - when the projected requirements of downstream evaluations are incorporated into the planning/design of the investment.



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## 2.4 Framework of Results and Key Success Factors

CIDA's "Framework of Results and Key Success Factors" provides a consistent focus for measuring developmental results and an effective instrument for guiding compliance with the Agency's RBM work ethic. By defining how success is to be measured, this Framework, in effect, identifies the 'bottom line' for measuring CIDA's return on investment.

Practitioners are provided with a clear understanding of what results constitute achievement. This in turn, shapes and directs CIDA's developmental efforts, bringing a results-based orientation to CIDA's programs and projects that is consistent with the Agency's policies, priorities and principles. The net result is improved returns on investments in accordance with the Agency's expectations for results

The "Framework of Results and Key Success Factors" is to be routinely, systematically and strategically applied as an integral work instrument during evaluation planning and design, execution and reporting. Practitioners are expected to focus on the production of the results as set out in the Framework's 'Development Results and Success Factors' (Appendix A).

*"...public service managers are expected to define anticipated results, continually focus attention towards results achievement, measure performance regularly and objectively, and learn and adjust to improve efficiency and effectiveness."*

*"Evaluation Policy"  
Treasury Board Secretariat, April 2001*



## Chapter Three: Challenges & Expectations

In this chapter:

- What the federal government expects
- Realities of development cooperation
- Expectations for ethical conduct
- What constitutes a 'good' evaluation

In this chapter, we identify: 1) key factors that help shape CIDA's evaluation activities, 2) how evaluations can be facilitated/improved if their requirements are addressed when investments are being planned and designed, and 3) common characteristics of a 'good' evaluation.

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### 3.1 Federal Government Expectations

The Government of Canada, through Treasury Board Secretariat, establishes the requirement for individual departments and agencies to perform evaluations. TBS functions as the federal government's general manager, managing its financial, personnel, and administrative responsibilities. Evaluations are relied on to identify what is really working, what isn't and to find innovative ways of achieving government goals more cost-effectively.

TBS's "Evaluation Policy" is based on three fundamental principles: 1) achieving and accurately reporting on results is a primary responsibility of public service managers, 2) rigorous and objective evaluation is an important tool in helping managers to manage for results, and 3) departments (with TBS's support) are responsible for ensuring that the rigour and discipline of evaluation are sufficiently deployed within their jurisdictions.

Overleaf we present an overview of the organizational framework established for CIDA evaluations, identifying the key functions, objectives and contributions. The "Update of CIDA's Policy for Performance Review" provided a clear delineation of the roles and responsibilities assigned to PKMB, and the Agency's operational and support branches.

CIDA Evaluation Framework

Function	Objective	Contribution
<b>Treasury Board Secretariat</b>		
Provides central direction for evaluation in the Government of Canada	Ensures that the government has timely, strategically focused, objective and evidence-based information on the performance of its policies, programs and initiatives to produce better results for Canadians	<ul style="list-style-type: none"> <li>• 'Centre of Excellence' provides leadership, guidance and support</li> <li>• Uses evaluation results where appropriate in decision-making</li> <li>• Sets standards</li> <li>• Monitors government's evaluation capacity</li> </ul>
<b>CIDA Executive and Corporate</b>		
<p>Directs the effective and efficient use of resources to support sustainable development</p> <p>Aligns funding and efforts with priorities and objectives</p> <p>Keeps Canadians informed about performance levels</p>	<p>Ensures that results are used to:</p> <ul style="list-style-type: none"> <li>• Formulate policies, strategies and directions</li> <li>• Inform operational decision-making and resource allocations</li> <li>• Promote transparency in performance reporting</li> </ul>	<ul style="list-style-type: none"> <li>• Ensures benefits are realized from what is learned</li> <li>• Maintains Annual Progress Project Reporting System</li> <li>• Issues CIDA's Performance Report to Parliament</li> <li>• Archives evaluation results on Corporate Memory System</li> </ul>

Function	Objective	Contribution
<b>Performance and Knowledge Management Branch</b>		
Functions as CIDA's corporate level responsibility centre for performance measurement and reporting	Produces credible, timely, and objective information that describes how CIDA's investments are performing to: 1) promote effective and efficient management, 2) demonstrate accountability and transparency to Canadians, and 3) share what is being learned	<ul style="list-style-type: none"> <li>• Performs evaluations reflecting corporate priorities</li> <li>• Develops work instruments, systems and guides</li> <li>• Provides Agency-wide methodological support</li> </ul>
<b>Operational and Support Branches</b>		
<p>Manages effectively and efficiently, in conformity with the Agency's policies, priorities, standards and practices</p> <p>Identifies policies, programs and projects as evaluation candidates</p>	<p>Routinely and systematically uses results (lessons) in:</p> <ul style="list-style-type: none"> <li>• Branch management and strategic planning</li> <li>• Design and execution of program/projects</li> <li>• Development of systems, methods and practices</li> </ul>	<ul style="list-style-type: none"> <li>• Manages for results</li> <li>• Facilitates and participates in evaluations</li> <li>• Reports on performance levels (shares results with stakeholders, donors, etc.)</li> <li>• Works with PKMB to improve techniques and instruments</li> </ul>



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### 3.2 Realities of Development Cooperation

The potential for achieving success when working in recipient countries can be influenced by a wide range of factors or circumstances, many of which can be beyond CIDA's control.

These can include:

- ⊙ Mitigating political, economic, social and cultural dimensions associated with the resident country or countries
- ⊙ Institutional frameworks
- ⊙ Accessibility of key ministry officials
- ⊙ Multi-donor initiatives
- ⊙ Perspectives of participating Canadian partners and executing agencies
- ⊙ Expectations of stakeholders, and most importantly beneficiaries

Initial expectations for success often need to be adjusted to reflect the challenges inherent with working internationally and with a varied set of partners. A realistic orientation should be adopted when defining what can be achieved.

The significance of this challenge was recognized by the Auditor General of Canada (OAG). In December 1998, the OAG's Report to the House of Commons on CIDA's geographic programs called for CIDA to identify mitigating political and economic dimensions in its reportings to provide more balance and enhance credibility.

The following factors should also be considered:

- ⊙ There is no definitive way of pursuing development. Each initiative brings its own challenges.
- ⊙ Iterative strategies in the field can be essential to responsiveness and flexibility. Yet, innovation and experimentation can enhance risk and lead to pitfalls and shortfalls.
- ⊙ While tangible results are more easily quantified (e.g. access to water, food aid), results relating to capacity building, good governance and democratic development can be more qualitative and long-term.

The realities of development cooperation and its inherent complexities should be fully and respectfully considered throughout the planning, design and execution of all performance measurement and reporting activities.

International development hinges on a cooperative approach with stakeholders and usually involves a considerable degree of compromise. Authoritative unilateral decision-making generally contributes to failure, and is clearly not an option.

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### 3.3 Ethics: Basis for Professionalism

Success in performing evaluations hinges on taking the right approach, selecting a competent and dedicated evaluator, performing the work with due diligence, and ensuring that the results are both accurate, useful and workable. It is also about decision-making that consistently reflects the 'right' ethics and values.

Ethics comprise the cornerstone from which the values for all decision-making ensue. Unless ethical standards are respected, the credibility and quality of an evaluation may be jeopardized.

The Canadian Evaluation Society's "Guidelines for Ethical Conduct" address the importance of: 1) competency in the provision of service, 2) integrity in relationships with stakeholders, and 3) accountability for performance and product.

Below we provide general principles to guide CIDA evaluations:

#### Systematic Methods of Inquiry

- ⊙ Carry out thorough, data-based inquiries, employing appropriate methods and techniques while demonstrating the highest technical standards
- ⊙ Validate information using multiple measures and sources (including stakeholders) as efficacious within the scope of the evaluation

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### Competency

- ⊙ Provide the education, abilities, skills and experience within the evaluation team necessary to meet the requirements of the evaluation
- ⊙ Work only within limits of professional training and competence
- ⊙ Continuously strive to improve methodological and practice skills

### Integrity

- ⊙ Accurately represent levels of skill and knowledge
- ⊙ Provide early notification to the client of any conflict of interest, or the potential for the perception thereof
- ⊙ Properly represent procedures, data and results, and work towards preventing any misrepresentation by others
- ⊙ Record all changes made during evaluation implementation or reporting that deviate from the evaluation workplan, providing explanations and advising the client and key stakeholders
- ⊙ Advise the client of any significant issues and findings not directly related to the terms of reference and/or evidence of wrongdoing (or perceived wrongdoing)

### Respect

- ⊙ Ensure the right of people to provide information in confidence, without providing any basis for tracing information to source
- ⊙ Employ strategies so as local evaluators are not perceived as being critical of their society
- ⊙ Become knowledgeable about the beliefs, manners and customs of individuals in recipient countries so that proper respect is maintained re: religious beliefs, dress, interpersonal dynamics, etc.
- ⊙ Balance the detail required to accurately address management factors (e.g. leadership, competence) and the need to refer to specific individuals

Accountability

- ⊙ Meet expectations for the submission of deliverables (as agreed to with the client)
- ⊙ Present results and discuss progress precisely and accurately, identifying any limitations or uncertainties that could impact on interpretations
- ⊙ Exercise prudence and probity in fiscal decision-making so that expenditures are accounted for and the client receives value for money

TBS's "Evaluation Policy" calls for embedding:  
"...the discipline of evaluation into the lifecycle management of policies, programs and initiatives"

**3.4 What Constitutes a 'Good Evaluation'**

Evaluations should be measured by not only what is recommended but also by how the recommendations were arrived at. Success is often a function of the extent to which stakeholders have 'bought into' the evaluation results. It is likely that recommendations and lessons learned will make a larger contribution if stakeholders have participated throughout the evaluation.

Effective evaluations demonstrate an impartial, balanced and independent perspective; ensure the credibility of results; perform to client expectations; meet budgetary limitations; and remain utilization-focused throughout the life of the project. Success is ultimately determined by how what was learned contributes to informed decision-making and the learning cycle.



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Key attributes of a 'good evaluation' include:

Meeting Expectations

- ⊙ Delivery satisfies the requirements of contract and expectations set out in the workplan
- ⊙ Embodies professional standards that meet management's expectations

Value-Added

- ⊙ Brings a focus to CIDA's mandate, programming priorities and cross-cutting themes (e.g. poverty reduction, gender equality, environment, capacity-building)
- ⊙ Contributes to CIDA's developmental effort, informs Agency decision-making in a timely manner and promotes learning
- ⊙ Clearly and concisely articulates results to facilitate understanding by key audiences
- ⊙ Results in useful, pragmatic recommendations and lessons learned developed through a participatory process that actively involves stakeholders

Quality of Results

- ⊙ Produces credible, reliable results by using an appropriate design, a thorough approach, and adhering to rigorous methods and techniques
- ⊙ Demonstrates impartiality and objectivity by consistently maintaining the principles of independence, neutrality, transparency and fairness throughout

Cost-Beneficial

- ⊙ Demonstrates added-value for the Agency
- ⊙ Reflects the judicious use of human, financial and physical resources

Evaluations should focus on results - not judgments

## Chapter Four: Thinking Ahead

In this chapter:

Optimizing value  
Ensuring stakeholder participation  
Assessing gender equality

**W**hen determining how an evaluation is to be carried out, three critical objectives should be at the forefront of management's thinking, namely: 1) how to focus on results and the learning process in optimizing the value to be realized from the evaluation, 2) how to ensure the meaningful, equitable and active participation of stakeholders in the evaluation process, and 3) how to structure the evaluation to identify how the investment has contributed to the achievement of gender equality results.

The final decision to proceed with a  
PRB evaluation rests with the Responsibility Centre  
Manager funding the evaluation

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### 4.1 Optimizing Value

"Results for Canadians: A Management Framework for the Government of Canada" (TBS, March 2000) concluded with the goal of making "...federal institutions values-based, results-driven and consistently focused on the needs of Canadians". It challenged public service managers to: "...look beyond activities and outputs to focus on actual results – the impacts and effects of their programs".

It went on to state:

"Managing for results requires attention from the beginning of an initiative to its end. It means clearly defining the results to be achieved, delivering the program or service, measuring and evaluating performance and making adjustments to improve both efficiency and effectiveness. It also means reporting on performance

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in ways that make sense to Canadians”.

It is within this context that evaluations should be planned, designed and implemented. From the outset, CIDA’s Evaluation Manager should work towards achieving optimal value from evaluations carried out on the Agency’s investments. The focus should be on identifying how the results contribute to CIDA’s mandate and priorities, what improvements should be made, and what can be learned that will contribute to more effective and efficient development cooperation. The broadest perspective should be taken, and then refined to determine what is strategic, significant and practical.

*“The Government of Canada is committed to becoming a learning organisation. Evaluation supports this aim by helping to find out what works and what does not, and by identifying cost-effective, alternative ways of designing and improving policies, programs, and initiatives.”*

*“Evaluation Policy”  
Treasury Board Secretariat, April 2001*

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#### **4.2 Importance of Participatory Evaluations**

CIDA’s adoption of RBM has been instrumental in integrating direct stakeholder involvement in the building of sustainable results. RBM stresses the importance of meaningful stakeholder participation, starting with the design stage and continuing through implementation.

Traditionally, evaluation tended to be managed with an outsider perspective, often giving little recognition to local expectations and the potential for stakeholder contributions. In effect, stakeholders were the objects of evaluations – rather than key participants. Beneficiaries, local organizations and governments in recipient countries were left without substantive roles.

With participatory evaluations, key stakeholders become integrally involved in:

- ⊙ Setting up frameworks for measuring and reporting on results
- ⊙ Reflecting on results achieved, proposing solutions and responding to challenges, and
- ⊙ Promoting the implementation of evaluation recommendations.

Experience has shown that if stakeholders have participated in the development of results, they are more likely to contribute to their implementation. In addition, participatory evaluations can:

- ⊙ Build accountability within communities (with local participation)
- ⊙ Bring a more pragmatic orientation to evaluations
- ⊙ Enhance cooperation in the field, and
- ⊙ Empower local participants through exposure to the evaluation process at work.

There is no definitive approach to participatory evaluations. Rather, each evaluation requires a unique response that addresses the expectations of CIDA and key stakeholders, the local context, the capacities and availability of stakeholders, and any limiting constraints. It should be recognized that additional effort (and costs) are typically associated with expanded stakeholder involvement. It is important to maintain a balanced perspective when designing participatory evaluations to ensure a pragmatic approach for producing quality results.

Appendix B elaborates on how to implement participatory evaluations, and what practices have proven successful in the field.

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### 4.3 Integrating Gender Equality

CIDA's "Our Commitment to Sustainable Development" identifies the full participation of women as essential to sustainable development and poverty reduction. To this end, the Agency is strongly committed to the full and equal involvement of all people, regardless of sex, in the sustainable development of their communities and societies.



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The Agency’s “Policy on Gender Equality (1999)” requires that gender equality “... must be considered as an integral part of all CIDA policies, programs and projects”.

This Policy promotes:

- ⊙ Advancing women’s equal participation with men as decision–makers in shaping the sustainable development of their societies
- ⊙ Supporting women and girls in the realization of their full human rights, and
- ⊙ Reducing gender inequalities in access to and control over the resources and benefits of development.

Evaluating gender equality means, in essence, assessing how an investment has contributed to the achievement of results in improving the lives of women and men.

This involves:

- ⊙ Creating the right conditions to assess gender equality, such as:
  - Targeting evaluation questions
  - Allocating sufficient resources
  - Finding appropriate evaluators
  - Defining relevant methodologies
- ⊙ Measuring and reporting on results relative to the objectives set out in the Agency’s “Policy on Gender Equality”, and
- ⊙ Identifying what was learned about integrating gender equality so that future interventions can benefit from CIDA’s development experiences.

Appendix C suggests how gender equality assessments can be integrated into Agency evaluations.

#### The Next Step

*The Terms of Reference for the evaluation should focus directly on how to optimize the value realized by the evaluation, stakeholder participation and the achievement of gender equality results.*

## Chapter Five: Preparing Terms of Reference

In this chapter:

Explaining the function  
Before you start  
Writing terms of reference  
TOR checklist

CIDA Evaluation Managers prepare TORs once the decision is made to proceed with an evaluation. TORs offer the first substantive overview and conceptual outlook for the evaluation. They guide the evaluation process until the workplan takes over as the primary control document. Evaluation workplans, prepared by the evaluator, bring a greater specificity and precision to evaluation planning – refining and elaborating on what is set out in the TOR.

TORs are typically prepared in close collaboration by the parties involved, and are approved by the Responsibility Centre Manager funding the evaluation.

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### 5.1 Function

TORs articulate management's initial requirements/expectations for the evaluation.

More specifically, they:

- ⊙ Identify reasons for the evaluation, and what is expected to be achieved
- ⊙ Describe the investment being evaluated and the context for performance
- ⊙ Establish scope and focus
- ⊙ Guide execution of the evaluation
- ⊙ Set scheduling and time frames, and
- ⊙ Provide an internal cost projection.

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TORs are used to: 1) manage the evaluation, 2) facilitate internal administration, 3) inform evaluator selection and contracting, and 4) prepare evaluation workplans.

TORs are to reflect RBM's focus on the achievement of results, linking expected results to the Agency's mandate and priorities. Results are to be aligned with the factors set out in CIDA's 'Framework of Results and Key Success Factors'.

The length of TORs (and level of detail addressed) is generally a function of the value and complexity of the evaluation.

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## 5.2 Before You Start

Before Evaluation Managers start to prepare TORs, they should have a basic understanding of:

- ⊙ Why the evaluation is to be carried out
- ⊙ The issues to be addressed
- ⊙ Resources available for conducting the evaluation
- ⊙ Anticipated cost
- ⊙ The expertise required to complete the evaluation, and
- ⊙ The time frame for completion.

*"The costs of initiatives must be linked with results to ensure responsible spending."*

*"Results for Canadians"  
Treasury Board Secretariat, March 2000*

### 5.3 Writing TORs

In this section, we set out the essential elements that are to be addressed in the preparation of TORs:

#### Title

A good title is one that is short, descriptive and easily remembered. A title that translates into an easily pronounceable acronym helps to facilitate communications between parties.

#### Introduction

Evaluations are generally carried out in response to management's need for performance information about a particular investment or organization. The text should explain why CIDA management took the decision to perform this evaluation and what is expected to be achieved. Individual factors that influenced the decision to proceed should be identified. Value added should be identified.

#### Investment Profile

The investment being evaluated should be profiled, with an emphasis on the expected results and how they are to be achieved. The rationale and development context should be described. The rationale for the investment should be linked to: 1) poverty reduction and sustainable development, 2) CIDA's program priorities, and 3) the needs of local beneficiaries. A broad indication of progress to date should be provided.

#### Scope and Focus

'Scope' provides an indication of what the evaluation is expected to address, namely broad issues. 'Focus' is described by asking specific questions that are central and significant to these issues.

#### Stakeholder Involvement

CIDA evaluations are expected to be participatory, providing for active and meaningful stakeholder involvement in planning and design, information collection and analysis, evaluation reporting, and results dissemination. Stakeholders may include beneficiaries, governments in recipient countries, other donors, partners, and other interested parties.

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TORs should: 1) list the stakeholders involved in the investment; and 2) provide an indication of how CIDA expects these organizations/individuals are to contribute and be involved in the evaluation.

Accountabilities and Responsibilities

TORs should briefly identify how the evaluation is to be structured, providing a clear delineation between the Agency’s and the evaluator’s roles and responsibilities.

For example:

- ⊙ Overall responsibility and accountability typically resides with CIDA’s Evaluation Manager
- ⊙ CIDA’s Evaluation Manager is responsible for control over the evaluation process, guidance throughout all phases of execution, and the approval of all deliverables
- ⊙ The evaluator is responsible for conducting the evaluation, the day-to-day management of operations, regular progress reporting to CIDA’s Evaluation Manager, the development of results, and the preparation of the evaluation report

Evaluation Process

This section presents a broad indication of how evaluations are to be carried out. TORs should provide a level of information that is adequate to direct and inform the evaluation workplan.

Typically, the evaluator will be expected to:

- ⊙ Prepare an evaluation workplan that will operationalize the evaluation
- ⊙ Conduct a site visit to collect information, and consult with CIDA personnel and stakeholders, and
- ⊙ Prepare an evaluation report.



## Deliverables

Generally, TORs call for the evaluator to produce three primary deliverables: 1) an evaluation workplan, 2) an initial draft evaluation report for review, and 3) a final evaluation report (including an executive summary). Standards for preparing the final report are established by the requirements set out in this Guide.

Specifications for these deliverables should be limited to what is necessary to guide production. Such specifications may relate to translations, printing specifications, hard copy and electronic formats, number of copies, etc.

This section should also identify expectations for on-going progress reporting by the evaluator to CIDA's Evaluation Manager and communications with stakeholders.

A time frame for the evaluation may be prescribed by attaching target dates for the production of deliverables or the accomplishment of other milestones. It may also be advisable to specify delivery times for the submission of drafts.

It is also important that:

- ⊙ Evaluations are strategically timed to fit into CIDA's decision-making cycles, and
- ⊙ Prescribed time frames are realistic to allow for the evaluation to be carried out in accordance with expectations.

## Evaluator Qualifications

This section identifies what CIDA is looking for to ensure satisfactory performance of contract in terms of the evaluation team's qualifications, experience, expertise and demonstrated abilities.

Such requirements may include:

- ⊙ Experience in conducting evaluations, with a focus on previous assessments of development cooperation programming and/or work performed in the subject region or country
- ⊙ Language requirements
- ⊙ Technical, analytical and sectoral expertise
- ⊙ The involvement of local firms and/or individuals

- 
- ⊙ Experience in conducting participatory evaluations, and
  - ⊙ Demonstrated performance levels.

A focus may be brought to the: 1) ability to conduct participatory evaluations, 2) resident expertise to address cross-cutting thematic issues (e.g. gender equality), and 3) expectations for the engagement of local professional resources.

#### Internal Cost Projection

Internal cost projections are to remain  
confidential to the Agency

CIDA's Evaluation Manager develops an internal cost projection to identify the upper limit or order of magnitude for administrative and financial purposes. The budgeted cost must be consistent with management's expectations for the evaluation, and the anticipated costs for travel, communications, report production, etc. A level of effort analysis should be performed to determine professional fees.

The budgeted cost should be broken-down between the amount allocated to professional fees (identifying Canadian-based and local professional outlays) and out-of-pocket expenses. Where appropriate, out-of-pocket expenses should be identified by cost item.

Unless a realistic perspective of what can be accomplished is taken, insufficient funding can lead to the need for contract amendments during execution. It is important that contingencies are assigned to cover planning deficiencies and unanticipated elements.

#### 'Model Text': Terms of Reference

A 'model' text to facilitate preparing TORs  
can be found as Appendix D.  
Using this text allows practitioners to work from  
a standard that meets the Agency's expectations.

## 5.4 'TOR' Checklist

Reflect on the following questions:

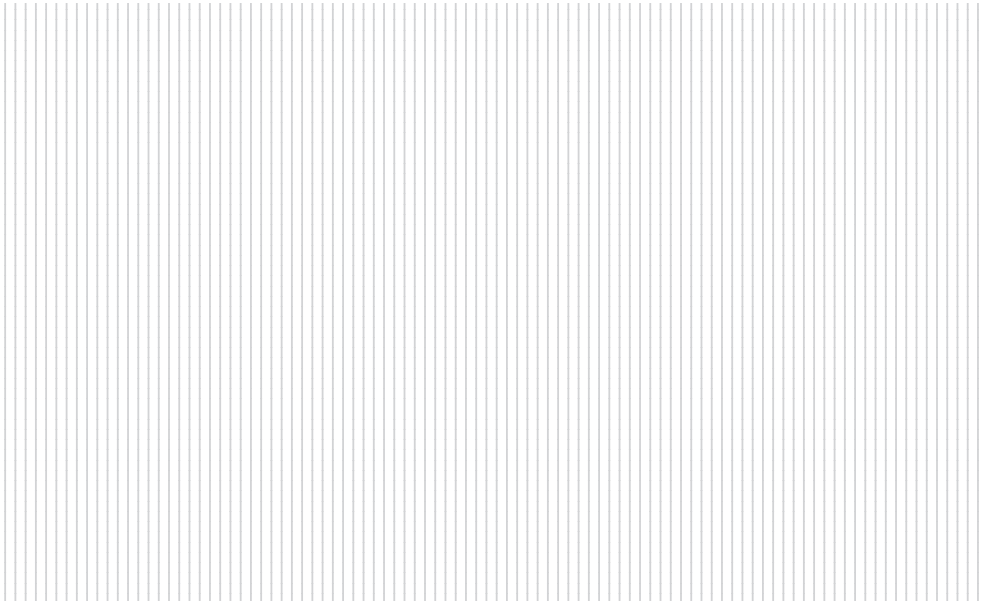
Does your TOR...
<input checked="" type="checkbox"/> Allow for the timely transmittal of valuable information to CIDA management for strategic decision-making?
<input checked="" type="checkbox"/> Adequately describe the expectations and rationale for the program/project being evaluated?
<input checked="" type="checkbox"/> Clearly state why the evaluation is being carried out and what is expected to be accomplished?
<input checked="" type="checkbox"/> Describe the organization and process for carrying out the evaluation?
<input checked="" type="checkbox"/> Communicate expectations for stakeholder participation?
<input checked="" type="checkbox"/> Set out qualifications for evaluators?
<input checked="" type="checkbox"/> Establish expectations for deliverables, work scheduling and costs?
<input checked="" type="checkbox"/> Allow adequate financing for the work to be performed in accordance with expectations?
<input checked="" type="checkbox"/> Provide for contingencies to address deficiencies and unanticipated elements?



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### The Next Step

The TOR provides the foundation for proceeding to the next step in the evaluation process - selecting the evaluator. Once CIDA's Responsibility Centre Manager approves the TOR, selection of consultants is initiated. The TOR is generally attached to the request to initiate a contract and to ensure commitment of funds that is submitted to the Responsibility Centre Manager.



## Chapter Six: Selecting the Evaluator

In this chapter:

- How evaluators are selected
- Competitive contracting
- Engaging local professionals
- Determining best value
- Negotiating the contract
- 'Rating Your Selection'

CIDA typically contracts out evaluations, with the evaluator being selected through a process that identifies the candidate(s) best suited to deliver results in accordance with the Agency's expectations. This involves having a clear understanding of what qualifications, experience and abilities will be required to meet contractual obligations. The successful candidate is the one who meets these requirements and offers the best value to CIDA.

CIDA is committed to contracting on a competitive basis that ensures transparency, fairness and equality. The Agency benefits when opportunities are made available to a wide range of potential suppliers.

How is this done? Several contracting options are available. The challenge is to balance delivery with cost and fair competition.

The selection of a competent evaluator is critical to the success of the evaluation. No amount of direction and control from CIDA can ensure a successful evaluation if the evaluator selected to perform the evaluation cannot, for whatever reason, perform at an expected level of professionalism. It is critical that sufficient time and effort is expended during the selection process to minimize the risk of making an inappropriate choice.

Often, evaluations will be carried out by a team of individuals. In selecting the successful candidate, assessments should extend beyond the individual qualifications of team members to assess the ability of the team to function as an entity.

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It is also important to address how evaluators would function in the context of recipient countries, which often implies difficult working conditions.

*It is critical that the evaluator selected has the time and ability to carry out the evaluation in accordance with CIDA's expectations*

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### **6.1 Selection Process**

Evaluators are selected through an established contracting process. The Agency is committed to using processes that provide transparency, fairness and equal opportunity.

Generally, consulting firms propose an evaluation team in response to a request from CIDA for a proposal to perform the evaluation (or through some other selection initiating device). Candidates are assessed using the information provided in each proposal that describes the firm's experience and expertise, profiles the individuals proposed for the evaluation team, and addresses the specific requirements of the evaluation.

The engagement of an evaluator essentially involves four steps: 1) deciding on the sourcing option, 2) identifying best value from potential candidates, 3) notifying the successful candidate, and 4) negotiating and signing the contract.

CIDA's decision on the process used for consultant selection is influenced by the characteristics and considerations specific to the evaluation in question. CIDA's Evaluation Managers are to ensure the cost of the selection process chosen is justifiable and that the requirements placed on participating candidates are not overly onerous.



## 6.2 Competitive Contracting

CIDA expects the selection process to be competitive. Any use of non-competitive practices (e.g. direct sourcing) must be fully justified, meeting a prescribed set of specific conditions.

The following contracting processes are competitive:

- ⊙ Proposal calls on the Electronic Tendering Service (MERX)
- ⊙ Standing Offer Arrangements
- ⊙ Advanced Contract Award Notices (ACANS), and
- ⊙ Selections pursuant to master agreements with Special Operating Agencies (SOAs).

MERX can be very responsive in producing a wide range of potential consultants. Standing Offer Arrangements identify consultants who have pre-qualified to perform specific types of work. Consultant listings can also be obtained through SOAs that have master agreements with the Agency.

Often rosters of local professionals are readily available in the recipient country. Rosters may be maintained by CIDA's Development Cooperation Section or PSU; the Embassy or High Commission; the resident donor community; or local governments.

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## 6.3 Engaging Local Professionals

Broadening participation to include engaging locally engaged professionals can act as a catalyst for the local population 'buying into' the evaluation. Local participation builds professional capacities in recipient countries and can increase the downstream potential for recommendations being implemented. Also, locally engaged professionals contribute local knowledge to the evaluation, and increased networking capacities.

CIDA may wish to ensure that the evaluation includes specific contributions by locally engaged evaluators, technical specialists, etc. Requirements for the engagement of local professionals should be clearly stated in the TOR.

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## 6.4 Determining Best Value

How do you choose the best candidate? What should CIDA be looking for in its selection of consultants?

Evaluator selection is about finding a competent evaluator who can complete the task and meet expectations. It is also about identifying the candidate who offers the best value to CIDA.

How an evaluator's proposal is ranked vis-à-vis other candidates in the contracting process is a function of three key factors:

- ⊙ The qualifications of the evaluation team
- ⊙ The approach/methodology proposed, and
- ⊙ The projected cost to complete the evaluation.

### Strategic Assessment

Is the evaluator 'right' for the job? Will the individuals function well as a team? How will the team perform during site visits? Does this team have a proven ability to deliver results and meet expectations?

Answering these questions can present a challenge. Background information is merely indicative of capacities to perform. Judgment can play a larger role in reaching a credible selection.

### Impartiality and Independence

It is essential that the successful candidate does not enter into a conflict of interest position with the awarding of contract. There should be no previous or intended involvement with the initiative being evaluated or any initiative that would create a conflict of interest position with regard to the subject evaluation.

### Leadership and Team Dynamics

Effective leadership and management skills are essential. There is no understating the importance of team chemistry and group dynamics, particularly when operations are being carried out in challenging working environments. The evaluation team will be expected to function smoothly with authority and conviction, consistently demonstrating a singular outlook and purpose.

### Proper Grounding

Management expects every evaluation to incorporate and be reflective of CIDA's established policies, principles and practices. The successful candidate should have a working knowledge of CIDA's mandate and priorities, RBM discipline, "Framework of Results and Key Success Factors", and other key Agency instruments.

Experience in working in recipient countries can be critical. Ideally, the successful candidate should have demonstrated the ability to conduct successful evaluations in countries with a similar working environment and/or characteristics.

### Qualifications

The expertise and experience prerequisites for any evaluation are a function of the work to be performed and the expectations being placed on the evaluation. How do you determine what is required for a particular evaluation?

Consideration may be given to:

- ⊙ Technical, analytical and sectoral expertise
- ⊙ Ability to address cross-cutting thematic issues
- ⊙ Requirements for involving local firms and/or individuals
- ⊙ Experience in conducting participatory evaluations
- ⊙ Demonstrated performance levels
- ⊙ Language skills, and the
- ⊙ Ability to perform consultations.

*"The success of evaluation depends on ... clarity of roles, application of sound standards, ongoing support for rigorous, professional practice, and developing a conducive environment where managers embed the discipline of evaluation into their work."*

*"Evaluation Policy"  
Treasury Board Secretariat, April 2001*

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## 6.5 'Rating Your Selection'

The following checklist suggests a series of general questions for reflection to determine if potential candidates are favourably equipped to meet CIDA's expectations.

Checklist
<input checked="" type="checkbox"/> Does the candidate have the knowledge and working experience to structure and carry out all aspects of the evaluation as per management's expectations?
<input checked="" type="checkbox"/> Does the candidate understand how to apply CIDA's approach to RBM, the "Framework of Results and Key Success Factors" and other performance-related instruments?
<input checked="" type="checkbox"/> Has the candidate demonstrated the ability to successfully complete evaluations respecting time and cost restraints?
<input checked="" type="checkbox"/> Does the candidate offer the leadership skills needed for effective team management and successful relations with partners and stakeholders?
<input checked="" type="checkbox"/> Does the proposed evaluation team meet the requirements for technical and sectoral knowledge and expertise?
<input checked="" type="checkbox"/> Does the team have experience working in development cooperation, the subject region, similar countries and/or the subject country that would indicate a resident capacity to work successfully on this evaluation?

- ☑ Does the team possess an adequate understanding of local social and cultural issues, and meet the language requirements to function effectively on-site?
- ☑ Does the team have technical specialists that can address essential cross-cutting thematic issues (e.g. gender equality, environment)?
- ☑ Has the candidate demonstrated the ability to carry out participatory evaluations efficiently and effectively?
- ☑ Does the candidate understand the requirement for engaging local resources? Has this been addressed adequately?
- ☑ Are the proposed individuals available and do they have the time to successfully complete the evaluation?

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## 6.6 Contract Negotiations

CIDA's Evaluation Manager selects and recommends the successful consultant to the Responsibility Centre Manager for approval. Once this decision is made, contract negotiations are initiated.

During negotiations,



Evaluation Manager is responsible for representing the best interests of the Agency, and is accountable for her/his decisions. The intent is to establish a mutual understanding of what is to be done, by when and at what cost. CIDA's contracting officers can serve as a valuable resource throughout the contracting process.



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Method of payment options include:

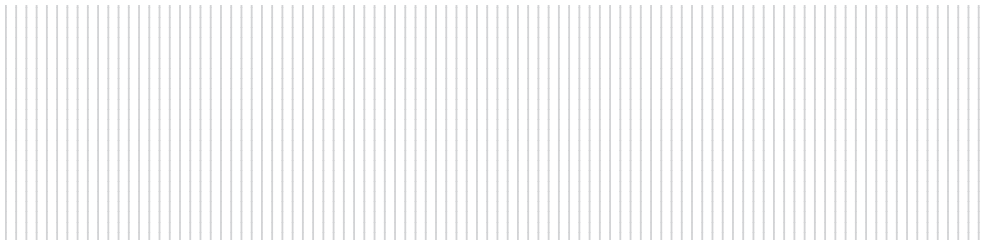
- Ⓒ Fixed-price
- Ⓒ Cost plus, applying a fixed per diem

The latter is used when the extent of effort cannot be precisely defined due to extenuating circumstances.

#### The Next Step

Once the contract is signed, the evaluator is positioned to carry out the evaluation. The contract sets out what comprises performance of contract, with the first deliverable typically being the evaluation workplan.

The evaluation workplan is prepared by the evaluator and is approved by CIDA's Evaluation Manager. The workplan allows the evaluator to respond to the Agency's TOR, bringing refinements and elaboration to the planning process - and identifying what is feasible within project parameters. The evaluation is operationalized with implementation of the evaluation workplan.



## Chapter Seven: Preparing Evaluation Workplans

In this chapter:

- Role of evaluation workplans
- Strategic considerations
- Writing workplans
- 'Workplan' checklist
- Getting approval

Evaluators are expected to perform a thorough review of all relevant information sources to bring a fully informed perspective to workplan preparation. Potential sources include: 1) TORs, 2) investment planning and approval documents, 3) file reviews, 4) literature searches, 5) the Agency's Corporate Memory System, and 6) consultations with CIDA personnel, stakeholders and others having knowledge relevant to the investment (via face-to-face meetings, phone interviews, e-mails).

CIDA's Evaluation Manager and the Evaluation Team Leader should strive to develop a good working relationship during evaluation planning, establishing a dialogue that leads to effective interpersonal communications throughout the life of the evaluation. It is important that both parties come out of the planning process with a clear and single understanding of how the work is to be performed, who is to do what, what is to be produced and when deliverables are expected.

### 7.1 Role and Function

Once approved by CIDA, the workplan becomes the key management document for the evaluation, guiding delivery in accordance with the Agency's expectations throughout the performance of contract.

In preparing workplans, evaluators are expected to build on what was put forward in the TOR to identify what is feasible, suggest refinements and provide elaboration. CIDA's Evaluation Manager is to be kept apprised of progress and may be asked to clarify requirements or expectations – or to provide advice.

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Evaluation workplans are expected to address the following elements:

- ⊙ Program or project overview (e.g. country context, objectives, disbursements, reach, expected results, stakeholder participation)
- ⊙ Evaluation profile (e.g. reasons for the evaluation, objectives, key audiences, stakeholder analysis, general approach)
- ⊙ Evaluation methodology (e.g. evaluation framework, literature and document review, project sample assessment, key informant interviews, focus groups, challenges)
- ⊙ Accountabilities and responsibilities
- ⊙ Work scheduling (e.g. time frames for delivery, level of effort)
- ⊙ Reporting requirements (e.g. progress, final)

How long should evaluation workplans be? In general, the level of detail should be adequate to effectively inform and control the evaluation. Evaluators should strive to keep workplans clear, concise and precise in meeting this objective.

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## **7.2 At the Outset: Strategic Considerations**

When preparing workplans, it may be helpful to reflect on the following:

- ⊙ Evaluation workplans should link the design of the evaluation with what CIDA wants to know about the investment's performance
- ⊙ Evaluation workplans are to inform evaluations, identifying what is expected to be accomplished, what process is to be followed, who is to do what, and when tasks are to be completed
- ⊙ What the evaluation expects to achieve should be clearly articulated, useful to CIDA, and workable within operational realities and time constraints
- ⊙ Evaluators should be encouraged to bring their ideas and insights to evaluation design so CIDA can maximize value-added

- ⊙ Iterative management during implementation should be emphasized to encourage flexibility and responsiveness – don't restrict innovation/creativity
- ⊙ The impact from investments should be viewed as a longer term phenomenon
- ⊙ Address the need to identify any unintended results that are found to be attributable to the investment (both positive and/or negative)

Refer to the Performance Management Framework (or other planning and approval documents prepared for the investment) to identify the results that were expected to be achieved. More complex, impact evaluations may require reconnaissance missions to recipient countries (before workplans are prepared) to develop a better perspective and understanding.

Evaluations typically call for a mission to the recipient country to allow for information gathering on site. Travel logistics have to be worked out as part of the planning process. Protocols for functioning in the developing country are usually handled by CIDA's Evaluation Manager in consultation with CIDA's desk officer and post personnel.

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### 7.3 Writing Workplans

What should a workplan look like? Here, we identify the key components that should be addressed, describing expectations for content and detail.

#### Overview of Investment

The investment being evaluated is briefly profiled, with text usually being limited to one or two pages. Contents should summarize the country context, program/project objectives (expected results), how the investment is structured, the level of investment and stakeholder participation to date.

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A focus is brought to:

- ⊙ Linkages to CIDA's mandate, priorities and objectives
- ⊙ Expected results (outputs, outcomes, impacts), and
- ⊙ Investment reach (identifying beneficiaries).

#### Evaluation Profile

Why is this evaluation being performed? CIDA's reasons for proceeding with the evaluation are to be documented.

What does CIDA expect from this evaluation? This section should address the evaluation objectives (key issues), and describe the general approach to be followed. Key audiences should be identified, and a brief stakeholder analysis should be presented.

A focus is brought to:

- ⊙ Assessing progress in achieving expected results
- ⊙ Identifying lessons, and
- ⊙ Reporting on any other issues, themes, etc. that CIDA wants to emphasize (e.g. gender equality, the environment).

References should be made to all official documents.

#### Evaluation Methodology

The evaluation methodology sets out the strategy to be used for determining what results are attributable to the investment and what is learned from the evaluator's assessment. To this end, the evaluator is to develop a methodology that responds to the key issues to be assessed, and the requirements and expectations set out in the terms of reference. The goal is to formulate a strategy that best achieves these objectives given the range of available information, what is practical, and the imposed time and resource constraints.



The methodology should put forward:

- ⊙ An evaluation design that describes a logical model for assessing the investment that effectively and credibly responds to the key evaluation issues
- ⊙ A process for information collection and analysis for identifying: 1) results attributable to the investment (output, outcome, impact levels), and 2) findings, recommendations, lessons and good practices that contribute to and inform development cooperation, and
- ⊙ Any substantive challenges that the evaluator expects will have to be addressed and overcome.

### *Evaluation Design*

Design can be thought of as comprising a range of options that are characterized by their departure from the ideal evaluation design. The ideal design represents a theoretical circumstance that is typically unattainable in the sphere of development cooperation since it depicts the comparison of two groups that are identical except that one has been exposed to the investment.

Evaluation methodologies are all characterized by their reliance on a comparative approach:

- ⊙ Experimental or randomized designs try to ensure the initial equivalence of comparison groups by administratively creating them through random assignment. Randomization involves applying a probability scheme for choosing a sample using random number tables, computers, etc.
- ⊙ Benchmarking uses comparison groups to make causal inferences but does not rely on randomization for their creation. The investment group is usually a given and the comparison group is selected to provide a close match.
- ⊙ With an implicit design, conditions in place before the investment was initiated are assumed. There is no formal control group.

How the investment is structured and the availability of sources of information can be important determinants in shaping the evaluation design. For example, in the absence of baseline data, evaluators may have to rely on the investment inception report, monitoring activities, progress reports or similar work by other donors for comparative assessments.

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Typically time and budget constraints largely dictate what is feasible. The higher the level of rigour and complexity attached to the methodology, the higher the costs and amount of time required to complete the evaluation.

#### Attributing Results

A credible evaluation methodology is one that directly ties results to the investment made, thereby eliminating other explanations.

The challenge lies in determining causal inferences. Can external factors be discounted (e.g. economic upturns, other investments)? Attribution is done through assumption, logical argument and/or empirical analysis.

#### *Evaluation Framework*

The evaluation framework systematizes the evaluator's approach to the evaluation summarizing what is to be measured and how measurement is to be carried out in an easy reference matrix format. Including the evaluation framework upfront in the methodology section establishes the logical basis for responding to the issues that frame the evaluation.

The evaluation framework sets out:

- ⊙ The evaluation issues (i.e. questions to be answered by the evaluation)
- ⊙ Sub-questions that elaborate on the issues
- ⊙ Performance indicators and/or variables to be considered in assessing the investment
- ⊙ Key sources of information, and
- ⊙ Methods for information collection.

CIDA's "Framework of Results and Key Success Factors" acts as the pivotal shaping agent for determining what issues are to be addressed and what results are to be identified. The questions to be answered should be linked to the

'Development Results and Success Factors' set out in the Framework.

The following graphic provides an outline for an evaluation framework (with some initial text to serve as an example):

Evaluation Framework

Issues	Sub-Questions	Performance Indicators	Sources of Information	Information Collection
1 What progress was made towards the achievement of results at the output, outcome and impact levels?	<p>To what extent did actual results contribute to the planned, targeted results?</p> <p>What unintended results, if any, were attributable to CIDA's investment (both positive and negative)?</p>	<p><u>Governance</u></p> <p>Evidence of improved capabilities of parliamentary, judiciary and other public service institutions to deliver quality services; constitutional reforms; public sector transformation</p> <p><u>Human Resource Development</u></p> <p>Evidence of contributions to restructuring of education sector (e.g. policy making, service delivery, curriculum development)</p>	<p>Recipient government officials</p> <p>Beneficiaries</p> <p>Civil society organizations</p> <p>CIDA project officers and staffs, program branch managers</p> <p>Head of Mission, DFAIT officials</p> <p>Implementing agency, partner organization staffs</p> <p>Country, program, project level documents</p>	<p>Document review</p> <p>Project interviews</p> <p>Key informant interviews</p> <p>Focus groups</p> <p>Site visits</p>



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### Performance Indicators

Selection decisions should be informed by investment approval documents and key stakeholders (as appropriate). Fully consider the importance of context, usefulness, process and budget in selecting appropriate indicators.

#### Selecting Performance Indicators

"Results-Based Management in CIDA: An Introductory Guide to the Concept and Principles" presents six key selection criteria:

- ⊙ Does the indicator measure the result?
- ⊙ Is it a consistent measure over time?
- ⊙ When the result changes, will the indicator be sensitive to those changes?
- ⊙ Will it be easy to collect and analyze the information?
- ⊙ Will the information be useful for decision-making and learning?
- ⊙ Can the evaluation afford to collect the information?

*Consideration should also be given to whether the indicator is gender sensitive.*

### Sources of Information

The availability of sources of information is initially identified through research, literature searches, file reviews and/or consultations. Information sources are to be selected that effectively inform results measurement for each performance indicator.

Also, new sources of information may be identified during implementation, often during in-country missions. The workplan should remain receptive to this eventuality.

Cost and time constraints will limit what information can realistically be collected. It is important to remain strategic and to select sources that will best inform the evaluation process.

The following represent potential sources of information for the evaluator:

- ⊙ Recipient government officials
- ⊙ Beneficiaries
- ⊙ Civil society and non-governmental organizations
- ⊙ CIDA project officers and staffs, and program branch managers
- ⊙ Heads of Mission, DFAIT officials
- ⊙ Managers and staffs of implementing agencies and partner organization
- ⊙ Experts from other donor agencies
- ⊙ Thematic experts, and
- ⊙ Country, program, project level documents.

#### *Methods of Information Collection*

The workplan should describe in some detail the methods selected for information collection and how they will be carried out. The following table identifies six common methods:

Literature searches and document reviews	Researching reports, published papers, books, or examining of program, client and participant files
Consultations	Conducting face-to-face or telephone interviews, or focus group consultations
Sample project assessments (case studies)	Selecting sample projects for assessment when evaluating programs, countries or regions
Site visits	Provides on-site perspective on investment, setting and local activities
Surveys	Provides quantitative/qualitative responses from selected list of respondents
Expert opinion	Contributes perspective and knowledge of experts

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The use of interview guides and questionnaires helps ensure that information is collected in a consistent manner. Standardized information collection promotes reliability and validity, and facilitates the aggregation of data elements. It is important that well-designed instruments are selected, adapted and/or developed. It may be helpful to identify instruments from similar evaluations that proved to be valid and reliable. Pilot testing may be a good idea for more complex evaluations.

Information collected only has value if it relates directly to the evaluation issues and promotes learning about development cooperation policies, strategies and practices.

### *Information Analysis*

Information analysis translates the raw information collected into a meaningful and valid response to the evaluation issues. The purpose of this analysis is to provide credible evidence about how the investment is performing and what can be learned from it.

The table below profiles five commonly used analytical techniques:

Statistical Analysis	Manipulation of quantitative and qualitative information to generalize results
Non-Statistical Analysis	Process of analyzing qualitative information, often in an inductive manner to gain holistic insights and address hard-to-quantify issues
Projecting Longer-Term Outcomes and Impacts	Analytically transforming measured direct results to estimate longer-term outcomes and impacts
Use of Models	Using specific, explicit quantitative models to translate one quantitative result into another quantitative result (e.g. simulation, input-output, micro and macro economic, statistical models)

### Cost-Benefit and Cost-Effectiveness Analyses

Summarizes net worth or value of the investment

Cost-benefit analysis compares monetary benefits with investment costs

Cost-effectiveness analysis compares results with costs (but results are not transformed into monetary units)

### Accountabilities and Responsibilities

The workplan should:

- ⊙ Profile the composition of the evaluation team identifying each individual's primary role and responsibilities
- ⊙ Identify CIDA representatives, describing roles and responsibilities (e.g. CIDA Evaluation Manager, advisory committee members, PRB representatives, regional consultants contracted by CIDA), and
- ⊙ Include short, informative profiles (commonly referred to as bios) that present the qualifications, experience and areas of expertise of each evaluation team member (as an appendix).

Expectations for accountabilities should be broadly identified.

### Work Scheduling

The workplan should provide a schedule that establishes a working framework for the evaluation. Individual tasks should be assigned time frames and target dates should be projected for milestones and the completion of deliverables. The evaluator may find it useful to develop a 'level of effort' matrix that anticipates the person-days required to complete specific tasks by team members.



The following figure suggests work–scheduling items that could be addressed:

Phase	Milestone/Deliverable/Activity
Pre-Mission	<ul style="list-style-type: none"><li>• HQ document and file review</li><li>• Project interviews, key informant interviews (Canada)</li><li>• Finalization of logistics</li></ul>
Information Collection	<ul style="list-style-type: none"><li>• Briefing sessions</li><li>• Site visits</li><li>• Information collection</li><li>• Field debriefing</li></ul>
Information Analysis	<ul style="list-style-type: none"><li>• Analysis and interpretation</li><li>• Presentation of findings</li></ul>
Evaluation Report	<ul style="list-style-type: none"><li>• Strategic assessment</li><li>• Submission of draft evaluation report</li><li>• CIDA approval process</li><li>• Delivery of final report</li></ul>

### Reporting

The workplan should describe:

- ⊙ A schedule for ongoing progress reporting by the evaluator to CIDA's Evaluation Manager to ensure evaluations are being carried out in accordance with expectations, and within budget (may range from informal regular briefings to formal written reports)
- ⊙ On–site briefing and debriefing sessions for CIDA personnel
- ⊙ A proposed outline or table of contents for the final evaluation report, and
- ⊙ Specifications to guide production of the final report.

Provisions should be made for the immediate reporting of significant problems or unanticipated difficulties to CIDA's Evaluation Manager.

## 7.4 'Workplan' Checklist

The following checklist suggests a series of general questions to assess the adequacy of your workplan:

Checklist
<input checked="" type="checkbox"/> Is the reader left with a clear understanding of the initiative being evaluated, its linkages to CIDA's mandate, corporate priorities?
<input checked="" type="checkbox"/> Is the information provided about the expected results, reach and level of investment adequate?
<input checked="" type="checkbox"/> Has the role of stakeholders been addressed?
<input checked="" type="checkbox"/> Is the reasoning supporting management's decision to carry out this evaluation clearly explained?
<input checked="" type="checkbox"/> Is the requirement to develop lessons identified?
<input checked="" type="checkbox"/> Have the primary roles and key responsibilities for all individuals making major contributions to the evaluation been adequately identified?
<input checked="" type="checkbox"/> Does the evaluation design describe a logical model for collecting and analyzing information that will identify results attributable to the program?
<input checked="" type="checkbox"/> Does the evaluation methodology provide for the measurement of results at the output, outcome and impact levels?
<input checked="" type="checkbox"/> Are the evaluation issues strategically aligned with Development Results and Success Factors set out in CIDA's "Framework of Results and Key Success Factors"?

- 
- ✓ Does the selection of performance indicators meet the criteria for effectiveness, consistency, sensitivity, feasibility and usefulness?
  - ✓ Are CIDA's expectations for progress reporting, briefing and debriefing sessions and the final report met?
  - ✓ Is an outline for the evaluation report presented?
  - ✓ Does the work schedule provide for a logical progression of activities through to completion?
  - ✓ Have time frames/target dates been established for all key milestones, deliverables and/or activities?

'Model Text': Evaluation Workplan

A 'model' text for preparing evaluation workplans can be found as Appendix E. This text allows practitioners to work from a standard that meets the Agency's expectations.

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## 7.5 Getting Approval

The evaluation workplan should be submitted as a draft to CIDA's Evaluation Manager for approval. Approvals generally involve an editing process before the workplan is finalized.

CIDA's Responsibility Centre Manager is to approve the workplan before the evaluation can be operationalized. With approval, the post is notified of what is expected of the field so adequate preparations can be made for the field visit.

As the approved workplan governs the rest of the evaluation, any major, downstream deviations or alterations to the strategy for carrying out the evaluation must be reflected in workplan revisions that are subsequently approved by CIDA management.

## Chapter Eight: Information Collection & Analysis

In this chapter:

- Pre-thinking field trips
- Pre-mission checklist
- Tips for the field
- Identifying results

**A**t this point, CIDA has approved the evaluation workplan, establishing a clear understanding with the evaluator about how the evaluation is to be carried out, and what is to be achieved. Now the challenge for the evaluator becomes collecting and analyzing the information to be used in formulating the evaluation results.

Information collection typically includes: 1) document reviews and literature searches, 2) consultations with headquarters-based and/or Canada-based interviewees, and 3) an information gathering mission to the recipient country or countries to perform key informant interviews (CEAs, NGOs, local beneficiaries, donors, CIDA staff, etc.), surveys, group focus sessions, site observations, etc. Generally, preparation of the evaluation workplan will have already involved some information gathering activity (document reviews, consultations, etc.).

The information collected is then analyzed and distilled into credible, reliable and useful results for presentation in the evaluation report. The findings, conclusions, recommendations and lessons put forward in the evaluation report are shared with other key audiences allowing them to reflect on what was learned and what could be applied to benefit other development cooperation activities.

In this chapter, we provide a strategic outlook to information collection and analysis that: 1) stresses the importance of being prepared, 2) identifies challenges that may arise, and 3) offers strategies for realizing expectations and overcoming obstacles.

*Throughout this phase, your thinking should be consistently focused on how best to develop useful, credible results that will provide enduring value for the evaluation through the sharing and application of what is learned.*



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## 8.1 Pre-Thinking Field Trips

Reflecting on the following strategic considerations may help you to visualize the challenges ahead, and establish some basic values for keeping the evaluation focused on what is to be accomplished:

Stakeholder participation	Early on, the evaluator should develop a strategy that sets out how key stakeholders are to be consulted during the field trip. The mapping of stakeholders helps to ensure adequate coverage and representation.
Be selective about information collection	Simply put, not every tidbit of information needs to be collected to know what is going on. It is important to be selective in order to achieve optimal value, while remaining cost-effective.
Stay receptive to better ideas	Be ready to learn from the information being collected. Options may surface for delivering better results. Your mind-set should be receptive to intuitive, midstream decision-making that exploits potentially rewarding opportunities.
Share what is being learned	Opportunities for sharing what you're learning with stakeholders (during information collection) should be exploited to build credibility and stronger relationships.
Provide CIDA a complete picture of what is really happening	Make sure that CIDA management gets accurate, factual, balanced reporting from the field. Often, only 'good news' is received, while developing issues and problems are ignored. This approach can prove costly.



## 8.2 Pre–Mission Checklist

Going through the following points may help you to feel more confident that you're ready before heading out on a field trip:

### Checklist

- Has CIDA's Evaluation Manager consulted with the desk officer and post personnel to address protocol requirements in the recipient country/countries?
- Has the post been provided with your itinerary and other important documentation (e.g. evaluation workplan)?
- Is mission planning completed? Have the travel logistics been worked out to your satisfaction?
- Are your travel documents complete? Do you have the necessary medical/health clearances and/or treatments?
- Are the information collection opportunities adequate for meeting CIDA's expectations of the evaluation? Will information collection be affordable? Is the work schedule still doable? Are any revisions needed?
- Is your strategy for stakeholder participation adequate in the Agency's estimation?
- Are you ready to brief key post personnel and stakeholders on arrival?
- Should anything further be discussed with CIDA's Evaluation Manager before departing?

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### 8.3 Tips for the Field

Stay informed, build on what works and celebrate what you achieve

Respect and accommodate local contexts	Understand the context that you are functioning in and always remain cognizant of the dynamics at play (and responsive to their implications). The local economic, social, political and cultural characteristics of the recipient country can be critical in determining what can be accomplished. Demonstrate cultural sensitivity and make accommodations for local beliefs and customs.
Minimize disruptive impacts	Evaluations are intrusive, placing additional demands on individuals and disrupting day-to-day operations. Keep things simple and minimize the burden.
Countering negativity	Reluctance to participate and antagonism in the field is best countered by: 1) emphasizing constructive elements, 2) keeping participants involved and fully informed through regular meetings, and 3) maintaining open and frank communications with local stakeholders, CEAs and the post.
Staying on track	Leadership is key in keeping stakeholders/partners working towards what you are trying to accomplish. Frequent indications of progress are important for motivating the participants, and keeping CIDA management informed.  Deal with emerging issues promptly and don't allow interpersonal conflicts to dominate the agenda. Sidestep any such distractions. A focused team effort is critical for success.

	<p>Address any misunderstandings or misinterpretations quickly before they can cause larger problems.</p>
Respecting ethics	<p>Unless ethical standards are respected, the credibility of your evaluation may be jeopardized. Competency in delivery, integrity in relationships and accountability in performance are key.</p>
Dealing with fundamental differences in values	<p>You may run into conflicts with partners in developing countries due to fundamental differences in values (e.g. deprivation of minority rights). Your response should negotiate the delicate balance between sensitivity to local practices and respect for international conventions.</p>
Staying disciplined, yet being adaptable	<p>The evaluation workplan is your prescription for meeting the expectations of CIDA management. It offers a path for answering the evaluation questions that needs to be respected and adhered to in bringing the evaluation to a successful conclusion.</p> <p>Yet the realities of fieldwork often embody elements that can ambush the best laid plans. Being adaptive, creative and innovative in overcoming such hurdles will help keep the evaluation on track.</p> <p>New ideas may come to light during the field mission that could improve the persuasiveness of your results. Their value should not be lost.</p> <p>In all cases, new approaches should be discussed with CIDA's Evaluation Manager before they are implemented.</p>

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Information problems that may arise

Your leadership and interpersonal skills may be called upon to deal with:

- ⊙ Denials about the existence of information
- ⊙ The absence of good information for answering questions
- ⊙ Deficiencies in the volume or quality of information
- ⊙ Questionable validity/reliability
- ⊙ Contradictory information
- ⊙ Sensitive information that is difficult to report, and
- ⊙ Evidence of wrongdoing.

Working through difficulties

Evaluators are often faced with unanticipated challenges during field work. In some cases, difficulties can be resolved by simply applying fundamental values and ethics, and/or proven management practices.

Issues, however, can be more complex with unique dimensions demanding unique solutions. The art of negotiation can be a valuable asset when working in recipient countries. Often, consensus building and compromise may offer the only pragmatic recourse for placating local partners without threatening the evaluation.

Snap, unilateral decisions usually are not the answer. Working through difficulties to reach the appropriate solution usually involves consulting with partners/stakeholders to discuss what should be done.



### Helpful Hints

Catalytic leaders keep partners moving toward the desired result and provide frequent measurement of progress for motivation and management.

Sidestep turf and control battles by re-focusing partners on the desired result.

Steps to Successful Performance Partnerships  
Oregon Model

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## 8.4 Identifying Results

The next step is to focus on the evaluation questions, distil what you have learned and develop accurate, credible and useful results that measure what has been achieved relative to what was expected to be achieved by the investment. Analytical techniques can include: 1) statistical analysis, 2) non–statistical analysis, 3) projecting longer–term outcomes/impacts using direct results, 4) modelling, and 5) cost benefit and cost effectiveness analyses.


When formulating your findings, conclusions, recommendations and lessons, it is important to take the broadest view of the value offered by the information collected. Every effort should be made to reduce bias, error and misinterpretation in developing your results. Double check contradictory evidence, give more weight to reliable sources, and ensure significant information is not ignored. Credible results are derived from multiple information sources and are directly tied to the subject investment, thereby eliminating other explanations.

Ideally, the information that you have collected and analyzed will result in recommendations being implemented as appropriate, and key audiences sharing in and benefiting from your results. Real value, however, will only be realized when your work contributes to more effective and informed decision–making, and concrete action is taken to improve programming.

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Debriefing the Post

Prior to departing from the recipient country, the Evaluation Team Leader should provide a debriefing to CIDA's officers to inform the post about her/his initial impressions and general observations.



## Chapter Nine: Preparing Evaluation Reports

In this chapter:

- Role of evaluation reports
- What is expected
- Tips for effective report writing
- Writing the report (section-by-section)
- Checklist for assessing evaluation reports
- Getting approval

Evaluations are expected to contribute value towards achieving sustainable development, poverty reduction and CIDA's other programming priorities. Understanding what works, what doesn't and what should be improved promotes informed decision-making about programming choices, approaches and practices. Good evaluation reports serve this process by accurately distilling and clearly articulating what is learned from evaluations. It is critical that CIDA management is properly and adequately informed about the performance of its investments.

The primary objective of evaluation reports is to inform CIDA management on the results of the evaluation. The evaluation report should articulate a comprehensive response to CIDA's expectations as set out in the TOR and the evaluation workplan.

The report itself comprises the most enduring expression of value. The recommendations put forward are highlighted within CIDA's performance review system for action, follow-up and/or knowledge building. CIDA's programming in the field is enhanced. Beneficiaries gain from their implementation. New knowledge is shared with the development cooperation community.

Preparing evaluation reports represents a formidable challenge. The reader should be left with a thorough understanding of why the decision was made to proceed with the evaluation, what was done, what results have been achieved, and what was learned for future application. Evaluators are asked to fairly and objectively identify credible, reliable and useful results that are directly attributable to the investment being assessed. The presentation of evaluation results should follow a credible progression in logic, with a basis in fact and judgment that ensues from the information collected.



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While CIDA does not prescribe a standard format for evaluation reports, this chapter provides guidelines for their preparation and identifies what should be addressed. Flexibility is encouraged to promote a final product that is most conducive to the effective presentation of the evaluation results.

*An executive summary that identifies and supports the evaluation results is required to inform both CIDA management and the corporate memory system.*



### **9.1 Role of Evaluation Reports**

*Maximizing contribution and learning potential*

Typically, evaluators prepare evaluation reports to meet the requirements established by TORs and evaluation workplans. CIDA's Evaluation Manager is expected to ensure a final product that: 1) meets contractual obligations and professional standards, 2) fairly and accurately assesses the performance of the subject investment, and 3) provides useful and credible responses to the evaluation issues.

Before starting to write the report, the evaluator should consult with CIDA's Evaluation Manager to discuss the structure and contents of the report in order to gain a mutual understanding of the expectations for delivery. Agreement should also be reached on the time frame for completion.

Keep in mind that clarity and succinctness can lead to higher readership as few of us have the time to read lengthy reports. The level of detail should effectively inform key audiences about what was learned from the evaluation, and recommend substantive ways for improving CIDA programming. Longer texts may be required for investments of higher value and complexity.



Evaluation reports are used to:

- ⊙ Inform CIDA Management: The primary function of evaluation reports is to inform CIDA management about the findings, conclusions, recommendations and lessons developed through the assessment process. In fact, decisions to carry out evaluations are typically predicated on requirements for performance information expressed by Agency managers.
- ⊙ Advise Executing Agencies: Individuals involved in program/project delivery have an intrinsic need to know how the initiatives they are involved with are performing and what recommendations are being advanced.
- ⊙ Engage Stakeholders: Information sharing with local beneficiaries, recipient governments, NGOs and other donor agencies helps to build new knowledge about effective practices, and generate understanding and support for what the Agency is trying to accomplish. Participants in the evaluation process can reflect on development activities and become engaged in the strengthening of Agency programming.
- ⊙ Demonstrate Accountability and Transparency: Canadians expect federal institutions to be values-based and results-driven. To this end, evaluation reports set out levels of performance and measure the appropriateness of resource allocations in the use of public funds.

#### Implementing Recommendations

*Evaluators like to see recommendations implemented and information broadly shared. Sometimes, however, this will not - nor should - happen. CIDA management brings a broader understanding of context, concerns, and limitations to the table that can influence decisions on information dissemination. The prerogative to determine the use of information should not be applied to avoid taking difficult courses of action where warranted.*

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## 9.2 Meeting Expectations

The task before you is to prepare an evaluation report that describes your assessment of the performance of the subject program/project and brings forward key information:

- ⊙ What have you learned that provides answers to the evaluation issues raised in the workplan? What does the evidence indicate and support?
- ⊙ What results were achieved by CIDA's investment relative to the expectations established during planning and design? Were there any unintended results?
- ⊙ What recommendations would help to improve CIDA programming, both specific to this investment and more widely?
- ⊙ What was learned that could benefit other development cooperation initiatives?

In developing responses to these questions, evaluators are expected to follow a progression in logic to arrive at useful and valid interpretations of the information collected. A credible evaluation methodology is one that uses multiple data sources and directly ties results to the investment being evaluated.

The attribution of results involves eliminating other explanations to determine causal inferences. Evaluators are to rely on assumption, logical argument and/or empirical analysis in reaching this goal.

### Essential Reporting Elements

Executive Summary  
Introduction  
Investment Profile  
Evaluation Profile  
Evaluation Findings  
Conclusion  
Recommendations  
Lessons  
Appendices (as required)

### 9.3 Tips for Effective Report Writing

- ⊙ Think about how the evaluation results will be used from the outset of the evaluation. Recommendations and lessons will be of greater value if they are designed to facilitate implementation. Limit the number put forward based on significance and value.
- ⊙ Write for all key audiences. Sensitivity to the differences in knowledge, expertise and information requirements of different audiences should be an important consideration in report preparation. Contents should be easily understood by readers with little or no technical knowledge. Translations may be necessitated to address the linguistic requirements of various audiences.
- ⊙ Understanding and learning are enhanced when reports are written clearly and concisely, and main points are precisely articulated. Make every effort to minimize the risk of misinterpretations of what is being reported.
- ⊙ Make reports visually appealing by using attractive layouts, graphics and colours. This often enhances the likelihood of people picking up and reading the report.
- ⊙ Keep CIDA's "Framework of Results and Key Success Factors" as a handy reference throughout report preparation to maintain a consistent focus on what is valued by the Agency.
- ⊙ Make sure that the recommendations are realistic given the context of development and doable within budgetary constraints.

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## 9.4 Writing Evaluation Reports

*Added value is not determined by  
the number of pages*

The first priority of evaluations is the delivery of credible, useful results that reflect the evaluator's assessment of performance. Evaluation reports present key results derived through the distillation of what was learned from information collection and analysis.

Value-added is determined by:

- ⊙ The evaluator's responses to evaluation issues (findings, conclusions)
- ⊙ Recommendations for implementing improvements, and
- ⊙ Lessons that will enhance development cooperation activities.

Evaluators are asked to look at all that has been learned to fairly, objectively and accurately assess performance. Results are to be derived from what was learned during the course of the evaluation. It is crucial that coverage is comprehensive, and that conclusions are fully supported by the interpretation of evidence, with the basis for judgment adequately explained. Precise wording minimizes the potential for misinterpretation.

The presentation of information should describe a logical progression from raw data to conclusions. The reader should be able to link key points made in the overall performance assessment, recommendations and lessons with evidence derived from information collection and analysis. The evaluator should make specific references to identifiable information sources.

A conceptual framework or logic model may be useful for providing systematic coverage and a balanced dissertation that supports the decisions reached. The evaluation framework provides an excellent starting point for the organization of results, offering the basis for developing conclusions that are aligned with the evaluation issues and questions.



Results are often derived from multiple information sources. In such cases, the expertise of the evaluator is required to develop accurate and valid interpretations of the evidence. Any supporting statistics should be presented in a format and with a degree of complexity that is appropriate for targeted audiences.

Typically, the value and complexity of the evaluation have determined length, with reports ranging from 35 to 85 pages (excluding appendices). Today, there is a movement towards providing more concise reporting as strategic audiences can be hard-pressed to find the time to review extensive texts. There is little point to preparing voluminous reports that will not be effective in reaching key audiences and realizing objectives. Evaluators may favour succinct explanations and conclusive information to maintain readership.

Below we elaborate on the key elements for evaluation reports:

### Executive Summary

A concise synopsis of the report is to be prepared that provides an overview of all substantive elements of the evaluation, while emphasizing performance highlights, conclusions, recommendations and lessons learned. The executive summary should briefly explain the investment and the evaluation – and should provide the uninitiated reader with a clear understanding of what has been learned from the evaluation.

Experience shows that the executive summary is often more influential and has higher readership than the main body of the report. It is mainly used internally to inform both senior Agency management and CIDA's corporate memory system.

The tone of the executive summary should be consistent with the main body of the report. Descriptive elements should be limited because of the abbreviated format. Length is typically kept to six-to-ten pages.

A suggested outline for the executive summary is provided below:

- ⊙ Introduction (incl. purpose of report, scope of investment and evaluation)
- ⊙ Overview (incl. context for development, investment profile, evaluation expectations and methodology)
- ⊙ Performance Highlights ('global statement' capturing the essence of the assessment, highlighting of results)

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⊙ Conclusion

⊙ List of Recommendations

⊙ List of Lessons

### Introduction

Briefly identify the purpose of the report and the scope of the investment and evaluation. You may also wish to acknowledge those individuals who contributed to the evaluation. This section should be no longer than a page.

### Investment Profile

Your profile should describe the context for development in the recipient country and key aspects of the investment itself to develop a well-rounded understanding of its role, expectations and current status.

This section should address:

- ⊙ The economic, social, cultural and political dimensions and the state of infrastructure and organizational structuring that characterizes the context for development
- ⊙ What results were expected to be achieved
- ⊙ How CIDA's investment linked to sustainable development, poverty reduction, local needs, gender equality and the Agency's other programming priorities, and
- ⊙ Other salient information fields: 1) how the investment is organized, 2) milestones/achievements to date, 3) financial resourcing, 4) stakeholder participation, and 5) any obstacles impacting performance.

### Evaluation Profile

This section should provide an overview of how the evaluation was carried out, describe the methodology used and explain who was accountable for what on the evaluation team (roles and responsibilities). Performance expectations should be drawn from the evaluation framework, bringing a focus to the specific questions that are central to the evaluation. The progression of activities – from information

collection through to the development of results – should follow a logical and clearly defined path. An itinerary of the sites visited should be included.

The report is to address how the expectations set out in the TORs and the evaluation workplan have been realized. TORs should be appended to the evaluation report. The evaluator may find value in also appending the evaluation framework (or the complete evaluation workplan). Any modifications should be identified.

Suggested features:

- ⊙ Identify the factors that influenced the decision to proceed with the evaluation
- ⊙ Stakeholder participation in the evaluation should be described
- ⊙ Discuss the selection of performance indicators
- ⊙ Link information sources to each performance indicator
- ⊙ Identify methods for collecting information including: 1) an explanation of any sampling procedures; and 2) information collection instruments (append to report)
- ⊙ Profile analytical methods, with specific reference to any statistical tests or conventions
- ⊙ Provide a fair and complete description of the more serious limitations that result from the methodology employed

### Evaluation Findings

Findings are affirmations based on  
the information collected

Present your findings by responding to the evaluation issues. The reader should be able to link the findings with the evidence gathered, with references being made to identifiable information sources. 'Real life' examples will add credibility and richness to your report (in turn promoting readership). The section on evaluation findings is typically the longest of the report.



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## Conclusion

The evaluator is expected to summarize how the policy/program/project is performing relative to the expectations established during investment planning. The evaluator should limit the number of conclusions presented, selecting those that are the most significant and/or make the largest contribution.

## Recommendations

Recommendations are defined as: “Individual statements derived from the evidence that prescribe who should do what in the future”. They provide:

1) suggestions for introducing improvements, and/or 2) identify matters for follow-up.

The evaluator should explain the basis for making recommendations, with linkages to the information collected in the evaluation. Recommendations should be prescriptive (e.g. “CIDA should...”).

## Lessons

*Learning from a specific evaluation to develop a general principle for wider application*

Lessons are defined as being: “A general hypothesis based on the conclusions of a specific evaluation that establishes or supports a general principle and is presumed to have the potential of being useful and beneficial in other applications”.

What an evaluator has learned may have wider application for future directions, strategies and practices. In formulating lessons, evaluators are expected to develop a perspective that goes beyond the subject evaluation, and use their expertise and experience to extrapolate the information learned for general application – bringing added value to the Agency.

Evaluators are encouraged to develop a restricted set of lessons that have the potential for useful, generic application in other CIDA work, rather than numerous statements that can only be applied in specific instances and that mirror the findings of the evaluation. Evaluators should formulate no more than a half dozen key lessons (to maintain a focus on those that are the most significant).

Lessons generally are of two types:

- ⊙ Developmental lessons pertain to the realization of developmental results, the improvement of aid practices, and the delivery on CIDA programming priorities.
- ⊙ Operational lessons have a managerial and administrative component offering ideas for the establishment of a facilitating work environment and effective work practices. They can relate to performance measurement, donor coordination, resourcing requirements, team building and coordination, procurement practices, delivery and reporting systems, logistics, etc.

### Appendices

As a general rule, appendices contribute to amplification, illustration or embellishment, but are not essential to the reader's understanding of the body of the report. The intent is to append information that has the potential for interrupting the flow and balance of the report, and/or the concentration or focus of the reader.

Typical appendices:

- ⊙ List of acronyms
- ⊙ Terms of reference (for the evaluation)
- ⊙ Evaluation workplan (or just the evaluation framework)
- ⊙ Bios that present the qualifications, experience and areas of expertise of each evaluation team member
- ⊙ Bibliography of references (reports, publications)
- ⊙ List of consultations

When appendices are particularly extensive or highly technical, they are often bound in separate volumes.



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## 9.5 Checklist: Assessing Evaluation Reports

### Checklist

- Does the executive summary provide the reader with a clear and basic understanding of what both the investment and the evaluation are all about? And what was learned from the evaluation?
- Have you described the economic, social, cultural and political dimensions and the state of infrastructure/organization that characterize the context for development?
- Are the investment's expected results linked to sustainable development, poverty reduction, local needs, gender equality and other programming priorities?
- Have you explained: 1) how the investment is organized, 2) milestones/achievements to date, 3) financial resourcing, 4) stakeholder participation, and 5) any obstacles impacting performance?
- Are the reasons for carrying out this evaluation logical and clear? Is the logic that forged the evaluation design explained?
- Have you identified what was expected to be achieved by this evaluation?
- Are we informed about how stakeholders contributed to this evaluation?

- Does the write-up on methodology explain the evaluation questions? What limitations were experienced?
- Are performance indicators, sources of information and the methods for information collection/analysis described?
- Is the evaluation team adequately profiled?
- Do your findings collectively provide a thorough understanding of what was learned from this evaluation? Has significance been appropriately assigned in your presentation?
- Are you satisfied that your findings are valid? Are they supported by the evidence?
- Have you provided a thorough assessment that clearly and fairly articulates how the subject program/project is really performing?
- Does the conclusion tie the results achieved to the Agency's "Framework of Results and Key Success Factors"?
- Does your presentation of results facilitate informed decision-making?
- Are your recommendations: 1) supported by the evidence, 2) appropriate given what was learned, and 3) adequate in terms of coverage? Have the recommendations been written to facilitate implementation?

- 
- ☑ Are the lessons: 1) supported by the evidence, 2) significant, and collectively are they 3) an adequate expression of the entire learning experience? Have the lessons been written to facilitate implementation?
  - ☑ Are bios for each evaluation team member appended to the report?

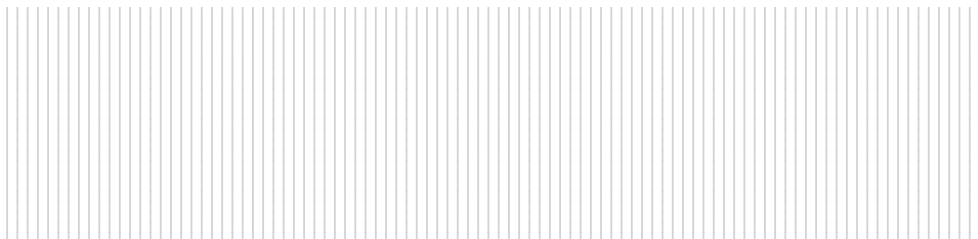
"Model Text": Executive Summary

A 'model' text for preparing executive summaries can be found as Appendix F. Working from this text will help practitioners to meet the Agency's expectations.



### 9.6 Getting Approval

The evaluator submits a draft evaluation report to CIDA's Evaluation Manager for review. Approval generally involves an editing process to ensure CIDA's needs are addressed. CIDA's Evaluation Manager must approve the report before information dissemination is initiated.



## Chapter Ten: Optimizing Benefits

In this chapter:

Building value into evaluations  
Sharing what is learned

Evaluation reports that are relegated to a dusty shelf offer no return on the Agency's investments. How findings, recommendations and lessons learned are ultimately used determines what value is extracted from an evaluation. Optimal value is only realized when what is learned from an evaluation impacts positively on decision-making processes, improving development cooperation practices.

What we take away from evaluations creates an opportunity for:

- ⊙ Strengthening programming by identifying shortcomings, and contributing to policies, strategies and methods
- ⊙ Setting out remedial courses of action to address issues and problems
- ⊙ Institutional learning that increases the capacity for achievement
- ⊙ Informing key audiences about how the Agency is performing

Each of these benefits, however, hinges on what value the evaluation offers, the strategies developed for sharing results, and how the information disseminated is ultimately used.

This section looks at how to optimize benefits from two perspectives. First, it suggests ways for realizing value from the evaluation itself. Then, it explores options for sharing results. In so doing, the reader is focused on how to structure evaluations to make a meaningful and enduring contribution.

Investing in informed development

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## 10.1 How to Build Value

*Stay committed and focused*

How will your evaluation make a contribution? What should be done to ensure you have a useful 'story' to tell? How can CIDA's expectations be met?

### Think of the 'Big' Picture

From start to finish, think of your evaluation as both an opportunity and a process:

- ⊙ An opportunity to contribute to improved development cooperation and the continuous learning process through the sharing of information
- ⊙ A process for arriving at findings, conclusions, recommendations and lessons that are credible and have value for decision-makers

From the very outset of planning and design – and throughout the evaluation process – a consistent focus must be maintained on what contribution the evaluation can ultimately make. The potential value of an evaluation is accentuated when the broadest view is adopted to determine what benefits can be derived, employing both long and short-term perspectives for the sharing of results.

Think about how the sharing of results can contribute to:

- ⊙ Improving current policies and practices
- ⊙ Institutional learning objectives
- ⊙ The validation of hypotheses, and
- ⊙ The amelioration of issues and problems.

### Focus on Results

Above all, the development of meaningful, reliable and useful results should be at the forefront of everyone's mind-set throughout the evaluation process. CIDA needs to be adequately informed to make effective decisions. Stakeholders and others in the international development community can benefit from knowing what is being learned. Canadians can see how their tax dollars are being spent.

Will your evaluation:

- ⊙ Provide a clear understanding of program/project performance, the results achieved and any perceived weaknesses?
- ⊙ Identify how CIDA's involvement contributed to those results?
- ⊙ Set out valuable lessons to promote a wider learning experience?

#### Keep Messaging Clear and Simple

Information should be framed so it facilitates informed decision-making, is easily understood and reduces the potential for misinterpretation. Experience shows that this is best accomplished when messaging is kept simple.

Results should be significant and useful. Targeting too much information can be unmanageable, counterproductive and expensive. Not every tidbit of information needs to be presented to know what is going on.

#### Why Evaluation Reports are Sometimes Shelved

- ☑ CIDA can become disenfranchised with the evaluation (sometimes due to inadequate communications with the evaluator)
- ☑ The evaluation methodology was ill-conceived and corrective actions were not taken
- ☑ The recommendations are not pragmatic or realistic given financial constraints
- ☑ Dramatic changes in context rendered the evaluation irrelevant
- ☑ Discord among participants and stakeholders resulted in a minimal 'buy-in' threshold not being achieved



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## 10.2 Sharing What is Learned

Sharing results not only creates the potential for improving developmental and operational performance, it can also help build shared meaning and understanding, develop programming support and generate widespread learning opportunities. When results are shared openly, credibility is enhanced and greater pressure is generated for recommendations to be implemented.

### Developing a Dissemination Strategy

While guidelines can be helpful, usually the unique features of each evaluation command a strategy for sharing results that is appropriate for the case at hand.

Start by developing answers to questions such as:

- ⊙ Who are the target audiences?
- ⊙ What is the key messaging? Who needs to know what?
- ⊙ How can each target audience best be reached? What should be emphasized?

Once target audiences and their information needs are identified, then information should be packaged to meet CIDA's requirements. The degree to which information is shared with CEAs, recipient governments, local stakeholders, other donors, etc. is usually determined by CIDA's Evaluation Manager. In some cases, the decision may be taken to only distribute summarized information to certain, selected audiences.

Participants should not expect that all evaluation recommendations must (or should be) implemented. CIDA management typically brings a broader understanding of context, constraints, and feasibility limitations to the table. This prerogative, however, should not overshadow the need for taking difficult courses of action when warranted.

### Who Does What

During evaluation planning/design and implementation, the sharing of results is often jointly addressed by both the evaluator and CIDA management. After the evaluation report is finalized, however, the onus generally falls on CIDA to respond to the evaluation and carry out information dissemination.

Typically, the subject responsibility centre is expected to:

- ⊙ Review the findings, conclusions and recommendations to identify those that are accepted and supported
- ⊙ Set out a management response and assign responsibilities for the actions to be taken, and
- ⊙ Implement an information strategy for distributing the evaluation report and any other packaged information developed for key audiences.

In some cases, evaluation results are 'clustered' along thematic lines to provide a broader presentation of performance levels.

### Assessing the Options

The sharing of results generally works best when a number of communications techniques are considered. The extent and level of sophistication attached to a dissemination strategy should be a function of the significance of the evaluation – and its potential for making a 'real' contribution both internally and externally.

### Oral briefing sessions

In many cases, oral briefings represent the best option for communicating results. They typically bring together people with a shared interest in the evaluation and provide a fertile opportunity for discussion and implementing improvements.

Busy decision-makers are more inclined to attend a briefing session than to sit and read a lengthy report. Attendees should always be provided with a copy of the report or a summarized version.

During the course of the evaluation, ministries of recipient governments should be kept informed about developments and performance levels. At the end of field visits,

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evaluators should provide oral briefings to Agency field personnel and key local stakeholders.

Be creative. Oral briefings can take the form of workshops or 'brown-bag' lunches.

### Corporate Memory System

CIDA's Corporate Memory System, which functions as the Agency's automated development experience database, serves as the primary means for collecting and disseminating evaluation results at the institutional level. This resource is vital to the Agency's capacity to learn and contribute to informed decision-making.

For thematic and other major performance reviews, the full evaluation report is accessible. Executive summaries are to be completed for all evaluations, and entered into this System.

### e-Lessons Database

This database records what CIDA is learning about effective development cooperation through its performance measurement and reporting activities. Referring to lessons identified through the Agency's evaluation activities allows practitioners to become better informed about CIDA's learning experiences.

### Other Options for Consideration

- ⊙ Presentations at Executive Committee, Audit and Evaluation Advisory Committee, and/or other senior management meetings
- ⊙ Bilingual summaries on CIDA's websites (Internet, *Entrenous*), e-mail announcements, PKMB publications, and other internal magazines, newsletters, bulletins, etc.
- ⊙ Distributing reports to country desks, institutional responsibility centres, recipient governments, CEAs, NGOs, other donors, local stakeholders
- ⊙ Cataloguing in the Agency's International Development Information Centre information holdings and DAC's Evaluation Inventory
- ⊙ Presentations at seminars, peer review sessions, conferences; press releases; Q & A statements; references in speeches; articles in professional journals

## Chapter Eleven: Frequently Asked Questions

Make an informed contribution to development cooperation by building value throughout the evaluation process

### General Questions

1 Q: What is an evaluation?

A: The Development Assistance Committee (DAC) Working Party on Aid Evaluation describes an evaluation as being:

“The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results.”

In essence, evaluations offer a learning opportunity to find out about what is working, what isn't –and what needs to be improved. Evaluations demonstrate integrity and objectivity in identifying valid, balanced and accurate results that are supported by the evidence assessed.

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2 Q: Why does CIDA perform evaluations?

A: Government departments and agencies are accountable for their performance, and face many difficult decisions about how to allocate public funds. Evaluation serves as a practical management tool for reviewing performance, enabling the Agency to learn from experience so a better job can be done designing initiatives and delivering results in the future.

Evaluations provide CIDA with credible, timely and useful information for assessing policies, organizations, programs and projects, leading to improved decision-making, resource allocation and accountability. With access to strategic, results-based information, the President and Executive Committee can direct development efforts to meet intended results and managers can

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deliver more effective and efficient development. Accountability is enhanced with the improvements in CIDA's capacity to report to Parliament and Canadians.

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3 Q: How are evaluations carried out? Who does what?

A: CIDA generally contracts out evaluations to an individual, firm or organization. In some cases, the Agency may form an evaluation team, selecting the individuals to be involved from a number of sourcing options.

CIDA's Evaluation Manager is the lead individual from the representative program branch (or Performance and Knowledge Management Branch ) who represents the Agency in ensuring the delivery of the evaluation and its conduct (i.e. appropriateness of design, resource utilization, value realized, etc.). She/he serves as the contact person for the evaluator.

The evaluator is responsible for the day-to-day management of activities and for the production of deliverables in accordance with contractual requirements set out in the Terms of Reference (TOR) for the evaluation.

Stakeholder participation is expected to be an integral, equitable and meaningful component of all evaluations.

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4 Q: What process is followed?

A: While terms of reference provide a broad indication of parameters, evaluations only become operational with the Agency's approval of the evaluator's workplan. With implementation, the evaluator should ensure that the evaluation remains on-track, strategically focused on the identification of results, and that efficient work practices minimize the consumption of valuable time and resources. The preparation of the evaluation report and the sharing of results represent key opportunities for promoting institutional learning within CIDA, and more broadly within the international cooperation community.

On the next page we provide a step-by-step overview of how evaluations are carried out after CIDA management makes the decision to proceed, and identifies how tasking is typically delegated between CIDA's Evaluation Manager and the evaluator.

## CIDA Evaluation Process

Phase	Function	Steps
Terms of Reference	CIDA Evaluation Manager prepares initial statement of expectations, setting parameters and deliverables	<ul style="list-style-type: none"> <li>• Review information sources</li> <li>• Conduct consultations</li> <li>• Prepare terms of reference</li> <li>• Notify the 'post'</li> <li>• CIDA approval</li> </ul>
Selection of Evaluator	CIDA Evaluation Manager selects candidate best meeting qualifications and performance requirements	<ul style="list-style-type: none"> <li>• Select sourcing option</li> <li>• List potential candidates</li> <li>• Prepare priority list</li> <li>• Carry out selection process</li> <li>• Inform candidates</li> <li>• Negotiate contract</li> </ul>
Evaluation Workplan	Evaluator prepares a workplan that describes how the evaluation is to be carried out and what is to be achieved	<ul style="list-style-type: none"> <li>• Consultations, document review, travel logistics</li> <li>• Develop workplan</li> <li>• CIDA approval</li> <li>• Notify the 'post'</li> </ul>
Information Collection and Analysis	Evaluator assesses performance to identify results	<ul style="list-style-type: none"> <li>• Logistics/on-site familiarization</li> <li>• Information collection</li> <li>• Progress reporting</li> <li>• Field debriefing</li> <li>• Information analysis</li> </ul>
Evaluation Report	Evaluator informs CIDA management about findings, lessons and recommendations	<ul style="list-style-type: none"> <li>• Determine results</li> <li>• Strategic assessment</li> <li>• Prepare evaluation report</li> <li>• CIDA approval</li> </ul>
Sharing Evaluation Results	CIDA Evaluation Manager communicates what was learned to promote better development cooperation	<ul style="list-style-type: none"> <li>• Strategic assessment</li> <li>• Distill lessons</li> <li>• Disseminate results</li> <li>• Corporate Memory System</li> </ul>

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5 Q: What types of evaluations are there?

A: Evaluations can be formative or summative. Formative evaluations are usually undertaken earlier on to gain a better understanding of what is being achieved and to identify how the program or project can be improved. Summative evaluations are carried out well into implementation or ex post to assess effectiveness, and to determine results and overall value.

Evaluations can also be identified by focus, for example:

- ⊙ Thematic evaluations (e.g. gender equality, basic human needs, capacity building)
- ⊙ Evaluations of programs, projects and other investments. or
- ⊙ Institutional evaluations that assess multilateral organizations (e.g. UNICEF, UNHCR) or international, Canadian and local NGOs.

Or, evaluations can be categorized in terms of the point-in-time and/or stage in the life cycle of the investment being evaluated:

- ⊙ Mid-term evaluations measure and report on performance to date, allowing for adjustments and refinements during continuing implementation.
- ⊙ End-of-phase evaluations are undertaken at the completion of a phase during multi-phase initiatives, providing information for consideration in the implementation of subsequent phases.
- ⊙ End-of-project/investment or program evaluations are performed on completion. Often it takes time for an initiative to demonstrate results at the societal or impact level. This type of evaluation may, therefore, be restricted to reporting on developmental outputs and early indications of outcomes – but may not be conclusive in providing a true indication of what was achieved in the medium to longer term.
- ⊙ Ex post impact evaluations measure and report on development results achieved in the medium-to-longer term, focusing on the outcomes and impacts that result from the outputs realized.

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6 Q: Why is 'stakeholder participation' important?

A: CIDA's "Framework of Results and Key Success Factors" calls for the active participation of local country partners, recipients and beneficiaries to be fundamental to investment design, implementation, monitoring and evaluation. Experience has demonstrated that the value of programs and projects improves if stakeholders are meaningfully and intrinsically involved.

Benefits can include:

- ⊙ A more pragmatic orientation to the program, project and/or evaluation
- ⊙ Capacity-building, with participants becoming 'empowered' from a professional development point-of-view, and
- ⊙ Strengthening of the 'buying-in' component, thereby improving long-term prospects for sustainability.

Evaluators are expected to address stakeholder participation from two perspectives:

- ⊙ Evaluations are expected to report on the extent of stakeholder participation in the investment itself and assess its effectiveness.
  - ⊙ Evaluations are expected to be participatory with stakeholders being actively involved.
- .....

7 Q: What is the best way to engage stakeholders?

A: Getting stakeholders involved can be a four-part process:

- ⊙ First, CIDA's Evaluation Manager should identify and assess potential stakeholders (beneficiaries, recipient government departments, local community organizations, NGOs, other donors, media). Each stakeholder should then be strategically assessed to determine how they are linked, what their interests are, and how they can contribute.
- ⊙ Then, the Evaluation Manager should contact stakeholders to inform them about the evaluation, describe its broad parameters, identify the evaluator and initiate dialogue. Protocols for dealing with stakeholders in recipient countries have to be respected.



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- ⊙ Next, the evaluator should consult with interested stakeholders to describe the evaluation, determine their willingness to participate, and to discuss their potential involvement (as appropriate).
  - ⊙ Fourth, the evaluator incorporates the strategy for stakeholder participation into the evaluation workplan. Stakeholders who are expected to play an integral role in the evaluation are kept informed of expectations and developments.

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### Planning & Design

8 Q: What is addressed in a terms of reference?

A: In preparing the TOR, CIDA's Evaluation Manager should include the following elements:

- ⊙ Introduction (reasons for evaluation, what is expected)
- ⊙ Investment profile (context, rationale, etc.)
- ⊙ Scope and focus
- ⊙ Stakeholder participation
- ⊙ Evaluation process
- ⊙ Deliverables
- ⊙ Qualifications of the evaluation team
- ⊙ Internal cost projection

9 Q: What do evaluation workplans address?

A: The evaluator prepares the evaluation workplan to elaborate on what is set out in CIDA's terms of reference and to address how evaluation issues will be responded to.

Evaluation workplans are to include the following elements:

- ⊙ Program or project overview (e.g. country context, objectives, disbursements, reach, expected results, stakeholder participation)
- ⊙ Evaluation profile (e.g. reasons for the evaluation, objectives, key audiences, stakeholder analysis, general approach)
- ⊙ Evaluation methodology (e.g. evaluation framework, literature and document review, project sample assessment, key informant interviews, focus groups, questionnaires, challenges)
- ⊙ Accountabilities and responsibilities
- ⊙ Work scheduling (e.g. time frames for delivery, level of effort)
- ⊙ Reporting requirements (e.g. progress, final)

10 Q: What is the role of the 'evaluation framework'?

A: The evaluation framework systematizes the evaluator's approach to the evaluation in an easy-to-use matrix format. It establishes how the evaluation is to be carried out by describing a hierarchy of issues and questions for the evaluation and the logical basis for developing responses.

For each question to be answered, performance indicators, sources of information, methods for information collection and the basis for judgment are identified.

The questions to be answered by the evaluation should link directly to the 'Development Results and Success Factors' set out in the Agency's "Framework of Results and Key Success Factors".

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Information Collection & Analysis

11 Q: What sources of information are available to the evaluator?

A: Sources may include:

Literature searches and file reviews

Planning documents	Previous evaluations
Feasibility studies	Books
Initiation reports	Studies and reviews
Progress reports	Lessons
Correspondence	Management plans
Published papers	Performance frameworks
Corporate memory	Internet Websites

Consultations

CIDA HQ personnel	Recipient country personnel
Post personnel	Sectoral and thematic experts
Beneficiaries	Other donors
Local authorities	Participating organizations
Executing agency personnel	

Site Observations

Project sites	Field installations
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12 Q: What methods of information collection are used?

A: Methods can include: 1) literature searches, 2) file reviews, 3) consultations and interviews, 4) site observations, 5) surveys and questionnaires, 6) expert opinion, and 7) case studies.

Engage stakeholders to build shared meaning and understanding, promote learning, and develop programming support

Evaluation Reports

Frame information to facilitate informed decision-making and understanding - and to reduce misinterpretation

13 Q: Why is progress reporting important?

A: Interim reporting to the Agency helps ensure evaluations are being carried out in accordance with expectations and within budget. Keeping stakeholders informed creates an opportunity for meaningful feedback, and promotes 'buying into' what is being achieved.

RBM calls for work to be internally monitored as it progresses to provide Evaluation Managers and stakeholders with 'real time' information about the use of resources and the achievement of results.



14 Q: What is addressed in the evaluation report?

A: The following outline may be helpful:

Section	Addressing
Executive Summary	<ul style="list-style-type: none"><li>• Introduction</li><li>• About this evaluation</li><li>• Key contextual factors</li><li>• Investment profile</li><li>• Summary of findings</li><li>• Main conclusions</li><li>• Key recommendations</li></ul>
Introduction	<ul style="list-style-type: none"><li>• Purpose of the report</li><li>• Key audiences</li><li>• Scope of the investment</li><li>• Scope of the evaluation</li><li>• Evaluation team</li></ul>
Investment Profile	<ul style="list-style-type: none"><li>• Development context (economic, social, cultural, political)</li><li>• Objectives, role, organization of the investment</li><li>• Linkages to sustainable development, poverty reduction, other programming priorities &amp; objectives</li><li>• Current status (outlook, milestones to date, etc.)</li><li>• Financial resourcing</li><li>• Stakeholder participation (to date)</li><li>• Obstacles (affecting performance)</li></ul>
Evaluation Profile	<ul style="list-style-type: none"><li>• Reasons for the evaluation</li><li>• Objectives</li><li>• Scope</li><li>• Issues, questions, performance indicators, information sources (evaluation framework)</li><li>• Methodology (activities, analytical methods, limitations, etc.)</li><li>• Stakeholder participation</li><li>• Sites visited (itinerary)</li></ul>
Evaluation Findings	<ul style="list-style-type: none"><li>• General overview</li><li>• Specific findings (grouped by factors as set out in the "Framework of Results and Key Success Factors")</li></ul>

Section	Addressing
Conclusions	<ul style="list-style-type: none"> <li>• Overall performance assessment</li> <li>• Specific conclusions (responding to evaluation issues)</li> </ul>
Recommendations	<ul style="list-style-type: none"> <li>• Listing (with reasoning)</li> </ul>
Lessons	<ul style="list-style-type: none"> <li>• Identify as developmental or operational</li> </ul>
Good Practices	<ul style="list-style-type: none"> <li>• Identify as developmental or operational</li> </ul>
Appendices	

### Sharing Results

15 Q: How are evaluation results disseminated?

A: Dissemination and information sharing strategies are usually determined by CIDA's Evaluation Manager. For mid-term and end-of-phase evaluations, the opportunity exists for introducing remedial action. Evaluations conducted after completion offer the potential for bringing benefits to other developmental work.

CIDA's Corporate Memory System serves as the primary means for: 1) disseminating evaluation results at the institutional level, and 2) for extending the benefits to be realized from what was learned from the evaluation.

The Agency's e-Lessons Database records what CIDA is learning about effective development cooperation through its performance measurement and reporting activities. Referring to lessons identified through the Agency's evaluation activities allows practitioners to become better informed about CIDA's learning experiences and insights.

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Other opportunities for consideration:

- ⊙ Presentations at Executive Committee, Audit and Evaluation Advisory Committee, and/or other senior management meetings
- ⊙ Bilingual summaries on CIDA's websites (Internet, *Entrenous*), e-mail announcements, PKMB publications, and other internal magazines, newsletters, bulletins, etc.
- ⊙ Distributing reports to country desks, institutional responsibility centres, recipient governments, CEAs, NGOs, other donors, local stakeholders
- ⊙ Cataloguing in the Agency's International Development Information Centre information holdings and DAC's Evaluation Inventory
- ⊙ Presentations at seminars, peer review sessions, conferences; press releases; Q & A statements; references in speeches; articles in professional journals

Lessons are often deliberated at seminars, workshops, peer review sessions and during one-on-ones.

Share information throughout the life of the evaluation so that CIDA management stays informed and stakeholders are encouraged to 'buy into' the results.

APPENDICES





## Appendix A

### Framework of Results and Key Success Factors

#### A. Development Results

##### 1. Achievement of Results

What progress is being made toward achievement of results at the output, outcome and impact levels? Do these results contribute to the Agency's overall goals of poverty reduction and sustainable development, and/or to efforts to support democratic development and economic liberalization in Central and Eastern Europe?

- a) Actual vs. intended results in the partner country.
- b) Actual vs. intended results/benefits to Canada.
- c) Unintended results.

##### 2. Cost–Effectiveness of Results

Is the relationship between costs and results reasonable?

- a) Comparison of costs with relevant benchmarks, where feasible, taking into consideration results achieved.
- b) Actual expenditures correspond to planned expenditures or significant variances fully justified.

##### 3. Relevance of Results

Does the initiative make sense in terms of the conditions, needs or problems to which it is intended to respond?

- a) Consistency with needs and priorities of targeted beneficiaries/local partners/ country/region.
- b) Consistency with CIDA's poverty reduction and sustainable development policies, and other policies, Branch priorities and programs, including crosscutting goals of gender equality and environmental sustainability.
- c) Consistency with Canadian foreign policy, including potential benefits to Canada.
- d) Consistency with the efforts of local organizations, Canadian organizations and other donors addressing the same needs or problems.

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#### 4. Sustainability of Results

Will results/benefits continue after CIDA's involvement ends?

- a) Local ownership of project/program activities, with commitment for results and methods chosen to achieve them.
- b) Commitment of sufficient resources to maintain benefits/results, where applicable.
- c) Adequate institutional capacity and ongoing relevance to maintain results.
- d) Domestic policy and institutional environment conducive to maintenance of results.
- e) National and international environment conducive to maintenance of results.

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#### B. Success Factors

##### 5. Partnership

Is there shared responsibility and accountability for results?

- a) Active participation of local country partners, recipients and beneficiaries (including women) in project/program design, implementation and monitoring/evaluation.
- b) Clear definition, understanding and acceptance of roles and responsibilities of project/program participants.
- c) Partners in management have the appropriate authority and tools they need to make decisions and take action.
- d) New partnerships to achieve results.

##### 6. Appropriateness of Design

Is the design appropriate and based on sound understanding of local context? Were risks identified and assessed and strategies developed for ongoing monitoring? How were innovative and creative ideas and approaches explored to achieve results?

- a) Goals, objectives, results and performance indicators meet Agency's standards for Results-Based Management, were defined using participatory approaches, and are based on sound understanding of local context, including gender and the environment.

- b) Resources and services designed to effectively respond to conditions (including risks), needs or problems identified.
- c) Risk analysis in planning phase leads to strategies for ongoing monitoring during implementation.
- d) Experiment with new project/program design and procedures.
- e) Application of lessons from development experience, and lessons learned from innovations recorded, reported and disseminated.

#### 7. Appropriateness of Resource Utilization

Are suitable human, financial and physical resources involved and used well? Is financial information complete, accurate, and reliable? Are prudence and probity adequately exercised?

- a) Sound financial management policies and procedures, including budgeting, accounting and reporting systems and practices.
- b) Contracting and contract management in accordance with sound contracting policies and practices.
- c) Canada's capacity to provide goods and services required to achieve intended results.
- d) Good match between needs and knowledge, expertise and personal skills of all major project/program participants.
- e) Adequate management of project/program personnel and physical assets.

#### 8. Informed and Timely Action

Did we anticipate and respond to change based on adequate information? Did we take appropriate action to manage risks?

- a) Effective networks and processes to identify and assess important trends and events in the project/program environment.
- b) Effective monitoring and reporting systems for internal and external risks and appropriate and timely response to manage risks and opportunities.
- c) Adequate strategies and practices respond to the nature and level of internal and external risk to project/program funds and assets.
- d) Resources and services delivered in a manner that effectively responds to conditions, including risks, needs, opportunities or problems.



## Appendix B

### Participatory Evaluations

Without any meaningful participation by local stakeholders, evaluation results would be 'Canadian-driven'

If stakeholders have participated in the development of evaluation results, they are more likely to contribute to their implementation. Traditionally, evaluations tended to be managed with an outsider perspective, often giving little recognition to local expectations and the potential for stakeholder contributions. In effect, stakeholders were the objects of evaluations – rather than key participants. Beneficiaries, local organizations and governments in recipient countries were left without substantive roles.

CIDA's adoption of RBM has been instrumental in integrating direct stakeholder involvement in the building of sustainable results. RBM stresses the importance of meaningful stakeholder participation, starting with the design stage and continuing through implementation.

With participatory evaluations, key stakeholders can become integrally involved in:

- ⊙ Setting up frameworks for measuring and reporting on results:
  - What will be evaluated?
  - Who will be involved?
  - When activities will take place?
  - What methods will be used?
  - How findings will be consolidated and results shared?
- ⊙ Reflecting on progress, proposing solutions/directions to respond to issues/challenges, and
- ⊙ Helping with the implementation and sharing of evaluation results.

There is no definitive approach to participatory evaluations. Rather, each evaluation requires a unique response that addresses CIDA/stakeholder expectations, local context, the capacities/availability of key stakeholders, and limiting constraints (e.g. financial).

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### What is Involved

An evaluation is measured by not only what it recommends, but also by:

- ⊙ How the results were arrived at, and by
- ⊙ What benefits were realized with implementation.

The propensity for significant outcomes and impacts is increased when stakeholders are actively involved with the determination and application of evaluation results.

CIDA Evaluation Managers and evaluators alike should take the initiative to research what has been written and learned about participatory evaluations. Formal training may also be of value.

Ideally, participatory methods are incorporated into the investment at the outset (e.g. needs identification, implementation, monitoring, etc.). This facilitates working with key stakeholders when carrying out the evaluation. If this was not done, then it falls to the evaluators to engage stakeholders in the evaluation process.

CIDA Evaluation Managers make critical decisions around how an evaluation will be carried out. By focusing on the advantages of participatory evaluations and creating space for implementation during field visits, the first step is taken towards greater participation and the 'ownership' of results.

Below, we describe key steps for integrating stakeholder participation in the evaluation process:

#### Planning and Design

- ⊙ Determine how best to incorporate stakeholder involvement as an integral element in the evaluation
- ⊙ Identify key stakeholders (women and men), and familiarize them with the merits/workings of participatory evaluations
- ⊙ Assess the information needs of stakeholder groups/individuals (gauge their potential/level of commitment)

- ⊙ Formulate a framework/strategy for stakeholders' participation that clearly sets out expectations, priorities, activities, extent of involvement, responsibilities, etc.
- ⊙ Determine the cost associated with stakeholder involvement (specifying training, data collection/analysis, field work, transportation)
- ⊙ Decide how to monitor/document stakeholder participation activities
- ⊙ Reflect on, revise and refine evaluation strategies to ensure they incorporate methods and practices that have proven to be effective

#### Implementation

- ⊙ Organize logistics with communities and organizations beforehand, ensure that timing/purpose/expectations are clear and acceptable
- ⊙ Collect and analyze the information with stakeholders using participatory methods
- ⊙ Brainstorm solutions/actions with participating communities/organizations/individuals
- ⊙ Make decisions with the community about the implications of the analyzed information for the project and the stakeholders
- ⊙ Build on strengths and meet challenges together

#### Reporting/Sharing Results

- ⊙ Provide feedback on findings to stakeholders through pre-departure debriefings
- ⊙ Determine how findings will be presented (i.e. theatre, presentations, skits, video, written report)
- ⊙ Circulate and distribute reports (and other information to meet needs of the stakeholders)
- ⊙ Always ensure that stakeholders have copies of the information 'down to the grassroots level' (translations may be required)

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© Followup to determine if decision-making is being informed by evaluation results (i.e. what was learned)

© Celebrate what you have achieved

### Lessons

While we learn from every evaluation, the extent of that benefit is a function of how well the lessons are documented and ultimately shared. Participatory evaluations, being a relatively new phenomena, offer opportunities for shaping an inclusive approach to a wide range of developmental activities.

The increased costs of participatory activities are generally offset by the returns that can be realized over the longer term. Because they are a collaborative effort, participatory evaluations enhance the potential for sustainable results that will directly benefit program/project beneficiaries.

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### What Works

*Learn about the methods, get out there,  
build on what works, celebrate what you achieve*

The following suggestions may prove helpful:

### Changing Your Mind-Set

© Let go of your own preconceived ideas/viewpoints, build towards the participatory creation of useful, accurate results

© Accept the importance of 'handing over the stick' and developing a partnership with stakeholders that is mutually respectful and conducive to their participation

© Believe in the contribution that marginalized and/or illiterate people (who often best understand their environment) can make



- ⊙ Remain open to whatever participants put forward (don't set out 'knowing all the answers already')
- ⊙ Learn to trust – and work with – the wisdom of your stakeholder group

#### Setting the Foundations

- ⊙ The framework for stakeholder participation should be simple, affordable and sustainable given the human and financial resources available
- ⊙ Focus on how stakeholders can best contribute to the production of useful, meaningful evaluation results
- ⊙ Set out to remain aware of how the evaluation is progressing in order to meet deadlines
- ⊙ Rely on local resources, focus on training to build local capacities
- ⊙ All initiatives should complement ongoing monitoring/assessments (e.g. relationships)

#### Building Towards Success

- ⊙ While iterative strategies contribute to responsiveness and flexibility, innovation and experimentation in the field may enhance risk (set out contingencies to address such eventualities)
- ⊙ Provide stakeholders with a guided journey of discovery (that emphasizes the learning process)
- ⊙ Participatory activities should not become 'an end unto themselves' but valuable opportunities for reflection, analysis, problem-solving and action
- ⊙ Encourage friendly, open and frank discussions, while respecting differing opinions and individual sensitivities
- ⊙ Manage differences, 'move on' from individual agendas and sidestep conflicts to maintain a focus on evaluation results



## Appendix C

### Integrating Gender Equality

*Gender equality: "... must be considered as an integral part of all CIDA policies, programs and projects".*

*CIDA's "Policy on Gender Equality" (1999)*

CIDA is committed to the full and equal involvement of all people, regardless of sex, in the sustainable development of their communities and societies. Gender equality (GE) is one of the Agency's six key programming priorities and a crosscutting theme for all development activities. Achieving GE results, therefore, is fundamental to what CIDA does.

It is incumbent on the evaluation function to ensure that GE results are adequately targeted, assessed and reported on. This section informs the reader about: 1) what CIDA intends to achieve through its focus on GE, 2) what integrating GE into the evaluation process actually means, 3) how GE is successfully integrated into evaluations, and 4) what evaluation questions could be selected to properly align the results with the Agency's "Framework of Results and Key Success Factors".

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#### GE Programming Objectives

CIDA's GE Policy sets out programming objectives:

- ⊙ To advance women's equal participation with men as decision-makers in shaping the sustainable development of their societies
- ⊙ To support women and girls in the realization of their full human rights
- ⊙ To reduce gender inequalities in access to and control over the resources and benefits of development

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### What is GE Integration

Integrating GE into evaluations means assessing how an investment by the Agency has contributed to the achievement of results in improving the lives of women and men.

This involves:

- ⦿ Creating the right conditions to assess GE, such as:
  - Targeting evaluation questions
  - Allocating sufficient resources
  - Finding appropriately qualified and experienced evaluators
  - Defining relevant methodologies
- ⦿ Measuring and reporting on results relative to CIDA's GE Policy objectives and "Framework of Results and Key Success Factors", and
- ⦿ Identifying what was learned from the investment about improving GE so that interventions in the future can benefit from CIDA's development experiences.

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### Achieving GE Integration

Below, we provide helpful tips for addressing GE results during evaluation planning and design, implementation, reporting, and the sharing of results.

#### Terms of Reference

- ⦿ TORs should clearly articulate: 1) how GE is to be integrated into the evaluation (i.e. rationale, scope/focus, stakeholder involvement, accountabilities, responsibilities, deliverables), and 2) what CIDA expects to learn about GE results.
- ⦿ Clearly designate who is directly responsible for the assessment of GE results.
- ⦿ Key GE evaluation issues and questions should be based on input from female and male stakeholders.

- ⊙ Issues and questions should be linked to the achievement of CIDA's "Policy on Gender Equality" objectives and "Framework of Results and Key Success Factors". Avoid 'competing' issues.
- ⊙ Stakeholders should be described by sex, age, race, ethnicity and socio-economic group.

#### Resourcing

- ⊙ Ensure that adequate time and resources are allocated to address any additional effort required to assess GE results.
- ⊙ Determine if the planned level of effort is realistic, given the participatory approach and the need for in-depth consultations with stakeholders.

#### Evaluation Team

- ⊙ Ensure that the Evaluation Team Leader fully understands the importance of GE in CIDA's work, and has the capacity to effectively address GE in the evaluation findings, conclusions and recommendations.
- ⊙ Ensure that the evaluation team members have sufficient GE expertise. A gender specialist may be required in some cases to complement team strengths.

#### Evaluation Workplans

- ⊙ The evaluator should clearly address and elaborate on the GE expectations set out in the Agency's TOR (e.g. targeting of GE results).
- ⊙ Evaluation methodologies should provide for the equitable participation of female and male stakeholders throughout the evaluation process.
- ⊙ Ensure that GE sensitive indicators have been developed to measure both qualitative and quantitative results at all levels of the results chain.
- ⊙ Ensure that data sources support the collection of sex-disaggregated data.
- ⊙ Determine if the consultation sample is representative of investment reach (e.g. sex, age, ethnicity, race and socioeconomic groups).

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### Evaluation Report

- ⊙ The analysis of evaluation findings and conclusions should be based on sex-disaggregated data, and demonstrate how CIDA's investment has contributed to the achievement of GE results.
- ⊙ Identify the factors that contributed to the achievement of GE results.
- ⊙ Shape GE recommendations to facilitate effective decision-making.
- ⊙ GE lessons and good practices should be formulated to have strategic value, and be readily applicable to other development initiatives.

### Sharing Results

- ⊙ Develop a dissemination strategy that includes who will use the information on GE results and how best to present, package and share the information for each audience.
- ⊙ Ensure that sufficient resources are committed to effectively implement this strategy.

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### GE Evaluation Questions

Selecting from the evaluation questions set out below will support a GE focus, and provide for conformity with CIDA's "Policy on Gender Equality" and "Framework of Results and Key Success Factors".

#### Achievement of Results

- ⊙ To what extent has the investment: 1) advanced women's equal participation with men as decision-makers, 2) promoted the rights of women and girls, and 3) increased women's access to and control over development resources and benefits?
- ⊙ How do the results achieved for women and girls compare to those achieved for men and boys?
- ⊙ What are the unanticipated effects of the investment on women, men, girls and boys?

- ⊙ How have GE results contributed to the overall results of the investment?
- ⊙ To what extent has the investment improved the capacity of stakeholders to promote GE?

#### Cost-Effectiveness of Results

- ⊙ Is the relationship between costs and GE results reasonable?
- ⊙ Do more cost-effective models exist that would achieve the same results?

#### Relevance of Results

- ⊙ To what extent do the GE results contribute to poverty reduction?
- ⊙ To what extent are female and male stakeholders satisfied with the GE results?
- ⊙ To what extent are the GE results consistent with the positions/commitments on GE of key partners/stakeholders in recipient countries (e.g. governments, regional/local organizations)?
- ⊙ To what extent does the investment support the efforts of partners and other bodies promoting GE in this country?

#### Sustainability of Results

- ⊙ To what extent are the GE results likely to endure after CIDA involvement in the investment ends?
- ⊙ What factors in the investment's context present the greatest risks to sustainability? What can be done to minimize risk?

#### Partnership

- ⊙ To what extent did the investment promote the equitable participation of female and male stakeholders in decision-making?
- ⊙ To what extent did the investment contribute to the building of capacities to support GE in recipient countries?
- ⊙ Did women and girls face any particular constraints or obstacles in their participation? If so, how successful was the investment in addressing these constraints?

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- ⊙ To what extent did the investment involve women's organizations and organizations advocating for gender equality in its strategy to achieve GE results?

#### Appropriateness of Design

- ⊙ Was a detailed gender analysis conducted during investment design?
- ⊙ Was investment reach clearly identified and disaggregated by sex, age, race, ethnicity and socioeconomic group?
- ⊙ To what extent were women, girls, men and boys consulted with regard to their needs, priorities and the investment's development problem?
- ⊙ To what extent were the needs and priorities of women, girls, boys and men reflected in the investment solution and overall design?
- ⊙ Did the investment planning include a realistic strategy for promoting GE results?

#### Appropriateness of Resource Utilization

- ⊙ Were efforts made to ensure equal representation by men and women at all levels of investment management and technical assistance delivery?
- ⊙ How did the participation of women in investment management affect GE results?
- ⊙ How did the absence/inclusion of gender expertise in investment management affect GE results?

#### Informed and Timely Action

- ⊙ Did monitoring adequately measure progress in achieving GE results?
- ⊙ Were risks associated with GE and gender-based constraints adequately monitored?
- ⊙ Was there adequate understanding and acceptance of the need to promote GE among stakeholders? What more could the project have done to increase stakeholder commitment to CIDA's GE objectives?



## Appendix D

### Model Text: Terms of Reference

The 'model text' below offers a quick and easy way to prepare TORs. Practitioners can work from a standard for a fictitious evaluation that meets the Agency's essential requirements.

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#### Evaluation of the Stöndzi Gender Equality Fund

##### Terms of Reference

#### 1 Introduction

CIDA's "Performance Review Policy" calls for periodic, independent evaluations of the Agency's investments. The identification of results contributes to informed decision-making, fosters organizational learning, and promotes greater accountability and transparency.

The Stöndzi Gender Equality Fund Project will be evaluated to assess what results have been achieved, and what has been learned through this investment. The possibility of a second phase for this project was discussed at the Gender Fund Team meeting in September 2002. An evaluation was recommended at that time to help determine optimal strategies for project continuation.

Value added from this evaluation will result from the sharing of what is learned from this investment, and the development of more efficient and effective allocation strategies for downstream investments.

#### 2 Investment Profile

The Stöndzi Gender Equality Fund Project is directed towards enabling the women of Stöndzi to participate fully and equitably in the sustainable development of their societies. Individual projects are approved for funding capacity building, local development initiatives and training. The project focuses on enhancing the

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capacities of key civil society and governmental stakeholders to promote GE in all aspects of day-to-day life: economic, social and political. Through their empowerment and the accompanying ripple effect, results will accrue to other developmental priorities, principally the meeting of basic human needs and the pursuit of democracy and good governance.

Women's organizations are the main participants and beneficiaries of this project, however other organizations promoting GE can also benefit. Needs, specific objectives and expected results are identified in conjunction with local stakeholders from the government and civil society.

Project funds provide a quick and flexible response to local requests and priorities. The strategy for allocations is largely iterative, to achieve maximum results and accommodate changing dynamics. Disbursements encourage complementary and cumulative actions to advance women's interests and rights across diverse sectors and complex issues.

CIDA is the sole funding agent for this project. Total funding amounts to \$2.2 million over a four-year period extending from 1999 to 2002. Allocations are \$0.4 million in 1999; and \$0.6 million in each of the years 2000, 2001 and 2002. The average contribution is expected to be approximately \$30,000 per project.

The funds are managed through standardized systems, outlined in an operations manual, which is updated periodically. Three local coordinators act as fund administrators under contract. Allocations for project funding are approved by CIDA's resident Head of Aid.

As of December 31, 2001, \$1.5 million has funded 52 projects. Considerable effort has been expended in establishing operations and identifying needs, objectives and expected results. Initial expectations were reconfigured during a stakeholder workshop in May 1999 to identify realistic results that are achievable within the time frame and resource constraints.

Recognizing that gender equality will be a long-term process, all indications support continuation of this project for a second three or five year phase.

### 3 Scope and Focus

The Consultant will:

- ⊙ Assess progress made towards the achievement of results at the outcome and output levels
- ⊙ Determine if the results contribute to the Agency's overall goals of poverty reduction and sustainable development
- ⊙ Assess the reasonability of the relationship between project costs and results
- ⊙ Assess performance in terms of the relevance of results, sustainability, shared responsibility and accountability, appropriateness of design and resource allocation, and
- ⊙ Identify lessons and provide recommendations for guiding CIDA's gender equality policies and initiatives.

Elaboration on the factors to be addressed are provided in CIDA's "Framework of Results and Key Success Factors".

More specifically, the evaluation will focus on – but not be limited to – reporting on progress in achieving results relating to project outputs and outcomes as follows:

- ⊙ Has the project resulted in organizations being better positioned and equipped to champion gender issues?
- ⊙ To what extent have partnerships to promote gender issues been strengthened?
- ⊙ How have these partnerships contributed to the advancement of women?
- ⊙ Has there been an increase in the participation of 'gender sensitive women' in influential circles?
- ⊙ What has been achieved by locally funded initiatives?
- ⊙ To what extent has training resulted in gains in gender equality?
- ⊙ Have stakeholders been actively and meaningfully involved in project design, implementation, redesign and monitoring?

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#### 4 Stakeholder Involvement

Stakeholder participation is fundamental to CIDA evaluations. The Consultant is expected to conduct a participatory evaluation providing for active and meaningful involvement by investment partners, beneficiaries and other interested parties. Stakeholder participation is to be an integral component of evaluation design and planning; information collection; the development of findings; evaluation reporting; and results dissemination.

#### 5 Accountabilities and Responsibilities

CIDA's Evaluation Manager will represent the Agency during the evaluation.

The Evaluation Manager is responsible for:

- ⊙ Overall responsibility and accountability for the evaluation
- ⊙ Guidance throughout all phases of execution
- ⊙ Approval of all deliverables, and
- ⊙ Co-ordination of the Agency's internal review process.

The Consultant is responsible for: 1) conducting the evaluation; 2) the day-to-day management of operations; 3) regular progress reporting to CIDA's Evaluation Manager; 4) the development of results; and 5) the production of deliverables in accordance with contractual requirements. The Consultant will report to CIDA's Evaluation Manager.

#### 6 Evaluation Process

The evaluation will be carried out in conformity with the principles, standards and practices set out in the "CIDA Evaluation Guide".

##### 6.1 Evaluation Workplan

The Consultant will prepare an evaluation workplan to operationalize and direct the evaluation. The workplan will describe how the evaluation will be carried out, bringing refinements, specificity and elaboration to the terms of reference. It will be approved by CIDA's Evaluation Manager and act as the agreement between parties for how the evaluation will be conducted.

The evaluation workplan will address the following reporting elements:

- ⊙ Overview of Investment
- ⊙ Expectations of Evaluation
- ⊙ Roles and Responsibilities
- ⊙ Evaluation Methodology
- ⊙ Evaluation Framework
- ⊙ Information Collection and Analysis
- ⊙ Reporting
- ⊙ Work Scheduling

## 6.2 Field Mission

The evaluation will include a site visit to Stöndzi to consult with CIDA field personnel and project stakeholders; and to collect information in accordance with the requirements stipulated in the evaluation workplan. This mission is expected to be no longer than two weeks in duration. CIDA field personnel are to be briefed on arrival and before departure from the field.

## 6.3 Evaluation Report

The Consultant will prepare an evaluation report that describes the evaluation and puts forward the evaluator's findings, recommendations and lessons learned. The presentation of results is to be intrinsically linked to the evaluation issues, establishing a flow of logic development derived from the information collected.

Evaluation results are to bring a focus to the criteria set out in CIDA's "Framework of Results and Key Success Factors".

## 7 Deliverables

The Consultant will prepare: 1) an evaluation workplan; and 2) an evaluation report in accordance with standards identified in the "CIDA Evaluation Guide".

These deliverables are to be:

- ⊙ Prepared in English only, except for the final evaluation abstract/executive summary that will be submitted in both official languages and in Stöndzi
- ⊙ Submitted to CIDA electronically via e-mail and/or on diskette in Microsoft Word, and

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- © Submitted in hard copy format (specified number of copies).

All reports are to be submitted to CIDA's Evaluation Manager.

#### 7.1 Draft Evaluation Workplan

A draft workplan will be submitted within four weeks of the signing of the contract. Five copies in hard copy format are to be submitted.

#### 7.2 Final Evaluation Workplan

Within one week of receiving CIDA's comments on the draft workplan, the Consultant will produce a final evaluation workplan. Five copies in hard copy format are to be submitted.

#### 7.3 Draft Evaluation Report

The Consultant will submit a draft evaluation report for review by CIDA within four weeks of returning from mission. Ten copies in hard copy format are to be submitted.

#### 7.4 Final Evaluation Report

Within two weeks of receiving CIDA's comments on draft report, the Consultant will submit a final evaluation report, including an evaluation abstract/executive summary. Ten copies in hard copy format are to be submitted.

### 8 Evaluator Qualifications

The evaluation will be carried out by a team of two senior consultants and a GE specialist retained locally in Stöndzi. A Canadian who will lead the evaluation.

The Canadian consultant is expected to be:

- © A reliable and effective project manager with extensive experience in conducting evaluations and a proven record in delivering professional results
- © Fluent in English and Stöndzi
- © Fully acquainted with CIDA's Results-Based Management orientation and practices

- ⊙ A proficient practitioner of the Agency's GE policies and practices
- ⊙ Experienced in the region and/or the country

The local GE specialist should have a good working knowledge of gender issues locally, be fluent in English and Stöndzi and have experience with donor-funded programs targeting gender equality.

#### 9 Internal Cost Projection

The basis for payment and payment scheduling will be determined during contract negotiations. Options for method of payment include: 1) fixed-price, or 2) cost plus on a fixed per diem basis.

CIDA's projection for the 'level of effort' and the cost for the evaluation are set out below:

Projected Level of Effort		
Activity	Number of Days	
	<u>Canadian</u>	<u>Local</u>
Workplan preparation	12	2
Data collection/field work/travel-time	19	15
Debriefing, analysis, report preparation	18	13
Total:	49	30

Projected Cost			
Type of Cost	Cost		
	<u>Canadian</u>	<u>Local</u>	<u>Total</u>
Professional fees	\$31,850	\$7,500	\$39,350
Travel and other out-of-pocket expenses	\$10,000	\$2,500	\$12,500
Total:	\$41,850	\$10,000	\$51,850

Notes:

1. Canadian professional per diem of \$650. Local professional per diem of \$350.
2. Costs are exclusive of GST.

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## Appendix E

### Model Text: Evaluation Workplan

Below we set out an evaluation workplan for the fictitious 'Mubara Program' to guide practitioners in meeting CIDA's expectations. This text provides a standard that should be referred to section-by-section to ensure that workplans being prepared are consistent in terms of approach, content and the level of detail presented.

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#### Evaluation of the Mubara Country Program (1998–2002)

##### Evaluation Workplan

### 1 Program Overview

#### 1.1 Country Context

With the demise of the ruling military junta in the spring of 1996, Mubara's mostly peaceful transition to a democracy culminated with internationally sanctioned democratic elections in 1998. The change in government finally laid to rest the horrific conflict that resulted in so much human suffering, and the destruction of property and infrastructure. While ethnic and social cohesion remains fragile, progress is slowly being made in the easing of tensions.

Since 1998, Mubara development has been characterized by significant progress in achieving deep and fundamental structural reforms, the emergence of a vibrant and inclusive multi-party political system, and a continuing economic struggle that impacts most greatly on the country's most vulnerable people – women, and the poor and disadvantaged. Going forward, social development will likely become Mubara's greatest challenge, as new approaches are needed to reduce poverty and inequity – and improve health and education – albeit without any immediate prospects for significant new wealth generation.

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## 1.2 Objectives and Priorities

Canada implemented bilateral development cooperation programming in Mubara shortly after the first democratic elections were held in 1998. The overall objective of the program was to identify opportunities for CIDA to work with the recipient government and other donors in building the foundations and strengths that would facilitate transition during this difficult period. The Agency's investments supported sustainable development that led to poverty reduction and enhancements to the quality of life, with a focus on ensuring the meaningful participation of local communities and individuals. For the most part, the Agency functioned as a 'niche' donor within Mubara's overall development cooperation framework.

To this end, the Agency identified four programming priorities:

- ⊙ Governance: Support for constitutional development, and the restructuring and strengthening of government/public sector institutions at all levels
- ⊙ Human Resource Development: Support for improving accessibility to and quality of education and training
- ⊙ Civil Society: Support for the strengthening of the capacities of institutions and organizations within the general civil society, and
- ⊙ Economic Development: Support for general economic development with an emphasis on the establishment of broader-based economic participation, and the provision of appropriate Canadian technology and skills to improve Mubara's competitiveness.

## 1.3 CIDA Disbursements

From 1998 to 2002, the total CIDA program budget for Mubara amounted to \$59.0M and comprised 24 projects. Average annual disbursements for this period were \$11.8M a year and the average project value was \$2.5M. The Agency's annual disbursements progressively increased from \$5.5M in 1998, to \$8.0M in 1999, \$11.0M in 2000, \$16.5M in 2001 and \$18.0M in 2002.

Governance programming accounted for 39 percent of CIDA's total program budget, human resource development for 23 percent, economic development 20 percent, and civil society 18 percent. Of the total budget of \$59.0M, Africa and the Middle East Branch administered \$48.4M, and Canadian Partnership Branch \$10.6M.

#### 1.4 Reach (Beneficiaries)

Governance and human resource development projects tended to focus on national level initiatives at the outset, but now training and education projects in particular are being implemented at the provincial and local levels. Capacity building of NGOs typically involved community level participation, while the reach of initiatives championing social development was varied. Broad-based economic initiatives had a strong local orientation.

#### 1.5 Expected Results

CIDA's investments were predicated on the expected results set out during program/project planning. The following table provides examples of the types of results that were targeted at that time. More detailed qualitative and quantitative information may be found on the performance frameworks prepared for individual projects.

Priority	Expected Results
Governance	<ul style="list-style-type: none"> <li>• Sustainable reforms that contributed to constitutional development and public sector transformation</li> <li>• Improvements in the capacity of national and provincial government institutions to deliver services</li> </ul>
Human Resource Development	<ul style="list-style-type: none"> <li>• Advancements realized through the restructuring of the education sector (systems, mechanisms)</li> <li>• Improvements in the quality of and accessibility to education and training for all levels of society</li> </ul>
Civil Society	<ul style="list-style-type: none"> <li>• Improvements in the capacity of NGOs to perform contributing roles and the strengthening of their institutional sustainability</li> <li>• Achievements in social development and in influencing new policies, regulations and laws</li> </ul>
Economic Development	<ul style="list-style-type: none"> <li>• Gains realized through the provision of Canadian skills/ technologies</li> <li>• Increases in economic participation levels across society</li> </ul>

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## 2 Evaluation Profile

### 2.1 Reasons for the Evaluation

The Mubara National Treasury requested that bilateral donors involved in development cooperation activities in Mubara individually carry out evaluations of their respective programs. CIDA undertook this evaluation in response to this request, and to remain consistent with its commitment to perform systematic and timely evaluations of country programs to account for the management of allocated funds, and promote effective and efficient development cooperation.

### 2.2 Objectives

The evaluation of the CIDA “Mubara Country Program” (1998–2002) is to provide CIDA and the Mubara National Treasury with an independent and forward-looking evaluation of CIDA’s programming experience to determine what opportunities should be pursued in the future both bilaterally and within the community of international organizations to generate durable and credible value for targeted beneficiaries. What is learned is expected to play an instrumental role in shaping the new ‘Mubara–Canada Development Cooperation Strategy’ that is targeted for implementation on January 1, 2004. This Strategy is to: “...identify and exploit constructive opportunities for development cooperation that are well-suited to partnerships between Canadian and Mubaran organizations in providing a progressive, compassionate and valid response to Mubara’s pressing poverty reduction and sustainable development priorities”.

The key objectives of the evaluation are:

- ⊙ To assess the relevance of CIDA’s investments in responding to Mubara’s development cooperation needs and priorities, and the effectiveness of Agency-funded projects in achieving targeted results
- ⊙ To identify why and how successful approaches, strategies and practices worked – and which didn’t – drawing out key findings, lessons and good practices from CIDA’s programming experience
- ⊙ To bring forward programming opportunities that indicate the strongest potential for longer-term partnerships between Canadian and Mubaran organizations, and
- ⊙ To make recommendations that will focus the ‘Mubara–Canada Development Cooperation Strategy’ on what needs to be done to achieve targeted sustainable development objectives in Mubara.

### 2.3 Key Audiences

The primary clients for the evaluation report will be CIDA's Country Manager for Mubara and the Executive Director responsible for coordinating Canadian development cooperation within the Mubara National Treasury, the key individuals responsible for overseeing and collaborating on the development of the new 'Mubara–Canada Development Cooperation Strategy'.

CIDA relies on evaluations to promote more effective and efficient international development programming, and to enhance the Agency's capacities to demonstrate accountability and transparency to Parliamentarians and Canadians. Evaluation results will contribute to CIDA's Planning, Reporting and Accountability Structure (PRAS), which in turn is used to demonstrate how the Agency is performing to a number of key audiences. Making the Evaluation Summary accessible on CIDA's Corporate Memory System, and available on Performance Review Branch's Website will promote institutional learning. The sharing of results will inform other key Canadian and Mubaran stakeholders, and other donors about what was achieved by and learned from the program.

### 2.4 Stakeholder Analysis

#### *Government of Mubara*

The evaluation is to be carried out as a collaborative partnership between CIDA and the Government of Mubara. To date, officials from both entities have worked together to develop the Terms of Reference and select the consultants responsible for carrying out the evaluation. This collaboration will continue in the finalizing of the evaluation report and the disseminating of the evaluation results. Group meetings are to be held with Mubara government officials, implementing partners, donors and other stakeholders to discuss and validate the evaluation's findings, conclusions and recommendations.

CIDA's programming priorities stem from those set out in 'Mubara's National Development Policy', ensuring that the projects that the Agency is involved with are consistently aligned with the needs for development cooperation targeted by the government. In order to respond to Mubara's pressing needs in 1998 and, in the absence early on of any indication of what areas of development should be accorded the highest priority, the Agency has emphasized governance and human resource development projects. This approach, as it turned out, may have conflicted with the government's emerging focus on economic development.

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The evaluation will address (amongst other issues) how the program has responded to Mubara's development challenges, priorities and objectives, and if there is consistency with the country's needs. A collaborative approach will be taken to determine what needs to be done in the future to achieve poverty reduction and sustainable development.

#### *Canadian Interests*

CIDA's "Framework of Results and Key Success Factors" calls for consistency with Canadian foreign policy, and consideration of the potential benefits to Canada.

To this end:

- ⊙ During the evaluation consultations, Canadian stakeholders (Canadian High Commissioner, DFAIT, businesses, civil society organizations, etc.) will be given ample opportunity to contribute to the development of the evaluation results, and assist in the formulation of the 'Mubara–Canada Development Cooperation Strategy'
- ⊙ The establishment of partnerships between Canadian and Mubaran organizations will be addressed in the evaluation report, and
- ⊙ Canadian consultants are responsible for carrying out the day-to-day management of the evaluation.

#### *Other Mubaran Stakeholders*

The evaluation will emphasize the participation of all involved Mubaran stakeholders, including the mutual sharing of experiences at all levels. Civil society organizations, businesses and other local beneficiaries will participate in the project and focus group consultations. Mubaran consultants are to be actively involved in conducting all aspects of the evaluation.

The evaluation report will identify:

- ⊙ To what extent, program results have contributed to poverty reduction and sustainable development, and
- ⊙ How the quality of life of the beneficiaries has been enhanced.

## 2.5 Approach

CIDA's 'Mubara Country Program' (1998–2002) represents a multi-faceted programming initiative that concentrated on two of the Agency's six programming priorities (e.g. basic human needs (education); human rights, democracy and good governance) and involved two programming channels (e.g. bilateral, Canadian Partnership).

The evaluation will comprise:

- ⊙ A literature and documentation review of materials available at HQs and within the field
- ⊙ Assessments of a selected sample of 'Mubara Country Program' projects
- ⊙ Key informant interviews with Mubaran government officials, representatives of other donor agencies, thematic experts, Canadian stakeholders and CIDA managers, and
- ⊙ Focus group sessions with key stakeholders (e.g. beneficiaries) and Canadian stakeholders.

The Evaluation Team will carry out a three week mission to Mubara in September 2003.

The evaluation will build a macro-level picture of results, at the outcome and impact levels, focusing on four key thematic areas: Governance, Human Resource Development, Civil Society, and Economic Development. While the 'Mubara Country Program' during this period did not include any explicit gender equality or environment projects, these themes will be addressed as crosscutting considerations. CIDA's "Policy on Gender Equality (1999)" requires that gender equality "... must be considered as an integral part of all CIDA policies, programs and projects". To this end, sex disaggregated data will be collected and analyzed throughout the evaluation (based on availability).

CIDA's "Framework of Results and Key Success Factors" will guide the identification, analysis and presentation of results. While the achievement of results, their relevance, and sustainability will be addressed during project sampling, cost-effectiveness will not be assessed. The evaluation will examine how partnerships have performed, the appropriateness of design, and informed and timely action in responding to change. Resource utilization issues will be addressed at the program level as appropriate.

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### 3 Evaluation Methodology

The methodology adopted for this evaluation is designed to meet the requirements and expectations set out for the evaluation in CIDA's Terms of Reference. These Terms of Reference were arrived at after an extensive decision-making process that involved Agency officials, recipient country representatives, and other key stakeholders.

The approach is considered to be credible and appropriate for identifying the results attributable to the Mubara program, given the range of information that is currently available, and the limiting time and resource constraints. Consultation sessions, particularly with the key informant and focus groups, will provide opportunities for gathering strategic information that can be used to inform the new 'Mubara-Canada Development Cooperation Strategy'.

#### 3.1 Evaluation Framework

The evaluation framework systemizes the methodology, identifying the issues to be addressed, sub-questions that provide elaboration; and the performance indicators (variables to be considered), sources of information and method of information collection for each issue. The evaluation issues reflect what was set out in CIDA's Terms of Reference, but have now been simplified and re-organized to be current with the Agency's present expectations. The evaluation framework is attached as Appendix E1.

CIDA's Terms of Reference and the evaluation framework both contain retrospective issues that address historical performance, as well as forward-looking issues that will be used to inform future directions. Forward-looking issues do not relate to the achievement of results and, therefore, are not assigned performance indicators.

#### 3.2 Literature and Documentation Review

The process of identifying and reviewing available country, program, and project level documents began with the awarding of the contract and helped prepare the foundations for this workplan. To date, an emphasis was brought to understanding and documenting the evolving social, economic, and political context from 1998 to 2002, with a focus on the developments relating to the four programming foci (Governance, Human Resource Development, Civil Society, Economic Development). Research has also been carried out on Mubara's Official Development Assistance management policies, processes, and procedures.



This review will continue during the implementation period. More detailed information will be collected on specific key projects to address the responsiveness and relevance of CIDA programming to Mubara's development challenges and priorities. In addition, further efforts will provide a better understanding of the context for carrying out development cooperation initiatives, previous management of ODA funding, and the potential for future cooperative undertakings.

### 3.3 Project Sample Assessment

CIDA staff and the Evaluation Team agreed to the following key criteria to select a sample of projects that appropriately represented CIDA's involvement in Mubara development cooperation for the period from 1998 to 2002:

- ⊙ Coverage of thematic priorities, and the Agency's channels of delivery
- ⊙ Strategic nature of the project within the overall investment portfolio and the 'value' of results achieved to date
- ⊙ Financial significance, and
- ⊙ Potential for identifying lessons and good practices.

Eight sample projects were selected with a total value of \$31.5M, representing 53.4 percent of the total disbursements of \$59.0M. Of the sample, governance projects accounted for \$12.0M, human resource development \$7.5M, economic development \$7.0M, and civil society \$5.0M. Africa and Middle East Branch administered sampled projects with a total value of \$23.5M (75 percent), and Canadian Partnership Branch \$8.0M (25 percent).

The selected projects are identified below:

Priority	Value	Administered by
<i>Governance</i>		
Constitutional and Legal Strengthening Project (1998-2000)	\$4.5M	AMEB
Justice Linkage Project (1997-2001)	\$3.5M	AMEB
Governance and Policy Support Project (1999-2002)	\$4.0M	AMEB
<i>Human Resource Development</i>		
Teacher Development Project (2001-2002)	\$3.5M	AMEB
National Education Standards Project (1999-2001)	\$4.0M	AMEB

Priority	Value	Administered by
Economic Development		
Czabo Mining Project (1998-2000)	\$3.0M	CBP
Strategic Information Technology Project (2000-2002)	\$4.0M	AMEB
Civil Society		
Oxfam Canada Program (1998-2002)	\$5.0M	CPB

All available project documentation will be reviewed for each of these projects (e.g. project approval documents, logical framework analyses, results statements, performance reports, evaluations, project closing reports). Then a series of interviews will be carried out with the CIDA project officer, the implementing agency or the partner organization staff in Canada and project staff in Mubara, and the project beneficiaries and stakeholders. These interviews will focus on each project individually. In total, approximately 40 interviews are planned with a wide range of stakeholders and program participants. An interview guide for these consultation sessions can be found as Appendix E2.

In-country site visits will be carried out for the eight projects to provide opportunities to observe projects that have been renewed and are still ongoing, collect 'on the ground' information about project results and carry out in-depth consultations with project implementers and beneficiaries. If possible, field level discussions may also comprise mini-workshops with implementers and beneficiaries.

### 3.4 Key Informant Interviews

Key informant interviews will be conducted to obtain qualitative information on the evaluation issues. These interviews will provide in-depth information that will allow the Evaluation Team to address the program's relevance, responsiveness, and the sustainability of results.

In addition, these sessions will address:

- ⊙ The political, social and economic context (and overriding dynamic) that characterized Mubara from 1998 to 2002
- ⊙ The opportunities and constraints that define the landscape for downstream development co-operation activities, and

© Requirements for the new ‘Mubara–Canada Development Cooperation Strategy’.

In total, some 20 interviews will be conducted with: 1) Mubaran government officials involved in ODA and/or with thematic-specific experience, 2) experienced representatives from other donor agencies, 3) thematic experts, and 4) Canadian Stakeholders (e.g. Canadian High Commissioner, DFAIT, businesses, civil society organizations, CIDA managers from the program branches, both from HQs and post staffs).

An interview guide for the key informant sessions is attached as Appendix E3. Respondents will be asked questions about the historical performance of CIDA programming in Mubara and forward-looking questions that will be useful for developing the ‘Mubara–Canada Development Cooperation Strategy’. All questions have been designed to be open-ended in order to gather perceptions, observations, options and knowledge of respondents. The first interviews will serve as pre-tests and the guides will be adjusted if so required.

The Canadian consultants will conduct all interviews of respondents residing in Canada, while those to be carried out in Mubara will be conducted by the Canadian consultants in tandem with the Mubaran-based consultants. For those respondents living in Mubara outside of the main urban centers whose communities will not be visited during the field visits, transportation costs to meetings will be covered or a telephone interview will be arranged. Respondents located in the National Capital Region will be interviewed in person, while respondents in other Canadian locations will be interviewed over the phone. To the degree possible, respondents will be e-mailed the interview guide in advance. Each interview will last between 20 and 45 minutes.

### 3.5 Focus Groups

Up to two focus group sessions are planned:

- © The first session will be held towards the end of the site visit in Mubara with a group of 10–15 individuals representing the key stakeholder groups. The focus will be both retrospective and forward-looking. Some preliminary results of the evaluation will be presented to the group.
- © The second session would be held in Canada with key Canadian stakeholders. The final results of the evaluation would be presented and discussed with the objective of informing the new ‘Mubara–Canada Development Cooperation Strategy’.

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### 3.6 Additional Analyses

The reference points used to measure responsiveness with Mubara's development policy framework will be ODA Guidelines, annual budgets, annual Presidential addresses, etc. To gain a deeper understanding of Mubara's development goals, the Evaluation Team will use the documentary and interview data gathered to construct a comprehensive map of national priorities. A focus will be brought to identifying areas where the alignment of CIDA's programming could be strengthened.

Information analysis will also include the following initiatives:

- ◎ Major context changes in Mubara in general and in the four themes in particular will be presented in the form of background papers. Interviews with the key informants will play a crucial role in this regard.
- ◎ The Evaluation Team will identify areas where the Canada – Mubara relationship can move beyond traditional development cooperation activities to leverage longer term institutional relationships and partnerships that utilize complementary strengths to be self-sustaining.

The Evaluation Team will hold a consultation session to refine the preliminary findings and development of conclusions and recommendations. Following the field mission the team will meet in Ottawa with key Canadian stakeholders (with teleconferencing to allow for the participation of Mubaran team members) to synthesize the overall results and develop a set of preliminary findings structured around the evaluation issues. These preliminary findings will then be the subject for a focus group with key CIDA program staff. The focus group will be used to validate and refine preliminary evaluation findings and to identify lessons, conclusions, and recommendations applicable to the development of the 'Mubara–Canada Development Cooperation Strategy'.

### 3.7 Challenges

The macro, country-level perspective for this evaluation presents several challenges that likely would not be encountered for a project level-evaluation, including:

#### *Attribution*

At an aggregate program or theme level the ability to attribute results at a macro level to CIDA's investment is more difficult than at the project level. CIDA's Performance Review Branch Guidelines for developing evaluation workplans calls

for a methodology that "...directly ties results to the investments made thereby eliminating other explanations". However when aggregating project results for a particular theme over seven years, it is methodologically difficult to directly tie those results to the investment. To address the issue of attribution the evaluation will tie aggregate results to the investment to the extent possible and include reference to external factors influencing those results areas as appropriate. This will present an accurate picture of what has been achieved while being explicit about the other major influential factors.

#### *Efficiency*

There are several references to efficiency in the Terms of Reference and in CIDA's "Framework of Results and Key Success Factors". While difficult, it is possible to make some pronouncements on efficiency when evaluating at a project level, depending on the type of project activities and the financial data available. However when undertaking a country program level review where there have been many different types of investments in a wide range of areas, determining efficiency at a macro level would be extremely difficult and time consuming (if not impossible), with questionable results. As such the evaluation will not directly address issues of the efficiency of the Canada–Mubara Program.

#### *Availability of Key Informants*

Some of the projects selected for assessment have been closed for some time. Locating key informants and arranging interviews may be difficult, especially in Mubara. To address this issue, the Evaluation Team will first concentrate on locating Canadian key informants who will be asked to provide the names (and contact information) of key informants in Mubara.

## 4 Accountabilities and Responsibilities

CIDA's Evaluation Manager (from Performance and Knowledge Management Branch) will lead the evaluation. The Evaluation Team is to comprise two Canadian consultants and two consultants from Mubara. The Evaluation Team Leader (Canadian) reports to the Evaluation Manager. The involvement of local beneficiaries during the field trip will augment the evaluation's reliance on stakeholders and its reflection of their interests and assessments. Bios for each evaluation team member can be found in Appendix E4.

The following table outlines the main accountabilities and responsibilities of key individuals carrying out the subject evaluation:

Individual	Accountabilities	Responsibilities
Evaluation Manager, Performance and Knowledge Management Branch	<ul style="list-style-type: none"> <li>• Delivery of the evaluation</li> <li>• Conduct of the evaluation (appropriateness of design, resource utilization, etc.)</li> <li>• Value realized (usefulness, credibility of results, etc.)</li> <li>• Compliance with Treasury Board, Agency and professional standards</li> <li>• Adequate resourcing</li> </ul>	<ul style="list-style-type: none"> <li>• Guiding the evaluation</li> <li>• Overseeing contract negotiations</li> <li>• Providing advice on performance management approaches, techniques, practices</li> <li>• Providing technical support (as required)</li> <li>• Ensuring that contractual requirements are met</li> <li>• Monitoring the implementation of findings, recommendations, lessons, good practices</li> <li>• Approving all deliverables (progress reports, final evaluation report)</li> </ul>
Country Manager, CIDA and the Executive Director, Mubara National Treasury	<ul style="list-style-type: none"> <li>• Representing the Agency and the Mubaran program accurately (CIDA Country Manager only)</li> <li>• Implementing recommendations (as appropriate)</li> </ul>	<ul style="list-style-type: none"> <li>• Commenting on deliverables (progress reports, final evaluation report)</li> <li>• Facilitating access to key documentation and key informants</li> <li>• Providing senior management's perspectives on key issues</li> <li>• Overseeing the sharing of results with partners, donors, stakeholders, etc.</li> </ul>
Canadian Consultants <ul style="list-style-type: none"> <li>• Evaluation Team Leader</li> <li>• Senior Evaluator</li> </ul>	<ul style="list-style-type: none"> <li>• Producing the evaluation report</li> <li>• Meeting professional and ethical standards</li> <li>• Meaningful stakeholder involvement</li> </ul>	<ul style="list-style-type: none"> <li>• Planning, scoping, conducting the evaluation</li> <li>• Carrying out the day-to-day management of operations/activities</li> <li>• Informing CIDA's Evaluation Manager about developments, including regular progress reporting</li> </ul>

Individual	Accountabilities	Responsibilities
		<ul style="list-style-type: none"> <li>• Managing the work of the local Mubaran consultants</li> <li>• Conducting interviews in Canada and leading interviews in Mubara (when appropriate)</li> <li>• Producing deliverables (as per contractual requirements)</li> </ul>
<p>Mubaran Consultants</p> <ul style="list-style-type: none"> <li>• Senior Evaluator</li> <li>• Evaluator</li> </ul>	<ul style="list-style-type: none"> <li>• Contributing to the evaluation</li> <li>• Meeting professional and ethical standards</li> <li>• Meaningful stakeholder involvement</li> </ul>	<ul style="list-style-type: none"> <li>• Developing thematic background papers</li> <li>• Advising contact lists for key informant interviews and focus groups</li> <li>• Arranging team logistics for field trip (transportation, accommodations, meetings, etc.)</li> <li>• Carrying out file and document reviews (in both Canada and Mubara)</li> <li>• Conducting/participating in key informant and project-specific interviews</li> <li>• Assisting in the preparation of the draft and final reports</li> <li>• Participating in focus group session in Mubara</li> </ul>

## 5 Work Scheduling

### 5.1 Time Frames for Delivery

The following schedule sets out time frames and delivery dates to guide the execution of the evaluation:

Activities/Deliverables	Time Frames (delivery dates)
Phase I: Pre-Mission (July 28-August 28)	
HQ document and file review	July 28-Aug 15
Preparation of thematic background papers	Aug 15
Project interviews (Canada)	July 28-Aug 28
Key informant interviews (Canada)	July 28-Aug 28
Finalization of field trip logistics	Aug 7
Phase II: Field Trip (September 2-24)	
Briefing sessions	Sept 2-3
Site visits/project interviews (Mubara)	Sept 4-18
Key informant interviews (Mubara)	Sept 4-18
Focus Group I (Mubara)	Sept 19-20
Ongoing report preparation	Sept 4-22
Debriefing sessions	Sept 23-24
Phase III: Evaluation Report (October 1-November 15)	
Focus Group II (Canada)	Oct 1-2
Report preparation	Oct 1-20
Submission of first draft	Oct 22
Delivery of final evaluation report	Nov 15



## 5.2 Level of Effort

The following table provides an indication of how Evaluation Team members will be deployed throughout evaluation delivery, and the estimated number of days of their involvement in the completion of specified tasks and/or activities:

Tasks/Deliverables	Level of Effort (no. of days)				Total
	ETLC	SEC	SEM	EEM	
<b>Phase I: Pre-Mission (July 28-August 28)</b>					
HQ document and file review	1	5	-	-	6
Preparation of thematic background papers	1	1	3	3	8
Project interviews (Canada)	3	6	-	-	9
Key informant interviews (Canada)	3	6	4	-	13
Finalization of field trip logistics	1	1	3	3	8
CIDA briefing (Canada)	1	1	-	-	2
<b>Phase II: Field Trip (September 2-24)</b>					
Briefing sessions (Mubara)	1	1	1	1	4
Site visits/project interviews (Mubara)	5	5	8	8	26
Key informant interviews (Mubara)	3	6	5	5	19
Focus Group I (Mubara)	2	2	3	3	10
Ongoing report preparation	2	4	4	4	14
Debriefing sessions (Mubara)	1	1	1	1	4
<b>Phase III: Evaluation Report (October 1-November 15)</b>					
CIDA briefing (Canada)	1	1	-	-	2
Focus Group II (Canada)	2	3	3	3	11
Report preparation	3	7	7	7	24
Submission of first draft	2	1	-	-	3
Delivery of final evaluation report	3	3	2	2	10
<b>Total:</b>	<b>35</b>	<b>54</b>	<b>44</b>	<b>40</b>	<b>173</b>

### Legend

ETLC	Evaluation Team Leader (Canadian)
SEC	Senior Evaluator (Canadian)
SEM	Senior Evaluator (Mubaran)
EEM	Evaluator (Mubaran)

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## 6 Reporting Requirements

The Evaluation Team Leader will: 1) provide monthly progress reports to CIDA's Evaluation Manager, and 2) will keep the Evaluation Manager informed of any developments and/or issues that require immediate attention without delay.

The Canadian and Mubaran consultants will provide a verbal briefing and debriefing to the appropriate staff of the Canadian High Commission upon arrival and prior to departure from Mubara. The Canadian consultants will provide a verbal briefing and debriefing to the appropriate CIDA staff at headquarters, prior to and upon return from the field mission.

The Evaluation Team Leader will submit a draft evaluation report to CIDA's Country Manager and the Executive Director, Mubara National Treasury within four weeks of returning from mission. Eight copies in hard copy format will be provided to each office. Within two weeks of receiving comments on the draft report, the Evaluation Team Leader will submit ten hard copies of the final evaluation to both CIDA's Country Manager and the Executive Director, Mubara National Treasury.

The final report will be prepared in English only, with the executive summary being made available in both official languages. The executive summary in both French and English will be prepared as pdf.docs for loading on CIDA's 'Entrenous' and public accessible Websites.

A draft outline for the evaluation report follows:

Section	Addressing
Executive Summary	<ul style="list-style-type: none"><li>• Introduction</li><li>• About this evaluation</li><li>• Key contextual factors</li><li>• Program profile</li><li>• Summary of findings (overview, by theme)</li><li>• Main conclusions</li><li>• Key recommendations</li></ul>
Introduction	<ul style="list-style-type: none"><li>• Purpose of the report</li><li>• Key audiences</li><li>• Scope of the program</li><li>• Scope of the evaluation</li><li>• Evaluation team</li></ul>

Section	Addressing
Program Profile	<ul style="list-style-type: none"> <li>• Development context (economic, social, cultural, political)</li> <li>• Objectives, role, organization of the program</li> <li>• Linkages to sustainable development, poverty reduction, programming priorities &amp; objectives</li> <li>• Current status (outlook, milestones to date, etc.)</li> <li>• Financial resourcing</li> <li>• Stakeholder participation (to date)</li> <li>• Obstacles (affecting performance)</li> </ul>
Evaluation Profile	<ul style="list-style-type: none"> <li>• Reasons for the evaluation</li> <li>• Objectives</li> <li>• Scope</li> <li>• Issues, questions, performance indicators, information sources (evaluation framework)</li> <li>• Methodology (activities, analytical methods, limitations, etc.)</li> <li>• Stakeholder participation</li> <li>• Sites visited (itinerary)</li> </ul>
Evaluation Findings	<ul style="list-style-type: none"> <li>• General overview</li> <li>• Governance</li> <li>• Human Resource Development</li> <li>• Civil Society</li> <li>• Economic Development</li> <li>• Partnerships</li> <li>• Gender Equality</li> <li>• Environment</li> </ul>
Conclusions	<ul style="list-style-type: none"> <li>• General overview</li> <li>• Governance</li> <li>• Human Resource Development</li> <li>• Civil Society</li> <li>• Economic Development</li> </ul>
Recommendations	
Lessons	
Good Practices	
Appendices	



## Appendix E1

## EVALUATION FRAMEWORK

## A – Development Results and Success Factors

Issues	Sub-Questions	Performance Indicators/ Variables to be Considered	Sources of Information	Information Collection
1 What progress was made towards the achievement of results at the output, outcome and impact levels?	<p>To what extent did actual results contribute to the planned, targeted results?</p> <p>What unintended results, if any, were attributable to CIDA's investment (both positive and negative)?</p>	<ul style="list-style-type: none"> <li>• <b>Governance:</b> Evidence of improved capabilities of parliamentary, judiciary and other public service institutions to deliver quality services; constitutional reforms; public sector transformation</li> <li>• <b>Human Resource Development:</b> Evidence of contributions to restructuring of education sector (e.g. policy making, service delivery, curriculum development), improved standards, equitable access by all levels of society</li> <li>• <b>Civil Society:</b> Evidence of capacity building, empowerment and improved sustainability of civil society organizations, number of organizations strengthened</li> <li>• <b>Economic Development:</b> Evidence of enhancements of trade and investment linkages, skills and technology development, small and medium business support, number of joint ventures attributed to program</li> <li>• <b>Gender Equality:</b> Evidence of advancements in women's equal participation as decision-makers, women's rights, women's access to and control over resources/benefits</li> </ul>	<ul style="list-style-type: none"> <li>• Mubaran government officials</li> <li>• Beneficiaries</li> <li>• Civil society organizations</li> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Canadian High Commissioner, DFAIT</li> <li>• Implementing agency, partner organization staffs</li> <li>• Experts from other donor agencies</li> <li>• Thematic experts</li> <li>• Country, program, project level documents</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Project interviews</li> <li>• Key informant interviews</li> <li>• Focus groups</li> <li>• Site visits</li> </ul>

Issues	Sub-Questions	Performance Indicators/ Variables to be Considered	Sources of Information	Information Collection
2 To what extent did these results contribute to poverty reduction and sustainable development?	<p>Were beneficiaries clearly identified and targeted for benefits throughout implementation?</p> <p>How was the quality of life of beneficiaries enhanced?</p> <p>What contributions were made to equitable and environmentally sustainable growth?</p>	<ul style="list-style-type: none"> <li>• Evidence of improved economic means and prospects, capacities for being self-sustaining, empowerment, self-awareness</li> <li>• Evidence of investments attributable to program, contributions to improved business development, focus on sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• Mubaran government officials</li> <li>• Beneficiaries</li> <li>• Civil society organizations</li> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Canadian High Commissioner, DFAIT</li> <li>• Implementing agency, partner organization staffs</li> <li>• Experts from other donor agencies</li> <li>• Country, program, project level documents</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Project interviews</li> <li>• Key informant interviews</li> <li>• Site visits</li> </ul>
3 Has the program been responsive to Mubara's development challenges, priorities and objectives?	Did CIDA's investments make sense in terms of meeting the challenges taken on?	<ul style="list-style-type: none"> <li>• Ability to address the real needs of targeted beneficiaries</li> <li>• Degree to which CIDA programming is aligned with the priorities of the Mubaran government</li> <li>• Consistency with CIDA's policies and priorities, Canadian foreign policy</li> <li>• Potential benefits to Canada</li> </ul>	<ul style="list-style-type: none"> <li>• Mubaran government officials</li> <li>• Beneficiaries</li> <li>• Civil society organizations</li> <li>• CIDA project officers and staffs, program branch managers</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Project interviews</li> <li>• Key informant interviews</li> <li>• Site visits</li> </ul>

Issues	Sub-Questions	Performance Indicators/ Variables to be Considered	Sources of Information	Information Collection
	<p>Was there consistency with the needs and priorities of Mubara?</p> <p>Were Canadian interests adequately addressed?</p> <p>Were efforts being coordinated with other developmental initiatives?</p>		<ul style="list-style-type: none"> <li>• Canadian High Commissioner, DFAIT</li> <li>• Implementing agency, partner organization staffs</li> <li>• Experts from other donor agencies</li> <li>• Country, program, project level documents</li> </ul>	
4 To what extent will the results and benefits continue after CIDA's involvement ends?	How did CIDA programming contribute to the sustainability of results?	<ul style="list-style-type: none"> <li>• Extent of local ownership</li> <li>• Commitment of adequate resources</li> <li>• Institutional capacity building</li> <li>• Conduciveness of international/national environment (e.g. domestic policies)</li> <li>• Evidence of improved economic means and prospects, capacities for being self-sustaining, empowerment, self-awareness</li> <li>• Evidence of investments attributable to program, contributions to improved business development, focus on sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• Mubaran government officials</li> <li>• Beneficiaries</li> <li>• Civil society organizations</li> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Canadian High Commissioner, DFAIT</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Project interviews</li> <li>• Key informant interviews</li> <li>• Site visits</li> </ul>

Issues	Sub-Questions	Performance Indicators/ Variables to be Considered	Sources of Information	Information Collection
5 To what extent have partnerships and/or linkages between institutions and organizations been encouraged and supported?	<p>What partnership and/or linkages were facilitated?</p> <p>What methods were successful?</p>	<ul style="list-style-type: none"> <li>• Evidence of partnerships, networks, shared initiatives, regional meetings, electronic chat groups, etc.</li> <li>• Evidence of project collaboration</li> <li>• Evidence of working groups</li> <li>• Evidence of leveraging of ODA funding</li> </ul>	<ul style="list-style-type: none"> <li>• Mubaran government officials</li> <li>• Civil society organizations</li> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Implementing agency, partner organization staffs</li> <li>• Country, program, project level documents</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Project interviews</li> <li>• Key informant interviews</li> <li>• Focus groups</li> <li>• Site visits</li> </ul>
6 Were management structures effective in responding to ongoing challenges and in promoting creativity and innovation?	<p>What were the strengths and weaknesses of management structures?</p> <p>To what extent did CIDA develop, encourage and support new approaches and practices?</p>	<ul style="list-style-type: none"> <li>• Evidence of effective partnership relationships, result-based management, effective risk management</li> <li>• Evidence of sensitivity to local contexts</li> <li>• Evidence of clearly understood management accountabilities and responsibilities</li> <li>• Degree of stakeholder participation</li> <li>• Success of systems in responding to change</li> <li>• Application of lessons</li> </ul>	<ul style="list-style-type: none"> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Implementing agency, partner organization staffs</li> <li>• Country, program, project level documents</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Project interviews</li> <li>• Key informant interviews</li> <li>• Focus groups</li> <li>• Site visits</li> </ul>



Issues	Sub-Questions	Performance Indicators/ Variables to be Considered	Sources of Information	Information Collection
7 Were human, financial and physical resources used appropriately and financial information accurately and adequately maintained?	<p>Were resource levels adequate?</p> <p>Were the accounting and financial systems adequate for effective program management?</p>	<ul style="list-style-type: none"> <li>• Evidence of resource adequacy at the project level to meet the requirements set out in planning</li> <li>• Evidence of sound financial management practices, contracting management</li> <li>• Evidence of prudence and probity being appropriately exercised</li> </ul>	<ul style="list-style-type: none"> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Canadian High Commissioner, DFAIT</li> <li>• Implementing agency, partner organization staffs</li> <li>• Country, program, project level documents</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Project interviews</li> <li>• Key informant interviews</li> <li>• Focus groups</li> </ul>
8 Did CIDA anticipate and respond to change based on adequate information?	<p>Were there appropriate and adequate information systems in place to identify emerging risk, developing issues, and project performance levels?</p> <p>Was there effective sharing of information?</p>	<ul style="list-style-type: none"> <li>• Number and nature of systems in place</li> <li>• Evidence that systems function and are used effectively</li> <li>• Evidence of timeliness of using information to manage effectively, appropriateness of actions taken</li> <li>• Evidence of systems in place to share information with recipient ministries, civil society organizations, partners, other donors, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Canadian High Commissioner, DFAIT</li> <li>• Implementing agency, partner organization staffs</li> <li>• Country, program, project level documents</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Project interviews</li> <li>• Key informant interviews</li> <li>• Focus groups</li> <li>• Site visits</li> </ul>

## B – Future Directions

Issues	Sub-Questions	Sources of Information	Information Collection
1 What needs to be done to achieve poverty reduction and sustainable development objectives in Mubara?	<p>What foci should be brought to donor funding?</p> <p>How should development cooperation be carried out to best advantage?</p> <p>What are the core constraints to realizing such development cooperation opportunities? How should these constraints be overcome?</p>	<ul style="list-style-type: none"> <li>• Mubaran government officials</li> <li>• Civil society organizations</li> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Canadian High Commissioner, DFAIT</li> <li>• Implementing agency, partner organization staffs</li> </ul>	<ul style="list-style-type: none"> <li>• Key informant interviews</li> <li>• Focus groups</li> </ul>
2 What was learned from the Mubara Country Program that could strengthen the Mubara-Canada Development Cooperation Strategy's' capacity to respond to development challenges, priorities and objectives?	<p>How should CIDA programming be structured?</p> <p>What development cooperation priorities, themes and/or activities should be emphasized?</p> <p>What changes to present strategies and practices are recommended?</p>	<ul style="list-style-type: none"> <li>• Mubaran government officials</li> <li>• Civil society organizations</li> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Canadian High Commissioner, DFAIT</li> <li>• Implementing agency, partner organization staffs</li> </ul>	<ul style="list-style-type: none"> <li>• Key informant interviews</li> <li>• Focus groups</li> </ul>
3 What areas offer the strongest potential for longer-term institutional relationships and partnerships that would benefit from utilizing complementary Mubaran and Canadian strengths?	<p>What types of institutional relationships and partnerships have worked well to date? Why?</p> <p>What areas will offer the best potential for Mubaran/Canadian working relationships in the future?</p> <p>What areas represent a good 'fit' for complementary Mubaran/Canadian strengths?</p>	<ul style="list-style-type: none"> <li>• Mubaran government officials</li> <li>• Civil society organizations</li> <li>• CIDA project officers and staffs, program branch managers</li> <li>• Canadian High Commissioner, DFAIT</li> <li>• Implementing agency, partner organization staffs</li> </ul>	<ul style="list-style-type: none"> <li>• Key informant interviews</li> <li>• Focus groups</li> </ul>





## Appendix E2

### PROJECT ASSESSMENTS: INTERVIEW GUIDE I

Project Title	_____
	(if applicable)
Theme	_____
	(if applicable)
Respondent	_____
Position	_____
Location	_____
Phone Number	_____
E-Mail Address	_____
	(if helpful)
Interview held	_____
	(place, date)

#### Instructions

Together with the National Treasury of Mubara, CIDA is undertaking an evaluation of the Mubara-Canada Development Cooperation Program. This evaluation includes assessments of a series of selected projects from the 1998 to 2002 era.

To obtain more information about how these projects performed and what changes should be made for the future, we are conducting interviews with individuals who were involved in these projects or were familiar with them.

Your name was put forward by CIDA as someone who could assist with this information gathering. Your participation in this interview is entirely voluntary.

Responses are kept confidential. Your name will not be associated with the comments you make. The interview will comprise a series of questions and should take between 20 and 45 minutes to complete.

#### Note

Questions to be phrased to be consistent with interviewee's experience (project-specific experience, thematic, past tense for closed projects, etc.). Questions that are not applicable to particular individuals should not be asked.

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### General

- Q1 How have you been involved in (or why are you familiar with) the Mubara–Canada Development Cooperation Program?
- Q2 How well do you think this program has responded to the challenges, needs and priorities of Mubara? What examples immediately come to mind?

### Project–Specific

- Q3 Did CIDA's investment in this project make sense in terms of meeting the challenges taken on (i.e. the needs and priorities of Mubara)?
- Q4 Who are the beneficiaries of this project? How has this project impacted on the quality of their lives? Prompt: economic means and prospects, capacities for being self–sustaining, empowerment, self–awareness
- Q5 How has the project helped to reduce poverty levels?
- Q6 How has the project contributed to the sustainable development of Mubara?
- Q7 Were management structures effective in responding to ongoing challenges and in promoting creativity and innovation? What were the strengths and weaknesses of these structures?
- Q8 Were efforts effectively coordinated with other developmental initiatives in the area?
- Q9 Has this project promoted and supported effective partnerships and linkages between institutions, organizations and/or individuals? Please give examples.
- Q10 What has the relationship between the main parties involved in this project been like?
- Q11 Were human, financial and physical resources used appropriately? Were they adequate?
- Q12 Did CIDA anticipate and respond to change based on adequate information?
- Q13 How have Mubaran stakeholders been involved in the planning and implementation of this project?

Q14 Is there effective sharing of information with partners, other donors, Mubaran ministries, beneficiaries, etc.?

Q15 What key lessons do you think were learned about development cooperation in Mubara?

Q16 What difference has this project made to the lives of women?

Q17 What, if any, have been the main barriers faced in carrying out this project? How were they overcome? What would you do differently?

Q18 Do you think that the benefits of this project will be sustained after its completion?

Governance Projects (only)

Q19 How has CIDA's investment:  
(address one or more of the following depending on project's targeted results)

- Improved the capabilities of Mubara's parliamentary, judiciary and other public service institutions to deliver quality services?
- Led to constitutional reforms?
- Contributed to public sector transformation?
- Produced any other targeted results?

Q20 Were any unintended results realized, either positive or negative? What were they?

Human Resources Development Projects (only)

Q21 How has CIDA's investment:  
(address one or more of the following depending on project's targeted results)

- Contributed to the restructuring of the education sector (policy making, service delivery, curriculum development, etc.)?
- Improved educational and training standards?

- 
- Led to more equitable access to education and training opportunities?
  - Produced any other targeted results?

Q22 Were any unintended results realized, either positive or negative? What were they?

Civil Society (only)

Q23 How has CIDA's investment:  
(address one or more of the following depending on project's targeted results)

- Helped to strengthen civil society organizations through capacity building?
- Improved the sustainability of civil society organizations?
- Produced any other targeted results?


Q24 Were any unintended results realized, either positive or negative? What were they?

Economic Development (only)

Q25 How has CIDA's investment:  
(address one or more of the following depending on project's targeted results)

- Led to enhanced trade and investment linkages?
- Contributed to skills and technology development?
- Supported small and medium businesses?
- Produced any other targeted results?

Q26 Were any unintended results realized, either positive or negative? What were they?





**Beneficiaries (only)**

(track male and female respondents)

Q27 How have you participated in this project?

Q28 What difference has this project made in your life? What do you feel are the short and longer term benefits for you?

Q29 Do you think that these benefits will continue after you stop participating in this project?

Q30 If you were going to participate in this project again what would you like to do, or have done differently?

**Future Directions: Forward-Looking Questions**

Q31 What needs to be done to achieve poverty reduction and sustainable development objectives in Mubara?

Q32 What was learned from the 'Mubara Country Program' that could strengthen the 'Mubara-Canada Development Cooperation Strategy's' capacity to respond to development challenges, priorities and objectives?

Q33 What changes to present strategies and practices are recommended?

Q34 What areas offer the strongest potential for longer-term institutional relationships and partnerships that would benefit from utilizing complementary Mubaran and Canadian strengths?

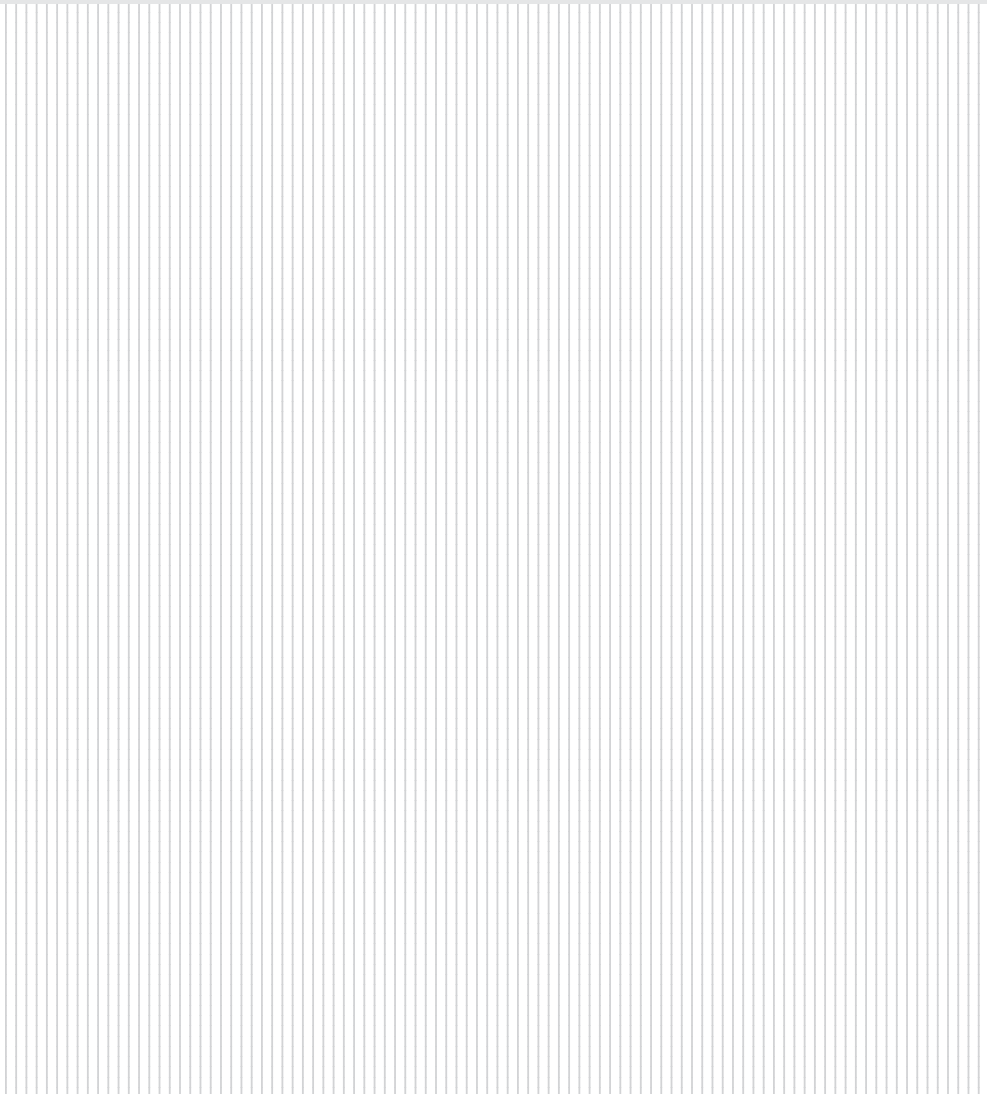
Q35 How should development cooperation be carried out to best advantage? How should CIDA programming be structured? What foci should be brought to donor funding?

Q36 What are the core constraints to realizing such development co-operation opportunities? How should these constraints be overcome?

Q37 What types of institutional relationships and partnerships have worked well to date? Why?

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Q38 What areas will offer the best potential for Mubaran/Canadian working relationships in the future? What areas represent a good 'fit' for complementary Mubaran/Canadian strengths?



### Appendix E3

#### KEY INFORMANTS: INTERVIEW GUIDE II

Respondent	_____
Position	_____
Location	_____
Phone Number	_____
E-Mail Address	_____
	(if helpful)
Interview held	_____
	(place, date)

#### Instructions

Together with the National Treasury of Mubara, CIDA is undertaking an evaluation of the Mubara-Canada Development Cooperation Program. To obtain more information about how the program performed and what changes should be made for the future, we are conducting interviews with key individuals who were involved in the program or were familiar with it.

Your name was put forward by CIDA as someone who could assist with this information gathering. Your participation in this interview is entirely voluntary. Responses are kept confidential.

Your name will not be associated with the comments you make. The interview should take about 30 minutes to complete.

#### Note

Questions to be phrased to be consistent with interviewee's experience. Questions that are not applicable to particular individuals should not be asked.

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### General

- Q1 How have you been involved in (or why are you familiar with) the Mubara–Canada Development Cooperation Program?
- Q2 How well do you think this program has responded to the challenges, needs and priorities of Mubara? What examples immediately come to mind?

### Results

- Q3 What do you feel are the important results that have been achieved by Canada's program at a country level?
- Q4 How has this program helped to reduce poverty levels?
- Q5 How has the program contributed to the sustainable development of Mubara?
- Q6 How has this program promoted and supported effective partnerships and linkages between institutions, organizations and/or individuals?
- Q7 What key lessons do you think were learned about development cooperation in Mubara?
- Q8 What, if any, have been the main barriers faced in carrying out this program? How were they overcome? What should be done differently?
- Q9 Do you think that the benefits of this program will be sustained after its completion?

### Governance (if familiar)

- Q10 What results have been achieved in the governance sector? Prompts: service delivery, constitutional reforms, public sector transformation

### Human Resources Development (if familiar)

- Q11 What results have been achieved in the education and training sector? Prompts: restructuring, standards, equitable access

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### Civil Society (if familiar)

- Q12 What results have been achieved in strengthening civil society? Prompts: capacity building, sustainability
- Q13 How has civil society changed and evolved since 1998?
- Q14 What types of benefits do civil society organizations produce for marginalized and disadvantaged groups in Mubara?
- Q15 How has civil society engaged in policy dialogue with the government (at any level)? What influence over government policy have they been able to have? How has this engagement and influence changed since 1998?

### Economic Development (if familiar)

- Q16 Has the program led to any sustainable business linkages between Canadian and Mubaran companies that you are aware of? Are you aware of any skills and technological capacity that has been sustained through these linkages?
- Q17 What results have been achieved through support for small and medium businesses?

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### Future Directions: Forward-Looking Questions

- Q18 What needs to be done to achieve poverty reduction and sustainable development objectives in Mubara?
- Q19 What was learned from the 'Mubara Country Program' that could strengthen the 'Mubara-Canada Development Cooperation Strategy's' capacity to respond to development challenges, priorities and objectives?
- Q20 What changes to present strategies and practices are recommended?
- Q21 What areas offer the strongest potential for longer-term institutional relationships and partnerships that would benefit from utilizing complementary Mubaran and Canadian strengths?

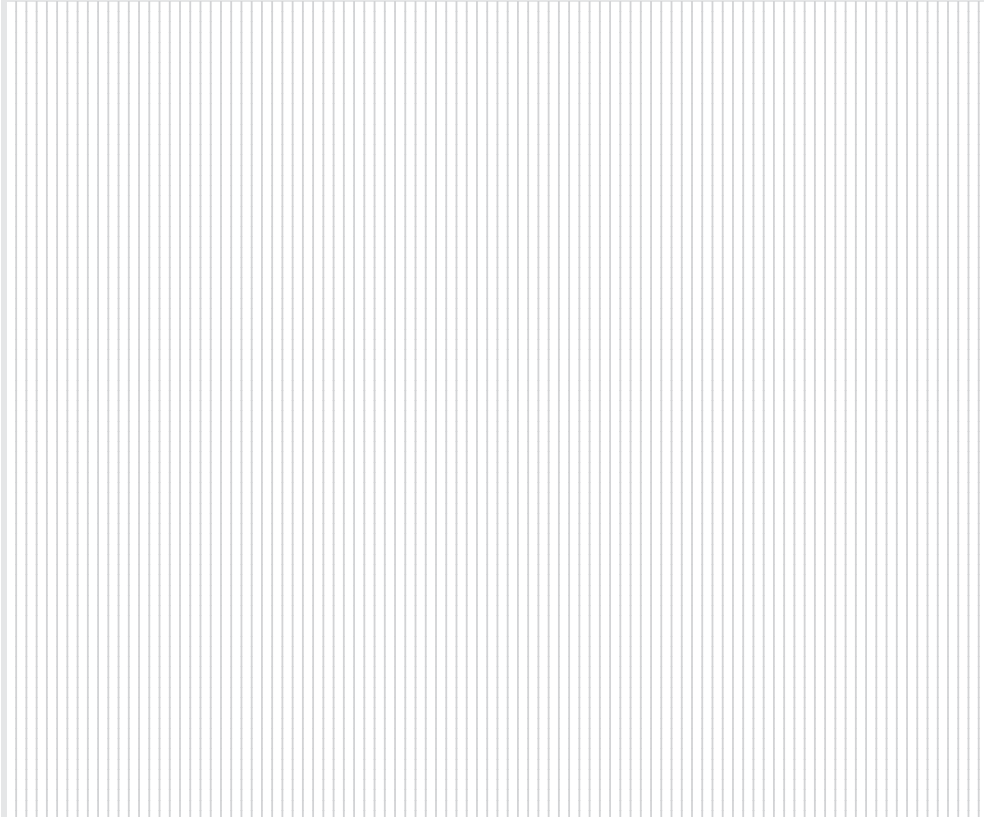
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Q22 How should development cooperation be carried out to best advantage? How should CIDA programming be structured? What foci should be brought to donor funding?

Q23 What are the core constraints to realizing such development cooperation opportunities? How should these constraints be overcome?

Q24 What types of institutional relationships and partnerships have worked well to date? Why?

Q25 What areas will offer the best potential for Mubaran/Canadian working relationships in the future? What areas represent a good 'fit' for complementary Mubaran/Canadian strengths?



## Appendix E4

### BIOS: EVALUATION TEAM MEMBERS

Short, informative bios or profiles should be prepared for each Evaluation Team Member to describe their qualifications, experience and expertise.

Reference can be made to the roles that individuals played in other development cooperation investments (including for clients other than CIDA), with an emphasis on similar-type work carried out in the subject region or country (or within a like-context).





## Appendix F

### Model Text: Executive Summary

Below we set out a 'model' executive summary for a fictitious evaluation to communicate what CIDA expects from practitioners preparing executive summaries. This presentation facilitates working from a standard that has been designed to address the Agency's information requirements.

.....

#### Evaluation of the Balyamar Reproductive Health Project

##### Executive Summary

###### 1 Introduction

The Balyamar Reproductive Health Project became operational in early 1999 to assist the resident government in improving the country's reproductive health capacities. This project is being carried out under an agreement between the Government of Balyamar and the World Bank to reduce fertility rates, and maternal and child morbidity and mortality. Through this umbrella agreement, separate agreements amounting to \$68.5 million CDN have been established with Canada and three other donors (Australia, Norway, United Kingdom).

Canada is contributing to twelve sub-projects (of a total of 32) with a focus on: 1) the provision of oral contraceptives to local populations, 2) strengthening the delivery of family planning services, and 3) developing capacities to respond to gender-related issues. Under present arrangements, CIDA's contribution is \$3.5 million CDN annually with a completion date set for December 2003.

The evaluation of the Canadian contribution to the Balyamar Reproductive Health Project addresses three key issues:

- ⊙ How have the results achieved improved human well-being?
- ⊙ Which family planning and reproductive health care initiatives generated the best results?

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© How successful were policy dialogue interventions in advancing gender equality within the consortium and the recipient government?

Information collection activities for this component comprised a document review, individual and group interviews, focus group discussions and several site visits. Field work for this was initiated in April 2001 and some 50 persons in Canada and Balyamar were interviewed.

## 2 Context

Balyamar continues to endure the consequences of the fifteen-year civil war that ravaged the country both economically and socially. The Gross Domestic Product per capita for the year 2000 was set at \$1,465 USD and the Human Development Index ranked Balyamar 156th of the 175 countries rated. Statistics indicate that economic conditions have steadily declined during the rebuilding years since the Peace Accords were signed in 1995. Illiteracy rates have dropped from 67 percent in 1997 to 58 percent in the year 2000.

During the war, urban migration was considerable as people abandoned traditional lifestyles seeking greater security. This dynamic exacerbated an already tenuous capacity to cope with needs for health services. Only 63 percent of Balyamar households in main centres have access to safe water, while only 32 percent have access to adequate sanitation. The average life expectancy for females and males alike is 56 years.

Largely rudimentary patient care capacities, which are virtually nonexistent in many locations, make it difficult to determine with any certainty the degree of distress within health service delivery. Largely as a result of donor interventions, there are some indications that Balyamar has achieved moderate progress in lowering its fertility rates during the period 1997 to 2000. The infant mortality rate is believed to be in the range of 95 deaths per 1,000 live births, while the maternal mortality rate is thought to be about 500 deaths per 100,000.

## 3 Achievement of Results

Notable progress towards expected results has been achieved. Canada's contribution of oral contraceptives is considered a main factor in the increase in the contraceptive prevalence rate from 25 percent (1997) to 42 percent (2000) and a steady decline in total fertility rates from 5.4 (1997) to 3.9 (2000).

Local NGOs and the Ministry of Health are annually distributing the targeted 20 million oral contraceptives contributed by CIDA. Some 320 individuals have now completed family planning training in six regions, including 40 males. The Ministry of Health has established a Gender Issues Office and an educational out reach program is being designed.

There are indications that the Ministry of Health is becoming increasingly aware of the need for improving the balance between health and family planning. Interviews and focus group sessions indicated that women link poverty with lack of land, inadequate shelter, and difficulty in earning enough cash to buy adequate daily supplies to feed the family. Given more income or land, they would like to have more children than the three or four they currently feel limited to. The opportunity costs of bearing children are currently very low because of the social strictures that limit women's mobility and therefore access to income-generating activities. Yet generally women are becoming more open to contraception and are actively pursuing family planning services.

The degree to which oral contraceptives are being rejected due to their side effects for alternative methods (e.g. IUDs, condoms) was unanticipated. Also, incidents of domestic violence were attributed to family planning initiatives felt to be intrusive to traditional male 'domains'.

#### 4 Cost-Effectiveness of Results

The information assessed would indicate that the project is cost-effective relative to comparable CIDA programming in 'like' contexts. Actual versus planned expenditures are generally in line, with variances between years being used to maintain the overall budget levels. All major variances were fully supported in writing and considered to be justified.

High start-up costs were remedied through savings initiatives introduced in subsequent years. Overhead costs have been minimized and the widespread engagement of local professionals has helped to reduce labour costs. Documentation indicated a favourable price-point for a high volume shipment of oral contraceptives.

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## 5 Relevance of Results

In a country that cannot meet the basic human needs of a rapidly growing population, relevance to targeted beneficiaries is best indicated by: 1) the increased contraceptive prevalence rate, 2) the associated decline in fertility rates, and 3) the rising demand for family planning services.

The project is integrally aligned with “CIDA’s Social Development Priorities: A Framework for Action” demonstrating consistency with the Agency’s family planning, best reproductive health care, and capacity–building objectives. Within the overall project, CIDA has been instrumental in promoting gender-sensitive policies and programming, and the creation of the Gender Issues Office within the Ministry represents a milestone accomplishment.

Although some gains have been made, the need for the Government of Balyamar to attach a greater priority and more resources to reproductive health care and family planning services remains a challenge. This will likely require a coordinated policy dialogue initiative involving an ongoing commitment from all participating donors.

Consultations indicated that the approach of the total project was well–coordinated, that there was little evidence of duplicated effort and other parallel initiatives were being complemented by the direction of the project at local, regional and national levels.

## 6 Sustainability of Results

Planning for the overall project was predicated on a progressive takeover of responsibility by the Government of Balyamar with full realization of this objective targeted for December 2003. Interviews with Ministry representatives conveyed the impression that the Government is generally satisfied with the results being achieved, the methods being employed and the assumption of project ‘ownership’. Rejection of oral contraceptives due to side effects (nausea, dizziness and headache) remains a complicating factor.

Sustainability beyond December 2003, however, remains an open question at this point. The sustainability of results will depend largely on the Government of Balyamar’s ongoing fiscal commitment to maintaining the quality and level of services, and the current momentum in contraceptive usage. This will likely require progressively increasing its financial commitment with a doubling of its original investment for fiscal year 2004/2005.

Since the program is based on free contraceptives and on motivational programs targeting couples with very limited financial resources, any cost-recovery options may deter contraceptive acceptance. Financial constraints and user rejections could necessitate increased acceptance of long-term clinical methods (e.g. male and female sterilization) in order to maintain low fertility rates.

## 7 Partnership

The operational framework for the World Bank-led donor consortium clearly sets out what is expected of donor participants, identifying individual responsibilities and accountabilities by sub-project. This has contributed to improving the effectiveness of project implementation, the coordination of activities and the achievement of expected results.

Local stakeholders are actively involved with the design and implementation of family planning programming and have been instrumental in helping to ensure that local customs and practices are fully respected. The contributions made by partners involved in CIDA's sub-projects indicate that the individuals involved are sufficiently empowered to function effectively.

The UN agency responsible for procuring and delivering oral contraceptives met all expectations. Delays in developing an implementation plan for establishing the Gender Issues Office, poor communication with the responsible NGO and a lack of cooperation between participating partners resulted in the opening date for this initiative being set back by six months.

## 8 Appropriateness of Design

Overall appropriateness of design is perhaps best measured by the achievements realized in reducing fertility rates and increasing contraceptive prevalence rates. However, shortcomings in the approach to some sub-projects impacted negatively on the quality of care (e.g. failure to recognize local customs).

Issues that were not adequately addressed include:

- ⊙ Risk associated with a heavy reliance on the acceptance of oral contraception methods
- ⊙ Heavy demand for menstrual regulation services, and
- ⊙ Effective strategies to reduce maternal mortality rates.

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The overall project design incorporated some elements of managing for results and provided for an ongoing system to monitor the performance of all sub-projects. There is little tangible evidence that risks were identified and assessed during project planning.

#### 9 Appropriateness of Resource Utilization

Overall, the capacities allocated to Canadian sub-projects have been well utilized. On balance, the individuals engaged in these projects have demonstrated that they are highly qualified and committed. Their contributions have helped to raise the profile of Canada within the consortium and the donor community.

The financial management of Canadian components is being adequately exercised, demonstrating credible decision-making and adherence to sound policies and procedures. Contracting practices are consistent with accepted norms and standards.

Financial information was found to be complete, accurate and reliable. Ongoing information being provided to CIDA Headquarters is current. Financial issues are dealt with promptly and decisively.

#### 10 Informed and Timely Action

It would be premature to measure responsiveness at this stage to develop effective strategy alternatives to oral contraceptives that will sustain acceptable fertility and contraceptive prevalence rates. Several mechanisms are being evaluated as pilot projects.

Consultations and focus group sessions indicated that decision-making was generally well informed through information collection in the field. Progress reporting is well structured and valued by senior management. In some instances, a reluctance to report on negative developments has retarded effective remedies being imposed and led to larger complications.

Experimentation with innovative, new distance training technologies for remote regions has produced mixed results. The risks associated with this initiative were poorly managed.

## 11 Conclusion

### *How have the results improved human well-being?*

On balance, CIDA's sub-projects have contributed to improving the overall human well-being of beneficiaries. Focus groups indicated that female and male participants alike are demonstrating a greater feeling of empowerment and self-realization that accrues from an increased understanding of family planning methods. These individuals are better able to manage their lives within the economic, social and basic needs parameters that characterize their daily routines.

Evidence that the implementation strategies had not taken full account of cultural dimensions in administering oral contraceptives was linked to poor initial rates of acceptance. Efforts to communicate this programming more sensitively have produced mixed results – complicated in part by the extent of the side-effects experienced. Yet the overall decrease in fertility rates serves as a paramount indication that this programming has had a positive general impact. That being said, a recent increase in the demand for menstrual regulation services would indicate that participants are either discontinuing their usage of oral contraceptives or experiencing failures.

The fact that some 85 percent of childbirths occur at home contributes to a lack of understanding as to why the maternal mortality rate remains relatively high. This issue requires greater attention and a cooperative effort involving the Ministry of Health and its local health offices. Greater emphasis needs to be brought to quality of care and universal access to counselling services.

### *Which family planning and reproductive health care initiatives generated the best results?*

Sub-projects involved with the delivery of basic reproductive health services performed well when educational campaigns were carried out to inform women about:

- ⊙ Safe birth control and harmful practices
- ⊙ Prenatal, delivery and postnatal care, and
- ⊙ The diagnosis and treatment of infections related to pregnancy and delivery complications.

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The provision of high-quality family planning information is considered to be the most effective option for attaining safe motherhood. Results are enhanced when this programming includes: 1) access to proper nutrition, 2) attendance by a skilled midwife during delivery, and 3) the availability of emergency obstetric care.

*How successful were policy dialogue interventions in advancing gender equality within the consortium and the recipient government?*

CIDA's participation in the Balymer Reproductive Health Project was instrumental in formalizing gender equality in the overall agenda and contributed to a positive change in donor attitudes. These efforts facilitated the establishment of the Gender Issues Office and resulted in a broader gender-sensitive orientation within the consortium.

The results achieved demonstrate that the Government of Balymer is developing a more favourable disposition towards gender equality as a priority for policy reforms. There are also indications that the Agency's interventions have influenced broader national policy initiatives. While there are grounds for optimism, significant gains will no doubt be tempered by the formidable economic challenges that continue to shape the country's outlook.

It is clear that CIDA's capacity to realize policy dialogue successes is strengthened by working together with other donors and creating alliances. Broad government support for advancing gender equality will determine what substantive gains can be achieved in the future.

Policy dialogue results were linked to:

- © The diplomacy skills and commitment of CIDA staff, and
- © The level of trust that defined personal relationships within the consortium.



## 12 Recommendations

- ⊙ Canada should continue to contribute to the overall project and partner with consortium members, recipient government ministries and implementing organizations to develop new strategies and approaches that benefit from what has been learned about family planning and reproductive health care.
- ⊙ CIDA should promote research by an independent body on the impact of side effects from the use of the oral contraceptives provided, and the discontinuance and switching rates experienced.
- ⊙ CIDA should lead formal policy dialogue initiatives designed to: 1) establish a better balance between family planning services and basic reproductive health services at the overall project level, and 2) integrate women's felt needs into subsequent project planning exercises.
- ⊙ The Agency's Balymar Country Program should demonstrate an integrated approach for promoting gender equality throughout its programming initiatives, bringing an emphasis to capacity development at the macro, meso and micro levels.
- ⊙ CIDA should help to design and implement an educational campaign on basic reproductive physiology to empower women and men to make informed decisions about family planning, and avert failures linked to the use of traditional methods. Research is needed to determine why the use of traditional methods has not decreased given the investment in the overall project.
- ⊙ The Consortium should develop a dissemination strategy that allows for the sharing of timely and critical research information amongst implementing agencies. The full benefit of a large body of knowledge that has been accumulated on important emerging issues is not being realized (e.g. menstrual regulation, family life education, gender equality integration).

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## 13 Lessons

### *For Policies*

- © Canada's leadership amongst consortium members in maintaining an integral and consistent focus on gender equality led to many, wide-ranging results that extended beyond its specific areas of involvement.
- © The procurement of oral contraceptives represented some 40 percent of Canada's financial contribution, yet findings indicate a 44 percent discontinuation rate due to side effects and health concerns after the first year of usage.

### *For Country Programming*

- © Further progress towards decreasing fertility rates in Balyamar will be directly linked to the building of institutional capacity to deliver gender sensitive programming that successfully raises the status of women in society.
- © Horizons for reproductive health research need to extend well beyond project time periods given the length of time required to undergo demographic transitions. For this project, research results critical to the improvement of the quality of care had not been fully utilized, either because research papers had not as yet been completed or the consortium had not arrived at a strategy for the dissemination of completed papers.

### *For Projects*

- © Three key factors threatening the long-term sustainability of results are: 1) high discontinuation rates and/or switching to methods other than oral contraceptives, 2) poor terms of employment for government health workers, and 3) the limited capacity of the Government of Balyamar to increase the resources needed to sustain the current momentum.
- © Traditional family planning methods are currently used by some twelve percent of Balyamar women, without any endorsement from the family planning services being offered in the country.

Notes

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