PEPFAR EVALUATION STANDARDS OF PRACTICE

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ACRONYMS

| AM | Activity Manager |
| AOR | Agreement Officer Representative |
| APR | Annual Program Results |
| COI | Conflict of Interest |
| COP | Country Operational Plan |
| COR | Contracting Officer Representative |
| ESoP | Evaluation Standards of Practice |
| EWG | Evaluation Working Group |
| GAO | Government Accountability Office |
| HQ | Headquarters |
| IAD | Implementing Agency Designee |
| IE | Impact Evaluation |
| IOM | Institute of Medicine |
| IS | Implementation Science |
| IRB | Institutional Review Board |
| M&E | Monitoring and Evaluation |
| MER | Monitoring, Evaluation, and Reporting |
| S/GAC | State Department/Office of the U.S. Global AIDS Coordinator |
| OU | Operating Unit |
| PEPFAR | President’s Emergency Plan for AIDS Relief |
| PHE | Public Health Evaluation |
| PM | Project Manager |
| POC | Point of Contact |
| ROP | Regional Operational Plan |
| SI | Strategic Information |
| SOW | Scope of Work |
| USG | United States Government |
Preface

The inaugural version of the PEPFAR Evaluation Standards of Practice (ESoP) was published in January 2014. That document served as a guide to improve the quality of evaluations and reinforce the role of evaluation findings in programmatic decision-making. The development of the ESoP was driven by the growing need within PEPFAR to maximize the utility of evaluations and, more significantly, to respond to a call for improved evaluations and transparency from the Government Accounting Office (GAO) and the Institute of Medicine (IOM).

The original version of the ESoP noted that an operational guidance would be forthcoming. Over the course of the past year, the Evaluation Working Group (EWG; a task group of the PEPFAR Health Information Systems / Monitoring & Evaluation Technical Working Group) continued to expand upon the original concept and developed guidance for operational issues associated with the planning, implementation, reporting, and review of evaluations. This new information is contained in this revised version of the ESoP.

In this new publication, the Standards of Practice remain essentially the same, although we have clarified several issues. Following the elucidation of the evaluation standards, new sections have been added: one section pertains to operational issues for planning, implementation, reporting, and review; the roles and responsibilities section has been expanded; a tools and templates section is included, describing the various tools and the data elements contained in each; and the appendices now include the required tools and templates for planning and reporting on PEPFAR funded evaluations.

The EWG will seek ongoing comment and input to strengthen these materials. As this information, tools, and templates are used by Operating Unit and headquarters personnel, lessons will be learned and insights gained. Please share these experiences with the EWG, as we hope to improve on the materials to make evaluations more prominent and relevant within PEPFAR.

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Introduction

Since the start of the President’s Emergency Plan for AIDS Relief (PEPFAR), evaluation has been an important and integral component of program improvement. As PEPFAR moves into its third phase, the need remains for high quality evaluations that are driven by host country needs and engagement, and whose results are communicated to relevant stakeholders and made publicly available. ¹² This direction is consistent with recommendations from the Government Accountability Office (GAO)³ and the Institute of Medicine (IOM)⁴.

As part of the broader PEPFAR Monitoring, Evaluation, and Reporting (MER) initiative to improve and strengthen the collection and use of data, the purpose of this document is to articulate an interagency consensus of standards of evaluation practice deemed most relevant to conducting quality evaluations within PEPFAR and to inform improved decision-making. Many of these evaluation standards of practice are promoted through international and professional evaluation associations,⁵,⁶ and to a large extent, are already integrated into PEPFAR implementing agency policies and strategy documents⁷,⁸,⁹. In addition to articulating the standards of practice, this document also contains guidance to assist in the implementation of these standards and the associated requirements. These sections offer an overview of PEPFAR evaluation planning, implementation, reporting, and review, as well as guidance on the roles and responsibilities of the relevant stakeholders and individuals who will implement, oversee, and report on the process. Tools and templates also are provided to support evaluation planning, writing evaluation reports, assessing adherence to the standards, and reporting on PEPFAR-funded evaluations. Anticipated users of this document include evaluators, persons who commission and procure evaluation services, providers of technical assistance for evaluations, and host country partners, among others.

The goal of the ESoP is to improve evaluation planning, implementation, oversight, and quality across PEPFAR programs. In addition the ESoP responds to recommendations by the GAO and the IOM, and stipulations within congressional reauthorization to expand the utility of evaluation processes and data across PEPFAR programming for greater accountability and

³ GAO, 2012, op. cit.
⁴ IOM, 2013, op. cit.
transparency. Further language in the *PEPFAR Stewardship and Oversight Act Of 2013*\(^{10}\), Paragraph 3R, requires that we collect and report on an annual basis:

“(R) A description of program evaluations completed during the reporting period, including whether all completed evaluations have been published on a publicly available Internet website and whether any completed evaluations did not adhere to the common evaluation standards of practice published under paragraph (4).”

In this document, PEPFAR defines evaluation as:

... the systematic collection and analysis of information about the activities, characteristics, and outcomes, and impacts of programs and projects.\(^{11}\)

As an extension to the basic objective of an evaluation to determine if a program works, UNAIDS describes three primary reasons for conducting evaluations\(^{12}\):

1) Program improvement, using evaluation results as feedback to program implementers to make the program function more effectively and efficiently.
2) Program accountability and transparency, so stakeholders and funders alike are aware of the progress of the program.
3) Program scale-up, disseminating results to help stakeholders and partners better understand what the program has accomplished and to replicate similar approaches in future.

Please see Box 1 for further detail—including definitions and key characteristics—regarding the spectrum of evaluations pertinent to this document. Additional definitions are provided in Appendix A.

\(^{10}\) Public Law 113–56—DEC. 2, 2013, PEPFAR Stewardship and Oversight Act of 2013 (S.1545).


Box 1. Key Concepts and Terminology

**EVALUATION**: “Evaluation is the systematic collection and analysis of information about the characteristics and outcomes of programs and projects as a basis for judgments, to improve effectiveness, and/or inform decisions about current and future programing. Evaluation is distinct from assessment, which may be designed to examine country or sector context to inform project design, or an informal review of projects.”  

**PROCESS EVALUATION**: “A type of evaluation that focuses on program or intervention implementation, including, but not limited to access to services, whether services reach the intended population, how services are delivered, client satisfaction and perceptions about needs and services, management practices. In addition, a process evaluation might provide an understanding of cultural, socio-political, legal, and economic context that affect implementation of the program or intervention.” Example of question asked: Are activities delivered as intended, and are the right participants being reached?

**OUTCOME EVALUATION**: Is “a type of evaluation that determines if and by how much, intervention activities or services achieved their intended outcomes.” It focuses on “outputs and outcomes (including unintended effects) to judge program effectiveness, but may also assess program process to understand how outcomes are produced.” It is possible to use statistical techniques in some instances when control or comparison groups are not available (e.g., for the evaluation of a national program). Example of question asked: To what extent are desired changes occurring due to the program, and who is benefiting?

**IMPACT EVALUATIONS** (IEs) measure the change in an outcome that is attributable to a defined intervention by comparing actual impact to what would have happened in the absence of the intervention (the counterfactual scenario). IEs are based on models of cause and effect and require a rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change. There are a range of accepted approaches to applying a counterfactual analysis, though IEs in which comparisons are made between beneficiaries that are randomly assigned to either an intervention or a control group provide the strongest evidence of a relationship between the intervention under study and the outcome measured to demonstrate impact.

**ECONOMIC EVALUATION**: Use of applied analytical techniques to identify, measure, value and compare the costs and outcomes of alternative interventions. Economic evaluation is a systematic and transparent framework for assessing efficiency focusing on the economic costs and outcomes of alternative programs or interventions. This framework is based on a comparative analysis of both the costs (resources consumed) and outcomes (health, clinical, economic) of programs or interventions. Main types of economic evaluation are cost-minimization analysis (CMA), cost-effectiveness analysis (CEA), cost-benefit analysis (CBA) and cost-utility analysis (CUA). Example of question asked: What is the cost-effectiveness of this intervention in improving patient outcomes as compared to other treatment models?

While the application of the standards may vary slightly according to specific implementing agency policies and procedures, it is expected that the ESoP and the respective planning,

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13 Ibid.
14 Ibid., P. 66.
19 Drummond 2005.
adherence, and reporting tools will be applied across **ALL** PEPFAR funded evaluations, including evaluations receiving only partial funding from PEPFAR. These steps will ensure a consistent, coordinated, and collaborative effort and will work towards the development, dissemination, and use of high-quality evaluations.

Simultaneously, these standards should not be interpreted to supersede more specific requirements associated with agency or centrally managed evaluations (e.g., Public Health Evaluation, Implementation Science, Impact Evaluations, etc.). Operating Unit (OU) representatives or other key personnel associated with evaluation management who identify a potential conflict between different guidance recommendations should contact the appropriate agency Point of Contact (e.g., country team lead, Evaluation Point of Contact in the Program Office (USAID), ADS (CDC), contract officer, project officer) who will assist to resolve any of these issues.

**STRENGTHENING EVALUATION CAPACITY**

A key objective of evaluation practice for PEPFAR, although not listed as a specific standard of practice, is to strengthen in-country capacity at all levels of program implementation. Capacity strengthening is critical to ensure that country counterparts have the capability to ask the key evaluation questions, design rigorous evaluations to answer those questions, implement these evaluations, and use evaluation findings in evidence-based decision making. For evaluation capacity to be sustained, in-country and HQ individuals and institutions should be provided with technical support, resources, and opportunities to learn and use what they learned to strengthen or improve their work. Sustainable evaluation practice also requires the development of systems, processes, policies, and plans that help embed evaluation work into the way the institutions accomplish their missions. Evaluation capacity building activities should be articulated in both the national strategic plans and the associated PEPFAR operational plans. Further information pertaining to evaluation capacity building strategies with country partners can be obtained through the PEPFAR Evaluation Working Group (SGAC_EWG@state.gov).
Section I - PEPFAR Evaluation Standards of Practice

In the broader context of evaluation within PEPFAR, S/GAC expects all PEPFAR implementing agencies and those who procure and implement evaluations to commit themselves at a minimum to evaluation practices based on the standards of practice below. Though many of these practices are already incorporated into agency policies and frameworks, recent reports have determined that they are not consistently implemented.\textsuperscript{20} By sharing a set of common standards of practice, greater consistency and quality among PEPFAR evaluations will be achieved with the intent that stakeholders will have the confidence to utilize results for program enhancement.

The standards of practice are introduced below in the order they are likely to be applied when conducting an evaluation. For example, evaluation usually starts by engaging stakeholders, but not all stakeholders may be familiar with complex methods necessary for some evaluation designs. Such a situation requires the evaluation team to build stakeholder capacity to consider evaluation methods and effectively contribute to decisions. For other evaluation designs, such knowledge transfer may not be needed.

THE STANDARDS OF PRACTICE

1. ENGAGE STAKEHOLDERS
2. CLEARLY STATE EVALUATION QUESTIONS, PURPOSE, AND OBJECTIVES
3. USE APPROPRIATE EVALUATION DESIGN, METHODS, AND ANALYTICAL TECHNIQUES
4. ADDRESS ETHICAL CONSIDERATIONS AND ASSURANCES
5. IDENTIFY RESOURCES AND ARTICULATE BUDGET
6. CONSTRUCT DATA COLLECTION AND MANAGEMENT PLANS
7. ENSURE APPROPRIATE EVALUATOR QUALIFICATIONS AND EVALUATION INDEPENDENCE
8. MONITOR THE PLANNING AND IMPLEMENTATION OF AN EVALUATION
9. PRODUCE QUALITY EVALUATION REPORTS
10. DISSEMINATE RESULTS
11. USE FINDINGS FOR PROGRAM IMPROVEMENT

\textsuperscript{20} GAO, 2012, \textit{op. cit.}
1. **ENGAGE STAKEHOLDERS**

*Engage stakeholders from the beginning and throughout the evaluation to ensure the success of the evaluation and implementation of the recommendations.*

Evaluation results are only relevant if they respond to the needs of a diverse range of stakeholders. Stakeholders are any persons, organizations, or institutions that have an investment in what will result from an evaluation and what will be done with the results.

There are three critical groups of stakeholders who must be considered in planning an evaluation. These include:

1. those persons involved in program operations (e.g., sponsors, collaborators, partners, funding officials, administrators, managers, and staff);
2. those persons served or affected by the program (e.g., clients, family members, community organizations, academic institutions, elected officials, advocacy groups, professional associations, and staff of related or competing organizations); and
3. those persons who make decisions regarding the program (e.g., country leadership, policy makers, program managers, sponsors etc.) \(^{21}\).

Stakeholders should be identified and engaged in the planning stages of evaluation, including prioritizing what to evaluate, budgeting and funding decisions, identification of the evaluation questions, and dissemination and use of findings and recommendations. \(^{22}\) For evaluations of PEPFAR-funded programs, it is essential to involve governmental and non-governmental stakeholders from the country in which the evaluation is conducted.

The scope and level of stakeholder involvement will vary for each program evaluation. For example, some stakeholders, such as evaluators in the community, can be directly involved in designing and conducting the evaluation. Other stakeholders, such as policy makers, may be involved in the initial framing of evaluation questions, and they should be kept informed of the progress of the evaluation and of the evaluation results. Configuring a communication strategy at the start of program planning is particularly relevant for evaluation efforts to ensure ongoing stakeholder engagement and support, particularly if an evaluation crosses organizational units with overlapping or complementary missions.

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\(^{21}\) Centers for Disease Control and Prevention. Framework for program evaluation in public health. MMWR 1999;48 (No. RR-11)

2. **CLEARLY STATE EVALUATION QUESTIONS, PURPOSE, AND OBJECTIVES**

   Make explicit the evaluation questions, purpose, and objectives. Evaluation planning should be part of program planning from the start and throughout program implementation.

   The first stage of planning an evaluation is the general purpose of the evaluation, the specific objectives, and the specific questions. Even though methods and analyses may be complex, the purpose and objectives must be understood from the beginning, and the evaluation questions should be simple and clear. The next step should be to synthesize the best available evidence regarding the intervention(s); i.e. what is already known about how well it works. Focus should then shift to:

   1) what will be evaluated, (specifically defining the intervention or aspects of an intervention)
   2) who wants the information,
   3) what do they want to know (various outputs or outcomes), and
   4) how the results will be linked to specific future decisions or programs

   Clarifying the intent and answers to these questions from the beginning will facilitate the subsequent decisions. One should anticipate that the planning stage of an evaluation will require several iterations and extensive review, ultimately serving to refine the evaluation to ensure that the evaluation questions, methods, and analyses are appropriate and sound. Following these developments, other steps in evaluation implementation will move quickly.

3. **USE APPROPRIATE EVALUATION DESIGN, METHODS, AND ANALYTICAL TECHNIQUES**

   Knowing the program maturity, the questions to be addressed, and the resources available are requisite to determine the appropriate evaluation design, methods and analytical techniques.

   The evaluation design and methods should be feasible, context sensitive, culturally relevant, and rigorous. When selecting the design and methods, consider the program’s maturity, the evaluation questions to be addressed, purpose and timeline for needing the results, the intended audience, and the available financial and other resources. As noted below in Standard of Practice 5, the design-resource correspondence is critical, since a pre-determined budget may not support an evaluation design sufficient to address important questions.

   In conjunction with evaluation design and methods, an analysis plan should be predetermined and described in an evaluation Scope of Work (SOW)/protocol. Because

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23 USAID, Automated Directives System 203.3.1.4 11_02_2012
evaluations generally address multiple questions, a range of analytic methods is often needed. For example, in many instances a mixed-methods approach that combines quantitative and qualitative methods and analyses is ideal. One needs to use the most rigorous methods appropriate to the evaluation questions. Carefully thinking through data needs and analytic techniques in advance will enhance the quality, credibility, and usefulness of an evaluation by increasing the strength and specificity of the findings and recommendations.

4. **ADDRESS ETHICAL CONSIDERATIONS AND ASSURANCES**

Address human rights protections when planning and implementing the evaluation.

Evaluations must be conducted in a manner that is respectful to and protects human rights, privacy, and confidentiality, and maintains the dignity of participants and other stakeholders. U.S. government (USG) agencies follow regulatory standards regarding human protections, and these standards are based on principles and guidelines established in the international community. These principles require that evaluators behave legally, ethically, and have regard for the physical and psychological welfare of those involved and those affected by an evaluation, including vulnerable populations. All personnel involved in planning and implementing an evaluation should be knowledgeable regarding agency policies, rules and regulations in this regard, and complete ethical certifications when indicated.

Evaluation procedures should ensure that participants, who contribute information to a study, especially if they may incur risks, do so willingly and with full knowledge of any potential risks. Participants should be informed that their eligibility to receive services is not contingent upon their participation in the evaluation (i.e., clients retain the right to refuse to participate in an evaluation). These protections are generally addressed in an informed consent agreement administered before participants agree to participate and respond to data collection inquiries. Such protections also should be described in the evaluation protocol governing the conduct of the evaluation. Special protections are especially important when conducting evaluations involving children, prisoners, pregnant women, and other vulnerable groups.

Depending on the objectives, questions, and methods of the evaluation, evaluation scopes of work/protocols may have to go through an Institutional Review Board (IRB) at the in-

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country national level, at a USG implementing agency, and when relevant, at the level of the implementing partner or the associated external institutional entity.

5. **IDENTIFY RESOURCES AND ARTICULATE BUDGET**

Identify the evaluation budget at the start of program planning.

Successful execution of evaluations requires not only a commitment among program managers and implementers to incorporate evaluation into their efforts, but also sufficient resources to ensure the implementation of the appropriate type and design of evaluation. This commitment requires considerable forethought, since resource decisions are often made in the context of tension between program and evaluation priorities. As planning occurs, both priorities need to be balanced and adequate resources need to be made available for evaluation.

A recommended range of resource commitments for monitoring and evaluation are available in the literature and guidance materials, but it is important to note that these ranges typically apply to monitoring activities only\(^{27}\). Funding for formal evaluation efforts, including process, outcome, impact, or economic evaluations, may require additional allocations above these ranges. Evaluation planning early in the program planning process should provide a reasonable estimate of these funding requirements, and appropriate steps need to be taken to ensure resources are available to fulfill the requirements of the evaluation design.

6. **CONSTRUCT DATA COLLECTION AND MANAGEMENT PLANS**

Create data collection and management plans prior to implementing the evaluation to ensure that data are valid, reliable, and accessible.

Since the intent of data collection is to gather information that stakeholders perceive as trustworthy and relevant, evaluation scopes of work/protocols should include a data collection and management procedure that is in line with agency policies and specifies the following: who will administer the data collection instruments; when these will be administered; how data will be gathered and checked in a systematic, comparable, precise, and unbiased way so that data are accurate, complete, and valid; how the data will be archived, transported, secured, confidentiality ensured, and disposed of (if applicable); how data-use agreements will be developed with partners and others; which institutions and individuals will have access to the data in its various forms; how long the data will be saved; how interview tapes or audio files will be managed and stored; whether or not they will be...

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\(^{27}\) In PEPFAR COP Guidance, the recommended range applies to the M&E of program implementation, and the same range applies to the larger country COP budget to support system strengthening work for SI. In the context of program implementation, agencies will make the determination of how to apply evaluation requirements and funding. For example, evaluations may be conducted at project sites, for a program, or for an entire implementing mechanism.
translated, transcribed; and how observations will be captured and stored. The plan might include an agreement signed by evaluation team members that acknowledges their responsibilities in this area.

7. **ENSURE APPROPRIATE EVALUATOR QUALIFICATIONS AND EVALUATION INDEPENDENCE**

*Ensure that an evaluator has appropriate experience and capabilities. Manage any conflicts of interest of the evaluators (or team) and mitigate any untoward pressures that could be applied to the evaluator or evaluation team that would influence its independence.*

It is important that the evaluation team members:

- are qualified to conduct the evaluation through knowledge and experience;
- disclose any potential conflict of interest with the evaluation;
- are protected from any undue pressure or influence that would affect the independence of the evaluation or objectivity of the evaluator(s).

Only evaluation teams (whether internal or external) that possess the education, capabilities, skills and experience appropriate to undertake the tasks proposed in the SOW/protocol should conduct evaluations. Professional evaluators typically have advanced training in social science or public health, and depending on the nature of the program and the evaluation questions, the evaluation team might also require members with specialized subject area expertise (e.g., epidemiology, clinical skills, economics, statistics, qualitative analysis). The résumés of the evaluation team members should be examined both to assess appropriateness of their skills/competencies, regional expertise, languages spoken, subject matter expertise (HIV Testing and Counseling, Key populations, male circumcision), as well as for the appropriate education and previous experience(s) to perform the specific evaluation at hand.

It is vital to manage any conflicts of interest of the evaluator and the evaluation team to ensure credibility and mitigate bias. In advance, everyone on the evaluation team must disclose any personal, financial, or other relationships they have that might pose a conflict of interest (or the appearance of a conflict) in their role as evaluators. This is frequently accomplished by having the evaluation team sign a conflict of interest (COI) statement prior to conducting the evaluation. The COI statements should be kept with all other evaluation data and shown to stakeholders as appropriate. The COI statements should be in line with the implementing agency conflict of interest policy (if there is one) and should be included in both the protocol/SOW and the appendices of the final evaluation report.

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Managing the independence of the evaluation includes informing and educating all those participating in the evaluation (including those collecting data, funding, reviewing, or approving the evaluation) that the planning, implementation and results of the evaluation should not be manipulated in any way to suggest undue influence. Suggested strategies to improve evaluator independence include, but are not limited to, having evaluation units that are separate from program units; using external evaluations and evaluators; or establishing formal conflict-of-interest procedures and declarations for internal and external evaluators. In some instances, if certain procedures or activities are likely to produce misleading information or conclusions, the evaluation team has the responsibility to communicate their concerns to relevant stakeholders and colleagues and identify proper ways to proceed (e.g., discussions at a higher level, a dissenting cover letter or appendix, refusal to sign the final report, documenting concern and make a disclaimer, or submitting a Statement of Difference letter\textsuperscript{29} \textsuperscript{30} \textsuperscript{31} ).

8. **MONITOR THE PLANNING AND IMPLEMENTATION OF AN EVALUATION**

*Continuous, planned monitoring of the evaluation is important to the successful completion of the evaluation.*

Monitoring how an evaluation is planned and implemented is essential for ensuring quality evaluations; controlling redundancy, time and costs; and identifying and solving unexpected problems as they arise.

This monitoring activity should start with the appropriate agency lead, the evaluation lead and relevant stakeholders tracking final development and completion of the evaluation protocol. Once the evaluation has begun, it is important to document progress in accordance with the evaluation design, and especially any contextual changes, deviations from the evaluation plan, or quality on a regular basis. All relevant stakeholders should be kept informed of the evaluation progress.

Data limitations or new information about the project or program being evaluated may arise as the evaluation is being conducted and this may have implications on the adequacy of the original plan or the feasibility of answering the evaluation questions. If adjustments are necessary, the evaluation team should document these changes, along with the rationale, and submit modifications for approval depending on relevant IRB and USG agency requirements. Any modifications should be reflected in midterm and final reports.

Monitoring and documenting the progress of an evaluation and communicating with stakeholders is a primary responsibility of the evaluation lead(s). The evaluation team

\textsuperscript{29} USAID-specific procedure


\textsuperscript{31} American Evaluation Association (AEA), Guiding Principles for Evaluators, [http://www.eval.org/p/cm/ld/fid=51](http://www.eval.org/p/cm/ld/fid=51)
simultaneously has the responsibility for safeguarding its quality, adhering to the SOW/protocol, and applying the evaluation standards throughout.

9. **PRODUCE QUALITY EVALUATION REPORTS**
   
   *The final evaluation report should contain certain elements to ensure the quality and transparency of the evaluation.*

   The evaluation report should represent a thoughtful, methodologically sound, and well-organized effort to describe the process and findings of the evaluation of a PEPFAR program. The content of an evaluation report should allow the reader to fully understand the context/background, the rationale for conducting the evaluation, the evaluation questions to be answered, and the methods and analyses that were used. The report should assess the findings of the project/program, supported by strong quantitative, qualitative, or mixed methods evidence. Any limitations to the evaluation findings (e.g., spillover, lost to follow up, or poor quality or missing data) should be fully described. For the findings to be useful, supported recommendations should be made explicit and be actionable, realistic, and specific.

   Developing and using templates for evaluation reporting can serve to standardize evaluation reports and ensure that all required components of an evaluation report are included. Appendix C of this ESoP document provides a checklist of a minimum set of these elements for all PEPFAR-funded evaluations. This checklist also can be used as a basis for peer review of the final report, to help improve report quality. Critically, final reports provide the information necessary for the formal review of evaluations for compliance with the standards of practice; consequently inclusion of all of the required elements is essential.  

10. **DISSEMINATE RESULTS**
   
   *Evaluation results should be disseminated to all stakeholders, the public and funders.*

   Evaluation results and recommendations should be presented clearly and simply so that stakeholders and other parties can easily understand the evaluation process, results and recommendations. Like other elements of evaluation, dissemination should be discussed and planned in advance with stakeholders and must follow agency evaluation dissemination instructions. These steps will ensure that the information needs of relevant audiences will be met, which requires consideration of the timing, style, tone, message source, vehicle and format of information products (e.g., publications, briefings, newsletter).

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32 The PEPFAR Evaluation Standards of Practice, Version 1.0, 2014, made an allowance for published articles to function as final reports. This accommodation is no longer supported.

Evaluation results can be shared via evaluation reports, publications, oral presentations, agency websites, annual reports, and briefings. As congressionally mandated in the *PEPFAR Stewardship and Oversight Act,* all completed evaluation reports must be published on a publically available internet website. All completed PEPFAR evaluations must be uploaded onto the implementing agency databases within 90 days after approvals of all relevant authorities. These agency databases will constitute the core of this dissemination approach, and additional access will be provided through linkages from a central PEPFAR site (e.g., www.PEPFAR.gov).

11. **USE FINDINGS FOR PROGRAM IMPROVEMENT**

*Evaluation findings and recommendations should be utilized for decision making and program improvement.*

Evaluation is a worthwhile endeavor only if the results are used. Well-planned evaluations provide evidence to inform real-world decision-making and contribute to learning agendas that have national, regional, or global importance. Evaluation results can be used to demonstrate the effectiveness of a program, plan new procurements, make mid-stream adjustments to improve programs, and demonstrate accountability. The evaluation objective(s) as well as the intended audience identified in the planning phase of the evaluation should guide use of the evaluation results. These various agendas for use of evaluation findings also should be stipulated in the evaluation plan.

Evaluation findings can be more useful if:

1) the evaluation question was linked to a specific future programmatic decision
2) intended users are engaged early, their information needs are identified, and recommendations are made according to the user needs;
3) intended users review evaluation reporting and dissemination plans;
4) intended users are reminded of the planned use of the evaluation findings;
5) evaluation findings and recommendations are translated into usable information products targeted to specific intended users;
6) intended users and stakeholders are supported in applying the findings and recommendations;
7) intended users are supported in making strategic choices about where to focus follow-up efforts;
8) implementation of the recommendations is monitored; and
9) intended users and other stakeholders see evaluation as an ongoing process rather than a one-time event or moment-in-time report.

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34 Public Law 113-56, *op. cit.*
Section II - Planning, Implementation, Reporting, and Review

As USG country teams approach strategic planning for evaluation portfolios, it is critical to keep in mind that ALL PEPFAR-funded evaluations – whether conducted by implementing partners, evaluation partners, agency personnel, headquarter personnel, etc. or funded by implementing mechanism, agency, or central funds (e.g., PHE, Implementation Science, etc.) – need to be situated within the larger framework of the national and PEPFAR OU evaluation plans. Evaluation priorities defined at the country level should guide this approach. Interagency collaboration, as well as completeness and transparency of information are essential to inform this strategic planning, and in addition select information regarding all PEPFAR funded evaluations is required to report to headquarters and Congress. This section describes the entire cycle of evaluation planning, implementation, reporting, and review (Figure 1).

Figure 1. Evaluation planning, implementation, reporting, and review process.
EVALUATION PLANNING

Evaluation planning is important to ensure that evaluation resources are allocated appropriately and in concert with overall evaluation priorities. PEPFAR is promoting evaluation planning for both OU and National contexts. It is important that PEPFAR support a national evaluation strategy, although it is also acknowledged that OUs may have specific information needs pertaining to PEPFAR investments, and as such, will have some unique evaluation priorities. A notable degree of support and alignment is expected, however. Additional unique inputs are anticipated in concert with Agency-specific priorities, guidance, and requirements, which also will influence the design of OU evaluation portfolios.

As part of future COPs, OUs will be asked to submit OU evaluation plans and describe associated development processes. For the FY 2016 submission, OU plans may be in the form of priority lists, evaluation calendars, evaluation budgets, evaluation questions, and the like. The EWG will provide more specific guidance regarding the content and structure of an evaluation plan for OU and National contexts (both for short- and long-term utilization), but for immediate purposes two resources offer some preliminary guidance. The first of these is a statement from the American Evaluation Association targeting US Federal Agencies, from An Evaluation Roadmap for a More Effective Government:

**Evaluation Plans.** Each Federal agency should require its major program components to prepare annual and multi-year evaluation plans of the studies and other evaluation activities that they will undertake. The plans should be updated annually. The planning should take into account the needs of evaluation results for informing program budgeting, reauthorization, agency strategic plans, ongoing program development and management and responses to critical issues that arise concerning program effectiveness, efficiency, and waste. These plans should include an appropriate mix of short and long term studies to ensure that evaluation results of appropriate scope and rigor are available when short or long term policy or management decisions must be made. To the extent practical, the plans should be developed in consultation with program stakeholders who are involved in or affected by the programs.

Evaluation questions can spring up unexpectedly and urgently, emerging from, say, a changed political or social context, and or a sudden need for information to support a Presidential initiative or to respond to questions raised by the Congress. Therefore evaluation plans should leave room for these contingencies by setting priorities that allow for some flexibility in the scheduling of evaluations.

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UNAIDS also offered guidance for national evaluation strategies, with specific recommendations for content, structure, and process.  

A national evaluation agenda is a comprehensive and standards based approach to identifying, developing and implementing HIV evaluations and using the findings to improve programmes. A national evaluation agenda contains the following elements:

1. A national HIV evaluation strategy. This strategy describes the rationale, goals and specific objectives for HIV evaluation and the procedures for the coordination, implementation and management of evaluations. Mechanisms for resource mobilization and for earmarking funding to different evaluation projects are an important aspect of the strategy.

2. A process and supportive infrastructure to identify and prioritize evaluation gaps. The process describes how evaluation needs will be identified, how often and by whom. The supportive infrastructure describes what needs to be in place to facilitate the process and how the infrastructure is to be maintained over time.

3. A prioritized list of evaluation questions linked to the national AIDS strategic plan. The list includes the rationale for selecting these specific priorities, how they were selected and who was involved in the selection.

4. A dissemination and data use strategy. This strategy describes the key audiences for the evaluation findings, how the evaluation reports will be tailored to the different audiences and the channels through which they will be disseminated, and the mechanisms to support the use of evaluation findings for programme improvement and strategic planning.

5. A costed operational plan. The plan specifies the key tasks to ensure implementation of the prioritized evaluations, the actors responsible, the estimated budget requirements, the funding already secured, the timeline and the products.

The national evaluation agenda should be closely linked to the national, multisectoral, multi-year monitoring and evaluation plan and the annual monitoring and evaluation workplan. Ideally, the national evaluation agenda should be fully integrated in the national planning and implementation processes. Detailed documentation of the evaluation agenda may be an addendum to the national monitoring and evaluation plan.

OU’s will also be required to include as part of the COP submission a National evaluation plan, strategy, or agenda. If such documentation does not exist, OU teams should engage with National evaluation stakeholders to support efforts to develop relevant plans (Figure 2). In these instances, the OU should describe this engagement with National partners, including

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39 Refer to PEPFAR Evaluation Standards of Practice, Version 1.0, 2014, for additional information regarding these processes.
efforts to align the OU evaluation plan with that of the National partners. Ultimately, while the OU evaluation plan is expected to share common themes with the National plan, the OU plan will be the primary source to inform the OU evaluation inventory. In its complete form, this inventory will be the core of an essential project management and reporting tool to document progress on individual evaluations.

**Figure 2. Integrating the OU and National evaluation plans into the annual planning process.**

A two-part Evaluation Planning Tool (Appendix B) is provided to facilitate the Evaluation Planning process.

**Part I – Evaluation Plan.** Key elements of this section pertain to the identification of evaluation priorities to guide the future work proposed in a PEPFAR OU. During this planning phase, SI Liaisons/PEPFAR Coordinators/Agency POCs will have data for all completed, ongoing, and newly commencing evaluations from the APR submission (Table 1). These evaluations and other strategic planning documents may inform the context and content of the OU Evaluation Plan. In addition, this section of the tool addresses current and planned efforts to align with the National Evaluation Plan or to support development of a National plan.

**Part II – Evaluation Inventory.** This section is designed to capture information for each of the proposed new evaluations identified in the current COP submission. The OU
Evaluation Plan should form the basis for this inventory, augmented with the full suite of data represented by the completed, ongoing, newly commencing, and planned evaluations. The relevant Activity Manager, Project Manager, Agreement Officer Representative, Contracting Officer Representative, or implementing agency designee (AM/PM/AOR/COR/IAD) should identify ALL newly planned evaluations (field- and HQ-based) for projects, programs, interventions, or the like (referenced hereafter as ‘projects’). These evaluations should be in accordance with emergent needs to guide decision-making, to meet agency requirements, or to fulfill elements of the OU evaluation plan. The final inventory of planned evaluations will be confirmed at the conclusion of the COP review and receipt of the approval memo.

Collectively, the OU Evaluation Plan and the Evaluation Inventory will foster OU discussions regarding the evolving evaluation agenda, help identify overlap and gaps, and promote opportunities to maximize the use of evaluations to support a more effective epidemic response.

**In FY 2016, both sections of the Evaluation Planning Tool – the Evaluation Plan and the Evaluation Inventory – will be required as part of the COP submission.** Initial submissions as part of the FY 2016 COP are expected to be of diverse content and quality. Specific information and guidance forthcoming from the EWG, as well as a year of effort to support planning, should produce more standardized and high quality materials for the subsequent year.

**Table 1. Evaluation stages for planning and reporting inventories.**

<table>
<thead>
<tr>
<th>Evaluation Stage</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planned</td>
<td>Evaluations approved in the current COP. Actual initiation of evaluation may not occur in the COP fiscal year, or even the following year. This information permits monitoring of future evaluations as part of the encompassing evaluation plan. Planned evaluations will not be reported in the APR until after they have been started.</td>
</tr>
<tr>
<td>Newly Commencing</td>
<td>As defined by Implementing Agencies. <strong>CDC:</strong> evaluations for which the implementing partner has received an award notice, and the evaluation protocol has been approved by all governing institutional review boards, or other entities providing institutional approval for the activity, during the fiscal year documented in the current APR. <strong>USAID:</strong> evaluations for which a Statement of Work (SOW) has been developed and submitted, a peer review has been conducted and documented, budget is available and has been allocated, an appropriate mechanism identified, and a budget amount (core or field support) has been transferred from the relevant OU to the selected mechanism.</td>
</tr>
<tr>
<td>Ongoing</td>
<td>Evaluations that started before and are continuing through the fiscal year documented in the current APR. Some of these evaluations might be reported in multiple APRs.</td>
</tr>
<tr>
<td>Completed</td>
<td>Evaluations that were completed during the fiscal year documented in the current APR.</td>
</tr>
</tbody>
</table>
EVALUATION IMPLEMENTATION

Evaluators should implement the evaluation as per the SOW/protocol in close communication with the AM/PM/AOR/COR/IAD that commissioned the evaluation. The AM/PM/AOR/COR/IAD will provide evaluators with the ESoP to ensure that they are aware of the standards and associated measures of adherence. The AM/PM/AOR/COR/IAD should provide oversight of the evaluation implementation including in-briefing, reviewing work plans and data collection tools, ensuring ethical procedures, participating in the site selection, and de-briefing with the evaluation team. Upon completion of evaluations, evaluators will use, at a minimum, the Required Components of an Evaluation Report (Appendix C) to develop a final evaluation report. The reports must be disseminated publically within 90 days after agency approval of the final evaluation report.

EVALUATION REPORTING

In order to report on newly commencing, ongoing, and completed evaluations, AM/PM/AOR/COR/IAD must use the Evaluation Reporting Tool (Appendix D) to:

- document all newly commencing, ongoing, and completed evaluations (see Table 1), and
- assess completed evaluations against the standards.

This tool is comprised of two different but related components.

Part I – Evaluation Inventory. This section is an overview for all newly commencing, ongoing, or completed evaluations for the current fiscal year. Fill out one row of this form for each evaluation; only if the evaluation stage is identified as ‘completed’ is additional information required in Part II (see Figure 3). Some of this information from Part I also will be used in response to the legislative reporting requirements.

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40 “Completion” may have a different meaning depending on the agency. In the case of USAID: “An evaluation is complete when the AOR or activity manager signs off. This may be different than signing off on an entire contract, if the contract includes other activities such as dissemination.” Furthermore, “Finalization and DEC submission are two separate processes, but ADS 203 underscores the need for transparency and what to do in the event that finalization does not happen with the mission and contractor in a timely fashion. ADS 203.3.1.10 suggests that DEC submission creates a ‘final’ version of the evaluation when it was stalled for one reason or another.” For CDC “completion” is: An evaluation for which the study protocol has closed and/or for which the final summary report has been issued within the reporting period. The application of each of the two criteria will depend on the type of protocol (research/non-research), how the protocol was closed (e.g., following publication of final report and with data destroyed, or preceding publication of final report and data retained for analysis, etc.) and type of report issued (e.g., publication in a peer-reviewed journal, final report submitted by the contractor to the Agency and accepted as final, non-CDC co-authored report published by COAG partner, etc.). If you are unsure whether an evaluation is deemed “completed”, please contact your agency.
**Part II – Adherence Checklist.** This second section is to be filled for all evaluations completed during this time period, within 90 days after approval of the final evaluation report by the Agency. The primary purpose of this section is to assess adherence of PEPFAR evaluations to the 11 standards. The final report should be used as the primary reference document to complete this section of the tool.

Once the Evaluation Inventory form and Adherence Checklist are completed, they must be submitted through the Agency POC, to the SI Liaison who is responsible for submission to S/GAC. **During APR reporting, the SI Liaisons will submit forms for both parts of the reporting tool to headquarters through the DATIM system to report on newly commencing, on-going, and completed evaluations.**

**Figure 3. Evaluation reporting processes.**

**EVALUATION REVIEW**

Three different procedures will be implemented as part of the review process (Figure 1). Each will be conducted independently, although some information will flow among these different processes.

1. Once the two sections of the Evaluation Reporting Tool have been submitted to headquarters (HQ) via DATIM, the appropriate headquarter agency lead will examine
each form for completion and to identify any issues pertaining to the conduct of an evaluation as well as to assess adherence to the standards. In addition, the checklists will be considered for aggregate patterns. Technical assistance needs will be assessed in accordance with concerns or needs identified through these processes.

2. Simultaneously, S/GAC will compile all of the Reporting Tools and checklists and examine the data for the same patterns and issues. Data drawn from the Adherence Checklists will be incorporated into the Annual Report to Congress, complying with the legislative requirements of the *PEPFAR Stewardship and Oversight Act of 2013*[^41].

3. The third HQ review will entail a quality assurance / quality improvement process. This process will: 1) serve as an appraisal to determine whether adherence was correctly assessed; 2) establish a baseline in this first year (i.e., FY 2015) of the quality of evaluation reports which will inform changes that may be needed to the adherence checklist or process; and 3) allow for the monitoring of the quality of PEPFAR funded evaluations over time.

An interagency group will select a random sample of evaluation reports for this review. Members of this group will take the final reports and complete a blank *Adherence Checklist* for each evaluation. This new checklist will be compared to the original submitted by the OUs, and all discrepancies will be noted and described. The review team will convene to share and discuss findings, noting particularly weaknesses in the original submissions, reasons for lack of adherence to standards, more general issues of the checklist itself and the process, and outline findings for a brief report to be shared with the OUs. These results will also be used to update the checklist and the APR/COP guidance documents and to design a technical assistance strategy.

At each step of this review, appropriate feedback with be shared with country teams and relevant implementing partners.

[^41]: Public Law 113-56, op. cit.
Section III - Roles and Responsibilities

For evaluation to become integrated into PEPFAR programs, S/GAC, Implementing Agencies, and OUs have specific responsibilities, as well as extensive shared interests. Among all of these partners, work needs to be coordinated to preclude unnecessary duplication. Communication channels should be established among the various Points of Contact in the field and at HQ to support coordination and improve the quality of evaluation implementation.

It is essential to recognize that the Implementing Agencies have existing business practices, evaluation guidance, policies and frameworks\textsuperscript{42,43} which are generally inclusive of the standards of practice described. These variations should be articulated in agency-specific translational documents providing guidance on the integration of ESoP requirements with agency-specific policies and procedures. Table 2 illustrates ESoP roles and responsibilities by stakeholder entity, and Table 3 illustrates roles and responsibilities for individuals.

Table 2. Stakeholder roles and responsibilities.

<table>
<thead>
<tr>
<th>Stakeholders</th>
<th>Roles &amp; Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>S/GAC</td>
<td>• Coordinate interagency process to support implementation of evaluation standards of practice and use of high quality evaluations in PEPFAR-supported programs</td>
</tr>
<tr>
<td></td>
<td>• Coordinate interagency EWG to develop and disseminate guidance, orient the field on the ESoP, respond to high-level inquiries from the field and headquarters, and conduct the quality assurance / quality improvement reviews</td>
</tr>
<tr>
<td></td>
<td>• Consolidate and review agency and OU reporting of newly commencing, ongoing, and completed evaluations and ESoP adherence.</td>
</tr>
<tr>
<td></td>
<td>• Coordinate efforts to provide technical assistance to strengthen agency, OU, and implementing partner evaluation capacity, as appropriate.</td>
</tr>
<tr>
<td></td>
<td>• Coordinate interagency efforts to disseminate lessons learned, best practices, and evaluation results to relevant stakeholders including the public to promote use of findings and improve PEPFAR programs.</td>
</tr>
<tr>
<td></td>
<td>• Coordinate public dissemination of evaluation reports via pepfar.gov.</td>
</tr>
<tr>
<td></td>
<td>• Coordinate the development of an annual report to Congress on the descriptions of all PEPFAR funded evaluations, public dissemination of evaluation reports, and adherence to ESoP.</td>
</tr>
<tr>
<td>Evaluation Working Group</td>
<td>• Develop ESoP and orient the field and headquarter staff on these guidance documents.</td>
</tr>
<tr>
<td></td>
<td>• Serve as a resource group to answer questions and provide technical assistance to OUs and headquarters regarding implementation and use of the ESoP, as appropriate.</td>
</tr>
<tr>
<td></td>
<td>• Conduct annual quality assurance efforts to monitor OU use of Adherence Checklists, develop a baseline of the quality of PEPFAR evaluations, and monitor the trend over</td>
</tr>
</tbody>
</table>

\textsuperscript{42} USAID, Evaluation Policy, op. cit.
\textsuperscript{43} CDC, Evaluation Framework, op. cit.
**Implementing Agencies**

- Identify Implementing Agency Evaluation Point of Contact at headquarters and in each OU who will be responsible for planning, organizing technical assistance, collecting relevant data for all evaluations (inclusive of centrally funded, multi-country, and other evaluations), and reporting on ESoP.
- Support dissemination and orientation of ESoP to OUs.
- Develop agency-specific guidance documents to translate PEPFAR ESoP for integration with agency policies, when appropriate.
- Lead agency efforts to ensure and improve adherence to the ESoP through orientation/training, rollout, oversight, as well as protocol / SOW and evaluation report review.
- Contribute to completion and review of Evaluation inventories and Adherence Checklists in OUs, and support submission for APR reporting.
- Provide agency-specific technical assistance to OUs to strengthen evaluation capacity, and participate in interagency technical assistance when appropriate.
- Disseminate lessons learned, best practices, and evaluation results to relevant stakeholders and the public.
- Disseminate all completed PEPFAR evaluation reports (OU-implemented, agency-implemented, headquarter-implemented, etc.) on publically accessible agency website and submit the web addresses to S/GAC.
- Support use of evaluation results for decision-making and program improvement within the agency.

**Operating Units**

- Understand and utilize the ESoP for evaluation planning, implementation, and reporting.
- Ensure that all newly commencing and ongoing evaluations are described in the Evaluation Inventory form.
- Ensure that all completed PEPFAR evaluations (e.g., implementing partner, agency, central, multi-country, etc.) are described and assessed for adherence to the standards using the Evaluation Description and Adherence Checklist forms.
- Ensure that completed Evaluation Inventories and Checklists are submitted to the in-country SI Liaison/PEPFAR Coordinator/Agency POC within expected timeframes (i.e., 90 days after agency approval of final evaluation report). *When relevant, headquarter POC for centrally funded project(s) may need to contribute to this documentation.*
- Ensure that all planned PEPFAR evaluations are designed and budgeted appropriately during Country Operational Planning process.
- Ensure that evaluation inventories for all planned, on-going, and completed evaluations and adherence checklists for completed evaluations are reported as part of the Annual Progress Results process.
- Facilitate capacity building needs of staff within the OU on evaluation planning, implementation, budgeting, and oversight.
- Request ESoP-related technical assistance through Agency POC who will coordinate with the EWG or others to provide support as needed.
- Ensure that all OU final evaluation reports are disseminated on relevant agency websites and the web addresses submitted to S/GAC.
- Disseminate lessons learned, best practices, and evaluation results with relevant in-country stakeholders and the public as appropriate.
- Ensure use of evaluation results for decision-making and program improvement within
<table>
<thead>
<tr>
<th>Individuals</th>
<th>Roles &amp; Responsibilities</th>
</tr>
</thead>
</table>
| Implementing Agency ESoP POC (HQ) | - Support dissemination and orientation of ESoP to OUs.  
- Develop agency-specific guidance documents to translate ESoP for integration with agency policies, when appropriate.  
- Provide agency-specific technical assistance to OUs to strengthen evaluation planning, implementation, and reporting.  
- Ensure dissemination of completed PEPFAR evaluation reports on agency website and submission of agency website link to OGAC. |
| Implementing Agency ESoP POC (OU) | - Collect relevant data regarding planned evaluations from the AM/PM/AOR/COR and submit to the SI Liaisons during COP.  
- Collect relevant data on newly commencing, ongoing, and completed evaluations from AM/PM/AOR/COR and submit to the SI Liaisons during APR.  
- Submit completed evaluation reports to Implementing Agency HQ ESoP POC. |
| SI Liaison (OU) | - Report planned evaluations by completing the Evaluation Planning Tool during COP.  
- Use the Evaluation Reporting Tool to report on newly commencing, ongoing, and completed evaluations during APR.  
- Upload completed Evaluation Inventory and Adherence Checklists to DATIM for the APR submission to S/GAC. |
| AM/PM/AOR/COR or Implementing Agency Designee | - Identify which projects will be evaluated and provide relevant information to the SI Liaison during COP.  
- Develop evaluation Scopes of Work or protocols, which must be approved through relevant agency procedures and processes.  
- Select and procure the services of competent and qualified evaluators to conduct evaluations.  
- Provide management / oversight of evaluators, providing them with the ESoP including relevant tools and templates.  
- After the evaluation is implemented, complete the Evaluation Inventory and, when appropriate, the Adherence Checklist within 90 days after Agency approval of the final evaluation report.  
- Submit completed inventory and checklists to SI Liaisons, through Agency POC. |
| Evaluator(s) | - Review and understand PEPFAR ESoP.  
- Ensure evaluations adhere to the 11 standards.  
- Provide completed, high quality evaluation reports ensuring the inclusion at least of |
| the Required Components of an Evaluation Report.  
| • Provide findings, conclusions, and recommendations which are feasible, actionable, and specific to inform program planning and facilitate program improvement. |
Section IV - Tools and Templates

This third section outlines the tools and templates that will be used to plan evaluations, write evaluation reports, assess adherence to standards, and report on evaluations. These tools and templates are intended to facilitate processes associated with the different periods of evaluation implementation. For planning and reporting, it is important to differentiate which tools are intended for which purpose and when these components are most appropriate (Table 4). The tools can be found in the Appendices.

Table 4. Critical components of evaluation planning and reporting.

<table>
<thead>
<tr>
<th>Evaluation Tools</th>
<th>When to Use</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>COP</td>
</tr>
<tr>
<td>Evaluation Planning</td>
<td></td>
</tr>
<tr>
<td>Part I: OU and National evaluation strategies/plans, updates (see Figure 2)</td>
<td>X</td>
</tr>
<tr>
<td>Part II: Inventory of new evaluations for the Fiscal Year</td>
<td></td>
</tr>
<tr>
<td>Evaluation Reporting</td>
<td></td>
</tr>
<tr>
<td>Part I: Inventory of newly commencing, ongoing, and completed evaluations in the Fiscal Year</td>
<td>X</td>
</tr>
<tr>
<td>Part II: Adherence checklist for completed evaluations within the Fiscal Year</td>
<td>X</td>
</tr>
</tbody>
</table>

1. EVALUATION PLANNING TOOL (Appendix B)

PART I – Evaluation Plan
- **Who**: Used by in-country AM/PM/AOR/CORs or other Implementing Agency Designee
- **When**: During *Country Operational Planning*
- **Why**: To report on National and OU evaluation strategies for the following fiscal year
- **Data required**:
  - [✓] OU evaluation plan exist
  - [✓] OU evaluation plan date
  - [✓] OU evaluation plan priorities
  - [✓] National evaluation plan exist
  - [✓] National evaluation plan priorities
  - [✓] National evaluation plan date
  - [✓] Activities to link National and OU evaluation plans

PART II – Evaluation Inventory – Proposed New Evaluations Only
- **Who**: Used by SI Liaisons
- **When**: During *Country Operational Planning*
- **Why**: To report on planned new evaluations for the following fiscal year
- **Data required**:
  - [✓] OU
  - [✓] US Agency funding project
  - Name of project to be evaluated
  - Project implementing partner
  - Primary evaluation questions
2. REQUIRED COMPONENTS OF AN EVALUATION REPORT (Appendix C)
   - **Who**: Used by evaluators
   - **When**: During the development of a final evaluation report
   - **Why**: This guidance on the required components will ensure consistency and standardization across PEPFAR evaluations, will improve report quality, and will ensure the needed components are included to assess adherence and report accordingly.
   - **Data required**:
     - Cover and title pages
     - Executive Summary
     - Project Background
     - Evaluation Purpose and Questions
     - Evaluation Design, Methodology, and Limitations
     - Findings and Conclusions
     - Recommendations
     - Dissemination
     - References
     - Appendices

3. EVALUATION REPORTING TOOL (Appendix D)
   **PART I – Evaluation Inventory**
   - **Who**: The Evaluation Inventory tool must be implemented by in-country AM/PM/AOR/CORs or other Implementing Agency Designee who commissioned the evaluation, and must be submitted to SI Liaisons upon completion. SI Liaisons will submit the list during APR, to report on the full portfolio of evaluations in an OU.
   - **When**: During Annual Program Results reporting (accessible in DATIM).
   - **Why**: To obtain an overview of all planned, ongoing, and completed evaluations; to describe the OU evaluation portfolio and agenda; to compare the OU evaluation plan with that of the national partner; and to collect needed data to report on the legislative requirements.
   - **Data required**:
     - OU or HQ
     - Name of project evaluated
     - Primary technical area
     - USG Agency funding project
     - Project implementing partner
     - USG Agency funding evaluation
     - Evaluation title
     - Evaluation implementing partner
     - Evaluation questions
Part II – Adherence Checklist

- **Who:** The Adherence Checklist must be implemented by in-country AM/PM/AOR/CORs or other Implementing Agency Designee who commissioned the evaluation, and must be submitted to SI Liaisons upon completion. SI Liaisons will submit the Adherence Checklists during APR, to report on standards adherence for the portfolio of completed evaluations in an OU.

- **When:** During *Annual Program Results* reporting (accessible in DATIM). These completed checklists must be submitted to SI Liaisons within 90 days after agency approval of final evaluation reports. Checklist also can be used at the beginning of evaluations to help familiarize evaluators with the standards and how they will be assessed for adherence to them.

- **Why:** To ascertain whether completed evaluations adhered to the standards; to identify challenges with evaluation implementation; to inform improvement efforts; to tailor technical assistance to the field; and to provide data for legislative requirements.

- **Data Required:** In addition to evaluation title and data, and review information
  - How were evaluation results used?

Did the evaluation adhere to each standard (Yes, No, Partially)

- Engage Stakeholders
- Clearly State Evaluation Questions, Purpose, And Objectives
- Use Appropriate Evaluation Design, Methods, And Analytical Techniques
- Address Ethical Considerations And Assurances
- Identify Resources And Articulate Budget
- Construct Data Collection And Management Plans
- Ensure Appropriate Evaluator Qualifications And Independence
- Monitor The Planning And Implementation Of Evaluations
- Produce Quality Evaluation Reports
- Disseminate Results
- Use Findings For Program Improvement
Appendix A. Definition of Terms

**Activity**: “An activity is a component of a project that contributes to a project purpose. It refers to an award (such as a contract, grant or cooperative agreement), or a component of a project such as training or technical assistance.”

**Conflict of Interest**: “A situation in which a party has interests that could improperly influence that party’s performance of official duties or responsibilities, contractual obligations, or compliance with applicable laws and regulations”. A real or perceived conflict of interest of an evaluator translates to a lack of “impartiality, objectivity, and integrity” and could jeopardize the credibility and validity of the findings.

**Economic Evaluation**: Use of applied analytical techniques to identify, measure, value and compare the costs and outcomes of alternative interventions. Economic evaluation is a systematic and transparent framework for assessing efficiency focusing on the economic costs and outcomes of alternative programs or interventions. This framework is based on a comparative analysis of both the costs (resources consumed) and outcomes (health, clinical, economic) of programs or interventions. Main types of economic evaluation are cost-minimization analysis (CMA), cost-effectiveness analysis (CEA), cost-benefit analysis (CBA) and cost-utility analysis (CUA).

**Evaluation**: “Evaluation is the systematic collection and analysis of information about the characteristics and outcomes of programs and projects as a basis for judgments, to improve effectiveness, and/or inform decisions about current and future programming. Evaluation is distinct from assessment, which may be designed to examine country or sector context to inform project design, or an informal review of projects.”

**Evaluator Independence**: There are multiple facets pertaining to independence that need to be considered. One facet refers to having “no fiduciary relationship with the implementing partner” that is being evaluated”. In addition, “independence provides legitimacy to evaluation and reduces the potential for conflict of interest which could arise if policy makers and managers were solely responsible for evaluating their own activities”. Also “evaluators are

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44 Agencies (as well as global partners) use generally comparable definitions for these terms, but some variation does exist and may have implications for specific work performed.
45 Department of State, Evaluation Policy, op. cit.
47 Ibid.
48 Drummond 2005.
49 Ibid.
independent from the development intervention, including its policy, operations and management functions, as well as intended beneficiaries...The evaluation team is able to work freely and without interference. It is assured of co-operation and access to all relevant information”.

**EXTERNAL EVALUATION:** An evaluation conducted externally by an independent consulting firm, research institute, or independent oversight agency such as GAO or an agency’s Inspector General. The importance of an evaluator’s independence from program management provides greater credibility of the evaluation findings and report.

**IMPACT:** “The long-term, cumulative effect of programs/interventions over time on what they ultimately aim to change, such as a change in HIV infection, AIDS-related morbidity and mortality. Note: Impacts at a population-level are rarely attributable to a single program/intervention, but a specific program/intervention may, together with other programs/interventions, contribute to impacts on a population.”

**IMPACT EVALUATION:** Measures the change in an outcome that is attributable to a defined intervention by comparing actual impact to what would have happened in the absence of the intervention (the counterfactual scenario). IEs are based on models of cause and effect and require a rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change. There are a range of accepted approaches to applying a counterfactual analysis, though IEs in which comparisons are made between beneficiaries that are randomly assigned to either an intervention or a control group provide the strongest evidence of a relationship between the intervention under study and the outcome measured to demonstrate impact.

**INTERNAL EVALUATION:** Evaluations aimed at identifying program improvement and are conducted by a program office or an agency unit that specializes in program analysis and evaluation. Internal evaluations include those led by or made up entirely of implementing agency staff (HQ or field), those implemented by partners of their own efforts, or those commissioned by implementing partners using external consultants.

**MONITORING:** “Monitoring provides an indication of progress against goals and indicators of performance, reveals whether desired results are occurring, and confirms whether

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52 OECD DAC, Quality Standards for Development Evaluation. P. 11
56 GAO, 2012, op. cit. P. 5
implementation is on track. In general the results measured are the direct and near term consequences of program activities.\(^{57}\)

**Outcome:** “Short-term or medium-term effect of an intervention’s outputs, such as a change in knowledge, attitudes, beliefs, behaviors.”\(^{58}\)

**Outcome Evaluation:** “A type of evaluation that determines if and by how much, intervention activities or services achieved their intended outcomes.” It focuses on “outputs and outcomes (including unintended effects) to judge program effectiveness, but may also assess program process to understand how outcomes are produced.”\(^{59}\)

**Outputs:** “The results of program/intervention activities; the direct products or deliverables of program/intervention activities, such as the number of HIV counseling sessions completed, the number of people served, the number of condoms distributed.”\(^{60}\)

**Process Evaluation:** “A type of evaluation that focuses on program or intervention implementation, including, but not limited to access to services, whether services reach the intended population, how services are delivered, client satisfaction and perceptions about needs and services, management practices. In addition, a process evaluation might provide an understanding of cultural, socio-political, legal, and economic context that affect implementation of the program or intervention.”\(^{61}\)

**Program:** “An overarching national or sub-national response to a disease. A program generally includes a set of interventions marshaled to attain specific global, regional, country, or subnational objectives; involves multiple activities that may cut across sectors, themes and/or geographic areas.”\(^{62}\)

**Project:** “An intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader program.”\(^{63}\)

**Protocol:** “A study protocol is a document that describes, in detail, the plan for conducting the [‘clinical’ – in the original] study. The study protocol explains the purpose and function of the study as well as how to carry it out. Some specific things included in the protocol are the reason for the study, the number of participants, eligibility and exclusion criteria, details of the

\(^{57}\) Ibid.


\(^{60}\) Ibid., P. 65.

\(^{61}\) Ibid., P. 66.

\(^{62}\) Ibid., P. 66.

\(^{63}\) Ibid., P. 67.
intervention or therapy the participants will receive (such as frequency and dosages), what data will be gathered, what demographic information about the participants will be gathered, steps for clinical caregivers to carry out, and the study endpoints. A single standard protocol must be used without deviation to ensure that the resulting data will be significant and reliable.”

We refer to a protocol for an evaluation as opposed to a clinical study.

**Research:** “A systematic, intensive study intended to increase knowledge or understanding of the subject studied, a systematic study specifically directed toward applying new knowledge to meet a recognized need, or a systematic application of knowledge to the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.”

**Statement of Work/Scope of Work:** “A formal document that captures and defines the work activities, deliverables, and timeline a vendor must execute in performance of specified work for a client. The SOW usually includes detailed requirements and pricing, with standard regulatory and governance terms and conditions. It thus overlaps in concept with a contract, and indeed SOWs are often legally equivalent to contracts.”

“A Statement of Work is typically used when the task is well-known and can be described in specific terms. SOW's provide explicit statements of work direction for the contractor to follow.”

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64 NIH. https://www.nichd.nih.gov/health/clinicalresearch/clinical-researchers/steps/Pages/prepareprotocol.aspx  
66 Wikipedia  
Appendix B. Evaluation Planning Tool

<table>
<thead>
<tr>
<th>EVALUATION PLANNING TOOL -- Part 1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EVALUATION PLAN</strong></td>
</tr>
<tr>
<td><strong>Operating Unit:</strong></td>
</tr>
<tr>
<td><strong>Operating Unit Evaluation Plan</strong></td>
</tr>
<tr>
<td>Does an OU Evaluation Plan exist?</td>
</tr>
<tr>
<td>Comments:</td>
</tr>
<tr>
<td>Operating Unit Evaluation Plan priorities</td>
</tr>
<tr>
<td>Describe:</td>
</tr>
<tr>
<td><strong>National Evaluation Plan</strong></td>
</tr>
<tr>
<td>Does a National Evaluation Plan exist?</td>
</tr>
<tr>
<td>Comments:</td>
</tr>
<tr>
<td>National Evaluation Plan priorities</td>
</tr>
<tr>
<td>Describe:</td>
</tr>
<tr>
<td><strong>Engagement for National Evaluation Agenda</strong></td>
</tr>
<tr>
<td>Describe engagement of OU with National partners to develop National plan or align OU with National plan</td>
</tr>
<tr>
<td>(High level description of plans to engage MOH/NAC in finalization of this evaluation plan and on evaluation capacity building efforts)</td>
</tr>
<tr>
<td>Describe:</td>
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<tr>
<td>Operating Unit</td>
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Appendix C. Required Components of an Evaluation Report

This tool will be used by evaluators to develop final evaluation reports and assemble related documentation that will constitute appendices to the report. An evaluation report is the primary vehicle to document the methods, findings, conclusions, and recommendations of evaluations in order to disseminate results. Reports should clearly, succinctly, and impartially describe findings, conclusions, and recommendations.

Each component listed below is required for every PEPFAR evaluation report, but the order can vary and the components may be addressed in separate project documents. Agencies may have their own respective report templates/formats that should be followed, but all of the below components must be included in the final report or related documentation, which may be included as appendices to the final report. Evaluation projects that result in multiple reports on different aspects of the evaluation may be submitted as a single report, by aggregating the reports and supporting documentation. Final PEPFAR evaluation reports and related project documentation that includes information on the required components will be posted on agency websites, on pepfar.gov, as well as on a website of the Department of State, in accordance with agency open access policies.

<table>
<thead>
<tr>
<th>Components</th>
<th>Content</th>
<th>Evaluation Standard Addressed (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Cover and Title pages</td>
<td>□ Title of evaluation</td>
<td>Standard 2</td>
</tr>
<tr>
<td></td>
<td>□ Date of release of report</td>
<td></td>
</tr>
<tr>
<td></td>
<td>□ Name of evaluators and affiliation</td>
<td>Standard 7</td>
</tr>
<tr>
<td>2. Executive Summary</td>
<td>□ Contains evaluation purpose, evaluation questions, brief description of project being evaluated, data collection methods, analytic methods, evaluation findings, limitations, conclusions and recommendations</td>
<td></td>
</tr>
<tr>
<td>3. Project Background</td>
<td>□ Brief description of program/project to be evaluated including dates of project implementation, total cost, geographical location, and objectives</td>
<td>Standard 2</td>
</tr>
<tr>
<td>4. Evaluation purpose and Questions</td>
<td>□ Purpose of the evaluation and justification</td>
<td>Standard 2</td>
</tr>
<tr>
<td></td>
<td>□ Questions the evaluation will answer; Hypothesis (where appropriate)</td>
<td></td>
</tr>
<tr>
<td>Components</td>
<td>Content</td>
<td>Evaluation Standard Addressed (if applicable)</td>
</tr>
<tr>
<td>------------------------------------</td>
<td>------------------------------------------------------------------------</td>
<td>-----------------------------------------------</td>
</tr>
<tr>
<td>5. Evaluation Design, Methods, and Limitations</td>
<td>□ Overall evaluation design</td>
<td>Standard 5</td>
</tr>
<tr>
<td></td>
<td>□ Type of evaluation (process, outcome, impact, economic)</td>
<td>Standard 3</td>
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<tr>
<td></td>
<td>□ Summary of stakeholder engagement</td>
<td>Standard 1</td>
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<td></td>
<td>□ Sampling strategy</td>
<td>Standard 3</td>
</tr>
<tr>
<td></td>
<td>□ Data collection methods and rational as aligned to evaluation questions</td>
<td>Standard 3</td>
</tr>
<tr>
<td></td>
<td>□ Sources of data Analytic methods and rationale</td>
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<td></td>
<td>□ Ethical considerations and assurances (e.g., non-research determination and/or IRB approval with dates; application of informed consent, if appropriate; procedures to ensure human rights protection)</td>
<td>Standard 3</td>
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<tr>
<td></td>
<td>□ Deviations and adjustments (if any) from the approved SOW/protocol</td>
<td>Standard 4</td>
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<tr>
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<td>□ Procedures used to ensure that the data are of highest achievable quality</td>
<td>Standard 8</td>
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<tr>
<td></td>
<td>□ Data analysis plan</td>
<td>Standard 6</td>
</tr>
<tr>
<td></td>
<td>□ Limitations of the design and analytic methods</td>
<td>Standard 6</td>
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<tr>
<td>6. Findings and Conclusions</td>
<td>□ Key findings for program improvement in relation to evaluation questions</td>
<td>Standard 9</td>
</tr>
<tr>
<td></td>
<td>□ Unexpected findings</td>
<td></td>
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<td></td>
<td>□ Conclusions</td>
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<td></td>
<td>□ Graphical representation of results and quotes where relevant</td>
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<tr>
<td>7. Recommendations</td>
<td>□ Actionable, feasible, and specific recommendations aligned to key findings</td>
<td>Standards 9 and 10</td>
</tr>
<tr>
<td>8. Dissemination</td>
<td>□ Dissemination procedures/plan</td>
<td>Standard 11</td>
</tr>
<tr>
<td>9. References</td>
<td>□ Reports or publications cited in the body of the report</td>
<td>Standard 3</td>
</tr>
<tr>
<td>10. Appendices</td>
<td>□ Approved Evaluation SOW/Protocol</td>
<td>Standard 6</td>
</tr>
<tr>
<td></td>
<td>□ Data collection instruments/tools</td>
<td>Standard 6</td>
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<td>□ Informed Consent, where relevant</td>
<td>Standard 4</td>
</tr>
<tr>
<td></td>
<td>□ Abridged bios of the evaluation team members including qualifications, experience, role on the team, and Ethical certifications (if applicable)</td>
<td>Standards 7 and 4</td>
</tr>
<tr>
<td></td>
<td>□ Conflict of interest statement</td>
<td>Standard 7</td>
</tr>
<tr>
<td></td>
<td>□ Evaluation costs</td>
<td>Standard 5</td>
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<tr>
<td></td>
<td>□ Project Results Framework or Logical Framework</td>
<td></td>
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</tbody>
</table>
Appendix D. Evaluation Reporting Tool

This two-part tool must be completed by the AM/PM/AOR/COR or Implementing Agency Designee in conjunction with the APR. **PART I** of this tool needs to be completed for **all** evaluations newly commencing, ongoing, or completed during the current fiscal year. The information contained in this section represents an overview of all evaluations and provides a basis to understand OU evaluation portfolios. Some of this information also will be used in response to the legislative reporting requirements. Many of these data elements will be found in a drop-down list, while others require unique information from the implementing agency, implementing partner, or the evaluation study. Refer to the ESoP to determine definitions for evaluation type. Check all selections that apply with respect to primary beneficiaries and technical areas. Please follow up with the relevant contacts to ensure that all data elements are completed.

**PART II** of this tool needs to be fulfilled only for evaluations **completed** during this time period, within 90 days after approval of the final evaluation report by the Agency. The final report should be used as the primary reference document to complete this section of the tool. The principal purpose of this section is to assess PEPFAR evaluations for adherence to the 11 standards. Completion of the tool is required at the end of each evaluation, but evaluators can also use it at the beginning of a study as guidance.

On the checklist, read the evaluation review factors and rate whether the sub-questions were met by answering (YES), (NO), or (PARTIALLY).

- If all of the sub-elements under each standard are rated (YES), rate the overall standard as (YES).
- If all of the sub-elements of the standard are rated (NO), rate the overall standard as (NO).
- If there is any combination of Yes and No for the sub-elements, rate the standard as (PARTIAL).

The right hand column of the checklist can be used to make any comments to explain, clarify, or provide any justification for each rating. If the overall standard is rated as No or Partially (met), you must provide evidence of this in the comments section. This column can also be used to indicate any additional reference materials, other than the final evaluation report, that might have been used to assess the standard.
PEPFAR Evaluation Reporting Tool – Part I: Evaluation Inventory (newly commencing, on-going, and completed)

<table>
<thead>
<tr>
<th>Operating Unit</th>
<th>Name of project evaluated</th>
<th>Primary technical area</th>
<th>USG Agency Funding Project</th>
<th>Project implementing partner</th>
<th>USG Agency funding evaluation</th>
<th>Evaluation Title</th>
<th>Evaluation implementing partner</th>
<th>Evaluation questions</th>
<th>Evaluation type</th>
<th>Evaluation stage</th>
<th>Evaluation progress</th>
<th>Primary beneficiaries of project</th>
<th>Cost of project to date</th>
<th>Cost of evaluation to-date</th>
<th>Evaluation start date</th>
<th>Evaluation end date</th>
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</table>
# PEPFAR Evaluation Reporting Tool – Part II: Adherence Checklist

## Adherence Checklist -- Completed Evaluations Only

| Title of evaluation                  | Date evaluation report approved by agency | Reviewer name | Reviewer title and agency | Date of review | How were evaluation results used?
<table>
<thead>
<tr>
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<tbody>
<tr>
<td><strong>Evaluation Review Factor</strong></td>
<td><strong>Was the standard met?</strong></td>
<td><strong>Reviewer Comments</strong></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>ESoP 1: Engage Stakeholders</td>
<td>☐ NO  ☐ Partially  ☐ YES</td>
<td>[Please include comments to explain if No or Partially met, and reference documents/supporting materials used in making the assessment ]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1a. The evaluation team identified the stakeholders, their information needs, and involved these stakeholders in informing the design, implementing the evaluation, disseminating, and using the results.</td>
<td></td>
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<td></td>
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<tr>
<td>ESoP 2: Clearly state Evaluation Questions, Purpose, and Objectives</td>
<td>☐ NO  ☐ Partially  ☐ YES</td>
<td></td>
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### ESoP 1: Engage Stakeholders

1a. The evaluation team identified the stakeholders, their information needs, and involved these stakeholders in informing the design, implementing the evaluation, disseminating, and using the results.

---

### ESoP 2: Clearly State Evaluation Questions, Purpose, and Objectives

---
2a. There is a clear description of the project being evaluated, the purpose of the evaluation, the evaluation questions, and how the evaluation results will be used and by whom.

**ESoP3: USE APPROPRIATE EVALUATION DESIGNS, METHODS, AND ANALYSIS**  
☐ NO  ☐ Partially  ☐ YES

3a. The selected design, methods, and analytical plan are appropriate for the evaluation questions being asked. (Please reference your agency’s protocol processes – as well as the data collection tools referred to in 3b)

3b. The data collection tools (questionnaires, checklists, interview guides, and other instruments) used in the evaluation are provided in the annex of the report or protocol.

**ESoP4: ADDRESS ETHICAL CONSIDERATIONS AND ASSURANCES**  
☐ NO  ☐ Partially  ☐ YES

4a. The evaluation report describes procedures in place to ensure human rights were protected with respect to privacy, confidentiality, and maintenance of the dignity of participants and received IRB approval where applicable or other human-subject review (for non-research evaluation).

4b. If interviews were conducted, informed consent procedures were described and documented in the evaluation report to ensure that participants were informed of the risks and benefits of their participation, as well as the lack of consequences in their eligibility to receive services regardless of their participation.

**ESoP5: IDENTIFY RESOURCES AND ARTICULATE BUDGET**  
☐ NO  ☐ Partially  ☐ YES

5a. The evaluation report included total cost of implementing the evaluation.

**ESoP6: CONSTRUCT DATA COLLECTION AND MANAGEMENT PLANS**  
☐ NO  ☐ Partially  ☐ YES

6a. Data collection and management procedures were described in the evaluation report. Changes made to the evaluation plan/protocol were documented.

**ESoP7: ENSURE APPROPRIATE EVALUATOR QUALIFICATIONS AND EVALUATION INDEPENDENCE**  
☐ NO  ☐ Partially  ☐ YES
<table>
<thead>
<tr>
<th>7a. The evaluation report includes a description of the evaluation team including: evaluator names, each member’s role in the evaluation, and their background and experiences, providing evidence of the teams’ qualifications in the technical areas of the project and in research/evaluation methods.</th>
</tr>
</thead>
</table>

<table>
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<tr>
<th>7b. The evaluation report provides evidence of the management of conflict of interest for both internal and external evaluations, including statements of conflict of interest procedures and declarations to ensure credibility and mitigate bias.</th>
</tr>
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<table>
<thead>
<tr>
<th><strong>ESoP8: MONITOR THE PLANNING AND IMPLEMENTATION OF AN EVALUATION</strong></th>
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</table>

<table>
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<tr>
<th>8a. There is evidence of adequate planning and monitoring of the evaluation implementation such as work plans, timelines/schedules, and deliverables by the team lead and USG staff providing oversight.</th>
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<tr>
<th><strong>ESoP9: PRODUCE QUALITY EVALUATION REPORTS</strong></th>
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<tr>
<th>9a. The evaluation report has all relevant components of a high quality evaluation report including:</th>
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<table>
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<tr>
<th>· cover and title pages;  · executive summary;  · project background  · evaluation purpose and questions;  · evaluation design, methods, and limitations;  · findings and conclusions  · recommendations;  · dissemination  · references  · appendices (evaluation protocol/SOW, data collection tools, informed consent forms, abridged bios of evaluation team members, Conflict of Interest Statements, evaluation costs, data sources, results frameworks/logical frameworks, funding documents)</th>
</tr>
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</table>
9b. The evaluation report conveys that the evaluation was undertaken in a manner to ensure credibility, objectivity, transparency, and the generation of high quality information and knowledge?

9c. Findings are specific, concise, and supported by strong quantitative and/or qualitative evidence from multiple sources, data collection methods, and analytic techniques. If not, an explanation is provided.

9d. Each conclusion in the report is supported by a specific or clearly defined finding.

9e. Each recommendation is supported by a specific or clearly defined set of findings and conclusions, and are feasible, specific, responsive to the purpose, and action-oriented.

**ESoP 10: DISSEMINATE RESULTS**

- 10a. The evaluation report includes a dissemination plan for how the findings of the evaluation will be disseminated to relevant stakeholders (e.g. reports, presentations, publications, agency websites, annual reports, policy briefs).
- 10b. The final evaluation report was uploaded to the respective agency website within 90 days after clearance/approvals by all relevant authorities.

**ESoP 11: USE FINDINGS FOR PROGRAM IMPROVEMENT**

- 11a. The evaluation report includes a stated plan for how the evaluation findings will be used for decision-making and program improvement (e.g. mid-course corrections, new procurements, resource allocation, and intervention uptake) and timeframe, if appropriate.
Appendix E. Evaluation Resources

The below are evaluation resources and references for further information.


- Department of State Program Evaluation Policy, [http://www.state.gov/s/d/rm/rls/evaluation/2012/184556.htm](http://www.state.gov/s/d/rm/rls/evaluation/2012/184556.htm)


- American Evaluation Association (AEA), Guiding Principles for Evaluators, [http://www.eval.org/p/cm/ld/fid=51](http://www.eval.org/p/cm/ld/fid=51)


