Integrated Evaluation Manual for International Development Cooperation

Attachments: 1. Standard Contents of Terms of Reference / 2. Checklist for Terms of Reference/ 3. Standard Contents of Evaluation Report / 4. Checklist for Evaluation Report Quality Control

Ⅰ. Introduction

1. Definition of Evaluation

The definitions provided by the OECD Development Assistance Committee (DAC) shall apply to the evaluation of international development cooperation. Agencies evaluating international development cooperation projects shall also use the DAC definitions for conducting evaluation. The DAC defines evaluation as follows:

Evaluation is the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision–making process of both recipients and donors.

2. Purpose of Evaluation

The primary purpose of evaluation is to improve international development cooperation projects through the provision of feedback on evaluation findings and to ensure accountability by measuring and disclosing the outcome of such projects.

(1) Improvement of International Development Cooperation (Enhanced Management)

Based on lessons learned from ongoing or completed international development cooperation projects, improvement strategies are identified and applied to achieve qualitative improvements. Lessons learned from

evaluation are utilized to decide whether or not to continuously implement international development cooperation projects, to efficiently modify their execution strategies, and to guide the setting of strategies for new projects.

Therefore, just as important as learning useful lessons from evaluation is creating an institutional mechanism to apply such lessons toward international development cooperation programs in ways that yield tangible results.

(2) Enhancement of Public Accountability

Public disclosure of evaluation findings, processes, and related information reinforces accountability for international development cooperation and generates public support.

In the context of evaluation, accountability denotes responsibility for the results and impact of international development cooperation projects. This is conceptually distinct from simply complying with accounting and legal principles, disbursing financial resources for international development cooperation projects, and undergoing an audit. This can be described as 'performance accountability' to distinguish it from 'financial accountability,' which signifies responsibility for budget allocation, distribution, and application.

3. Principles of Evaluation

Evaluation is conducted in accordance with the following principles:

(1) Impartiality

Evaluating agencies must conduct evaluation by taking into account the varying positions of different stakeholders. Evaluators need to prevent any biased stances from affecting an evaluation process encompassing fact-finding, analysis, and conclusion, and conduct assessment fairly to enhance the credibility of evaluation.

(2) Independence

Evaluation must be carried out independently, apart from the policy-making and project execution processes. Evaluating agencies need to ensure that the interests of evaluators will not impact evaluation findings. An evaluation team must be comprised of individuals who can objectively investigate and analyze an evaluation target without being influenced by their own interests. It is not advisable for persons or institutions involved in the preparation or performance of activities related to the evaluation target to become members of an evaluation team.

(3) Credibility

Evaluation needs to be performed by professional, independent evaluators following transparent procedures. Constraints on evaluation, such as budget, methodology and duration, must be clarified. It is important to ensure transparency by fully informing stakeholders of the entire evaluation process extending from planning and execution to conclusion, including the evaluation method. Evaluators must carry out evaluation in good faith.

(4) Usefulness

It is imperative to present evaluation findings in a timely and reasonable manner so that they can be utilized in international development cooperation policy-making, incorporating the interests and needs of diverse stakeholders to the greatest possible extent.

Evaluating agencies must clarify the purpose of evaluation while taking measures to ensure that their evaluation reflects the needs of prospective users. In addition, they need to provide stakeholders with easy access to the evaluation process and findings.

(5) Partnership

Evaluating agencies encourage development cooperation partners, including partner countries, other donor countries and institutions, and civil society to participate in evaluation. The agencies also ascertain the likelihood and adequacy of joint evaluation.

Joint evaluation is encouraged because it promotes participants' mutual understanding of international development cooperation procedures. Additionally, it contributes to the development of enhanced evaluation methods and the sharing of evaluation-related information and findings while minimizing the administrative burden on partner countries.

4. Types of Evaluation

Evaluation is categorized into the following, based on the method, timing, and target of evaluation:

Method	Internal Evaluation, Self-Evaluation
	External Evaluation, Third-party Evaluation
	Joint Evaluation
Timing	Ex-ante Evaluation
	Interim Evaluation
	End-of-project Evaluation
	Ex-post Evaluation
Target	Policy & Strategy Evaluation
	Country Program Evaluation
	Sector Evaluation
	Thematic Evaluation
	Modality Evaluation
	Project/Program Evaluation

(1) Classification Based on Evaluation Method

① Internal Evaluation

Internal evaluation refers to the evaluation of international development cooperation projects by personnel of an agency that is carrying out or involved in the respective project. It is also called self-evaluation.

② External Evaluation

External evaluation denotes evaluation that executing agencies commission to independent professional organizations or experts ("external organizations").

③ Joint Evaluation

Joint evaluation means evaluation of an international development cooperation project involving multiple donor countries and institutions that is jointly conducted by stakeholders based on a single agreed-upon assessment method.

Originally, joint evaluation referred to 'joint evaluation among donor countries.' Presently, it includes those cases in which entities involved in international development cooperation (NGOs, partner countries, etc.) take part in evaluation.

(2) Classification Based on Evaluation Timing

① Ex-ante Evaluation

Ex-ante evaluation refers to establishing an international development cooperation project plan (including an evaluation plan such as development of a performance evaluation index) during the project planning phase to enable results-based evaluation.

② Interim Evaluation

Interim evaluation denotes assessment conducted over the course of an international development cooperation project. It is selectively conducted in the form of an inspection when there is a problem with project implementation or when a project is carried out over a certain period of time.

③ End-of-project Evaluation

End-of-project evaluation refers to assessment conducted when an international development cooperation project is completed. It can take the form of a written review of a report on the evaluation target or a project completion report. Closer examination may be pursued through a site survey.

④ Ex-post Evaluation

Ex-post evaluation means assessment performed after a certain period of time has elapsed since completion of an international development cooperation project. This type of evaluation is primarily used to measure the effectiveness, impact, and sustainability of a project and, subsequently, to obtain recommendations for similar projects or learn strategic lessons.

Ex-post evaluation can be selectively carried out on completed international development cooperation projects. It can target a single project or multiple projects.

(3) Classification Based on Evaluation Target

① Policy & Strategy Evaluation

Policy & strategy evaluation means assessment of the relevance, efficiency, and effectiveness of policies and strategies guiding performance of international development cooperation projects, including the ODA Mid-term Plan.

Based on such evaluation, it is possible to estimate whether i) the policies and strategies reflect the trends of international development cooperation as well as the development policies and tasks of the partner countries; ii) the goals are clear; iii) the goals have been accomplished; and iv) those policies and strategies are sustainable and relevant to future policies and strategies.

② Country Program Evaluation

Country program evaluation refers to assessment of overall international development cooperation projects involving a specific partner country. If there exist strategies related to the country such as a Country Partnership Strategy, those strategies are subject to an integrated assessment. If such strategies do not exist, a comprehensive diagnosis is made on international development cooperation activities for the partner country, based on overall evaluation of the programs performed for the country.

Country program evaluation mostly measures the degree of consistency of Korea's international development cooperation activities with its Country Partnership Strategy and a partner country's own development policy, as well as the impact of the Country Partnership Strategy on development of the partner country. The purpose of country program evaluation is to incorporate the findings into the formulation of a successive Country Partnership Strategy and policy dialogue with the partner country.

③ Sector Evaluation

Sector evaluation denotes overall assessment of international development cooperation projects in a specific sector. If there exist any assistance plans and strategies based around a sector, i.e., information & communication, education, or environment, the relevance, effectiveness, and efficiency of international development cooperation projects in the sector are evaluated including the respective plan and strategy.

Sector evaluation is carried out through comprehensive assessment of projects in each sector undertaken within a given time frame; measurement of the effectiveness and feasibility of Korea's assistance policies and strategies by sector; or appraisal of the alignment of such policies and strategies with projects.

④ Thematic Evaluation

Thematic evaluation refers to assessment of projects that fall within a specific international development cooperation theme, such as gender equality, environment, human rights, and institutional enhancement.

Because thematic evaluation encompasses policies, strategies, countries, and sectors for each selected theme, there is no single conventional evaluation format. Thus, it can be implemented in various ways.

⑤ Modality Evaluation

Modality evaluation means assessment based on the method of executing international development cooperation projects. In other words, these projects are categorized by their form, such as grant and loan assistance, training of invitees to Korea, overseas dispatch of experts and volunteers, knowledge sharing, and development studies.

⑥ Project/Program Evaluation

This refers to assessment of specific international development cooperation projects or programs.

Ⅱ. Evaluation System

1. Overview

(1) Structure of Integrated Evaluation System

Integrated evaluation of international development cooperation activities involves the Subcommittee for Evaluation, collaborating agencies, and executing agencies. The Subcommittee and executing agencies ("evaluating agencies") conduct evaluation, while collaborating agencies compile and report on executing agencies' evaluation plans and findings to the Subcommittee. In addition, collaborating agencies cooperate with executing agencies on matters requested by the Subcommittee.

Evaluation targets as per evaluating entity are as follows:

Evaluating Entity	Evaluation Targets		Performance
Subcommittee for Evaluation	Evaluation	○ Evaluation of international development cooperation policy & strategy ○ Country program evaluation targeting priority partner countries ○ Evaluation of progress in priority tasks under the ODA Mid-term Plan ○ Other assessments deemed necessary by the Subcommittee	Internal or external evaluation
	Review	○ Review of evaluation findings provided by executing agencies	Compilation of executing agencies' evaluation findings by collaborating agencies
Executing Agencies	○ Policy and strategy evaluation, country program evaluation, sector evaluation, thematic evaluation, and modality evaluation by each agency ○ Individual project/program evaluation		Internal or external evaluation

(2) Operation Procedures of Integrated Evaluation System

The integrated evaluation system is managed in accordance with an annual integrated evaluation plan. At the beginning of each year, the Subcommittee for Evaluation examines annual evaluation plans submitted through collaborating agencies and then prepares an annual integrated evaluation plan. Evaluating agencies perform evaluation in line with the annual integrated evaluation plan.

Evaluating agencies carry out evaluation in compliance with the principles set forth in the Integrated Guidelines on Evaluation of International Development Cooperation. When conducting evaluation, evaluating agencies may follow their own evaluation guidelines and criteria. Such guidelines and criteria, however, must adopt the principles of the Integrated Guidelines on Evaluation of International Development Cooperation and conform to the international community's general principles and guidelines on international development cooperation evaluation, including the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action.

The integrated evaluation system is operated based on the following procedures:

<Integrated Evaluation System>

Executing agencies	Formulation of an annual evaluation plan by each agency	End of January
Collaborating agencies	Receipt and compilation of annual evaluation plans from agencies executing grant and loan programs	February
Subcommittee for Evaluation	Formulation and completion of an annual integrated evaluation plan	End of February
Evaluating agencies	Performance of evaluation (evaluation planning, implementation, and completion)	Year-round
Collaborating agencies	Receipt and compilation of evaluation reports from each agency	End of January of the following year
Subcommittee for Evaluation	Review of evaluation findings	End of February of the following year
Evaluating agencies	Formulation of feedback plans	March of the following year
Subcommittee for Evaluation	Review and completion of feedback plans	End of March of the following year
Executing agencies	Reflection of feedback plans in projects	Year-round during the following year

2. Establishment of Annual Integrated Evaluation Plan

(1) Preparation of Annual Evaluation Plan by Each Executing Agency

Each executing agency maps out an annual evaluation plan in consideration of project performance and evaluation findings for the preceding year and then submits it to a collaborating agency in February of each year. The Ministry of Foreign Affairs and the Ministry of Strategy and Finance serve as the collaborating agencies with respect to grant assistance and loan assistance, respectively.

The first stage of establishment of an annual evaluation plan is to determine an evaluation target. Evaluation target refers to a specific project, country, policy, sector, and modality subject to assessment.

An executing agency chooses an evaluation target in view of ① project execution performance and evaluation findings for the previous year; ② development cooperation strategy, including a Country Partnership Strategy and assistance strategy by sector; ③ priority assistance area and a mid-term or annual strategy or policy by agency; and ④ the overall international development cooperation trends. Selection of an evaluation target is also subject to the following criteria:

<Evaluation Target Selection Criteria>

· Correlation with policy: Correlation with the strategies, policies, and project objectives of evaluating agencies and superordinate agencies
· Innovativeness: Whether there is innovative value of such a degree that will change the project implementation methods of evaluating agencies
· Potential for expanded applicability: Degree of the likelihood that application of evaluation findings will be expanded to a different environment

---

> ・Usefulness: Relevance to the areas of interest, plans, and priorities of evaluating agencies or partner countries, and whether there are users that will utilize the evaluation findings and recommendations
> ・Feasibility of evaluation: Whether the indicators or data necessary for evaluation are available (If it is difficult to render a clear judgment, a preliminary survey for evaluation is conducted.)
> ・Cost justification: The likelihood that the evaluation findings will generate greater value for evaluating agencies than the evaluation costs incurred by them

In the case of ex-post evaluation of individual initiatives including projects and programs, it is necessary to prepare a list of initiatives for which a certain period of time has elapsed since their end-of-project evaluation and to subsequently choose evaluation targets in consideration of the importance of and budgets for the policies, strategies, and activities concerned.

Concerning country program evaluation, sector evaluation, modality evaluation, thematic evaluation, or policy and strategy evaluation, an executing agency's department in charge of evaluation selects evaluation targets by considering the agency's project goals and strategies.

In a bid to increase the efficiency of evaluation, an executing agency's evaluation department engages in consultations with stakeholders, including related departments, over the possibility, feasibility, and necessity of evaluation in selecting an evaluation target.

Upon selection of an evaluation target, an executing agency prepares an annual evaluation plan that includes the following:

<Contents of Annual Evaluation Plan>

> 1. Introduction: Description of the direction of a basic policy and related strategies
> 2. Details of Evaluation: Description of the purpose of evaluation and the evaluation target
> 3. Budget: Estimated budget requirements according to the details of evaluation
> 4. Duration of Evaluation

When formulation of an annual evaluation plan is completed, each executing agency concludes its internal approval procedures and submits the plan to a collaborating agency.

(2) Formulation of Annual Integrated Evaluation Plan

Collaborating agencies compile annual evaluation plans of executing agencies and submit them to the Subcommittee for Evaluation.

Under the evaluation target selection criteria in the foregoing Section (1), the Subcommittee prepares its own annual evaluation plan in consultation with collaborating agencies and executing agencies. By putting together annual evaluation plans of its own and each executing agency, the Subcommittee establishes and deliberates on an annual integrated evaluation plan. The Subcommittee reports the annual integrated evaluation plan and its review results to the Committee for International Development Cooperation to obtain final approval.

The Subcommittee for Evaluation notifies collaborating agencies and executing agencies of a finally approved annual integrated evaluation plan.
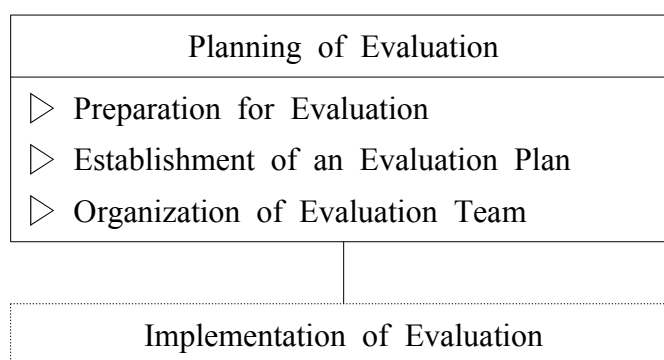
Evaluating agencies carry out evaluation according to the finalized annual integrated evaluation plan. Such evaluation is performed as specified in the table below.

1. Planning of Evaluation	Preparation for Evaluation Establishment of an Evaluation Plan Organization of Evaluation Team
2. Implementation of Evaluation	Execution of a Preliminary Survey Establishment of a Detailed Evaluation Plan Implementation of On-Site Evaluation Report of On-Site Evaluation Findings
3. Completion of Evaluation	Preparation of a (Draft) Evaluation Report Review of a (Draft) Evaluation Report Finalization of an Evaluation Report

3. Planning of Evaluation

(1) Overview

Individual evaluation begins with planning. Planning of evaluation constitutes the first step of making a rough sketch of individual evaluation. An evaluation plan is established through interviews with stakeholders and analysis of related documents. Based on this, an evaluation team is organized. As in the case of project execution, planning is key to the success of evaluation. Among the three stages in the process, this one has the highest concentration of tasks.

```
┌─────────────────────────────────────────────┐
│           Planning of Evaluation              │
├─────────────────────────────────────────────┤
│  ▷ Preparation for Evaluation                 │
│  ▷ Establishment of an Evaluation Plan        │
│  ▷ Organization of Evaluation Team            │
└─────────────────────────────────────────────┘
                      │
┌─────────────────────────────────────────────┐
│         Implementation of Evaluation          │
└─────────────────────────────────────────────┘
```

(2) Preparation for Evaluation and Establishment of an Evaluation Plan

Evaluation personnel at evaluating agencies prepare an evaluation plan for each evaluation project according to an annual integrated evaluation plan.

Towards this end, they collect related information and consult with stakeholders.

Primarily, they acquire and review major documents on projects and programs subject to evaluation by consultation with staff of internal departments and external organizations relevant to the evaluation target and then check further inquiries.

When analysis of related information and stakeholders is completed, they establish an evaluation plan including the following.

 · Introduction
 · Purpose
 · Overview of the evaluation target
 · Methodology
 · Evaluation approach (selection of an external organization, etc.)
 · Schedule
 · Budget allocation plan

If, in the course of establishing an evaluation plan, a decision is made to utilize an external agency to organize an evaluation team, then several

attachments to the plan shall be prepared, including an external organization selection plan, request for proposal, budget calculation statement, and terms of reference (ToR). In producing a ToR, major tasks and output of evaluation must be clarified. The ToR should be scrutinized by utilizing a checklist for ToR.

(3) Organization of Evaluation Team

An evaluation team refers to a group of personnel who practically perform evaluation.

Evaluating agencies may conduct evaluation by utilizing their own staff or by assigning duties to external organizations. Basically, an evaluation team consists of personnel specified in an evaluation plan (internal evaluation) or in an evaluation project performance plan (external evaluation). Both internal and external evaluation may involve outside experts related to the evaluation target as members of an evaluation team, when necessary.

When evaluation is commissioned to external organizations, evaluating agencies select such organizations based on their respective procurement and contracting rules and evaluation plans.
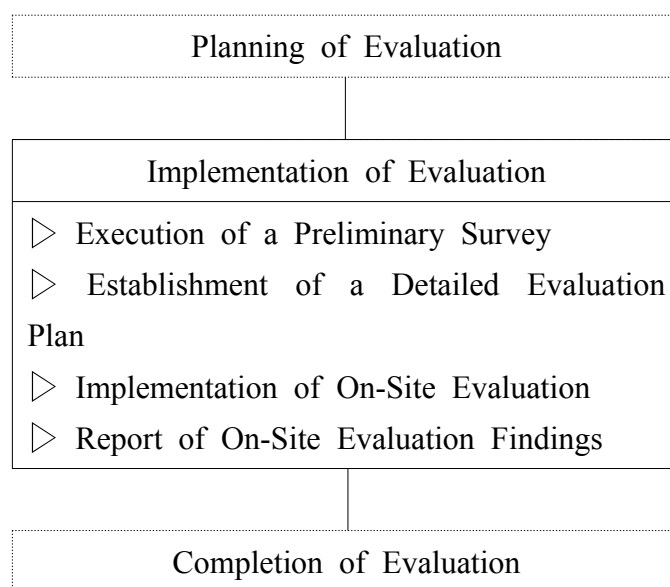
Each evaluation team has a single leader who oversees execution of the evaluation process.

4. Implementation of Evaluation

(1) Overview

When conducting an internal evaluation, an evaluation plan prepared in the evaluation planning stage is refined and developed into a detailed evaluation plan that reflects the preliminary survey results. The evaluation is then performed following the detailed evaluation plan.

In the event of an external evaluation, a preliminary survey is conducted under a project performance plan. Taking the survey results into account, on-site evaluation is carried out and its findings are reported. With respect to evaluation methodologies, an external organization conducts evaluation with assistance from an evaluating agency which supports seamless evaluation by means of a well-organized collaborative system.

```
┌─────────────────────────────────────────────┐
│           Planning of Evaluation             │
└─────────────────────────────────────────────┘
                       │
┌─────────────────────────────────────────────┐
│          Implementation of Evaluation        │
├─────────────────────────────────────────────┤
│  ▷ Execution of a Preliminary Survey         │
│  ▷ Establishment of a Detailed Evaluation    │
│  Plan                                        │
│  ▷ Implementation of On-Site Evaluation      │
│  ▷ Report of On-Site Evaluation Findings     │
└─────────────────────────────────────────────┘
                       │
┌─────────────────────────────────────────────┐
│          Completion of Evaluation            │
└─────────────────────────────────────────────┘
```

(2) Execution of a Preliminary Survey

An evaluation team conducts a preliminary survey according to a project performance plan or an evaluation plan. The team gathers a wide range of information needed to establish a detailed evaluation plan, determining administrative matters and local conditions pertinent to evaluation and establishing a communication channel based on a preliminary survey.

The preliminary survey can be divided into domestic and on-site surveys. To determine an evaluation method and set up a detailed evaluation model, an evaluation team examines related documents and data collected in a domestic survey and conducts stakeholder interviews. If evaluation encompasses a broad range of complex duties, the team works to ensure

smooth evaluation by checking related matters through an on-site preliminary survey. The team performs the following activities during a preliminary survey.

<Domestic Preliminary Survey by Evaluation Team (Example)>

Duty	Method	Agencies/ Departments Concerned
Literature review	·Review of major documents related to the evaluation target e.g.) Project completion report, strategy by country, strategy by sector, previous evaluation reports in the sector concerned, interim and end-of-project evaluation reports, etc. ·Review and analysis of documents related to other donor agencies e.g.) Review and analysis of evaluation reports of other donor agencies in a similar sector; strategies and projects of other donor agencies concerning the evaluation target, etc.	Executing departments or agencies, policy-making departments, other donor agencies
Interview	·Interview of personnel related to the evaluation target e.g.) Personnel in charge of project execution, responsible personnel in policy-making departments, project managers at executing agencies, responsible personnel at service providers involved in policy development, etc. ·Interview of experts related to evaluation e.g.) Domestic experts on the evaluation target (experts on a sector, region, etc.)	Executing agencies, NGOs, executing departments, policy-making departments, other related agencies

On the basis of domestic survey results, an evaluation team may perform an on-site preliminary survey when necessary. The team must perform the following basic duties for an on-site preliminary survey:

- Confirm the partner country's evaluation personnel and establish a communication channel
- Schedule the on-site evaluation
- Obtain the partner country's consent to the methods and means of evaluation
- Confirm matters requiring cooperation by the partner country in the course of evaluation
- Confirm individuals to be interviewed and surveyed during the on-site evaluation
- Conduct an advance survey of local conditions with respect to carrying out evaluation (interpretation/translation, transportation, hiring of local consultants, etc.)

In pursuing an on-site preliminary survey, an evaluation team needs to prepare a business-trip plan for such a survey. When the survey is completed, the team must prepare and submit a report on the survey results including minutes that record daily progress in a project and details on consultations with the partner country and are signed by both parties.

(3) Establishment of a Detailed Evaluation Plan

After clarifying matters relating to evaluation and developing an evaluation model according to the findings of domestic and on-site surveys, an evaluation team formulates a detailed evaluation plan based on the new information collected through a preliminary survey.

① Development of Detailed Evaluation Questions for Each Evaluation Criterion

The first step in mapping out a detailed evaluation plan is to develop

universal questions pertaining to the DAC's five general evaluation criteria and related cross-cutting issues (environment, gender, human rights, etc.) into specific evaluation questions befitting the evaluation target. Because basic questions under the fixed evaluation criteria, including the DAC evaluation criteria, are very extensive and comprehensive, an evaluation team initially develops detailed evaluation questions suitable to the situation for each evaluation criterion by considering the characteristics of the evaluation target, timing of evaluation, key evaluation items, and the like.

② Alignment of Detailed Evaluation Questions and Methodologies

In the next phase, evaluation questions developed for each evaluation criterion are aligned with evaluation methodologies. Information collection and survey methods that can most efficiently draw out answers are considered and selected at this juncture.

In this stage, an evaluation matrix may be used. Such a matrix is a table correlating evaluation questions with applicable methodologies. Since this approach is useful in arranging a detailed evaluation plan in an efficient and systematic manner, it is a commonly used method of international development cooperation assessment.

An evaluation matrix comprises sub-categories representing the items that must be surveyed and analyzed under each evaluation criterion; evaluation questions that must be checked off for each sub-category; and methods for obtaining answers to each question.

For example, items to assess the relevance of an evaluation target (sub-categories) may include whether the evaluation target reflects the partner country's development policy; whether it matches the Korean government's policy and priorities; and whether it is consistent with the overall international development cooperation strategies and trends. After

determining specific evaluation questions to check the status of each item, the methods that can produce the most appropriate replies to each question are selected to proceed with evaluation.

<Evaluation Matrix Form (Example)>

Evaluation Criteria	Sub-categories	Evaluation Questions	Method
Relevance	Consistency with the partner country's development policy	· How is the evaluation target aligned with the partner country's national development strategy? · To what extent is the evaluation target consistent with the partner country's policy and priorities?	Interview, literature review
	Consistency with the Korean government's policy priorities	· To what extent is the evaluation target associated with the ODA Mid-term Plan, etc.? · Does the evaluation target reflect the Korean government's Country Partnership Strategy and strategy by sector?	Literature review, interview, statistical survey
	Consistency with international development cooperation norms	· To what extent does the evaluation target reflect Millennium Development Goals (MDG)-centered tasks? · To what extent does the evaluation target contribute to implementation of the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action?	Comparative study, literature review

In an evaluation report, the chapter describing evaluation results is organized in a way that presents answers to the evaluation questions for each sub-category of the evaluation matrix above.

At this stage, an evaluation team prepares a detailed evaluation plan, including the contents outlined below, and conducts an on-site survey on the basis of findings from domestic/overseas surveys and associated detailed evaluation questions/methods (or an evaluation matrix).

· Logic model of the project or program
  - Model analyzing the project or program's input, process, output, expected effects, and actual impacts according to the five OECD/DAC evaluation criteria as well as gender mainstreaming and environmental evaluation criteria
· Detailed evaluation method
  - Description of evaluation methods including data collection strategies, analysis frameworks, and design, approach, and relevance of a reporting system
· Detailed evaluation questions/methods (or an evaluation matrix)
  - Model of hierarchical questions, starting with universal questions, which are contained in a project performance plan or evaluation plan, and then developed into detailed questions
· Survey schedule
  - Establishment of a detailed work schedule drawn from a project performance plan or evaluation plan
· Communication plan
  - Communication channel involving all stakeholders in the evaluation

If an evaluation method includes a questionnaire-type survey (sampling or census), an evaluation team must forward the questionnaire to the concerned agencies at least one month before on-site evaluation so that the answers may be obtained in advance and on-site evaluation conducted after their analysis.

In case an on-site preliminary survey is not performed, an evaluation team shall make the following preparations for an on-site survey:

- Confirm the partner country's evaluation personnel
- Schedule the on-site evaluation
- Obtain the partner country's consent to the methods and means of evaluation
- Confirm matters requiring cooperation by the partner country in the course of evaluation
- Confirm individuals to be interviewed and surveyed during the on-site evaluation
- Conduct an advance survey of local conditions with respect to carrying out evaluation (interpretation/translation, transportation, hiring of local consultants, etc.)

When preparations for an on-site survey are complete, an evaluation team establishes an on-site evaluation plan, including the following, at least one week prior to the on-site survey:

- Purpose of the on-site survey
- Business trip participants, schedule, and destination for the on-site survey
- Daily activities for the on-site survey
- (Estimated) budget for the on-site survey

If the evaluation target is not complex, an evaluation team may include an on-site evaluation plan in a detailed evaluation plan.

(4) Implementation of On-Site Evaluation

An evaluation team performs on-site evaluation in accordance with an on-site evaluation plan that has been approved based on the evaluating agency's internal procedures.

On the last day of on-site evaluation, the team holds a wrap-up meeting with the partner country to summarize evaluation results, exchange opinions on key issues, and prepare minutes that will be confirmed by the two parties.

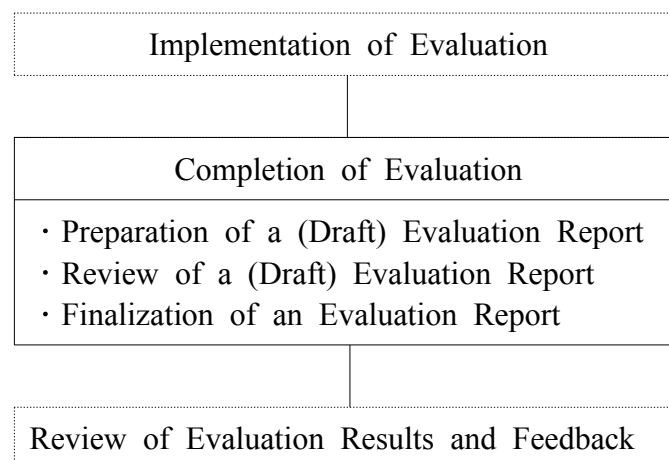## (5) Report of On-Site Evaluation Findings

Within two weeks of its return to Korea, an evaluation team prepares a business trip report and submits it to the evaluating agency. The report includes the following:

- Overview of the business trip (participants, schedule, and destination)
- Daily activities (details of key consultations and evaluation activities)
- List of interviewees

5. Completion of Evaluation

(1) Overview

In the completion phase, all planned evaluation activities are wrapped up and an evaluation report, as an output, is prepared and finalized.

```
┌─────────────────────────────────────────┐
│         Implementation of Evaluation     │
└─────────────────────────────────────────┘
                      │
┌─────────────────────────────────────────┐
│          Completion of Evaluation         │
├─────────────────────────────────────────┤
│ · Preparation of a (Draft) Evaluation Report │
│ · Review of a (Draft) Evaluation Report   │
│ · Finalization of an Evaluation Report    │
└─────────────────────────────────────────┘
                      │
┌─────────────────────────────────────────┐
│   Review of Evaluation Results and Feedback │
└─────────────────────────────────────────┘
```

(2) Preparation of a (Draft) Evaluation Report

An evaluation team provides the evaluating agency with a (draft) evaluation report as the final output of evaluation. In preparing a detailed evaluation plan, an English-language report may be required; its necessity would depend on the impact of the evaluation target on Korea and its partner country.

A (draft) evaluation report is organized as follows:

<(Draft) Evaluation Report>

- ・Title Page
- ・Contents
- ・Executive Summary
- ・Introduction with Background
- ・Methodology
- ・Description and Analysis of Evaluation Target
- ・Evaluation and Conclusion
- ・Lessons Learned and Recommendations
- ・Appendices

(3) Review of a (Draft) Evaluation Report

An evaluating agency reviews the (draft) evaluation report prepared by an evaluation team. When conducting such a review, the agency will focus on the following, while referring to a report quality-control checklist:

- ・ Whether the (draft) evaluation report has been prepared appropriately in accordance with the contract and detailed evaluation plan;
- ・ Whether the (draft) evaluation report has been organized appropriately in accordance with a format presented by the evaluating agency;
- ・ Whether the (draft) evaluation report contains sufficient

information in accordance with the standards set out in a format presented by the evaluating agency; and

· Whether the (draft) evaluation report adequately answers evaluation questions in a detailed evaluation plan by providing reasonable evidence in quantitative or qualitative terms.

The evaluating agency reviews a (draft) evaluation report for which initial examination has been completed in a manner that complies with its internal procedures. As part of its review, the agency may require the evaluation team to hold a briefing to elaborate on the (draft) report.

(4) Finalization of an Evaluation Report

An evaluation team modifies its (draft) evaluation report by reflecting the outcome of the briefing and review meetings, obtains approval from the evaluating agency, and submits the final evaluation report to the evaluating agency.

The evaluation completion process described above must be concluded by the end of January of the following year.

6. Review of Evaluation Results and Feedback

```
┌─────────────────────────────────────┐
│        Completion of Evaluation       │
└─────────────────────────────────────┘
                    │
┌─────────────────────────────────────┐
│  Review of Evaluation Results and Feedback │
├─────────────────────────────────────┤
│ · Review of Evaluation Results        │
│ · Establishment of a Feedback Plan    │
│ · Feedback                            │
└─────────────────────────────────────┘
                    │
┌─────────────────────────────────────┐
│      Disclosure of Evaluation Results  │
└─────────────────────────────────────┘
```
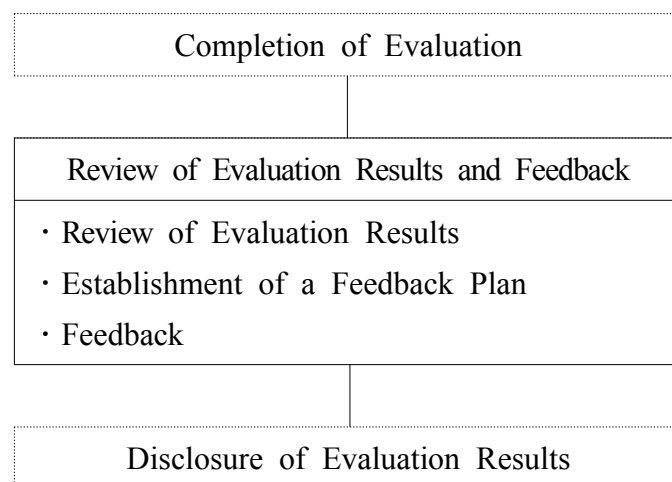
(1) Review of Evaluation Results

All executing agencies submit internally approved evaluation reports to the corresponding collaborating agency. The collaborating agency compiles and presents them to the Subcommittee for Evaluation.

The Subcommittee reports to the Committee for International Development Cooperation the results of evaluation conducted by the Subcommittee as well as the review findings concerning evaluation reports submitted by executing agencies.

(2) Establishment of a Feedback Plan

An evaluating agency examines recommendations determined by evaluation and establishes a feedback plan in consultation with stakeholders which include internal departments and external organizations. An executing agency submits the plan to the Subcommittee through the appropriate collaborating agency.
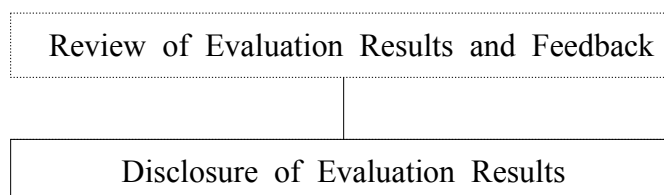The Subcommittee reviews each evaluating agency's feedback plan and combines it with the Subcommittee's feedback plan to produce a final feedback plan. Then, it encourages each executing agency to carry out the final feedback plan.

(3) Feedback

An evaluating agency takes measures to ensure that evaluation results are incorporated into ODA projects. Each evaluating agency formulates and implements its own rules and systems for institutionalizing feedback.

Each executing agency examines progress in execution of a feedback plan on a semi-annual basis and submits the results to the Subcommittee for Evaluation through a collaborating agency.

7. Disclosure of Evaluation Results

Review of Evaluation Results and Feedback
Disclosure of Evaluation Results

Within a month of the Subcommittee for Evaluation's presentation of its evaluation report review results to the Committee for International Development Cooperation, an evaluating agency discloses evaluation findings to stakeholders, including the public and the partner country, by posting them on its website or issuing a press release.

Evaluation results may not be disclosed if such disclosure is deemed an impediment to the smooth implementation of an ongoing or future international development cooperation project, or is likely to negatively affect the partner country's government. Exceptions to such disclosure are determined by the Subcommittee for Evaluation through review of suggestions made by evaluating agencies. However, a project, which is categorized as a subject of non-disclosure, shall be made public if deemed possible due to a change in circumstances.

Evaluating agencies publish evaluation results by holding regular briefings in the form of a seminar, a conference, and a debate, and collect opinions necessary to enhance the performance of an international development cooperation project and make institutional improvements to the project. After such a briefing, evaluating agencies disclose its results.

Ⅲ. Evaluation Criteria

Evaluation of an international development cooperation project is conducted in accordance with the OECD/DAC's five evaluation criteria. There are cases, however, where the timing and scope of evaluation make it difficult to apply all the criteria, or where other evaluation criteria, such as environment and gender mainstreaming, are necessary. Thus, evaluation personnel select priority assessment criteria for each evaluation task by considering the purpose and nature of evaluation and, consequently, perform evaluation after preparing detailed evaluation questions.

1. Relevance

Relevance represents the extent to which an international development cooperation project is suitable to the partner country's needs and policy priorities as well as the Korean government's policies. Relevance serves as a criterion by which an assessment is made of whether the evaluation target was pursued by reflecting the partner country's and the Korean government's applicable policies and priorities, and joint objectives and strategies for international development cooperation such as the MDGs and the Paris Declaration on Aid Effectiveness.

Guiding questions about relevance are as follows:

- To what extent does the evaluation target correspond with the partner country's development needs and goals, as well as its national development strategies, policies and priorities?
- To what extent is the evaluation target consistent with the Korean government's policies and priorities?
- To what extent does the evaluation target conform to international development cooperation trends and strategies including the MDGs and the Paris Declaration on Aid Effectiveness?
- Is the evaluation target organized in a manner that can address

the core causes of a problem? Are the related plans and implementation methods appropriate in such a context?

2. Efficiency

Efficiency indicates how efficient the outcome of an international development cooperation project is in an economic sense, when compared to the input of resources. The greater the outcome generated against input of resources, the higher the project efficiency. Efficiency-measuring criteria include what costs were incurred by the project, whether its goals were attained within the planned period, and whether it achieved better results at lower costs than its alternatives.

Efficiency is assessed by means of economic evaluation. Major methodologies include cost-benefit analysis and cost-effectiveness analysis.

Guiding questions about efficiency are as follows:

- Could the performance of the evaluation target have been achieved in a different way at less cost?
- Could better performance have been achieved using the same resources?
- Was the evaluation target completed within the originally planned period?
- To what extent was the implementation system efficiently managed during project execution?

3. Effectiveness

Effectiveness refers to the degree to which an international development cooperation project accomplishes its goals. The extent to which the evaluation target achieved its initial goals is measured and evaluated

according to objective evaluation criteria set up in an early phase of the project. Effectiveness can be measured through output analysis in the case of end-of-project evaluation (performed when a project is completed) and through outcome analysis in the case of ex-post evaluation.

Guiding questions about effectiveness are as follows:

- To what extent was the intended output or outcome achieved by the evaluation target?
- What is/are the reason(s) for success or failure in terms of accomplishing the intended goal?

4. Impact

Impact refers to the positive and negative regional, social, economic, environmental, and cultural changes produced by international development cooperation, whether directly or indirectly, intended or unintended.

Guiding questions about impact are as follows:

- What are the evaluation target's regional, social, economic, environmental, and cultural impacts?
- How do the direct and indirect beneficiaries of the evaluation target assess the impact of the project?
- Did the evaluation target contribute to the partner country's competency development and institutional reinforcement?
- What would have happened had the evaluation target not been implemented?
- To what extent were the changes, which were generated in the course of a project, identified and measured?

5. Sustainability

Sustainability refers to the degree to which the benefits of an international development cooperation project continue after its completion. It is concerned with measuring whether an international development cooperation project has the potential to be maintained in the future and whether its positive impact will continue.

Guiding questions about sustainability are as follows:

- Is the evaluation target still consistent with the partner country's needs and priorities?
- Does the partner country have a sense of ownership over the evaluation target?
- Are the partner country's social and cultural conditions in harmony with the evaluation target?
- Do the technologies that were applied to the project correspond with the partner country's educational and technological conditions?
- Is it possible that the evaluation target will negatively affect the partner country's natural environment?
- Does the partner country have the financial resources to continuously pursue the evaluation target?
- Are there systems and organizations in the partner country capable of operating and managing the evaluation target?

Ⅳ. Evaluation Method

1. Overview

Since evaluation of an international development cooperation project is performed within a specific time period and a fixed budget, it is

impossible to measure and analyze all related issues. By and large, core evaluation items are selected on the basis of the five evaluation criteria with timing, target, and scope of evaluation taken into account. Appropriate methodologies are then selected and evaluation is conducted.

The first step in establishing a detailed evaluation plan after a preliminary survey is to develop guiding questions falling under the five evaluation criteria into specific evaluation questions in line with the characteristics of the evaluation target, the timing of evaluation, and core evaluation items.

The next step is to select the most appropriate information collection and survey methods for each question and conduct a survey (written/on-site survey).

When the survey is completed, a conclusion is drawn through a comprehensive analysis of collected data. In many cases, the information collected during evaluation of an international development cooperation project may yield inconsistent or conflicting results. Moreover, certain information is often associated with more than one evaluation criterion. As such, evaluators need to integrate, organize, and analyze collected information and develop a valid conclusion for each evaluation question.

Lastly, evaluators produce lessons and recommendations based on such a conclusion.

The above-described evaluation analysis process can be summarized as follows:

Evaluation Criteria	Evaluation Questions	Evaluation Tools	Conclusion	Lessons Learned and Recommendations
DAC criteria	Development of detailed questions for each criterion	Selection of survey methodologies for each detailed question and implementation of survey	Compilation, integration, and analysis of survey results	Preparation of recommendations based on the conclusion
Formulation of a detailed evaluation plan		Establishment of a detailed evaluation plan, written/on-site survey	Preparation of an evaluation results report	

2. Methodology

Methods frequently used for evaluation of international development cooperation projects include a literature review, direct observation, questionnaire survey, interview, group discussion, case study, index survey, and SWOT analysis.

(1) Literature Review

This refers to collecting necessary information by studying and analyzing documents pertaining to the evaluation target as well as other literature including documents, statistics and data in the sector concerned, and materials about similar projects undertaken by other donors.

This is the first method adopted when conducting any kind of evaluation. This method is useful for collecting basic information, but because the method is not directly relevant to evaluation, it is difficult to verify credibility. Thus, it is used in combination with other methods.

(2) Direct Observation

This refers to a method to directly check output and collect information by visiting the project venue.

As it requires a significant amount of time and cost, there are limitations to the scope and detail of observation. However, it has merits such as producing a more realistic and descriptive conclusion when analyzing the effects and sustainability of a project.

(3) Questionnaire Survey

A questionnaire survey is conducted by selecting respondents, providing them with questionnaires to fill out, and then retrieving the completed questionnaires, or by asking questions to respondents and writing down their answers immediately.

Data collected through a questionnaire survey can be expressed in numeric terms including percentages and ranks. However, if the population is small or there are time constraints, the credibility of information gathered can be questioned. In addition, this method possesses certain disadvantages, including the uncertainty of collecting the questionnaires and the possible distortion of information depending on the organization of questionnaire items and the forms of response.

In carrying out a questionnaire survey, a census or a sample survey must be chosen. In a census, all persons are surveyed, whereas in a sample survey, only a segment of them are surveyed. Either type can be selected, and the choice will depend on the survey's purpose, scale of the targeted individuals or area, budget, time constraints, required degree of data accuracy, and the like.

(4) Interview

This refers to interviews with people who can provide crucial information about the corresponding project.

An interview has several merits. The response can be flexible, relying on the situation or reaction from respondents. It is also possible to judge the situation based on the interviewees' non-verbal communication. Moreover, additional impromptu questions may be asked. It also has some demerits. Interview results are heavily dependent on interviewers' capabilities; the personal bias of interviewers and interviewees may play a certain role; and it is difficult to organize interview results as they cannot be generalized into numeric data.

(5) Group Discussion

A group discussion refers to a method whereby a group is requested to discuss a certain theme (question) and information is collected from the comments and opinions presented during the discussion.

As for merits, this method is appropriate for identifying respondents' perception of a certain theme and can be used to acquire information from a multilateral perspective. It also has certain demerits. The surveyed persons tend to have a weaker sense of responsibility in replying than respondents in an interview. In addition, it can be challenging to discuss a sensitive issue and a small number of persons are likely to lead a discussion. Since the results of a group discussion depend on a facilitator's competencies, it is important to select an appropriate facilitator.

(6) Case Study

A case study refers to investigating several actual cases in order to collect more in-depth information on the evaluation target. Cases are selected in

consideration of purpose, probability, and convenience.

The advantage of a case study is that for the purpose of high-level evaluation such as policy and strategy evaluation, it is possible to implement a practical survey pertinent to the purpose of evaluation. For example, projects initiated in a certain region can be examined to evaluate development strategies related to drinking water and hygiene, or evaluation can be further specified in the case of researching other donor agencies' processes for executing similar strategies.

As for the strengths of a case study, it is simple and can be used in a variety of circumstances. It also allows the collection of in-depth information. However, it also has weak points. There may be difficulties in selecting appropriate similar cases; generalization of specific cases may entail a jump of logic; and it is necessary to rely on evaluators' judgment.

(7) Index Survey

This refers to a method to collect and analyze indexes or data pertaining to the evaluation target. It can also be used as a sub-item of literature review.

An index survey is often used for country program evaluation, sector evaluation, and thematic evaluation. It is also used to provide background materials for detailed assessment in project/program evaluation.

The most frequently used indexes are as follows:

- Economic index: GDP, economic growth rate, balance of payments
- Social index: population, unemployment rate, education- and health-related indicators
- Government services index: education- and health-related indicators, drinking water supply and electrification rates, etc.
- Others: poverty-related indicators, etc.

(8) SWOT Analysis

A SWOT (strengths, weaknesses, opportunities, threats) analysis originates from a business strategy analysis and is mainly used in evaluating a donor country's policy and strategy. In a SWOT analysis, diverse methods including literature review, interview, and group discussion are primarily employed. Such analysis contributes to the study and improvement of policies and strategies by taking advantage of strengths, capitalizing on opportunities, making up for weaknesses, and tackling threats.

Strength (Internal strength)	Weakness (Internal weakness)
Opportunity (External opportunity)	Threat (External threat)

An advantage of a SWOT analysis is that the relevance of policies and strategies can be analyzed within a short time span in consideration of the surrounding environment. Its disadvantage is that it tends to depend on subjective judgment and can hardly separate internal and external factors.

Attachments: 1. Standard Contents of Terms of Reference
2. Checklist for Terms of Reference
3. Standard Contents of Evaluation Report
4. Checklist for Evaluation Report Quality Control

Standard Contents of Terms of Reference

<div style="border:1px solid;">

Title Page

</div>

Title of Terms of Reference

E.g. Terms of Reference for Ex-post Evaluation of Waterworks in Vietnam

E.g. Terms of Reference for Country Program Evaluation for Tanzania

E.g. Terms of Reference for Evaluation of ODA in Health ('05~'09)

Prepared by: (Name of Agency)

Month/Year

Contents

Ⅰ. Background of Evaluation (Introduction of Evaluation Target)

- ○ Introduction of the person or agency who requested or commissioned evaluation
- ○ Introduction of the program/project subject to evaluation
  - Purpose and scope of the evaluation target: Brief description of the progress and status of the evaluation target, including its purpose, duration, budget, and activities
  - Principal agent of the evaluation target and its roles
  - Policy factors including Country Partnership Strategy concerning the evaluation target
  - Analysis of major stakeholders in the evaluation target (donor agency, partner country, executing agency, etc.)
  - Association of the target with other projects in the partner country/sector concerned
  - Timing of evaluation and external factors affecting core items of evaluation
  - Specification of master data sources: investigation and compilation of the sources of existing information including documents on the partner country's development plan concerning the evaluation target, findings from historical evaluations of similar projects, and evaluation results of other donor agencies

Ⅱ. Purpose of Evaluation

- ○ Need for evaluation and reason for time of evaluation determined
- ○ Purpose of evaluation
  - Provision of information on historical performance of the evaluation target, lessons learned, recommendations for follow-up measures, judgement on whether project funds were utilized efficiently/economically, decision on extended fund application, etc.
- ○ Primary use and users of evaluation and major stakeholders

Ⅲ. Scope of Evaluation

1. Scope of Evaluation

ㅇ Specification of whether the evaluation targets the overall evaluation target
or some factors of it; whether the evaluation targets the entire duration of
the evaluation target or a part of it; and which area is included in the
evaluation target

2. Evaluation Questions

ㅇ Clear description of questions to ensure that they match the purpose of
evaluation and that the evaluation team can use them in collecting
necessary information; classification and prioritization of questions

Ⅳ. Evaluation Criteria and Methods

1. Evaluation Criteria

ㅇ Consideration of additional evaluation criteria such as the performance of
the executing agency and social/economic/environmental impact, in addition
to the five DAC evaluation criteria; specification of major policy reference
materials used for relevance evaluation

2. Evaluation Methods

ㅇ Determination of major stages in evaluation procedures; description of
overview of evaluation approaches and information collection methods
(new sources of data collection, sampling plan by evaluation method,
major areas, population and sample size, required level of accuracy,
information collection and analysis methods, indicators that can be
referred to concerning performance, etc.)

ㅇ Inclusion of procedures to strengthen networks, establish a communication
structure, and conduct joint analysis among various stakeholder groups
(with the partner country in particular) when describing evaluation
procedures and methods

- Specification of evaluation procedures by considering matters related to
the press or security, requirements for working hours and holidays,
weather, travel and social/cultural conditions which may affect
information collection, hiring of local consultants, available services (local

interpreters, interviewers, information collectors, drivers, etc.), arrangements necessary for evaluation such as office space, vehicles, laptops, and recorders and preparation for meetings (consultation on schedule, etc.), report of evaluation outcome and results, disclosure requirements, and the like.

Ⅴ. Roles and Responsibilities

1. Roles of Evaluation Team

○ Specification of the responsibilities of the evaluation team as well as the roles and responsibilities of each team member, other stakeholders, and advisory agencies

2. Roles of Evaluating Agency and Responsible Personnel

○ Specification of the roles and division of duties of the evaluating agency and its personnel, and support for the evaluation team

3. Organization of Evaluation Team

○ Specification of the evaluation team's required competencies according to major items and methods of evaluation and analysis techniques
 - Expertise on specific sectors and issues, fluency of the required language, work experience in the concerned country or region, evaluation method and information collection capability, ability to analyze relevant issues and to manage (facilitate) procedures, etc.

4. Quality Control Method

○ Specification of the mechanism, tools, and criteria of quality control and timing of the quality check

5. Report and Dissemination of Evaluation Results

○ Description of whether and to whom evaluation results will be disclosed, reporting system, dissemination and utilization method, and major users

Ⅵ. Evaluation Output

1. Inception Report

○ Analysis of stakeholders in evaluation, analysis of the evaluation target, introduction and methodology, and evaluation framework and matrix

2. Interim Report

○ Preparation for an on-site survey and outcome (questionnaire, data of which collection has been completed, analysis details, etc.)

3. Final Report

○ Evaluation results and materials to be used in disclosing evaluation results (press release, summary, presentation materials, etc.), conclusion, and recommendations
  - Specification of the types of published reports and the number of copies in Korean and English, respectively

4. Workshop with Partner Country, Briefing, etc.

Ⅶ. Evaluation Schedule and Budget

1. Evaluation Schedule

○ Schedule and deadline for each activity

2. Evaluation Budget

○ Cost calculation with a focus put on major evaluation activities (business trip expenses, labor costs of evaluation team members, etc.)

Checklist for Terms of Reference

Factor	Items
Background and purpose of evaluation, Clarity and logical connection of evaluation questions	Clarity of the intention and purpose of evaluation
	Clarity of description of the evaluation target and the rationale for its execution
	Primary use of evaluation and specification of users
Selection and application of evaluation criteria (methodology)	Presentation of major evaluation questions
	Presentation of evaluation criteria in line with the purpose of evaluation
	Presentation of the direction of evaluation in line with the purpose and questions of evaluation
	Consideration of cross-cutting issues (gender mainstreaming, environment, human rights, poverty, etc.)
Tasks and budget, timing, and technical consistency	Validity of a budget in view of the purpose and scope of evaluation
	Presentation of a detailed schedule for evaluation and validity of the schedule
	Presentation of concrete evaluation output and milestones
Participation by stakeholders	Preliminary discussion with stakeholders and other evaluation professionals and reflection of their opinions in producing major evaluation questions and determining the scope of evaluation
	Presentation of a method of participation by stakeholders
Evaluation output	Specification of report format (number of pages, framework, etc.)
	Specification of which recommendations and lessons are to be drawn from the evaluation
	Specification of a method for disseminating a report
Organization of evaluation team	Specification of evaluators' qualifications
Quality control	Presentation of a quality control method

Standard Contents of Evaluation Report

<div style="text-align:center; border:1px solid black;">

Title Page

</div>

Evaluation Title

e.g. Ex-post Evaluation Report on Waterworks in Vietnam

e.g. Country Program Evaluation Report for Tanzania

e.g. Evaluation Report on ODA in Health ('05~'09)

Evaluation Team (Names of Senior Researcher and Co-researchers)

Prepared by: (Name of Agency)

Month/Year

Contents

Ⅰ. **Executive Summary**

Ⅱ. **Introduction with Background**

Ⅲ. **Methodology**
  1. Evaluation Period
  2. Evaluation Method
  3. Challenges in Evaluation

Ⅳ. **Description and Analysis of Evaluation Target**
  1. Background
  2. Overview of Evaluation Target

Ⅴ. **Evaluation and Conclusion**
  1. Major Findings
  2. Evaluation by Evaluation Criterion
  3. Conclusion

Ⅵ. **Lessons Learned and Recommendations**
  1. Lessons Learned
  2. Recommendations

Appendices
  1. Maps (when necessary)
  2. Acronyms
  3. Other Evaluation-Related Documents (when necessary)

Ⅰ. Executive Summary

○ Two to three pages
  - Brief description of the purpose, background, scope, and methodology of evaluation
  - Summary of major findings, lessons, and recommendations

Ⅱ. Introduction with Background

○ Background
○ Purpose, scope, and focus of evaluation
○ Evaluation questions
○ Major users of evaluation findings
○ Limitations of the evaluation plan
○ Policy related to the evaluation target
○ Evaluation team

Ⅲ. Methodology

1. Evaluation Period

2. Evaluation Method

○ Presentation of an evaluation model and evaluation matrix
○ Description of data and information collection methods (desk study, field visit, interview, questionnaire, official data, workshop, etc.)
○ Description of how to use a literature review, case study, questionnaire analysis, etc. (description of specific methodologies for each method including documents reviewed, interview contents and interviewees, questionnaire items and survey details, questionnaire survey targets, etc.)

3. Challenges in Evaluation

○ Problems arising during evaluation (difficulties associated with information collection, lack of major stakeholders, etc.)

- Impact of problems on the reliability of evaluation results, issues to consider in the interpretation of evaluation results, limitations of the methodology used, etc.

Ⅳ. Description and Analysis of Evaluation Target

1. Background

○ Description of the background and status of each evaluation target including the background of the project and policies/strategies subject to evaluation

2. Overview of Evaluation Target

○ If the evaluation target is a policy or strategy

1) Name and summary of the evaluation target
2) Major contents
3) Timing of formulation
4) Agency or expert that formulated the evaluation target
5) Projects and superordinate/subordinate policies & strategies concerning the evaluation target
6) Region, country, and sector relevant to the evaluation target
7) Expected effects concerning the evaluation target
8) Execution system concerning the evaluation target (including all domestic and overseas agencies related to the formulation and execution of strategies and policies and all groups affected by strategies and policies)
  ○ Executing agency
  ○ Related agencies in the partner country, etc.
  ○ Relationship diagram

○ If the evaluation target is a project (grant assistance)

1) Project name: Korean (English)

2) Project period

3) Country and region of the project

4) Project cost: _____thousands of US dollars(annual budget:)

5) Development goals (high-level goals)

6) Project goals

7) Major project output:

8) Project beneficiaries

9) Major input (project activities)

  ○ Partner country

  -

  -

  ○ Korea

  -

10) Expected outcome

11) Execution system concerning the evaluation target [including all agencies and companies related to project execution (including those of both Korea and the partner country) and entities related to the project such as recipient agencies and beneficiaries)]

  ○ Partner country:

  ○ Participant agencies from Korea:

  -

  -

○ Relationship diagram

13) Name of a higher-level program

○ If the evaluation target is a project (loan assistance)

1) Project name: Korean (English)

2) Basic project information (information on loan, project costs, background, executing agency, etc.)

3) Project composition (purpose, region, details, scope, etc.)

4) Background

5) Project execution

    ○ Financial requirements and funding

    ○ Project execution system (including an organization chart)

    ○ Consultants

    ○ Purchasing and construction

  6) Major project output

  7) Expected outcome

  8) Miscellaneous

Ⅴ. Evaluation and Conclusion

  1. Major Findings or Overall Grading of Findings

  ○ Major findings (grant assistance)

    - Systematic description of the evaluation team's findings in accordance with evaluation questions

    - Description of evaluation of the quality of findings (accuracy and relevance)

  ○ Overall grading of findings (loan assistance)

  2. Evaluation by Evaluation Criterion

    ○ Description of evaluation results regarding "V-1 Major Findings" in line with major issues in the evaluation plan under the five OECD/DAC evaluation criteria and other evaluation principles including gender and environment

    ○ Problems with performance or execution of the evaluation target and their causes

    ○ Relations with and impact on poverty, MDGs, and cross-cutting issues

    ○ Review results of assumptions in the project plan, planning, performance, management, and partnership with the partner country (Possible to describe the foregoing in one chapter along with "V-1. Major Findings" when necessary)

  1) Evaluation of relevance

2) Evaluation of efficiency

3) Evaluation of effectiveness

4) Evaluation of impact

5) Evaluation of sustainability

3. Conclusion (General Review)

○ Overall summary of objective facts determined through evaluation and analysis
- Summary of facts without value judgment

Ⅵ. Lessons Learned and Recommendations

1. Lessons Learned
○ Presentation of the evaluators' value judgment and interpretation
○ Description of the evaluation findings that can serve as useful references in each stage (e.g. development of policies and strategies, planning, project execution, follow-up management)

2. Recommendations

○ Presentation of a specific action plan aligned with conclusion and lessons
○ Description of recommendations pertaining to policies and strategies that the evaluating agency needs to adopt in order to improve its project management system and related policies. For the purpose of issuing recommendations, the following shall be taken into account:
- Grouping of recommendations into about five categories to deliver a core message
- Description of measures to be taken, from policy formulation to actual project execution, so that they can be logically applied within a certain

time frame under the structure of 'input-activity-expected output'

- Description of future tasks for each item so that they can be explained to major stakeholders
- Clarification of priorities by item

Appendices

1. Maps (when necessary)
2. Acronyms
3. Other Evaluation-Related Documents (when necessary)
   - Evaluation schedule
   - Evaluation matrix
   - List of evaluation participants
   - List of reviewed documents
   - Evaluation report of a sub-evaluation target (project, etc.; if applicable)

Checklist for Evaluation Report Quality Control

Factor	Items
Consistency with ToR	Whether the evaluation report is consistent with ToR and, if not, whether a justifiable cause is clarified
Background and Purpose of Evaluation	Whether the background and purpose of evaluation are clearly presented
	Whether the purpose of evaluation is systematically aligned with evaluation questions
	Whether major users and use of the evaluation report are clearly identified
Accountability and Professionalism of Evaluation Team	Whether the evaluators' names and organizations are clarified
	Whether a clear explanation is given of each evaluator's role and area of expertise
Analysis of Evaluation Target	Whether the target and scope of evaluation are clarified
	Whether logic of PDM and supporting theories/assumptions are reviewed
	If the existing evaluation purpose or PDM is non-existent or inappropriate, whether the evaluation team presents a/an (re)-organized one
Evaluation Method and Design	Validity evaluation regarding description of the evaluation design, data collection techniques, and analysis
	Validity evaluation regarding selection of evaluation matrix and indicators
	Validity evaluation regarding discussion of limitations, risks, and partiality of an evaluation method
Relevance Analysis	Evaluation of consistency with the recipient country's development policies and strategic documents, priorities of international development goals, and the donor country's policies and priorities
	Validity evaluation regarding analysis of division of aid work with other donor countries as well as analysis of supplementary nature or difference compared with similar

Factor	Items
	projects
	Validity of situation analysis concerning unique characteristics of the partner region
Efficiency Analysis	Whether the project was carried out within a set budget and period
	Validity evaluation regarding strategies employed for efficient utilization of resources in planning and execution
	Relevance evaluation of whether the same development issue can be addressed through a more cost-effective, alternative approach
Effectiveness Analysis	Evaluation of the extent to which the evaluation target produced its intended output and long- and short-term outcome
	Evaluation of the reasons for success or failure in attainment of intended goals
	Evaluation of effects of the project which do not constitute external effects
	Evaluation of the identicalness of planned and actual beneficiaries
Impact Analysis	Evaluation of planned or unplanned changes and impacts caused by the project
	Evaluation of changes in and impacts on individual and institutional beneficiaries directly caused by the project
	Evaluation of changes and impacts indirectly caused by the project
Sustainability Analysis	Evaluation of financial sustainability
	Evaluation of sustainability in terms of project management
	Analysis of whether there exist human resources, organizations, and systems (governmental assistance) in the partner country that are capable of operating and managing the evaluation target
	Analysis of factors that may affect sustainability
Analysis of Poverty Reduction,	Evaluation of whether cross-cutting issues were considered in the purpose, budget, and activities of the project

Factor	Items
Cross-Cutting Issues and Aid Effectiveness	Relevance evaluation concerning terminology, interpretation, and analysis of aid effectiveness agenda such as the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action
Analysis of Project Execution	Validity of analysis of the leadership and governance of the evaluated project
	Relevance of analysis of financial management of the project
	Relevance of analysis of the network with the recipient country, policy consistency with Korean international development cooperation agencies, and partnership with donor countries
	Validity of analysis of the organizational structure for project implementation
Reliable Data	Consistency of data collection methods with overall evaluation design
	Discussion of limitations to and bias in data collection
	Cross-analysis of data
	Whether the sources of information are stated within the parameters of not conflicting with the privacy of individuals and the principle of confidentiality
Clear Analysis	Whether an argument is supported by logic, evidence, and data
	Evaluation of comprehensive analysis
	Whether the maximum number of pages is exceeded
Presentation of Objective Findings and Valid Conclusions	Whether major evaluation findings and results are logically connected
	Evaluation of objectivity of the evidence supporting the results
Useful Lessons and Recommendations	Whether the lessons clearly suggest the evaluators' interpretation and value judgment
	Whether the conclusion, lessons, and action plan are systematically aligned
	Whether the action plan is executable and specific

Factor	Items
	Whether recommendations are presented for each major stakeholder
	Whether recommendations are grouped and their priorities are presented
Clarity of Report	Evaluation of clarity and comprehensiveness of a summary (inclusion of the essential elements of evaluation such as its purpose, background, scope, method, major findings, lessons, and recommendations)
	Evaluation of the clarity of contents (consistency with the integrated evaluation manual)
	Whether the report is easily understood