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Evaluation Guidelines of the Directorate of Internal Oversight (version: April 2014)

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Council of Europe Secretariat
Directorate of Internal Oversight

Evaluation Guidelines

Directorate of Internal Oversight

Evaluation Division

Revised version
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Table of Contents

1. INTRODUCTION

1.1 PURPOSE OF THE GUIDELINES

The purpose of these Guidelines is to provide the staff members of the Evaluation Division of the Directorate of Internal Oversight and CoE staff who implement evaluations with guidelines and standards that can be applied throughout their evaluation work in order to standardise application of procedures and to assure quality of evaluations. Further, the Guidelines serve to inform stakeholders in- and outside of CoE about the evaluation methods in CoE.

The Guidelines present operating procedures and working methods for evaluations. The Evaluation Guidelines prepared by DIO in September 2011 were revised to further clarify evaluation procedures and processes[1]. They are subject to amendments and changes in case of organizational changes and/or changes in the professional field of evaluation (please refer to the latest version online).

1.2 STRUCTURE OF THE GUIDELINES AND HOW TO USE THEM

Following this introduction, Section 2 presents the general role and concept of evaluation in the CoE including its legal basis, definition, objectives, principles and the types of evaluation carried out by the organization. This section is expected to be of importance to all readers of the guidelines.

Section 3 describes the CoE's evaluation function represented by the Directorate of Internal Oversight (DIO) at central level and Major Administrative Entities (MAEs) at a decentralised level. It explains the CoE's evaluation architecture and the role of the different parts of the Organisation in it.

Section 4 lays out the evaluation process to be followed by DIO for managing thematic evaluations, while Section 5 describes the equivalent process for project evaluations managed by MAEs. Both sections include sub-sections on the identification of topics to be evaluated, the planning, preparation and implementation of an evaluation and the evaluation follow-up. DIO staff should refer to Section 4 for their work. This section may also be of interest for any manager whose area of work is being evaluated by DIO. MAE staff, on the other hand, should refer to Section 5 when managing evaluations. External evaluation consultants can find guidance on the evaluation process in Section 4 or Section 5, depending on whether their respective evaluation is commissioned by DIO or an MAE.

[1] In accordance with the Committee of Ministers decision of 19-20 November 2013 (CM/Del/Dec(2013)1185/11.2)

2. CONCEPT AND ROLE OF EVALUATION IN THE CoE

2.1 BACKGROUND

Strengthening evaluation was one of the cornerstones of the Secretary General's organisational reform in 2010. Evaluation contributes to improving working methods, enhances accountability, helps take better decisions and make better judgements for cost-efficiency and for achieving the best results. In the words of the Secretary General's '…it is always an advantage to work in an organisation which is always trying to do the work better and to focus more'[2].

2.2 LEGAL BASIS

The legal basis for evaluation is in the first instance Article 2 of the *Financial Regulations*, and then the *Evaluation Policy* (CM(2008)156).

2.3 DEFINITION

As defined in paragraph 7 of the *Evaluation Policy (CM(2008)156)*, evaluation is an assessment, as systematic and impartial as possible, of a project, programme or cluster of activities under a thematic or institutional heading. It serves to support strategic decisions, to support reform, to alert and address potential risks and to promote organizational learning.

Evaluation includes the identification, clarification, and application of criteria to determine an evaluation object's worth, merit or value in relation to those criteria. Evaluations are conducted to answer previously defined questions concerning the adoption, continuation, improvement or termination of the intervention. The Council of Europe Evaluation Policy and the *Criteria for Projects (CM(2006)101 final)* documents refer to the OECD/DAC evaluation criteria, i.e. **relevance, added value, effectiveness, efficiency, impact and sustainability**. Depending on the purpose and expected uses of the evaluation, the evaluation questions will focus on some of these criteria.

Evaluation is distinct from *monitoring*[3] and *audit*[4], as well as from *Results-Oriented Monitoring*[5] (ROM) exercises carried out by the European Commission for CoE-EU Joint Programmes.

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[2] DD(2010)22revE
1075th CM meeting (20-21 January 2010) Speech of the Secretary General New realities Reform of the Council of Europe Committee of Ministers, 20 January 2010.

[3] Monitoring concerns continuous examination of progress achieved with an on-going intervention by its management in order to track compliance with a plan and take corrective action if necessary. Monitoring is not to be confused with the monitoring mechanisms of the CoE that assess member States' compliance with conventions.

[4] Audit is an independent assessment of the adequacy of management controls to ensure the economical and efficient use of resources; the safeguarding of assets; the reliability of financial and other information; the compliance with regulations, rules and established policies; the effectiveness of risk management; and the adequacy of organizational structures, systems and processes.

[5] ROM exercises are frequently carried out by the European Commission for CoE-EU Joint Programmes (JPs) and can be situated *in between* traditional monitoring exercises and evaluations. The EU ROM system conducts monitoring missions using a standardised methodology to rapidly assess selected projects. The system is based on regular on-site assessments of ongoing projects that are given simple scores against the evaluation criteria (efficiency, effectiveness, potential impact, relevance and sustainability) using a strongly structured methodology. ROM exercises monitor ongoing projects financed by the EU with a contribution of at least €1 million, and assess a sample of 10% of projects below this threshold.

2.4 OBJECTIVES

Evaluation serves four main purposes:

1. Evaluation enhances **accountability** by reporting on Council of Europe activities to member States, partners and donors that have (co-) financed the activity and to other stakeholders of the Council of Europe.

2. Evaluation feeds into **management and decision-making processes** regarding the development of policies and strategies. It informs the planning, programming, budgeting, implementation and reporting cycle. Evaluation provides recommendations to programme coordinators, project managers and management at all levels, as well as to Council of Europe partners and donors.

3. Recommendations aim at improving the institutional relevance and the achievement of results, providing stakeholders satisfaction, optimising the use of resources, and maximising the impact of the contribution provided. It facilitates future planning of activities with other **partners** and their political assessment by stakeholders.

4. Evaluation drives organisational **learning** and innovation. This involves the creation of an environment that engages staff in creative ways to learn how to improve the Council of Europe work. In this context, evaluation is an instrument for making the Council of Europe policies, programmes, projects and organisational entities more effective through the provision of useful feedback and a commitment to act on that feedback.

2.5 PRINCIPLES

In accordance with the DAC-UNEG criteria for evaluation[6], evaluation functions and their products must be **independent, credible** and **useful**.

Independence means that the evaluation function is impartial and independent from the strategic and operational management functions.
In DIO evaluations, independence is assured by structural independence of DIO from operational management.
In MAE evaluations, independence is assured by involvement of external consultants who provide their unbiased judgement and impartial advice.

The **credibility** of evaluation depends on the expertise and independence of the evaluators, the soundness of the methodological approach, the adequacy of resources, the transparency of the evaluation process, the participation of stakeholders and the impartiality and factual accuracy of reporting.

The **usefulness** of evaluation is related to its relevance and timeliness for decision-making as well as its contribution to organisational learning.

[6] DAC-UNEG Framework for Peer Review, p.8. Available at: https://dm.coe.int/dio/documentsdio/DAC-UNEG Framework for peer review.pdf

Evaluators carrying out CoE evaluations apply the CoE *Charter on professional ethics* of 15 July 2005 and the Draft CoE Code of Conduct for Evaluation (Appendix 1). This is to ensure the integrity and impartiality of the evaluators and the quality and validity of the evaluation work.

Appendix 2 demonstrates how the above mentioned evaluation principles are inter-related.

2.6 EVALUATION TOPICS IN CoE / EVALUATION UNIVERSE

The main types of evaluation that are carried out within the Council of Europe as per the Evaluation Policy are the following:

(a) Evaluation of projects and programmes of the biennial Programme and Budget (including thematic and cross-cutting evaluation, regional or country programme evaluation);
(b) Organisational evaluation (which refers to the functioning of the Council of Europe)[7].

Evaluation is an integral part of the Programme and Budget design and delivery, including in the definition of meaningful objectives and indicators, and in the assessment of results. It covers projects and programmes funded by budgetary as well as by extrabudgetary resources. Organisational evaluation assesses to what extent effective support is provided to delivering the Organisation's objectives.

[7] Including institutional arrangements, Council of Europe offices and Partial Agreements.

3. THE CoE's EVALUATION FUNCTION

3.1 THE DIRECTORATE OF INTERNAL OVERSIGHT (DIO)

3.1.1 DIO's Role in Evaluation

The DIO is the custodian of the evaluation function.

Section 4.6 of the *Evaluation Policy* outlines the responsibilities and tasks of the Evaluation Entity which is part of DIO, with regard to **governance and accountability, conduct of evaluations, quality assurance, knowledge management** and **promotion of evaluation culture in CoE.**

Evaluations are carried out by DIO staff assisted by external consultants as needed. The team arrangements are decided on a case by case basis depending on budgetary considerations, subject matter of the evaluation and expertise requirements. The process for the selection of external consultants is outlined in detail in Section 4.2.10 below.

3.1.2 DIO's Staff

DIO staff engaged in designing, conducting and managing evaluation activities should possess the relevant professional and technical competencies:

- university degree in a relevant field;
- substantial professional experience in managing and conducting evaluations;
- good knowledge of evaluation methodology, recognised evaluation standards, techniques (including for conducting interviews and establishing samples and surveys), procedures and reporting, including projects funded by extra-budgetary resources;
- analytical thinking, problem solving and judgement skills.

In terms of personal values, evaluators are expected to demonstrate integrity, loyalty and discretion.

The *UNEG Core Competencies for Evaluators* can be consulted for a more detailed competency profile of evaluators.

As a policy of DIO, all staff is expected to regularly update their qualifications. The DIO Evaluation Division also participates in meetings of various international bodies dealing with evaluation.

3.1.3 DIO's Budget

The annual evaluation budget of DIO with the planned results and performance indicators is included in the Internal Oversight Section of the CoE's *biennial Programme and Budget* document. These resources may be supplemented by voluntary contributions.
DIO may in coordination with MAEs also use funds of project budgets earmarked for evaluation and financed by donors.
External support for DIO evaluations could also take the form of seconded staff.

3.1.4 DIO's Quality Assurance System

DIO employs a quality assurance system where adherence to the evaluation principles mentioned in Section 2.5 above is embedded in the evaluation process described in Section 4 below through specific actions taken by the evaluation team (see Appendix 3). To ensure that the relevant actions were taken and processes are complied with, a Quality Assurance Check-list is to be filled for each evaluation step (see Appendix 4). The specific time points where checks should be made are indicated throughout the Guidelines with an arrow and a number indicating the relevant section of the Quality Assurance Check-list, for example:

QA 1.1

means that Section 1.1 of the Quality Assurance Check-list requires to be checked at this stage of the evaluation process and the corresponding date filled in.

For an independent quality assurance of the Evaluation Function, a peer-review[8] exercise is usually conducted every five years by external experts.

3.2 MAJOR ADMINISTRATIVE ENTITIES (MAEs)

Major Administrative Entities (MAEs) may initiate and manage evaluations carried out by external consultants who usually assess Joint Programmes (JPs) and are funded through the JP's budget. However, MAEs are also encouraged to evaluate Ordinary Budget or Voluntary Contribution projects. Detailed processes for evaluations managed by MAEs are described in Section 5.

[8] Based on DAC-UNEG Framework for Peer Review. Available at: http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=945

4. EVALUATIONS MANAGED BY DIO

4.1 PREPARATION OF THE EVALUATION WORK PROGRAMME

DIO initiates an evaluation either on its own or on the basis of specific requests made by the Secretary General, the Committee of Ministers, member States, as well as donors including the European Union.
In the beginning of each year, DIO submits its draft annual evaluation work programme to the Secretary General for approval and to the GR-PBA/Committee of Ministers for information. Factors that DIO takes into account for selecting sectors, geographic locations and interventions to be evaluated are strategic and organisational relevance, usefulness and timeliness of the evaluation exercise as outlined in Criteria for selecting interventions to be evaluated (see Appendix 5). DIO will maintain a balance between the different parts of the evaluation universe and within them. As regards programmes, a balance will be sought between programmes relevant to standard-setting, monitoring and technical cooperation. Concerning the latter, a balance will be maintained between countries and thematic areas. Due attention will also be paid to the different financial sources of the programmes such as those financed by the European Union, by bilateral donors or through the Ordinary Budget. The decision-making needs of the Committee of Ministers, Secretary General, the donors and the MAEs are of primary importance. DIO also takes into account the results of risk assessments undertaken by the MAEs.
Specific requests concerning evaluation topics to be included in the Work Programme may be directed to the Secretary General or directly to the Director of DIO.

4.2 PLANNING AND PREPARATION

QA 5.1
QA 7.1

4.2.1 Time keeping

Each evaluation starts with the opening of an evaluation logbook. DIO staff managing the evaluation are expected to make the following entries (planned and actual, with explanation in case of difference) over the course of the evaluation:

- date of start of evaluation exercise
- date of completion of Concept Note (if applicable)
- date of completion of ToR
- date of announcement of evaluation
- date of announcement of tender (if applicable)
- date of completion of tender procedure (if applicable)
- date of application and reception of VAT exemption certificate (if applicable)
- date of contract signature (if applicable)
- date of completion of Inception Report
- date of completion of data collection from each assessment method
- date of completion of Final Draft Report
- date of approval of Final Report
- date of submission of Final Report and Action Plan to SG

Please, see template in Appendix 6.
Further, DIO annualy establishes Activity sheets for each evaluator. These sheets allow to keep record of time spent on each task evaluators perform.

Evaluators are requested to fill these sheets in accurately and on a daily basis and to file them in the DM Folder Activity reporting.

4.2.2 Consultations with CoE evaluation stakeholders

In the initial stage of planning an evaluation, a meeting is held by DIO with CoE evaluation stakeholders in order to learn about their expectations for the evaluation exercise and to confirm that:

- data collection is feasible (i.e. documentation is available for the chosen intervention and relevant staff is accessible);
- the timing of the evaluation is appropriate (i.e. no parallel evaluation efforts are being undertaken);
- the chosen intervention lends itself well to providing valuable lessons for the organization and to facilitate strategic decisions.

➡ **QA 5.2**
➡ **QA 7.2**

4.2.3 Preparation of Evaluation Dossier by MAE

Following the consultations, the MAE is asked to prepare a set of documentation for DIO (please see a check-list for the preparation of evaluation dossiers in Appendix 7).

4.2.4 Consultation with external evaluation stakeholders

If required, consultations are held with external evaluation stakeholders, such as government representatives or donors to receive input on the evaluation concept. The stakeholders are asked to voice their expectations for the evaluation exercise.

4.2.5 Exploratory study

DIO conducts an exploratory study of documentation provided by MAE in order to prepare the ToR for the evaluation. Whenever appropriate, DIO can conduct an initial field visit to the location of the intervention. DIO may summarise main conclusions of the study in an Evaluation Concept Note.

4.2.6 Preparation of Terms of Reference (ToR)

DIO prepares the ToR for the evaluation that clearly set out purpose, objectives, evaluation questions and the criteria the evaluator must meet and provides guidance on expectations concerning the final evaluation report, i.e. by appending the Quality Assurance Checklist for Evaluation Reports (see Section 4.3.9).

The detailed guidelines on the preparation of the ToR are in Appendix 8. A Quality Assurance Checklist for ToR is in Appendix 9.

➡ **QA 3.2**
➡ **QA 7.3**

4.2.7 Announcement / Establishment of Evaluation Reference Group

The evaluation is launched with an announcement to all relevant stakeholders who are presented with the ToR and/or an Evaluation Concept Note and if required, informed of the establishment of an evaluation reference group, which is made up of MAE representatives and other major stakeholders. A representative of PO is usually invited to join the reference group. The composition of the reference group (RG) is decided on a case by case basis, usually including evaluation stakeholders in CoE headquarters. Depending on the evaluation’s country and thematic focus, the RG may also include country representatives and/or representatives of donors. The RG is to advise the evaluation team on matters related to the evaluation (such as its scope and objectives), to facilitate the evaluation team’s access to relevant information and to provide feedback on findings, conclusions and recommendations of the evaluation by commenting, in particular, on the ToR and draft final report.

4.2.8 1st Reference Group meeting

The 1st evaluation reference group meeting is organised to receive feedback on the Evaluation Concept Note and/or ToR. The reference group members are provided with the documents and asked to prepare their feedback for the meeting. The feedback should preferably concern issues related to the scope and objectives of evaluation and evaluation questions, but can also provide suggestions on methodology. The results of the reference group meeting are summarised in Reference Group Meeting Notes. The Evaluation Concept Note and/or the ToR are amended accordingly, if necessary.

⇨ **QA 3.3**
⇨ **QA 3.4**

4.2.9 Composition of evaluation team

The evaluation team consists of one or more staff members of DIO and, if required, (an) external evaluation consultant(s) or company hired through a contract with CoE for provision of services in the framework of a specific evaluation assignment. The use of external consultants is to be decided on a case by case basis and depends on the volume of evaluation tasks, the substance matter of, or specific expertise required for the evaluation, as well as the availability of resources. The composition of the evaluation team should be gender-balanced, if possible.

⇨ **QA 2.1**
⇨ **QA 2.4**
⇨ **QA 2.5**

4.2.10 Tendering Procedure

In case of contracting an external consultant, the type of tendering procedure should be decided according to the budget allocated to the evaluation. As per article 40 of the *Financial Regulations*, contracts for intellectual services may be negotiated directly with suppliers for contracts of less than €5,000 excluding tax, and under a competitive bidding procedure by consulting at least three suppliers, when possible, for contracts for which the total expenditure, excluding tax, does not exceed €55,000. Above that threshold, consultation of the tender board is obligatory.

The tendering procedure is to be organised in accordance with CoE *Procurement procedures* and as outlined in the *Guide to Good Practice - Purchasing*.[9] and will take into account the rules and regulations of the *Tenders Board* using the *Model for the issuing of calls for tenders*.

For a list of external consultants, the consultant rooster of DIO can be referred to. Further, a list of companies offering evaluation services is available.

Along with their proposals, the tender participants are required to provide a Declaration of Honour with respect to the Exclusion Criteria and Absence of Conflict of Interest (Appendix 10) and a signed *Consent Form for review of performance and storage of performance information*.

The tender is announced on the website of Council of Europe using the *Model website notice for a call for tenders*. Usually, the tender is also announced on the website of the *European Evaluation Society*.

[9] Different procedure are foreseen for services below 5.000 Euro (direct negotiations), between 5.000 and 25.000 € (direct negotiations incl. consultations with at least three potential suppliers), between 25.000 and 55.000 € (restricted-consultation procedure) and above 55.000 € (international public tender).

Sometimes, questions are submitted by tenderers. The answers to those questions must be made available to all tender participants. For this purpose, a Q&A link is created on the webpage of the relevant call for tenders where a document can be accessed containing all questions posed and answers given. The document must be updated in case new questions are answered.

➡ **QA 2.2**
➡ **QA 2.3**
➡ **QA 3.5**

4.2.11 Selection of best proposal

The best tender proposal is selected based on the selection and adjudication criteria outlined in the Call for Tenders using a scoring system. The tender is awarded to the proposal which receives the highest total score calculated from overall scores of the Technical and Financial Proposals. The technical proposals will be evaluated on the basis of selection criteria such as:

- suitability of methodological approach;
- consultants' experience and knowledge of evaluation, in particular, within the context of international cooperation;
- experience and knowledge of the evaluators in the thematic areas covered by the present call for tenders;
- experience and knowledge of the evaluators in the countries concerned.

The financial proposals will be considered only for submissions that passed a minimum technical score. The formula for determining the financial scores is the following:

$$Sf = 100 \times Fm / F,$$

in which Sf is the financial score, Fm is the total price of the lowest financial proposal and F the total price of the proposal under consideration (the amount indicated under the last column of the Financial offer table.

➡ **QA 4.4**

4.2.12 Announcement to tender participants

Once the best tender proposal is selected, the results of the tender are communicated to the tender participants. Having received the tenderer's positive response, DIO sends a rejection letter to other tenderers.

4.2.13 VAT exemption

Services paid by the Council of Europe are usually eligible for a VAT exemption which needs to be applied for following the *VAT exemption guidelines*. Before filing for VAT exemption, certain information needs to be established, such as:

- Is the prospective service provider subject to VAT or not?
- What is the appropriate procedure for the service in question?
- What are the specific features of the procedure in question?

For additional information on VAT exemption, the *website of Protocol* can be consulted.
For planning purposes, the evaluation team should take into account that the receipt of the VAT exemption takes eight week on average.

4.2.14 Contract Signature

Upon receipt of the VAT exemption, the contract with the selected consultant is signed by the Director of DIO. The contract is prepared using the *Consultant Contract Template*. The *Code of Conduct for Evaluators* is an attachment to the contract. Further information related to consultants' contracts is contained in the *Administrative Handbook*.

4.2.15 Acceptance of work and processing of payments

The consultant is to be supplied with information on issuance of an invoice. The invoice has to feature:

- the supplier's name and address;
- the supplier's intra-community VAT number;
- the name and address of the supplier's bank and full bank account details, to include IBAN and BIC/SWIFT numbers.

In addition to the mandatory details, the final invoice should specify:

- "Intra-Community sale to an exempted organisation: Articles 143 and 151 of Council Directive 2006/112/EC; Statute of the Council of Europe (particularly Article 40 thereof); General Agreement on Privileges and Immunities of the Council of Europe; Article 1 of the Supplementary Agreement to the General Agreement on Privileges and Immunities of the Council of Europe, concluded between the Council of Europe and the French Government on 18 March 1950."
- and should indicate the final total amount excluding VAT.

The consultant must send the invoice in triplicate by post.

In DIO, the processing of payments is handled by the employee responsible for finances. In case the payment of the invoice is on condition that certain services have been provided, the Head of Evaluation Division must sign the *Acceptance of work certificate* which is then attached to the invoice.

4.3 CONDUCT OF EVALUATION

4.3.1 Administrative resources

During the conduct of an evaluation various administrative tasks may become required. Please consult the existing documentation regarding the following issues by clicking on the links:

1. Leave/Training/Internal job posting - HR workflow
2. GDD (Mission / Meeting)
    a. Mission order - Help desk (missions-questions): 3916
    b. Meetings
    c. Experts - Help desk: 3356
3. Chrono
4. Translation - GESTRAD
5. Computerised Management of Dispatched Notes - GIBEX
6. eDirectory
7. AMS:
    a. Restocking of office supplies cupboards - ref 2213
    b. Room reservation request - ref A205

4.3.2 Opening meeting of evaluators

An opening meeting is held to assure a common understanding of the evaluation purpose, questions and tasks and to finalise the evaluation schedule.

4.3.3 Desk study phase

During the desk study phase, evaluators collect information from the dossiers provided by MAEs. In addition, at this stage, evaluators might consult other relevant CoE documents. The information is then analysed with a view to adjust the evaluation questions and to develop an appropriate evaluation methodology (methods of data collection, criteria for sampling). The desk study is to be concluded by the production of an Inception Report.

4.3.4 Inception Report

The Inception Report reiterates the purpose of the evaluation, its objectives, its context and its scope. Further, the Inception Report elaborates the evaluation criteria, specifies tailored evaluation questions and the evaluation methodology possibly using an Evaluation Matrix (see template in Appendix 11), and presents the evaluation work plan. The evaluation team may organise written consultations with stakeholders on the Inception Report, in particular on the proposed methodology.

A Quality Assurance Checklist for the Inception Report is in Appendix 12.

QA 4.3

4.3.5 Data Collection: methodology & sampling

The evaluation methodology must be sufficiently rigorous to ensure a complete, fair and unbiased assessment. The data should come from a variety of sources to ensure their **accuracy**[10]**, validity**[11] **and reliability**[12].

The evaluator develops the evaluation methodology based on the evaluation criteria determined in the ToR. The time for collection, the cost, and the usefulness of the data must be considered in deciding what data to collect. Determining how to collect the data includes deciding what form of data (such as survey answers, observation of behaviour, interview answers, focus group discussion content) will be used and how it will be collected. Several methods of data collection and methodological steps used by DIO are presented in Appendix 13.

To make sure that biases and technical gaps are minimised, the method of **data triangulation**[13] is used, which implies that several data collection methods are employed. It is important to state the limitations of each data collection method.

For quantitative data collection, different methodologies can be used, such as surveys. Survey questions are developed to help answer the evaluation questions. They can have different formats, such as yes/no questions, best answer and multiple choice questions, questions with rating scales or ranking, and open-ended questions. Usually, electronic surveys are undertaken. Quantitative data may also be generated from desk study research or structured interviews.

[10] The exactness or precision of an assessment.
[11] The extent to which the assessment methods and resulting data measure what was intended.
[12] The degree with which repeated observation and/or measurements taken under identical circumstances will yield the same results.
[13] Triangulation is a powerful technique that facilitates validation of data through cross verification from two or more sources. In particular, it refers to the application and combination of several research methodologies in the study of the same phenomenon.

Qualitative data is collected through measures such as semi-structured individual interviews or focus group discussions. An Interview Guide should be developed providing the interviewer with an outline of topics or issues to be covered, but letting him/her vary the wording and order of the questions to some extent. A template for an Interview Guide is in Appendix 14.

Sampling[14] methods also play an important role in ensuring validity of data. There are two major categories of sampling methods: random sampling and qualitative sampling or purposeful sampling.

Random sampling means that each object of the sample has an equal chance to be selected for assessment. It is used when there is a need for generalising from the sample to the study population. The sample therefore aims to be representative of the population. In the context of evaluation conducted by DIO, it should be employed for collection of quantitative data, i.e. using surveys.

Purposeful sampling is used when the sample is established for a specific purpose and focuses on the importance of selecting information-rich examples from which one can learn a lot about the issues that are important for the study. Purposeful sampling is employed in the context of qualitative data collection, i.e. using interview, focus group and case study techniques. The evaluator should be able to articulate the rationale for selection of interviewees, ensure that the list of interviewees is adequate in number and diversity to provide a substantial amount of useful information about the evaluation questions and that the number and diversity of the interviewees is credible to the intervention's stakeholders.

Some criteria for selection of interviewees may be:

a) Interviewees who represent the "typical" user or participant of the intervention;
b) To illuminate the potential of the intervention: interview people who have made the most out of the training / service which have been offered;
c) To explore challenges to strategies and activities: interview those who did not seem to get as much from the intervention or chose not to participate in activities;
d) For diversity: interview representatives from all of the different stakeholder groups in the intervention;
e) For in-depth experience and institutional memory: interview long-term participants;
f) For critical observer's viewpoint: interview stakeholders, who are external to the intervention such as civil society organisations, domestic authorities, other international organisations etc.

In case of difficulties identifying potential interviewees, a chain approach can be used to ask knowledgeable people to recommend other potential interviewees.

The selection of qualitative and quantitative data collection tools as well as sampling methods should be made with a view to understand the perspectives of all key stakeholder groups, including the least powerful or most vulnerable ones if applicable.

Before carrying out interviews with permanent representations, the evaluation team provides information on the number and sample of planned interviews for the evaluation and offers the possibility of an interview to every representation interested to participate.

[14] Sampling is concerned with the selection of a subset of individuals or files from within a study population to extrapolate characteristics of the whole population.

The evaluation team may also undertake additional consultations with the CM Secretariat to identify other relevant stakeholders.

QA 2.6
QA 3.6
QA 4.1

4.3.6 Missions

In some cases, data collection requires missions (official journeys) to field offices or other locations. *Missions Instructions* should be consulted. Missions are organised via the *GDD tool* with the assistance of DIO secretariat.

The Heads of Field Offices, as relevant, should be informed and consulted on the organization of the mission and may be asked for logistical assistance for the organization of the mission.

4.3.7 Data analysis

First step to data analysis is summarizing the data (see Appendix 13).

Q**uantitative data**, i.e. the responses to survey, are summarised. Then, the data is analysed and interpreted. The data can be simplified to demonstrate positive or negative trends. Finally, the findings are compared against the criteria identified in the objectives. To ensure validity of findings, it should be shown that the survey was based on a sufficient and representative sample, had an acceptable response and completion rate and has not triggered desired responding (i.e. by assuring respondents of anonymity).

For analysis of **qualitative data**, it is important to take notes on each interview conducted starting with descriptive information about the encounter: time, date, place, interviewee(s) name / function. Once most data is collected, the next step is to code the data, namely to identify, categorise, and label the themes or patterns in the data while keeping the evaluation questions in mind[15]. Finally, data is interpreted to answer the evaluation questions. To ensure validity of findings, the evaluator should make sure to seek information that does not support his/her findings, to look for consistency of findings across multiple methods of data collection, and to run an accuracy check, whenever feasible. Data may be analysed and reported in a disaggregated way to illustrate the stakeholders' diverse perspectives.

4.3.8 Evaluation working papers and case studies

Whenever the data collection involves several separate stages which are then summarised into a synthesis report (Final Evaluation Report), interim working papers are prepared for internal use, such as reports on focus groups, survey findings etc.

In addition to contextual and methodological information, the working papers could already present findings from different instances of data collection and some initial conclusions.

Whenever case studies are prepared, these should be shared with CoE staff directly involved in the interventions to receive feedback on potential factual errors, inaccuracies, imprecisions or ambiguities. The feedback is taken into account for preparing the final version of the case studies.

[15] This can be done, for example by using a color coding system and a list of themes prepared ahead of time to which other themes are added if they come up during summarizing or, for specially complicated data sets by using specialized software such as ATLAS.ti (http://www.atlasti.com) and NVivo 7 (http://www.qsrinternational.com).

4.3.9 Draft Final Report

The draft final report synthesises all the results of the work conducted in the framework of the evaluation. The report should be concise, structured, logical, clear and complete. It should present information on the object of the evaluation, the evaluation purpose, objective(s) and scope, the evaluation methodology, findings, conclusions, recommendations and lessons learnt.

The criteria to assess the quality of the report[16] are as follows:

1. the report is well structured, logical, clear and complete;
2. the report presents a clear and full description of the 'object' of the evaluation;
3. the evaluation's purpose, objectives and scope are fully explained;
4. the report presents a transparent description of the methodology applied to the evaluation that clearly explains how the evaluation was specifically designed to address the evaluation criteria, yield answers to the evaluation questions and achieve evaluation purposes; the limitations of the methodology are made explicit;
5. findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report;
6. conclusions present reasonable judgments based on findings and substantiated by evidence, and provide insights pertinent to the object and purpose of the evaluation;
7. the report contains a section on lessons learnt and best practices, which are relevant and applicable to the organisation as a whole;
8. recommendations are relevant to the object and purposes of the evaluation, are supported by evidence and conclusions, and were developed with the involvement of relevant stakeholders;
9. the connection between findings, conclusions and recommendations is demonstrated through graphic means;
10. recommendations may be supplemented with suggested modalities of implementation and opportunities for improvement;
11. the report illustrates the extent to which the design and implementation of the object, the assessment of results and the evaluation process incorporate a gender equality perspective and human rights based approach.

A Quality Assurance Checklist for the Final Report is in Appendix 15.

QA 3.7
QA 4.5

4.3.10 2nd Reference Group meeting

The 2nd evaluation reference group meeting is organised two weeks after the reception of the Draft Final Report. The reference group members are provided with the report and asked to prepare their feedback for the meeting. The feedback should concern the relationship between findings, conclusions and recommendations, the relevance, usefulness and implementability of recommendations. The results of the reference group meeting are to be summarised in Reference Group Meeting Notes. The RG members are also provided the opportunity to share their comments in writing, if preferred. The comments of the reference group may be integrated into the report or presented in the report as differing views.

QA 3.1
QA 4.2

[16] Based on UNEG Quality Checklist for Evaluation Reports (2010). Available at: http://www.iom.int/jahia/webdav/site/myjahiasite/shared/shared/mainsite/about_iom/eva_techref/UNEG_Eval_Report.pdf

- **QA 7.4**
- **QA 8.3**

4.3.11 Acceptance and dissemination of Final Report

The final report is accepted by the Director of DIO and, in accordance with paragraph 45 of the Evaluation Policy, sent to the Secretary General.

- **QA 1.1**
- **QA 1.2**
- **QA 5.3**
- **QA 6.1**

4.3.12 External Consultant Review

When working with external evaluation consultant(s), review of his/her/their work is made by DIO staff after the completion of the evaluation exercise. This is to ensure that record is kept of the work experience with consultants to inform the selection of consultants for future assignments.
A Consultant Review Form (Appendix 16) is to be filled out by the DIO staff responsible for the evaluation and to be kept on file in a Consultant Reviews Folder.

4.4 EVALUATION FOLLOW-UP

4.4.1 Dissemination of Evaluations

For learning and accountability purposes, evaluation products should be disseminated as widely as possible. As per paragraph 47 of the Evaluation Policy, the Secretary General is responsible, when appropriate, for making complete evaluation accessible to key partners and stakeholders. This may include their publication on DIO's intranet/internet pages where the annual evaluation plan and report are posted.

DIO disseminates final evaluation reports in softcopy format among all stakeholders who participated in the evaluation. On a case by case basis DIO decides whether to print also hardcopies of evaluation reports for dissemination.

Evaluation reports are prepared in one of the official working languages of the CoE. On a case by case basis, DIO decides whether to have executive summaries translated into the respective other official language or any national language of a member state.

In order to promote evaluation usage and strengthen accountability within the CoE, DIO systematically follows up on the implementation of evaluation recommendations by management.

The Secretary General reports annually to the Committee of Ministers on the function, findings and recommendations of evaluations, on compliance, quality assurance, and follow-up to evaluations conducted (see paragraph 27 of the Evaluation Policy).

- **QA 6.2**
- **QA 6.4**
- **QA 8.1**
- **QA 8.2**

4.4.2 Action Plan

MAEs to whom **evaluation recommendations** are addressed are required to prepare an action plan that describes the activities that they commit to carry out in order to implement the recommendations. The process of developing and accepting the action plan is illustrated in Appendix 17. It starts with DIO sending an action plan template to the entities together with instructions on how to complete it (Appendix 18). The evaluation team may arrange for a workshop or meeting with concerned entities in order to facilitate the process of identifying actions required for the implementation of the recommendations.

The concerned entities are requested to return the completed action plan template to DIO within two to three weeks after receiving it. In the action plan, they formally state whether they accept the recommendations, by which date they intend to implement them and what actions are envisaged to be taken for their implementation. In case a recommendation's implementation is spread over a substantial time period, the entities propose milestones.

In addition to recommendations, evaluation reports may contain **opportunities for improvement**. These address a deficiency or weakness in an intervention's design, delivery, performance, or achievement of results, which may not necessarily impact the achievement of the intervention's mandated objectives, but which, if remedied, would add value to overall implementation of the intervention or increase its efficiency. Opportunities for improvement are not being followed up on and are therefore not included in DIO's follow up database.

Prior to accepting the action plan, DIO assesses whether the actions proposed are (i) relevant, (ii) effective and (iii) timely in addressing the recommendation(s). In case an action plan is assessed as non-satisfactory by DIO, negotiations take place between DIO and the concerned entity. If issues can be resolved during these negotiations, heads of entities submit an amended action plan to DIO, which is then formally accepted.

In case negotiations do not lead to satisfactory results, DIO notifies the Secretary General of outstanding issues, who then decides whether it is feasible to take action, or whether the CoE will bear the consequences of failing to do so. Should the Secretary General decide to take the necessary action, the entity is requested to amend the action plan. If not, DIO accepts the action plan as it is.

4.4.3 Recommendation Implementation Reports

MAEs are required to compile progress reports on the status of the implementation of all outstanding recommendations on a semi-annual basis. Recommendation implementation reports are prepared in the form of a table that is based on the action plan but provides additional information about the activities that have been undertaken to implement each recommendation. Appendix 19 provides a template for a recommendation implementation report as well as instructions for entities on how to complete it.

Entities are requested to submit the completed recommendation implementation report including supporting evidence to DIO within two weeks to three after reception of the template. Entities are only asked to provide a report if the issuance of the recommendation has occurred at least three months prior to the due-date of the update. In case the recommendation implementation report lacks clarity or supporting evidence, DIO requests further clarification.

DIO assesses whether completed and planned actions are (i) relevant, (ii) effective and (iii) timely in addressing the recommendation(s) before accepting the report. DIO may carry out follow-up missions in order to verify the implementation progress. As part of the assessment, DIO also validates the status of the recommendations proposed by the MAE.

Recommendations can have the following statuses:

- **In progress (P):** The implementation of the recommendation is underway;
- **Implemented (I):** The implementation of the recommendation has been completed and the recommendation will be closed. This recommendation will be removed from the report for the subsequent follow-up process;
- **Obsolete (O):** This recommendation is no longer relevant as it has been overtaken by events. The recommendation will be closed.

In case implementation of a recommendation is in progress for an unjustifiably lengthy period, the management decision to the recommendation will be reconsidered in consultation with the MAE and may be changed from "(partially) accepted" to "rejected" and the Secretary General will be notified as outlined in section 4.4.2.

4.4.4 Lessons / Dissemination of good practices

Evaluation can make an important contribution to organizational learning if key lessons generated by evaluations are easily accessible for stakeholders. When an evaluation report is finalised, DIO extracts the lessons it contains and can communicate them to stakeholders through one or more lesson products such as the following:

- Lesson briefs: One-pagers illustrating an individual lesson that came up during an evaluation. These are made available on the DIO intranet page.
- Daily good practice lesson statements: Short statements of typically one to three sentences that remind staff of good practices that are often not followed. These are envisaged to be displayed in a certain place on the DIO intranet page and change from day to day.
- Strategic issues briefs: Three-pagers summarizing on an annual basis the key lessons generated by evaluation reports. These are sent via email to heads of entities for further dissemination among their staff. They are also made available on the DIO intranet page.
- Lesson posters: Posters for CoE-internal dissemination that visualise lessons.
- Video clips: Video clips of a length of around five minutes to which managers of concerned entities might contribute. These will be made available on the DIO intranet page.
- CoE Journal content: Short contribution to the CoE Journal once an evaluation report has been published.
- Ad-hoc advice: Oral advice provided by DIO to (i) managers planning to undertake an intervention similar to one that has been evaluated earlier or (ii) the Directorate of Human Resources in order to highlight areas where further staff training is required.
- Seminars: Seminars or workshops on specific topics to which CoE internal and external stakeholders may be invited.

DIO may also integrate lessons learnt from evaluation reports conducted by MAEs in the dissemination activities.

QA 6.3

5. EVALUATION CONDUCTED BY MAEs

Staff members not belonging to DIO are not expected to prepare evaluations themselves, but they may initiate and manage external evaluation processes (i.e., evaluations carried out by external consultants), provided they have the necessary resources to do so. They can seek DIO's advice during the entire process, i.e. from the definition of the Terms of Reference (ToR) to the selection of the external consultants and the quality of the draft evaluation report.

5.1 EVALUATION PLAN

As a general rule, Managers of EU/CoE Joint Programmes (JPs), in consultation with the EU when needed, are responsible for taking the decision to evaluate a JP and, in case they deem it necessary, it is up to the relevant MAEs/JP managers to manage the whole external evaluation process, as required.

MAEs are also encouraged to consult DIO whenever they are undertaking an evaluation of an Ordinary Budget or Voluntary Contribution project in order to find the most appropriate solutions.

When deciding whether to evaluate or not, care must be taken to avoid duplications: DIO and the concerned MAE will inform and consult each other at a very early stage on any plan to carry out an evaluation.

5.2 PREPARATION

5.2.1 Preparation of evaluation dossier

The evaluation dossier contains all relevant information on the intervention to be evaluated as well as other relevant information and documentation such as relevant decisions of CoE bodies or reports of CoE monitoring mechanisms on particular topics. A Check-list for the preparation of an evaluation dossier may be consulted in Appendix 7.

5.2.2 Preparation of terms of reference (ToR)

The evaluation manager prepares the ToR for the evaluation that clearly set out purpose, objectives, evaluation questions and the criteria the evaluator must meet and provides guidance on expectations concerning the final evaluation report, i.e. by appending the Quality Assurance Checklist for Evaluation Reports (see Appendix 15).

The detailed guidelines on the preparation of the ToR are in Appendix 8. A Quality Assurance Checklist for ToR is in Appendix 9.

5.2.3 Tendering procedure and contract

In case of contracting an external consultant, the type of tendering procedure should be decided as per article 40 of the *Financial Regulations* according to the budget allocated to the evaluation and will be organised in accordance with CoE *Procurement procedures* and as outlined in the *Guide to Good Practice - Purchasing*.[17]

[17] Different procedure are foreseen for services below 5.000 € (direct negotiations), between 5.000 and 25.000 € (direct negotiations incl. consultations with at least three potential suppliers), between 25.000 and 55.000 € (restricted-consultation procedure) and above 55.000 € (international public tender).

The tendering procedure is to be organised in accordance with the rules and regulations of the *Tenders Board* using the *Model for the issuing of calls for tenders*.

For a list of external consultants and a list of companies offering evaluation services DIO may be consulted.

Along with their proposals, the consultants participating in a tender procedure are required to provide a Declaration of Honour with respect to the Exclusion Criteria and Absence of Conflict of Interest (Appendix 10).

The best tender proposal is selected based on the selection and adjudication criteria outlined in the Call for Tenders, such as:

- suitability of methodological approach;
- consultants' experience and knowledge of evaluation, in particular, within the context of international cooperation;
- experience and knowledge of the evaluators in the thematic areas covered by the present call for tenders;
- experience and knowledge of the evaluators in the countries concerned.

The tender is awarded to the proposal which receives the highest total score calculated from overall scores of the Technical and Financial Proposals.

Once the best tender proposal is selected, the results of the tender are communicated to the tender participants. Having received the tenderer's positive response, the evaluation manager sends a rejection letter to other tenderers.

Services paid by the Council of Europe are usually eligible for a VAT exemption which needs to be applied for following the *VAT exemption guidelines*. Before filing for VAT exemption, certain information needs to be established, such as:

- Is the prospective service provider subject to VAT or not?
- What is the appropriate procedure for the service in question?
- What are the specific features of the procedure in question?

For additional information on VAT exemption, the *website of Protocol* can be consulted.
For planning purposes, the evaluation team should take into account that the receipt of the VAT exemption takes eight week on average.

Upon receipt of the VAT exemption, the contract with the selected consultant is signed by the MAE commissioning the evaluation. The contract is prepared using the *Consultant Contract Template*. Further information related to consultants' contracts is contained in the *Administrative Handbook*.

The consultant is to be supplied with information on issuance of an invoice. The invoice has to feature:

- the supplier's name and address;
- the supplier's intra-community VAT number;
- the name and address of the supplier's bank and full bank account details, to include IBAN and BIC/SWIFT numbers.

In addition to the mandatory details, the final invoice should specify:

- "Intra-Community sale to an exempted organisation: Articles 143 and 151 of Council Directive 2006/112/EC; Statute of the Council of Europe (particularly Article 40 thereof); General Agreement on Privileges and Immunities of the Council of Europe; Article 1 of the Supplementary Agreement to the General Agreement on Privileges and Immunities of the Council of Europe, concluded between the Council of Europe and the French Government on 18 March 1950."
- and should indicate the final total amount excluding VAT.

The consultant must send the invoice in triplicate by post.

In case the payment of the invoice is on condition that certain services have been provided, the evaluation manager must sign the *Acceptance of work certificate* which is then attached to the invoice.

5.3 CONDUCTING THE EVALUATION

5.3.1 Opening meeting

The evaluation exercise usually starts with an opening meeting between the evaluation manager and the external evaluation consultant. In case of donor-funded and jointly managed evaluations the meeting may be also attended by representatives of the donor. The evaluation manager may consider to establish a steering committee or a reference group for the evaluation, which consists of the main evaluation stakeholders and may advise the evaluation team on matters related to the evaluation, facilitate the evaluation team's access to relevant information and to provide feedback on findings, conclusions and recommendations of the evaluation by commenting, in particular, on the ToR and draft final report.

5.3.2 Inception phase

During the inception phase, evaluators collect information from the dossiers provided by the MAE. In addition, at this stage, evaluators might consult other relevant CoE documents. The information is then analysed with a view to adjust the evaluation questions and to develop an appropriate evaluation methodology (methods of data collection, criteria for sampling). The desk study is to be concluded by the production of an Inception Report.

The Inception Report reiterates the purpose of the evaluation, its objectives, its context and its scope. Further, the Inception Report elaborates the evaluation criteria, specifies tailored evaluation questions and the evaluation methodology possibly using an Evaluation Matrix (see template in Appendix 11) and presents the evaluation work plan. The evaluation manager may see fit to organise written or oral consultations with stakeholders on the Inception Report, in particular on the proposed methodology.

A Quality Assurance Checklist for the Inception Report may be consulted in Appendix 12.

5.3.3 Data collection and analysis phase

During the data collection phase, the evaluation manager supports the evaluation team with access to data and access to relevant stakeholders. In case of missions evaluation manager usually provides logistic support and assists in the organization of the mission.

5.3.4 Draft Final Report

The draft final report synthesises all the results of the work conducted in the framework of the evaluation. The report should be concise, structured, logical, clear and complete. It should present information on the object of the evaluation, the evaluation purpose, objective(s) and scope, the evaluation methodology, findings, conclusions, recommendations and lessons learnt. The evaluation manager may see fit to organise written or oral consultations with stakeholders on the Draft Final Report, in particular on the conclusions and recommendations.

The criteria to assess the quality of the report[18] are as follows:

1. the report is well structured, logical, clear and complete;
2. the report presents a clear and full description of the 'object' of the evaluation;
3. the evaluation's purpose, objectives and scope are fully explained;
4. the report presents a transparent description of the methodology applied to the evaluation that clearly explains how the evaluation was specifically designed to address the evaluation criteria, yield answers to the evaluation questions and achieve evaluation purposes; the limitations of the methodology are made explicit;
5. findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report;
6. conclusions present reasonable judgments based on findings and substantiated by evidence, and provide insights pertinent to the object and purpose of the evaluation;
7. the report contains a section on lessons learnt and best practices, which are relevant and applicable to the organisation as a whole
8. recommendations are relevant to the object and purposes of the evaluation, are supported by evidence and conclusions, and were developed with the involvement of relevant stakeholders;
9. the connection between findings, conclusions and recommendations is demonstrated through graphic means;
10. recommendations may be supplemented with suggested modalities of implementation and opportunities for improvement;
11. the report illustrates the extent to which the design and implementation of the object, the assessment of results and the evaluation process incorporate a gender equality perspective and human rights based approach.

A Quality Assurance Checklist for the Final Report is in Appendix 15.

If changes in the report are necessary and the evaluation team agrees to the proposed changes, the report is amended accordingly and its final version is submitted.

5.3.5 Acceptance of Final Report

The final report is accepted by the Director of the MAE commissioning the evaluation and is being sent to the donor agency.

[18] Based on UNEG Quality Checklist for Evaluation Reports (2010). Available at: http://www.iom.int/jahia/webdav/site/myjahiasite/shared/shared/mainsite/about_iom/eva_techref/UNEG_Eval_Report.pdf

5.4 EVALUATION FOLLOW-UP

5.4.1 Dissemination of evaluation

After the Director of MAE commissioning the evaluation accepts the evaluation report, it may be made public in ways considered appropriate by the MAE (i.e. website of the project/programme, information brochures, website of MAE etc.). In case of donor-funded evaluations, publication requirements of the donor as well as visibility requirements should be followed.

The MAE commissioning the evaluation may consider further dissemination activities, such as workshops, discussions, dissemination of executive summary or lessons learnt.

A copy of the final evaluation report will systematically be sent to DIO by the concerned MAE, and DIO will publish the reports on its intranet page.

5.4.2 Implementation of recommendations

MAEs should implement evaluation recommendations within two years from the date of acceptance of final report. The progress on the implementation of recommendations should be documented and updated in a Recommendations Follow-Up file which should be made accessible to DIO upon request for further audits and evaluations.

6. APPENDICES

Appendix 1 - Council of Europe Code of Conduct for Evaluation

Council of Europe
Code of Conduct for Evaluators[19]

Council of Europe, November 2013

1. The conduct of evaluators in the Council of Europe (CoE) should be beyond reproach at all times. Any deficiency in their professional conduct may undermine the integrity of the evaluation, and more broadly evaluation in the CoE itself, and raise doubts about the quality and validity of their evaluation work.

2. The CoE Code of Conduct applies to all evaluation staff and consultants in the CoE.

3. The provisions of the CoE Code of Conduct apply to all stages of the evaluation process from the conception to the completion of an evaluation and the release and use of the evaluation results.

4. To promote trust and confidence in evaluation in the CoE, all CoE staff engaged in evaluation and evaluation consultants working for CoE are required to commit to the Code of Conduct for Evaluation, specifically to the following obligations:

Independence
5. Evaluators shall ensure that independence of judgment is maintained and that evaluation findings and recommendations are independently presented.

Impartiality
6. Evaluators shall operate in an impartial and unbiased manner and give a balanced presentation of strengths and weaknesses of the policy, program, project or organizational unit being evaluated.

Conflict of Interest
7. Evaluators are required to disclose in writing any recent or current situation of themselves or their immediate family, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise. Before undertaking evaluation work with CoE, each evaluator will complete a conflict of interest form (see *Declaration of Honour with respect to the Exclusion Criteria and Absence of Conflict of Interest*).

Honesty and Integrity
8. Evaluators shall show honesty and integrity in their behaviour, when determining the evaluation costs, tasks, limitations, scope of results likely to be obtained and presenting their procedures, data and findings, including any limitations or uncertainties of interpretation within the evaluation.

[19] Drafted on the basis of UNEG Code of Conduct for Evaluation in the UN System, available at: http://www.unevaluation.org/unegcodeofconduct

Competence

9. Evaluators shall accurately represent their level of skills and knowledge and work only within the limits of their professional training and abilities in evaluation, declining assignments for which they do not have the skills and experience to complete successfully.

Accountability

10. Evaluators are accountable for the completion of the agreed evaluation deliverables within the timeframe and budget agreed, while operating in a cost effective manner.

Obligations to participants

11. Evaluators shall respect and protect the rights of human subjects and communities, in accordance with the European Convention of Human Rights and other human rights conventions. Evaluators shall respect differences in culture, local customs, religious beliefs and practices, personal interaction, gender roles, disability, age and ethnicity, while using evaluation instruments appropriate to the cultural setting. Evaluators shall ensure prospective participants are treated as autonomous agents, free to choose whether to participate in the evaluation, while ensuring that the relatively powerless are represented. Evaluators shall make themselves aware of and comply with legal codes (whether international or national) governing, for example, interviewing children and young people.

Confidentiality

12. Evaluators shall respect people’s right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.

Avoidance of Harm

13. Evaluators shall act to minimise risks and avoid harms to, and burdens on, those participating in the evaluation, without compromising the integrity of the evaluation findings.

Accuracy, Completeness and Reliability

14. Evaluators have an obligation to ensure that evaluation reports and presentations are accurate, complete and reliable. Evaluators shall explicitly justify judgements, findings and conclusions and show their underlying rationale, so that stakeholders are in a position to assess them.

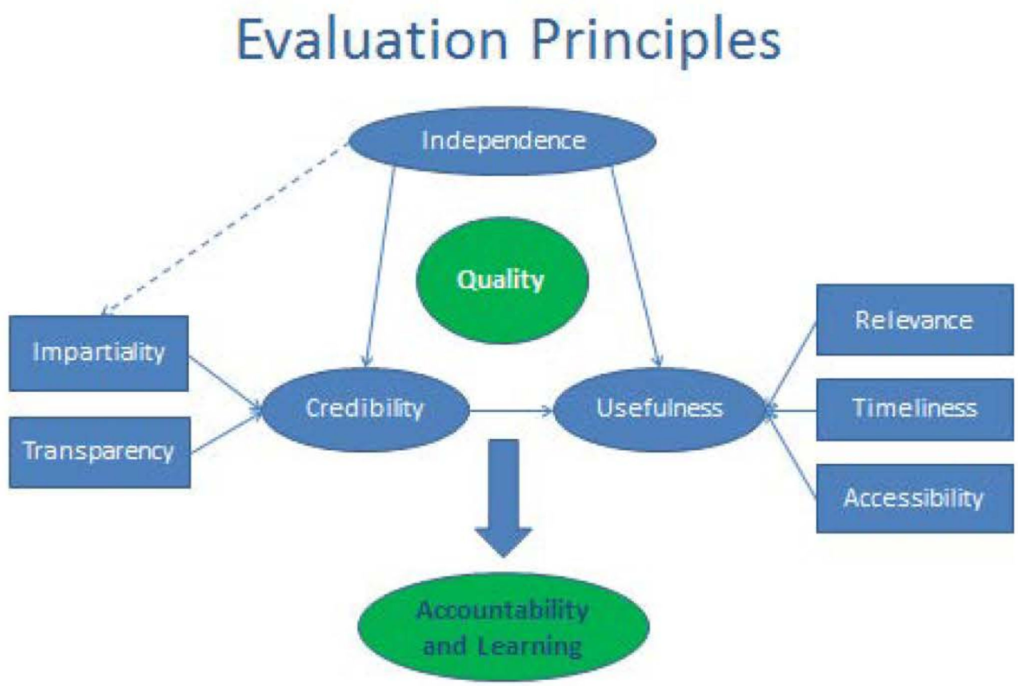
Transparency

15. Evaluators shall clearly communicate to stakeholders the purpose of the evaluation, the criteria applied and the intended use of findings. Evaluators shall ensure that stakeholders have a say in shaping the evaluation and shall ensure that all documentation is readily available to and understood by stakeholders.

Omissions and wrongdoing

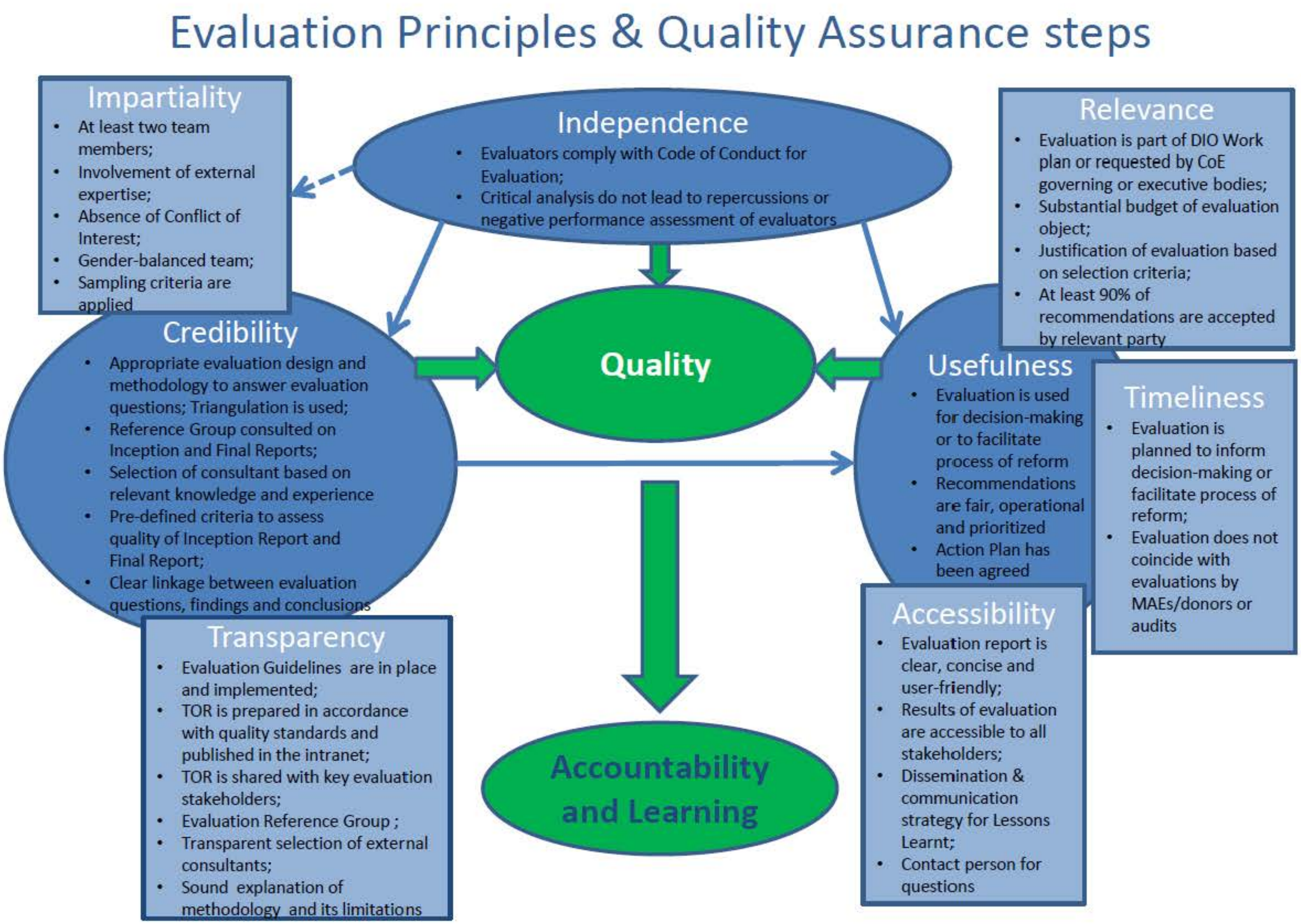
16. Where evaluators find evidence of wrong-doing or unethical conduct, they are obliged to report it to the proper oversight authority.

Appendix 2 – Evaluation Principles[20]



[20] Based on model in WPF Evaluation Policy (2008), p.9. Available at : http://documents.wfp.org/stellent/groups/public/documents/eb/wfp187763.pdf

Appendix 3 - Evaluation principles with Quality Assurance Elements



DD(2014)238final: distributed at the request of the Secretariat
Documents distributed at the request of a Representative shall be under the sole responsibility of the said Representative, without prejudice to the legal or political position of the Committee of Ministers.

Appendix 4 - Quality Assurance Checklist for Evaluation

Quality Checklist for Evaluation			
Evaluation Title:		**Check**	**Date**
1. Independence			
QA 1.1	Evaluators complied with CoE Code of Conduct for Evaluation.		
QA 1.2	Evaluation critical analysis did not lead to repercussions for the evaluation function staff and did not impact negatively on their performance assessments.		
2. Impartiality			
QA 2.1	Evaluation team was not involved in any activities under the evaluation object		
QA 2.2	External expertise was involved for the evaluation exercise.		
QA 2.3	External consultant submitted a certificate of absence of conflict of interest.		
QA 2.4	Evaluation team consisted of at least two team members.		
QA 2.5	Evaluation team is gender-balanced.		
QA 2.6	To minimise possible bias and misrepresentation, sampling criteria were applied. Potential bias were identified and stated.		
3. Transparency			
QA 3.1	Evaluation process followed CoE Evaluation Guidelines.		
QA 3.2	ToR for evaluation were prepared and the Quality Assurance Checklist has at least 80% of checks.		
QA 3.3	ToR were shared with key evaluation stakeholders to receive input.		
QA 3.4	Evaluation Reference Group was established and was composed of the main evaluation stakeholders to accompany the evaluation process.		
QA 3.5	External consultants were selected in accordance with CoE tender requirements.		
QA 3.6	Methodology for evaluation included a sound explanation of data collection and sampling methods and the limitations of those methods.		
QA 3.7	Clear linkage is demonstrated between evaluation questions, findings, conclusions and recommendations.		
4. Credibility			
QA 4.1	Evaluation methods were appropriate to answer evaluation questions.		
QA 4.2	Reference Group has been consulted on Terms of Reference and Final Report and their feedback incorporated.		
QA 4.3	The Inception Report Quality Assurance Checklist has at least 80% of checks.		

QA 4.4	The external consultant has been selected based on his/her level of experience and knowledge of international cooperation, relevant geographic area and/or relevant thematic sector.		
QA 4.5	The Final Report Quality Assurance Checklist has at least 80% of checks.		
5. Timeliness			
QA 5.1	Evaluation is planned to be used to inform decision-making or to facilitate a process of reform (i.e. to prepare follow-up interventions or strategies, or to develop or revise interventions or strategies).		
QA 5.2	Evaluation does not coincide in time with evaluations of the same intervention conducted by MAEs and/or donors and with audits.		
QA 5.3	Evaluation has been completed in accordance with the schedule.		
6. Accessibility			
QA 6.1	Evaluation Report is clear and concise and information is presented in a user-friendly format.		
QA 6.2	Results of evaluation are accessible to all evaluation stakeholders (i.e. evaluation report is published and disseminated).		
QA 6.3	A strategy for dissemination of main lessons learnt is in place (i.e. briefings, workshops, posters etc.).		
QA 6.4	Information on contact person for questions on evaluation is provided to evaluation users.		
7. Relevance			
QA 7.1	The evaluation is included in the current DIO Work Plan or is requested by CoE governing and executive bodies (CM, SG).		
QA 7.2	The evaluated intervention has a substantial budget to ensure potential for significant results and to justify evaluation.		
QA 7.3	The TOR feature a justification for the evaluation on the basis of CoE Selection Criteria for Projects to be evaluated.		
QA 7.4	At least 90% of recommendations are accepted by relevant stakeholders.		
8. Usefulness			
QA 8.1	Evaluation is used to inform decision-making or to facilitate a process of reform (i.e. to prepare follow-up interventions or strategies, or to develop or revise interventions or strategies).		
QA 8.2	Evaluation Report has been disseminated to decision-makers.		
QA 8.3	Based on evaluation report, follow-up actions have been agreed.		

Appendix 5 - Criteria for selecting interventions to be evaluated

Criteria for selecting interventions to be evaluated

The selection of priority subjects for the annual evaluation plan is based on the following criteria:

- the interest concerning evaluations as expressed by the Secretary General, the Committee of Ministers, member States, as well as donors including the European Union;
- the anticipated contribution of the evaluation to strategic decision-making, reform initiatives and organisational learning;
- the potential of the evaluation in identifying and addressing organisation-wide or programme specific risks;
- the potential of the evaluation in identifying the added value of the Council of Europe and/or its fields of excellence;
- the budget volume of the programme or project concerned;
- the potential of the evaluation in enhancing the coherence of action either among Major Administrative Entities (MAEs) (multi-MAE programmes) or among various sources of funding (a programme whose components are financed, at the same time, by Ordinary Budget/Joint Programmes/Voluntary Contributions).

Appendix 6 - Evaluation Logbook Template

Evaluation Log Book				
Evaluation Title:	Planned Date	Actual Date	Comments	Relevant Links
start of evaluation exercise				
date of completion of Concept Note (if applicable)				
date of completion of ToR				
announcement of evaluation				
announcement of tender (if applicable)				
completion of tender procedure (if applicable)				
application and reception of TVA exemption certificate (if applicable)				
contract signature (if applicable)				
completion of Inception Report				
completion of data collection from each assessment method data collection A data collection B data collection C				
completion of Final Draft Report				
approval of Final Report				
submission of Final Report and Action plan to SG				

Appendix 7 - Check list for the Preparation of Evaluation Dossiers by MAEs

Check list for the Preparation of
Evaluation Dossiers by MAEs

An "evaluation dossier" prepared by the relevant MAE will mainly consist of:

(1) Any preparatory work such as needs assessments, feasibility studies or other documents (stakeholders meeting reports, preparatory missions reports, e-mails, etc.) prepared before the beginning of activities by CoE staff, EC staff and other partners and stakeholders that contributed to take the decision of conceiving and launching the intervention;

(2) Programming documents (Logical Framework, "Description of the action" or other "design" documents) and other contractual documents;

(3) Information related to any relevant previous interventions, evaluation reports, or recommendations of advisory groups;

(4) Interim reports, monitoring and progress reports, relevant parts of CoE Progress Review Reports, financial reports, mission reports, providing information on inputs used, activities implemented, outputs produced, results achieved and any issue or problem encountered during the implementation;

(5) Other documents, as relevant.

Appendix 8 - Guidelines for developing Terms of Reference for Evaluations

GUIDELINES FOR DEVELOPING TERMS OF REFERENCE FOR EVALUATIONS

An evaluation needs sound Terms of Reference (ToR) which clearly set out expectations and what is to be delivered. These guidelines aim to assist CoE staff in the preparation of ToR for evaluations and set out in detail the information that they should contain.

The ToR for an evaluation clearly set out the context for the evaluation, the purpose of the evaluation, the evaluation scope, key evaluation questions, an indicative timeframe and deliverables.

The process for developing the ToR should be a participatory one that involves the key stakeholders and users of the evaluation in the preparation of the evaluation and the discussion of findings, conclusions and recommendations.

The following text indicates what ToR should contain:

1. Introduction

- State the purpose and outline the structure of the ToR document;
- Specify briefly the object of the evaluation;
- State briefly the purpose of the evaluation exercise.

2. Information on the intervention to be evaluated and on the evaluation context

Describe the programmatic and/or thematic aspects most relevant to the evaluation and provide contextual information:

- Title of the intervention;
- Contract reference (if applicable);
- Duration of the intervention;
- Total Budget of the intervention and main sources of funding;
- Purpose and objectives of the intervention;
- Types of activities carried out and related target groups (please give an order of magnitude, e.g. organisation of 20 training workshops in 2 different countries for a total of 200 judges trained)
- The country(ies) and location(s) covered by the intervention;
- The political, programmatic and governance environment;
- Relevant aspects of economic, social and political context with due regard to issues of gender and human rights.

3. Evaluation purpose

- State the overall purpose of the evaluation;
- Provide information on the mandate for the conduct of the evaluation;
- Provide information on why it was decided to proceed with the evaluation (the rationale for the evaluation) and why it is done at this time;
- Identify the primary and secondary audiences for the evaluation and expected use of the evaluation findings, conclusions and recommendations (evaluation for what and for whom?);
- Spell out any relevant instruments or policies on human rights and gender equality that will guide the evaluation process;

The rationale for the evaluation can refer, for example, to one or more of the following situations:

a. There is a demand for the evaluation;
b. The total value of the intervention is high (in relative terms, depending on the source of financing);
c. There is a need of information in order to take important decisions;
d. The intervention is perceived to be particularly risky or the intervention has the potential to reveal a systemic problem;
e. The evaluation will help draw lessons on a particular working method (training, legislative assistance, study visits, institution-building, etc.), specific country or theme, or the intervention has demonstrated innovation and extraordinary success that promises to deliver lessons learnt and good practices to other interventions or to the CoE as a whole;
f. There is a need to better illustrate a Council of Europe field of excellence or to enhance the visibility of the Council of Europe's and other Donors' contributions.

4. Evaluation objectives

Clearly define relevant and feasible objectives of the evaluation These should clearly follow from the overall purpose of the evaluation and be realistic and achievable, in light of the information that can be collected in the context of the undertaking.

5. Evaluation scope

Define explicitly and clearly what will and will not be covered by the evaluation, including, for example, the timeframe, phase in the project, thematic and/or geographical area. Check that the scope of the evaluation is adequate to its purpose and is feasible given the resources and time constraints.

6. Evaluation criteria

- Specify the criteria against which the subject to be evaluated will be assessed, including, for example, relevance, efficiency, effectiveness, impact and/or sustainability;
- Spell out any additional criteria applicable to the particular type of evaluation being undertaken, such as evaluations of development, confidence-building, and normative framework or programme;
- Whenever applicable, include relevant human rights and gender equality aspects through the selection of the evaluation criteria.

The sections 7-8 may be part of the ToR but may be formulated at a later stage as part of the Evaluation Inception Report.
Section 9 is included in ToR but may be adjusted during the inception phase with adjustments documented in the Evaluation Inception Report.

7. Evaluation questions

Evaluation questions must be directly related to the evaluation purpose, objectives and criteria. They should elaborate on the objectives and contribute to further defining the scope. The selection of the evaluation questions should contribute to an assessment of relevant human rights and gender equality aspects.

Examples of evaluation questions
Questions related to the evaluation criterion **"relevance"** include: • To what extent is the intervention design relevant to CoE's mandate and priority areas? • To what extent do the intervention objectives address identified needs of the target group(s)? • How far did the design of the intervention address the problems identified?

When formulating the evaluation questions, focus the evaluation work on a limited number of key points, thus allowing more targeted data collection, more in-depth analysis and a more useful report. Questions requiring a "yes or no" answer are more appropriate for accountability purposes, in a context where the objectives are set with precision. In CoE's context and domains of interventions, it is generally preferable to choose open wording that calls for a qualified answer, such as: • To what extent has activity X contributed to generating effect Z? • To what extent has effect X been obtained more satisfactorily and at a lower cost since reform Z? • What was the intervention's impact on the beneficiaries? This type of wording is more appropriate if the question is intended to acquire knowledge or understanding, or to aid decision-making. Remember to specify the scope of the evaluation questions. The scope of a question can be the entire intervention or a particular dimension of its design or implementation, for instance: • To what extent has the intervention helped to generate effect Z as expected? (entire intervention) • To what extent has the stakeholders' participation in the formulation of the intervention helped to generate effect Z more successfully (design modality) • To what extent have the measures taken to ensure coordination with the other donors helped to generate effect Z more successfully? (Implementation modality) The scope of the evaluation should be coherent with the scope of the evaluation questions. ToR evaluation questions might be refined as a result of the inception phase.	• To what extent is the intervention consistent with the findings of the monitoring mechanisms reports and the Council of Europe's priorities? Questions related to the evaluation criterion **"added value"** include: • To what extent has the Council of Europe a clear comparative advantage vis-à-vis other International actors in the implementation of the intervention? • To what extent is the effectiveness of the intervention higher due to the fact that it was specifically implemented by the Council of Europe? Questions related to the evaluation criterion **"effectiveness"** include: • What has been the progress made towards achievement of the expected results? • What are the reasons for the achievement or non-achievement? • To what extent have beneficiaries been satisfied with the results? • To what extent the intervention planning, design and monitoring system played a role in reaching objectives/achieving impact? • To what extent a better management of assumptions and risks during the implementation could improve the effectiveness of the intervention? Questions related to the evaluation criterion **"efficiency"** include: • Have the outputs been delivered in a timely manner to achieve the intervention purpose (effect)? • To what extent alternative working methods could have lead to the achievement of comparable or better results with fewer resources? • To which extent the management of the relationships among stakeholders was effective in establishing a real partnership aiming at the success of the intervention? • To what extent have Council of Europe's organisational structure, managerial support and coordination mechanisms effectively supported their delivery? Questions related to the evaluation criterion **"impact"** include: • To what extent can the changes that have occurred (or are likely to occur) as a result of the intervention be identified and measured? • To what extent can the identified changes be attributed to the intervention? • To what extent has the intervention generated unexpected effects? If it has, who has benefited or lost out? Questions related to the evaluation criterion **"sustainability"** include: • To what extent is the intervention supported by local institutions and well integrated with local social and cultural conditions? • What is the likelihood that the benefits from the intervention will be maintained for a reasonably long period of time if the intervention were to cease?

8. Evaluation methodology

In this section, an evaluation methodology may be proposed. Alternatively, the evaluation team may be asked to propose the methodology to be used.

The ToR could, for example, mention whether the evaluator should:

- Focus on a specific data collection method (structured or semi-structured interviews or questionnaires, analysis of documents and legal texts, use of CoE IT tools, such as CEAD, the JP tool, …);
- Focus on specific target groups;
- Focus on specific geographic areas.

If the ToR includes evaluation methodology:
• It should state that the evaluation will follow CoE ethical guidelines; • It should specify an evaluation approach and data collection and analysis methods that are human rights based and gender sensitive and for evaluation data to be disaggregated by sex, ethnicity, age, disability, etc; • It should state the overall methodological approach and design for the evaluation. Examples of approaches include participatory, utilization-focused, theory-based and gender and human rights responsive. Examples of overall design include non-experimental, quasi- experimental and experimental; • It should contain a clear methodological plan, i.e. using an Evaluation Matrix; • Data collection and analysis methods should be sufficiently rigorous to assess the subject of the evaluation and ensure a complete, fair and unbiased assessment. For example, there should be sufficient data to address all evaluation questions; • Logical and explicit linkages should be provided between data sources, data collection methods and analysis methods. For example, sampling plans are included; • Evaluation methodology should take into account the overall purpose of the evaluation, as well as the needs of the users and other stakeholders; • Evaluation methodology should explicitly and clearly state the limitations of the chosen evaluation methods. In elaborating an evaluation methodology, bear in mind access to data from vulnerable categories of stakeholders/beneficiaries.

9. Evaluation Work Plan

The evaluation work plan states the outputs/deliverables that will be delivered by the evaluation team, describes the key stages of the evaluation process, including an indicative schedule/timeline. Further, the evaluation work plan establishes clear roles and responsibilities for evaluation team members, the commissioning organization and other stakeholders and specifies if/how evaluand comments will be incorporated into the evaluation report. Finally, the work plan should include an indicative number of working days to be assigned to the evaluation exercise and specifies logistics arrangements. The ToR should specify whether the work plan is likely to be adjusted during the inception phase.

Deliverables of the evaluation may be, for example, fine-tuned evaluation plan, draft evaluation report, final evaluation report, etc. There may be additional deliverables, as relevant, i.e. inception report, dissemination workshop for evaluation users etc.

Specify the language which the deliverables are to be written in. This will usually be either English or French.

If the evaluation is carried out by a mixed team of DIO staff members and external consultants, the section on deliverables should clearly specify respective roles and responsibilities of the consultant(s) to be hired, including data collection and analysis as well as reporting tasks for the individual evaluation questions or sub-questions.

Deliverables may be formulated as:
Deliverable 1: A fine-tuned evaluation plan developed on the basis of the proposal submitted by the evaluator, containing the methodology, phases, etc., and including the schedule with key dates and related details, the proposed data collection methods and data sources to be used for answering each evaluation question (i.e. in form of an evaluation matrix, if feasible). Deliverable 2: A draft evaluation report which should be delivered with adequate time to allow discussion of the findings and formulation of comments. Deliverable 3: The final evaluation report should contain a satisfactory response to the evaluation questions in the ToR. The recommendations should be supported by the findings and conclusions and their implementation should be feasible. The final evaluation report should be logically structured, containing evidence-based findings, conclusions, recommendations and - if applicable - lessons learnt, and should be free of information that is not relevant to the overall analysis. The report should be presented in a way that makes the information accessible and comprehensible.

Schedule of the evaluation specifies when the deliverables are due and to whom. Key meetings such as meetings of the evaluation reference group or presentation of emerging findings to stakeholders should be also indicated. The schedule should be realistic and take into account the resource constraints, as well as the expected availability of contact persons from whom data will be collected. The ToR should specify to which extent the schedule may be amended in the inception report.

Logistics

The evaluation team will commonly be responsible for logistics: office space, administrative and secretarial support, telecommunications, printing of documentation, translation and interpretation etc. The evaluator should also be responsible for the dissemination of all methodological tools such as questionnaires and surveys, but the relevant CoE staff should facilitate this process to the extent possible.

Management arrangements

The ToR should specify who has the leadership of the evaluation, who reports to whom, and which entity has the last word on the formulation of the deliverables. The ToR should present the role of the reference group, and may propose a membership for the reference group. Where the evaluation is conducted by a mixed team comprising of CoE staff and consultants, the ToR should, in addition to the expected amount of working days of the consultants, specify what approximate number of working days/FTE the CoE staff will dedicate to the evaluation.

10. Qualifications of the evaluator

The criteria for selecting the evaluator will commonly be:

- a strong record in designing, managing and leading evaluations in the context of international cooperation;
- an extensive knowledge of, and experience in applying standard evaluation principles, qualitative and quantitative evaluation methods;
- technical competence in the sector or issue to be evaluated;
- in-country or regional experience;
- language proficiency;
- knowledge of the role of the Council of Europe and its programming tools;
- independence and absence of conflicts of interests;
- gender equality and human rights.

Depending on the size and complexity of the evaluation, there could be more than one evaluator. Where applicable, the ToR should develop separate qualifications and corresponding responsibilities for each evaluator (e.g. senior evaluator, junior evaluator, data collection consultant…) The ToR should call for a gender balanced and culturally diverse team that makes use of national/regional evaluation expertise.

State that the evaluator(s) are asked, if possible, to submit two or three examples of evaluation reports recently completed when submitting their proposal. If possible, one or more of the reports should be relevant, or similar to, the subject of evaluation.

References of previous employers should also be asked.

11. Annexes

Annexes to ToR should include:

- Declaration of Honour with respect to the Exclusion Criteria and Absence of Conflict of Interest;
- Evaluation Matrix Template;
- CoE Code of Conduct for Evaluators;
- Quality assurance Checklist for Inception Report;
- Quality Assurance Check-list for Final Report;
- Consent Form to evaluation of performance and confidential storage of review form.

Appendix 9 - Quality Assurance Checklist ToR[21]

Quality Assurance Checklist for Evaluation ToR		
Evaluation Title:		
1. Evaluation Purpose		
1.0	**The ToR specify the purpose of the evaluation and how it will be used.**	
1.1	The ToR reference the mandate for the conduct of the evaluation.	
1.2	The purpose of the evaluation identified in the ToR clearly states why the evaluation is being done, including justification for why it is being done at this time.	
1.3	The ToR identify the primary and secondary audiences for the evaluation and how the evaluation will be used.	
1.4	The ToR spell out the relevant instruments or policies on human rights and gender equality that will guide the evaluation process.	
2. Evaluation Objectives		
2.0	**The ToR include clearly defined, relevant and feasible objectives.**	
2.1	The evaluation objective(s) clearly follow from the overall purpose of the evaluation.	
2.2	The ToR evaluation objectives are realistic and achievable, in light of the information that can be collected in the context of the undertaking.	
3. Evaluation Context		
3.0	**The ToR include sufficient and relevant contextual information.**	
3.1	The ToR adequately describe the particular political, programmatic and governance environment in which the evaluation will be taking place. For example, the most relevant aspects of the economic, social and political context are described.	
3.2	The ToR adequately describe the most relevant programmatic and/or thematic aspects relevant to the evaluation.	
4. Evaluation Scope		
4.0	**The ToR include the scope of the evaluation.**	
4.1	The ToR explicitly and clearly define what will and will not be covered, including, for example, the timeframe, phase in the project and/or geographical area to be covered by the evaluation.	
4.2	The scope of the evaluation is adequate to meet the stated evaluation objective(s).	
4.3	The scope of the evaluation is feasible given resources and time considerations.	

[21] Based on UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports (2010).

5. Evaluation Criteria		
5.0	**The ToR specify the criteria that will be utilised to guide the evaluation.**	
5.1	The ToR specify the evaluation criteria against which the subject to be evaluated will be assessed, including, for example, relevance, efficiency, effectiveness, impact and/or sustainability.	
5.2	The ToR spell out any additional criteria of relevance to the particular type of evaluation being undertaken, such as evaluations of development, humanitarian response, and normative programmes.	
5.3	The ToR include relevant human rights and gender equality aspects through the selection of the evaluation criteria and questions.	
6. Evaluation team		
6.1	The ToR define the level of expertise needed among the evaluation team on: • designing, managing and leading evaluations in the context of international cooperation; • knowledge of, and experience in applying standard evaluation principles, qualitative and quantitative evaluation methods; • technical competence in the sector or issue to be evaluated; • in-country or regional experience; • language proficiency; • knowledge of the role of the Council of Europe and its programming tools; • independence and absence of conflicts of interests; • gender equality and human rights.	
6.2	The ToR state that the evaluator(s) are required to submit two or three examples of evaluation reports recently completed when submitting their proposal and that one or more of the reports should be relevant, or similar to, the subject of evaluation.	
6.3	The ToR State that references of previous employers should be provided.	
6.4.	The ToR calls for a gender balanced and culturally diverse team that makes use of national/regional evaluation expertise.	
7. Evaluation work plan		
7.1	The evaluation work plan specifies the deliverables of the evaluation.	
7.2	The evaluation work plan specifies the indicative schedule and management and logistic arrangements for the evaluation.	
8. Annexes		
8.1	Annexes to ToR include: • Declaration of Honour with respect to the Exclusion Criteria and Absence of Conflict of Interest; • Evaluation Matrix Template; • CoE Code of Conduct for Evaluators; • Quality assurance Checklist for Inception Report; • Quality Assurance Check-list for Final Report; • Consent Form to evaluation of performance and confidential storage of review form.	

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Documents distributed at the request of a Representative shall be under the sole responsibility of the said Representative, without prejudice to the legal or political position of the Committee of Ministers.

Appendix 10 - Declaration of Honour with respect to the Exclusion Criteria and Absence of Conflict of Interest

DECLARATION OF HONOUR WITH RESPECT TO THE EXCLUSION CRITERIA AND ABSENCE OF CONFLICT OF INTEREST

Title of Evaluation

The undersigned (name of the signatory of this form)

- ❑ in his/her own name *(if the economic operator is a natural person or in case of own declaration of a director or person with powers of representation, decision making or control over the economic operator)*

or

- ❑ representing *(if the economic operator is a legal person)*

official name in full *(only for legal person)*:

official legal form *(only for legal person)*:

official address in full:

VAT registration number:

declares that the company or organisation that he/she represents:

a) is not bankrupt or being wound up, is not having its affairs administered by the courts, has not entered into an arrangement with creditors, has not suspended business activities, is not the subject of proceedings concerning those matters, and is not in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

b) has not been convicted of an offence concerning professional conduct by a judgment which has the force of *res judicata*;

c) has not been guilty of grave professional misconduct proven by any means which the contracting authorities can justify;

d) has fulfilled all its obligations relating to the payment of social security contributions and the payment of taxes in accordance with the legal provisions of the country in which it is established, with those of the country of the contracting authority and those of the country where the contract is to be carried out;

e) has not been the subject of a judgement which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity;

f) is not a subject of the administrative penalty for being guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the procurement procedure or failing to supply information, or being declared to be in serious breach of his obligation under contract covered by the budget.

In addition, the undersigned declares on his/her honour:

g) that he/she has no conflict of interest in connection with the contract. A conflict of interest could arise in particular as a result of economic interests, political or national affinities, family or emotional ties or any other relevant connection or shared interest;

h) that he/she will inform the contracting authority, without delay, of any situation considered a conflict of interest or which could give rise to a conflict of interest;

i) that the information provided to the Council of Europe within the context of this invitation to tender is accurate, sincere and complete.

Full Name Date Signature

Appendix 11 - Evaluation Matrix Template

Evaluation Criteria	Evaluation Question	Sub-Question	Measure(s) / Indicator(s)	Data Collection Instrument(s)	Data Source(s)	Data Analysis	Evaluator(s) Responsible

Appendix 12 - Quality Assurance Checklist for Inception Report[22]

Quality Assurance Checklist for Evaluation Inception Report		
Evaluation Title:		
1. Evaluation Purpose - The Inception Report specifies the purpose of the evaluation and how it will be used.		
2. Evaluation Objectives - The Inception Report includes clearly defined, relevant and feasible objectives.		
3. Evaluation Context - The Inception Report includes sufficient and relevant contextual information.		
4. Evaluation Scope - The Inception Report includes the scope of the evaluation.		
5. Evaluation Criteria		
5.0	**The Inception Report specifies the criteria that will be utilised to guide the evaluation.**	
5.1	The Inception Report specifies the evaluation criteria against which the subject to be evaluated will be assessed, including, for example, relevance, efficiency, effectiveness, impact and/or sustainability.	
5.2	The Inception Report spells out any additional criteria of relevance to the particular type of evaluation being undertaken, such as evaluations of development, humanitarian response, and normative programmes.	
5.3	The scope of the evaluation is feasible given resources and time considerations.	
5.4	The Inception Report includes an assessment of relevant human rights and gender equality aspects through the selection of the evaluation criteria.	
6. Tailored Evaluation Questions		
6.0	**The Inception Report includes a comprehensive and tailored set of evaluation questions within the framework of the evaluation criteria.**	
6.1	The Inception Report contains a set of evaluation questions that are directly related to both the objectives of the evaluation and the criteria against which the subject will be assessed.	
6.2	The set of evaluation questions adds further detail to the objectives and contributes to further defining the scope.	
6.3	The set of evaluation questions is comprehensive enough that they raise the most pertinent evaluation questions, while at the same time being concise enough to provide users with a clear overview of the evaluation's objectives.	
6.4	Factoring in the information that will be collected and the context of the evaluation, evidence backed answers to the set of evaluation questions is achievable.	
6.5	The Inception Report includes an assessment of relevant human rights and gender equality aspects through the selection of the evaluation questions.	

[22] Based on UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports (2010).

7. Methodology		
7.0	**The Inception Report specifies the methods for data collection and analysis, including information on the overall methodological design**	
7.1	The Inception Report contains a clear and accessible methodological plan. Preferably, a standalone section, such as an Evaluation Matrix that is clearly delineated from other information contained in the Inception Report.	
7.2	The Inception Report states the overall methodological approach and design for the evaluation. Examples of approaches include participatory, utilization-focused, theory-based and gender and human rights responsive. Examples of overall design include non- experimental, quasi- experimental and experimental.	
7.3	The Inception Report specifies how a human rights and gender perspective will be incorporated in the evaluation design.	
7.4	The Inception Report specifies an evaluation approach and data collection and analysis methods that are human rights based and gender sensitive and for evaluation data to be disaggregated by sex, ethnicity, age, disability, etc.	
7.5	The data collection and analysis methods in the Inception Report are sufficiently rigorous to assess the subject of the evaluation and ensure a complete, fair and unbiased assessment. For example, there will be sufficient data to address all evaluation questions.	
7.6	The evaluation methodology includes multiple methods (triangulation); preferably with analysis of both quantitative and qualitative data and with a range of stakeholders covered by the data collection methods.	
7.7	Logical and explicit linkages are provided between data sources, data collection methods and analysis methods. For example, sampling plans are included.	
7.8	The evaluation methodology takes into account the overall purpose of the evaluation, as well as the needs of the users and other stakeholders.	
7.9	The evaluation methodology explicitly and clearly states the limitations of the chosen evaluation methods.	
7.10	The Inception Report specifies that the evaluation will follow CoE ethical guidelines.	
8. Evaluation Work Plan		
8.0	**The Inception Report includes a work plan**	
8.1	The Inception Report work plan states the outputs that will be delivered by the evaluation team, including information on the degree to which the evaluation report will be accessible to stakeholders, including the public.	
8.2	The Inception Report work plan describes the key stages of the evaluation process and the project time line.	
8.3	The Inception Report work plan establishes clear roles and responsibilities for evaluation team members, the commissioning organization and other stakeholders in the evaluation process.	
8.4	The Inception Report work plan describes the evaluation quality assurance process.	
8.5	The Inception Report work plan describes the process, if any, for obtaining and incorporating evaluand comments on a draft evaluation report.	
8.6	The Inception Report work plan includes an evaluation project budget.	

Appendix 13 - Data Collection Methods and Methodological Steps

Most evaluations use mixed approaches. Mixed methods help compensate the technical gaps that could be encountered in using only one methodology. The following methods are employed:

The **desk reviews** provide useful baseline information and an historical perspective of the project or programme. They include written documentation, but also videos, electronic data or photos. The documentation review is not limited to the project's or programme's activities and can cover any information on the strategy or global approach, closely related or not.

The **direct observations** consist mainly of what can be seen during field missions and project sites visits. They can be subjective as human vision and perception is selective, based on fields of interest or cultural sensitivities. It is important for the evaluator to use them knowledgeably and cross-check facts and elements collected.

Interviews are also an important methodology for collecting data and information. There are various techniques. <u>Structured interviews or strict interviews</u> require an interview's guide, following strictly and systematically questions prepared in advance. If one advantage is that the same questions are asked of all interviewees, implying a diminished risk of "manipulating" the questions, they are not exploring all the possibilities for new questions that can emerge during the interview as is the case with the <u>semi-structured</u> interviews. A third option is called the <u>conversational interviews</u>, which also follows a line, but remains very open in asking questions or in formulating them. Interviewing a group of persons can be done through brainstorming or group discussions. At times, without making a differentiation, they are called Focus groups. <u>Focus groups</u>, however, require specific techniques and the selection of the groups should follow precise criteria and procedures. Two persons should manage the discussion, one taking notes and the other guiding the debate and looking at people's behaviours.

Questionnaires and surveys are important tools to gather data from a large number of people in a structured way that often allows for statistical analysis. They can be short and simple, with 'yes-no' answers, or very long and complex using open questions, numerical scales or 'agree-disagree' scales. The more extended the survey is, the more complex its analysis and interpretation are. It is important to properly prepare the questionnaire/survey and formulate the questions based on the objective(s) and scope of the survey. The analysis will be greatly facilitated. Before and after surveys are often used, especially to measure awareness-raising activities. A questionnaire or survey can be sent to the overall target population if the population is small, but sometimes this is not possible due to its size or because it is too disseminated among different countries. To improve response rates to electronic surveys, the following resource can be consulted: Dillman DA., Tortora RD, Bowker D. (1998). Principles for Constructing Web Surveys. Available at: http://www.websm.org/uploadi/editor/Dillman_1998_Principles_for%20Constructing.pdf

The last methodology explained here is the **Case study**. It is the selection of a life story, specific events or of projects/programmes activities that can give an insight of a project's effectiveness and impact. The case study in isolation does not prove anything, it helps to illustrate a data and find commonalities. Only when adding cases, then one can extrapolate some principles.

DATA COLLECTION – METHODOLOGY STEPS

Using Quantitative Methods	Using Qualitative Methods
Design Your Data Collection Methods	
• Write your evaluation questions • Develop data collection tool (e.g., survey) • Pilot test data collection tool	• Write your evaluation questions • Develop data collection tool (e.g., interview guide) • Pilot your interview guide
Collect Your Data	
• Decide whether to use a sample or all participants (census) • Use as many methods as possible to increase response rate (e.g., multiple mailings, personalized pre-survey mailings and cover sheets, incentives) • Be sure participants receive informed consent (e.g., in survey cover letter) before they start the survey	• Interview a purposeful sample of participants. Have an idea of your sample size, but be flexible (add more to answer new questions; stop interviewing if you hear nothing new) • Provide informed consent information to participants before starting the interview • In preparation for Step 3, make notes immediately after each interview
Summarize and Analyze Your Data	
• Compile descriptive data (frequencies percentages, averages, medians, modes) • Put data into tables to aid analysis • Write a paragraph describing what each table indicates about your evaluation questions	• Read through all text and generate a list of themes • Code all interview data systematically • Organize data by theme • Interpret the findings
Assess the Validity of Your Findings	
Describe any shortcomings of your data collection and how it affects your interpretation (e.g., low response rates; problematic questions)	Describe any information that could affect your conclusions (exceptions to the typical themes, alternative explanations)

Appendix 14 - Template for interview/focus group guide

NAME OF EVALUATION
Date: DD Month YEAR
Name(s) and function(s) of interviewee(s):

Evaluation phase (inception/data collection):
In-person/phone interview (please specify)
Location (for in-person interviews/focus groups):
Name(s) of interviewer(s):
In confidence/quotable (please specify)

Standard introduction by interviewer(s): thanks, self-introduction(s), introduction of evaluation purpose, clarification of quoting policy. The standard text below is to be adapted to the context.
"Thank you for taking the time to meet me/us [/to participate in this focus group]. I am an independent consultant hired by [/an evaluator belonging to] the Council of Europe's Evaluation Division. As a part of an evaluation team, I am conducting the evaluation of [name of the evaluation topic]. The purpose of this evaluation is to better understand how [name of the evaluation topic] has worked over [period covered by the evaluation], to assess its impact and whether it was useful to its beneficiaries. This exercise is not an audit: our aim is to learn from this experience and identify how our own performance as an organization can be improved in the future. We will be grateful for your open feed-back. Our notes will not be shared with the persons who have implemented the program, and unless you authorise us to quote you by name, they will not be quoted in a way that can be attributed to you."

Example of typical questions for semi-structured interviews:

1. Role of interviewee(s) in the evaluated action XYZ
Please describe your role in XYZ.
Within XYZ, who were your main contact points?

2. Description of the action XYZ from the interviewee's point of view
Please describe XYZ from your point of view: what did it consist of?
Were there different stages, and which ones?

3. Process evaluation assessment
How did you feel about the implementation of XYZ?
What is your opinion about the way the Council of Europe conducted it?
Were you properly informed of the developments of XYZ?
Were you properly consulted, was your needs/your opinions taken into account, and at which stages?
[If relevant] How did coordination with/among [list of partners] go?
If you had been in charge of it, what would you have done differently? Why?
If you were to advise our Council of Europe colleagues implementing a similar action in another country, what would you tell them? What should they keep in mind?
To what extent did the process of implementing XYZ take into consideration the needs of less powerful/disadvantaged stakeholder groups?
What lessons have you learnt when implementing XYZ?
What, if any, was the competitive advantage/added value of the CoE in implementing XYZ?

4. Results and impact assessment

How do you use [outputs of XYZ]?
As far as you know, how do [other stakeholders] use [outputs of XYZ]?
In the end, what were the results of XYZ?
What did it change for you personally?
How do you feel about these results?
Do you think these results were intended? Do you think they were in line with the objectives of [name of relevant Council of Europe Entity]?
Would you have had different objectives?
What results would you have liked XYZ to have for you?
To what extent have different groups of stakeholders benefited differently from the results of XYZ?

5. Sustainability

In the future, what do you intend to do with [outputs of XYZ]?
How do you see [results of XYZ] in five years? Why?

Closing of the interview

"Thank you again for your time, and for sharing your opinion with me/us. This is very valuable for us/the Council of Europe to continue improving its performance. Should you have questions, or remember of some further information you might have not have thought of today, you may reach me/us with the following contact details."

Appendix 15 - Quality Assurance Checklist for Draft Final Report[23]

Quality Assurance Checklist for Evaluation Reports		
This checklist is intended to help evaluation managers and evaluators to ensure the final product of the evaluation - evaluation report - meets the expected quality. It can also be shared as part of the TOR prior to the conduct of the evaluation or after the report is finalised to assess its quality.		
Evaluation Title:		
1. The Report Structure		
1.0	The report is well structured, logical, clear, concise and complete.	
1.1	The report uses gender sensitive and human rights-based language throughout, including data disaggregated by sex, age, disability, etc.	
1.2	Report is logically structured with clarity and coherence (e.g. background and objectives are presented before findings, and findings are presented before conclusions and recommendations). The report follows the proposed structure: • Executive Summary (maximum two pages); • Introduction: ✓ Purpose and scope of the evaluation (what is the intended use of the evaluation?); Description of the intervention; Evaluation methodology incl. limitations; Difficulties encountered during the evaluation; • Findings: ✓ Findings related to each evaluation question; Findings related to additional evaluation questions that came up while carrying out the evaluation; • Conclusions; • Recommendations, possibly including suggested modalities of implementation; • Lessons learnt; • Annexes (including list of interviews and of documents reviewed, questionnaires, formats for structured and semi-structured interviews, etc.).	
1.3	The title page and opening pages provide key basic information: 1. Name of the evaluation object; 2. Timeframe of the evaluation and date of the report; 3. Locations (country, region, etc.) of the evaluation object; 4. Names and/or organizations of evaluators; 5. Name of the organization commissioning the evaluation; 6. Table of contents which also lists Tables, Graphs, Figures and Annexes; 7. List of acronyms.	
1.4	The Executive Summary is a stand-alone section of 2-3 pages that includes: 1. Overview of the evaluation object; 2. Evaluation objectives and intended audience; 3. Evaluation methodology; 4. Most important findings and conclusions; 5. Main recommendations.	

[23] Based on UNEG Quality Checklist for Evaluation Reports (2010).

1.5	Annexes increase the credibility of the evaluation report. They may include, inter alia: 1. TOR; 2. List of persons interviewed and sites visited; 3. List of documents consulted; 4. More details on the methodology, such as data collection instruments, including details of their reliability and validity; 5. Evaluators biodata and/or justification of team composition; 6. Evaluation matrix; 7. Results framework.	
2. Object of Evaluation		
2.0	The report presents a clear and full description of the 'object' of the evaluation.	
2.1	The **logic model and/or the expected results chain** (inputs, outputs and outcomes) of the object is/are clearly described.	
2.2	The **context of key social, political, economic, demographic, and institutional factors** that have a direct bearing on the object is described. For example, the partner government's strategies and priorities, international, regional or country development goals, strategies and frameworks, the concerned agency's corporate goals and priorities, as appropriate.	
2.3	The scale and complexity of the object of the evaluation are clearly described, for example: • **The number of components**, if more than one, and the size of the population each component is intended to serve, either directly and indirectly; • **The geographic context and boundaries** (such as the region, country, and/or landscape) and challenges where relevant; • The purpose and goal, and organization/management of the object; • The **total resources** from all sources, including human resources and budget(s) (e.g. concerned agency, partner government and other donor contributions.	
2.4	The **key stakeholders involved** in the object implementation, including the implementing agency(s) and partners, other key stakeholders and their roles.	
2.5	The report identifies the **implementation status of the object**, including its phase of implementation and any significant changes (e.g. plans, strategies, logical frameworks) that have occurred over time and explains the implications of those changes for the evaluation.	
3. Evaluation Purpose, Objective(s) and Scope.		
3.0	The evaluation's purpose, objectives and scope are fully explained.	
3.1	The purpose of the evaluation is clearly defined, including why the evaluation was needed at that point in time, who needed the information, what information is needed, how the information will be used.	
3.2	The report should provide a clear explanation of the evaluation objectives and scope including main evaluation questions and describes and justifies what the evaluation did and did not cover.	
3.3	The report describes and provides an explanation of the chosen evaluation criteria, performance standards, or other criteria used by the evaluators.	
3.4	As appropriate, evaluation objectives and scope include questions that address issues of gender and human rights.	

4. Evaluation Methodology		
4.0	The report presents transparent description of the methodology applied to the evaluation that clearly explains how the evaluation was specifically designed to address the evaluation criteria, yield answers to the evaluation questions and achieve evaluation purposes.	
4.1	The report describes the data collection methods and analysis, the rationale for selecting them, and their limitations. Reference indicators and benchmarks are included where relevant.	
4.2	The report describes the data sources, the rationale for their selection, and their limitations. The report includes discussion of how the mix of data sources was used to obtain a diversity of perspectives, ensure data accuracy and overcome data limits.	
4.3	The report describes the sampling frame – area and population to be represented, rationale for selection, mechanics of selection, numbers selected out of potential subjects, and limitations of the sample.	
4.4	The evaluation report gives a complete description of stakeholder's consultation process in the evaluation, including the rationale for selecting the particular level and activities for consultation.	
4.5	The methods employed are appropriate for the evaluation and to answer its questions.	
4.6	The evaluation approach and data collection and analysis methods are gender equality and human rights responsive and appropriate for analyzing the gender equality and human rights issues identified in the scope.	
4.7	The report presents evidence that adequate measures were taken to ensure data quality, including evidence supporting the reliability and validity of data collection tools (e.g. interview protocols, observation tools, etc.)	
4.8	The report illustrates the extent to which the design and implementation of the object, the assessment of results and the evaluation process incorporate a gender equality perspective and human rights based approach.	
5. Findings		
5.0	Findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report.	
5.1	Reported findings reflect systematic and appropriate analysis and interpretation of the data.	
5.2	Reported findings address the evaluation criteria (such as efficiency, effectiveness, sustainability, impact and relevance) and questions defined in the evaluation scope.	
5.3	The report assesses if the design of the object was based on a sound gender analysis and human rights analysis and implementation for results was monitored through gender and human rights frameworks, as well as the actual results on gender equality and human rights.	
5.4	Findings are objectively reported based on the evidence.	
5.5	Gaps and limitations in the data and/or unanticipated findings are reported and discussed.	
5.6	Reasons for accomplishments and failures, especially continuing constraints, were identified as much as possible.	
5.7	Overall findings are presented with clarity, logic, and coherence.	

6. Conclusions		
6.0	Conclusions present reasonable judgments based on findings and substantiated by evidence, and provide insights pertinent to the object and purpose of the evaluation.	
6.1	The conclusions reflect reasonable evaluative judgments relating to key evaluation questions.	
6.2	Conclusions are well substantiated by the evidence presented and are logically connected to evaluation findings.	
6.3	Stated conclusions provide insights into the identification and/or solutions of important problems or issues pertinent to the prospective decisions and actions of evaluation users.	
6.4	Conclusions present strengths and weaknesses of the object (policy, programmes, project's or other intervention) being evaluated, based on the evidence presented and taking due account of the views of a diverse cross-section of stakeholders.	
7. Lessons learnt and best practices		
7.0	Lessons learnt are specific and relevant to the topic of the evaluation	
7.1	Lessons learnt and best practices are clearly linked to specific findings	
7.3	Lessons learnt and best practices are tied to clearly identified external factors	
7.3	Lessons learnt and best practices are replicable in the organizational context	
8. Recommendations		
8.0	Recommendations are relevant to the object and purposes of the evaluation, are supported by evidence and conclusions, and were developed with the involvement of relevant stakeholders.	
8.1	The connection between findings, conclusions and recommendations is demonstrated through graphic means.	
8.2	The report describes the process followed in developing the recommendations including consultation with stakeholders.	
8.3	Recommendations are firmly based on evidence and conclusions.	
8.4	Recommendations are relevant to the object and purposes of the evaluation.	
8.5	Recommendations clearly identify the target group for each recommendation.	
8.6	Recommendations are clearly stated with priorities for action made clear.	
8.7	Recommendations are actionable and reflect an understanding of the commissioning organization and potential constraints to follow-up.	
8.8	Reported findings, conclusions, recommendations and lessons provide adequate information on gender equality and human rights aspects.	
8.9	Recommendations are supplemented with suggested modalities of implementation and opportunities for improvement.	

Appendix 16 - Review Form for external consultant's services with consent

Consent Form

I hereby give my consent for information in the below form to be kept by the Directorate of Internal Oversight (DIO) of the Council of Europe for its internal use only. The form will not be shared with persons outside DIO service. The storage will comply with Council of Europe's Regulation outlining a data protection system for personal data files in the Council of Europe (CM/Del/Dec(89)425/59bE).

Please print name below in block letters and sign the consent form.

Name ________________________________

Signature _____________________________

Date _________________________________

- -

Review Form for external consultant's services[24]

Form number: _______________

This form is to assess the services and/or products that the external evaluation consultant provided to you or your organization for the specific evaluation identified. When responding to the items, be sure to consider only the evaluation named, not other evaluations on which you may have worked together.

Name of Evaluation: ____

Date:_______/____/____

1. Name of DIO staff member responsible for review: ____________________________

2. Based on your experience with the evaluator <u>in this evaluation exercise</u>, what is your ***overall assessment*** of the quality of the work? (check one only)

( ) Poor ( ) Fair ( ) Good ( ) Very good ( ) Excellent

[24] Based on American Evaluation Association Guiding Principles for Evaluators.

3. How ***useful*** to your organization was the work performed by the evaluator? (check one only)

( ) Not at all useful ( ) Somewhat useful ( ) Very useful ( ) Extremely useful

4a. Would you ***recommend*** this evaluator to your colleagues? (check one only)

( ) Yes ( ) No

4b. If *Yes*, why? If *No*, why not?

5. How would you rate the evaluator in the following areas of performance? For each area, check the one column that best represents your opinion. If an area does not apply or you do not know, check the first column.

The Evaluator's:	**NA/Don't Know**	**Poor**	**Fair**	**Good**	**Excellent**
a. ***understanding*** of the evaluation object					
b. ***attentiveness*** to my needs/organization's needs					
c. ***quality*** of reports/products produced					
d. ***appropriateness*** of reports/products for my needs/organization's needs					
e. ***timeliness*** in delivering reports/products					
f. ***accessibility*** to me/my organization					
g. ***communication*** with me/my organization					
h. ***other***, specify:					

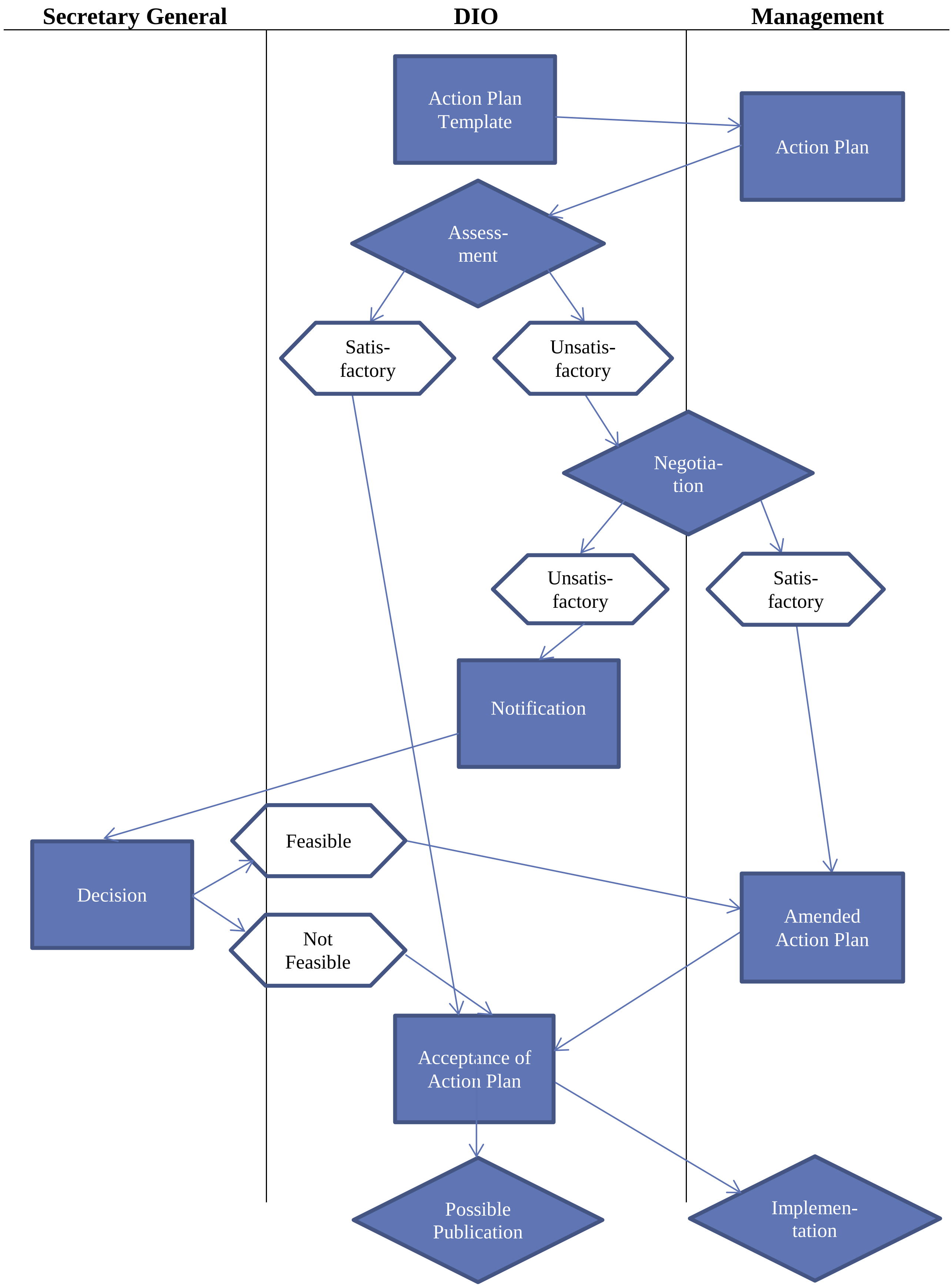
6. What are the ***strengths*** of the evaluator?

7. Please rate the evaluator's adherence to each of these principles during the project by checking the *one* column that best represents your opinion. If a principle does not apply or you do not know, check the first column.

Guiding Principle	**NA/Don't Know**	**No**	**Partially**	**Completely**
a. Did the evaluator ***negotiate honestly*** with your organization concerning:				
1) *costs*?				
2) *tasks* to be undertaken?				
3) *limitations* of methods?				
4) *scope* of results likely to be obtained?				
5) *uses* of data resulting from the evaluation?				
b. Did the evaluator explore with your staff both the ***shortcomings*** and the ***strengths*** of different ways to evaluate the intervention?				
c. Did the evaluator record all ***changes*** made in the original evaluation plan and the reasons why the changes were made?				
d. Did the evaluator conduct the evaluation in a way that clearly respects the ***dignity*** and ***self–worth*** of everyone involved?				
e. Did the evaluator identify and respect ***differences among participants*** (e.g., age; gender; ethnicity; etc.) when planning, conducting, and reporting the evaluation?				
f. In planning and reporting the evaluation, did the evaluator consider including the ***perspectives and interests*** of all interested parties?				
g. When the evaluator presented his/her work, did he/she ***communicate*** accurately and in sufficient detail to allow others to understand, interpret, and critique the work?				
h. Did the evaluator report ***negative findings*** in a sensitive manner without compromising the integrity of the findings?				

8. Do you have any other comments about your experience working with the evaluator on this particular project? If yes, please comment.

Appendix 17 - Action Plan Process



Appendix 18 - Instructions for Preparing an Action Plan and Template for Action Plan

Evaluation can play an important role in organizational learning and accountability. It can provide evidence-based information that is credible, reliable and useful for the CoE's operations. For evaluations to be effective, the recommendations they produce need to be incorporated into decision-making processes. In order to promote evaluation usage, DIO systematically follows up on issued recommendations.

The management of the organizational entity to which a recommendation is addressed is responsible for establishing an action plan that states whether the recommendation is accepted and what actions are envisaged to be taken for its implementation. In the case of recommendations being addressed to several entities, concerned managers prepare the action plan either individually or as a joint effort depending on the nature of the recommendation. In any case the action plan should be the result of extensive formal and informal discussions of the main findings and recommendations of the evaluation among relevant decision-makers.

In order to assist managers in prioritizing action for an effective implementation of recommendations, DIO evaluation recommendations are classified as follows:

- **Recommendations** address an important deficiency or weakness in an intervention's design, delivery, performance, or achievement of results, which, if not remedied, will put at risk the likelihood of the intervention achieving its mandated objectives.
- **Opportunities for improvement** address a deficiency or weakness in an intervention's design, delivery, performance, or achievement of results, which may not necessarily impact the achievement of the intervention's mandated objectives, but which, if remedied, would add value to overall implementation of the intervention or increase its efficiency. Opportunities for improvement are not being followed up on by DIO.

Action plans are prepared in the form of a table, which is provided by DIO together with the instructions in hand. The table contains the following columns:

1. **Recommendation ID:** This column is completed by DIO with a unique identifier for each recommendation.
2. **Recommendation:** This column is completed by DIO. It contains the text of the recommendation.
3. **Management Decision:** Please indicate here whether the recommendation is accepted, partially accepted, rejected, or under consideration (this option should be selected in case decisions need to be taken by governing or executive bodies regarding political issues, resource allocation, etc.).
4. **Proposed actions** (for accepted and partially accepted recommendations): Please provide details on all the actions that you are intending to take for the implementation of this recommendation. If several actions are required, please identify several milestones within the implementation process and provide target dates (month and year) for their completion.
5. **Justification** (for recommendations that are partially accepted, rejected, or under consideration)**:** If you reject a recommendation or part of it, please provide the reasons for this decision. If the recommendation is under consideration, please provide the reasons for this and the date by which you will be able to take the management decision (accept or reject the recommendation).
6. **Person in Charge:** Please indicate the person who is responsible for implementing the accepted and partially accepted recommendations.
7. **Target Date:** Please indicate the date (month and year) in which you are expecting to complete the implementation of the entire recommendation.

DIO will follow up on the implementation of the action plan on a semi-annual basis.

Template for Action Plan

Name of Evaluation Report:			
Date of Evaluation Report:		**Date of Action Plan:**	

Rec ID	Recommendation	Management Decision	Proposed actions[25]	Justification[26]	Person in Charge	Target Date
		□ Accepted □ Partially accepted □ Rejected □ Under consideration				
		□ Accepted □ Partially accepted □ Rejected □ Under consideration				
		□ Accepted □ Partially accepted □ Rejected □ Under consideration				
		□ Accepted □ Partially accepted □ Rejected □ Under consideration				
		□ Accepted □ Partially accepted □ Rejected □ Under consideration				

[25] For implementing accepted and partially accepted recommendations.
[26] For recommendations that are rejected, partially accepted or under consideration.

Appendix 19 - Instructions for Preparing a Recommendation Implementation Report and Template for Recommendation Implementation Report

Evaluation can play an important role in organizational learning and accountability. It can provide evidence-based information that is credible, reliable and useful for the CoE's operations. For evaluations to be effective, the recommendations they produce need to be incorporated into decision-making processes. In order to promote evaluation usage, DIO systematically follows up on action plans prepared by entities to address evaluation recommendations.

MAE are required to compile progress reports on the status of the implementation of all outstanding recommendations on a semi-annual basis. Recommendation implementation updates should be prepared following a strategic management meeting in which strengths and weaknesses of past performance, influencing factors within the working environment of the entity and the way forward should be reflected upon.

Recommendation implementation reports are prepared in the form of a table that is based on the action plan but provides additional information about the activities that have been undertaken to implement each recommendation. DIO provides the recommendation implementation report template together with the instructions in hand. The completed recommendation implementation report should be submitted to DIO including supporting evidence within two weeks after its reception. The table contains the following columns:

1. **Report Title:** This column is completed by DIO.
2. **Recommendation ID:** This column is completed by DIO with a unique identifier for each recommendation.
3. **Recommendation:** This column is completed by DIO. It contains the text of the recommendation.
4. **Management Decision:** This column is completed by DIO based on the Action Plan. For recommendations under consideration, please indicate their final status (accepted or rejected) if the date for the management decision has expired. In case of acceptance, please send filled Action Plan table to DIO. In case of rejection, please provide justification.
5. **Justification:** This column is completed by DIO based on the Action Plan.
6. **Proposed Actions:** This column is completed by DIO. It contains the actions proposed in the action plan.
7. **Entity Concerned:** This column is completed by DIO.
8. **Person in Charge:** This column is completed by DIO based on the Action Plan. Please amend if the person who is responsible for implementing the accepted or partially accepted recommendations has changed.
9. **Target Date:** This column is completed by DIO based on the Action Plan. Should you see a need to update this deadline, please add the new date to the column without erasing the original one.
10. **Actions Taken:** Please use this column to document which actions have been undertaken by you in order to implement the recommendation. In the text, please refer to supporting

evidence provided. Supporting evidence are key documents that have been produced in order to implement a recommendation. When submitting the recommendation implementation report to DIO, please also submit relevant supporting documentation that demonstrate that action has been taken.

11. **Future Actions** (including **reasons for delays** and newly proposed **deadlines):** Please describe which further actions are planned. In case of delays, please provide the reasons for this delay and indicate the new date(s) (month and year) in which you are expecting to complete actions. In case you will no longer implement actions that have been planned in the action plan, please provide a justification for such amendments.
12. **Status:** Please, describe the implementation status of the recommendation based on the classification below. DIO will validate your assessment.

Recommendations can have the following statuses:

- **In progress (P):** The implementation of the recommendation is underway.
- **Implemented (I):** The implementation of the recommendation has been completed and the recommendation will be closed. This recommendation will be removed from the report for the subsequent follow-up process.
- **Obsolete (O):** This recommendation is no longer relevant as it has been overtaken by events. The recommendation will be closed.

Template for Recommendation Implementation Report

Report Title	Rec ID	Recommendation	Management Decision	Justification	Proposed Actions	Entity concerned	Person in charge	Target date	Actions taken	Future actions	Status