



# **National Evaluation Policy Implementation Framework of Sri Lanka**

**2023**





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2023

Department of Project Management and Monitoring  
Ministry of Finance, Economic Stabilization, and National Policies



## Effective Governance through Evaluation

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The initiative to operationalize the National Evaluation Policy and translate it into well-defined and tangible results can be considered to be extremely timely. This endeavor addresses the much needed requirement for a robust mechanism to unpack lessons from past experiences in project and programme implementation in Sri Lanka. It also responds to a broader public demand for greater visibility over the usage of public resources. For a prolonged period, Sri Lanka has experienced a large gap between vision and reality when it comes to the development agenda. The unprecedented and deep crisis that Sri Lanka has undergone allowed us to re-assess past practices that failed and creates the opportunity to re-boot our approach to delivery of public services and development programmes. Going forward, we

should not be afraid to identify where we went wrong and correct those practices for a better designed future. This is the spirit in which we intend to approach a new culture of evaluation. We must be ready to measure the genuine impact of our initiatives and comprehend the underlying reasons for their outcomes – whether they are positive or negative, and stand ready to remedy where we have gone wrong.

I laid the foundation for this initiative in 2018, by formulating and approving the National Evaluation Policy, towards good governance and evidence-based decision-making, based on value for money. After five years, it is my pleasure to see that it is going to be operationalized, building in transparency and accountability in public expenditure. Through a comprehensive adoption of this framework, we aim to foster a culture of continuous improvement in all aspects of public service delivery.

I welcome the introduction of the National Evaluation Policy Implementation Framework and look forward to its roll-out across the island. This is a vital step in our journey towards evidence-based, effective, impactful development that truly benefits the people of Sri Lanka.

### **Ranil Wickremesinghe**

**His Excellency the President of the Democratic Socialist Republic of Sri Lanka  
and Minister of Finance, Economic Stabilization and National Policies**



## Leveraging Evaluation Frameworks to Drive Economic Growth

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Historically, Sri Lanka has experienced a poor track record in terms of project and policy implementation. This is particularly true of large-scale development projects which have often been characterised by delays and misaligned outcomes. At present, Sri Lanka is undergoing its deepest economic crisis in post-independence history. Fiscal constraints have become particularly challenging considering the impacts of the sovereign debt crisis. In this context, effective deployment of limited fiscal resources with minimum wastage is more important than ever. Sri Lanka can no longer afford to undergo delays, over-spending, and sub-optimal outcomes in its public

expenditure – particularly in capital outlays.

In order to improve efficiency and efficacy of capital expenditure and development projects, it is crucial to have a robust means of assimilating and evaluating lessons learned from past experiences. Learning from both positive and negative outcomes of past projects and programmes would be a crucial element in evidence-based analysis for future projects to build on the positives and avoid the pitfalls of the past. Well-designed and executed evaluation programmes provide constructive inputs for improved planning, budgeting, monitoring and management of development interventions. Whilst many projects and programmes funded by development partners have their own evaluation frameworks, the outcomes of these evaluations are not always fully absorbed by local counterparts amongst Sri Lankan authorities. Therefore, this is an opportune time to fully implement Sri Lanka's National Evaluation Policy (NEP).

The Ministry of Finance, Economic Stabilization & National Policies recognizes the importance of effective evaluation frameworks, and the Ministry is committed to mainstreaming evaluation frameworks in the public sector to create an enabling environment for sustained growth and development of the country. I thank the members of the Steering Committee on the formulation of NEP and drafting the National Evaluation Policy Implementation Framework (NEPIF), the Department of Project Management and Monitoring, and all those who were involved in drafting the NEPIF, and I look forward to the continued collaboration and support of all stakeholders in this crucial venture.

### **K. M. Mahinda Siriwardana**

Secretary

Ministry of Finance, Economic Stabilization and National Policies

# FOREWORD

Realization of the rights of the citizens for the benefits of investments could be ensured through the initiatives with progressive nature, which focus on the optimum utilization of scarce resources. Evaluation is among the key factors which contribute to create a favourable environment for such initiatives and thereby reduce the noticeable huge gap between the vision and the reality of the public investments. The real impact of the public investments could be realized clearly by evaluating their actual results. In this context, the importance of using evaluation is being discussed more often than ever before, treating it as a tool for ensuring governance through assessing the efficiency and effectiveness of investments and supporting the informed decision-making. Accordingly, several attempts have been made in the past to institutionalize the evaluation to some extent, through mid-term and ex-post evaluation of selected development initiatives. However, since most of those evaluations were donor driven and project-oriented, neither utilization of findings and lessons learned in the planning process nor sharing and those information among relevant stakeholders, observed. Apart from this, evaluation was not being popularized in the country, especially in the public sector due to the misunderstanding of evaluation as a fault-finding exercise along with the lack of demand for evaluation.

The National Evaluation Policy became a part of the development agenda of the country since 2018 as the foundation for mainstreaming evaluation among the public sector institutions while the National Evaluation Policy Implementation Framework is prepared as per a decision of the Cabinet of Ministers, in consideration of the need for bringing the policy in to practice. It is a result of a collaborative effort by diverse stakeholders including the officials of public sector from the national, provincial and district administration, development partners, academia, NGOs, INGOs, and the National Audit Office. Therefore, the NEPIF is a home-grown product developed through local knowledge and experience and fully owned by the Government while it marks the initial step of a long term and sustainable programme in order to create evaluation culture in the country by nurturing a conducive environment for evaluation throughout

the public sector. As this framework enables a broader space for self-criticism and evidence-based decision-making, it will contribute largely for efficient and effective public service delivery.

This framework provides guidance and procedures for implementation of the National Evaluation Policy which include evaluation guidelines, institutional arrangement, standards and strategies. Therefore it creates a robust environment for execution of evaluations methodically and in an organized manner. The expectation of this effort is not only to institutionalize evaluation at all levels of the Government for strengthening good governance, transparency and accountability, but also to establish a culture of evaluation by nurturing favourable environment to inspire officials in the public sector to use evaluation as a tool for facilitating the delivery of development-results in-time.

As the evaluation is quite new practice in the public sector, the most challenging exercise is to bring the implementation framework in to practice. Institutionalization of evaluation will be started immediately after the launch of this framework by rolling-out a properly articulated training programme on the application of tools, guidelines, ethics and standards included in the framework for undertaking professional evaluations. In view of this, a comprehensive training and awareness programme is planned by the Department of Project management and Monitoring (PMMD) during 2023-2024, in order to prepare the public sector from the national level to provincial, district and divisional levels to undertake evaluations, independently by utilizing the trained officials as the practitioners.

As the sustainability of this process depends on the sharing of evaluation findings and lessons among stakeholders and application of those findings at the planning and budgeting process, necessary steps will be taken to ensure the optimum utilization of evaluation-information. The Department of Project Management and Monitoring gratefully anticipate the cooperation of all stakeholders in building and strengthening the culture of evaluation in Sri Lanka.

**Ayanthi De Silva**  
Director General  
Department of Project Management and Monitoring  
September 08<sup>th</sup>, 2023

# CONTENTS

<b>Introduction</b>	<b>01</b>
<b>Chapter 1:</b> Detailed National Evaluation Policy	<b>02</b>
<b>Chapter 2:</b> Institutional Framework for Implementation of National Evaluation Policy	<b>10</b>
<b>Chapter 3:</b> Annual Evaluation Agenda	<b>14</b>
<b>Chapter 4:</b> Guidelines for Implementation of Evaluation	<b>19</b>
<b>Chapter 5:</b> Standards for Evaluation	<b>25</b>
<b>Chapter 6:</b> Strategic Approach for Implementation of the National Evaluation Policy	<b>31</b>
<b>Annexures</b>	<b>34</b>

# INTRODUCTION





# INTRODUCTION

The recent development history of Sri Lanka provides ample evidence for implementation of innovative, mega-scale, multipurpose infrastructure projects as well as unique social development programmes, which generated sustainable benefits for citizens. Even though the achievements in the early stages of the development process were sustainable, validated evidence is not available on factors behind the success or failure of at least a few landmark projects and programmes for reference and utilization in planning, designing and implementation of development initiatives in the future. Lack of reliable evidence on best practices in the past, which generated sustainable and positive results, and mistakes and weaknesses encountered which caused unintended negative effects have been observed as obstacles for planning large and mega scale development initiatives with confidence.

In view of the above, and as a response to the growing demand by policy-makers, development practitioners as well as development partners, the National Evaluation Policy (NEP) of Sri Lanka has been approved by the Cabinet of Ministers in June 2018 with a directive to prepare a strategic framework for implementation of the Policy. As per the direction of the Cabinet of Ministers, the National Evaluation Policy Implementation Framework (NEPIF) was drafted through a wider consultation of policy-makers, development practitioners in the public sector, academia, evaluation practitioners and development partners. The ultimate objective of the NEPIF is to establish an effective evaluation system in Sri Lanka.

In the consultation process for developing the NEPIF, it was highlighted that due to various reasons, knowledge, experience, resources, institutions and systems which are related to evaluation are not adequately assessed and oriented for the purpose of evaluation. Therefore, establishing an effective evaluation system in Sri Lanka can be a challenging exercise. The NEPIF was drafted with the objective of synergizing the scattered knowledge, resources, expertise and institutions into a system which could deliver the purpose of the National Evaluation Policy.

*The purpose of the NEP is to create a conducive environment to achieve National Development Goals through improved policy-making, planning, budgeting, monitoring and implementation of development interventions.*

Therefore, evaluation is recognized as an integral part of the government's development agenda, in

order to accomplish this ultimate purpose. The following goals of the NEP clearly indicate the key areas of performance which need to be achieved gradually during the course of implementation of the NEP in order to accomplish the purpose of the policy and thereby create a better environment for sustainable development:

- i. Enhance evidence-based decision-making and planning;
- ii. Ensure relevance, efficiency and effectiveness in resource utilization and sustainability of development results;
- iii. Ensure transparency and accountability at all levels of results-delivery;
- iv. Promote best practices and lessons learned while minimizing failure and negative impacts of policies, projects and programmes; and
- v. Create an evaluation culture in the country.

Implementation of the NEP calls for a supportive environment which comprises the following key elements:

- i. Well-defined institutional set-up with capable human resources;
- ii. Demand for evaluation by planners, policy and decision-makers;
- iii. Approved annual agenda of actions to perform evaluation on regular basis;
- iv. Guidelines for selection and prioritization of evaluations, undertaking evaluations, dissemination of evaluation findings and recommendations, monitoring of implementation of recommendations, and handling management responses;
- v. Standards of evaluation; and
- vi. Utilization of evaluation findings for planning and decision-making.

The Sri Lanka National Evaluation Policy Implementation Framework contains:

- i. Institutional structure to implement the NEP
- ii. Annual Evaluation Agenda
- iii. Evaluation Guidelines
- iv. Standards for Evaluation
- v. Strategic approach for implementation of the NEP

## CHAPTER 1

# DETAILED NATIONAL EVALUATION POLICY



# DETAILED NATIONAL EVALUATION POLICY

## 1. Introduction

Evaluation is an integral part of the development management cycle of achieving planned socio-economic objectives in a timely and efficient manner. Even though the Government of Sri Lanka has introduced evaluation in its public administration, its implementation remains limited and uneven, thus requiring a more systematic and institutionalized approach.

As Sri Lankan aspirations grow and the country aims at higher middle-income status and integrates further into the global economy, the need for high-quality infrastructure and public services increase exponentially. At the same time, Sri Lanka is graduating from concessional financing and its fiscal resources are constrained. Therefore, a more effective and efficient utilization of public investments is imperative.

The ex-ante and ex-post impact evaluation of public policies, programs and projects are required to inform the prioritization of scarce public resources, guide their implementation and maximize the development outcomes. With this aim, and to concretize the constitutional principles of good governance and accountability, the Cabinet of Ministers approved the National Evaluation Policy (NEP) in June 2018.

## 2. Purpose

The purpose of NEP is to create a conducive environment for achieving National Development Goals through improved policy-making, planning, budgeting, monitoring and accountability in implementation. In addition, NEP supports building evaluation skills and capacity across the country by leveraging training institutions and civil society. The implementation of the evaluation policy is an iterative and adaptive process, requiring changes to improve application and practice. The Policy is thus principle-based, offering the required flexibility for implementation.

## 3. Principles of the National Evaluation Policy

The NEP is based on the following principles:

**3.1 Managing for Development Results (MfDR)** will be the guiding principle throughout the development process. The government

introduced the Managing for Development Results approach to make the public sector more oriented towards the achievement of the Sustainable Development Goals which have already been mainstreamed into the National Development Goals.

**3.2 Good governance** will be ensured through sharing of evaluation information and utilization of recommendations. The NEP aims to strengthen transparency and accountability towards the Parliament and citizens, in line with the Constitution. It also strengthens internal accountability of the government on the implementation of public policies, programs and projects and the use of public resources. The policy aims to support an inclusive development process aimed at reducing poverty and inequality and emphasizes the principle of 'no one left behind'.

**3.3 Evaluation culture** will be promoted as an essential precondition for sustainable evaluation. The NEP provides for evidence-based policymaking, planning and resource allocation. To foster evaluation culture and institutionalize it, the NEP institutes a set of incentives to strengthen the demand for evaluation, support for the implementation of the policy and rewards transparency and learning.



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*Good governance will be ensured through sharing of evaluation information and utilization of recommendations.*

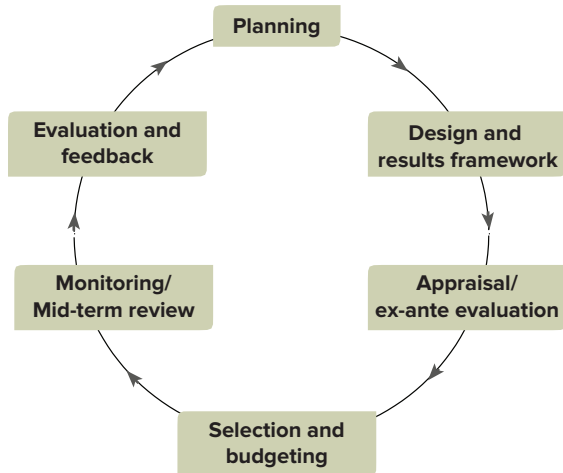
*The NEP provides for evidence-based policymaking, planning and resource allocation.*

## 4. Policy Statements

**4.1 Evaluation will be recognized as the most appropriate learning and feedback mechanism for decision making.** The life-cycle of an evaluation remains incomplete until the evaluation findings are utilized for planning and rational allocation of resources for future development interventions. The NEP supports

and enhances the current planning and budgeting practices through the prioritization of affordable public investments and expenditures with the highest socio-economic impact and adequate readiness and implementation capacity.

Figure 1: Policy and Project Cycle



**4.2 An appropriate institutional arrangement will be created within the existing system to ensure implementation of the NEP.**

The NEP does not seek a fresh institutional arrangement for its implementation, but rather seeks to strengthen the coordination and capacity of existing departments and systems. The evaluation function is cross-cutting and intimately linked to the planning and budgeting function. As such, the implementation of the NEP rests on the joint efforts of the departments in charge of the subject of planning, monitoring and budgeting at the national and sub national level. This coordination will take place through the National Evaluation Steering Committee as well as through existing mechanisms such as the Public Investment Committee established by the Cabinet of Ministers. Elsewhere, dedicated steering committees will be established to foster this integrated approach, in line with the existing legal and regulatory framework. An integrated information system will support the operationalization of the policy, the gathering of more comprehensive and accurate data and the collaboration it requires. The existing institutional arrangement will be strengthened with adequate resources and expertise.

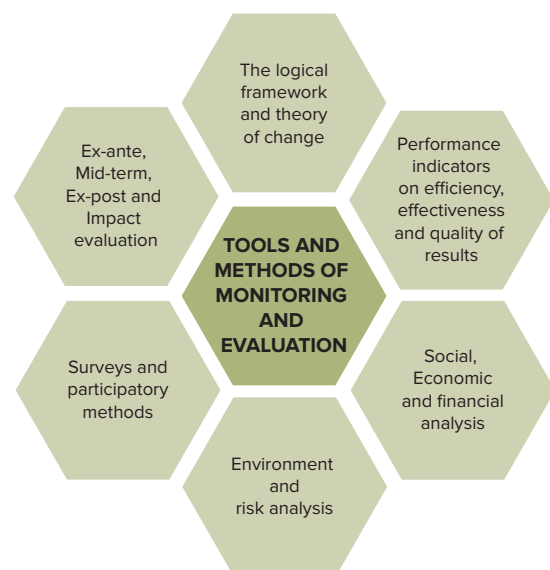
**4.3 Appropriate tools, scientific methods and information systems will be promoted to enhance professionalism in evaluation.**

A set of implementing guidelines and standards on evaluation will be issued through circulars to provide detailed guidance to public bodies, maintain the uniformity, quality and reliability of the evaluation process and ensure that evaluation will be incorporated as a key function of relevant institutions to improve their performance.

The guidelines will notably cover the structure of results frameworks, with corresponding baseline data and data sources to enable their evaluation, and provide clarity on the different evaluation methods to be used. The sector-specific information systems and the national integrated information system will represent the main data sources for evaluations, complemented by specific surveys and external datasets.

Evaluation will also be addressed in cross-cutting development challenges especially in climate change which affects development process, ecosystems, community and assets in line with the country’s policy priorities and sector specificities. Evaluations can inform to what extent thematic policies and projects effectively address these challenges and propose possible mitigation measures.

Figure 2: Tools, methods and approaches for monitoring and evaluation



**4.4 Joint and participatory approaches in evidence-based evaluation will be promoted for transparency, shared responsibility, reliability and knowledge sharing.** Participatory approaches provide active involvement in decision-making for those with a stake in a project, program or policy and generate a sense of ownership of Monitoring and Evaluation (M&E) results and recommendations. Feedback from project beneficiaries can contribute to learning from implementation and allow mid-course correction, thereby improving outcomes. There are different levels and methodologies of citizen engagement listed in Figure 3 and these will be specified in the NEP implementation framework.

Figure 3: Classification of citizen engagement activities in evaluations

<b>Citizen Consultation</b>	Consultation on what to evaluate and inputs, feedback in the appraisal and in the evaluation process.
<b>Participatory Evaluation</b>	Involve representatives of agencies and stakeholders (including beneficiaries) in designing, carrying out and interpreting an evaluation.
<b>Social Audits</b>	Citizens (civil society, academic groups, community members, private sector) work together to audit the processes of delivering public services and government programs.

**4.5 Capacity building of stakeholders engaged in the implementation of the NEP is required.** As a new policy and nascent function, substantial awareness raising and capacity building will be required across the public sector, the academe and the broader public. A first step will be to assess the existing capacity at the national and sub national level to undertake evaluations, the existing skills mix, and skills gap and current priority measures to strengthen knowledge and experience in

*“ Allocation of adequate resources for evaluation is necessary. The cost of evaluation should be estimated at the stage of planning and designing of an intervention. Accordingly, the evaluation should be accounted for in annual budget estimates. ”*

evaluation. A certification program shall be developed in cooperation with existing public-sector training institutions and trainers will be trained prior to rolling out the policy. On the demand side, higher education institutions will be encouraged to introduce new courses with a special focus on evaluation in order to address the current and future demand for human capital with a higher level of knowledge and skills in evaluation. Improving access to education and training opportunities will produce more scholars with required qualifications for jobs in the field of evaluation; this will improve the professionalism in the field of evaluation, thereby enhancing the quality and reliability of the process. Likewise, civil society organizations may require capacity building to participate in joint evaluations.

**4.6 Allocation of adequate resources for evaluation is necessary.** The cost of evaluation should be estimated at the stage of planning and designing of an intervention. Accordingly, the evaluation should be accounted for in annual budget estimates. For policy and institutional evaluations which are included in the annual evaluation plan, evaluation costs would be covered by the national budget.

**4.7 Evaluation information will be made available in easily accessible modes.** Dissemination of evaluation findings is an ethical requirement associated with accountability and legal requirements under Section 9 of the Right to Information Act (RTI), No. 12 of 2016, which mandates the proactive disclosure of all information related to projects, i.e. feasibility studies, monitoring and evaluation reports, etc. The proactive disclosure of public investments has limitations due to the absence of a central, comprehensive repository of project information. A web-based integrated public investment management and evaluation information system will therefore be established to enhance public access to evaluation information. This database will notably capture project appraisal, mid-term reviews and evaluation reports which have been reviewed and validated by the National Evaluation Committee. In order to improve accountability, synthesized evaluation reports will be submitted to the Cabinet of Ministers on an annual basis. The evaluation reports will also be submitted to the Auditor General, facilitating performance audits.

## 5. Goals of the National Evaluation Policy

### 5.1 Enhance evidence-based decision-making and planning.

The NEP aims to inform the formulation of public policies and the design of projects based on the results and data of the ex-ante evaluation and objective feasibility studies. Policy and project implementation will be strengthened by mid-term reviews. In case of significant increases in the cost of the project or a decrease in the demand for the service, the feasibility study will need to be updated to inform the project's restructuring. The result of the ex-post evaluation of the policy or project results and of the implementation capacity of the respective institution will inform the planning and prioritization of future interventions.

### 5.2 Ensure relevance, efficiency and effectiveness in resource utilization and sustainability of development results.

Every evaluation will assess the dimensions of relevance, efficiency and effectiveness. In the case of public services, the effectiveness will be measured by the accessibility and quality of such services. The evaluation of policies and projects aims to ascertain the relevance of the intervention and its contribution to national development priorities and policy objectives, by analyzing the theory of change.

A more stringent ex-ante and ex-post evaluation of public investments and projects will help to improve the allocative and operational efficiency of scarce public resources. For major programs and projects, the evaluation will include an options analysis to determine the most effective and efficient solution to achieve a given policy or development objective. Based on the nature of the intervention (economic or social) different evaluation techniques will be used to take into account the total costs and benefits (including non-monetary) of the public intervention and assess its efficiency.

Evaluation findings will gather the evidence required to determine whether policies, projects, and programs are achieving their intended development results and support the adoption of alternative strategies when evidence suggests that results are not being achieved. The sustainability of the intervention is essential and covers different dimensions to be considered by the evaluation.

*“ Ensure relevance, efficiency and effectiveness in resource utilization and sustainability of development results. Every evaluation will assess the dimensions of relevance, efficiency and effectiveness. In the case of public services, the effectiveness will be measured by the accessibility and quality of such services. ”*

*“ Ensure transparency and accountability at all levels of results-delivery. The public service delivery chain of the public sector including public enterprises involves many steps and stakeholders, including economic and financial sustainability, environmental and climate sustainability as well as institutional sustainability, especially in the case of public enterprises or agencies. ”*

### 5.3 Ensure transparency and accountability at all levels of results-delivery.

The public service delivery chain of the public sector including public enterprises involves many steps and stakeholders. This creates information asymmetry and efficiency challenges, which external evaluations could be used to address.

A result-focused evaluation can help strengthen transparency and accountability within the administration all along the service delivery chain and inform simplification and corrective action. It can also enhance the external accountability of public service providers and public enterprises to policymakers and the Parliament. Such evaluations need to assess the access and quality of public services based on feedback from the users of public services, in the absence of a direct market signal.

### 5.4 Promote best practices and lessons learned while minimizing failures and negative impacts of policies, programs and projects.

The NEP will encourage the dissemination of lessons learned based on evaluation experiences with projects, programs, or

policies which extrapolate from the specific circumstances to broader situations to support and nurture knowledge sharing both within and outside the organization.

By doing so, the NEP will provide policy and decision makers with the credible and useful information needed to issue corrective policy directives, help planners to prioritize and formulate affordable, high-impact and viable projects and encourage programs and managers to effectively and efficiently implement them.

The optimum involvement and ownership of these stakeholders in the evaluation process and findings is therefore critical.

### 5.5 Create an evaluation culture in the country.

The NEP aims to promote an evaluation culture in the country rooted in citizens creating demand through a combination of awareness raising and incentives.

A culture of evaluation deliberately seeks out empirical evidence on intervention outcomes and integrates lessons learned in executing corrective policies, prioritizing policy interventions and in formulating projects and programs. To this end, the NEP will acknowledge evaluations as a management tool and a mechanism for tolerating and learning from mistakes rather than as a fault-finding mission and will reward and showcase efforts to improve performance. The NEP will identify and stimulate leadership, commitment and capability of senior management and also strengthen organizational support structures to promote a culture of evaluation.

## 6. Applicability and Scope

The NEP encompasses all policies as well as projects and programs that are implemented at the national and sub national level in Sri Lanka. In addition, the NEP will also focus on evaluations of public institutions responsible for the implementation of public projects and programs, including Public Enterprises. In respect to donor-funded projects, guidelines on evaluation as specified by the donor can be applied in line with national guidelines on evaluation.

While sharing the above general principles, important differences between evaluation of public policies and institutions and evaluation of programs and projects will be acknowledged separately.

Figure 4: Coverage and applicability of the National Evaluation Policy

Evaluation arrangements	Public policies and institutions	Programs and projects
Methodology	National Development Plan, sector policies, MfDR and SDGs	Vision/sectoral policy/PIP/ NPD guidelines and results framework
Responsibility	Policy formulation, financing, implementing, monitoring and evaluation entities	Planning, financing, implementing monitoring and evaluation entities
Coverage	Public and private service providers covered by the policy and citizen	Programs, projects, stakeholders and beneficiaries
Programming and funding	National Evaluation Plan/ focal point for evaluation functions	Included in the TEC and annual budget/ National Evaluation Plan
Type	Ex-ante impact assessment/ex-post evaluation	Appraisal, mid-term review and ex-post evaluation

National and sub national level, relevant line ministries and implementing agencies

### 6.1 Evaluation of public policies and institutions:

The evaluation of public policies and institutions can be cross-cutting or sector specific. The scope of the policy evaluation varies but can be very large and resource-intensive as it covers both the supply and the demand side as well as all stakeholders contributing to its objectives, whether they are public or private service providers (e.g. health or education). The evaluation is expected to cover the following dimensions: relevance, efficiency, effectiveness, impact and sustainability.

- Relevance is assessed against the national or sectoral socio-economic development priorities as established in the country's vision, national development plan, international agreements, and sector strategy or budget speech. Notably, it entails the relevance of the policy's objectives and indicators, its scope and inclusiveness, and the proposed intervention logic and implementation arrangements.

“ *The NEP encompasses all policies as well as projects and programs that are implemented at the national and sub national level in Sri Lanka. Evaluation of public policies and institutions: The evaluation of public policies and institutions can be cross-cutting or sector specific. The scope of the policy evaluation varies but can be very large and resource-intensive as it covers both the supply and the demand side as well as all stakeholders contributing to its objectives, whether they are public or private service providers.* ”

- Efficiency is assessed by comparing the means with the expected results of a policy, to identify the most cost-effective solution, and thus may require a budget impact assessment. For policies which impact directly the citizen or the private sector, it is recommended to evaluate the expected compliance costs and take these into account in the option and efficiency analysis. This helps ensure that the means are commensurate with the aims. Relevance and efficiency are evaluated ex- ante and ex-post.
- Policy effectiveness is evaluated during implementation and again at the end, to determine to what extent it is achieving the expected results, at what pace and at what cost (financial, human resources, administrative or compliance), and to see if there are unintended consequences (positive or negative externalities). Such evaluation incorporates feedback from stakeholders and beneficiaries and can inform corrective action when necessary.
- The sustainability of a policy is assessed from a financial, institutional and environmental/ climate perspective, both ex-ante and ex-post.
- Impact evaluations are done ex-post and are often resource intensive. They aim to take into account the counterfactual and compare a situation with and without policy/project.

- Evaluations of institutions will take into account the Annual Action Plans and reports prepared by ministries and agencies, in line with financial regulations. The evaluations of State-Owned Enterprises will take into account the Statements of Corporate Intent and their annual reports and financial statements.

**6.2 Evaluation of programs and projects:** Public investments are a key economic policy tool for fostering sustainable socio-economic development. Yet, the impact and efficiency of public investments have been sub-optimal as evidenced by important implementation delays and efficiency gaps. A more stringent ex-ante and ex-post evaluation of public investments and projects can help improve the allocative and operational efficiency of public investments by informing the prioritization of affordable programs and projects which are economically and financially sustainable and boast the highest strategic relevance and socio-economic impact. The evaluation of programs and projects will cover the same dimensions of relevance, efficiency, effectiveness, impact and sustainability.

Project and program evaluation will cover the project cycle and include ex-ante evaluations and project appraisals, including the necessary feasibility studies, in line with the specific guidelines and thresholds issued by the department in charge of planning.

The evaluation will take into account the respective thematic or sector strategies, the Public Investment Program as well as each program and project’s specific development objectives and results framework. Ex-ante evaluations and appraisals, therefore, need to ensure a robust results framework with specific, measurable, appropriate and time-bound indicators specifying the baseline and data sources/responsibility. Program and project appraisals are expected to cover the elements specified in figure 5.



Figure 5: Elements of a project appraisal report



In addition to ex-ante project appraisals, the NEP will provide directives on conducting a basic completion review and an ex-post evaluation to assess whether a project was delivered as agreed, on time and according to budget. Major departures from the planned implementation time table, budget or design should be identified and the reasons for these departures explained. The extent to which any risks that materialized had been foreseen and whether risk management plans and mitigation measures were adequate should also be considered. Any lessons for improved design or implementation of similar projects in the future should be identified and recommendations should be taken in to account when designing future interventions. The NEP will establish institutional arrangements needed to ensure that lessons learned feed into the planning of new projects.

Foreign-funded projects will also take into account the evaluation requirements and

## 7. Implementation of NEP

The implementation of this national policy is one of the duties and responsibilities of all line ministries, Provincial Councils, Local Authorities and other public institutions/enterprises, in line with their respective legal and regulatory frameworks. A national evaluation plan which would be a three-year rolling plan updated annually, will be designed based on prioritization criteria to be established in the guidelines

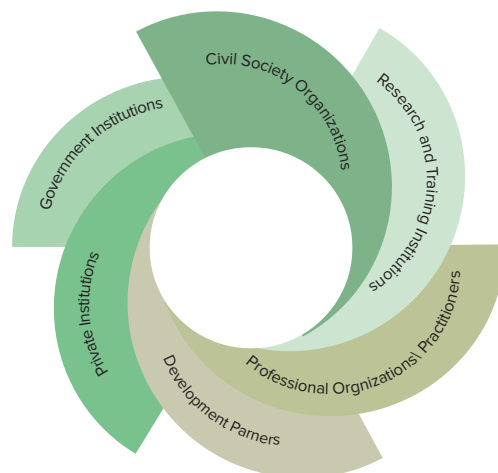
### 7.1 Institutional arrangement and responsibilities:

7.1.1 The Department of Project Management and Monitoring (DPMM) will be the **National Focal Point** to implement the NEP. The DPMM in consultation with the subject ministry will:

- a. Provide leadership, guidance, and support for the implementation of the NEP at national, provincial and local authority levels.
- b. Facilitate capacity building of all relevant institutions for planning and monitoring and evaluation for professional evaluations.
- c. Set ethics, standards, and guidelines to ensure the quality of evaluation.
- d. Review the implementation of the NEP in collaboration with line ministries and other relevant institutions.
- e. Encourage the use of findings and recommendations of evaluations in decision-making and policy formulation.
- f. Report important findings that arise from evaluations to the Cabinet of Ministers to facilitate informed decision making.

7.1.2 A National Evaluation Steering Committee (NESC) in collaboration with the agencies involved in planning, financing and implementation at national and sub national levels will be established to guide, facilitate and to play a role as stipulated in the National Evaluation Framework to ensure the smooth implementation of the NEP.

Figure 6: NEP implementation arrangement



## CHAPTER 2

# **INSTITUTIONAL FRAMEWORK FOR IMPLEMENTATION OF NATIONAL EVALUATION POLICY**



# INSTITUTIONAL FRAMEWORK FOR IMPLEMENTATION OF NATIONAL EVALUATION POLICY

As per Policy Statement 4.2 of the National Evaluation Policy (NEP) of Sri Lanka, the institutional structure for implementation of the NEP is to be identified within the existing institutional framework of the Government. The proposed institutional framework is well-defined below in order to ensure:

- i. Availability of evaluation information;
- ii. Appropriate decision-making based on evaluation findings;
- iii. Disclosure and dissemination of evaluation findings with recommendations;
- iv. Utilization of evaluation lessons in the process of planning and;
- v. Follow-up of management responses.

The institutional framework described below supports the identification of roles, responsibilities and scope of work of stakeholders, and effective and smooth implementation of the NEP from the lowest level of implementation to the highest level of policy and decision-making:

## 1. District Administration, Local Authorities & State-Owned Enterprises

will initiate implementation of the NEP by identifying suitable evaluations and submitting proposals on evaluations to respective provincial councils and line ministries. As stipulated in the NEP, the existing institutional set-up of these institutions will be strengthened to deliver the evaluation function. Their capacity for undertaking evaluations will be developed gradually by the Department of Project Management and Monitoring (PMMD), in consultation with respective line ministries and provincial councils.

## 2. Line Ministries and Provincial Councils

are the pioneers in implementation of the NEP by undertaking evaluations and utilizing of evaluation findings for their decision-making and planning. Line ministries and provincial councils will identify and strengthen a designated unit or division for evaluation, within the existing institutional set-up. Since the institutional memory on planning and monitoring is a critical success factor for evaluation, existing planning and monitoring divisions / units of the line ministries and provincial councils will be strengthened to deliver the following functions:

## Functions of the Line Ministries and Provincial Councils:

- i. Communicate and coordinate with institutes under their purview and PMMD in order to improve the capacity of relevant institutes and mainstream evaluation in public sector;
- ii. Call proposals from departments, institutions and State-Owned Enterprises under their purview for evaluations in the following financial year;
- iii. Select suitable proposals (based on selection criteria - Annex-I) and forward selected proposals to the PMMD (to submit the same to the National Evaluation Steering Committee (NESC) for review and approval);
- iv. Coordinate with the PMMD for technical support to develop the evaluation capacity of staff, undertake evaluations, implement recommendations of the NESC, and disseminate evaluation findings;
- v. Ensure utilization of evaluation findings at decision-making and planning.

## 3. Department of National Budget (NBD)

as a permanent member (ex-officio) of the NESC supports the PMMD in finalizing the National Evaluation Plans by confirming the possibility of allocation of funds or by identification of potential sources of funding to implement the National Evaluation Plans. In addition, NBD will make decisions regarding allocating funds for development projects and programmes taking relevant evaluation findings into consideration as a measure to ensure institutionalization of evaluations, and provide budgetary allocations for the evaluation proposals approved by the NESC.

## 4. Department of National Planning (NPD)

as a permanent member (ex-officio) of the NESC works in coordination with the PMMD to ensure utilization of evaluation findings in national and sectoral planning. In addition, NPD will provide technical support required for the PMMD for finalizing the National Evaluation Plans (Annual/ Medium Term) and identifying strategies for Evaluation Capacity Building (ECB), thereby ensuring institutionalization of evaluation.

## 5. Department of Project Management and Monitoring (PMMD) plays the following roles in implementation of the NEP:

- i. Permanent member (ex-officio) of the NESC;
- ii. Secretariat of the NESC; and
- iii. National focal point for institutionalization of evaluation in the public sector.

### The main functions and responsibilities of the PMMD are to:

- i. Function as the secretariat of the NESC providing technical support;
- ii. Review and select evaluation proposals received by the implementing agencies, and prepare National Evaluation Plans in consultation with relevant implementing agencies, relevant departments of the Treasury and other agencies;
- iii. Obtain approval of the NESC for implementation of National Evaluation Plans;
- iv. Monitor implementation of NESC decisions and recommended follow-up actions;
- v. Coordinate, facilitate and guide all activities related to implementation of the NEP;
- vi. Develop and update ethics, standards and guidelines to ensure the quality of evaluations and provide updated tools, guidelines and templates for use in the evaluation process;
- vii. Lead, guide and undertake continuous Evaluation Capacity Building specially in the public sector;
- viii. Provide technical support for undertaking evaluations by public sector institutions;
- ix. Conduct selected evaluations in collaboration with external evaluators;
- x. Monitor on-going evaluations and report the progress to NESC;
- xi. Report evaluation findings to the NESC on annual basis to obtain recommendations and approval for dissemination;
- xii. Maintain Evaluation Information System for dissemination of evaluation information as approved by the NESC;

- xiii. Assess the level of utilization of evaluation findings at the planning and decision-making stages and report to the NESC; and
- xiv. Review and update the NEP.

## 6. Ministry in charge of the subject of Finance (MoF) is the chair of the NESC and directly reports to the Cabinet of Ministers (when necessary). In addition, the following functions in relation to evaluation will be performed by the MoF:

- i. Providing instructions on ethics, standards and guidelines to ensure the quality of evaluations;
- ii. Seeking the approval of the Cabinet of Ministers for: (i) National Evaluation Plans and (ii) dissemination of evaluation findings, recommendations and lessons if the NESC recommends to obtain Cabinet approval; and
- iii. Organizing all functions under the NESC through PMMD which is the secretariat of the NESC.

## 7. National Evaluation Steering Committee (NESC) is chaired by the Secretary, MoF. The composition of the NESC is as follows:

- i. Heads of the Departments of National Planning, External Resources, National Budget, Public Enterprises, Project Management and Monitoring (permanent members)
  - ii. Secretary, Finance Commission (permanent member)
  - iii. Secretaries of the Ministry in charge of the subjects of Provincial Councils, Local Government and District Administration (permanent members)
  - iv. Senior representatives of the Presidential Secretariat and Prime Minister's Office (Permanent members)
  - v. Secretary of line ministries (by invitation)
  - vi. Senior representative of the National Audit Office (observer)
- Any other relevant Department, State-Owned Enterprise, Provincial Council, District administration, local authority or any other

institution, professional body or organization could be a member of NESC by invitation, based on the relevance of their attendance to support the discussions scheduled in the NESC meeting agenda.

- The PMMD functions as the Secretariat to the NESC.

**Key functions of the NESC:**

- i. Review the National Evaluation Plans developed by the PMMD in consultation with relevant implementing agencies and approve with recommendations for required amendments;
- ii. Review the progress of implementation of National Evaluation Plans;
- iii. Review and provide necessary recommendations on evaluation findings;
- iv. Make decisions on dissemination of appropriate evaluation findings considering sensitivity and importance of the same;
- v. Review the management responses on evaluations and follow-up actions by relevant parties based on evaluation findings;
- vi. Foster institutionalization of evaluation in the public sector through proper guidance and advocacy on Evaluation Capacity Development, utilization of evaluation findings at planning and budgeting, and an effective communication strategy to inform evaluation findings to the decision-makers;
- vii. Approve guidelines, tools and standards during the course of implementation of evaluation to foster the ECD and the practice of evaluation in public sector; and
- viii. Recommend submission of any plan, program or information related to evaluation to the Cabinet of Ministers (based on the necessity).

CHAPTER 3

**ANNUAL EVALUATION  
AGENDA**



## ANNUAL EVALUATION AGENDA

The National Evaluation Policy (NEP) of Sri Lanka aims to foster evaluation in the country to enhance and strengthen planning, implementation and monitoring to ensure the effectiveness and sustainability of benefits delivered to the citizens through various development initiatives. Therefore, evaluation is promoted among stakeholders as a regular practice and the annual evaluation

agenda will provide an opportunity for all stakeholders who are actively engaged in the development process of the country to perform selected evaluations throughout the year.

The Annual Evaluation Agenda describes the continuous process of evaluation expected by the public sector of Sri Lanka.

Agenda Item #	Key actions	Timeframe	Responsibility
1. Call for evaluation proposals	<p>Call for proposals (“Evaluation Call”) from line ministries and provincial councils to conduct evaluations in the next financial year.</p> <p>[PMMD will facilitate line ministries and provincial councils (and institutions under their purview) to develop comprehensive proposals by providing required guidelines, formats, templates and technical support directly or through experts and professionals in the field of evaluation.]</p>	January (01 <sup>st</sup> – 15 <sup>th</sup> )	PMMD
2. Submission of evaluation proposals to PMMD	i. Submission of evaluation proposals to the line ministries and provincial councils, by institutions under the purview of line ministries and provincial councils, for internal approval.	January-February (16 <sup>th</sup> Jan- 07 <sup>th</sup> Feb)	Line ministries, provincial councils, institutions under the line ministries and provincial councils
	ii. Short-listing of proposals at the line ministries and provincial councils, and approval by the Secretary of the line ministry and Chief Secretary of the Provincial Council.	February (08 <sup>th</sup> -15 <sup>th</sup> )	Line ministries, provincial councils
	iii. Submission of the selected proposals to PMMD by respective line ministries and provincial councils, with all required supportive information.	February (16 <sup>th</sup> -20 <sup>th</sup> )	Line ministries, provincial councils
3. Review of evaluation proposals and submission to NESC	<p>i. Review of all proposals received from line ministries and provincial councils by PMMD (in consultation with the NPD, NBD and Finance Commission) for their accuracy, relevance, and adequacy of information, and selection of a list of proposals based on selection criteria.</p> <p>ii. Submission of prioritized evaluation proposals and a list of ineligible proposals to the NESC by PMMD.</p>	February-March (21 <sup>st</sup> Feb- 10 <sup>th</sup> Mar)	PMMD
4. Review and approval of evaluation proposals by NESC	<p>i. Assessment of proposals submitted by PMMD, by the NESC, based on special criteria, and recommend a short list of evaluations to be conducted in the next financial year.</p> <p>ii. Extension of time (to respective institutions) for re-submission of proposals to NESC, after incorporating NESC recommendations to improve or amend the original proposals, if necessary, or provide additional information for decision-making.</p> <p>iii. Approval of eligible proposals and informing the list of approved evaluation proposals and ineligible proposals to relevant implementing agencies.</p>	March (11 <sup>th</sup> – 31 <sup>st</sup> )	NESC

Agenda Item #	Key actions	Timeframe	Responsibility
5. Budgeting for approved evaluations	i. Request for funds for approved evaluations by respective institutions to undertake evaluations in the next financial year (according to the general budgetary process).	July-September	Respective line ministries, provincial councils
	ii. Monitoring of the preparatory activities of respective line ministries and provincial councils to conduct approved evaluations as per the agreed time frame, and reporting to the NESC.	January-December	PMMD
6. Undertaking evaluation	Undertaking evaluations	From April	Implementing agencies (as indicated in the approved proposal)
7. Reporting, approval and dissemination of evaluation findings, recommendations and lessons (starting from the 2 <sup>nd</sup> year of NEPIF implementation)	i. Submission of reports of completed evaluations to PMMD.	June and December	
	ii. Review of the findings, recommendations and lessons.		
	iii. Submission of a summary of all evaluation findings, recommendations and lessons to the NESC.	January and July (twice a year)	PMMD
	iv. Approval of NESC to disseminate evaluation findings, recommendations and lessons among stakeholders, considering their sensitivity and usefulness.	March and August (twice a year)	NESC
	v. Dissemination of evaluation information among relevant institutions, with necessary actions.	March and August (twice a year)	Ministry of Finance
	vi. Monitoring of the implementation of approved evaluation recommendations.	January-December	PMMD
	vii. Follow-up of management responses.	January-December	PMMD and other responsible institutions* (*depends on the nature of follow-up actions)



## Workflow of Implementation of the Evaluation

In order to ensure the systematic implementation of an evaluation and completeness of the final evaluation report, all respective institutions should complete the main activities in the evaluation process in a sequential manner, by adhering to the timelines indicated in the Annual Evaluation Agenda.

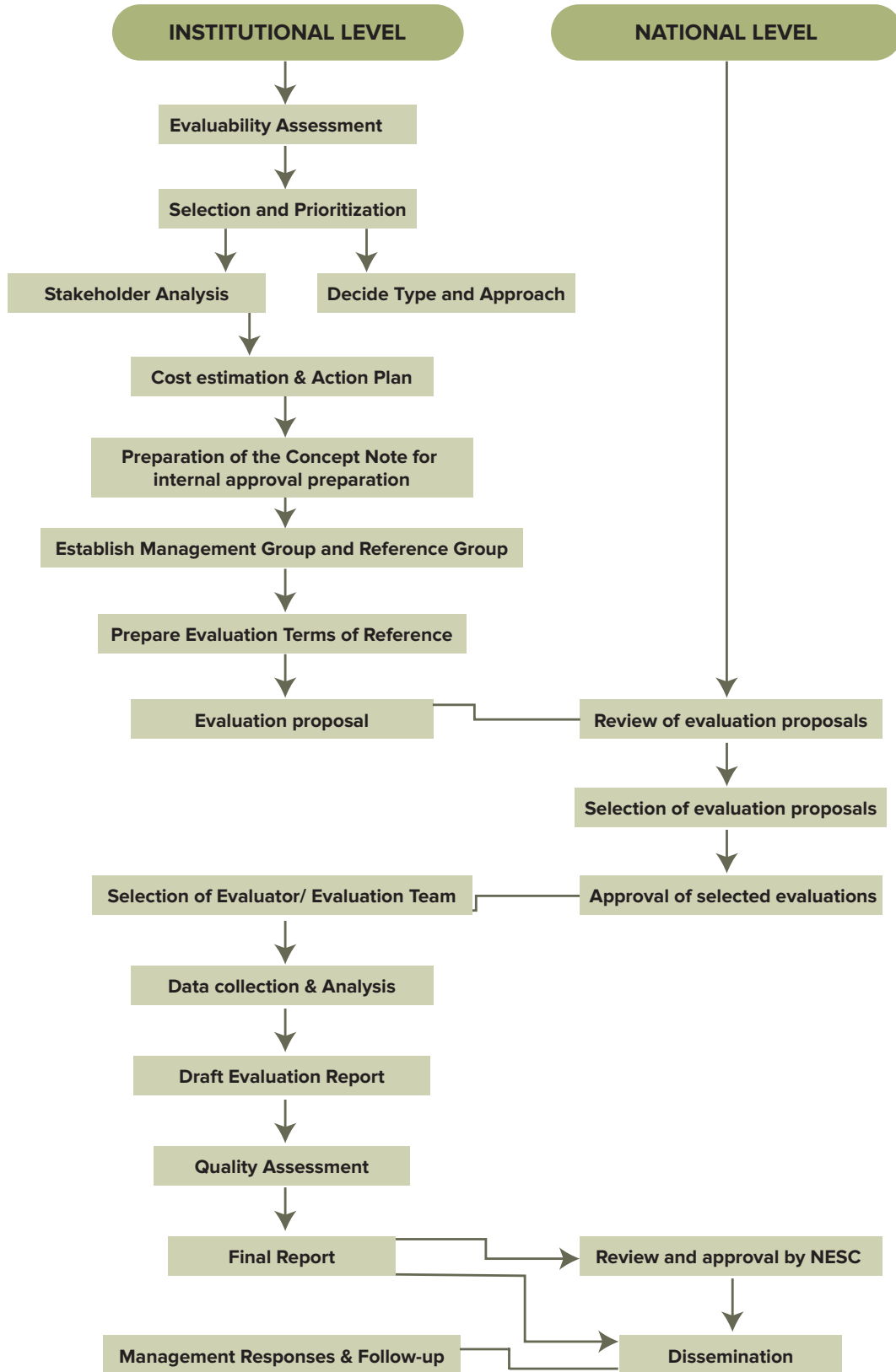
The workflow of the evaluation process describes the sequential order of activities to be carried out by institutions that propose evaluations (provincial

councils, line ministries and other implementing agencies) and the recommending and approving authorities at the national level (PMMD and NESC). Proper coordination and consultation among all respective institutions is vital to make sure that all approved evaluations will be conducted and reported as per the Annual Evaluation Agenda.

The following table illustrates the sequence of main activities of the evaluation process and responsible institution for completion of each activity:

Sequence	Main Activity	Responsible Institution
1	Evaluability Assessment	Line Ministry / Provincial Council (in consultation with respective implementing agency)
2	Selection and prioritization of evaluation	
3	Stakeholder analysis	
4	Deciding the suitable type of evaluation	
5	Cost estimation & preparation of Action Plan	
6	Preparation of the Concept Note for internal approval	
7	Establishment of Management Group and Reference Group	
8	Preparation of Evaluation Terms of Reference	
9	Preparation of evaluation proposal	
10	Review of evaluation proposals	1 <sup>st</sup> step - by PMMD in consultation with NBD, NPD, ERD. 2 <sup>nd</sup> Step - NESC
11	Selection of evaluation proposals	NESC (in consultation with PMMD)
12	Approval of selected evaluations	NESC
13	Selection of Evaluator/ Evaluation Team	Implementing agency (by Evaluation Team), under the guidance of Management Group
14	Data collection & Analysis	
15	Quality Assessment of Evaluation	Management Group
16	Preparation of Final Report	Implementing agency (by Evaluation Team), under the guidance of Management Group
17	Review and Approval of final evaluation report	NESC
18	Dissemination of reports (as per the NESC instructions)	PMMD (with the approval of Ministry of Finance)
19	Management Responses & Follow-up	PMMD and other responsible institutions* (*depends on the nature of follow-up actions)

The Following Workflow Diagram shows the sequential flow of activities in the process of evaluation.



## CHAPTER 4

# **GUIDELINES FOR IMPLEMENTATION OF EVALUATION**



# GUIDELINES FOR IMPLEMENTATION OF EVALUATION

The guidelines for implementation of evaluations intend to provide instructions on the key steps to be followed at different phases of evaluation and

introduce tools, formats and templates that are useful for undertaking each step without ambiguity. Key steps to be followed at each phase of evaluation:

Phases of evaluation	Steps to be followed
Planning	1. Evaluability Assessment
	2. Selection and prioritization
	3. Decision on type, approach and evaluation criteria
	4. Stakeholder analysis
Preparation	1. Establishment of Management Group and Reference Group
	2. Budgeting and Action Plan preparation
	3. Development of Evaluation Terms of Reference (ToR)
	4. Selection of Evaluation Team/Evaluator
Execution	1. Inception report
	2. Data collection
	3. Data analysis and draft/interim report
	4. Quality Assessment of evaluation process
Reporting	1. Stakeholder review and feedback on draft report
	2. Quality Assessment of improved draft report
	3. Preparation of the final report
	4. Dissemination of the report
Use and follow-up	1. Handling the Management Responses

There are 16 guidelines in this section to be followed in the process of conducting an evaluation (at the institutional level) and 02 guidelines relevant for the evaluation function at the national level:

## I. Guidelines for planning and preparation of evaluation

### Guideline 1: Selection and prioritization of evaluations

Selection of the most feasible intervention\* of many proposals for evaluation in a situation where limited resources are available for evaluation, is a challenging exercise. Therefore, criteria which cover many aspects which could be considered for selection will help to overcome this challenge in a reasonable manner.

\* An intervention refers to the selected development project, programme, policy or institution for evaluation.

### *Refer Annex I: Tool for selection and prioritization*

- With the support of the tool for selection and prioritization, line ministries or provincial councils (or any institute under the purview of line ministries and provincial councils) should check whether the proposed evaluation meets the majority of the criteria.
- The assessment of proposed evaluations needs to be undertaken as the first step of the planning phase internally, with a higher degree of impartiality, and by a team of officials who are involved or adequately aware and knowledgeable about those interventions, for selecting the most important proposal.
- The highest marks are to be given when a proposed intervention fully meets the criteria and the lowest marks are to be given when the intervention shows unsatisfactory / weak relationship to the aspects considered under the criteria.

- At least 60% of marks need to be obtained by any proposed intervention for the preliminary selection and to be qualified at the institutional level, to submit a proposal to the PMMD for consideration of the National Evaluation Steering Committee (NESC) approval .
- In addition, if there is any evaluation required by the government as national priority, it should be undertaken as the highest priority.

### **Guideline 2: Undertaking Evaluability Assessment**

Evaluability Assessment is a systematic approach to examine the extent to which an intervention can be evaluated in a reliable and credible manner. Public sector institutions that are willing to undertake evaluations need to complete an evaluability assessment prior to submission of a formal proposal to the PMMD, seeking approval of the NESC.

The following aspects of a project, programme, policy or institution should be examined and assessed in order to determine whether an evaluation is possible and, if so, to design the evaluation:

- i. Theory of change or Logic Model of the selected intervention
- ii. Availability of key information relevant for evaluation (specifically, performance related regular monitoring data)
- iii. Conduciveness of context in which the evaluation is conducted.

A series of questions need to be answered to elaborate the above three key aspects in order to make a better judgment on evaluability.

#### **Refer Annex II: Tool for Evaluability Assessment**

### **Guideline 3: Selecting a type of evaluation**

Adequate understanding on the various types of evaluation appropriate for the context of Sri Lanka is important at the decision-making at all levels on conducting evaluation.

**Refer Annex III:** which provides guidance to determine the most appropriate type of evaluation considering the:

- i. Purpose of evaluation;
- ii. Stage of implementation of the selected intervention and;
- iii. Expected usage of evaluation findings.

### **Guideline 4: Selecting an approach for the evaluation**

The evaluation approach should be decided by considering the availability of knowledge, expertise and resources (in-house and outside of the implementing agency) with a view to maintaining impartiality, transparency and professionalism in evaluation. Skills and expertise required for managing and conducting evaluation are available with public sector institutions, development partners, academia, and private sector professional evaluators in Sri Lanka at different levels, while provisions for evaluation are not secured adequately in the annual budget estimates.

This situation calls for careful selection of the most appropriate approach out of the following 04 approaches for future evaluations in Sri Lanka, with a view to utilize the locally available resources at a reasonable cost to produce reliable and high-quality evaluation information for logical and scientific decision-making.

- i. Independent (External) evaluation
- ii. Self (Internal) evaluation
- iii. Joint evaluation
- iv. Participatory evaluation

*Refer Annex IV:* Approaches for Evaluation, which provides understanding of different approaches suitable for the context of Sri Lanka.

### **Guideline 5: Evaluation criteria**

Evaluation criteria should reflect the purpose and objectives of the evaluation and its integration with social, economic and environmental priorities at the national, regional and global level. Each criterion should be strong enough to view the subject of evaluation (project, programme, policy, institution) from a different angle.

The Organization of Economic Co-operation and Development / Development Assistance Committee

(OECD/DAC) first introduced the evaluation criteria (relevance, effectiveness, efficiency, impact and sustainability) in 1991 and in 2019 the OECD/DAC Network on Development Evaluation (EvalNet) revisited the criteria and improved it by adding 'coherence' as an additional criterion.

The revised OECD/DAC criteria are recommended for evaluation in Sri Lanka and it is possible to use additional criteria appropriate for the purpose and objectives of the evaluation, in agreement with the key stakeholders.

**Refer Annex V: OECD/DAC Criteria for evaluation**

### Guideline 6: Stakeholder analysis

Stakeholder analysis is a systematic approach to identify and assess the importance of stakeholders in managing evaluation. This exercise helps to understand the interest and influence held by different groups or individual stakeholders on a proposed evaluation. All stakeholders are not equally interested or influential for an evaluation because the degree of their involvement at the planning, designing and implementation stages and the nature of benefits received from the selected intervention vary. A full inventory of stakeholders should be prepared at the planning stage of any evaluation in order to minimize negative influence and resistance from stakeholders during the commissioning of evaluation.

The following steps should be undertaken to conduct a stakeholder analysis:

- i. Identification of stakeholders:** All stakeholders who have been involved throughout the lifecycle of the selected intervention should be identified and categorized into suitable groups such as planners, implementing agencies and staff involved in implementation, monitoring agencies, funding partners, beneficiaries and affected people, political and community leaders who are interested and engaged in implementation, and potential users of evaluation results, etc.
- ii. Identification of importance and potential impact of each stakeholder and roles and responsibilities to be assigned to stakeholders in the process of evaluation:** It is not necessary to recognize every stakeholder as an active participant in the exercise of evaluation but it is essential to respect their expectations and views when planning and conducting an evaluation. A brief

assessment of capabilities and expertise of the stakeholder which could be utilized for undertaking evaluation in a professional manner is possible at this stage.

- ii. Develop strategies to obtain the maximum support from stakeholders at various stages of evaluation and confirm their consent for participation:** A brief awareness and consultation process is required to seek the support of all key stakeholders for the evaluation and identify the optimum level of their involvement with minimum conflicts and unnecessary delays.

**Refer Annex VI: Tool for Stakeholder Analysis**

## II. Guidelines for execution of evaluation

### Guideline 7: Establishment of a Management Group

A Management Group should be set up at the preparatory stage; after completion of the stakeholder analysis and before planning the process of evaluation.

- The main responsibilities of the Management Group are to oversee the process, quality, timeliness and accuracy of the evaluation, and intervene and facilitate when and where necessary to overcome issues faced during the commissioning of the evaluation.
- A team comprised of senior management of the entity of evaluation, representatives of implementing partners (of the intervention), relevant monitoring and evaluation officers, and staff directly involved in administration, supervision and implementation of the intervention need to be identified and appointed to the management group.
- Number of members in the Management Group should be manageable without administrative delays (Maximum 10 members).

#### Functions of the Management Group:

- Advise on prioritizing evaluations and determining purpose, objectives and the strategic focus of the evaluation;
- Assist in developing a robust and credible evaluation process, and comment on the appropriateness of the evaluation approaches;

- Review and provide feedback on evaluation ToR, questionnaire and evaluation plan of actions;
- Provide advice or feedback on qualifications of the Evaluation Team/Evaluator;
- Provide written or verbal feedback on the inception report, draft evaluation report, evaluation findings and recommendations, dissemination and communication strategies, etc.
- Ensure quality of evaluation;
- Make decisions and resolve issues, as necessary; and
- Evaluation Manager (a nominated officer for overall coordination of the evaluation) should share the ToR of the Management Group, among the members.

**Refer Annex VII: Template of the ToR of Management Group.**

#### **Guideline 8: Establishment of the Evaluation Reference Group (ERG)**

- The Evaluation Reference Group is an advisory group of key stakeholders to provide additional knowledge and technical thinking to enhance the quality of evaluation. ERG members should have played a key role in planning or implementation of the selected intervention or bring expertise in evaluation.
- ERG should be established during the preparatory stage, after completion of the stakeholder analysis.
- The number of members in the ERG should be manageable and effective (maximum 10-12 members).
- ERG closely works with the evaluation entity (or Evaluation Manager) and provides feedback and inputs for ToR of the evaluation, inception report of the evaluation and questionnaire, evaluation findings, and draft reports.
- ERG is not involved in the management of an evaluation but performs as a supplementary pool of technical and practical capabilities, to the core team of evaluation.

- The Evaluation Manager should share the ToR among the members of ERG.

#### **Functions of ERG:**

- Provide additional scientific, technical expertise needed to supplement that of the evaluation team;
- Share independent views on ToR, inception report of the evaluation and questionnaire, evaluation findings and draft reports;
- Identify and inform gaps and erroneous interpretations of information gathered for evaluation;
- Facilitate stakeholder participation in evaluation; and
- Support dissemination and use of evaluation findings.

**Refer Annex VIII: Template for ToR of the ERG.**

#### **Guideline 9: Developing Evaluation Plan**

All activities and sub activities of each phase of the evaluation need to be identified with the implementation time-frame and cost.

It is essential to identify Key Performance Indicators for activities and sub activities. This will help to identify key activities of the evaluation which should be monitored, and to eliminate non-critical activities from the action plan (e.g., administrative or management related activities or non-important process outputs).

Identification of the implementation responsibility of each activity and sub activity is essential for the purpose of delegation and sharing of the workload of the whole exercise and for the convenience of monitoring.

**Refer Annex IX: Template for Evaluation Plan**

#### **Guideline 10: Budgeting for evaluation**

Realistic budgeting for evaluation is a key factor for the success and smooth commissioning of evaluation.

The following key areas need to be considered in the preparation of budget estimates for an evaluation:

- i. Scope of evaluation:** Coverage of field works related to stakeholder consultation and data collection is a key factor to be considered. Number of sites to be visited for direct observations and the nature of transport and accommodation also will determine the cost of field work. The sample size (population of beneficiaries) and the mode of communication with informants at the field (whether it requires door-to-door visits, meetings, online discussions, etc.) will also impact the cost of data collection. The types and modes of data collection, time and level of technical expertise required to conduct data analysis and interpretation also need to be considered for a realistic estimation. Analysis of data using sophisticated statistical methods will require technical expertise that can increase the cost of evaluation.
- ii. Approach of evaluation:** The cost of hiring external evaluators varies depending on the nature and the scope of evaluation. Proper estimation of the price of hiring an evaluator is vital. Self-evaluations are low-cost but a proper estimation is very important by distinguishing the available resources within the institute from resources required to be purchased or hired. Cost estimates of joint evaluations should clearly indicate the costs shared by partners. The cost of communication and coordination in joint and participatory evaluation is always higher than in the self-evaluations.
- iii. Reporting and dissemination methods:** Time and efforts required for drafting, reviewing, and reporting of evaluation findings will vary depending on the scope of the evaluation and purpose and objectives of the evaluation.

Key cost-items are listed below:

- i. Evaluation planning and preparation
- ii. Data collection and entry
- iii. Data analysis and reporting
- iv. Printing and dissemination
- v. Communication and meetings
- vi. Travelling and related logistics

#### Guideline 11: Developing Evaluation Questionnaires

- Evaluation questions should clearly indicate the link between the purpose of the evaluation and the selected criteria of evaluation.
- A set of specific questions relevant to the selected intervention should be prepared under each evaluation criteria. About 5-7 **Key Evaluation Questions** which serve the evaluation purpose directly and widely should be identified with the support of Reference Group (*refer Annex V*). These questions could be split into a set of general questions to obtain more details.
- The number of evaluation questions depends on the scope of the evaluation; a minimum but sufficient number of questions should be selected in consultation with the Evaluation Reference Group and the Management Group.
- A proper combination of **Closed Questions** and **Open Questions** will enhance the strength of the questionnaire to obtain quantitative and qualitative information.
- **Closed questions** are recommended to obtain pre-decided and direct answers (E.g., Yes/No; High/ Above average/ Average/ Satisfactory/ Poor; Strongly agree/ Agree/ Disagree/ Strongly disagree/ Unable to answer) and gather data which could be analyzed easily for quick and economic conclusions. Most respondents can answer closed questions with their knowledge because standard answers are already provided, but respondents have limited space to provide additional information or their views freely.
- **Open questions** are better suited to gather information on complex issues from suitable individuals with adequate knowledge and level of education when feedback of stakeholders cannot be obtained using fixed answers. This type of questions allow respondents to express their experience, views and comments in their own words. Rich qualitative data could be obtained through open questions, but it consumes a longer time for responses as well as analysis of data. Therefore, more closed questions are recommended with a minimum number of essential open questions.



**Refer Annex V: OECD/DAC Criteria for evaluation for key questions under each evaluation criteria.**

- The following steps should be followed in preparation of the questionnaire:
  - i. Obtain inputs of all relevant stakeholders who have been involved in the planning, implementation and monitoring phases of the selected intervention (or share the drafted questions to obtain their inputs)
  - ii. Review documents which contain evidence on planning, budgeting, monitoring, evaluation, management decisions etc. of the selected intervention.
  - iii. Conduct consultation and brainstorming (with ERG and Management Group) for aligning the questionnaire with the scope, objective and purpose of evaluation, prioritizing, and fine-tuning.
  - iv. Sort evaluation questions according to categories or groups of stakeholders in order to support the planning of information gathering and resource allocation for field work. Identify the questions which could be answered using available documented evidence and without field visits.
  - v. Verify the strength of questions for the adequacy of capturing data and information to serve the purpose of evaluation by undertaking a pilot test.
  - vi. Develop a data collection plan with a realistic timeframe, data source, cost breakdown, ethical requirements (if relevant), human resources, and other resources required.

**Guideline 12: Terms of Reference (ToR) for evaluation**

The ToR of an evaluation is a detailed description of the expectations and requirements identified by the leading entity for commissioning the evaluation, to achieve the purpose and objectives of the evaluation. A wider consultation of stakeholders to understand their expectations is a prerequisite for drafting a comprehensive ToR with all required information and thereby successful implementation of the evaluation.

A properly articulated ToR should contain the purpose of the evaluation, scope, how it will be conducted, utility of evaluation findings,

and the intended users of the findings and recommendations. The quality, relevance and usefulness of the final product of an evaluation will largely be determined by the constructive efforts and time spent on the preparation of the ToR.

**Refer Annex X: Template for Evaluation Terms of Reference**

**Guideline 13: Selection of an Evaluator**

Selection of an evaluator (or team) for external evaluations is the most critical factor for the successful completion of an evaluation.

- In the absence of an adequate number of potential evaluators in the current context of Sri Lanka, informal research about evaluators who have proven records for high-quality evaluations will be helpful.
- The Government procurement procedure should be followed for the selection of an external evaluator. In the case of foreign-funded projects, an agreed procurement procedure should be followed.
- The potential evaluator should possess the following qualifications:
  - i. Formal training on evaluation;
  - ii. Experience that matches with the scope, type, and the approach of the selected evaluation;
  - iii. Experience of conducting evaluations of similar interventions and sectors;
  - iv. Country or regional experience;
  - v. Capacity (knowledge, skills and workforce) to complete the proposed evaluation on-time;
  - vi. Ability to communicate with local people and internal staff and other stakeholders, effectively; and
  - vii. A plan for capacity building (relevant for commission of evaluation).

#### **Guideline 14: Developing the Inception Report**

The Inception Report of an evaluation need to be prepared by the evaluator (Evaluation Team) after an initial review of the relevant documents. It should clearly indicate the road map (evaluation matrix) of the evaluation and how the evaluator engages with the evaluation entity through the Evaluation Manager during the process of evaluation.

**Refer Annex XI: Template for Evaluation Matrix**  
**Refer Annex XII: Template for Inception Report**

#### **Guideline 15: Preparation of the Evaluation Report**

The draft evaluation report should be compiled by the evaluator or evaluation team at the end of the data collection and analysis.

The draft report should be reviewed by the Management Group and the Evaluation Reference Group before preparation of the final report. Members of the Management Group and Reference Group may check the consistency of the contents, recommendations and findings of the draft report against the raw data and summaries after analysis of data for the purpose of verifying the accuracy and reliability of the draft. Therefore, the evaluator should keep the raw data and analysis sheets in a proper order until the entire process of evaluation is completed. Improvements, corrections or amendments suggested by the Management Group and the Reference Group should be accommodated appropriately, when preparing the final evaluation report.

The final report of the evaluation should be logically structured, containing evidence-based findings, lessons and recommendations. It should provide strong rationale for decisions to either continue the intervention in its current form or to take corrective or modifying actions.

The evaluation report should be user friendly in terms of the length and language (free of too much technical jargon), and should be free from irrelevant information for the purpose of evaluation.

**Refer Annex XIII: Template for preparation of the final evaluation report**

#### **Guideline 16: Quality Assurance in Evaluation**

The quality of an evaluation is the crucial factor for ensuring the credibility and utility of evaluation

products (findings, recommendations and lessons). Therefore, quality control should be exercised throughout the evaluation process to score a higher rating at the quality assessment at the end of evaluation and thereby maximize the acceptance and utility of evaluation products. Standards for Evaluation guide the evaluation practitioners to carry out high quality evaluations.

Evaluations should be rated based on Quality Assessment criteria developed in line with the provided Standards for Evaluation.

### **III. Guidelines for evaluation functions linked to the National Level**

#### **Guideline 17: Submission of evaluation proposals to PMMD**

- Public sector institutions wishing to undertake evaluations should submit their proposal to PMMD through the respective line ministry or Provincial Council.
- Evaluation proposals should reach PMMD before the end of February each financial year enabling the selection, recommendation and approval process by the NESC and Cabinet of Ministers.
- All proposals should be prepared using the given format (Annex-XV).
- The following documents should be attached to the proposal enabling decision-making without delay.
  - i. Evaluability Assessment sheet (Annex II)
  - ii. Plan of Actions of the evaluation (Annex III-format for evaluation plan of action)

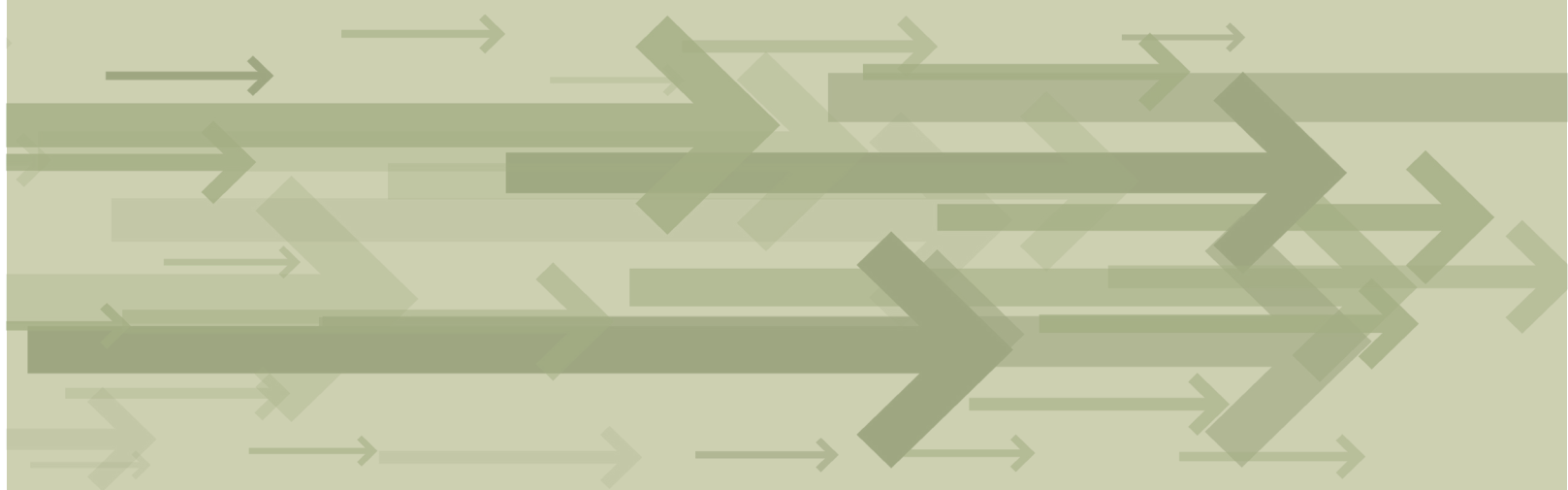
**Refer Annex XV: Format for submission of evaluation proposals to PMMD**

#### **Guideline 18: Prioritization and Short listing of the evaluation proposals for consideration by NESC**

When the number of evaluation proposals exceeds the expected number of evaluations per year (considering the capacity of the country to undertake evaluations) and in order to ensure the proposed evaluations are eligible for allocating resources in the next financial year, the criteria in **Annex XVI will be used by the PMMD and NESC to prioritize and short-list evaluation proposals.**

CHAPTER 5

**STANDARDS FOR  
EVALUATION**



## STANDARDS FOR EVALUATION

Quality of evaluation is the most critical factor in determining the wider acceptance and utilization of products of evaluation (findings, recommendations, and lessons) for learning and improved decision-making. Evaluation standards are intended to enhance the quality of evaluation and promote utility of evaluation products by intended users.

The standards should provide concrete advice on planning and conducting evaluations and guide evaluation capacity building (training) and meta evaluation (evaluation of evaluations). Quality assurance of evaluation throughout the evaluation process by adhering to a set of agreed standards will ensure and enhance the quality of evaluation.

United Nations Evaluation Group (UNEG) evaluation Norms and Standards (2016) have been used as the guiding document in the preparation of following Standards for Evaluation; but these standards are articulated by considering the country context (institutional set-up, evaluation capacity, resource availability, demand for evaluation etc.) in order to ensure the country ownership for standards:

### **Standard 1: Competency in evaluation:**

Individuals engaged in planning, conducting and managing evaluation should be competent to conduct high-quality evaluation adhering to professional standards and ethical and moral principles.

#### **Standard 1.1: Competencies**

- Individuals engaged in activities of any point of the evaluation process should possess the relevant educational qualifications, proven experience, and relevant skills required to carry out the assigned roles and responsibilities; and
- Maintain and improve their competencies continuously.

#### **Standard 1.2: Ethics**

- Individuals engaged in evaluation should adhere to the following key aspects of ethical conduct:
  - i. Considering the utility and necessity of evaluation (purpose and objectives of evaluation to be considered), selecting right mix of expertise and stakeholders in Management Group and ERG to ensure neutrality and impartiality of evaluation;
  - ii. Avoiding any room for conflict of interest at

work; being impartial, independent, honest and accountable;

- iii. Engaging appropriately with participants by according due respect for participants' confidentiality, diversity (ethnic, culture, gender), dignity, and human rights; and
- iv. Ensuring accuracy, reliability and completeness of information, analysis and reporting; by conducting work in a transparent, inclusive and non-discriminatory manner.

### **Standard 2: Institutional Arrangement:**

The institution expecting to conduct evaluations should have an adequate institutional structure for effective management of the evaluation functions.

- The following requirements should be fulfilled by the institution to undertake and manage a high-quality evaluation:
  - i. The top management should understand and support evaluation;
  - ii. Evaluation is included in the action plan of the institution with an approved budget;
  - iii. The evaluation function is considered (by the top management) as an independent function in order to facilitate an impartial evaluation process;
  - iv. The head of the evaluation is permitted/ authorized to liaise directly with the head of the institution (for the purpose of evaluation decision-making);
  - v. There are sufficient and earmarked financial and human resources for evaluation; and
  - vi. There is an arrangement to oversee implementation of actions recommended through management responses.

### **Standard 3: Execution of Evaluation:**

Evaluation should be conducted to ensure timely delivery of high-quality evaluation products in line with the purpose and objectives of the evaluation.

**Standard 3.1: Timeliness:** The evaluation plan, scope and design should ensure that the most relevant, useful and timely information will be provided through the evaluation to fulfill the needs of intended users and support for constructive decision-making processes.

**Standard 3.2: Evaluability Assessment:** An evaluability assessment should be undertaken prior to planning an evaluation, to check the likelihood that an evaluation will provide timely and credible information for decision-making.

**Standard 3.3: Terms of reference:** The ToR should be developed in consultation with the Management Group and ERG to clearly define the purpose, objectives, scope, evaluation criteria, types and approaches (methodology), management arrangements, timeframe and deliverables of evaluation.

**Standard 3.4: Evaluation purpose, objectives and scope:** It is essential to decide on clear, realistic and achievable evaluation purpose, objectives and scope because evaluation purpose provides the rationale of evaluation and how it will be used, and the scope and objectives explain what the evaluation is expected to cover and achieve.

**Standard 3.5: Evaluation methodology:** Methodology should be intended to provide credible answers to the evaluation questions. The methodology should ensure that information collected is valid, reliable and sufficient to meet the evaluation objectives, and the analysis of data is logically coherent and complete (and not speculative or opinion-based).

**Standard 3.6: Stakeholder participation:** It is essential to ensure an adequate level of stakeholder participation throughout the evaluation process. Reference Groups and Management Group should be established as per the guidelines of the NEPIF of Sri Lanka for this purpose.

**Standard 3.7: Selection of an evaluator/team:** A competent evaluator or a team should be selected through an open, transparent process, following relevant procurement guidelines. Evaluator should be selected as per Guideline 13 of Chapter 3 of the NEPIF of Sri Lanka.

**Standard 3.8: Evaluation report and products:** The final evaluation report should be arranged logically with evidence-based findings, conclusions and recommendations, for the convenience of intended users (clear and simple language, accessible mode).

**Standard 3.9: Recommendations:** Recommendations should be derived from findings and clearly based on the evidence (not based on opinions), and should be realistic in terms of implementation.

**Standard 3.10: Communication and dissemination:**

There should be an effective communication and dissemination strategy identified at the planning stage of evaluation. Findings, recommendations and lessons should be disseminated to relevant stakeholders (as stated in Chapter 2: Annual Evaluation Agenda of the NEPIF), for effective feedback and utilization.

**Standard 4: Evaluation Management:**

Functional efficiency and effectiveness of the head of the Evaluation Team as well as adherence to the approved evaluation guidelines are essential for effective management of an evaluation.

**Standard 4.1: Head of the Evaluation Team:** The head of the evaluation team should take prompt actions to ensure the following:

- i. The evaluation plan is implemented as planned, as per the guidelines;
- ii. The evaluation budget is economically and efficiently managed;
- iii. Appropriate evaluation methodologies are adopted;
- iv. Evaluations are conducted with a focus on intended use for key stakeholders/users;

**Standard 4.2: Evaluation guidelines:** Robust and appropriate evaluation guidelines should be in place and the individuals engaged in evaluation should be well aware of how to follow the guidelines.

**Standard 5: Quality Assurance:**

Quality assurance of evaluation is essential throughout the process of evaluation.

**Standard 5.1: Quality Assurance during planning and preparation stage:**

The following quality aspects should be considered in quality assurance:

- i. The Terms of Reference are clear and contain all the necessary elements;
- ii. The scope could be covered within the allocated budget and time, through proposed methodology;
- iii. The methodology is appropriate for achieving the evaluation's objectives;

- iv. The methodology ensures the collection of robust and triangulated data and leads to credible analysis and findings;
- v. The evaluation processes are sufficiently consultative to ensure its relevance and usefulness;
- vi. The evaluation team has an appropriate range of expertise; and
- vii. The process of selecting evaluators should ensure the recruitment of the most suitable candidates, devoid of conflicts of interest and other ethical issues.

**Standard 5.2: Quality Assurance at the final stage:**

The following quality aspects should be considered in quality assurance at the final stage of an evaluation:

- i. Data was collected from reliable and appropriate sources to ensure credibility;

- ii. The findings are based on evidence and appropriate analyses;
- iii. The findings, conclusions and recommendations are logically coherent;
- iv. Stakeholders were sufficiently consulted throughout the process to ensure the evaluation's accuracy, validity, relevance and usefulness;
- v. The recommendations are implementable (applicable) and easy to be understood by responsible parties for implementation;
- vi. Recommendations do not imply negative consequences to subjects outside the scope of the evaluation;
- vii. The report responds to the ToR and answers all evaluation questions; and
- viii. The structure of the final evaluation report adheres to the guidelines.

## CHAPTER 6

# **STRATEGIC APPROACH FOR IMPLEMENTATION OF THE NATIONAL EVALUATION POLICY**



# STRATEGIC APPROACH FOR IMPLEMENTATION OF THE NATIONAL EVALUATION POLICY

The National Evaluation Policy Implementation Framework (NEPIF) provides direction and guidance on how to perform an evaluation in the country at the national, provincial and district level. The success of implementation of NEP is determined by an enabling environment which is strong and empowered in terms of institutional support, evaluation capacity, awareness and support from political and policy decision-makers, access to evaluation information, quality of evaluation, and utilization of evaluation information for planning.

Therefore, it is important to implement a strategic plan which addresses the gaps and issues in the following six strategic areas; in order to create an enabling environment for the successful implementation of NEP:

## Strategic Area 1: Institutionalization of Evaluation

The National Evaluation Policy does not seek a fresh institutional arrangement for its implementation. The existing planning and monitoring units established at all levels of the public sector will have to be strengthened with adequate resources and expertise. Identification of capable individuals within the existing cadre as champions of evaluation, sharing of expertise within the institutional network, allocation of adequate resources (budgeting) for evaluation, and utilization of evaluation findings during planning and budgeting are essential preparatory steps of institutionalization.

## Strategic Area 2: Evaluation Capacity Development (ECD)

Identification of the existing capacity of the public sector institutions (in terms of human resources, knowledge and skills, leadership and physical resources) required to undertake evaluation and fill the gaps in capacity with adequate resources and training would be the main areas of focus.

A comprehensive capacity development programme should be implemented to accommodate training needs of new entrants to the public sector as well as to upgrade the knowledge and skills of the relevant staff in the public sector to undertake or manage evaluations. Training and higher education institutions are encouraged to expand their scope and investment for curriculum on evaluation in order to enhance the local capacity of evaluation with a rich pool of professional evaluators who possess the knowledge and expertise in other subjects and fields.

## Strategic Area 3: Sensitization of policy makers, senior public sector officials and development partners

Since the leadership and patronage of political leaders, commitment of public sector officials (specially the institutional leadership), and development partners are critical factors for the successful implementation of evaluation, the following three conditions have to be fulfilled to realize the purpose of the NEP:

- i. Active involvement and commitment of the senior public sector officials to mainstream evaluation;
- ii. Assistance and commitment of the development partners to undertake evaluations as a general practice in the development process; and
- iii. Acceptance, demand and utilization of evaluation findings by politicians for informed decision-making.

An effective programme has to be implemented to increase the awareness, demand and acceptance for evaluation by the politicians and senior officials of the public sector and strengthen the cooperation of the development partners. Establishment of a community of practice (CoP) through networking of professionals and practitioners would be an effective step to promote evaluation.

## Strategic Area 4: Quality Assurance of Evaluation

The Standards of Evaluation and quality assessment tool introduced in the NEPIF need to be followed and utilized in conducting evaluation in order to maintain the quality of evaluation, and necessary improvements and amendments should be introduced, when required.

## Strategic Area 5: Dissemination, Knowledge Management and Accountability

Dissemination of evaluation findings is an ethical requirement associated with accountability and a requirement under the Right to Information Act No. 12 of 2016. In order to improve the use of evaluation findings in public investments, synthesis of evaluation reports should be distributed among relevant institutions and submitted to the Auditor General and the Cabinet of Ministers, on an annual



basis. The Cabinet of Ministers (based on the recommendations of the NESC) may make decisions regarding the nature and quality of information to be disseminated, mode and frequency of dissemination, and the level of accessibility to information by the general public and key stakeholders.

A web-based Evaluation Information Systems (EIS) should be established to enhance the accessibility to evaluation information which has been reviewed and validated by the NESC and approved by the Cabinet of Ministers. EIS will serve the purpose of a repository of evaluation information as well as a communication and learning platform.

## **Strategic Area 6: Linking evaluation with planning and budgeting**

A strategic approach has to be identified to ensure increased utilization of evaluation findings during planning and budgeting at all levels of the Government. Adherence to the MNPEA/PLN/PI/2019 circular (specially section 15.2 of the Project Submission Format) for the submission of project proposals to the National Planning Department should be a compulsory basic requirement in this regard.

# ANNEXURES



## ANNEX I: TOOL FOR SELECTION AND PRIORITIZATION OF EVALUATION

	Criteria	Description of the criteria	Total eligible score	Actual Score
01	Policy relevance	Scope of selected intervention is clearly and strongly aligned with existing Government policies and priority sectors	15	
02	Relevance	Adequacy of proposed evaluation to address current or future issues and all stakeholder demands to reach sustainable solutions	15	
03	Efficiency	Indication (or availability of evidence) to assure efficient utilization of resources, to deliver the planned outputs	10	
04	Effectiveness	Indication (or availability of evidence) to assure delivery of expected outcomes of the intervention.	10	
05	Sustainability	Possibility of maintaining the deliverables (outputs) and changes in behavior (outcomes) continuously and progressively	10	
06	Feasibility	Possibility of implementation, without major deviations from the originally agreed scope, cost and timeframe (marks should be given based on the objective of the evaluation, i.e. to learn either lessons from failure or success)	10	
07	Potential for replicating and scaling-up	Findings of the proposed evaluation are directly relevant for interventions of a repetitive nature, and will be utilized for planning, improving or re-structuring similar interventions in the future, in the same sector or other sectors*	15	
08	Evaluability	Possibility of undertaking evaluation in a reliable and credible manner (Ref: Guideline No. 02 - Evaluability Assessment)	10	
09	Innovative nature	Entire intervention or a part of it, contains innovative approaches in implementation	05	
Total			100	

\* The Department of National Planning (NPD) is the main user of evaluation findings for the appraisal of new project proposals (Please refer section 15 of the Project Submission Format of the NPD- Annex-XVII). Availability of evaluation information of a past development intervention is greatly helpful for appraisal of a new development project which has similar components and objectives of the past intervention.

## ANNEX II: TOOL FOR EVALUABILITY ASSESSMENT

Key aspect of assessment	Check list to obtain 'Yes' or 'No' answers	Yes	No
Theory of Change *	1. Project, programme, policy or institution has clear programme theory, which explains why it should exist/existed.		
	2. Project, programme, policy or institution has a log frame with monitorable performance indicators.		
	3. Project, programme, policy or institution has clearly defined goals and objectives.		
	4. Goals and objectives are achievable, with intended and unintended benefits.		
	5. Project, programme, policy or institution generates realistic and measurable outcomes.		
% 'Yes' and 'No'			
Availability of key information relevant for evaluation	1. Baseline data (relevant to the intervention) available		
	2. Project document / appraisal report / any supporting document with relevant information available		
	3. Regular monitoring and progress data available		
	4. Minutes of meetings available		
	5. Field/site visit reports available		
	6. Financial reports (budget & revisions) available		
% 'Yes' and 'No'			
Conduciveness of context	1. Timing of the evaluation appropriate (evaluation will be useful if conducted during proposed time frame)		
	2. Institutional (leadership) support is available for evaluation in terms of resource allocation, positive communication and learning through evaluation		
	3. Political situation will not hinder the evaluation		
	4. Environmental (weather) conditions are appropriate to conduct evaluation		
	5. Security situation is supportive for field work		
	6. Key stakeholders/informants/beneficiaries are available at the field		
	7. Adequate budget and other resources are secured for evaluation		
% 'Yes' and 'No'			

- If each of the above 03 aspects scores 50% or more 'Yes' answers, it is considered as an evaluable project, programme, policy or institution.

\* If the Theory of Change and log frame of the project, programme or policy is not available at the evaluation stage or not prepared at the planning stage, a decision could be reached to develop them based on the details in the project document for the purpose of evaluation.

- Some items of the above checklist may not be applicable for ex-ante evaluation (for example, some key information may not be available for ex-ante evaluation). In such situations those items should not be considered for scoring.

## ANNEX III: MAJOR TYPES OF EVALUATION

Type	Purpose	Stage	Use
Ex-ante evaluation	<ul style="list-style-type: none"> <li>To obtain strategic information to justify and choose the best option and approach of future interventions.</li> <li>To identify the best alternative to yield the greatest benefits out of an investment.</li> </ul>	At the design or planning stage of a new intervention.	<ul style="list-style-type: none"> <li>Designing and planning highly feasible, implementable and sustainable interventions</li> </ul>
Formative evaluation	<ul style="list-style-type: none"> <li>To improve the quality of the intervention which is being developed.</li> </ul>	Early stage of development of the intervention; When an existing intervention is being modified.	<ul style="list-style-type: none"> <li>Improve and change the scope and implementation methodology of the intervention.</li> <li>Refine or improve the projects, programmes and policies in the mid-course of implementation.</li> </ul>
Mid-term/ on-going/ implementation evaluation	<ul style="list-style-type: none"> <li>To ensure that project/ programme/ policy is heading towards its goals and objectives.</li> <li>To check the validity of programme theory/ theory of change of an intervention.</li> </ul>	During the implementation of an intervention.	<ul style="list-style-type: none"> <li>Identify and address implementation issues.</li> <li>Refine or modify programme theory to increase the efficiency and effectiveness in results delivery.</li> </ul>
Ex-post (summative) evaluation	To compare the outputs and immediate outcomes at the baseline and at completion.	Immediately after the completion of implementation.	Learn lessons for planning and implementation of future interventions to generate sustainable outcomes.
Process evaluation	<ul style="list-style-type: none"> <li>To determine to what extent the activities of an intervention are implemented as planned.</li> <li>To understand the level of effectiveness of processes and procedures in project/ programme delivery.</li> </ul>	During the implementation of an intervention.	Adjust, modify or introduce procedures and processes for improved efficiency and effectiveness in results delivery (based on early warnings derived from evaluation).
Outcome evaluation	To understand the changes of a status and behavior, attitudes and practices (intended and unintended) of beneficiaries / target population.	After completion of interventions (at an appropriate time to measure expected behavioral changes).	Learn lessons for planning and implementation of future interventions to generate more tangible and sustainable outcomes.
Impact Evaluation	To determine the overall achievement of the ultimate goals of an intervention.	After completion of intervention (at pre-determined time intervals after completion; after confirming the prevalence of outcomes).	Decision-making for policies and resource allocation (based on the proven success or failure of an intervention).
Institutional evaluation	To assess to what extent the existing institutional arrangements and operational systems contribute to delivery of expected services and products of an institution	During the operations (at pre-determined time intervals)	Decision-making for restructuring or upgrading institutional arrangements and operational systems.

## ANNEX IV: APPROACHES FOR EVALUATION

Evaluator & approach	Rationale	Advantages	Challenges
<b>1. Independent (External) Evaluation</b>			
<p>An individual or group who is/are not involved in planning or implementation undertakes evaluation. Evaluator is selected through the government procurement procedure; in the case of foreign funded projects, an agreed procurement procedure is followed.</p>	<ul style="list-style-type: none"> <li>• Non-availability of required expertise within the project, programme or institution to be evaluated.</li> <li>• Need of more objective assessment.</li> <li>• Scope of evaluation is broad and covering many aspects requiring extensive field work.</li> </ul>	<ul style="list-style-type: none"> <li>• Unbiased and objective assessment.</li> <li>• Optimum utilization of required expertise.</li> <li>• Greater access to information by external evaluator (easy to obtain genuine feedback from beneficiaries).</li> </ul>	<ul style="list-style-type: none"> <li>• Hiring of expensive external evaluators.</li> <li>• Difficulties in collaboration and communication (difficult to build up relationships with beneficiaries without the support of project team or third party).</li> <li>• Risk of low level of acceptance of findings by beneficiaries.</li> <li>• Process of evaluation does not support quick decision-making (comparatively lengthy process).</li> </ul>
<b>2. Self (Internal) evaluation</b>			
<p>Institution responsible for planning or implementation (or both) of the intervention undertakes evaluation. Available resources of the institution are utilized. Institutional capacity building and awareness creation with the support of external experts may be required as a preparatory arrangement to ensure the success of evaluation.</p>	<ul style="list-style-type: none"> <li>• Scope of evaluation is not broad; limited to a few aspects.</li> <li>• Possibility of utilization of institutional memory and capacity for completion of evaluation.</li> <li>• Limitations in funding for evaluation through a hired external evaluator.</li> </ul>	<ul style="list-style-type: none"> <li>• Improvement of institutions' evaluation capacity.</li> <li>• Increased engagement of internal staff (volunteering).</li> <li>• Speedy completion which supports quick decision-making.</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of objectivity due to potential bias (tendency of not considering own mistakes).</li> <li>• Inadequacy in expert inputs (depends on the internal evaluation capacity).</li> <li>• Difficulty in obtaining genuine feedback from beneficiaries (beneficiaries' preference to express their views independently with a third-party).</li> </ul>
<b>3. Joint evaluation</b>			
<p>More than one entity jointly undertakes the evaluation. Merging and sharing of resources and responsibilities of the process of evaluation and combining their findings to create a comprehensive single evaluation report are the common features of this approach (PMMD and ERD must be members of the Management Group of the evaluation when evaluating foreign funded projects).</p>	<ul style="list-style-type: none"> <li>• Scope of the evaluation is broad and covers various cross-cutting issues and themes.</li> <li>• Purpose of the evaluation is to address issues related to sensitive or controversial sectors or policies.</li> <li>• Two or more parties are interested in merging resources and sharing responsibility for joint learning.</li> <li>• Project or programme implemented through co-financing with shared responsibility for deliverables and outcomes by all funding partners.</li> </ul>	<ul style="list-style-type: none"> <li>• Greater objectivity, transparency and legitimacy of evaluation, through joint working.</li> <li>• Peer learning and mutual capacity development.</li> <li>• Cost-sharing.</li> <li>• Enhance coordination and networking.</li> <li>• Cost reduction owing to lower number of evaluations and minimizing overlaps.</li> <li>• Greater credibility and ownership of findings and recommendations.</li> </ul>	<ul style="list-style-type: none"> <li>• Complex nature of coordination and decision-making which causes extra cost (for meeting, communication and travelling).</li> <li>• Requires more time due to complexity in process.</li> </ul>

Evaluator & approach	Rationale	Advantages	Challenges
<b>4. Participatory evaluation</b>			
<p>Stakeholders and beneficiaries (and affected parties) of a project, programme or policy conduct evaluation. All participants actively engage in all phases of evaluation while the cost of evaluation is borne by the implementing agency or funding agency (for foreign funded projects). The process to be designed to honor views, preferences and decisions of all participants, irrespective of whether they are benefitted or affected.</p>	<ul style="list-style-type: none"> <li>Participatory evaluation is agreed or committed to at the planning and designing stage, as a strategy of transfer of skills to the beneficiary community for empowering the community.</li> <li>Misunderstanding and disagreement among some groups of beneficiaries over the project/ programme were reported during implementation.</li> <li>Evaluation results are not an urgent requirement (validity of evaluation findings is more important than time spent for evaluation).</li> <li>Gathering of some essential information for the evaluation by an external team is difficult (only beneficiaries can gather genuine information of their own community).</li> </ul>	<ul style="list-style-type: none"> <li>Greater ownership and credibility for evaluation findings.</li> <li>Build trust and confidence between beneficiaries and implementing agencies.</li> <li>Enhance creativity in reporting and reliability of findings.</li> <li>Promote evaluation culture at the community level.</li> <li>Enhance evaluation capacity of the country.</li> <li>Widen and strengthen collaboration and networking.</li> </ul>	<ul style="list-style-type: none"> <li>Process requires more time than other modes of evaluation (for coordination, communication, decision-making and conducting).</li> <li>Establishment of trust and evaluation capacity of all participants.</li> <li>Ensuring all participants are involved adequately (avoid unhealthy domination by individuals or groups).</li> <li>Maintaining 'group spirit' and expected level of commitment of all participants throughout the process.</li> <li>Managing conflicts among participants which could hinder the success of evaluation.</li> </ul>

## ANNEX V: OECD / DAC CRITERIA FOR EVALUATION

Criteria	Definition	Scope of analysis	Key questions to be answered
Relevance	The extent to which the objectives and design of the selected intervention respond to beneficiaries' global, national, and institutional needs, policies and priorities and continue to do so if circumstances change.	<ul style="list-style-type: none"> <li>Relevance of the intervention design intervention to cater to the needs of target groups.</li> <li>Relevance of the intervention's objectives throughout the life of the intervention and in the future.</li> <li>Alignment with national and sectoral policies.</li> <li>Compatibility of the project design with the Theory of Change.</li> </ul>	<ul style="list-style-type: none"> <li>To what extent does/did the intervention serve the needs, expectations and priorities of beneficiaries?</li> <li>To what extent is the intervention still relevant (socially, economically and environmentally)?</li> <li>To what extent have the objectives of the intervention proven to have been appropriate throughout its life and after?</li> </ul>
Coherence	The compatibility of the selected intervention with other interventions in a country, sector or institution.	<ul style="list-style-type: none"> <li>Context specific factors influencing design and implementation of the intervention (specific factors that emerged due to prevailing context).</li> <li>Linkages between the intervention selected for evaluation and other parallel interventions with similar objectives.</li> </ul>	<ul style="list-style-type: none"> <li>To what extent is this intervention consistent with local (national) context?</li> <li>To what extent is this intervention consistent with the regional and global context? <ul style="list-style-type: none"> <li>o what extent is this intervention consistent with other interventions which have similar objectives?</li> </ul> </li> </ul>
Effectiveness	The extent to which the selected intervention achieved, or has the potential to achieve, its objectives and its results.	<ul style="list-style-type: none"> <li>Achievement of objectives of intervention (or likelihood of achievement).</li> <li>Key outcomes (negative &amp; positive, intended &amp; unintended).</li> <li>Influence of key outputs on behavioral changes of different groups of stakeholders.</li> <li>Factors supporting or hindering the achievements.</li> </ul>	<ul style="list-style-type: none"> <li>To what extent is/did the intervention achieving/ achieve the intended outcomes, in the short, medium and long term?</li> <li>To what extent are the outputs and outcomes contributing to meeting the objectives of the intervention? What are the quantitative and qualitative effects of the intervention?</li> </ul>



Criteria	Definition	Scope of analysis	Key questions to be answered
Efficiency	The extent to which the selected intervention delivers, or is likely to deliver, results in and economic and timely way.	<ul style="list-style-type: none"> <li>• Cost per unit of outputs.</li> <li>• Compliance of delivery time with agreed timeframe.</li> <li>• Comparison of different modes of delivery, systems and institutional arrangements.</li> </ul>	<ul style="list-style-type: none"> <li>• Do the outputs and outcomes represent value for money?</li> <li>• To what extent are the costs associated with the intervention proportionate to the value of benefits it has generated?</li> <li>• What are the possible factors influencing the intervention's efficiency? To what extent do these factors influence the efficiency of the intervention?</li> <li>• If there are significant differences in costs (or benefits) at different geographical locations, with different target groups or at different time intervals, what are the causes of the differences? How do these differences link to the intervention?</li> <li>• To what extent was timely monitoring and reporting performed under the intervention?</li> </ul>
Impact	The extent to which the intervention has generated, or is expected to generate, significant positive or negative, intended or unintended, higher-level effects.	<ul style="list-style-type: none"> <li>• Positive and negative, direct and indirect long-term effects of intervention.</li> <li>• Intended and unintended widespread effects.</li> <li>• Cross-cutting nature of wider effects (social, environmental, economic, political, cultural etc.).</li> </ul>	<ul style="list-style-type: none"> <li>• What were the effects of the intervention on the living status of beneficiaries?</li> <li>• Has any specific part of intervention resulted in greater impact than another part of it?</li> <li>• Are there any unintended (positive and negative) effects on beneficiaries or non-beneficiaries?</li> </ul>
Sustainability	The extent to which the net benefits of the intervention continue, or are likely to continue.	<ul style="list-style-type: none"> <li>• Continuation of changes resulted through intervention.</li> <li>• Systems, processes, institutions established and recognized by beneficiaries.</li> <li>• Integration of elements of the intervention into national systems and processes.</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent are the systems, procedures, processes, institutions and practices introduced through the intervention maintained at the same level at completion, or improved?</li> <li>• To what extent do the implementation arrangements of the intervention consider the sustainability of elements of the intervention?</li> <li>• What are the factors behind the lack of sustainability in some elements (or the entire intervention)?</li> </ul>



## ANNEX VII: TEMPLATE FOR TERMS OF REFERENCE OF MANAGEMENT GROUP

**1. Title of Evaluation:**

.....  
.....

**2. Background information of the intervention selected for evaluation** [name, total cost, duration of implementation, stage of implementation, main components, key outputs, expected outcomes, objective, coverage in terms of geographical area and beneficiaries etc.]:

.....  
.....

**3. Purpose and Objectives of Evaluation:**

.....  
.....

**4. Purpose of the Management Group** [oversee, decision-making, ensure quality etc.]:

.....  
.....

**5. Members of the of Management Group:**

.....  
.....

**6. Responsibilities of Management Group:**

.....  
.....

**7. Meetings of Management Group** [how often, venue, mode of meeting, mode of communication etc.]:

.....  
.....

## ANNEX VIII: TEMPLATE FOR TERMS OF REFERENCE OF EVALUATION REFERENCE GROUP

**1. Title of Evaluation:**

.....  
.....

**2. Background information of the intervention selected for evaluation** [name, total cost, duration of implementation, stage of implementation, main components, key outputs, expected outcomes, objective, coverage in terms of geographical area and beneficiaries etc.]:

.....  
.....

**3. Purpose and Objectives of Evaluation:**

.....  
.....

**4. Purpose of the Reference Group** [advisory support with technical inputs on process and documentation etc.]

.....  
.....

**5. Members of the Reference Group:**

.....  
.....

**6. Functions of Reference Group:**

.....  
.....

**7. Meetings of Reference Group** [how often, venue, mode of meeting, mode of communication etc.]:

.....  
.....

## ANNEX IX: TEMPLATE FOR ACTION PLAN

Main Activity	Sub activity	Start Date	End Date	Estimated cost (Rs.)	Outputs	Key Performance Indicator	Measuring Unit	Responsibility
1. Planning	1.1 Selection of project programme, policy or institution for evaluation							
	1.2 Deciding on evaluation type and approach and scope							
	1.3 Preparation of the concept note on the selected evaluation for internal awareness and approval							
	1.4 Obtaining approval of the Head of the Institution							
2. Preparation	2.1 Evaluability Assessment							
	2.2 Preparation of cost estimate and evaluation plan							
	2.3 Obtaining approval of the NESG							
	2.4 Identifying and engaging stakeholders							
	2.5 Establishment of Evaluation Management Group (to oversee evaluation)							
	2.6 Establishment of Evaluation Reference Group							
	2.7 Development of Terms of Reference for the evaluation							
3. Execution	2.8 Selecting an evaluation team/firm							
	3.1 Inception meeting							
	3.2 Preparation of Inception Report and approval of inception report							
	3.3 Data Collection							
4. Reporting	3.4 Data analysis and Interim report							
	4.1 Draft report							
5. Dissemination and communication	4.2 Stakeholder review of draft report preparation							
	4.3 Preparation of the final Report							
	5.1 Dissemination of evaluation report							
	5.2 Handling management responses							

\*This template contains only the major activities in a formal process of an evaluation.

# ANNEX X: TEMPLATE FOR TERMS OF REFERENCE OF EVALUATION

**1. Title of evaluation:**

.....  
.....

**2. Background and description of the proposed intervention for evaluation** [The following information of the intervention to be included: overview, main components and cost of each component, key outputs, coverage (geographical coverage and target population), time frame etc.]

.....  
.....

**3. Purpose of evaluation** [Describe the purpose in terms of learning, accountability, decision-making etc., expected usage, and intended users]:

.....  
.....

**4. Scope of evaluation** [Geographical coverage and target population of evaluation, indicate whether it covers components or the entire intervention, organizational set up, implementation arrangements, policy context, timing, and limitations]:

.....  
.....

**5. Key evaluation questions** [List key questions specific for evaluation of the selected intervention, in line with evaluation criteria]:

.....  
.....

**6. Evaluation design** [Indicate whether it is a self-evaluation or external evaluation; indicate whether it is a participatory or joint evaluation and how to ensure stakeholder participation; appropriate tools and techniques; justify how the selected design ensures achievement of the purpose of the evaluation]:

.....  
.....

**7. Methodology** [Describe approach and methods of data collection, communication, stakeholder consultation, data analysis, review of draft report and findings, preparation and presentation of final report etc.]

.....  
.....

**8. Management structure of evaluation** [Describe the management structure of evaluation headed by an evaluation Manager and staff for its specific roles and responsibilities. Show how the Steering Committee and Reference group establish interactions with the internal management group]:

.....  
.....

**9. Quality assessment of evaluation** [Attach the check list (Using the tool in Annex XIV) suitable for quality control of evaluation]:

.....  
.....

**10. Time schedule and deliverables**

.....  
.....

**11. Evaluation team**

.....  
.....

**12. Financial and human resources**

.....  
.....

## ANNEX XI: TEMPLATE FOR EVALUATION MATRIX

Evaluation Criteria	Key Questions	Sub questions	Data Collection Method	Data Source / means of verification	Assumptions & Limitations



# ANNEX XII: TEMPLATE FOR EVALUATION INCEPTION REPORT

- 1. **Title of the Evaluation:**  
.....  
.....
  
- 2. **Brief description of the Intervention:**  
.....  
.....
  
- 3. **Purpose and Objectives of Evaluation:**  
.....  
.....
  
- 4. **Summary of Results of Evaluability Assessment:**  
.....  
.....
  
- 5. **Deliverables with Timeline:**  
.....  
.....
  
- 6. **Evaluation Matrix (Annex):**  
.....  
.....
  
- 7. **Evaluation Methodology** (Methodology of communication, sampling, data collection, data analysis, reporting etc.):  
.....  
.....
  
- 8. **Work Plan (Annex):**  
.....  
.....
  
- 9. **Attachments:**
  - i. Draft data collection formats
  - ii. Terms of Reference of evaluation



## ANNEX XIII: TEMPLATE FOR PREPARATION OF THE EVALUATION REPORT

**1. Title Page:**

.....  
.....

**2. Executive Summary** [This section should be limited to 4-5 pages. Include a short description of the evaluated intervention, main findings, conclusions, recommendations and lessons]:

*[The main body of the report should not exceed 25-30 pages, excluding annexes and; it should include relevant maps, graphs, pictures etc.]*

.....  
.....

**3. Introduction** [This section should include: a brief description of the evaluated intervention, background and purpose of the evaluation, context of evaluation (social, economic and policy environment), and composition of the evaluation team with their qualifications and expertise]:

.....  
.....

**4. Evaluation scope** [Indicate geographical coverage and target population of evaluation; indicate whether it covers components or entire intervention; organizational set up; implementation arrangements; timing; and limitations]:

.....  
.....

**5. Evaluation methodology** [Methodology of communication, sampling, data collection, data analysis, reporting etc.]:

.....  
.....

**6. Limitations to the evaluation** [major constraints that had an impact on the evaluation process and how those limitations were overcome]:

.....  
.....

**7. Findings** [This is the most detailed section of the report and its contents should be based on facts, proven by evidence from several sources. All questions per criteria (same as inception report) should be included, followed by the key findings relating to the questions. Findings should provide a base for recommendations and lessons. Relevant maps, graphics, statistics, pictures etc. should be included if necessary]:

.....  
.....

**8. Conclusions** [All conclusions should be drawn based on findings. Conclusions should point out the factors of success and failure of the evaluated project, with special emphasis on intended and unintended results]:

.....  
.....

**9. Recommendations** [Recommendations should be clearly derived from findings and conclusions. This section should provide clear, useful, time-bound and actionable recommendations aiming to increase the utility of the evaluation report for better performance and sustainability of evaluated interventions and similar interventions in the future. The number of recommendations should be manageable for the specific group of stakeholders to take action (maximum 10-12)]:

.....  
.....

**10. Lessons Learned** [This section should highlight what works and what does not; success stories that should be repeated; and areas in which improvements are possible for better results. It is necessary to focus on the most important lessons which highlight the strengths and weaknesses in planning, design and implementation and are also applicable to other future interventions]:

.....  
.....

**11. Annexes:**

- i. Terms of Reference
- ii. List of reviewed documents
- iii. List of institutions and individuals (by category only) interviewed and sites visited
- iv. Questionnaire and Results of data analysis
- v. Report of quality assurance (based on the checklist for quality assurance)
- vi. Descriptive list of findings and recommendations

## ANNEX XIV: TOOL FOR QUALITY ASSESSMENT OF EVALUATION

Standard	Quality Assessment Checklist (Key consideration)	Status of compliance		Remarks
		Yes	No	
Competency in evaluation	1. Evaluator possesses all required educational and professional qualifications			
	2. Evaluation Team has right combination of professionals and experts			
	3. Evaluator possesses required experience			
	4. Evaluator has future plans for capacity building and training (in terms of evaluation)			
	5. Evaluator has proven records of professional conduct of evaluation			
	6. Members of Management Group possess required level of educational and professional qualifications, experience or exposure			
	7. Members of Reference Group possess adequate knowledge about and involvement in the intervention selected for evaluation			
Institutional Arrangement	1. The top management have an understanding of and support for the evaluation			
	2. Evaluation is included in the action plan of the institution with an approved budget			
	3. The evaluation function is considered independent of other management functions			
	4. The head of evaluation is permitted/ authorized to report directly to the head of the institution			
	5. There are sufficient and secured financial and human resources for evaluation			
	6. There is a mechanism to oversee implementation of actions recommended through management responses			
Execution of Evaluation	1. The evaluation plan, scope and design are realistic and adequate to deliver useful and timely information			
	2. An evaluability assessment has been conducted			
	3. The Terms of Reference are comprehensive and prepared according to the guidelines			
	4. Purpose and objectives of the evaluation are clear, realistic and achievable			
	5. Methodology of evaluation is adequate to provide credible answers to the evaluation questions			
	6. Evaluation Management Group and Reference Group are established and have engaged in the evaluation process actively			
	7. Evaluator has been selected through a transparent and open process (relevant procurement process followed)			
	8. Final evaluation report is logically presented and contains all relevant evidence, findings, recommendations and lessons			
	9. Final evaluation report is easy to understand and accessible by users			

Standard	Quality Assessment Checklist (Key consideration)	Status of compliance		Remarks
		Yes	No	
Execution of Evaluation	10. Recommendations of final evaluation report are implementable			
	11. There is an effective communication and dissemination strategy identified at the planning stage of evaluation and in practice			
Evaluation Management	1. The evaluation plan is implemented as planned, as per the guidelines			
	2. The evaluation budget is efficiently managed			
	3. Appropriate evaluation methodologies are adopted			
	4. Evaluations are conducted with a focus on intended use for key stakeholders/users			
	5. Evaluation findings, lessons and recommendations are summarized and disseminated among relevant users			
	6. An adequate follow-up mechanism is in place on the implementation of actions related to management response			
Quality Assurance	1. The terms of reference are clear and contain all the necessary elements			
	2. The scope could be covered within the allocated budget and time, through the proposed methodology			
	3. The methodology is appropriate to achieving the evaluation's objectives			
	4. The methodology facilitated collection of robust data and led to credible analysis and findings			
	5. The evaluation processes were sufficiently consultative			
	6. The evaluation team has an appropriate range of expertise			
	7. Process of selecting evaluators allowed to select the best candidate, without any ethical issues.			

- **Instructions for application of the Tool:** All items in the checklist may not be relevant for assessment of the quality of evaluation. In such instances, it should be noted with reason in the remarks column without selecting any status of compliance.
- **Overall assessment:** in order to consider an evaluation is at acceptable quality:
  - At least 50% of all items of the checklist should be complied with; or
  - More than 65 % of relevant items should be complied with.

## ANNEX XV: SUBMISSION FORMAT

Proposal for undertaking evaluation of ..... Project/ Programme/ Policy/ Institution

**1. Ministry/ Provincial Council/ Institution (proponent):**

.....  
 .....

**2. Details of the proposed project/ programme/ policy/ institute:**

.....  
 .....

**2.1 Name of the proposed project/ programme/ policy/ institute:**

.....  
 .....

**2.2 Estimated cost of implementation** (only for projects, programmes and policies) / Annual Budget (only for the Institutions):

2.2.1 Capital: Rs.....

2.2.2 Recurrent: Rs.....

Period	From (Month & year)	To (Month & year)
Planned		
Actual		

2.3 Recurrent: Rs..... Actual Cost of Implementation .....

**2.4 Period of implementation** (relevant for projects, programmes and policies):

.....  
 .....

**2.5 Main components of the project, programme, policy** (or main functions of the institution):

Main component / programmes (of institution)	Estimated Cost (Rs.) *

\* for institutions, this is annual budget for each programme

**2.6 Purpose of the project, programme, policy, institution:**

.....  
.....

**2.7 Goals of the project, programme, policy, institution:**

.....  
.....

**2.8 Outcomes of the project, programme, policy, institution:**

.....  
.....

**2.9 Outputs of the project, programme, policy, institution:**

.....  
.....

**2.10 Implementing agency/ agencies (for projects, programmes and policies):**

.....  
.....

**2.11 Geographical coverage (all island/ provinces/ districts/ D.S. Divisions/ G.N. Divisions / other)**

**2.12 Beneficiaries and benefits:**

Category of beneficiaries (with expected numbers)	Description of benefits

**3. Current status of Implementation of the project/ programme/ policy/ institution (Planning/ appraisal/ implementation/ completed):**

.....  
.....

**4. Details of proposed evaluation:**

.....  
.....

**4.1 Type of evaluation (refer Chapter 4 of NEPIF):**

.....  
.....

**4.2 Approach of evaluation (refer Chapter 4 of NEPIF):**

.....  
.....

**4.3 Evaluation criteria:**

Criteria	Key evaluation questions

**4.4 Purpose of evaluation:**

.....  
.....

**4.5 Objectives of evaluation (describe the expected findings):**

.....  
.....

4.5.1. Expected findings

.....  
.....

4.5.2. Expected utility of findings:

.....  
.....

**4.6 Rationale for selection of this evaluation out of other similar proposals (justify with scores obtained against the selection criteria as below):**

	Selection Criteria	Total eligible score	Actual Score
01	Policy relevance		
02	Size of investment		
03	Relevance		
04	Efficiency		
05	Effectiveness		
06	Sustainability		
07	Feasibility		
08	Potential for replicating and scaling-up		
09	Evaluability		
10	Innovative nature		
<b>Total score</b>			

**4.7 Results of the evaluability assessment** (Attach the detailed evaluability assessment in Annex II):

Key aspect of assessment	From (Month & year) % of 'Yes' answers	To (Month & year) Remarks (if any)
Theory of Change		
Availability of key information		
Conduciveness of context		

**4.7.1 Stakeholder Analysis** is completed:

Yes	
No	



**4.7.2 Roles and responsibilities of stakeholders in the evaluation**

Category of stakeholders/ beneficiaries/ other participants	Roles and responsibilities in the process of evaluation

**4.6 Total cost of the proposed evaluation:** Rs.....  
 (Attach the detailed cost estimate)

**4.9 Duration of the proposed evaluation:** ..... Months  
 (Attach the Plan of Actions of evaluation in prepared in the Annex III)

The above-mentioned evaluation of .....project/ programme/ policy/ institution is approved at the institutional level and submitted herewith to seek the approval of the National Evaluation Steering Committee.

.....  
 Signature of the Head of the Institution

Date:

## ANNEX XVI: CHECKLIST FOR PRIORITIZATION AND SHORT-LISTING OF EVALUATION PROPOSALS AT NESC

Tool for prioritization and Short listing of evaluation proposals for the consideration of NESC						
#	Criteria	Score*	Priority			
			High	Medium (can wait for next year)	Low (need to improve the proposal)	Not qualified
01	Score obtained in Evaluability Assessment					
02	Score obtained as per the selection criteria					
03	Expected utilization (whether the purpose of evaluation is strongly focused on usage of evaluation findings in the future)					
04	Comprehensiveness of proposal (quality of description, purpose, objectives, scope, action plan, cost estimate etc.)					
05	Possibility of funding for evaluation					
06	Level of focus on stakeholder participation					
07	Institutional capacity for managing evaluation (leadership, available resources)					
Total score						

\*100 marks could be allocated for each criterion. The priority level should be determined as follows:

- 176-100 - High
- 75-51 - Medium
- 50 - 26 - Low
- 0 - 25 - Not qualified

**Criteria for Overall Assessment:** (to select the high priority evaluations for conducting immediately):

- i. All criteria should be at high or medium priority level
- ii. Overall marks obtained should not be less than 75% of total marks (at least 525 total marks should be obtained)

## ANNEX XVII: PROJECT SUBMISSION FORMAT OF THE NPD

**1. Project Title:**

.....  
 .....

**2. Sector:**

.....  
 .....

**3. Project Location:**

Province/s	District/s	DS Division/s	GN Division/s

**4. Land requirement for the Project (if relevant):**

.....  
 .....

4.1 What is the total area / extent of land required for the project?

.....  
 .....

4.2 Has the land been identified? If so, please mention the location of the land

.....  
 .....

4.3 Ownership details of the land

No.	Ownership	Extent (ha)
1	The land owned by the implementing agency	
2	The land owned by other government agencies	
3	Private land	

4.4 Does the proposed land need to be purchased or acquired?

.....  
 .....

4.5 Please state the cost of land if it is to be purchased/ acquired?

.....  
 .....

**5. Project Preliminary Activities:**

Item	Yes	No	Not Necessary
Pre-Feasibility			
Feasibility			
Detailed Design			
Strategic Environmental Assessment (SEA)			
Initial Environmental Assessment (IEE)			
Environmental Impact Assessment (EIA)			
Disaster Risk Assessment			
NBRO Clearance (If necessary)			
Archeological Clearance (If necessary)			
Land Clearance from relevant parties			
Social Impact Assessment			
Other (specify)			

*Note: If above reports are available, please attach.  
NBRO: National Building Research Organization*

*Note: \* Guidelines for filling this format are stated in the attached Operational Manual*

**6. Project Objectives:**

- Objective i.  
.....
- Objective ii.  
.....
- Objective iii.  
.....

**7. Rationale of Project:**

- 7.1 Specific problems and needs to be addressed by project  
.....  
.....
- 7.1.1 What is the problem, need or the existing gap/ deficiency?  
.....  
.....

7.1.2 What are the root-causes, underline causes and immediate causes that contribute for the problem or the need that the project intends to address?

.....  
 .....

7.1.3 How does this project contribute to fulfill the existing gap in the sector?

.....  
 .....

7.1.4 Mode of intervention of this project in addressing the gap?

.....  
 .....

7.1.5 Other alternative modes of interventions, if any.

.....  
 .....

7.2 Target beneficiaries

Type of Beneficiaries	No. of beneficiaries	Gender Ratio
Direct		
i.		
ii.		
Indirect		
i.		
ii.		

**8. Relationship of the Project to National Policies and Strategies:**

8.1 Relationship of project to National Policy Framework

8.1.1 Policy elements of the Framework most relevant to the project

.....  
 .....

8.1.2 Contribution that can be made from the project to each of the above mentioned policy elements

.....  
 .....

8.2 Relationship to the Sectoral Master Plan (of the Ministry, sub-sector or the sector)

.....  
 .....

8.2.1 Details of the relevant sectoral master plan approved by the Cabinet of Ministers

.....  
 .....

8.2.2. Has the project been included as a high priority project to the master plan? (Yes/No). If not, reasons for non-inclusion and submission of the project proposal

.....  
 .....

8.2.3 Has the project been included as a project to the master plan? (Yes/No). If not, reasons for non-inclusion and submission of the project proposal

.....  
 .....

8.3. What is the sector strategy relevant to the project?

.....  
 .....

**7. Coordination with Stakeholders and Partners for Implementation of the Project:**

Name of the agency	Nature of Intervention	Current status of intervention	Does the proposed project include this development activity? (Yes/No)
Stakeholders			
Partners			

*Stakeholders - Individuals, people, organizations or groups who can influence the implementation of the Project or achievement of its result. Stakeholders may include: Project clients and non-beneficiaries from the target group, those who can influence the decisions of the Project, project/ministry staff associations; those with an interest in the Project (advocacy group, central agencies); and those who are adversely or unintentionally affected by the Project.*

*Partner: The partner is the parties who join the executor in implementing the Project. The partners often undertaken some components of the Project. E.g. Ministry of Health (MoH) in a Rural Water Supply Project where MoH implements the health and hygienic education component of the Project.*

## 10. Project Impacts, Outcomes and Outputs/ Results Framework of the Project/ Performance Framework of the Project:

### 10.1 Project Impacts

<b>Economic</b>	<i>ex:- No. of Jobs created/ Export Import volume/ increase in production / foreign exchange savings</i>
<b>Environment</b>	<i>ex:- Emission reduction</i>
<b>Social</b>	<i>ex:-Poverty reduction/increase of household income</i>

### 10.2 Project Outcomes

No	Outcome	Indicator/ KPI	Unit of Measure	Source of Data	Baseline Data & Year	Targets				
						Y1	Y2	Y3	Y...	Y...
1										
2										
3										
4										
5										

*KPI: Key Performance Indicator*

### 10.3 Project Outputs

No	Output	Indicator/ KPI	Unit of measure	Source of Data	Baseline Data & Year	Targets for project period				
						Y1	Y2	Y3	Y...	Y...
1										
2										
3										
4										
5										

#### 10.4 Planned Activities in Achieving Outputs

*Write the schedule of activities that leads to the achievement of the abovementioned Outputs (If available on different sheet, it can be attached as Annex 1)*

Activities for Output 1	
Activities	Period

Activities for Output 2	
Activities	Period

Activities for Output 3	
Activities	Period

Activities for Output 4	
Activities	Period

Activities for Output 5	
Activities	Period



### 11. Aligning the project objective/s with the Relevant Sustainable Development Goal/s

Sustainable Development Goal/s	Sustainable Development Target/s	Relevance to the SDG		If directly related, measurable indicator/s	Expected contribution to the achievement (%)
		Directly related	Indirectly related		

### 12. Potential Negative Impact on Socio Economic Activities and Environment by the Project

Items	Yes	No	Items	Yes	No
Residences			Rivers/ Streams		
Schools			Lagoons		
Hospitals			Wetlands		
Build-up areas			Mangrove		
Home-gardens			Costal Scrub		
Paddy fields/ farmlands			Watersheds/ Catchment areas		
Other agricultural lands			Scrub forest		
Archaeological sites			Other (Specify)		
Religious places					

*Note: If “Yes” please provide measures that project plans to implement to mitigate these negative impacts*

### 13. Risk and Assumptions:

- i. What are major assumptions?  
.....  
.....
- ii. What are the risks and mitigation measures?  
.....  
.....
- iii. Are these mitigation measures included in project activities? (Please elaborate).  
.....  
.....

**14. Mainstreaming the Disaster Risk Reduction (DRR) in to the Project:**

- i. What are the identified disaster risks, if any?  
.....  
.....
- ii. What are the required mitigation activities/resilience features?  
.....  
.....
- iii. Additional cost required to accommodate the above-mentioned mitigation measures/resilient features (Rs.mn).  
.....  
.....
- iv. What are the socio-economic benefits to be achieved through mainstreaming the DRR?  
.....  
.....

**15. Project Monitoring and Evaluation Plan:**

15.1 Project Monitoring Plan:

Result	Indicator / KPI	Unit of Measure	Source of data	Means of verification	Frequency	Responsibility
Outcomes						
Outcome 1:						
Outcome 2:						
Outcome 3:						
Outputs						
Output 1:						
Output 2:						
Output 3:						
Output 4:						
Output 5:						

15.2 Project Evaluation Plan:

.....  
.....

15.2.1 Whether previous evaluation lessons of similar projects considered in the formulation of the project or not. If yes please describe.

.....  
.....

15.2.2 Please submit On-going/ Ex-post Evaluation Plan with the specified time line for Medium, Large and Mega scale projects, if any.

.....

.....

## 16. Project Budget:

### 16.1 Cost Breakdown

Cost Component	Cost for project period (Rs. Mn)			Total Cost (Rs. Mn)
	Year 1	Year 2	Year 3	
i. Initial project preparation				
ii. Land Acquisition				
iii. Resettlement Activities				
iv. Construction/establishment *				
v. Purchase of equipment *				
vi. Purchase of vehicles *				
vii. Training – Local				
viii. Training – Foreign				
ix. Supervision Consultancy – Local				
x. Supervision Consultancy – Foreign				
xi. O& M and Management				
xii. Tax and duties				
xiii. Disaster risk reduction				
xiv. Mitigatory measures (identified at Item No.12)				
xv. Other (specify)				
<b>Total Cost</b>				

Note: \*Details of the activities should be mentioned in the Table 16.2

## 16.2 Details of the Activities (Construction, Purchase of Equipment and Vehicles)

Activity	Cost (Rs.mn)	No of Units (km, sq mt, no.)	Unit Cost (Rs.)	Standard Cost (Rs.)	
				National	International

*Note: Supportive documents such as Building plans, BOQ, list of equipment, etc should be annexed*

## 17. Financing Plan:

### 17.1 Method of Financing

Financial Source	Amount (Rs. Mn)
Domestic Fund	
External Source - Loan - Grant	
Proponent Funding	
Beneficiary Contribution	
Co-financing (please specify the agency/ source)	
Public Private Partnership (PPP)	
Other (specify)	
Total	

### 17.2 Revenue Forecast

Components	Year 1	Year 2	Year 3	Year ...	Year ...	Total (Rs. mn)

### 17.3 Project Operation and Maintenance Costs after Completion

Components	Source of Funds	Year 1	Year 2	Year 3	Year 4	Year 5	Total (Rs. mn)
Capital							
i.							
ii.							
Recurrent							
i.							
ii.							
Total							

### 18. Resettlement Activities (if applicable):

Component	Number/ Location
Relocation sites identified	
Number of families	
Number of houses	
Other (specify)	

*Note: If the project entails more resettlement activities, in addition to the above- mentioned activities, please specify in detail with cost breakdown.*

### 19. Gender Perspectives:

19.1 Does the project identify any gender gaps? If so describe.

.....  
 .....

19.2 Which project strategies will address the gender imbalance?

.....  
 .....

### 20. Differently Abled Persons Perspectives:

.....  
 .....

20.1 Does the project identify needs of differently abled persons? If so describe the relevant activities (Cost of these activities should be part of the total project cost)

.....  
 .....

**21. Implementation Arrangements:**

21.1. Executing Agency -

.....  
 .....

21.2. Implementing Agency -

.....  
 .....

21.3. Details of Implementation mechanism (E.g. PMU, or implemented by existing agency, steering committees, composition of steering committees, Partnerships / PPPs etc.)

.....  
 .....

21.4. Staff Requirement for the implementation of the project;

Staff Category	No. of Staff			
	National		International	
	Existing	New Recruitments	Existing	New Recruitments
Executive/ Management				
Consultancy				
Technical				
Non-technical				
Other (specify)				

**22. Arrangements for Sustainability, Operation and Maintenance after completion**

Components	Covered by the project		Responsible Agency
	Yes	No	
Operation and Maintenance			
Equipment and Furniture			
Material			
Regulatory mechanism			
Other			

22.1 If not covered by the project, please explain the arrangement plan with the responsible agency for the sustainability.

.....  
 .....

22.2 For Operation and Maintenance of the project after completion (if applicable)

Staff Category	No. of Staff			
	National		International	
	Existing	New Recruitments	Existing	New Recruitments
Executive/ Management				
Consultancy				
Technical				
Non-technical				
Other (specify)				

**23. Findings of the Economic and Financial Analysis:**

- EIRR / FIRR
- ENPV / FNPV
- Payback Period
- Cost Benefit Ratio
- Cost Effectiveness Analysis especially for social infrastructure projects

*Note: Worksheets of the above calculations should be attached along with the proposal*

**24. Applicant's Information:**

24.1 Project Proponent

- 24.1.1 Name of the Agency .....
- 24.1.2 Address .....
- 24.1.3 Phone .....
- 24.1.4 Fax .....

24.1.5 Contact Person 1

- i.) Title : Dr / Rev / Mr / Mrs / Miss
- ii.) Name .....
- iii.) Designation .....
- iv.) Phone .....
- v.) Fax .....
- vi.) E-mail .....

24.1.6 Contact Person 2

i.) Title : Dr / Rev / Mr / Mrs / Miss

- ii.) Name .....
- iii.) Designation .....
- iv.) Phone .....
- v.) Fax .....
- vi.) E-mail .....

24.2 Forwarding Ministry/ Provincial Council

- 24.2.1 Name .....
- 24.2.2 Address .....
- 24.2.3 Phone .....
- 24.2.4 Fax .....

24.2.5 Contact Person1

i.) Title : Dr / Rev / Mr / Mrs / Miss

- ii.) Name .....
- iii.) Designation .....
- iv.) Phone .....
- v.) Fax .....
- vi.) E-mail .....

24.2.6 Contact Person2

i.) Title : Dr / Rev / Mr / Mrs / Miss

- ii.) Name .....
- iii.) Designation .....
- iv.) Phone .....
- v.) Fax .....
- vi.) E-mail .....



# ANNEX XVIII: NATIONAL EVALUATION POLICY OF SRI LANKA

## 1. Introduction

Evaluation is a systematic and objective assessment of policies, programmes, ongoing or completed projects and institutions. Evaluation findings are helpful to determine the relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability of projects, programmes and policies. A National Policy on Evaluation supported by a conducive environment for its implementation ensures: sustainable implementation of policies, programmes and projects; efficient utilization of resources; and evidence-based decision making by incorporating lessons learnt.

## 2. Purpose

Purpose of the NEP is to create an inductive environment for achieving National Development Goals through improved policy-making, planning, budgeting, monitoring, and accountability in implementation.

## 3. Principles of the National Evaluation Policy

The NEP is based on the following principles:

- 3.1 Managing for Development Results will be the guiding principle throughout the development process.
- 3.2 Good governance will be ensured through sharing of evaluation information and utilization of recommendations.
- 3.3 Evaluation Culture will be promoted as an essential precondition for sustainable evaluation.

## 4. Policy Statements

- 4.1 Evaluation will be recognized as the most appropriate learning and feedback mechanism for decision making.
- 4.2 An appropriate institutional arrangement will be created within the existing system to ensure implementation of NEP.
- 4.3 Appropriate tools, scientific methods and information systems will be promoted to enhance professionalism in evaluation.
- 4.4 Joint and participatory approaches in evidence-based evaluation will be promoted for transparency, shared responsibility, reliability and knowledge sharing.

4.5 Capacity building of stakeholders engaged in the implementation of the NEP will be recognized.

4.6 Allocation of adequate resources for evaluation will be acknowledged.

4.7 Evaluation information will be made available in easily accessible modes.

## 5. Goals of the National Evaluation Policy

- 5.1 Enhance evidence-based decision-making and planning.
- 5.2 Ensure relevance, efficiency and effectiveness in resource utilization and sustainability of development results.
- 5.3 Ensure transparency and accountability at all levels of results delivery.
- 5.4 Promote best practices and lessons learnt while minimizing failures and negative impacts of policies, programmes and projects.
- 5.5 Create an evaluation culture in the country.

## 6. Applicability and Scope

This NEP encompasses all policies and all national, provincial and local level programmes and projects that are implemented in Sri Lanka. In respect of donor-funded projects, evaluation guidelines as specified by the donor can be applied in line with national guidelines on evaluation.

## 7. Implementation of NEP

- 7.1 Institutional arrangement and responsibilities:
- 7.2 The Department of Project Management and Monitoring (DPMM) will be the National Focal Point to implement the NEP. The DPMM through the subject ministry will:
  - a. Provide leadership, guidance, and support for implementation of NEP at national, provincial and local authority levels.
  - b. Facilitate capacity building of all relevant institutions for planning, monitoring and evaluation for professional evaluation.

- c. Set ethics, standards, and guidelines to ensure the quality of evaluation.
  - d. Review the implementation of the NEP in collaboration with line ministries and other relevant institutions.
  - e. Encourage the use of findings and recommendations of evaluations in decision-making and policy formulation.
  - f. Report important findings that arise from evaluations to the Cabinet of Ministers to facilitate informed decision making.
- 7.3 All line ministries, Provincial Councils, Local Authorities and other institutions/ organization will be partners of NEP implementation as stipulated in the guidelines.

## 8. Glossary

Evaluation Culture	An action-oriented perspective that actively seeks solutions to problems, trying out tentative ones, weighing the results and consequence of actions, all within an endless cycle of supposition-action-evidence-revision that characterizes good science and good management (Trochim, 2006).
Evidence-based Decision-making	A process for making decisions about a program, practice, or policy that is grounded in the best available research evidence and informed by experiential evidence from the relevant field (UNAIDS, 2008).
Joint Evaluation	Evaluations involving multiple donors or both donor and recipient countries (OECD, 2013).
Managing for Development Results/ RBM	A management strategy focusing on performance and achievement of outputs, outcomes and impact (Sida, 2007).
Monitoring	The capture, analysis, and reporting of project performance, usually as compared to plan (State of Michigan, 2013).
On-going (mid-term) Evaluation	Evaluation performed towards the middle of the period of implementation of the intervention (Sida, 2007).
Participatory Evaluation	Evaluation method in which representatives of agencies and stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation (Sida, 2007).
Stakeholder	Agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation (Sida, 2007).
Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time (Sida, 2007).
Subject Ministry	Ministry in charge of the subjects of monitoring and evaluation.
Other institutions/ Organizations	Private/NGO/ CBO

*The National Evaluation Policy Implementation Framework is a dynamic and evolving publication, and its periodic reviews and updates are encouraged to enhance its user-friendliness, particularly to improve the approach and clarity of the processes.*



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