|  |  |
| --- | --- |
| **Ministry for Foreign Affairs of Finland**Development Evaluation Unit (EVA-11)Evaluation Manual 2018 |  |
| 15.2.2018 |
| **Template: Terms of Reference for an Appraisal*** This template is a tool to support the drafting of the Terms of Reference for an appraisal. It is important to start every evaluation process by clearly defining what the priority issues to be appraised are. The format provides a comprehensive checklist of elements that may be relevant in an appraisal. This is a menu from which the appropriate issues corresponding to priorities are selected.
 |

# Terms of Reference for an Appraisal

1. **Background to the appraisal**
	1. **Programme context (policy, country, regional, global, thematic context)**

Describe the broader context of the programme that will be appraised. Set the bigger scene for the appraisal. Include an overview of the development policies of the partner country, global development objectives and commitments that are relevant for the appraisal, Finland’s development policy, relevant sector, thematic and geographic priorities, including human rights issues and cross-cutting objectives, and linkages to other relevant partners and interventions.

* 1. **Description of the programme to be appraised**

Briefly describe the programme that will be appraised. Summarise the programme beneficiaries and objectives, implementation strategies, resources for implementation (i.e. summarise the intervention logic), and the institutional framework and roles of key stakeholders. Include issues related to the promotion of human rights and gender equality, reduction of inequalities and promotion of climate sustainability. Describe the stakeholders and their roles, including both final beneficiaries and involved institutions.

Explain the phases of the programme planning (how the programme was initiated, the identification and formulation process), and expected next phases.

* 1. **Lessons learned from previous cooperation**

Describe what is already known based on previous cooperation in the sector or with related interventions. What value should the appraisal add?

1. **Rationale, purpose and objectives of the appraisal**

Define the appraisal’s rationale and purpose, including why the appraisal is undertaken, why at this particular point of time and for whom. Explain the use of the results: Who will use the results of the appraisal? In what decision making situation and when will the results be used?

**Set priority objectives** and clarify what issues, analysis and recommendations the appraisal will focus on. Describe **2-3 priority issues** of the appraisal.

1. **Scope of the appraisal**

Define, as relevant, what stakeholder groups will be involved, what geographical area the appraisal shall cover and what connections to other supporting sectors, themes and programmes shall be addressed.

It is also important to clearly define what is excluded from the appraisal, and explain the reasons why.

1. **Issues to be addressed and appraisal questions**

Recommendations of the MFA Quality Assurance Group shall be taken into account when defining the specific issues to be addressed and the appraisal questions.

For each appraisal criterion, priority questions shall be defined. **A maximum of 12 appraisal question may be included.** If some criteria are left out, explain the reasons for this. Other criteria may also be added if relevant for the appraisal. While the appraisal questions indicate the priority issues under each criterion, the appraisal team should not limit the appraisal to these questions only. The standard evaluation criteria are presented below:

**Relevance** refers to the extent to which the objectives and approach of the programme are consistent with beneficiaries' requirements, country priorities, global priorities and partners' and Finland's policies. This includes an appraisal of how the promotion of human rights and gender equality, reduction of inequalities and promotion of climate sustainability as defined by international and regional conventions, national policies and strategies have been integrated into programme design.

* [formulate priority appraisal questions]

**Feasibility** refers to how successfully the programme objectives can be achieved if the programme is implemented as described in the programme document. Appraisal of feasibility includes:

**Adequacy of background analysis,** including analysis of problems as well as existing strengths and resources, and stakeholder analysis covering both institutional stakeholders and final beneficiaries and their capacities. The adequacy of analysis related to promotion of human rights and gender equality, reduction of inequalities and promotion of climate sustainability must be included.

* [formulate priority appraisal questions]

**Analysis of the programme logic** (Theory of change, results chain, etc.) in terms of potential impact, effectiveness and efficiency of the programme and its proposed management and administrative arrangements. The analysis must include an appraisal of integration of human rights and gender equality promotion, reduction of inequalities and promotion of climate sustainability.

* [formulate priority appraisal questions]

**Aid effectiveness** refers to the how the programme is designed to implement the commitments to promote ownership, alignment, harmonisation, management for development results and mutual accountability. Analysis is done on coordination and complementarity with other partners.

* [formulate priority appraisal questions]

**Sustainability** refers to the likely continuation of programme achievements when external support comes to an end. Typically, sustainability covers economic/financial, institutional, technical, socio-cultural and environmental dimensions. Sustainability also includes an analysis on the likely continuation of achievements in promotion of human rights and gender equality, reduction of inequalities, and climate sustainability.

* [formulate priority appraisal questions]

**Coherence** refers to issues beyond development cooperation focusing on contradictions or mutual reinforcement with other policies to achieve the impact and outcome.

* [formulate priority appraisal questions]

**Possible additional appraisal questions**

Any other issue that should be covered in the appraisal]

1. **Methodology**

The detailed appraisal methodology will be left to the appraisal team to propose, but general guidelines can be included in the ToR on data collection and analysis. Indicate that multiple methods are expected to be used to validate the findings, both quantitative and qualitative. The materials to be analysed during the desk study phase shall be listed e.g. as an annex to the ToR. In case relevant, some data collection tools may be defined, as well as guidelines for how data analysis will be conducted and recorded, ensuring that all data is disaggregated by gender, age group and/or other relevant categories.

1. **The appraisal process and time schedule**

Describe the appraisal process outlining its phases, their sequencing and approximate schedules/durations as well as locations of key meetings and presentations. Key milestones of the appraisal process (especially regarding deadlines of draft and final reports) should be described, but a detailed work plan will be left to the evaluators to propose.

A follow-up work option may be included to support the finalization of the programme document after decisions on the appraisal’s recommendations have been taken by the competent authorities.

1. **Reporting**

The reports and outputs produced in each phase of the appraisal are specified in this section. The appraisal team may be requested to submit the following deliverables:

* Inception report (draft and final inception reports)
* Presentation on the field findings (typically in the end of the field phase)
* Draft appraisal report
* Final report
* Presentation on the appraisal findings and recommendations

Each deliverable is subject to specific approval. The appraisal team is able to move to the next phase only after receiving a written statement of acceptance by the MFA. The reporting schedule shall be included in the contract.

1. **Quality assurance**

Include a request to the tenderer to propose and implement a quality assurance system for the appraisal. The proposal must specify the quality assurance process, methodology, tools and resources (QA personnel and resource allocations).

1. **Expertise required**

Instead of defining the experts or the team, the ToR should indicate the areas of expertise and leave flexibility for the tenderers to propose relevant teams.

Typically, an appraisal team should consist of international and national experts. One expert shall be nominated as the Team Leader. The appraisal team shall ensure solid experience and knowledge in the following fields:

* Programme appraisals, evaluations and planning in the relevant sector
* Experience in project cycle management (PCM) and Results Based Management (RBM), and their application in programme design, appraisal, monitoring and evaluation (M&E);
* Relevant sectoral experience, including experience from the region of country;
* Other experience and knowledge relevant to the appraisal;
* Experience in integrating cross cutting objectives in project planning, appraisal, implementation, monitoring and evaluation: Promotion of human rights and gender equality, reduction of inequalities, climate sustainability.
* Quality assurance in accordance to the quality assurance approach proposed in the tender.

In case relevant, include also a Junior Expert in the team.

1. **Budget**

Define the total available budget for the appraisal (excluding VAT).

1. **Mandate**

Add the following clarification on the appraisal team’s mandate:

The appraisal team is entitled and expected to discuss matters relevant to this appraisal with pertinent persons and organizations. However, it is not authorized to make any commitments on behalf of the Government of Finland.

**Annexes:**

1. Outline of the appraisal report
2. Evaluation report quality checklist (OECD/DAC and EU standards)
3. List of key documentation