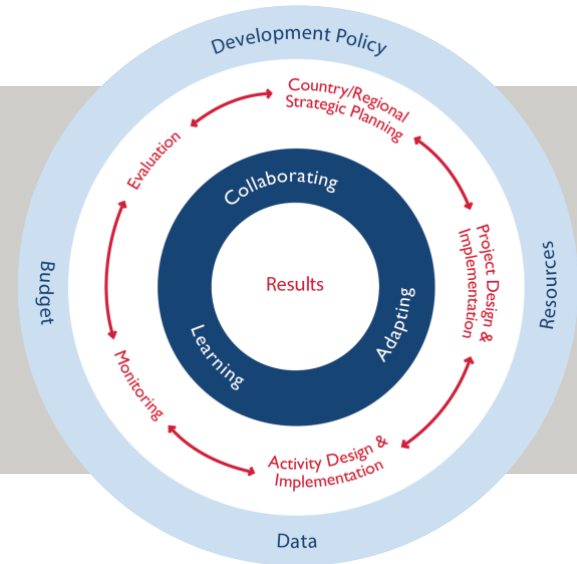


PROGRAM CYCLE

Discussion Note: Ex-Post Evaluations



This Discussion Note shares practical approaches and considerations for planning and managing **ex-post evaluations**. Although intended for USAID staff who commission evaluations, others may benefit from the considerations examined.

This Note outlines key considerations for USAID staff and evaluators when deciding to conduct an ex-post evaluation and then planning for, designing, implementing, and using findings from ex-post evaluations. Those commissioning an ex-post evaluation should consult with an evaluation specialist and consider feasibility, logistics, time, and cost when making decisions about the evaluation.

Discussion Notes are published by the Bureau for Policy, Planning and Learning and explore principles or methods related to the Program Cycle and are intended to prompt inquiry. This Note complements USAID ADS Chapter 201.

Introduction

This Discussion Note complements [ADS 201](#) and shares considerations and tips for USAID staff planning and managing ex-post evaluations. It does not provide mandatory guidance on when or how an ex-post evaluation should be conducted.

The note is organized into six sections: What are Ex-Post Evaluations; What Can We Learn from Ex-Post Evaluations; Purposes and Evaluation Questions; Considerations for Designs; Data Needs; and Planning and Managing Ex-Post Evaluations.

The content of this note is informed by insights from USAID staff who have commissioned ex-post evaluations and a review and analysis of 19 ex-post evaluations posted on USAID's Development Experience Clearinghouse (DEC) repository since January 2011. The ex-post evaluations included in the review were either performance or impact evaluations that examined a strategy, project, activity, or intervention at least one year after USAID direct support ended. Throughout the rest of this document, the term **intervention** refers to the subject of the evaluation.

Section I: What are Ex-Post Evaluations?

An ex-post evaluation is defined as a performance or impact evaluation that examines a strategy, project, activity, or intervention at least one year after it has ended. An Ex-post evaluation is conducted after USAID investments (technical and financial) have ended. It can be used to answer questions about whether and how interventions and/or outcomes are sustained and what factors and contexts help or hinder USAID interventions and sustainable development outcomes. Ex-post evaluations offer a unique opportunity to ask key questions about the sustainability of a particular strategy, project, activity, or intervention after USAID has ended support. Ex-post evaluations are particularly relevant for understanding whether and how USAID programs

support locally-led development and the ability of the country to sustain development solutions over time.

Section II: What Can We Learn from Ex-Post Evaluations?

THEORIES OF CHANGE AND DESIGNING INTERVENTIONS

Ex-post evaluations can help USAID determine if expected results or outcomes were achieved based on an intervention's theory of change. If an intervention has not achieved expected results or outcomes, an ex-post evaluation can help USAID determine if adjustments in the theory of change or intervention are necessary to realize results or outcomes. Ex-post evaluations can also be used to understand the factors that have contributed to or hindered expected results or outcomes to strengthen future intervention designs.

SUSTAINABILITY

In the review of 19 ex-post evaluations, questions related to sustainability appeared most frequently. ADS 201 defines **sustainability** as: "The ability of a local system, network, or institutions to produce desired outcomes over time. Programs contribute to sustainability when they strengthen the ability to produce valued results and to be both resilient and adaptive in the face of changing circumstances" (ADS 201, see Definitions).

Ex-post evaluations present an opportunity to explore what interventions are sustained after completion of USAID investments and what factors help or hinder sustained development outcomes. Stakeholders should develop the intervention and evaluation questions (including ex-post evaluation questions) with a common understanding of what sustainability means in the context of that particular intervention. For example, how is sustainability defined and operationalized in the intervention theory of change? What aspects of the intervention (whether the intervention approach itself, its outcomes, or both) is expected to continue after it ends?

Looking Back, Looking Forward. Evaluating for sustainability involves looking back to see if an intervention or outcome was sustained. It may also focus on determining if a theory of change holds true and what may need to be adjusted in the future. Commissioners of ex-post evaluations can also plan, before implementation starts, how to capture and measure the factors or conditions that are expected to contribute to sustainability. These measurements can be taken throughout the implementation period and then replicated at the time of the ex-post evaluation.

Asking Better Evaluation Questions about Sustainability. Getting quality information about sustainability in ex-post evaluations requires asking well-crafted evaluation questions that reflect stakeholders' understanding of what factors are expected to contribute to sustainability as detailed through the theory of change.

For example, did the theory of change involve creating and sustaining behavior change, engaging local actors in continuing and resourcing an intervention, or making other changes in a system that could be sustained beyond the end of the intervention? The answers to these questions should be explicit in evaluation questions. In addition to clearly defining what is expected to be sustained (the intervention approach, the outcomes, or both), stakeholders need to share a common understanding of the actors involved in and responsible for sustaining an intervention or outcome. It needs to be clear for evaluators the role of each stakeholder in planning, resourcing, and carrying out the intervention; and how the intervention was expected to be sustained.

Using a Systems Lens. USAID interventions are often implemented in the context of complex systems that involve multiple actors (individuals, formal and informal organizations, and governments) and institutions (rules, roles, and relationships). Actors and institutions may influence observed, intended, and unintended development outcomes that can be measured at endline and later during an ex-post evaluation. Ex-post evaluations need to identify important actors and institutions, in addition to what to monitor and measure over the life of the intervention to examine changes in a system crucial to sustaining results or outcomes. For more information, see [The 5 Rs Framework in the Program Cycle](#) and [Local Systems: A Framework for Supporting Sustained Development](#).

Box I. Using Results from an Ex-Post Evaluation to Plan for Sustainability

After completing and disseminating an ex-post evaluation, one USAID/Washington office changed its programming strategy. The office now requires implementers to submit a sustainability framework with every proposal. Each sustainability framework details a sustainability implementation pathway within the intervention design, clear sustainability timelines and benchmarks, and plans to document all original data from the intervention and make them accessible to Agency staff. The findings from the ex-post evaluation were used to design other ex-post evaluations and programs in this office as well as in other offices, bureaus, Missions, and even by other donors. The ex-post evaluation also influenced implementing partners, who use sustainability frameworks in their non-USAID-funded programming.

Section III: Purposes and Evaluation Questions

When deciding to evaluate, all commissioners should plan for use and to address specific learning questions. What can be learned from an ex-post evaluation depends on the stated purpose, evaluation questions, design, available data, and additional data that can be accessed or collected after the intervention has ended. The evaluation purpose and questions determine the optimal design for an ex-post evaluation.

EVALUATION PURPOSE

An evaluation may have more than one purpose. Common purposes for USAID ex-post evaluations can be categorized as follows:

Sustainability of Interventions. The evaluation seeks to confirm whether the intervention approach has continued to be implemented and produce intended results beyond the end of the USAID-funded investment with or without similar or related support. For this purpose, USAID is generally interested in attributing result(s) to the USAID-funded intervention(s).

Sustainability of Outcomes. The evaluation examines if outcomes achieved at the end of an intervention persist (as opposed to the USAID-funded intervention approach), with or without external support. There are different kinds of outcomes that may be examined:

- **Individual:** If the purpose of the intervention was to change the behavior, knowledge, or skills of individuals, the evaluation may examine whether the targeted population continues to exhibit the changed behavior, knowledge, or skills.
- **Organizational:** If the purpose of the intervention was to create or support organizations that are responsible for producing desired outcomes, the evaluation may examine whether the organization continues to produce the desired outcome(s). The evaluation may also specifically examine local ownership of outcomes or how local actors continue to produce the outcome.
- **Institutional:** If the purpose of the intervention was to introduce policies, rules, laws, infrastructure, practices, and processes to produce a development outcome, the evaluation may examine whether these policies, rules, laws, infrastructure, practices, and processes are sustained and continue to evolve and adapt to changes in the operation context.
- **Development Outcome:** If the purpose of the intervention was to contribute to a development outcome such as reading level attainment, then the evaluation may examine whether the development outcome is sustained and/or improves in existing and possibly new populations.

Learning. The evaluation is conducted to contribute to learning. For USAID, the evaluation might inform strategic updates or expand general knowledge about building capacity and fostering commitment in the country. Ex-post evaluations can also contribute to learning for local stakeholders and the broader development community and add to existing bodies of evidence. There are two sub-categories:

- **Understanding Theories of Change:** The evaluation aims to understand if the programmatic and contextual assumptions of the intervention theory of change continue to hold.
- **Designing for Sustainability:** The evaluation seeks to understand factors that have or have not contributed to the sustainability of desired outcomes, including by whom and with what resources outcomes are being sustained.

EVALUATION QUESTIONS

Evaluation questions linked to an evaluation purpose are the foundation for determining what will be learned in an ex-post evaluation. Table 1 presents illustrative evaluation questions according to the purpose of the evaluation. Most of these questions are derived from the ex-post evaluations from water

service or water, sanitation, and hygiene (WASH) interventions included in the review and may be adapted for other sectors.

Table 1: Ex-post Evaluation Purpose and Illustrative Questions with Examples

Purpose/Level	Illustrative Questions	Examples
Sustainability of Interventions	Which aspects of the [INTERVENTION] have led to sustainable [WHAT] for [WHOM] (per ADS 205) in [WHERE/WHAT SECTORS OR POPULATIONS]?	Which aspects of the intervention have led to sustainable foundations for joint management in communities that participated in the USAID-funded program?
Sustainability of Outcomes: <i>Individual</i>	Are USAID promoted [INDIVIDUAL OUTCOMES] still occurring among [POPULATION OF INTEREST] in the [XX] communities that received USAID assistance? If so, how? If not, what are the factors the [POPULATION OF INTEREST] have identified that have precluded the [OUTCOMES] to persist?	Are the USAID promoted hand-washing behaviors continuing to be practiced by women in the ten communities that received USAID assistance? If so, how? If not, what are the factors the women have identified that have precluded the practices from persisting?
Sustainability of Outcomes: <i>Organizations</i>	Have the organizations strengthened by USAID funding continued to implement the action? How are [PARTICIPANTS] continuing to participate in management and governance structures put in place by USAID funding?	Have the organizations strengthened by USAID funding continued to implement the action? How are women continuing to participate in management and governance structures put in place by USAID funding?
Sustainability of Outcomes: <i>Institutions</i>	What [SECTOR] governance structures are in place, and how are they managing and maintaining services? How did the [INTERVENTION] contribute to the sustainability of these structures?	What local water and sanitation governance structures are in place, and how are they managing and maintaining services? How did the intervention as implemented contribute to the sustainability of these structures?
Sustainability of Outcomes: Development Outcomes	Which factors or approaches contributed to or impaired long-term sustainability of [INTERVENTION] outputs and outcomes?	Which factors or approaches contributed to or impaired the long-term sustainability of selected WASH-UP outputs and outcomes?
Learning: <i>Designing for Sustainability</i>	How did the intervention contribute to the change in the [TYPE OF CAPACITY OR COMMITMENT] of [LOCAL ACTOR(s) - specify] to [SUSTAIN WHAT CHANGE OR OUTCOME]? In what ways do [LOCAL ACTOR(s)] [TYPE OF	How has the intervention to build private-sector (local entrepreneurs) capacity for construction and maintenance influenced the sustainability of accessible water? In what ways do the local entrepreneurs contribute to or hinder sustained access to

Purpose/Level	Illustrative Questions	Examples
	CAPACITY OR COMMITMENT] continue to produce [CHANGE OR OUTCOME] after the end of the intervention?	water?
Learning: Understanding Theories of Change (ToC)	<p>What are the specific interests and concerns about [TOPIC OR ISSUE OF INTEREST] of different target populations and the types of programming and support needs?</p> <p>What are the strengths and weaknesses of the key components of the [NAME OF MODEL] used in implementation?</p>	<p>What are the specific interests and concerns about HIV/AIDS of different target populations and the types of programming and support needs?</p> <p>What are the strengths and weaknesses of the key components of the graduation and resilience model used in implementation?</p>

Section IV: Considerations or Designs

The selection of methodology for a particular ex-post evaluation is determined by the evaluation questions being asked, the accessibility of intervention-level data, the quality of the data, as well as the feasibility and the level of rigor needed in the evaluation.

Ex-post evaluations can be performance or impact evaluations. When USAID wants to attribute a change in an outcome to a specific USAID intervention, an [impact evaluation](#) using experimental or quasi-experimental methods is necessary. Evaluation designs are easier to implement when the decision to conduct an ex-post evaluation is made before or at the start of implementation. A well-articulated theory of change can inform experimental and quasi-experimental design; monitoring plans can be designed to collect data on outcomes at baseline, midline, and endline that will be compared to the status of outcomes beyond the life of the intervention; and the intervention can allow for counterfactual comparison as required for impact methodology. See the [Guide for Planning Long-Term Impact Evaluations](#).

Box 2. Attribution versus Contribution

Attribution: Ascribing a causal link between observed changes and a specific intervention. It is the extent to which the observed change is the result of the intervention, considering all other factors which may also affect the outcome(s) of interest. (Defined in ADS 201)

Contribution: The extent to which an intervention is assessed to have contributed to particular outcomes. Contribution analysis is a step-by-step approach designed to reduce uncertainty about the contribution the intervention is making to the observed results. It is particularly useful in situations with a clear theory of change. Evaluation findings from contribution analysis provide evidence and a line of reasoning from which one can draw a plausible conclusion that, within some level of confidence, the intervention has made an important contribution to the documented results. (Definition adapted from Better Evaluation).

Intervention: A specific action that takes place under an activity, typically performed by an implementing partner.

When an impact evaluation is not feasible, or the purpose is to understand the contribution of the USAID investment to the sustainment of outcomes, then a [performance evaluation](#) can be selected. A performance evaluation will require many of the same data to be collected about the intervention. Note that performance evaluations cannot quantify or attribute the change in an outcome to a USAID-funded intervention, only an impact evaluation can.

In some cases, it may be beneficial to combine impact and performance evaluation methodologies. This approach can quantify the change in outcomes attributable to the USAID-funded intervention while also providing additional qualitative or other quantitative information to understand better why the change did or did not occur and why it may or may not have been sustained.

An [evaluability assessment](#) can be helpful in the planning stage for many evaluations but is even more desirable for an ex-post evaluation, due to the extended timeline and additional resources needed to identify and locate documents, relevant implementers, intervention participants, and key informants. See Section VI for more about evaluability assessments.

Box 3. Endline versus Ex-Post Evaluation: What is unique about an ex-post evaluation compared to an endline evaluation?

Other than the timing for when the evaluation takes place, ex-post evaluation designs may not differ from endline evaluation designs. However, the time interval between the end of an intervention and the time that an ex-post evaluation is conducted presents unique challenges. After an intervention ends, access to implementers and data becomes complicated as offices close, staff turnover, and USAID managers move to new posts and positions. Institutional memory may be partially or substantially lost, especially if access to documentation of the intervention is limited or not readily available.

Both efforts require similar processes of planning and managing; however, ex-post evaluations may require a close working relationship with the evaluators over a longer period and typically involve iterative design.

Section V: Ex-Post Evaluation Considerations - Data Needs

INFORMATION ABOUT THE INTERVENTION

To make sense of the information obtained during an ex-post evaluation, evaluators need to understand the intervention design (and how it has changed over time). Evaluators also need to have a definition of sustainability to determine how and if the intervention was sustainable. Ex-post evaluators are likely to find the following documentation useful to design the evaluation appropriately:

The theory of change. A theory of change is a narrative description, usually accompanied by a graphic or visual depiction, that describes how and why a purpose or result is expected to be achieved in a particular context (ADS Chapter 201, Definitions). It presents the logic of how an intervention will work in a given context to produce or contribute to a development outcome. The theory of change can identify key results that the intervention was designed to affect and sustain over time. Often the theory of change is documented at design, but it may not have been revised and updated throughout the life of the intervention as new information became available. Often an intervention changes over time or the context in which the intervention is implemented changes, and documentation may not fully reflect these changes. Reconstructing a theory of change after an intervention has been implemented is necessary on occasion. It is especially necessary if documentation is lacking or if it is discovered that there is no consensus about what the intervention was supposed to achieve or how.

Where the intervention was implemented, who participated, when, and how. A common challenge in ex-post evaluations is finding participants after the project or activity that implemented the intervention has ended. Quality documentation on who participated and in what ways can help guide data collection after the intervention has ended, including who to include in interviews or focus groups, and inform sampling frames.

How the intervention was planned and implemented. This information may be included in the theory of change documentation, work plans, and reports. The objective is to see how the intervention was designed and how implementation evolved and adapted to contextual changes.

How performance and progress were measured. Key results in the intervention's theory of change need to be clearly defined and described so that evaluators understand how results were measured to track progress. This information may be included in documents related to data collection including protocols used for data collection, data collection instruments, sampling frames, codebooks, etc., as well as in annual, endline, and/or final reports, in documents or databases housing monitoring data, and evaluations reports. Knowing how performance and progress were measured during implementation allows ex-post evaluators to make appropriate comparisons with data collected after the intervention is completed.

Which results were achieved. A solid monitoring plan and system designed at the beginning of an intervention will help ensure that appropriate data are collected, including performance indicators to show progress toward results and what was achieved and context indicators to monitor the context of an intervention as it is being implemented.

A definition of what sustainability means for the specific intervention (or components of the intervention as appropriate). Often ex-post evaluations set out to assess sustainability without ever defining what is meant by sustainable. Defining sustainability in the evaluation planning phase can help narrow the evaluation scope and refine evaluation questions and methodology. See Sections II and III on sustainability and evaluation purposes for different kinds of sustainability.

Documentation of other similar interventions. In determining how USAID's efforts may have contributed to the results of an intervention, information is needed about other similar interventions implemented by other actors such as the host government, other donors, international or local NGOs and/or the private sector.

ADDITIONAL CONSIDERATIONS ABOUT DATA IN EX-POST EVALUATIONS

Data needs depend on evaluation questions and decisions that the data will inform, including the level of rigor and/or certainty that is required for those decisions. Balanced with timing and human and financial resource availability, this will lead to tradeoffs when deciding on the appropriate evaluation methodology. Because of the time frame of ex-post evaluations, ideal data might not be available, which will affect the design of the evaluation. For more information on data needs in ex-post impact evaluations and how to address data availability challenges, see [Guide for Planning Long-Term Evaluations](#).

Regardless of the type of evaluation or the evaluation methodology, in an ideal situation, comparable, rigorous data will be collected using the same methodology during the life of the intervention and beyond. An ideal situation, and comparable rigorous data is optimal so that data does not need to be reconstructed, and data are not missing.

Section VI: Ex-Post Evaluation Considerations: Planning and Managing Ex-Post Evaluations

OVERALL CONSIDERATIONS

The extended timeframes and additional logistical considerations inherent in designing and implementing ex-post evaluations mean that ex-post evaluations are frequently a collaborative process. Ex-post evaluations require a close working relationship with the evaluators over a long period and typically involve iterative design. Building adaptive management into the evaluation process means taking steps to incorporate flexibility into the planning and management of an ex-post evaluation support design and implementation. The considerations examined in the following sub-sections (planning for use, determining the appropriate mechanism to conduct the ex-post evaluation, conducting an evaluability assessment, and developing the statement of work) can facilitate a close and successful working relationship during the planning and managing of ex-post evaluations.

PLANNING FOR USE OF EX-POST EVALUATION FINDINGS AND CONCLUSIONS

When planning the use of an ex-post evaluation's findings and conclusions, the evaluation commissioner and evaluation team need to engage stakeholders and provide an overview of the intervention, its expected results or outcomes, and the rationale for the ex-post evaluation. Since many of the individuals

and organizations involved in implementation of the intervention may not be available at the time of the ex-post evaluation, conducting an evaluability assessment before finalizing the ex-post evaluation can help plan for use with new actors. Likewise, while USAID Evaluation Policy requires that the Evaluation Statement of Work be shared with the implementing partner, in an ex-post evaluation, USAID likely does not have a direct relationship with the local actors (individuals, organizations, and governments). Yet, local actors are the key stakeholders to be engaged during the development of the Statement of Work for an ex-post evaluation. Furthermore, for most ex-post evaluations it is vital that local stakeholders are involved in co-creating the action plan for the ex-post evaluation.

DETERMINING THE APPROPRIATE MECHANISM

Most often, an ex-post evaluation will be led by an external team that was not directly involved with the implementation of the intervention. The mechanism selected to conduct the ex-post evaluation may be an existing contract designed to provide the Mission or operating unit with services relating to monitoring, evaluation, and learning, or it may be a mechanism selected through a competitive process. Regardless, the mechanism selected will need access to the intervention's full range of documentation (see Section V) as well as access to individuals directly involved in implementation. If the team(s) implementing the intervention have disbanded or if new personnel are in place, the mechanism, working closely with the appropriate USAID staff, will need to be able to determine the most efficient ways to identify and access appropriate documentation of the intervention.

CONDUCTING AN EVALUABILITY ASSESSMENT

An evaluability assessment is an important tool for commissioning a successful ex-post evaluation. An evaluability assessment can help design an evaluation appropriately, prevent premature or misfocused evaluation, and guide decisions that determine the value and usefulness of evaluation. An evaluability assessment answers key questions around data availability and the feasibility of answering the proposed evaluation questions. Ideally, it is conducted by an evaluation specialist in collaboration with USAID staff and other stakeholders. Although an evaluability assessment is considered a discrete task, it informs and is often iterative with the planning phase of an ex-post evaluation. There are several resources available for conducting an evaluability assessment, including [Conducting an Evaluability Assessment for USAID Evaluations](#).

Based on a review of USAID's experience conducting ex-post evaluations since 2011, an evaluability assessment can help inform:

1. **The purpose and audience of the evaluation.** Section III introduced three common purposes for ex-post evaluations. An evaluability assessment can determine whether an ex-post evaluation is needed to answer the proposed evaluation questions. It can also clarify: Who are the users of the evaluation? How will the intended user(s) use the evaluation findings to inform strategy, decisions, or designs, and if so, are there specific questions to inform those decisions? How will stakeholders (USAID, implementing partners, government partners, beneficiaries, etc.) be involved in the design of the ex-post evaluation? Additional resources for thinking through utilization include [Utilizing and Learning from Evaluations](#).

2. **When to conduct the ex-post evaluation.** There are two considerations about when to conduct, which are not mutually exclusive:
 - a. **Programmatic:** Results and outcomes have different time horizons. Generally, sufficient time is needed between the end of the intervention and the ex-post evaluation for local actors to have carried out the intervention, sustained it, and have data available. Key questions include: When is the desired result expected? Was the intervention significant to the individual or organization? What is the expected durability of the results? In addition, there may be contextual changes that negatively affect the sustainability of the USAID intervention. An ex-post evaluation can examine context changes to generate learning on how they might be more effectively addressed in the design of future interventions. Key questions to answer include: Have contextual factors in the country changed? Have key actors changed?
 - b. **Decision-based:** Many ex-post evaluations inform future strategies or designs. The decision on timing is, therefore, tied to a particular programmatic decision. An evaluability assessment will consider whether it is reasonable to expect results from the ex-post evaluation to align with the timing of future decisions. For example, is USAID considering exiting a sector or a country? Is USAID considering replicating an invention in another context and needs to understand the factors that hinder or help sustainability?
3. **The evaluation methodology.** An evaluability assessment can help determine an appropriate method for an ex-post evaluation, given the evaluation purpose and questions, available data (including its quality and documentation), and sources and resources available. An evaluability assessment can ascertain appropriate methods for contacting implementers, intervention participants, and stakeholders. An evaluability assessment can also determine appropriate methods for measuring outcomes after the intervention ends, which, in turn, will inform the evaluation design.
4. **Evaluation management.** When an ex-post evaluation is long-term (i.e., starts during implementation and continues up to several years after USAID investments have ended), consistent management of the evaluation by USAID can affect its success. During the planning stage, it is helpful to anticipate transitions and/or changes in the assignment of managers that are likely to occur during the life of the evaluation. When an ex-post evaluation is conducted retrospectively, it is preferable for USAID staff member(s) managing the evaluation to engage directly with past USAID intervention managers, implementers, and other key evaluation stakeholders. If past implementers and managers are not available, an evaluability assessment can help to problem-solve with stakeholders how best to identify key informants.
5. **Expectations for stakeholder participation.** Preparing a detailed plan for stakeholder participation in an ex-post evaluation helps address some of the challenges evaluators face after USAID investments have ended, such as access to key informants, understanding of the current and prior operation context, and potential uses for the evaluation. Co-developing recommendations help ensure the applicability of evaluation results. They can be particularly

helpful for ex-post evaluations, which frequently face a lack of continuity between implementation managers and the evaluation team.

DEVELOPING THE STATEMENT OF WORK

Developing a well-crafted Statement of Work (SOW) helps ensure that evaluators have a clear idea of the purpose and expectations that USAID has for the evaluation. The [How to Note on Evaluation Statement of Work](#) provides an overview of the major components contained in an evaluation SOW.

The SOW for an ex-post evaluation may require adjusted language to account for the extended timeline and additional effort that may be required to track down program documents, data sets, participants, and stakeholders. Table 2 reviews the suggested components in the Evaluation SOW template with additional considerations for ex-post evaluations. The illustrative questions included in the Summary Information and Background section of the table inform the Evaluation SOW narrative for these components, or they can be adapted as evaluation questions in the SOW.

Table 2: Considerations for Ex-post Evaluation Statements of Work

Section	Considerations
Purpose	<ul style="list-style-type: none"> Consider the common types of ex-post evaluations laid out in Section III; define the purpose of this specific evaluation and why it is best suited as an ex-post A description of the results or outcomes to be assessed and why this particular point in time is appropriate to the evaluation
Summary Information	<ul style="list-style-type: none"> A clear definition of sustainability for the evaluation Any factors or conditions that are expected to contribute to sustainability of the intervention, the intended results, and outcomes
Background	<ul style="list-style-type: none"> A description of how the intervention was designed or outcomes were expected to be sustained in the given context. For example: <ul style="list-style-type: none"> Were the policies, strategies, or plans expected to continue? If not, how have they evolved? How have they affected the intended or unintended outcome? Who was expected to sustain the outcome? Are the financial and human resources available for continuing to produce the results or outcomes? Do stakeholders continue to value the results or outcomes? A description of the current operating context <ul style="list-style-type: none"> Was the intervention a “follow-on”? If so, what effects might the previous interventions have on sustainability? Is there a current follow-on? If so, how has it affected the sustainment of the intervention? Are there other donors or government actors intervening?
Evaluation Questions	Ensure that all concepts appearing in the evaluation questions are fully defined, especially what sustainability means in the context of the ex-post evaluation (see Table I for examples)
Evaluation Design and Methodology	A timeline and associate resources for: <ul style="list-style-type: none"> An evaluability assessment (if not conducted in advance) Compiling comprehensive data records including intervention reports, monitoring data, data sets, and related documentation (protocols, data collection instruments, etc.) Locating key informants and participants reached by the intervention, as well as partners and implementers and other stakeholders (local government officials, etc.)

Deliverables and Reporting Requirements	<ul style="list-style-type: none"> ● Include additional time for the preparation of the work plan (or inception report), planning, design iterations, and collaborative management ● Include additional time for data collection and analysis ● Include diversified deliverables such as briefings, webinars, and workshops, etc. to reach wider audiences and stakeholders to engage with the ex-post evaluation findings
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KEY CONCEPTS AND ADDITIONAL RESOURCES

Institution is not formally defined by USAID. In the social sciences, institutions are the formal and informal rules and structures that define the relationships and allocation of resources in the local system (adapted from North, 1990). In the [USAID Human and Institutional Capacity Development Handbook](#), institution and organization are used interchangeably.

Organizational capacity development is an intentional, collaborative effort to strengthen an organization’s processes, knowledge, relationships, assets, or behaviors to improve its performance (Monitoring Toolkit resource, [Monitoring Organizational Capacity Development Efforts](#)). See also ADS 201 [Additional Help on Local Capacity Development](#) for additional information on the capacity areas of organizations.

Sustainability refers to the ability of a local system to produce desired outcomes over time. Discrete USAID-funded interventions contribute to sustainability when they strengthen the system’s ability to produce valued results and its ability to be both resilient and adaptive in the face of changing circumstances. (USAID ADS 201 and [USAID Local Systems: A Framework for Supporting Sustained Development](#)).

Additional Resources

- > [USAID Policy Framework](#)
- > [The 5 Rs Framework in the Program Cycle](#)
- > [Local Systems: A Framework for Supporting Sustained Development](#)
- > [Technical Note: Impact Evaluations](#)
- > [Performance Evaluation Designs](#)
- > [Guide for Planning Long-Term Impact Evaluations](#)
- > [Conducting an Evaluability Assessment for USAID Evaluations](#)
- > [Evaluation Statement of Work \(SOW\) Template](#)