Appendix 8
Outline of a Model Statement of Work for an Evaluation Study

Outline of a Model Statement of Work for an Evaluation Study[1]

The statement of work (SOW) for a general program evaluation consists of a description of the objectives of the evaluation and specifications on how the objectives should be achieved. The description and specifications should have enough details to allow a prospective evaluation contractor to prepare a convincing proposal demonstrating that it can achieve the objectives. The model outline of a SOW in this appendix is intended as a guide for EERE staff who must prepare an SOW for a general evaluation study. It is a generic outline; it is not customized to a specific type of evaluation, i.e., market, process, outcome, impact, or cost-benefit evaluation.

A SOW used by FEMP for a preliminary study of the metrics to use for outcome and impact evaluations of FEMP's Technical Assistance Program is attached to this appendix as an example of a completed SOW for an evaluation study.

A SOW performs the following functions:

- It describes EERE's expectations for the evaluation.
- It describes the key elements of a planned activity or analytical effort that EERE expects the evaluation contractor to perform.
- It is used by EERE program staff to develop an RFP.
- After the proposals are submitted, it should be used to inform evaluator selection.
- After an evaluator is selected, it becomes the basis for any subsequent negotiations needed to create the terms of a mutually acceptable Evaluation Plan (see Appendix A10, "Model Evaluation Plan"). (The evaluation contractor will prepare the final Evaluation Plan resulting from the SOW.)

The SOW can be prepared by:

- A professional evaluator for acceptance and approval by the EERE staff who commissions the study
- An EERE staff person
- An EERE staff person and an evaluator collaborating to establish the framework for an evaluation. This might be the case if the evaluation were to be performed under an existing task-order contract.

A good SOW, developed at the start of the evaluation project and clearly setting out the objectives, rationale, and expectations of the evaluation study, will greatly enhance the quality and usefulness of the final evaluation product. The following are the essential elements of a good SOW:

[1] This SOW guidance is based on several widely used technical notes and examples of Statements of Work or Terms of References (TOR) developed by organizations such as: UNICEF Evaluation Office, "Evaluation Technical Notes No. 2," April 2002 (www.unicef.org/evaluatoin/TechNote2_TOR.pdf); World Bank Operations Evaluation Department, (www.worldbank.org/oed/); and "Model TOR," in "How to Perform Evaluations," Canadian International Development Agency, March 2001 (www.acdi-cida.gc.ca/cida_ind.nsf/).

Evaluation Title

Brief Program Background and Context

- Describe the program history and goals.
- Describe the program's current status.
- Describe anticipated changes in the program and the reasons for them.
- Identify interactions between the program and other EERE or Federal/State programs or policies.
- Identify the key stakeholders and partners involved in the program.

Purpose and Objective(s) of the Evaluation

- Describe the need for the evaluation. What are the intended uses for decision-making?
- For whom will the evaluation be performed (what audiences)?
- Describe the objectives of the evaluation.
- Describe what will not be addressed, if this will better define the objectives by ruling out scope that might appear to be related.

Key Evaluation Questions to Satisfy the Objectives

- Identify the major (general) evaluation questions.
- Identify specific evaluation questions or provide examples (subject to further clarification of them by EERE manager and Evaluation Contractor.)

Evaluation Approach and Method(s)

- Provide an overview of how the evaluation is to be conducted. Describe the expected data collection and analysis methodologies for the evaluation.
- The approach and method may become the subject of negotiation before an Evaluation Plan is written.
- Discuss anticipated data and methodological issues and how they could be addressed. (See Appendix 9, "Lessons Learned for Improving the Quality of EERE Evaluation Studies.")

Evaluation Work Structure and Provisional Timetable

- Define the area and population to be considered, national/regional, etc.
- Define the period of program performance to be evaluated.
- Specify the start date for the evaluation and the date by which a final report is required.
- Identify specific tasks (e.g., task 1, task 2, task 3), or define tasks that organize the work into an efficient structure by which the evaluation can be managed and monitored.

- Specify expected meetings (EERE briefings, stakeholder interaction, etc.),
- Identify the scheduled reviews by outside experts (see QA Procedures).

Assistance to be provided by EERE to the Evaluation Contractor

- Include a list of documents to be provided, e.g., program records.
- List known relevant reports to be provided.
- Identify how to contact program staff, if appropriate.
- Provide assistance in obtaining an OMB clearance for a survey, if appropriate.

Products Expected from the Evaluation Contractor

- List the expected products to be delivered, to whom and when (e.g., draft and final Evaluation Plan, draft and final reports, data sets, etc.)
- Specify the initial expectations for content of the study reports, e.g., initial report outline and list of what the report should include.
- Specify the number of copies of delivered products, and who will do the publication.

Quality Assurance (QA) Procedure

- Describe QA procedures defined for the study (preferably based on EERE QA expectations and any additional procedures proposed by the contractor). See Appendix A7, "EERE Quality Assurance Guidance for General Evaluation Studies."
- Identify the roles and responsibilities of the evaluation QA team (or committee). The QA team should consist of evaluation experts who are not part of the study team.
- Specify the required composition of the QA team (subject knowledge coverage, expected qualifications). (Responsibility for identifying the QA team will be EERE's.)
- Identify the milestones during the evaluation process for participation and review of products by the QA team (e.g., beginning, review draft Evaluation Plan, and review draft report).

Organization and Management

- Identify the EERE staff contacts for questions about the SOW and contract.
- Specify other implementation arrangements between evaluators and EERE (i.e., role of EERE in evaluation data collections, etc.).
- Specify the number of trips and location of anticipated travel, if appropriate.

Resources *[For EERE internal Use only; remove this part from the SOW before any external communication of it.]*

- Projected cost and breakdown by task/activity, professional fees, travel, etc.

ATTACHMENT TO APPENDIX 8: SAMPLE STATEMENT OF WORK

DEVELOPMENT OF PRELIMINARY METRICS FOR THE TECHNICAL ASSISTANCE PROGRAM OF THE FEDERAL ENERGY MANAGEMENT PROGRAM

BACKGROUND

The mission of the Federal Energy Management Program (FEMP) is to help the United States government reduce its energy consumption. The federal government is the world's largest energy user. Substantial amounts of money could be saved through energy-efficiency investments. Additionally, because the federal government is the world's largest purchaser of goods and services, its procurement policies have the potential to transform markets for energy-efficient products, renewable technologies, and other new, energy-related technologies.

OBJECTIVES

The objectives of this project are to (1) develop a metrics framework focused on energy savings for the Technical Assistance (TA) component of FEMP and (2) develop preliminary energy savings metrics for TA. Results of this evaluation project will be used for project management purposes and will be used as inputs into FEMP's Government Performance and Results Act (GPRA) process.

KEY EVALUATION QUESTION

The key evaluation question is this: how much federal government energy savings in FY03 can be attributed to FEMP's TA program?

EVALUATION APPROACH AND METHODS

This evaluation project has been broken into the following tasks:

Task 1: Develop a framework to organize the evaluation. A matrix will represent the framework. Each row of the matrix will represent a TA program channel that could lead to energy savings (*e.g.*, direct technical assistance, energy assessments, software). Each major column of the matrix will represent a TA sub-program area (*e.g.*, ALERT, SAVEnergy, Technical Assistance/Design Assistance (TA/DA)). Each major column will be further subdivided into building types: standard buildings and energy intensive buildings. Each cell of the matrix will contain an estimation of energy savings attributable to a TA subprogram for specific building type attributable to a specific TA program channel.

A strength of this framework approach is that it links identifiable and countable FEMP activities directly to energy savings. Another strength is that the matrix represents through its columns exactly how FEMP is organized. Thus, by filling in

the cells of the matrix, FEMP will be able to assess the effectiveness of specific delivery channels and energy savings attributable to its specific programs. It should be noted, however, that there are other models that can be used to conceptualize the influence FEMP has on energy use in the federal government. For example, it is possible to conceptualize FEMP's activities as influencing the various stages of the life of a building, from its design to its construction to its operation and maintenance.

The project team will work with DOE and FEMP to relate the framework to the underlying logic of the program (as per FEMP TA logic models). In addition, as requested, the project team will work with DOE and FEMP to map the particulars of the matrix to these more general program area categories if DOE and FEMP desire estimates of energy savings associated with building life cycles.

Task 2: Identify existing data sources to estimate outputs associated with each cell of the matrix. Outputs are related to channel activities, such as the number of TA/DA projects completed, the number of assessments conducted, and the number of software packages downloaded from the website. FEMP Central is expected to be a major source of data for this project.

Task 3: Identify existing data sources to estimate energy savings outcomes associated with the estimated outputs. For some cells in the matrix, data sources probably already exist that associate outcomes with outputs (*e.g.*, FEMP Central has energy savings outcome estimates for many TA/DA and SAVEnergy projects). Those cells in the matrix for which energy savings outcome data are not readily available will be identified.

Task 4: Prioritize cells without readily available outcomes data. It may not be possible given the time and funding limitations of this project to estimate outcomes for each cell of the matrix. Therefore, efforts need to focus on those cells that are expected to yield the highest energy savings estimates. The project team will work with FEMP staff on this prioritization task.

Task 5: Develop primary data collection plan. Based on the outcomes of Task 4, a primary data collection plan will be developed to estimate energy savings for cells with high priorities. It is expected that the plan will include a survey. The plan will specify the potential survey respondents (*e.g.*, FEMP staff, project managers, and/or FEMP customers), how the respondents will be chosen, and what type of survey will be administered. The type and scope of the survey will be driven by primary data collection needs and constrained by the time and funding available to this project.

Task 6: Develop methods to estimate energy savings outcomes for those cells where outcome data are not available and where primary data collection will not be conducted. Based on other outcome evaluations conducted by the evaluation contractor, existing literature and information collected about other deployment programs probably contains many useful results that could be generalized to the FEMP context. Description of methods will clearly outline approaches to be used to assess attribution of outcomes.

Task 7: An external review of the framework and data collection/analysis plan (i.e., Evaluation Plan) will be conducted. Time will be allocated in the project schedule to allow the overall evaluation plan to be peer reviewed. A preliminary evaluation plan that provides a sufficiently detailed description of Tasks 1 through 6 will be prepared and

presented (could be in the form of a PowerPoint) to FEMP staff and small group of external reviewers.

Task 8: Collect available output and outcome data. This project will rely on existing data sources, such as FEMP Central. Organizations that may have relevant output and outcome data will be contacted and requests for data will be submitted. The primary data plan developed under Task 5 will be implemented.

Task 9: Implement the approaches developed under Task 6 to estimate energy savings outcomes for the other cells in the matrix.

Task 10: Develop a discussion about how much of the energy savings outcomes in the matrix can be directly attributable to FEMP's TA program.

EVALUATION WORK STRUCTURE

This project will address energy savings attributable to FEMP's TA program in FY03. The project will begin in July 2004. A first draft of the framework will be delivered to FEMP in July 2004. A document more clearly defining what can be accomplished by this first, preliminary metrics project within the time and funding constraints of this project, and a preliminary primary data collection plan will be delivered to FEMP in November. That document will also form the basis for material used in the external peer review to be conducted in early December. Primary data collection will begin in January 2005. A draft report will be delivered to FEMP in April 2005 to be reviewed by FEMP staff and the external reviewers. A final report will be delivered to FEMP in June 2005.

ASSISTANCE TO BE PROVIDED BY FEMP TO THE EVALUATION CONTRACTOR

FEMP will assist the evaluation contractor in its efforts to identify data resources and collect relevant data. For example, FEMP will provide the evaluation contractor access to FEMP Central. FEMP will direct the evaluation contractor to relevant data sources and will provide contact information.

DELIVERABLES

The evaluation contractor will provide the deliverables at the times listed under Evaluation Work Structure.

QUALITY ASSURANCE

All deliverables will be internally reviewed by the evaluation contractor and will be reviewed by FEMP staff. A small number of external reviewers will review and provide comments on the preliminary Evaluation Plan (see Task 7). They will also review the draft report.

ORGANIZATION AND MANAGEMENT

The evaluation contractor will provide the deliverables at the times listed under Evaluation Work Structure. The evaluation contractor staff will regularly report project progress to FEMP staff. The evaluation contractor will present the preliminary evaluation plan for the project to FEMP staff in Washington, DC in December 2004 (or at a more convenient date as necessary).