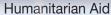
# EVALUATION OF HUMANITARIAN AID BY AND FOR NGOs

A guide with ideas to consider when designing your own evaluation activities



An independent review financed by the Directorate-General for Humanitarian Aid. The opinions expressed in the review do not necessarily reflect the policies of the European Commission.







# **Acknowledgements**

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of the European Commission

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# **Acronyms and Abbreviations**

*AI* Appreciative Inquiry

ALNAP Active Learning Network for Accountability and Performance

in Humanitarian Action

CAP Consolidated Appeal Process (UN)

CIDA Canadian International Development Agency

**DAC** Development Assistance Committee

**DANIDA** Danish International Development Agency

**DEC** Disasters Emergency Committee

**DG AIDCO** European Commission Directorate-General for EU External Assistance

(also called EuropeAid)

**DG ECHO** European Commission Directorate-General for Humanitarian Aid

FPA Framework Partnership Agreement (DG ECHO)

GHD Good Humanitarian Donorship (Principles)

HAP-I Humanitarian Accountability Partnership - International

IASC Inter-Agency Standing Committee (UN)ICRC International Committee of the Red Cross

*IDP* Internally Displaced Person

*IFRC* International Federation of the Red Cross and Red Crescent

**LFA** Logical Framework Analysis

**LRRD** Linking Relief, Rehabilitation and Development

M&E Monitoring and EvaluationMFA Ministry of Foreign Affairs

**NGO** Non-Governmental Organisation

OCHA Office for the Coordination of Humanitarian Affairs (UN)
OECD Organisation for Economic Cooperation and Development

**PCM** Project Management Cycle

**QA/QC** Quality Assurance/Quality Control

RAE Rapid Assessment in Emergencies (UNICEF)REAM Rapid Evaluation and Assessment Method

**RTE** Real Time Evaluation

**SMART** Specific, Measurable, Attainable, Relevant and Time-bound (indicators)

3Cs Complementarity, Coordination, Coherence (Maastricht Treaty's principles

for development cooperation and humanitarian aid)

TOR Terms of Reference
UN United Nations

**UNDP** UN Development Programme

**UNEG** UN Evaluation Group

**UNHCR** UN High Commissioner for Refugees

**UNICEF** UN Children's Fund

URD Urgence Réhabilitation Développement (Groupe)

WFP World Food ProgrammeWHO World Health Organisation

# A. PREAMBLE (Foreword)

Dear friends and colleagues,

Our first major purpose in this Guide – which we would like to be considered in the advisory not mandatory sense - is to de-dramatize evaluation. Of course, an evaluation may represent a "moment of truth" in the lifetime of a programme, a time to examine and be examined. But that is a small price to pay, for learning how to improve our humanitarian actions and for increasing accountability, isn't it? An evaluation is first and foremost an opportunity to **LEARN!** The Chinese, among others, have long understood the importance of the learning process.

"To know that you do not know is already to know something" (Confucius)

There can be a lot of mystic as well as misinformation about evaluation. A number of otherwise sensible people may become quite emotional when they hear the term! But evaluation is no more – and no less – than taking an organised approach in obtaining feedback about the results of our actions, with the immediate objective of improving our effectiveness, and with the ultimate goal of benefiting the beneficiaries who we serve, their communities and their future.

There are a variety of valuable methodologies, courses and guidelines already in existence, adapted to various situations and objectives, which have often been widely disseminated. Many of these are being updated, and new approaches are regularly introduced. Why then a new approach, which we have decided to call a 'Guide' rather than a 'methodology' as suggested in the project's initial title?

Rather than attempting to reinvent the wheel by creating yet another methodology that may duplicate or confuse, we have felt that our second major purpose - and perhaps an added value - should be to provide a practical overall "guidance" to these often parallel approaches, in order to make evaluations as simple, affordable and non-obstructive as possible. In doing so, our primary target group are the NGOs that do not yet have firmly established evaluation procedures. However:

"Make everything as simple as possible, but not simpler" (Albert Einstein)

Einstein was right, of course. Do not expect an "idiot's guide" that would not respect the integrity and professionalism of the great majority of humanitarian actors. Humanitarian aid is among the most challenging activities in the world. Aid workers have often to face overwhelming odds, or unexpected and real dangers. The authors of this Guide have longstanding respect, admiration and gratitude for what they have witnessed in the field. The world would definitely be an even more miserable place without humanitarian workers.

Similarly, and precisely because of the complex environment in which humanitarian actions take place, carrying out evaluation and establishing attribution is not easy. As we emphasise throughout this Guide, the most important step you can take to keep evaluations as simple

- and as relevant - as possible is to maintain a focus throughout the evaluation process, starting from the very beginning, on how the evaluation can be USED.

Accordingly, the third major purpose of this Guide is to help humanitarian aid agencies to build up, develop or maintain the basic capacities to carry out useful evaluations.

The Guide is divided into three main sections, consistent with its key purposes.

- A general introduction to evaluation, and more importantly chapters on mindsetting (bearing in mind how you can use evaluation to your best advantage) and focusing (how to set priorities so that evaluation activities are addressing those questions that will provide you with the most useful information).
- Our toolbox: how to plan and manage an evaluation, tables to help you selecting among existing tools according to the chosen focus, examples that can be copied or adapted and, where relevant, our comments regarding strong and weak points.
- A section devoted to capacity building and dissemination of results (perhaps one of the trickiest parts!).

An overall diagram is presented below. It will provide you with the necessary guidance throughout the various parts of this Guide, by highlighting the relevant boxes at the beginning of the corresponding chapters. Wherever required, hyperlinks will provide easy access the many of the most relevant web sites and documents.

Finally, the tradition in a foreword is to include a caveat. Ours will be that, considering the constant evolution of humanitarian challenges, soul-searching and responses, the current version of this Guide can only be meant to be a snapshot, to be regularly updated and upgraded.

Happy reading – and evaluating!

### The authors



### В. **Overall diagram of the guide** Table 1 Considering expected benefits - Why do we want to do an evaluation? 0 - How are we going to use the results? (Accountability and/or learning purposes, from operational to policy levels...) ⊗ ш Focus on outcome Focus on process S or **combination** of both (looking "outside") (looking "inside") Z ≥ Defining evaluation questions Standards, types, planning, methodology, management, reporting, dissemination and use of results Generic Criteria (not to be applied mechanically: **Generic Criterion** 1, 2 or all three criteria can be selected): • Efficiency (Quality of process) Effectiveness Relevance Values 0 0 Main sectors Cross-cutting Z (single or multiple issues (single or ALUATIO choice): multiple choice): Children Food Health Participation Tool box B: • Etc... • Etc... · Example of evaluation question(s) Tool box A - for each sector or issue: Recommended existing/field-tested • Example of evaluation question(s) tool(s), benchmark(s) and · Recommended existing/field-tested indicator(s) with web links tool(s), benchmark(s) and indicator(s) · Linkages to monitoring with web links · Linkages to audit · Linkages to monitoring Suggestions and caveats · Suggestions and caveats Capacity building/learning environment Support by donors: (for planning and managing evaluations, · Funding, as relevant using results) by and for target NGOs: • QA/QC ("good enough" overall quality) · Coordination with donors (3Cs) · Key internal functions in place Help in finding experts • Training, refresher courses... PA( • Dissemination of results, strategic use Coaching • Global, joint, thematic, peers, meta,ex ⋖ · Mentoring post evaluations, to balance single Peers evaluations by small/medium sized

• Other conducive types of support ...

NGOs, to measure impact, etc.

# C. Introduction

This chapter will attempt to outline what is and what is not, a humanitarian evaluation, and to summarise DG ECHO's objectives in promoting this document.

### What IS a humanitarian evaluation?

The main reason for undertaking evaluation of humanitarian actions is to learn how to improve the effectiveness of what we do! All evaluation activities should be designed around this basic objective – often referred to as "utilisation-focused evaluation". This is a theme that we will discuss throughout this Guide. ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action) link 1 offers the following definition:

The evaluation of humanitarian action is "a systematic and impartial examination of humanitarian action intended to draw lessons to improve policy and practice and enhance accountability".

There are many similarities, but also a number of major differences between "normal" evaluations and those carried out in the context of a humanitarian situation. For example ALNAP<sup>2</sup> indicates that humanitarian programmes frequently operate under considerable time pressure and in very fluid and fast changing contexts, with lack of security, of authorities (except "non-State" ones) and access, disruption of infrastructures and services, massive displacements and human rights violations. To this, one might also add that humanitarian interventions, as well as evaluations of these, often take place under severely limited human and budgetary resources.

As a rule, any evaluation should respond to a **perceived need** (for example, to generate learning for the preparation of the next or another similar operation, or because beneficiary contact monitoring indicates that the operation might not produce the intended results). An evaluation should not be undertaken « for the sake of making evaluations », or to help convince a generous donor to donate even more. That is generally a waste of money, and humanitarian resources are already scarce!

Any evaluation activities undertaken should also fulfil criteria of **usefulness** - which includes **timeliness** - and **credibility**<sup>3</sup>. As this Guide suggests, evaluations should be initiated by concerned implementing partners, when there is a **maximum opportunity for learning**, or when a specific need is being felt. They could also be requested by either donor(s) and/or recipients – if these are adequately organised - for some specific reasons. This need can be either internal to the concerned actor (focus on process), external (focus on outcome), or both. A list - not limitative of course - of key reasons to evaluate, can for example be found in the USAID Tips<sup>4</sup>. **Link 2** 

In addition, evaluations must respond to some key criteria.

<sup>2</sup> Evaluating Humanitarian Action, chapter 2.2; ALNAP 2006

<sup>3</sup> Principles for Evaluation of development Assistance, OECD/DAC, Paris 1991 – see also Link 56

<sup>4</sup> Performance Monitoring and Evaluation Tips n° 11, USAID 1997

- Seeking to reflect the reactions of beneficiaries. Evaluation planning must provide for adequate consultations with representative beneficiary groups, with attention given to including the perspectives of males, females, children, and other vulnerable groups as relevant to the operation;
- Not be confrontational. Evaluations are most effective if done in a constructive manner. They must be perceived as helpful and as providing added value, with their key objective being to improve performance.
- Be objective and impartial<sup>5</sup>. These often are considered the defining characteristics of evaluation, so that they are evidence based and credible. Often this is interpreted as meaning that evaluation needs to be independent. But what does this mean? Independence also needs to be balanced by the need to involve key stakeholders in the evaluation process in some way, in order to provide for buy-in and commitment to follow-up action. The appropriate balance of independence can depend upon the purpose of the evaluation. One way to provide for objective and impartial information, in particular when the credibility of the findings and conclusions outside the organisation is important, is to use evaluators who have not been involved in any stage of the operation being evaluated. In other situations, a self evaluation approach can be most appropriate, where staff and volunteers within an agency are directly involved in evaluation activities, identifying strengths and weaknesses of what had been done and areas for improvement. A combination of both internal and external evaluation is also possible. In all cases, the data-gathering and analysis approaches should use procedures that would not intentionally or inadvertently result in biased or misleading findings. Otherwise, the evaluation would not be accurate or useful in any respect.

Beyond these basic principles, the evaluation literature is full of various classifications of types and approaches to evaluations, e.g. according to the phase of the project or programme during which it is carried out (before, intermediate or after), its focus (looking at process or at outcome), the level of sophistication of the process (from quick-and-dirty rapid appraisals to very sophisticated research designs), and to the evaluator him/herself (own agency staff or external expert). More will be said about evaluation types in a later chapter. **Link** 

### What a humanitarian evaluation is NOT

An evaluation, humanitarian or not, should not be confused with:

- a **scientific study**. Evaluations can make use of "scientific" methods, but their primary purpose is to provide practical guidance for future directions;
- an audit. Audits are intended primarily to check that programme resources have been used in compliance with established procedures and requirements. Audits traditionally involve examination of accounts, although "value for money", "performance" or "management" audits may also examine how resources have been used; or

 a monitoring exercise. As defined by OECD/DAC6, monitoring is: "a continuing function that uses the systematic (at regular intervals) collection of data on specified indicators to inform management and the main stakeholders of an ongoing operation of the extent of progress and achievement of results in the use of allocated funds and aid."

A comparative table of differences between audit, monitoring, and evaluation can be found be clicking here. Link 3

However, don't be hasty in discarding monitoring or audit considerations when you plan an evaluation! They all represent elements of the result-based management process, and are often inter-related at some stages.

For example, monitoring data are essential inputs to evaluation. In return, evaluation can help to define what should be monitored in the future. This complementarity has been very aptly outlined by USAID<sup>7</sup>, as follows:

"...operating units need to know not only **what** results were achieved (via the monitoring system) but also **how** and **why** they were achieved, and **what actions to take** to improve performance further (via evaluation)".

To optimise these linkages, DG ECHO has commissioned a contiguous methodological guide focused on monitoring. **Link 4** Specific cross-references will be provided where relevant in this Guide.

The relationship between evaluation and audit is usually less direct. An audit provides feedback and recommendations to the management of an organisation i.a. in respect of: the effective management of the organisation and the economic use of resources (cost efficiency); the soundness, adequacy and application of the financial and operational systems, procedures and internal controls, etc.

Audits sometimes may take into account the existence of evaluation studies and reports as part of their analysis. As undertaking an evaluation represents one element of good management and can often identify potential problems before they become serious, organisations that undertake evaluation, and act upon the findings and implications, generally are less likely to run into problems with external audits.

Similarly, evaluations may utilise some data provided e.g. by management audits to assess some aspects of the internal efficiency and performance of an organisation (see glossary **Link** and chapter F.3 **Link**).

<sup>6</sup> Glossary of Key Terms in Evaluation and Results Based management, OECD/DAC, 2002.

<sup>7</sup> Performance Monitoring and Evaluation Tips n° 11, USAID 1997

# Why has DG ECHO commissioned the development of this Guide?

Confronted with a number of major crises in the early nineties (ex-Yugoslavia, Rwanda etc), the European Commission created a specialised humanitarian service, ECHO (the European Community Humanitarian Office) in 1992. A specific mandate was adopted **link 5** to be able to fund emergency assistance and relief to the victims of natural disasters or armed conflict outside the Union. The aid is intended to go directly to those in distress, irrespective of race, religion or political convictions. ECHO has rapidly become the largest single humanitarian donor in the world. It has also evolved into the European Commission's Directorate-General for Humanitarian Aid (DG ECHO). DG ECHO's activities are detailed in its website. **link 6** 

DG ECHO works primarily through a variety of implementing partners, including UN agencies, the Red Cross and major European-based NGOs, linked by a Framework Partnership Agreement (FPA) for NGOs link 7 and the Financial and Administrative Framework Agreement (FAFA) for UN agencies. In order to improve the effectiveness of humanitarian aid actions, it is important that all humanitarian organisations carry out evaluation in some way. In this regard, DG ECHO seeks to support the development of a culture of evaluation among all humanitarian organisations, to further strengthen their capacities and effectiveness. In particular, NGO implementing partners should be encouraged, as a standard of good practice, to evaluate their actions whenever they feel the need, rather than leaving the initiative to a donor. A dedicated budget heading has been included in the FPA for that purpose.

While most of DG ECHO's largest partners have long since developed effective evaluation approaches, this is not always the case with NGOs, in particular some small and medium ones. In this context DG ECHO has commissioned the present project, to propose a common methodology or guide for evaluation, specifically designed for humanitarian activities. The terms of reference **link 8** suggested that the following parameters be taken into consideration.

- It should be able to increase the timeliness and quality of information available to the humanitarian decision makers, aiding in transparency and accountability at all levels, and improving the effectiveness of current and future humanitarian actions by learning.
- It should integrate a measure of coherence with the recently created DG EuropeAid evaluation guidelines **link 9**, as much as these are appropriate for humanitarian situations and applicable for NGO actors.
- It should also take into account a number of key policy documents such as the Maastricht Treaty's criteria of coherence, coordination and complementarity (the "3 Cs") link 10, major humanitarian standards and values, and some highly relevant recent initiatives.

Before drafting this Guide, the authors consulted extensively with a large number of humanitarian actors and stakeholders, through interviews, workshops, and field visits. A number of key messages were delivered with remarkable consistency and regularity, in particular:

"Do not attempt to reinvent the wheel!" and "Do not impose a one-size-fits-all approach."

These helpful addenda to the TOR were complemented by a few other frequently received recommendations:

- make the Guide simple but not simplistic;
- make it flexible and adaptable to particular situations;
- if possible, make it modular, so that those interested in more extensive approaches can go into further detail;
- provide a toolkit with a range of possible approaches that could be applied depending upon the context;
- · provide for a participatory approach;
- · take into account the realities of humanitarian aid, and of NGOs; and
- above all, make evaluation useful to the organisations undertaking evaluation, with a forward looking approach that can aid in improving current and future practices.

This Guide will attempt to provide responses to these various expectations.

### D. Mind-setting: a positive focus on use and improvement! Table 2 Considering expected benefits for management and staff 0.0- Why do we want to do an evaluation? 0 - How are we going to use the results? (Accountability and/or learning purposes, from operational to policy levels...) ⊗ ш Focus on outcome Focus on process S or **combination** of both MINDS (looking "outside") (looking "inside") Defining evaluation questions Standards, types, planning, methodology, management, reporting, dissemination and use of results Generic Criteria (not to be applied mechanically: **Generic Criterion** 1, 2 or all three criteria can be selected): • Efficiency (Quality of process) Effectiveness • Relevance 0 10 Main sectors Cross-cutting LUATION (single or multiple issues (single or multiple choice): Food • Health Participation Tool box B: EVA • Example of evaluation • Recommended Tool box A - for each sector or issue: existing/field-tested • Example of evaluation question(s) Recommended existing/field-tested indicator(s) with web links tool(s), benchmark(s) and indicator(s) Linkages to monitoring with web links Linkages to audit Linkages to monitoring Suggestions and caveats · Suggestions and caveats Capacity building/learning environment Support by donors: (for planning and managing evaluations, using results) by and for target NGOs: • QA/QC ("good enough" overall quality) PACIT • Key internal functions in place · Help in finding experts • Training, refresher courses... · Dissemination of results, strategic use · Global, joint, thematic, peers, meta,ex $\triangleleft$ Mentoring post evaluations, to balance single Peers evaluations by small/medium sized • Other conducive types of support ... NGOs, to measure impact, etc.

Why bother with evaluation? Depending upon how you view and approach it, evaluation can either be an extremely useful exercise that can greatly assist with the most effective use of humanitarian aid – or a waste of time. That is why **the frame of mind** in which one approaches evaluation is so critical, and what we focus on in this brief but critical chapter

Few humanitarian aid actors would claim that they have the perfect answers to very challenging, indeed sometimes seemingly intractable situations. The best we can do is to try – taking into account experiences in similar situations, learn from what works well or not, and make improvements.

Approach evaluation as a tool that can assist you in learning and improvement, and not for finding fault, casting judgements, or for punishment

A possible heading for our preamble might have been: "Nobody ever said that it would be easy". Indeed, and one could add that "only those who work can make mistakes". Invariably things will go wrong or will not happen as expected, for a variety of reasons, often out of one's control. The more innovative we are, the more that we break new ground in unfamiliar territory, the more likely we are to make some mistakes. The inevitable problems should be viewed positively – as opportunities to learn and not to punish.

Agencies should therefore not try to push disturbing facts under the carpet - if they appear and if there is a carpet - but try to understand **why** things may have gone wrong, what lessons could be learnt about it for the future, and what (if any) could/should be done to amend the situation. Evaluation can be an invaluable tool to help in this regard. Conversely, when it is clear that things are going right, it can be useful to document good practices, the reasons for these – and what perhaps could be adapted from these practices and applied in other situations.

The same principle goes for evaluation itself. Your approach need not be perfect, or fully comprehensive. The goal of evaluation is to provide better information, so that decisions and actions are better informed. Rarely is it necessary or appropriate to search for the "perfect" answer, which very rarely exists in any case. Especially in the fast moving context of humanitarian actions, we rarely have the luxury of waiting for complete information. Yet it still is important to undertake some form of evaluation activities, in order to ascertain that activities are indeed assisting beneficiaries as intended, and to identify ways in which current and future undertakings can be further improved.

Remember: "Errare humanum est, perseverare diabolicum!"

### Which benefits can you expect from evaluations? What are the potential drawbacks?

As we have indicated, the major benefit that can arise from evaluation is learning and identifying new ideas about improving the effectiveness of humanitarian aid, to better benefit beneficiaries. A workshop organised with DG ECHO partners at the onset of the project, as well as many other stakeholders interviewed by the developers of this Guide, highlighted the following potential benefits from evaluation:

- evaluation is about "shaping your future";
- by assessing an agency's own performances and weaknesses, evaluation can help in capturing lessons learnt, addressing internal information needs, developing a culture of results, of learning by doing, and demonstrate responsibility to stakeholders;
- it can provide for accountability to both donors and beneficiaries (external focus);
- it can assist agencies in improving the quality of their work (internal focus);

- evaluation is an integral part of effective management and the PCM cycle;
- evaluation can help avoid wasting resources on inappropriate activities; and
- evaluation can identify needs and perspectives of beneficiaries and others adversely affected in emergencies or other humanitarian situations.

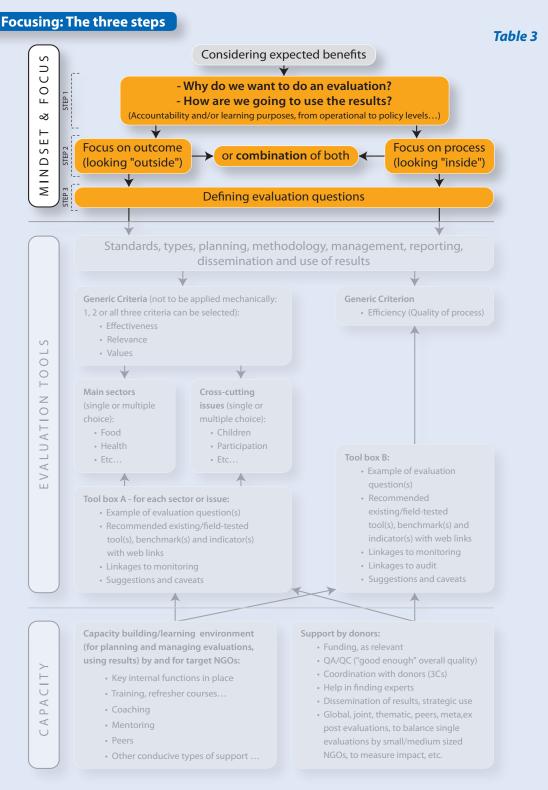
Learning and improvement can take place at different levels, for example at the **organisational** level. It can assist in assessing the effectiveness of ongoing operations and how they can be improved. It can also provide guidance about what can be learned from past experiences in order to result in more effective interventions in future emergency situations. A good illustration can be found in the joint efforts of the Tsunami Evaluation Coalition (TEC). **Link 11** 

Let us be straightforward, though. Evaluation is not always viewed as the most interesting part of a programme. There are strong benefits to undertaking evaluation, but there can also be constraints – which may depend upon how the evaluation is approached. The partners' workshop also listed some potential reservations about evaluation.

- Evaluations in some cases may be viewed as long, stressful and complicated, with lots of reporting paperwork. Sometimes there can be a feeling that resources for evaluation could be better used for operations.
- In particular, various donors may have various requirements regarding TOR and reporting formats, which can multiply the workload.
- Budget (and time) available is often too limited.
- Evaluations are often carried out too late in a project to be really helpful, especially
  within the short time frame for humanitarian projects; there may also be a lack
  of institutional memory process to properly capture findings, so that they can be
  used in the future.
- Much depends on the skills of the evaluators and also how the evaluation and the evaluation team are managed!
- Evaluations imposed by donors sometimes are not viewed as helpful by agencies. There is also a lack of feedback from some donors about performed evaluations.
- Conducting evaluations can be challenging in emergency contexts, such as when field security is poor.

Just like anything else, evaluation can be a negative experience if not approached in the right way. That is why your mindset, **how** you approach evaluation, is so important. With a positive approach, i.e. conducting evaluation activities focused on questions that can best assist you in assessing results and improving current or future undertakings, evaluation can be an essential part of programme activities rather than a mere add-on – or a (felt) sheer nuisance. Indeed, how can we possibly know – or tell others – that our efforts are really making a difference without at least some form of evaluation? Therefore, once you have identified how evaluation can be useful and provide an opportunity to learn and to improve:

"Just do it!" (Nike)
...but seek - and use - feedback so that successive efforts
can be even more effective.



Evaluations most often go wrong by addressing the wrong questions –or too many questions. The most important step in any evaluation is determining its **focus**, from the onset. This includes identifying what information is needed, who can use it, and in what ways. There is little point to embark upon an evaluation if it is not clear how it can be useful – and used, at least in some way. Remember, defining the focus of an evaluation, including specifying how it can be used, represents a major opportunity for **you** to make sure that evaluation serves the needs of **your** organisation! Three successive, essential focusing steps should be considered before tackling methodology and tools.

# Remember: when everything is a priority, nothing is!

One of the most important ways of keeping an evaluation doable – and useful – is by focusing it on a small number of key questions or concerns. What are the core questions that are most important to you at the present time, where information from evaluation could be most useful – and have the potential to be used?

Major evaluation actors have come up with corresponding sets of questions. We will for example explain later **Link** how the UN Evaluation Group is recommending its partner agencies to focus on three key questions only. However, for those who have yet to firmly establish their evaluation capacities, two very basic questions should first be tackled, an approach that has also been suggested by the evaluation section of the OECD/DAC<sup>8</sup>.

Step 1: The First Two Basic Questions – Why to evaluate and how to use the results?

"Before searching for answers, are we certain that we have the right questions?" (old evaluator's motto)

We have emphasised in the first chapters of this Guide that any evaluation should respond to specific, well argued reasons such as a perceived need to learn, or a good opportunity for doing so. It should therefore not come as a surprise that the first basic question before deciding to launch an evaluation - or propose it to a donor - should be:

### WHY DO WE WANT TO DO AN EVALUATION?

The "why?" question is particularly important in DG ECHO's approach of building capacity for evaluation, as some agencies may still think that "the donor knows why", and that the first step into an evaluation should really be "what do we want to evaluate?". The "what" is however only a logical follow-up of the "why". It has to be qualified by selecting among a first major choice as in Step 2, and then by defining a corresponding range of appropriate evaluation questions, which is explained in Step 3. A check list of possible reasons why to evaluate and why not, has for example been prepared by the ICRC9. Link 12

The second basic question is no less crucial. A focus on use is widely recognised within the evaluation community as a key aspect of evaluation<sup>10</sup> and is included as a basis prerequisite in many statements of guiding principles for evaluation of key actors, such as the ICRC: "Evaluations must be **useful** and **used**. If they are not, they are a waste of time, money and resources"<sup>11</sup>. Good practice collected e.g. from a massive survey carried out among nearly 300 evaluators and managers<sup>12</sup>, stressed that attention must be focused first on "planning for

- 8 Organisation for Economic Cooperation and Development, Development Assistance Committee Link 13
- 9 ICRC (internal) Evaluation Guidelines, April 2002
- The key reference and arguably the most readable text on evaluation remains: Michael Quinn Patton. *Utilization-Focused Evaluation: The Century Text.* 3<sup>rd</sup> Edition. Sage Publications, 1997
- 11 Cfr footnote 5
- 12 Preskill and Caracelli 1997, in ALNAP guidance booklet on Evaluating Humanitarian action, draft Sept' 2003

use at the beginning of an evaluation", and second on "identifying and prioritising intended users and uses of the evaluation". The corresponding question should be:

### HOW CAN WE USE THE EVALUATION?

Do remember, though, that use can take a variety of forms, both direct and indirect. As we have suggested in the previous chapter, evaluation use can range from fine-tuning current operations to assisting in identifying new policy positions. One form of use can include documenting accomplishments of the programme and how it corresponds to the needs and desires of beneficiaries – often referred to as accountability. **Link** Accountability and learning need not be treated as mutually exclusive, especially when it comes to evaluation. Indeed, a recent book<sup>13</sup> exploring the accountability concept and its implications for learning suggests that programmes should be held accountable for learning, including seeking feedback and asking difficult questions about their effectiveness, and for acting upon this information.

A more subtle, but extremely important form of use, involves the creation of evaluative thinking, where people involved in a programme constantly ask themselves: "Are we doing the right things in the best possible way? Are we addressing the needs of beneficiaries as anticipated? How do we know? How can we improve the appropriateness and effectiveness of what we do? This is also often referred to as "continuous quality improvement", results-oriented thinking, or a culture of evaluation.

Another important reason for identifying, at the **beginning** of the evaluation process how the evaluation is expected to be used, is that this should inform all aspects of the evaluation process, including the specific questions to be addressed (the "what"), who needs to be involved at various stages in the process, and the methods that should be used.

How an evaluation is shaped should depend greatly upon its intended users and beyond this on how the results are expected to be used. For example, if the primary users are the senior management or an important donor, the evaluation may be more likely to use more formal approaches with a focus on accountability, whereas participatory methodologies focusing on what can be changed in the current programme or operation may be more appropriate if the audience is made up of stakeholders or staff.

There rarely is one "right" method or approach to evaluation, it all depends upon its purpose, how it is expected to be used, and by whom. These considerations are addressed more under Step 3, and also later where we review tools and recommendations regarding plans for use and dissemination of results in the evaluation TOR (chapter F.1 Link), as well as in some supporting measures (chapter G Link).

Bemelmans-Videc, M-L, Lonsdale, J., and Perrin, B. *Making Accountability Work: Implications for Evaluation and for Audit.* Trans-Action Publishing, 2007.

# Step 2: The Focusing Choice – During and after, process and outcome

In our focusing approach, this second step will lead us to consider some major potential distinctions to better look into the 'what' question. Distinctions may often seem a bit artificial. Some of their components may be interlinked. Other, partly overlapping, distinctions could arguably be applied. Distinctions should therefore be considered as indicative not limitative, and certainly not as mutually exclusive. In this sense and with due caution, they can be quite helpful for focusing purposes.

Selecting a focus would in turn determine which specific evaluation questions must be asked (Step 3), and become a starting point for the whole corresponding methodology. Link As we have just pointed out, though, the two sides of this 'generic focusing' need not be mutually exclusive, as they are generally quite complementary. The double arrow between the two boxes in the overall diagram suggests precisely this.

If you feel the well-defined need NOT to follow the suggestions below, i.e. focusing either on process or outcome, formative or summative etc, but rather to adopt a more 'holistic' approach, the choice is yours! However, if you want to deal adequately (and not superficially) with several aspects, be certain that you have the capacity, time and resources, as they would entail different evaluation skills, planning and tools.

Indeed, a major way in which evaluations go wrong, especially when there are limited resources, is by getting too complex and complicated. Evaluations that try to cover too much ground invariably are more costly, will take longer to get going and to undertake, are more difficult and time consuming to properly manage – and ultimately may be less clear about the key action implications. A related problem is attempting to address the wrong question at the wrong time.

A key step in focusing your evaluation is deciding at what stage in the life cycle of your project or operation you wish to undertake evaluation activities. This of course will be related to your reasons identified in Step 1 above – why you are undertaking evaluation and how you expect this to be used. As a simple table may suggest **Link 202**, there are two basic options: 1. evaluation while your programme or operation is **still underway**, in order to be able to make appropriate changes or improvements; and 2. at the end of the operation, in order to assess its overall effectiveness and to identify learning lessons and implications for future interventions.

# Evaluation during an operation and focusing on process

The major benefit of carrying out evaluation during a programme or operation is that this potentially offers the greatest opportunity to make use of evaluation. This can enable you to ensure that your operation is as effective as possible and addressing the pressing needs of beneficiaries – while it is still possible to make changes and improvements to what you are doing. Why wait until afterwards, perhaps to identify what could have been done differently earlier, when it may be too late to make use of this information?

There are of course some challenges to implementing evaluations during an operation. We have already touched upon many of these challenges, such as difficulty in access, or

priority given to providing services rather than to evaluation. But without at least some form of evaluation, can you be sure that the services you are providing are the most critical ones to beneficiaries, and that they are being provided in the best possible way? Evaluation in such a context needs to be highly focused and kept very simple – but this could be a strength as well. Given the short-term nature of many humanitarian actions, a **formative**<sup>14</sup> evaluation carried out to assist active programme operations generally needs to take place within the first few months of an operation, much shorter than with the typical mid-term evaluation in other contexts or of large scale operations. Yet this is very much possible. In a later chapter of this Guide **Link**, we suggest how a Real-Time Evaluation (RTE) approach has and can be used. Or you may wish to use a variation on this approach.

Evaluation carried out during an operation inevitably would deal with the earlier stages along the results chain (input  $\rightarrow$  activities  $\rightarrow$  outputs  $\rightarrow$  outcomes  $\rightarrow$  impact), such as illustrated in table 6 below **Link**.

It is rarely possible to look at long-term outcomes or impacts at this stage. Indeed, premature evaluation of longer-term outcomes or impacts can be one way of setting yourself up for failure. In identifying questions for evaluation, be sure to consider what is realistic to expect, given the stage of the operation, the context, and other considerations. In a later chapter of this Guide **Link**, we will also see that articulating the intervention logic (or theory of change as it is sometimes called) of your project or programme can help you identify the appropriate focus for evaluation at a given period of time. Thus in the early stages of an operation, it may be appropriate to focus to a large extent on **process evaluation**<sup>15</sup> – on how implementation is proceeding (taking into account "activities" and "outputs" in the results chain). You may wish to make use of various standards and principles as discussed later in this Guide **Link** to ensure that you are acting responsibly. Be aware, however, of the dangers of an over emphasis on process. Remember: the only point of humanitarian interventions is to result in benefits (or **outcomes**) to beneficiaries, which may be short or medium term in nature, ultimately assisting in long-term improvements in quality of life (**impacts**).

Can you be sure that your activities and outputs (products and services provided) are indeed or are likely to address the real needs of people affected by the emergency or humanitarian situation? For example, your agency may be very effective at mobilising its resources and getting tents to an area affected by a natural disaster. But are these tents actually being used, in particular by those most in need? Are tents, as opposed to other forms of assistance, what is really most required? Are there other more pressing needs? Are the tents enabling people to cope as best as possible, and to move beyond, the emergency situation?

It may be premature to address questions such as these in the early stages of an intervention. But it is important, at the least, to consider how you expect the services and products you

An evaluation intended to improve performance, most often conducted during the implementation of an operation.

A *process* evaluation aims at learning how to improve the organisational efficiency. According to OECD/DAC, it is "an evaluation of the internal dynamics of the implementing organisations, i.e. their policy instruments, their service delivery mechanisms, their management practices, and the linkages between these".

provide to lead to benefits. Indeed, humanitarian and development agencies are sometimes criticised for focusing overly on what they **do**, with insufficient attention to the **results** and **benefits** arising. At the least, you should be thinking in these terms<sup>16</sup>. And as we discuss later in this Guide **Link**, even some simple methods (e.g. focus groups or interviews with a small number of beneficiaries) can give you an idea if the services that you are providing are helpful or not, and what else may be required.

To summarise, the major purpose of evaluation carried out during a project or operation is for **learning**, to help ensure that what is being done is appropriate, and to identify potential areas for improvements while there is still time to make changes, if appropriate. Your evaluation methods would be simple (indeed perhaps even "quick and dirty"), yet can still provide invaluable and useful information. Thus the major users of this information probably would be managers and staff involved in the particular intervention. But at the same time, such evaluation can also serve an **accountability** function **Link**, by helping to assure others (who may include beneficiaries, donors, and other stakeholders) that you are doing what you can to maximise the appropriateness and effectiveness of your operation.

# Evaluation at the end or after an operation, and focusing on outcome

Evaluation that is carried out towards the end of an operation or afterwards (often referred to as final or ex post or **summative**<sup>17</sup> evaluation) can provides greater potential to look at **outcomes** –the benefits that have arisen from the operation, in particular how beneficiaries have gained from the services provided<sup>18</sup>. It can be possible to look more comprehensively at challenges faced, at why initial assumptions and plans needed to be modified, and at unintended as well as expected effects, that could be positive or negative. It is possible to make use of more robust methods than might be possible in the early stages of an operation.

Evaluation carried out at the end of an operation, as we have indicated, is too late to aid that particular intervention, e.g. in addressing any particular concerns or opportunities to increase effectiveness identified by the evaluation. But learning lessons from such evaluation can potentially aid in the design and implementation of the next phase or follow up, as well as similar interventions in the same or different settings. Evaluations of this form may have the greatest potential for strategic use, for example in addressing questions that go beyond just a single operation. Long-term outcomes in particular rarely result from just a single intervention, and it may be possible to consider the interaction of different interventions and other considerations that may have affected what has resulted. But there can also be a danger of the evaluation not being used if it is not clear who can make use of what can

This Guide does not get into *ex ante* evaluation, which is performed before a programme is implemented. Ex ante evaluations are more typically used for larger, more complex programmes, to identify beforehand how the planned activities are expected to lead to expected results and if these assumptions are realistic.

An evaluation conducted at the end of an operation (or a phase thereof) to determine the extent to which the planned results were produced. A summative evaluation is intended to provide information about the value of the operation.

For those who are interested to know more about outcomes, a methodology called 'outcome mapping' has been developed, which characterizes and assesses the contributions development programs make to the achievement of outcomes. Outcome Mapping can be used at the program, project, or organizational level. Outcome Mapping remains however still a work in progress **Link 201** 

be learned – and if the lessons learnt are not provided in the right formats (see sections on Reporting Link and Following Up Link) and do not get into the hands of those who can best make use of them. Indeed, the most recent ALNAP Review of Humanitarian Actions Link 253 suggests that for these reasons, too often the humanitarian aid sector does not learn from its collective experience and repeats the same mistakes.

We suggest later that to undertake outcome evaluation such as this, you may wish to consider doing this jointly with other agencies also working in the same area. This can make it easier for the evaluation to consider contextual barriers and other factors going beyond those of a single agency, and also identify ways in which scant resources can be best coordinated or delivered in a complementary fashion.

Evaluation carried out at the end of an operation, as suggested above, also has an important **learning** function, with a focus on how future operations can be made most effective. As well, they can also be used for **accountability**, demonstrating what has been accomplished by the overall operation and why, and the reasons for the inevitable changes. In addition, asking the difficult questions – and in demonstrating how the findings are incorporated in future actions, represents signs of a responsible organisation, that in itself can demonstrate accountability – to beneficiaries and to donors.

A major challenge of this Guide is to "keep it simple, but not simplistic". As you may notice from the multiplicity of definitions, types of evaluation, criteria, standards etc, the evaluation activity has almost been kidnapped from the hands of field practitioners to become a favourite playground for academic researchers. To streamline this a bit and to make it more easily understandable to the bulk of our "target population" – some of the NGO implementing partners who have still to integrate an effective approach to evaluating - we will be using throughout this Guide the generic terms of **outcome** and **process** evaluations, which are both widely used and quite self-explanatory<sup>19</sup>.



In our constant quest for simplicity, we were tempted, at a certain stage, to use the generic terms of "outside-looking" evaluations – primarily concerned with outcomes or external accountability of humanitarian interventions - and "inside-looking" evaluations, whose primary focus is on how your organisation is working. This was prevented by our other constant concern not to reinvent the wheel. Outside and inside will nevertheless still appear in some parts of this Guide, including in the diagrams.

# Step 3: What Do We Want To Know, Actually?

The last focusing step is probably the most difficult, as it requires a clear picture of the activities to be assessed, of what exactly to prioritise on, a consensus between stakeholders on this, and some drafting skills. All this can be achieved through a few specific **evaluation questions**.

We have stressed the critical importance of determining – in the preliminary planning stage – the focus of an evaluation, and more specifically what **questions** it should address. In most evaluation guidelines however, the preparation of specific evaluation questions is placed at a later stage, usually somewhere in the methodology. This is not entirely wrong either, as evaluation questions are closely related to e.g. indicators or data collection tools, but in a humanitarian context where time and resources are usually lacking, every opportunity to focus the evaluation should really be placed as early as possible in the process.

What is the best way to define evaluation questions? As always, look for where there is the maximum **opportunity for learning**, at various levels – as well as for acting upon this information in some way.

- Start by identifying **who** could best make use of evaluation information ("**Who** wants to know?"). Many people can be concerned, ranging from staff in the field, HQ or policy staff, leaders and members of the community where the project is taking place, donors or potential donors, other partners, etc. Some concerns can be redundant; in other cases, a consensus may have to be reached.
- Once you know who, ask them what questions they have, and what information could be of greatest use to them. ("What do they want to know in priority, and when?").

Often questions to explore in an evaluation can be obvious and just require identification and clarification. For example, sometimes there is a problem, and the key question concerns identifying the reasons for this and what can be done to address it – in the present context and/or in future similar situations. Or perhaps you are taking a new approach, or working in a different context than previously, and you want to learn about the strengths and potential limitations of this. Maybe questions are being raised, or can be anticipated, about the appropriateness of impact of the strategies and activities that have been undertaken. You may have hypotheses that you want to validate. You may also feel that there are some good practices that should be documented so that these can be used in other settings or contexts.

Some widely used approaches and techniques can be helpful in suggesting questions that should be explored in an evaluation. There are for example the evaluation criteria developed by OECD/DAC<sup>20</sup>, which will be discussed in the methodological section of this Guide **Link**. Elements of the logical framework analysis of a project **Link 14** and its intervention logic **Link 15**, as recommended by DG EuropeAid in its evaluation guidelines **Link 16**,

<sup>20</sup> Five criteria were defined at first for evaluating development programmes: relevance, efficiency, effectiveness, impact and sustainability. The list was increased to seven criteria for evaluating complex humanitarian emergencies: relevance/appropriateness, connectedness, coherence, coverage, efficiency, effectiveness, and impact.

can also be used. The UN Evaluation Group (UNEG) **Link 17** has for its part identified three key questions for evaluation:

- Are we doing the right thing?
- Are we doing it well?
- Are there better ways of doing it? Link 18

Good practice indicates that evaluation questions should generally fulfil a few basic criteria.

- The number of evaluation questions should be kept to a minimum. Preferably, to keep things simple and manageable, you should focus the evaluation on a very small number of key questions (if possible, just one or two) that can provide you with the most useful information. In more elaborate, 'standard' evaluation processes, good practice recommends to limit the number of questions to a maximum of ten, again to remain manageable and maintain focus. There is in any case no need to follow mechanically the whole list of OECD/DAC criteria.
- Evaluation questions must reflect precisely what the initiator of the evaluation wants to know in simple terms. Articulate them well, since vague questions will generally lead to vague answers.
- Evaluation questions must avoid creating false expectations and frustrations.

In a participatory approach to evaluation **Link**, questions could be subdivided into small groups, to be used by some stakeholders (donor, peers, beneficiaries) if they wish to be involved in the evaluation and use some of the questions to address their own concerns, top-down or bottom-up. For example, a donor could enquire about the implementing agency's performance, and the agency about the beneficiaries' level of capacity and sustainability. But questions could also be asked by agencies about donors ("why was the contract signature or payment late?"), or by beneficiaries about agencies ("why was the delivery late, why was the product not adapted?") etc.

Some psychology could sometimes profitably be applied to evaluation questions, which can be formulated in several ways according to the context.

- Neutrally, possibly with the optional assistance of judgment references as suggested by DG EuropeAid Link 19, to optimise their objectivity.
- In a positive fashion, focusing on "What did we do right?"-type questions through the appreciative inquiry approach. Link 20
- In a more potentially negative ("deficit-based") way through the risk assessment and analysis approach ("What could go wrong?"). Link 21.

We recommend that you should consider the three approaches in preparing your evaluation questions, as some of them are likely to work better in specific circumstances –for example appreciative inquiry with local staff and beneficiary communities, risk assessment with management, or neutral questions with donors and professional peers.

The topic of evaluation questions will also be mentioned later in the methodology section, when we will be discussing criteria **Link**, and examples of field-tested evaluation questions will be provided as illustration, where feasible, for the variety of criteria listed in chapters F.2 and F.3 (implementing outcome **Link** and process **Link** evaluations).

### F. Tools Table 4 Considering expected benefits - Why do we want to do an evaluation? 0 - How are we going to use the results? ш (Accountability and/or learning purposes, from operational to policy levels...) 8 Focus on process Focus on outcome or **combination** of both (looking "outside") (looking "inside") Z $\leq$ Defining evaluation questions Standards, types, planning, methodology, management, reporting, dissemination and use of results Generic Criteria (not to be applied mechanically: **Generic Criterion** 1, 2 or all three criteria can be selected): • Efficiency (Quality of process) Effectiveness Relevance Values 0 0 Main sectors Cross-cutting Z (single or multiple issues (single or ALUATIO choice): multiple choice): • Food Children Health Participation Tool box B: • Etc... • Etc... · Example of evaluation question(s) Tool box A - for each sector or issue: Recommended existing/field-tested • Example of evaluation question(s) tool(s), benchmark(s) and · Recommended existing/field-tested indicator(s) with web links tool(s), benchmark(s) and indicator(s) · Linkages to monitoring with web links · Linkages to audit · Linkages to monitoring · Suggestions and caveats Suggestions and caveats Capacity building/learning environment Support by donors: (for planning and managing evaluations, • Funding, as relevant using results) by and for target NGOs: • QA/QC ("good enough" overall quality) • Coordination with donors (3Cs) • Key internal functions in place • Help in finding experts • Training, refresher courses... • Dissemination of results, strategic use $\triangleleft$ Coaching • Global, joint, thematic, peers, meta,ex $\triangleleft$ Mentoring post evaluations, to balance single Peers evaluations by small/medium sized NGOs, to measure impact, etc. • Other conducive types of support ...

# F.1. Planning and managing evaluations

This - long - chapter will successively review the various stages of preparation, management and follow up of a humanitarian evaluation. It will also include the core issue of the "methodology" itself, a topic that demands some explanations.

You may already have integrated in your procedures some or all of these issues, in which case the step-by-step guidance notes below can simply be used as a checklist. The main sections of this chapter include:

- a discussion on key standards and values, applicable to humanitarian evaluation;
- · a typology of evaluations, with our recommendations;
- assistance to preparing an evaluation methodology, including in the use of criteria and indicators;
- suggestions to drafting terms of reference (TOR);
- quidance for the management of an evaluation, including reporting; and
- some advice regarding follow up, dissemination and use.

These guidance notes are based on the most relevant parts of some widely used guidelines, such as (by alphabetical order): DG ECHO's own evaluation manual, UNEG standards for management, UNHCR "Step by step guide to managing evaluations", UNICEF "Managing monitoring and evaluation activities", the URD Group's Quality Compass, and WFP monitoring and evaluation guidelines. The internal guidelines prepared by some major NGOs, such as CARE, have also been used with their approval.

Regular references have also been made, wherever relevant to NGOs and to humanitarian aid (their main focus being on development), to the very comprehensive evaluation guidelines of DG EuropeAid.

Links will be provided throughout the chapter, and in the bibliography annexed to this Guide.

# Setting the standards

A standard is an optimal value, a "model" which represents the level of performance or quality that an evaluating agency should be aiming for. It is a reference to which a fixed value is assigned according to a context.

We will see below that standards have been prepared specifically for evaluating, e.g. by the UN. Many other sets of standards do exist though, which are related directly or indirectly to evaluation and to humanitarian activities, and their number is regularly increasing. You will find in this chapter short references to a selection among the most common ones, ranging from the code of conduct for aid workers to the management of human resources by agencies, key principles for donors, performance in the field, and last but not least - accountability. Additional sources can be found in the bibliography.

In addition to the above, it is essential that humanitarian agencies be aware of the key international legal documents that are themselves the bases of the various humanitarian codes and standards, i.e. the Human Rights declaration, the International Humanitarian Law (IHL), as well as the various related laws, covenants and protocols which are also listed in the bibliography.

Compliance with standards, and corresponding certification and accreditation of agencies are however still very much open questions at the time of drafting of this Guide. They will probably have to be inserted in an updated version, in due time.

### General evaluation standards

Agencies should consider such standards to upgrade or maintain their own internal organisations, management rules for evaluations, as well as the management of evaluators themselves. A key reference in this field is the **United Nations Evaluation Group (UNEG)**. **Link 17** The UNEG has established **Norms and Standards for Evaluation in the UN System** which represents a major advance in establishing common professional quality standards across the UN system, thereby contributing to UN reform and credibility. The UNEG consists of the evaluation units in all UN system organizations spanning development, humanitarian, normative and other mandates.

Among the norms **Link 22** and standards **Link 23** published by UNEG, some may also be quite relevant to evaluation activities performed by NGOs, in particular the following: norms 5 (impartiality), 6 (independence), 8 (quality), 9 (competencies –see also standards 2.1 to 2.4), 10 (transparency and consultation, 11 (ethics – see also standards 2.5 to 2.8) or 13 (contribution to knowledge building).

Other UNEG standards concern more specifically the management of evaluations and will be referred - where relevant - in the guidance notes.

In addition to their basic "Principles for Evaluation of Development Assistance" which we have already discussed **Link - Link 56**, OECD/DAC has also published some short Evaluation Quality standards, for test phase application. **Link 24** 

### Humanitarian values

As all of you certainly know already, the disaster of the Rwanda genocide in 1994 prompted six of the world's oldest and largest networks of NGOs, led by the **Red Cross** movement, to agree on a common **Code of Conduct** (its full name is the "Code of conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief"). **Link 25** The code has set, for the first time but on a voluntary basis only, universal basic standards to govern the way humanitarian agencies should work in disaster assistance. These standards, which need to be clearly understood and integrated by every humanitarian evaluation, are reproduced below.

Table 5

# The Code's ten principle commitments:

- 1. The Humanitarian imperative comes first.
- 2. Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone.
- 3. Aid will not be used to further a particular political or religious standpoint.
- 4. We shall endeavour not to act as instruments of government foreign policy.
- 5. We shall respect culture and custom.
- 6. We shall attempt to build disaster response on local capacities.
- 7. Ways shall be found to involve programme beneficiaries in the management of relief aid.
- 8. Reliefaid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs.
- 9. We hold ourselves accountable to both those we seek to assist and those from whom we accept resources.
- 10. In our information, publicity and advertising activities, we shall recognise disaster victims as dignified human beings, not hopeless objects.

The Principles and Good practice of Humanitarian Donorship ("Good Humanitarian Donorship" principles, or GHD) have been endorsed in Stockholm in 2003 by many donors, including DG ECHO. Beyond promoting good practices for donors in terms of financing, management and accountability of actions, GHD has reaffirmed objectives and definitions of humanitarian action, which is of course also of interest to all implementing agencies. However, GHD is usually more widely known for stating that humanitarian action should be guided by the key principles of humanity, impartiality, neutrality and independence, providing also corresponding definitions. Link 26 It should be noted that HAP-I (Humanitarian Accountability Partnership International, see below) has further classified the principles for humanitarian action in three tiers. Link 27

### Management

The People In Aid's 'Code of Good Practice in the Management and Support of Aid personnel' Link 28 promotes seven key principles that aim at improving the management of human resources by aid agencies. They recognise the crucial importance for any achievement of deploying adequate staff ('the right people in the right time at the right place'). These principles, which People In Aid has complemented by indicators, can be quite relevant in the case of a process evaluation, aiming to assess the quality of the internal organisation of a humanitarian agency.

### Performances in the field

The Red Cross Code of Conduct has been complemented in a more operationally oriented perspective by the **SPHERE** Humanitarian Charter and the **Minimum Standards in Disaster Response**, first published in 2000. **Link 29** Agencies committed to the Charter and to the

Minimum Standards are aiming to achieve defined levels of service for people affected by calamity or armed conflict, and to promote the observance of fundamental humanitarian principles. In particular, the Minimum Standards aim to quantify requirements with regard to people's need in all main sectors of humanitarian activities (water, sanitation, nutrition, food, shelter, health care) and in an expanding range of cross-cutting issues. The SPHERE Standards are also quite helpful in suggesting evaluation questions and indicators, which will lead to numerous references in the implementation chapters. Link

# Accountability

The concept of accountability is talked about frequently, but often with limited consideration to what this really means. Probably the most common definition of accountability in general use is the following: "the obligation to present an account of and answer for the execution of responsibilities to those who entrusted those responsibilities"<sup>21</sup>.

Based on a number of recent scandals - or at least open questions - (possible embezzlement of aid funds in Iraq, misuse of some of the international aid for the Tsunami victims etc) regular criticisms have been made, often by the actors themselves, about the lack of accountability and regulation of humanitarian action. Agencies may indeed arrive late, may fail to provide the kind of help that is most needed, or may overlook the humanity and dignity of the beneficiaries. Despite the various humanitarian codes and standards, much remains to be done in practice regarding accountability. Unlike private business, financial viability of humanitarian operations is generally ensured by the satisfaction of donors rather than customers.

Nevertheless, all key humanitarian actors now publicly agree that an agency equally needs to be accountable to its beneficiaries and the communities in which is works, for doing the best it can in addressing their needs. The main question is therefore increasingly not whether humanitarian action should be fully accountable, but rather how to do it.

The leading organisation in this field is HAP-I **Link 30**, which has published in January 2007 the "Standards in Humanitarian Accountability and Quality management" **Link 31**. HAP-I has in particular summarised what should be the approach to accountability through seven key principles **link 32**. ALNAP has also produced useful guidance notes on accountability in its course manual on evaluation of humanitarian action. **Link 39** Other initiatives can be found in the bibliography. **Link** 

However, accountability towards final beneficiaries may prove to be an extremely complex issue in a context of protracted and violent humanitarian crises, of breakdown of institutions, high polarisation and politicisation.

- Considering the extent of the needs and the limited resources (time, money) of most aid actors, the opinion of the final beneficiaries regarding their level of satisfaction with the aid delivered is often bound to be negative.
- Even maximum accountability cannot guarantee quality!

Gray, A. and Jenkins, W.I. (1993). "Codes of Accountability in the New Public Sector". *Accounting, Auditing and Accountability Journal* 6, 3: 52-67.

- Some NGOs argue that it is far from clear that the best way to ensure and demonstrate respect for beneficiaries is through accountable relations. Where does accountability stop? One NGO's position is e.g. that "the NGO should be trusted by the beneficiaries to do a decent, fair job", without going into unnecessary details.
- The stated priorities by beneficiaries and their preferred approaches may be contradictory to some core principles -or procurement procedures!- of aid agencies, depending on the local culture. In this case, be prepared for discussions!
- And, do not forget:

Be very careful about promises that cannot be kept!

# Deciding about the type of evaluation

Evaluations can be classified in many ways, according to the perspective and the approach taken to the main learning needs. We have already discussed the key distinction between process and outcome, or summative and formative types. Evaluations can also be called internal or self, when carried out by the agency's own staff, or external, by evaluators who have been contracted outside. From a timeframe perspective, evaluation can be launched exante (to validate the feasibility and design of a programme before starting), real-time, midterm, or ex-post (near or after completion). Special interest in the process of an evaluation can lead to a typology of e.g. standard approach (when there is enough time), rapid appraisal (when there is not), participative (when stakeholders are involved and/or learning is emphasised), independent (when accountability is emphasised) or joint evaluations (aiming at sharing resources and learning between peer agencies). Evaluations can also be focused on a specific aspect of the concerned humanitarian project or programme, which leads to a further classification. Link 33 Such classifications can easily become overlapping, though, and the list is not limitative.

This Guide aims at being most helpful to agencies that wish to improve their capacity or experience with evaluation. We would therefore, with some trepidation, suggest that they might at least start by considering one of the following two approaches. Standard evaluations will follow the methodology that will be outlined in the next chapter.

### Real-time evaluation (RTE) providing guidance for improving a current operation

Basically, RTE is a very fast and timely means of providing evaluative feedback. It is launched sufficiently early in the course of a humanitarian intervention to have an effect on key decisions and to assist in improving the existing operation. Experience demonstrates indeed that standard or ex-post evaluations often come too late in the usually rapid humanitarian project cycle. The RTE approach was first developed by DANIDA (in 1998-99 in Kosovo) and by UNHCR. It was designed to be aiming at "rapidly evaluating the effectiveness and impact of operational responses to emergencies and ensuring that findings were used as immediate catalyst for organisational and operational changes"<sup>22</sup>. RTE has since been applied by a

<sup>22</sup> UNHCR, Jamal and Crisp, 2002. See also "Agency experience with RTE – Towards an approach for inter-agency RTE", a joint UNICEF/OCHA paper, November 2006.

variety of NGOs and other organisations, and has evolved into a variety of Rapid Evaluation and Assessment Methods (REAM)<sup>23</sup>.

As the technique would apply to an NGO, it would typically involve a small team of evaluators who are already familiar with the agency's rules, potentials and constraints. As a good example, an RTE team may include someone from the HQ of the organisation and someone else working within the organisation on relevant activities but from a different site. This can provide the necessary 'distance' required by the standards of objectivity and impartiality, while at the same time taking a positive, constructive approach by people familiar with the organisation and situation. This can also aid in identifying potentially larger implications for other sites and/or for the organisation overall. The evaluation team would visit the operation and using a variety of data-gathering methods that can be applied quickly (typically including review of key documents, key informant interviews, and focus groups).

A useful table of rapid appraisal methods, with advantages and limitations has for example been prepared by USAID<sup>24</sup> Link 34 A debriefing is provided to field staff before departure, and a very brief report prepared very quickly afterwards (on the return flight, if possible!). This method can be applied very quickly, and with limited resources<sup>25</sup>. It has the potential to be very useful, focusing on what can be done right now to increase effectiveness, and perhaps identify lessons that could be applied in other situations. The learning can rest within the organisation, assisting with institutional memory. The primary focus of this approach would be 'inside looking' on process issues – although RTE can also consider whatever information could be available at an early stage about effectiveness (e.g. how beneficiaries are perceiving the intervention, and if there is any evidence, even if preliminary, that the key challenges in the emergency, such as getting food to starving people, is in the process of being addressed).

#### Joint evaluation with other agencies, looking at outcomes

Outcome evaluations have the potential to get very complicated. An array of potential sophisticated research designs can be used. Identifying **attribution** – the extent to which any observed outcome is the result of your own intervention, can also be difficult – or sometimes impossible. Typically in a humanitarian emergency, there are multiple actors and interventions taking place simultaneously. Events beyond your control can sabotage even the best of efforts.

A joint evaluation involving a number of different agencies and/or donors all working alongside one another can help address these challenges. For example, it is easier to document the context and constraints that are faced. This approach can also show how

Methods of Rapid Evaluation, Assessment, and appraisal, M. McNall and P.G. Foster-Fishman, Michigan State University, American Journal of Evaluation, June 2007.

<sup>24</sup> Performance Monitoring and evaluation TIPS n° 5, USAID 1996

It should be noted that RTE methodology is currently still evolving. The original «quick and dirty» DANIDA and UNHCR concept in some cases has been transformed into an almost standard-looking mid-term evaluation process that merely aims at taking place at the most appropriate time to have an actual impact on the assessed activity. Some recent RTEs were launched within large multi-agency UN programmes such as in Eastern Africa, with mixed results.

outcomes can arise from the actions of different agencies, without trying to create the fiction that just Agency A and not Agency B can claim all the credit for what took place. In contrast, it can show how various actors have contributed to the observed outcomes. This approach can also provide the greatest opportunity for learning and for use of these lessons in different contexts. As it is more complex in nature, taking a joint approach can help spread the workload and management responsibilities – and may also make it easier to obtain the necessary resources. For these and other reasons, actors such as e.g. OECD/DAC<sup>26</sup> Link 35, ALNAP Link 39' or CARE Link 36 have been promoting joint evaluation practices and publishing checklists and guidance notes.

Agencies who agree to undertake joint evaluations need to do so freely (even if such evaluations are promoted by donors), and should preferably be bound by some prior relations of partnership and mutual confidence, in the form of MoUs, consortia, or clusters.

No approach is perfect, or suitable in all circumstances. There can be many benefits to working collaboratively with others, which can go well beyond the evaluation itself. But developing relationships and coming to a common agreement on approach and priorities requires compromise and the right attitude, as well as an initial investment of time. Joint evaluations should also carefully consider - or refrain from - investigating process, inside-looking organisational aspects of its members, to avoid potential conflicts. An illustration can be found in the reports concerning joint evaluations carried out by some Dutch NGOs Link 232.



## Developing a methodology

Before entering into the subject, we would like to emphasise that a "methodology", be it for evaluation or other purposes, is really a **collection** of methods, approaches or procedures. A common mistake that we must be careful to avoid is to equate a methodology with a single method, or with a toolbox.

More specifically, an evaluation methodology - as most commonly used and accepted in the evaluation community and literature - refers to the **evaluation design** or **plan** that includes the specific methods that will be used in combination, and in what ways to address the various questions of the evaluation. Thus a methodological plan is more than saying, for example, that "we'll do a survey and also some focus groups", but indicating **how** they are to be used in phasing and timing, and how the use of each particular method will address the overall evaluation questions.

Similarly, an evaluation methodology cannot be reduced to using a set of criteria, even if the wide dissemination of e.g. the OECD/DAC criteria may have led some actors to believe that they had reached the top of the Himalaya. Criteria are just criteria, i.e. "standards on which a judgment or decision may be based" (Webster)<sup>27</sup>.

## i. The role of the evaluation manager (or evaluation function)

The evaluation manager (or commissioner) within an agency is a crucial aspect of the efficiency and effectiveness of the process. The evaluation manager - or evaluation function if it is not a full-time position e.g. in small or medium-sized agencies - must fulfil a number of key tasks that require ethics, skills and the necessary 'distance' from the operation to be evaluated. According to UNEG (norm 6.1), "the evaluation function has to be located independently from the other management functions so that it is free from undue influence and so that unbiased and transparent reporting is assured". It should be added that senior management should not to be allowed to edit/control evaluations. There is therefore a need to adopt adequate internal rules or guidelines, possibly inspired from UNEG standards (see below), of which the evaluation function should be the guardian.

The evaluation function is described in details in various guidelines, for example those of DG EuropeAid Links 40, 41, but also by most UN agencies and bilateral donors guidelines which can be accessed through the bibliography Link. DFID has for example prepared a synoptic table of corresponding tasks and responsibilities Link 37, and the URD Group has drawn a complete checklist of related tasks in the "project evaluation" part of its Quality Compass Link 38. UNEG has also dedicated standards 1.5, 1.6, 1.7, 2.1 and 3.10 to the various aspects of the function Link 17.

To summarise, evaluation managers (or commissioners) are normally responsible for identifying what specifically should be evaluated, at what point in time, with what resources and over

It may be interesting to note that the 'Groupe Urgence Réhabilitation Développement' (URD) in its recent Quality Compass approach suggests a slightly more restrictive definition. Criteria are only "elements that operators refer to in order to assess a project's performance in relation to an objective", and not necessarily standards in their own right (being "observed values" rather than "optimal values"). They should themselves be measured against standards, and complemented by indicators.

what period of time. They are responsible for development of the terms of reference (below), including specification of at least the main questions to be addressed, and frequently are responsible for development of the basic evaluation design and overall methodological strategy. Evaluation managers are responsible for selection of the evaluation team (external consultant[s] and/or internal staff), for the overall management of the process, for approval of the detailed methodology and work plan, and of all interim and final reports. They have also lead responsibility for ensuring the relevance and use of the evaluation.

Given the above, one could well argue that the evaluation manager has at least as much to do with the quality, success or failure, and certainly meaningful use of evaluation as the evaluator, and that competencies of managers are thus at least as important. At a minimum, the evaluation manager is responsible for putting into place the conditions under which an evaluator can work and how well, and the conditions under which the evaluation is likely to be used or not.

### ii. Preparing the TOR (Terms of Reference)

TOR set out the boundaries of the evaluator's mission, the issues to be considered and the evaluation timetable. They allow the commissioning agency to express its needs, and the evaluator to have a clear idea of what is expected of him/her; they provide a formal record of agreement as to what will be done. Well-defined TOR are therefore crucial. The development of TOR should be made jointly, with opportunities for contributions by the various stakeholders involved in the project (with respect to the objectives and scope of the evaluation, evaluation questions, work plan), under the supervision of the evaluation manager designated on behalf of the commissioning agency (or lead agency in a joint evaluation).

Standard good practice generally requires that TOR include the following sections or items. The sequential order of sections shown below is merely a suggestion, though: many other appropriate variations do exist, according to established practices of as many agencies.

- A brief **background** description of the general **context** of the crisis (origin, region, actors etc). This section may also stress issues related to mandate, values, etc of the commissioning agency.
- The **purpose** and **objectives** of the evaluation ("why do we want to do an evaluation"?).
- The **scope** of the evaluation (brief description of the **activities** to be evaluated, and if relevant to precise if some specific components are covered or not by the evaluation).
- The specific evaluation questions to be answered by the evaluation. These
  should accurately reflect the main concerns of the commissioning agency (and
  perhaps of other stakeholders, donors or recipients who may be associated to the
  evaluation process). Corresponding indicators to be followed by the evaluation can
  be recommended at this stage, e.g. for comparative purposes if they have already
  been used in prior projects.
- The approaches or "methodology" that the commissioning would expect the evaluator to perform: specific tasks (briefing, inception period, desk review, travels,

debriefing), places to visit (HQ, field), possibly data collection and analysis tools to be used. Such approaches may be required if the commissioning agency has already well-established procedures, or they may be suggested only and left to be discussed with the evaluator, if he/she is deemed to have adequate skills.

- A corresponding recommended work plan, which is also an integral part of the methodology. The work plan usually includes an indicative timetable for the various tasks, the locations to be visited, and the reporting deadline. The work plan is often discussed with the evaluator during the briefing, and alternative suggestions may be made during the inception period of the evaluation.
- The require **profile** of the **evaluator(s)** (background, sectoral/geographical experience, specific knowledge of some cross-cutting issues etc), in order to achieve a balanced team, in adequacy with the evaluation objectives and scope of work. Professional ethics and code of conduct should also be stressed here.
- The required reporting format.
- An (usually indicative) overall **budget** figure to suggest the maximum costs that could be associated with the evaluation.

In addition, the analysis of evaluation practice indicates that the key aspects of adequate **participation and use of results** are often insufficiently considered in the TOR. They are too often left to the ultimate phase of the evaluation process, where they tend to be overlooked. TOR should therefore also include, from the outset, corresponding sections.

- A participation plan, when stakeholders other than the commissioning agency itself, such as beneficiaries, are involved in the evaluation process. The plan should be adapted to the level of participation, and should include feedback about evaluation results. It also requires prior coordination with evaluation questions and methodology.
- A use/dissemination plan of evaluation results, both internally and externally if relevant. The plan is to be essentially implemented by the commissioning agency, although it is important that evaluators are also informed.

Multiple examples of good practices in preparing TOR can be found, so many in fact that we would be hard pressed to suggest a list, even for indicative purposes. Every major agency and donor - including DG ECHO - has already its own preferred format, which is generally in accordance with e.g. the recommendations of UNEG standards 3.1 to 3.7, and 3.11. Link 17 For the general reference only of those who would need to access a practical example through this Guide, we have copied Link 42 an example of TOR that CARE considers as an example of good practice - for internal purposes. It should also be noted that UNICEF intends to create a "generic TOR" for its Rapid Assessment in Emergencies<sup>28</sup>.

The content of some of the above-mentioned TOR sections (data collection tools, evaluation team, work plan, participation, reporting and follow up) will be further detailed in the following chapters of this Guide.

The above guidance however, should not be viewed as hard-and-fast requirements. In particular, the level of detail of a TOR should be commensurate with the scope of the evaluation itself. Some form of TOR, setting out at a minimum the main purpose and expectations of the evaluation, should be developed for all evaluations. For a very simple evaluation, e.g. carried out during the course of an operation, it may not be necessary to have a TOR of more than one or two pages.

## iii. Choosing data collection and analysis tools (or methods)

Answers to evaluation questions must be based on substantiated evidence, not subjective opinions. Accordingly, evaluations must be able to collect findings in an organised manner, analyse them to establish patterns, and draw corresponding conclusions and recommendations.

#### Data collection

There are two broad categories of data collection methods: **quantitative** and **qualitative**. The difference between the two categories lies in the approach and the types of questions they seek to answer. Quantitative methods help to answer questions such as **who**, **how much**, **and how many**, and qualitative methods help to answer questions such as **how and why**.

Where feasible, both methods should be used to complement each other, as already demonstrated in the USAID table on rapid appraisal methods **Link 34**. According to WFP **Link 43**, the perception that quantitative methods are more objective and qualitative ones more subjective, is indeed erroneous. The greatest weakness of the quantitative approach is that it can take human behaviour out of context in a way that removes the event from its real world setting. To help you decide whether a tool is 'good enough', the 'Good Enough Guide' **Link 193** has prepared a list of questions **Link 194**.

Real time evaluations - at least in their original, simple form which we recommend to NGOs in emergency contexts - and other rapid assessment methods are usually using simple and rapid tools, adapted to their 'flexible and responsive' purpose. Some of these methods are listed below. Participatory approaches with beneficiaries (we will discuss participation in a separate section of this Guide **Link**) must always be favoured. However, since time is often a prerequisite to build up adequate relations of trust with e.g. local community leaders, participation does not always fit well with RTE or rapid assessment approaches. More rarely, structured approaches, surveys and mapping have also been used<sup>29</sup>, time and resources allowing. As we have suggested to follow, where relevant, an RTE approach, the methods listed below should probably be preferred. Where possible, an evaluation should use several (or all) of these methods, to collect both quantitative and qualitative data, and to try to validate findings by triangulation of sources.

#### Qualitative methods

• Individual interviews. Their focus should be on obtaining factual information that can be cross-checked – triangulated – with other sources. Leading or biased statements should be avoided. Effective interviewers ask questions with interest, respect and

sensitivity. If a number of people are carrying out interviews, the development of standard protocols should be used by all members of the team in their separate interviews. Interviews may represent a more important source than is normally the case with valuations of development assistance because of the problems of poor baseline record keeping and documentation in emergency contexts. Ensuring confidentiality of interviews with some individuals may be necessary. The deliberate seeking out of those who did not benefit from the assistance available can also be fruitful as it may reveal problems with the targeting and beneficiary selection processes by agencies.

• Interviews in groups / focus groups (with members of the affected population, local people or officials) can be useful for on the spot cross-checking of information among a number of respondents. Focus groups provide for responses considered in a social context – and people frequently can modify their initial perspectives when considering other viewpoints or information that can arise in the course of a group discussion. In some cases, consensus can be reached which may be valuable for getting a sense of community (below) rather than individual issues. Over-reliance on group interviews, however, may leave information gaps because there may be issues that are not discussed in groups or because some people may not be represented in public groups (especially women). There may also be the risk for group meetings to be dominated by strong personalities. Workshops and group meetings can also be organised to call together a group of people from the community or teams involved to test out findings to date and update them on the evaluation process.

Interviews with beneficiaries can often be made more effective by using **storytelling techniques** such as the 'Most Significant Change' (MSC) technique **Link 44**, or - more recently – a digital camera. Narrative history or storytelling techniques draw out information that might be difficult to obtain by other means. Responses are often fresher and less censored and are not dictated by familiar evaluative jargon and processes.



#### Quantitative methods

- Community interviews (which are basically group interviews focused on a specific community) can generate some quantitative data on community characteristics, behaviours or opinions.
- **Direct observation (on site)**, in addition to interviews, allows evaluators to observe the conditions of the affected population and the effect that their assistance is having on the population.
- Convenience sampling (also called haphazard or accidental sampling) is the most frequently used sampling method in emergency situations. It relies on sampling those respondents who are easiest to access, for example, those who have settled along roadsides, or near the administrative centre of the refugee settlement, etc. The danger with this type of sampling is that it will often lead to biased results as usually those with the most resources or power are the ones who settle in the most easily accessible areas. It needs also some knowledge of sampling theory to be implemented properly. Mini-surveys are slightly less susceptible to sampling biases but also more difficult to set up because they require a relatively homogeneous population.

Additional information on data collection and analysis tools has - mostly to be used in 'standard' evaluation processes and mostly for development purposes – can for example be found in DG EuropeAid's guidelines **Link 45**, **46** and **47** in Danida's **Link 48** or in Prolog's own evaluation guidelines **link 49**.

#### Data analysis

The purpose of data analysis is to transform the data into credible evidence about the development of an intervention and its performance. Typically, the analytical process involves three steps, which are to be followed by the evaluator(s):

- organising the data for analysis, i.e. data preparation;
- · describing the data, e.g. generating findings of fact; and
- interpreting the data, e.g. assessing the findings against criteria'.

It should be noted that data analysis can also be quantitative or qualitative, although this would involve a set of rather complex tools which would require trained evaluators. Link 50

## iv. Defining work plan and timetable

Timeliness of reporting is a crucial aspect of evaluation, to authorise the effective use of results by the concerned stakeholders.

For example, the RTE or rapid assessment approach implies that evaluations must take place as early as possible in the project cycle, or at least at the most appropriate period to allow recommendations to have an actual effect of the management decisions and change process. Some considerations could have an influence on the timetable, in particular the

seasons and work cycles: the rainy season, harvest time, relevant donors' funding cycles, or local (scheduled) political events.

Quality of findings may also be affected by scheduling that would not take into account factors such as e.g. cyclic malnutrition and certain periodical diseases; weighing children in winter months, with many clothes on; or availability of range of beneficiaries to interview due to e.g. migration patterns.

A timetable with key deadlines is therefore an essential - and generally the final - part of the TOR **Link 42**. This tool does not need to be sophisticated, but accurate.

## v. Selecting evaluators

We have already insisted on the prime importance of the evaluators' competencies in achieving a successful evaluation. To find skilled evaluators, however, is not always an easy task. For example, TOR requirements may sometimes restrict drastically the number of potentially suitable profiles; despite a thorough planning the time chosen for the evaluation may coincide with the busiest period of the year for evaluators; some exceptionally suitable evaluators may have to be rejected because they had been too closely involved in the concerned operations –bias do exist **Link 249**; or the CV that you have finally retained, in the absence of any possible cross-checking on prior achievements, has proven to be slightly over-optimistic.

Let us be straightforward again, such things do happen. You will find some guidance below, and the final chapter of this Guide - dealing with capacity and support – will provide a list of organisations that may perhaps be of assistance **Link**. But remember that the 'perfect evaluator' needs to possess an inquisitive mind to ask the right questions to the right persons, an analytical mind to collect findings, detect patterns and draw conclusions methodically, and a synthetic mind to write good reports. And he/she should be able to do all this with suitable promptitude. If you know good evaluators, keep track of them. An example of required qualifications can be found in the typical TOR of CARE **Link 42**. The NGO has also designed a model of selection grid, which might be adapted to the needs of your own agency. **Link 51** 

Good practice recommends considering the following competencies and qualities when choosing evaluators. These are neither necessary nor sufficient, though, but merely indicative. Actual choices should be made according to actual contexts.

- Inquiring openness to new ideas.
- Inter-personal and analytical skills particularly in complex emergencies, the need to interact with such diverse groups as local authorities, implementing partner agency staff, the affected population, and -increasingly- the military or members of armed factions demands an extraordinary level of diplomacy and tact.
- Demonstrable interviewing skills, the willingness and ability to listen, the ability to foster discussion among participating beneficiary groups, social organisation. Keen observation skills and a deep sense of curiosity are also needed.

- · Thoroughness.
- Detachment.
- · Ability to think systematically and rigorously.
- · Strong writing, numeric and accounting skills.
- Familiarity with the day-to-day operations of the programme. Ideally, evaluators should be able to work from programme documents and interviews and determine whether or not planned objectives were achieved.
- Familiarity with the political context.
- Sensitivity to the complexity and constraints associated with the organisation's mandate.
- Credibility with the managers who will implement the evaluation recommendations.

Evaluators can be external or internal; when selecting them, it is worth remembering that:

- internal evaluators understand the organisation, may appear less threatening, are generally less expensive; but their objectivity may be questioned, they may not be properly trained in evaluation methods, and may already have heavy workloads; and
- external evaluators (when properly skilled) generally offer objective, fresh
  perspectives based on broader experience, but they are often expensive and may
  be unfamiliar with the agency's culture.

A fairly large number of UNEG standards are dedicated to evaluators: standards 2.1 to 2.8 (competencies and ethics), 3.10 (relations with the evaluation manager), and 3.13 to 3.15. Link 17. Some donors such as CIDA or Danida have further defined the various ethical considerations that are of particular importance in conducting evaluations Link 52, and by which all evaluators should abide.

#### vi. Reporting

Let us always remember that the objective of reporting is communications – and ultimately learning and action. This invariably requires more than just a formal report<sup>31</sup>, and raises several key issues.

The evaluation report should be logically organised, following for example in such a minimum common structure required by the agency's management or by a donor. The report should be presented a way that makes the information accessible and comprehensible, or at least 'digestible' taking into consideration its primary intended audience(s). E.g. a report intended for internal staff of an agency could be presented in a different way than a report primarily intended for others outside the agency. It should start with the all-important executive summary, which must be short enough for people to read, but also comprehensive and up-to-the-point. It should also contain patterns of evidence-based findings, which should themselves be leading to corresponding conclusions, lessons and recommendations. The recommendations should be timely, practical, to the point, and should where feasible

indicate who would be best placed to follow up on the concerned issues. The report should be free of information that is not relevant to the overall analysis. The reader of an evaluation report must be able to understand:

- the purpose of the evaluation;
- · exactly what was evaluated;
- · how the evaluation was designed and conducted;
- what evidence was found;
- · what conclusions were drawn;
- · what recommendations were made; and
- what lessons were distilled.

As a general reference, UNEG standards n° 3.16, and 4.1 to 4.18 **link 17** provide some very sensible recommendations regarding the preparation of an evaluation report. Again, the nature and degree of detail in a report should be commensurate with the scale of the evaluation. Above all, the objective should be utilisation. Very often – some may say in almost all cases – a short, very focused report emphasising implications may be more useful, and more likely to be used, than a detailed, technical report that may address all possible questions, but that may mask critical information and may appeal more to academics and bureaucrats than to practitioners.

A frequent problem with reporting is that nearly every donor or agency has long since designed its own ideal format, which may make either joint evaluations or standard reporting to multiple donors quite a challenging task. This will not be easily solved. Some conducive measures could however be promoted, e.g. by DG ECHO, in the framework of the "3C" coordination effort among European donors, as suggested in the chapter on capacity building and support **Link**.

Another potential issue, as already mentioned, is that external evaluators may not always be entirely familiar with an agency's organisation, culture and constraints, and may come up with unrealistic recommendations. An example of good practice in this field could perhaps be found in the idea of World Vision International to organise participatory workshops near the end of an evaluation process, where external evaluators would explain their findings. With due respect for objectivity and independence, suggested recommendations would then be discussed openly, in order to make them as practically adapted as possible in the final report to the working parameters of the agency.

Last but not least, when the report is meant to be delivered to a donor or major stakeholder, the appreciation of what can represent a 'good enough' quality of reporting is generally left to a case-by-case judgement. Another relevant example of good practice can arguably be provided by UNHCR. In case of doubt by the donor's supervisory staff about the quality of an element of the evaluation process (especially reporting), and in case of a non-conclusive dialogue on that issue with the implementing partner responsible, UNHCR utilises the arbitration of an 'expert reading mechanism', i.e. a panel of internal and/or external peers with suitable experience to provide an ad hoc assessment.

## vii. Taking a participatory approach

One of the best ways of planning an evaluation, and in particular in identifying what questions the evaluation should address, is to take a participatory approach. Involve stakeholders in a discussion, in a single or a series of sessions, about what they feel is going well or not, perceived challenges, and questions. What information do they feel could address some of these perceptions and in particular assist in identifying what could be improved or done differently in the future?

Participation and involvement in planning the evaluation is one of the best ways, indeed often a prerequisite, to development of support and credibility for the evaluation itself – and for later acting upon implications arising from the evaluation. There is increasing evidence<sup>32</sup> that **process use** represents one of the main ways in which evaluation is frequently used, where the act of taking part in planning and the evaluation process leads to changes in how the participants think and act.

Who should be involved in planning an evaluation? This can vary. Where there is little time, this could be a small group of key people within the agency. But as a general rule, it is advisable to involve key stakeholders from within and outside your agency. For example, this can include community leaders, beneficiaries, other partners, donor representatives (e.g. DG ECHO Technical Advisors in the concerned country or region). Other stakeholders may be able to pose questions about the appropriateness or effectiveness of some of your operations that you have not considered. It can also be a good idea to include potential critics of your project when planning an evaluation, to help ensure that their considerations are addressed by the evaluation. Some actors have suggested that local evaluators should be included in the process, as a way to gradually introduce evaluation practices in developing countries. Involvement of a range of stakeholders can help ensure that the evaluation addresses some important questions that otherwise might be missed. But most importantly, it helps set the stage for credibility of the evaluation, for buy-in and support and for ultimate action.

A typology of participation in the implementation of programmes would probably range from "passive participation" to "consultation" and "local initiatives". Crisis-affected people have however much less involvement in programme monitoring and evaluation. Though participatory monitoring and evaluation is gaining importance, and people are increasingly consulted, they rarely receive feedback on the results of the evaluation, and on how their inputs will be used in later stages. In the most favourable circumstances –where evaluation principles are already known- a full participation could be envisaged with the preparation of one or several evaluation questions by the beneficiaries (feedback is then imperative), in which case evaluations could themselves play a role in the accountability towards beneficiaries. In other cases, there may only be place for a satisfaction survey. USAID has for example defined seven practical steps in conducting a participatory evaluation stink 53. Participation is also at the core of the 'Good Enough Guide' recently published by a group of seven major NGOs. Link 193

<sup>32</sup> E.g. Patton, op. cit. Note 8.

Performance Monitoring and Evaluation TIPS n°1, 'Conducting a participatory evaluation', USAID 1996.

There are however a few important cautions to the above.

- In some cases, evaluations could contribute to create expectations from local participating stakeholders that could not be fulfilled. Frustration can appear, which may turn into problems for the implementing teams.
- Different stakeholders may have different questions, and may find different types of evidence most credible to them. It may not be possible to address the questions of all possible stakeholders in a single evaluation without it getting overly complex.
- Participation of final beneficiaries may be difficult to implement in the evaluation practice, as the modus operandi may largely depend upon local factors (degree of organisation of communities, culture, local politics, level of education etc).
- Time is definitely an issue in beneficiaries' participation. Either participative
  approaches are aiming at empowerment of beneficiary communities and their
  participation in the whole project cycle, in which case the time required may
  be largely more important than most donors' funding cycles, or they use rapid
  appraisal techniques, which may often result in reflecting the opinions of some
  dominant stakeholders -and their own political agendas-, and are either biased or
  partial results.
- Participation also means shifting our perception of people affected by crises from 'victims', 'beneficiaries, or 'recipients' to recognising them as dynamic social actors with capacities and ideas of their own, and able to take an active role in decisions affecting their safety and welfare. This shift in perception is fundamental to increasing the involvement of crisis-affected people in humanitarian response.

#### viii. Following up

This final stage includes the all-important task of effectively using the results of an evaluation, through an appropriate action plan. As we have recommended, the action plan should be established from the beginning, as an integral part of the TOR. A practical example can be found in section VII of the model TOR proposed by CARE **Link 42**.

Methods and approaches regarding follow-up action plans need probably to be further developed, though. In most cases, the recommendations or instructions are consistent, but they are also short. Action plans are often condensed into listing people or functions within an organisation that would be responsible for:

- (i) accepting recommendations at the overall management level,
- (ii) carrying them out at the concerned programme level, and
- (iii) monitoring their application on a periodic basis and reporting back to management (through a number of possible functions, according to the agency's internal structure).

In this framework, UNEG standard 3.17 **Link 17** could be used as a general reference. Most agencies and donors have accordingly established their own procedures, such as for example Danida **Link 54**. A few major agencies have however been developing more comprehensive guidelines, among them UNDP in its Handbook on Monitoring and Evaluation for Results, Part 4 "Use of Monitoring and Evaluation Performance". **Link 55** 

#### Criteria and indicators

The final section of this chapter will provide guidance notes about criteria and indicators, two essential elements of the evaluation work. We have already mentioned one of the usual definitions for a criterion as proposed by the Webster dictionary ("a standard on which a judgement or decision can be based") and, in a footnote, the rather more elaborate definition suggested by the Quality Compass. For evaluation purposes, sets of criteria are being used, aiming at categorising systematically every aspect of an operation; they can therefore be quite useful in suggesting evaluation questions. An indicator (or variable) is an element that an evaluator can use to measure a criterion.

It should be noted that the EuropeAid evaluation guidelines recommend the use of 'judgement criteria', or short statements that can be defined on an ad-hoc basis to respond more precisely to evaluation questions, rather than the pre-set one-word criteria as listed below Link 221.

#### i The most commonly used evaluation criteria

The most widely known - and probably still the most widely used - set of evaluation criteria are the five main criteria which have been defined by OECD/DAC in 1998 Link 13, as a result of their work published in 1991 concerning the "Principles for Evaluation of Development Assistance" Link 56. These criteria and their definitions according to ALNAP Link 1 and OECD/DAC (for sustainability), are shown below.

- Efficiency measures the outputs qualitative and quantitative achieved as a result of inputs. This generally requires comparing alternative approaches to achieving an output, to see whether the most efficient approach has been used.
- Effectiveness measures the extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of the outputs. Implicit within the criterion of effectiveness is timeliness.
- Impact looks at the wider effects of the project social, economic, technical, and environmental on individuals, gender- and age-groups, communities and institutions. Impacts can be intended and unintended, positive and negative, macro (sector) and micro (household).
- Sustainability (is) the probability of continued long-term benefits.
- Relevance is concerned with assessing whether the project is in line with local needs and priorities (as well as donor policy).

Initially developed in an era that mostly pre-dated the expansion of humanitarian aid, these criteria had essentially been designed to evaluate **development** programmes. OECD/DAC rapidly acknowledged that the constraints under which humanitarian aid – and humanitarian evaluators – had so often to operate, required an adapted set of evaluation criteria. This was done in 1999 with the objective to evaluate more properly complex emergencies. The ensuing set of seven 'humanitarian' evaluation criteria has been largely disseminated among agencies, essentially thanks to the efforts of ALNAP which has published a guide entitled "Evaluating Humanitarian Action Using the OECD-DAC Criteria" Link 57. In the new set of criteria, relevance has been complemented by 'appropriateness', and three

new criteria have been added as indicated below, including 'connectedness' which has replaced and enlarged the idea of sustainability.

- **Appropriateness** is the tailoring of humanitarian activities to local needs, increasing ownership, accountability and cost-effectiveness accordingly.
- **Connectedness** refers to the need to ensure that activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account.
- Coherence: the need to assess security, developmental, trade and military policies as well as humanitarian policies, to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human-rights considerations.
- **Coverage**: the need to reach major population groups facing life-threatening suffering wherever they are.

Some caution should be applied while using these criteria. Despite the insistence of both OECD/DAC and ALNAP that their whole lists of criteria should NOT be mechanically used in every case, this is generally what happens! ALNAP recognises that the use of the DAC criteria "is often mechanistic, and excludes more creative processes".

Thus, use these – and potentially other sets of potential criteria – intelligently rather than mechanistically. Use them to suggest and to help articulate more specific evaluation questions that would be of particular relevance to your activities at the current time. And don't feel that you need to address all possible questions in any single evaluation exercise.

Some of these criteria may also appear rather more suitable for academic studies than for easy field use. The ALNAP's guide readily acknowledges for example that "coherence has proved the most difficult of the DAC criteria to operationalise... It is often confused with 'coordination'".

Furthermore, as the readers of this Guide may be quite well placed to know, humanitarian aid is very much an evolving field of action, in which new challenges tend to be pop up with disturbing regularity. Some of these challenges - for example streamlining the relations with the military and making humanitarian principles clear to everybody - would arguably demand distinct criteria. Multiplying criteria, on the other hand, is hardly helpful to simplifying the evaluation process.

A number of major actors in the field of humanitarian evaluation, including ALNAP and OECD/DAC, are therefore actively engaged in reviewing their approaches. New sets of criteria are likely to be defined in the near future. They may include a more limited number of broad, 'generic' criteria as convenient entry points into evaluation, as suggested for example by IFRC, and perhaps in parallel a much larger number of 'sub-criteria', adapted to various situations, as considered by OECD/DAC. Others still are pursuing different lines of thought. The Quality Compass promoted by the URD Group **Link 38** has adopted an expanding approach, increasing the number of (quality) criteria to twelve, which are themselves equipped with corresponding "key processes" or sub-criteria (no less than 45).

#### ii The proposed generic criteria

Periods of transition are major challenges for any guide, including this one. Ideas of 'generic' and 'sub' criteria are appealing, but are they going to materialise, and if yes, what form will they take? In the meantime, how to tentatively reflect these trends in our Guide with due caution, while remaining simple-not-simplistic and not reinventing-the-wheel? And is it even possible to avoid completely any kind of one-size-fits-all approach when you also want to be reasonably systematic?

Let us thus compromise. Our approach will be guided by cautious pragmatism. We will propose a few - four - 'generic' criteria<sup>34</sup>, corresponding to the broadest categories of objectives or standards in humanitarian programmes. The generic criteria will also respect the main division between outcome and process evaluations. They will mostly retain the names of existing OECD/DAC criteria: effectiveness, efficiency, relevance. There will be one exception for 'values', as we think that the terms of appropriateness or coherence do not adequately reflect the need to better enforce humanitarian principles.

In parallel, we will also discuss below about some possible alternative generic terms that might perhaps be more 'motivating' (or 'parlant' in French) for agencies.

The four generic criteria will be subdivided into a larger, non limitative, number of sub-criteria, better adapted to the multiple components or elements of humanitarian operations, according to the specific focus of evaluation chosen by agencies.

This approach authorises in the two following chapters the use of tables with further guidance notes, hyperlinks to examples of evaluation questions and indicators, and cross-references to e.g. Quality Compass criteria for compatibility purposes.

#### Generic criteria for outcome evaluations

#### **Effectiveness**

Effectiveness should probably be considered in the first position, before the other generic criteria covering outcome evaluations, to outline the particular importance of results for humanitarian actors. Effectiveness may appear a bit technical (it "measures the extent to which an activity achieves its purpose"), but it is also quite appropriate for evaluating the outcome of a humanitarian operation - see definitions in table 6 below - provided that the objectives had been clearly defined at the outset.

A generic alternative for effectiveness could be 'impact', which would arguably carry a much higher potential of purposefulness and motivation for agencies. Looking for impact could however be misleading in the usually rather short timeframe of emergency humanitarian interventions. Impact can be intended or unintended, positive or negative, macro (sector level) and/or micro (household level), direct or indirect, etc. It may also become measurable on the very long term only, well after the end of humanitarian activities, and may not be attributable any more. This has for example been illustrated as follows by WFP in their Monitoring and Evaluation Guidelines Link 58.

<sup>34</sup> DG ECHO suggested that they might be called "HACE", an acronym for "Humanitarian Aid Criteria for Evaluation".

	Logframe	Results chain
LTS	Impact	The positive and negative, intended or unintended <b>long-term</b> results produced by an operation, either directly or indirectly.
E S U	Outcome The medium-term or intermediate results of an operation's outputs.	
~	Outputs	The products, services etc which result from an operation.
Activities		Actions taken or work performed through which inputs are mobilised to produce specific outputs.
	Inputs	The financial, human and material resources required to implement an operation.

#### Table 6

#### Relevance

Under the generic criteria of relevance should be comprised every effort to identify needs and priorities, relevant local or wider contexts and their implications, adequate entry and exit strategies, coverage and coordination, etc.

An alternative generic term for these issues could arguably be 'strategy' itself, as it may entail a stronger sense of pro-active purpose that would emanate from the widely understood need of setting up a comprehensive strategic approach to have a hope to finally settle a given situation.

#### **Values**

The various humanitarian principles, laws, standards or codes have been gathered under the generic designation of "value", a term that should be easily understandable by all. The importance of support to - and respect for - this category of criteria by the humanitarian community as a whole and by the external stakeholders, has been regularly increasing in the face of new challenges (the military encroaching humanitarian space with "winning hearts and minds" operations, accountability towards all stakeholders, etc).

#### Generic criterion for process evaluations

#### **Efficiency**

Despite the somewhat restrictive definition of efficiency as one of the standard 'line' indicators, this Guide suggests to use it also as the sole generic criterion for process evaluations, albeit in a wider sense. To better highlight this expanded meaning, we have usually added between brackets "quality of process". Agreed, the measurement of "output per input" does not necessarily entail good quality. However, efficiency is already so widely used that replacing it altogether might again be tantamount to 'reinventing the wheel'.

The generic efficiency encompasses a fairly large number of components, pertaining ultimately to the quality of the internal organisation of an agency, its capacity to deliver outputs as expected (which relates it closely to effectiveness) and its adequacy to fulfilling the demanding needs of conducting humanitarian operations.

#### iii. Indicators

An indicator is simply a variable element that can be used to measure a criterion. A number of slightly more elaborate definitions can be found, such as those proposed for example by the Quality Compass<sup>35</sup> or by WFP<sup>36</sup>. A typology of evaluation indicators can e.g. be found in the EuropeAid guidelines Link 220.

Indicators are compared over time in order to assess change. They play the critical role of informing the management as to whether an operation is being implemented as planned and achieving the desired results as articulated in its logical framework. As such, indicators are sometimes referred to as "performance indicators" (see definitions in glossary).

An indicator may be disaggregated by any number of factors (e.g. gender, age, and other sub-groups). It is important to use:

- quantitative or qualitative indicators, whenever possible, for better substantiation/ measurement of the replies to the evaluation questions;
- indicators that have already been field-tested and have been widely accepted by humanitarian actors concerned (specific sector, situation, region, etc). Such indicators should therefore be drawn from existing good practices developed by recognised humanitarian field actors.

A few basic rules should also be respected when considering indicators.

- Do not state the target achievement in the indicator itself: the indicator is simply a measurement and, as such, should be neither positive nor negative.
- Do not select too many indicators.
- Do not select indicators that are unnecessarily complex.
- Do not focus too much on physical progress («output») indicators, as they may not provide sufficient information on the performance of the operation («outcome»). In that respect, see also our caveats regarding SMART indicators below.
- In particular, do not identify quantitative targets unless you have a firm basis for establishing these and a good expectation that these are indeed realistically achievable. Otherwise, there is a danger of setting yourself up for failure.

Many guidelines will suggest that indicators should be 'SMART', meaning that they should respond to the following criteria.

- **Specific**: The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
- Measurable: The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.

An indicator (or variable) is used to measure a criterion. This measurement gives an indication of variation in an implementation process, how far an activity has progressed or to what extent an objective has been met.

A quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement or to reflect the changes connected with an operation.

- Achievable and Attributable: The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
- Relevant and Realistic: The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
- Time-bound, Timely, Trackable, and Targeted: The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

However, good practice suggests also that a number of potential constraints should be considered while using SMART indicators, and that these should be used only when it makes sense to do so.

- SMART indicators may become limitative. In particular, (as Michael Patton has indicated Link 257) requiring programmes to only attempt what is specific and measurable would be to require them to do just what social scientists are able to measure; and programmes with duly established and usable track records may not be the majority in emergency humanitarian contexts.
- In practice, SMART objectives are much easier to apply for measuring outputs and inputs than outcomes. An unintended consequence of insisting upon this approach could be less rather than more attention to outcomes and actual results.

#### F.2. Implementing an outcome evaluation Table 7 Considering expected benefits $\bigcap_{i \in I} (i)$ - Why do we want to do an evaluation? 0 - How are we going to use the results? (Accountability and/or learning purposes, from operational to policy levels...) 8 Focus on outcome Focus on process or **combination** of both (looking "outside") (looking "inside") $\geq$ $\leq$ Defining evaluation questions Standards, types, planning, methodology, management, reporting, dissemination and use of results **Generic Criteria** (not to be applied mechanically: **Generic Criterion** 1, 2 or all three criteria can be selected): • Efficiency (Quality of process) Effectiveness • Relevance S 10 Values 0 $\stackrel{\smile}{\vdash}$ **Main sectors Cross-cutting** Z (single or multiple issues (single or EVALUATIO choice): multiple choice): Food Children Health Participation Tool box B: • Etc... • Etc... • Example of evaluation question(s) Tool box A - for each sector or issue: Recommended existing/field-tested • Example of evaluation question(s) tool(s), benchmark(s) and • Recommended existing/field-tested indicator(s) with web links tool(s), benchmark(s) and indicator(s) · Linkages to monitoring with web links · Linkages to audit • Linkages to monitoring Suggestions and caveats • Suggestions and caveats Capacity building/learning environment Support by donors: (for planning and managing evaluations, • Funding, as relevant using results) by and for target NGOs: • QA/QC ("good enough" overall quality) Coordination with donors (3Cs) • Key internal functions in place • Help in finding experts • Training, refresher courses... • Dissemination of results, strategic use $\triangleleft$ Coaching \_ • Global, joint, thematic, peers, meta,ex Mentoring post evaluations, to balance single evaluations by small/medium sized

• Other conducive types of support ...

NGOs, to measure impact, etc.

For each generic criterion, this Guide will provide a table with a - non limitative - list of corresponding sub-criteria on which an agency could possibly focus its evaluation.

Sub-criteria can be general in scope, in which case they may correspond to OECD/DAC criteria, or they can be made of short statements that correspond to the focus of an evaluation question in a specific sector or type of activity (e.g. "Level /quality/ adequacy of sanitation"). In the later case, the criteria would be approximately comparable to the 'judgement criteria' approach recommended by the EuropeAid evaluation guidelines Link 221.

Each sub-criterion will be complemented in the tables below, where relevant and feasible, with comments and links to already existing and field-tested evaluation questions and indicators. In some cases, no corresponding question or indicator could be found, and no links can therefore be proposed. Even so, please bear in mind that questions and indicators are provided as **examples only**, to better illustrate what could be done. Some questions and indicators could probably be copied for immediate use, but they would generally need to be adapted to your own purposes. In particular, many existing indicators - such as those recommended by the SPHERE standards - are performance indicators<sup>37</sup> rather than e.g. impact indicators<sup>38</sup>. They are therefore often more useful for monitoring than for evaluation purposes. We trust your understanding and field experience to handle them all with due care.

#### Effectiveness

#### i. Examples of general evaluation questions

Table 8

Sub-criteria	Sub-criteria Evaluation question (example)	
Effectiveness	<ul> <li>Is the project or programme moving satisfactorily toward its stated objectives?</li> <li>Is the intervention reaching its target population?</li> <li>Are the envisioned services/aid available?</li> <li>Are they accessible?</li> <li>Is quality good?</li> <li>Are the services/aid used?</li> </ul>	
Effectiveness	"Were the right things done?"  - To what extent have the agreed objectives (sector) been achieved?  - Were the activities carried out as originally planned?  - What were the reasons for achievement or non-achievement of objectives?	

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- 37 Set at the output level, these indicators are measures of performance towards the achievement of planned outputs that can be quantified and/or qualified and readily revisited within a foreseen timeframe. Performance indicators should be disaggregated by sex and age, if appropriate (UNHCR Practical Guide, March 2001).
- 38 Set at the objective level, impact indicators are the signs of behavioural change in, and impact on, beneficiaries and their welfare systems, institutions or processes of concern (ibidem).

Sub-criteria	Evaluation question (example)	Source
Effectiveness	<ul> <li>Were appropriate and timely adaptations made in response to changes in the environment?</li> <li>How well do the achieved results compare to quality standards?</li> <li>What can be done to make the intervention more effective?</li> </ul>	Link 213
Sustainability (connectedness, LRRD)	<ul> <li>How will the positive effects be maintained in the future, at the end of the programme? (overall)</li> <li>Will the programme be culturally accepted, and how does it link to local capacities, power structures? (social/institutional)</li> <li>How will recurrent costs and future expenditures be covered; what is the effect on other economic activities? (economic)</li> <li>What are the short- and long-term environmental costs? (environment)</li> </ul>	ALNAP
Impact	(see table with examples of general indicators below)	ALNAP
Impact	What difference did our interventions make, short and long term, for good or ill?	Link 192
lmpact	<ul> <li>"Is the programme making a difference?"</li> <li>- To which extent have the overall objectives been achieved?</li> <li>- Can a contribution to changes in the (sector) status of the target population be attributed to the project?</li> <li>- Did we contribute to the protection of the victims of the conflict?</li> <li>- What do beneficiaries and other stakeholders affected by the intervention perceive to be the effects of the intervention on themselves?</li> <li>- Did our presence have any unforeseen harmful impact?</li> </ul>	Link 213
<ul> <li>'Looking back over the last month, what do you think as the most significant change in [particular domain of change]?'</li> <li>'From among all these significant changes, what do you think was the most significant change of all?'</li> </ul>		MSC
Cost- effectiveness	<ul> <li>- How do actual costs compare to other similar benchmarks?</li> <li>- What is the cheapest or most efficient way to get the expected results?</li> <li>- What are the cost implications of scaling up or down?</li> <li>- What are the costs of replicating the subject being evaluated in a different environment?</li> </ul>	UNEG, Standard 3.8

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Sub-criteria	Sub-criteria Evaluation question (example)	
Cost- effectiveness	<ul><li>Is the subject being evaluated worth doing? Do economic benefits outweigh the costs?</li><li>How do costs affect the sustainability of the results?</li></ul>	UNEG, Standard 3.8
Achievement of objectives	Link 59	WFP

# ii. Examples of general indicators

Table 9

	lable		
Sub-criteria	Sub-criteria Indicator (example)		
Effectiveness	<ul> <li>Adequacy of needs assessment carried out, including strength of livelihood and gender analysis.</li> <li>Degree of participation in planning, objective setting and implementation by different parties (e.g. planners, implementers, and affected females and males).</li> <li>Attainment of SPHERE Standards (SPHERE 2000), per sector.</li> <li>Uptake and use of resources, disaggregated by sex, socio-economic grouping and ethnicity.</li> <li>Timely arrival of support, goods and services, according to the perceptions of different key stakeholders.</li> </ul>	ALNAP	
Sustainability (connectedness, LRRD)	<ul> <li>Changes in socio-economic structure, gender relations and roles</li> <li>Existence of a sound exit strategy with timelines, allocation of responsibility and details on handover to development agencies</li> <li>Resources received by the affected population after agency support has ceased</li> <li>Adequate institutional review of partners, including choice of partners and their management and finances</li> <li>The degree to which the capacity of government at various levels is built by the intervention, e.g. number and type of training courses carried out and number of participants in courses from the host government, including levels of satisfaction of participants</li> <li>Extent of change in the environment, e.g. water pollution, deforestation.</li> </ul>	ALNAP	
Degree of change in socio-economic dynamics and social structure. Did the intervention lead to a return to or a change in the status quo? What changes took place in terms of socio-economic grouping, gender or ethnic relations?		ALNAP	

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Sub-criteria	ub-criteria Indicator (example)	
Impact	<ul> <li>Extent of promotion of gender equality. Did the intervention support the gender equality goals of the agency as expressed in its gender equality policy?</li> <li>Extent of promotion of protection and human rights. Did the intervention lead to an increase in humanitarian space, greater protection for the affected population, and an advancement of human rights?</li> <li>Degree of support to livelihoods of the affected population. Did the intervention provide resources and effective support to recovery of livelihoods? If so, whose livelihoods were supported, e.g. men's or women's?</li> <li>Views and perspectives of the affected population. Does the affected population feel that their lives have improved as a result of the intervention? Does this differ by socio-economic grouping, sex, age or ethnicity?</li> <li>Extent of environmental change. Did the intervention lead to significant improvements in, or degradation of, the environment?</li> </ul>	ALNAP

iii. Examples of specific evaluation questions and indicators, linked to corresponding sub-criteria (this list is not limitative).

'Main sectors' have been defined as such in the table below, as they are mentioned in DG ECHO's mandate Link 5. This list corresponds also to the key sectors covered by the SPHEREstandards Link 29. Numbers and scope of cross-cutting issues can vary significantly according to core mandates and perspectives of agencies. As an example among many, children will be the main issue for UNICEF, and a cross-cutting issue for DG ECHO. SPHERE standards acknowledge 7 cross-cutting issues: children, older people, disabled people, gender, protection, HIV/AIDS and the environment. ALNAP proposes 8 such issues: local context; human resources; protection; participation of primary stakeholders; coping strategies and resilience; gender equality; HIV/AIDS; and the environment. We have extended the list of cross-cutting issues in accordance with a recent review commissioned by DG ECHO.

The last part of the table includes the Quality Compass criteria which correspond to the concerned generic criterion.

Sub-criteria: Links to Level /quality/ Comments evaluation Links to indicators

Sub-criteria: Level /quality/ adequacy of	Comments	Links to evaluation questions	Links to indicators			
. ,	Main sectors					
Water, sanitation, and hygiene			Link 88 (hygiene promot.) Link 173 (hygiene promot) Link 176 (water) Link 89 (access to water) Link 90 (water quality) Link 91 (water facilities) Link 174 (sanitation, household level) Link 92 (access to toilets) Link 93 (design of toilets) Link 95 (malaria) Link 96 (chemicals) Link 97 (waste disposal) Link 98 (drainage) Link 175 (other environ-mental health)			
Food aid, nutrition	- The 'Smart Indicators' website is dedicated to nutrition and mortality.  Link 190	Link 60 (rations) Link 61 (distribution)	Link 103 (nutrition for all) Link 104 (nutrition at-risk) Link 105 (moderate malnutrition) Link 106 (severe maln.) Link 158 (supplementary feeding programs) Link 159 (therapeutic feeding programs) Link 107 (micronutrient) Link 157 (education) Link 108 (ration planning) Link 109 (food appropriateness) Link 110 (food quality) Link 111 (food handling) Link 112 (supply chain) Link 113 (distribution)			
Food security, income generation, livelihoods, cash-based activities, vouchers			Link 99 (general food sec.) Link 178 (training) Link 100 (production) Link 101 (income gen.) Link 177 (income gen.) Link 183 (qty, amount) Link 184 (market rehabilitation)			

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Sub-criteria: Level /quality/	Comments	Links to evaluation	Links to indicators	
adequacy of			Links to indicators	
Food security, income generation, livelihoods, cash-based activities, vouchers		questions	Link 102 (market access) Link 143 (fisheries) Link 144 (livestock) Link 145 (pests) Link 146 (seeds, inputs) Link 147 (veterinary) Link 148 (eco. recovery) Link 179 (cash distrib.) Link 180 (cash for work) Link 185 (micro-finance, micro-credit) Link 189 (vouchers)	
Shelter, settlement	- The 'Smart Indicators' website is dedicated to nutrition and mortality.  Link 190		Link 114 (strategic settlement planning) Link 169 (camp design and management) Link 170 (emergency) Link 172 (transitional) Link 115 (physical shelter planning) Link 116 (covered space) Link 117 (design) Link 118 (construction) Link 119 (impact on the environment) Link 171 (hazard mitigation, environment)	
Non-food items (NFI)			Link 120 (NFI – clothing) Link 121 (NFI – hygiene) Link 122 (NFI – utensils) Link 123 (NFI – stoves) Link 124 (NFI – tools)	
Health services			Link 125 (health priorities) Link 149 (general) Link 126 (local systems) Link 127 (coordination) Link 128 (PHC) Link 156 (communities) Link 129 (clinical services) Link 155 (pharmaceutical) Link 130 (HIS)	

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Sub-criteria: Level /quality/ adequacy of	Comments	Links to evaluation questions	Links to indicators
Health services	- The 'Smart Indicators' website is dedicated to nutrition and mortality. Link 190		Link 152 (EPI) Link 131 (prevention) Link 153 (education) Link 132 (measles) Link 133 (case mgt) Link 134 (outbreak prep.) Link 135 (outbr. response) Link 136 (HIV/AIDS) Link 154 (HIV/AIDS) Link 137 (injuries) Link 138 (reproductive health, GBV) Link 151 (maternal health) Link 139 (mental/social) Link 140 (psychiatry) Link 141 (chronic diseases) Link 150 (child health)
	Cros	ss-cutting issues	
Children	See also: - INEE standards for education Link 200 - SC-UK Link 235 - UNICEF Link 222 Link 223	<b>Link 196</b> (SC-UK)	Link 150 (child health) Link 160 (friendly spaces)
Civil-military interface	See UN-CMCoord Link 198		
Disabled people	See Handicap International Link 211		
Disaster reparedness, DIPECHO	See 'Living with risks' <b>Link 212</b> See DIPECHO <b>Link 236</b>		Link 165 (hydro-meteo) Link 166 (geological) Link 167 (technological) Link 168 (preparedness, mitigation, management) Link 171 (shelter hazard mitigation)
Displaced (IDPs, refugees, returnees)		Link 197 (UNHCR)	Link 182 (IDPs) Link 187 (returnees) Link 197 (UNHCR)

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continued from page 61 > Links to Sub-criteria: Links to indicators Level /quality/ Comments evaluation adequacy of questions Elderly (older) Helpage **Link 237** people See e.g. Link 195 (USAID), **Link 234** (IRD), Link 233 **Link 119** (impact of shelter on the environment) (IIED) on recent Environment studies regarding **Link 175** environmental (other environmental health) hazards for humanitarian aid. **Link 138** (reproductive health, GBV) Gender Link 62 Link 151 (maternal health) (equality) **Link 163** (GBV) **Link 181** (gender relations) See UNAIDS Link 238, **Link 136 HIV/AIDS UNICEF Link 239 Link 154** DG ECHO **Link 241** - LRRD is sometimes also called RDD **LRRD** ("Relief-to-(sustainability, Link 63 Link 148 (eco. recovery) Developmentconnectedness) and-Democracy") **Link 191** - See the 'Good Enough Guide' for participation Link 64 Participation Link 80 **Link 193** Link 65 - See ALNAP study Link 227 Link 186 (protection - See ALNAP mainstreaming) Protection of **Link 226** Link 66 **Link 94** (sanitary protect.) beneficiaries - See UNICEF **Link 160** (child-friendly **Link 224** spaces, youth centres)

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Sub-criteria: Level /quality/ adequacy of	Comments	Links to evaluation questions	Links to indicators
Protection of beneficiaries	- See ALNAP Link 226 - See UNICEF Link 224	Link 66	Link 161 (staff) Link 162 (family tracing) Link 163 (GBV, women centres) Link 164 (psychosocial) Link 188 (slavery, trafficking)
Security	See DG ECHO's guidelines Link 240	Link 67	
Visibility and communication	See DG ECHO's guidelines 'A partnership for communication' Link 199		

## Quality Compass Link 38

The Compass provides a compatible approach through 'quality criteria' (left column below), which can be compared to sub-criteria in the above table. The Compass also presents a number of 'key processes' (right column), corresponding to each quality

Quality criterion B: The project achieves its objectives  B.2. Constraints are analysed and taken into account.  B.3. The project measures its progress towards achieving objectives.  C.1. The risk of negative impacts on the environment is anticipated, and removed or reduced.  C.2. The risk of negative impact on the local economy (from) aid dependency is anticipated, removed or reduced.  C.3. The risk of negative impacts on the social and political context is anticipated, and removed or reduced.  C.4. The risk of negative impacts on people's security is anticipated, and removed or reduced.	criterion. These key processes could be used as quality indicators.			
Quality criterion B: The project achieves its objectives  B.3. The project measures its progress towards achieving objectives.  C.1. The risk of negative impacts on the environment is anticipated, and removed or reduced.  C.2. The risk of negative impact on the local economy (from) aid dependency is anticipated, removed or reduced.  C.3. The risk of negative impacts on the social and political context is anticipated, and removed or reduced.  C.4. The risk of negative impacts on people's security is anticipated, and removed or		B.1. Several operational strategies are explored.		
B.3. The project measures its progress towards achieving objectives.  C.1. The risk of negative impacts on the environment is anticipated, and removed or reduced.  C.2. The risk of negative impact on the local economy (from) aid dependency is anticipated, removed or reduced.  C.3. The risk of negative impacts on the social and political context is anticipated, and removed or reduced.  C.4. The risk of negative impacts on people's security is anticipated, and removed or		· ·		
Quality criterion C: The project removes or reduces the risk of negative impact  negative impact  environment is anticipated, and removed or reduced.  C.2. The risk of negative impact on the local economy (from) aid dependency is anticipated, removed or reduced.  C.3. The risk of negative impacts on the social and political context is anticipated, and removed or reduced.  C.4. The risk of negative impacts on people's security is anticipated, and removed or	deflieves its objectives			
	removes or reduces the risk of	environment is anticipated, and removed or reduced.  C.2. The risk of negative impact on the local economy (from) aid dependency is anticipated, removed or reduced.  C.3. The risk of negative impacts on the social and political context is anticipated, and removed or reduced.  C.4. The risk of negative impacts on people's		

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Quality criterion D: The project aims for positive impacts beyond implementation

- D.1. The project purpose is identified.
- D.2. The project strengthens people's capacity to cope with crises.
- D.3. The post-project period is thought about and planned in advance.
- D.4. Where appropriate, disaster preparedness and/or prevention strategies are planned.
- D.5. Where appropriate, the project aims for economic and technical sustainability.

## Relevance

## i. Examples of general evaluation questions

## Table 11

		Table 11
Issue or sub- criteria	Evaluation question (example)	Source
Relevance	<ul> <li>What was the nature and the scope of the problem?</li> <li>Was the intervention model sound?</li> <li>How did the situation causing the problem evolve (assumptions, external risks)?</li> <li>Are the project activities plausibly linked to the intended effects?</li> </ul>	ALNAP
Coordination (coherence)	- How well did the actors work towards the same basic goals?	
Coverage	- How well did the intervention provide major population groups with assistance and protection proportionate to their need and devoid of political agendas?	ALNAP
Strategy	<ul> <li>Is our purpose clear?</li> <li>Are we aware of what is happening in the external environment?</li> <li>Do we understand the strengths and strategies of (the other stakeholders)?</li> <li>Do we make clear decisions about how much money to spend on what and where?</li> </ul>	Link 192
Relevance / Appropriateness	"Are we addressing the real needs?"  - Which (of our) policies apply and to which extent is the project/program design and implementation in line with them? Is (our) policy itself appropriate? Have issues of 'temoignage' (witnessing)/advocacy been considered in the project planning and implementation?	Link 213

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Issue or sub- criteria	Evaluation question (example)	Source
Relevance / Appropriateness	<ul> <li>Is the intervention appropriate according to the perception (expressed needs / demand) of the target population and /or according to national policies?</li> <li>Do project objectives correspond with identified needs? Are our intervention choices appropriately prioritised to meet the most urgent needs first? Are we close enough to the target population to understand their situation as well as possible changes in their needs (proximity)?</li> <li>Is the intervention in line with national policies?</li> </ul>	Link 213

# ii. Examples of general indicators

# Table 12

Issue or sub- criteria	Indicator (example)	Source
Relevance	<ul> <li>Attainment of Sphere Standards. The Standards state that resources should be provided is a way that is equitable, appropriate and accessible. The Standards are a key measure of appropriateness in that they provide specific, quantitative indicators of what is acceptable in a given situation.</li> <li>Adequate needs assessment carried out. A needs assessment would be considered adequate if it clearly identifies, in a participatory fashion, the differentiated needs of the affected population, including how external intervention is likely to support livelihood strategies.</li> </ul>	ALNAP
Coordination (coherence)	<ul> <li>Level of staff released for coordination functions.</li> <li>Level of training to staff on coordination functions.</li> <li>Clarity of roles and responsibilities and accountability structure in respect of coordination for staff.</li> <li>Level of authority provided to coordinating body, including authority over funding decisions.</li> <li>Percentage of intervention funds spent on coordination activities.</li> <li>Number of sources through which funds are channelled.</li> <li>Existence of policies for coordination.</li> <li>Degree of information sharing.</li> <li>Monitoring of coordination structures in the field.</li> <li>Views of stakeholders on coordination</li> <li>Existence of a policy on cooperation/collaboration with other groups</li> <li>Steps taken to improve coherence (e.g. meetings, including level of meetings, joint needs assessment, joint press statements).</li> </ul>	ALNAP

# iii. Examples of specific evaluation questions and indicators, linked to corresponding sub-criteria (this list is not limitative).

Table 13

			Table 13
Sub-criteria Level/quality/ adequacy of assessment (background / impact) of	Comments	Links to evaluation questions	Links to indicators
Entry strategy	See DG ECHO Link 229		
Specific crisis situation, needs assessment, priorities, baseline studies and statistics, local absorption capacity	See DG ECHO Link 230, Link 231	Link 256 (emergency) Link 70 (WFP - overall strategy) Link 71 (WFP - needs assessment) Link 72 (WFP - targeting) Link 73 (WFP - program design) Link 209 (Venro)	Link 81 (initial assessment) Link 82 (response) Link 83 (targeting) Link 125 (health priorities)
Risk assessment		Link 210 (Venro)	
Timeliness		Link 214	
Relevant politics and policies (local, EU, US, regional)	See EU RELEX Link 243 See Reliefweb Link 244		
Coordination, EU 3Cs	See 3Cs web site Link 10	Link 68 Link 76 Link 208 (Venro) Link 214	Link 127 (health coordination)
Coverage by other agencies, programmatic linkages		Link 77 Link 214	
Security levels, access, visibility, civil-military relations	See Reliefweb Link 244		

> continued from page 66 >			
Sub-criteria Level/quality/ adequacy of assessment (background / impact) of	Comments	Links to evaluation questions	Links to indicators
Local cultural acceptance levels (e.g. on gender, children issues)			
Advocacy, communication, media	See Reliefweb Link 244		
Preparedness and mitigation measures against natural disasters, El Nino, climate changes			
WTO, globalisation rules and economic perspectives	See WTO <b>Link 245</b>		
Learning lessons and using lessons already learnt		Link 214	
Exit strategy, LRRD, connectedness	See NRC 'Exit handbook' <b>Link 228</b>	Link 214	

## **Quality Compass Link 38**

The Compass provides a compatible approach through 'quality criteria' (left column below), which can be compared to sub-criteria in the above table. The Compass also presents a number of 'key processes' (right column), corresponding to each quality criterion. These key processes could be used as quality indicators.

Quality criterion A: The project responds to a demonstrated need.

- A.1. People's needs are identified and monitored.
- A.2. The origins of people's needs are analysed and taken into account.
- A.3. The project responds to clearly defined needs.
- A.4. The decision not to address all of the identified basic needs can be justified.

Quality criterion G: The project is flexible.

G.1. Context changes are anticipated and monitored (anticipation).

G.2. The project is adapted in relation to context changes (reaction).

H.1. Actors and their activities are identified.

H.2. Effective coordination links the project with other interventions.

In an optimal manner.

H.3. Opportunities to cooperate with other actors are explored and utilised.

## Values

## i. Examples of general evaluation questions

## Table 14

Issue or sub- criteria	Evaluation question (example)	Source
Principles (appropriateness)	<ul><li>How consistent were the policies adhered to?</li><li>How well did they take humanitarian and human rights into consideration?</li></ul>	ALNAP
Standards and quality	<ul> <li>What systems were put in place for assuring programme quality, including setting appropriate technical standards?</li> <li>Have relevant international standards and code of conduct been addressed?</li> </ul>	WFP
Accountability	<ul> <li>Are we stating clearly what we plan to do?</li> <li>Can we show that we are living up to our values?</li> <li>Are beneficiaries / donors aware of where we are succeeding and failing?</li> <li>Are we reporting clearly on how and how well funds were used?</li> <li>Are we listening to and learning from what beneficiaries are saying?</li> </ul>	Link 192
Adherence to humanitarian principles / space	<ul> <li>'Can operational independence be maintained in the context of the operation?'</li> <li>Was an independent needs assessment possible and carried out appropriately?</li> <li>Can the supply of resources and the program implementation be monitored independently?</li> <li>Are there any experiences of manipulation by local / other actors in the conflict?</li> <li>What are the restrictions to free and secure movement of our staff?</li> <li>What is the relationship / proximity to the local population?</li> </ul>	Link 213

# ii. Examples of general indicators

Table 15

Issue or sub- criteria	Indicator (example)	Source
Principles (appropriateness)	<ul> <li>Extent to which the Red Cross/Red Crescent         Code has been followed. DEC (2002) provides an         innovative example of how the Code can be used as         an evaluation tool</li> <li>Extent of promotion of goals contained in policy         statements in government and donor planning         documents, e.g. gender equality, basic human needs         or human rights policies.</li> <li>Stakeholder views and opinions, including those of         primary stakeholders, on the appropriateness of the         intervention. See the method section on means for         facilitating primary stakeholder participation in EHA.</li> <li>Degree to which impartiality and proportionality,         as outlined in the Red Cross/NGO Code of Conduct,         and maintained.</li> <li>Correspondence between policies and international         humanitarian law.</li> </ul>	ALNAP

# iii. Examples of specific evaluation questions and indicators, linked to corresponding sub-criteria (this list is not limitative).

Table 16

Table 16		
Sub-criteria Level/quality of application of	Comments	
DG ECHO's Regulation	Link 5 See also DG ECHO's leaflet on values and principles Link 242	
RC Code of Conduct	Link to bibliography	
Accountability principles and standards (HAP-I ).	In particular, the outcome of principles 4 (participation), 5 (monitoring and reporting) and 6 (addressing complaints) could be considered as outside-looking evaluation issues.  Link 32  - See the 'Good Enough Guide' for accountability Link 193	
Good Humanitarian Donorship principles	Link to bibliography	
International Humanitarian Law (IHL)	Link to bibliography	
International Refugee Law	Link to bibliography	
International Human Rights Law	Link to bibliography	
	> to be continued on page 70 >	

to be continued on page 70 >

) continued from page 69)		
Sub-criteria Level/quality of application of	Comments	
Other relevant Declarations (Convention on the Rights of Children, etc)	See UNICEF's PATH Link 225	
Standards, work rules to be applied (SPHERE, INEE, CIMIC, evaluating agency's own procedures…)	<b>Link</b> to bibliography	
Do-No-Harm principles	Link 246	
Evaluating agency's own mandate (relevant provisions)		
Various religious and moral duties (Zakat?) or values, where relevant	For faith-based evaluating agencies	
"No paternalism"?		
Quality Compass Link 38		
The Compass provides a compatible approach through 'quality criteria' (left column below), which can be compared to sub-criteria in the above table. The Compass also presents a number of 'key processes' (right column), corresponding to each quality		

criterion. These key processes could be used as quality indicators.		
Quality criterion E: The project is consistent with the agency's mandate and principles.	<ul> <li>E.1. The agency's mandate and principles are clearly defined and are actively communicated, both internally and externally.</li> <li>E.2. Political and legal issues relating to the crisis are analysed.</li> <li>E.3. The agency makes its position on the crisis clear.</li> <li>E.4. The risk of the project being manipulated is identified and, if possible, reduced.</li> </ul>	
Quality criterion F: The project respects the population.	<ul> <li>F.1. Teams are aware of the appropriate behaviour they should adopt in order to show respect for the population.</li> <li>F.2. The population is informed, consulted and involved in the project.</li> <li>F.3. the project takes into account the cultural, social and religious characteristics of the population.</li> <li>F.4. Necessary measures are taken to remove or reduce the risk of frustration and of raising false expectations</li> </ul>	

### And...

- It is always good to consult, even if it does not concern directly your sector of intervention, the "UNICEF Emergency Field Handbook" (keep your own paper copy in your pocket!). This is a step-by-step guide to every aspects of an emergency situation for field staff (including M&E), complete with "what to do," and "what to remember?" types of questions. The booklet covers also "inside-looking" issues of management.
- The **Quality Compass Companion Book** (also available in pocket-size printed form) a useful checklist of issues to be remembered throughout all project phases.

evaluations by small/medium sized NGOs, to measure impact, etc.

#### F.3. Implementing a process evaluation Table 17 Considering expected benefits $\bigcap_{i \in I} (i)$ - Why do we want to do an evaluation? 0 - How are we going to use the results? (Accountability and/or learning purposes, from operational to policy levels...) 8 Focus on outcome Focus on process or **combination** of both (looking "outside") (looking "inside") $\geq$ $\leq$ Defining evaluation questions Standards, types, planning, methodology, management, reporting, dissemination and use of results Generic Criteria (not to be applied mechanically: **Generic Criterion** 1, 2 or all three criteria can be selected): • Efficiency (Quality of process) Effectiveness Relevance S Values $\overline{\circ}$ 0 $\stackrel{\smile}{\vdash}$ Main sectors Cross-cutting Z (single or multiple issues (single or EVALUATIO choice): multiple choice): Food Children Health Participation Tool box B: • Etc... • Etc... • Example of evaluation question(s) Tool box A - for each sector or issue: Recommended existing/field-tested • Example of evaluation question(s) tool(s), benchmark(s) and · Recommended existing/field-tested indicator(s) with web links tool(s), benchmark(s) and indicator(s) Linkages to monitoring with web links · Linkages to audit · Linkages to monitoring · Suggestions and caveats Suggestions and caveats Capacity building/learning environment Support by donors: (for planning and managing evaluations, • Funding, as relevant using results) by and for target NGOs: • QA/QC ("good enough" overall quality) Coordination with donors (3Cs) • Key internal functions in place • Help in finding experts • Training, refresher courses... • Dissemination of results, strategic use $\triangleleft$ Coaching \_ • Global, joint, thematic, peers, meta,ex Mentoring post evaluations, to balance single

• Other conducive types of support ...

See relevant guidance notes in previous chapter ('implementing an outcome evaluation').

## Efficiency

## i. Examples of general evaluation questions

Table 18

Issue or sub- criteria	Evaluation question	Source
Efficiency	- Was the programme or project implemented in the most efficient way compared to alternative ways?	ALNAP
	<ul> <li>"Were things done in the best way possible?"</li> <li>Were inputs and resources used appropriately and to their maximum potential?</li> <li>How were human resources managed?</li> <li>How did the logistics function (e.g. timely delivery of goods, transport, etc)?</li> </ul>	Link 213
Cost-efficiency	<ul><li>What are the costs of inputs (per activity) relative to outputs?</li><li>Were objectives achieved at the least cost?</li></ul>	ALNAP
	<ul><li>Could the activities and results have been achieved at lower costs?</li><li>Could we have done more with the same budget?</li></ul>	Link 213
Quality	<ul> <li>How well are we delivering our services?</li> <li>Are we consistent?</li> <li>Are we meeting the performance standards we set for ourselves?</li> <li>How do we measure up to (other comparable agencies – benchmarks)?</li> <li>Are we setting and meeting targets for process improvement?</li> <li>Do our people have the skills to make our plans a reality?</li> </ul>	Link 192

## ii. Examples of general indicators

39

Table 19

Issue or sub- criteria	Indicator (example)	Source
Cost-efficiency <sup>39</sup>	<ul> <li>Total cost of the intervention broken down by sector</li> <li>Costs of inputs locally and internationally</li> <li>Transportation costs broken down by sector and type of transportation</li> <li>Staff costs, broken down by local and expatriate staff</li> <li>Administration costs as a percentage of intervention costs</li> </ul>	ALNAP

The simple indicator of "unit cost per beneficiary" was not to be found among the examples collected.

# iii. Examples of specific evaluation questions and indicators, linked to corresponding sub-criteria (this list is not limitative).

Table 20

			Table 20
Sub-criteria: Level /quality/ adequacy of	Comments	Links to evaluation questions	Links to indicators
Internal organisation in general and/ or per sector or type of activity, as relevant	See People In Aid  Link 28  See i.a. following tools:  NGO self-assessment through a SWOT exercise by Networklearning Link 216  OCTAGON, a tool for assessment of strengths and weaknesses of NGOs, by SIDA Link 217  USAID recommended tools Link 218  Total quality techniques and self-assessment methods used by Common Assessment Framework (CAF) for EU public services, as a reference Link 215	Link 78	
General factors of efficiency in implementation		Link 74	
Sector and regional strategies		Link 204	
Human resources strategy	See People In Aid - Principle 1 Link 28 See the 'EVHAC' review on humanitarian volunteers Link 254	Link 69 (appreciative inquiry, satisfaction survey) Link 205	Link 87 Link 203
Staff policies and practices	See People In Aid – Principle 2 <b>Link 28</b>		
Managing people	See People In Aid – Principle 3 <b>Link 28</b>		

continued from page 74 >			
Sub-criteria: Level /quality/ adequacy of	Comments	Links to evaluation questions	Links to indicators
Consultation and communication, advocacy (internal/ external)	See People In Aid – Principle 4 <b>Link 28</b>	Link 142	
Recruitment and selection	See People In Aid – Principle 5 <b>Link 28</b>		
Learning, training and development (staff competencies, ability to learn, participation / openness)	See People In Aid – Principle 6 <b>Link 28</b>	Link 206	Link 86
Health, safety and security	See People In Aid – Principle 7 <b>Link 28</b>		
Accounting system	See definition of management audit and "4Es" Link 219	Link 207	
Monitoring systems	To be connected to DG ECHO's monitoring review <b>Link 4</b>	Link 75	Link 84
Evaluation procedures	<b>Link</b> to methodology chapter		Link 85
Budget, cost-efficiency, cost- effectiveness (per sector and/or type of activity, where relevant and feasible, e.g. in protracted crises)	See guidance notes Link 247	<b>Link 79</b> (WFP) <b>Link 248</b> (UNEG)	
Accountability principles and standards (HAP-I)	Link 30		

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## Quality Compass Link 38

The Compass provides a compatible approach through 'quality criteria' (left column below), which can be compared to sub-criteria in the above table. The Compass also presents a number of 'key processes' (right column), corresponding to each quality criterion. These key processes could be used as quality indicators.

· ·	
Quality criterion I: The agency has the necessary resources and expertise.	<ul> <li>I.1. Necessary and available resources are estimated correctly.</li> <li>I.2. Staff and other people involved in the project have the necessary expertise.</li> <li>I.3. An appropriate amount of time is allocated to each phase.</li> <li>I.4. The project is compatible with available resources.</li> </ul>
Quality criterion J: The agency has the appropriate management capacity.	<ul> <li>J.1. Reporting lines and decision-making responsibilities are clearly defined.</li> <li>J.2. Good team management enables the project to run smoothly.</li> <li>J.3. The methods used for collecting and processing information are appropriate.</li> <li>J.4. Administrative, financial and logistics management is effective and transparent.</li> <li>J.5. The risks affecting project equipment are identified, taken into account and monitored.</li> <li>J.6. The risks faced by your team are identified, taken into account and monitored.</li> </ul>
Quality criterion K: The agency makes optimal use of resources.	<ul><li>K.1. The chosen strategy ensures optimal impact.</li><li>K.2. Project coverage is optimal.</li><li>K.3. Available resources are mobilised and used rationally.</li></ul>
Quality criterion L: The agency uses lessons drawn from experience.	<ul><li>L.1. The agency records relevant information over the course of the project.</li><li>L.2. The agency learns lessons from experience.</li><li>L.3. The agency uses lessons learnt from experience.</li></ul>

Table 21

#### G. **Capacity and support**

Considering expected benefits S  $\bigcap \bigcup$ - Why do we want to do an evaluation? 0 - How are we going to use the results? (Accountability and/or learning purposes, from operational to policy levels...)  $\delta$ ш Focus on outcome Focus on process or **combination** of both (looking "outside") (looking "inside") Z  $\leq$ Defining evaluation questions Standards, types, planning, methodology, management, reporting, dissemination and use of results **Generic Criteria** (not to be applied mechanically: **Generic Criterion** 1, 2 or all three criteria can be selected): • Efficiency (Quality of process) Effectiveness • Relevance 0 0 Main sectors Cross-cutting LUATION (single or multiple issues (single or Food • Health Participation Tool box B: • Etc... EVAI • Example of evaluation • Recommended Tool box A - for each sector or issue: existing/field-tested • Example of evaluation question(s) tool(s), benchmark(s) and · Recommended existing/field-tested indicator(s) with web links tool(s), benchmark(s) and indicator(s) Linkages to monitoring with web links Linkages to audit · Linkages to monitoring · Suggestions and caveats Suggestions and caveats Capacity building/learning environment **Support by donors:** (for planning and managing evaluations, • Funding, as relevant using results) by and for target NGOs: • QA/QC ("good enough" overall quality) CAPACITY • Coordination with donors (3Cs) Key internal functions in place

Coaching

Mentoring

• Peers

• Training, refresher courses...

• Other conducive types of support ...

'Are there better ways of doing it?' (UNICEF) And "What can we do about it?"

Help in finding experts

• Dissemination of results, strategic use

• Global, joint, thematic, peers, meta,ex

post evaluations, to balance single

evaluations by small/medium sized NGOs, to measure impact, etc.

Capacity building – strengthening the understanding and skills about how to effectively plan, implement, and use evaluation – represents a key challenge within the humanitarian sector. While Guides such as this one can help, we are under no illusions that it is sufficient to create a culture of evaluation with more understanding of its potential to improve the effectiveness of humanitarian interventions. Indeed, the lack of relevant management capacity has been as one of the most common reasons for the failure of evaluation to be as useful as it otherwise could, and for the limited use of lessons learnt from evaluations that have been carried out. This was emphasised in the numerous consultations during the course of the preparation of this Guide.

## "The challenge is to link what you learn with what you do" (SPHERE)

Thus the need was identified for a **conducive environment** providing support and assistance to aid interested agencies in being able to most effectively apply the recommended approaches and tools, and in providing for maximum identification, appropriate dissemination and use of the findings and implications arising from the spectrum of evaluation activities **Link 255**. This environment could be divided in two main components: internal management support and expertise within agencies themselves, and a range of tasks recommended for donors to provide appropriate guidance and support.

## G.1. Internal capacity

NGOs should take steps as appropriate to enhance their own capacity for evaluation, recognising that this is an essential tool for improvement, and also to be able to demonstrate that their efforts are indeed making a difference in assisting beneficiaries. What steps that can be taken will vary of course, given the size and nature of the agency, and its current level of evaluation capacity.

"Often NGOs have limited capacity in the field and are scarce on human/other resources to adequately prepare the mission. For example, compared with the UN or ICRC, NGOs' capacity is somewhat limited and weak at points...I think staff capacity is key. For large NGOs who have access to larger pool of international staff, that is not such an issue. However, smaller NGOs who rely on national staff, who often have limited or no foreign language skills, ability to access formative processes, including management is a weak point". (D.B., external expert contracted by an NGO to evaluate in 2007 one of their projects funded by DG ECHO.)

One important step, consistent with both standards and good practice, is to identify a focal point for evaluation at the HQ level. Depending upon the size of the organisation, this could be full time, or just part of other functions. Preferably this person should have some experience with evaluation. If not, it would be appropriate to place priority on the development of evaluation skills, e.g. through participation in training, evaluation conferences and events, contacts with other agencies involved in evaluation, etc.

Ideally, this person should be at the management level, to provide some 'clout' to encourage

evaluation practice, to ensure that necessary distance is maintained with field operations, and also to facilitate use of evaluation within the organisation. The independence of the position should be acknowledged in the agency's internal procedures.

Ideally again, the position should be protected from rapid turnover that may prove detrimental. Some good practices recommend that the person assigned to the evaluation function should be kept in place for at least 36 months, if possible.

The specific responsibilities of the evaluation manager or evaluation function are described in the methodology chapter **Link**.

The development and support of evaluation capacity within the organisation can be assisted in a number of ways. It must be stressed that the usual solution of organising a training course is hardly sufficient. As the LFA perspective clearly emphasises, training in itself is only a first step in a process; it is a (learning) activity, not an outcome or a result. There is a need of a comprehensive and conducive "learning environment", to support the effort -on the long term if needed-, with coaching or mentoring, regular cross-fertilisation with peers, practical exercises, updates, guidance etc. Donors could help (see below) in the development of evaluation capacity, as well as with specific evaluation activities. There are also various self-development tools and external, third-parties specialised organisations, as listed i.a. below that could also be of assistance.

Also, as we have emphasised throughout this Guide, there is little point to carry out evaluation if it is not used in some way. This requires the organisation to have some form of process for ensuring that the learnings are translated into action. There can be various ways in which this is done. For example, some organisations have a knowledge management function, and others require that action steps in response to evaluations are presented to senior management.

## Self-development tools - Who can help?

A number of organisations, initiatives and tools have been mentioned in the various chapters of this Guide, in particular in the sub-criteria tables. Links with some regular training schemes dedicated to evaluation –such as e.g. those organised by ALNAP **Link 39** or URD **Link 38** – can also be found in the bibliography **Link**, together with a list of relevant internet-based discussion groups **Link**.

In addition, DG ECHO has provided grants in recent years to a significant number of humanitarian actors and stakeholders, to support their contribution to improving e.g. networking, management, and field practices **Link 250**. The list includes for example URD's Quality Compass or People In Aid's efforts towards human resources management, but also the setting up of a 'Helpdesk' by punto.sud which covers i.a. monitoring and evaluation activities **Link 251**.

We also observe that there are increasing numbers of "commercial" organisations or initiatives that generally aim at providing training and seminars, for a fee. Many of these are general in nature (e.g. regarding particular evaluation skills or techniques), others can be very specialised. These actors are not mentioned in this Guide.

## G.2. Support for evaluation activity and use by donors

## 'Big picture' focusing and coordination role

While it is to be hoped that individual humanitarian aid agencies will progressively engage in increasing evaluation of their own interventions, this still leaves an important evaluation role for donors to take on. In addition to providing overall guidance, it is incumbent upon major donors to focus on the big picture. This includes identifying overall lessons learnt about which approaches are most effective or not in given circumstances, and the reasons for this.

Individual agency evaluations, as this Guide has discussed, can provide extremely useful guidance to the agency concerned about how it may be able to improve its own operations. But it is widely recognised that when it comes to identifying the appropriateness of various policy and programmatic approaches, individual studies are mere building blocks<sup>40</sup>. To identify lessons learnt that can be generalised from evaluative information is needed from different sources, setting, and types of interventions. Consequently, as well as for their own planning and accountability needs, major donors (with the assistance of external experts as appropriate, and/or contracting out certain functions to support agencies or contractors) will need to undertake the following types of evaluative activities.

- Undertaking (independently, or jointly with others) global evaluations, thematic evaluations, cluster evaluations, meta evaluations, and other forms of evaluation that can look across varying responses not limited to a single site. In some situations, donors might wish to encourage and to support agencies to undertake joint evaluations. They may wish to undertake some joint evaluations themselves, e.g. together with other humanitarian donors, impact assessments (e.g. looking at LRRD) with development donors. Joint evaluations on values could e.g. be launched by using the Good Humanitarian Donorship (GHD) platform.
- To carry out annual syntheses of evaluations that have been undertaken, in order to capture key lessons learnt, good practices, and recommendations. This category of activities can include consolidation of fragmented data. Synthetic reviews can aid donors in responding to the 3rd UNEG question: "Are there better ways of achieving the results?", which looks at alternative ways, good practices and lessons learnt. It may also be appropriate to carry out the occasional metaevaluation, potentially using peer reviewers, as a means of assessing the quality of the evaluations themselves and making recommendations for improvements. There is little point, however, in carrying out such activities unless this information will lead to use, especially given that the humanitarian sector has recently been criticised for insufficiently learning and acting upon what has been learned from past actions. Thus implications arising from syntheses should:
  - 1) be used internally in contributing to defining donors' annual strategies;
  - 2) be used externally, by disseminating them to their partners and through key global networks (ALNAP, UN/IASC etc) but recognising that dissemination must make use of appropriate media to reach the intended audience, and rarely are technical reports adequate for this purpose.

<sup>40</sup> E.g. see Ray C. Rist and Nicoletta Stame, eds. (2006). From Studies to Streams: Managing Evaluative Systems. Transaction Publishing. This is also a theme in ALNAP's Review of Humanitarian Actions. Link 253

- To coordinate and standardise evaluation requirements with other donors, in particular bilateral European donors (that might provide opportunities to consider the 3Cs channel for streamlining requirements regarding e.g. TORs and reporting), in order to avoid unnecessary duplication or even conflict, and more positively, to identify ways in which various donors may be able to work together (e.g. joint funding on evaluations of mutual interest).
- Training of donors' own staff (HQ, field) regarding evaluation, as well as related organisational development approaches such as Appreciative Inquiry techniques for FPA, PCM and LFA that can involve taking a positive approach to help in developing consensus.

## Quality assurance / control, tangible and intangible support to agencies for evaluation

This Guide has provided ideas about how NGOs can undertake evaluations on their own. However, we recognise that given capacity and resource limitations, this will be challenging in a number of situations. Thus in order to lead to a broad culture of evaluation, it is important that major donors provide leadership and support of various forms.

As part of efforts in promoting a results oriented culture of evaluation, donors should reinforce and reward those who try, even though it is rarely perfect the first time and that it will take time for some NGOs to reach an appropriate level of quality<sup>41</sup>. A corollary to this is making it clear that "failures are accepted", recognising that punishing failure is equivalent to punishing innovation. Further, punishing agencies for what can be perceived as negative evaluation findings can act as a disincentive to undertake future evaluation activities – or worse. To be sure, the above is contingent upon agencies identifying what has been learned, even from negative experiences, and how they can use this information to improve future activities.

Tangible and appropriate funding support will also be required. Adequate funding should be made available by donors, based upon a realistic budget to address the requirements for a meaningful evaluation, rather than based exclusively as a percentage of the overall programme budget. With an overly small budget for evaluation, there can be a risk of having unskilled evaluators and results of questionable validity and little use, thus representing a waste of those funds that have been devoted to evaluation. Further, if the budget for evaluation is defined only as a (small) share of the total intervention budget, it will be difficult or impossible for NGOs to get beyond consideration of process and to look at more important questions such as outcomes. Taking a results-oriented approach to the funding of evaluation, it should be recognised that it is usually premature at the time of application for the humanitarian intervention to be able to specify a TOR for the evaluation, except in a very tentative and general form (e.g. questions about the operation and questions that could be addressed through evaluation often are not apparent until later). Instead, evaluation plans should be approved based on the key basic questions (Why an evaluation? How to use the results?) presented with the project proposal.

This for example is a major theme in a recent report arising from a Roundtable discussion: "Moving from Outputs to Outcomes" sponsored by the World Bank. (Burt Perrin. 2006 Moving from Outputs to Outcomes: Practical Advice from Governments around the World. Available at: www.worldbank.org/oed/outcomesroundtable.) This report also indicated that "an overly critical approach can kill [an outcome approach]" and that "risk avoidance and the fear of exposing failure have been blocking the way to further improvements."

Many NGOs with limited experience or capacity in evaluation will require **individualised support and guidance from a neutral source**. Consequently, it would be appropriate for major donors to support or contract one or several independent organisation(s) that can provide relevant advisory assistance. This can include, but not be limited to: providing general advice and encouragement; answering questions as well as specific guidance at any step of the evaluation process to newly appointed evaluation functions within NGOs; mentoring and coaching support, etc.

An independent support organisation may be able to assist in matters pertaining to general or specific quality assurance /quality control issues, such as for example:

- ensuring that the "good enough" quality of TOR and reporting is maintained. This can be achieved through defining minimum standards, by coaching, and by convening expert reading mechanisms such as the UNHCR's **Link** in case of contention;
- providing arbitration in case of issues concerning the independence of the evaluation, raised either by the agency or the evaluators;
- maintaining a proper balance between outcome and process evaluations (some donors might be more interested in learning about results/outcomes, and some agencies might find easier to implement internal process reviews); and
- assuring that participation of beneficiaries is carried out with the required independence, in case of e.g. negative feedback about an agency.

An example of good practice could be found in the UN-OCHA CAP (Consolidated Appeal) Section that provides central support – in the form of workshops and training- to the various country teams who have to prepare CAPs at field level **Link 252**.

A dedicated website on the CAP model - although of course with a somewhat different focus - could propose a number of relevant services such as:

- links to existing databases or sites of vacancy announcement (e.g. Reliefweb, RedR), and/or links to some Commission-managed database of possible evaluators (e.g. in the framework of 'Lot 13'), making it clear, of course, that there is no endorsement of any of the names on the database;
- a database of specialised coaches, facilitators, mentors, supporting organisations for capacity building and training purposes;
- assisting in ensuring transparency and accountability by e.g. posting reports/ executive summaries on the web site;
- interactive relations with concerned agencies who would be ready to contribute to update relevant sections of this Guide, suggest the inclusion of new tools, examples of good practice, etc; and
- organising a discussion forum where issues of common interest could be discussed.

## **ANNEX A - GLOSSARY**

-A-

**Accountability** is the means by which power is used responsibly. **Humanitarian accountability** involves taking account of, and accounting to disaster survivors (HAP-I)

**Appraisal**: an overall assessment of the relevance, feasibility and potential sustainability of a development intervention prior to a decision of funding. (OECD/DAC)

Appreciative inquiry is the study and exploration of what gives life to human systems when they function at their best...(i) suggests that human organising and change, at its best, is a relational process of inquiry, grounded in affirmation and appreciation. (The Power of Appreciative inquiry)..."Positive questions lead to positive change"

**Audit**: the determination of whether and to what extent activities and procedures conform to norms and criteria set out in advance. (ALNAP)

• The "Four E"s in audit:

**Effectiveness**: doing the right things **Efficiency**: doing things the right way

**Economy**: doing things cheap

**Equity**: doing right (being socially responsible in a social audit perspective) (Internal Auditing, A.D. Chambers, G.M. Selim, G. Vinten, Pitman Publishing 1987)

• A Management Audit is a future-oriented, independent, and systematic evaluation (sic) of the activities of all levels of management performed by the internal auditor for the purposes of improving organisational profitability and increasing the attainment of the other organisational objectives through improvements in the performance of the management function, achievements of programme purposes, social objectives, and employee development. Financial data are some of the sources of evidence. The primary sources of evidence are the operational policies and the management decisions as related to the organisational objectives...The resultant audit report identifies problems and recommends solutions. (Smith, J.E.: 'An Evaluation of Selected Current Internal Auditing terms', Research Report n°19, IIA Inc, 1975)

-B-

**Baseline study**: the analysis and description of the situation prior to the start of an operation, against which change can be assessed or comparisons made (WFP).

**Benchmark**: reference point or standard against which performance or achievements can be assessed. (OECD/DAC)

**Beneficiaries**: the individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention. (OECD/DAC)

-C-

**Coherence** is the need to assess security, developmental, trade and military policies as well as humanitarian policies, to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human rights considerations (OECD/DAC).

Complex political emergencies: a situation with complex, social, political and economic origins, which involves the breakdown of state structures, the disputed legitimacy of host authorities, the abuse of human rights and possibly armed conflict, that creates humanitarian needs. The term is generally used to differentiate humanitarian needs arising from conflict and instability from those, which arise from natural disasters. (ALNAP)

Connectedness refers to the need to ensure that activities of a short-term emergency nature are carried out in a context that takes longer term and interconnected problems into account. Sustainability is concerned with measuring whether an activity or an impact is likely to continue after donor funding has been withdrawn. ... many humanitarian interventions, in contrast to development projects, are not designed to be sustainable. They still need assessing, however, in regard to whether, in responding to acute and immediate needs, they take the longer-term into account (OECD/DAC).

**Cost-effectiveness** '... looks beyond how inputs were converted into outputs, to whether different outputs could have been produced that would have had a greater impact in achieving the project purpose.' (OECD/DAC)

**Coverage** is the need to reach major population groups facing life-threatening suffering wherever they are (providing them with assistance and protection proportionate to their need and devoid of extraneous political agendas) (OECD/DAC).

-E-

**Effectiveness**: The extent to which the operation's objectives were achieved, or expected to be achieved, taking into account their relative importance.

Effectiveness measures the extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of the outputs. Implicit within the criterion of effectiveness is **timeliness**. Although **coordination** is not a formal criterion, the OECD/DAC Guidance suggests that given its importance, it should be considered under the criteria of effectiveness. (OECD/DAC)

Efficiency: A measure of how economical inputs are converted to outputs.

Efficiency measures the outputs – qualitative and quantitative – achieved as a result of inputs. This generally requires comparing alternative approaches to achieving an output, to see whether the most efficient approach has been used.

But also...

The term 'efficiency' means to the physicist the amount of energy you get out of a machine compared to the energy put in. A good machine can have an efficiency of ninety per cent. A good symposium has an efficiency around five per cent. The remaining ninety-five per cent of the energy is converted into hot air (Arthur Koestler).

**Evaluation**: 'The process of determining the merit, worth, or value of something or the product of that process' (Scriven 1991)

Evaluation is the systematic and objective assessment of an on-going or completed operation,

programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, as well as efficiency, effectiveness, impact and sustainability (WFP).

- Evaluation of Humanitarian Action: 'A systematic and impartial examination of humanitarian action intended to draw lessons to improve policy and practice and enhance accountability' (ALNAP)
- Cluster evaluation: an evaluation of a set of related activities, project enad/or programs. (OECD/DAC)
- **Ex-ante evaluation**: an evaluation that is performed before implementation of a development intervention. (OECD/DAC)
- Ex-post evaluation: the evaluation of an operation after it has been completed. It may be undertaken directly after or long after completion. The intention is to understand the factors of success or failure, to assess the sustainability of results and impacts, and to draw conclusions that may inform other comparable operations (WFP).
- External evaluation: The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organizations. (OECD/DAC)
- **Formative evaluation**: The evaluation intended to improve performance, most often conducted during the implementation of an operation.
- Independent evaluation: An evaluation carried out by entities and persons free of the control of those responsible for the design and implementation of the development intervention. (OECD/DAC)
- Internal evaluation: Evaluation of a development intervention conducted by a unit and/or individuals reporting to the management of the donor, partner, or implementing organization. (OECD/DAC)
- **Joint (evaluation)** Conducted jointly by two or more organisations working in the same area (adapted from OECD/DAC)
- Meta evaluation: The term is used for evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators. (OECD/DAC)
- **Mid-term Evaluation**: an evaluation performed towards the middle of the period of implementation of an operation (WFP).
- Participatory (evaluation) Evaluation carried out with, or by, the primary stakeholders, usually the project beneficiaries. (OECD/DAC)
- Process (evaluation) An evaluation of the internal dynamics of the implementing organisations, i.e. their policy instruments, their service delivery mechanisms, their management practices, and the linkages between these. (OECD/DAC)

- **Program evaluation**: Evaluation of a set of interventions, marshalled to attain specific global, regional, country, or sector development objectives. (OECD/DAC)
- Real time (evaluation) Involves the deployment of a staff member or consultant into an ongoing operation to evaluate events as they unfold. (OECD/DAC)
- **Self (evaluation)** Short one or two-day exercise managed from within the operation to review lessons learned, perhaps using an external facilitator. (OECD/DAC)
  - **Self-evaluation**: an evaluation planned and managed by those who are entrusted with the design and delivery of an operation.
- **Summative evaluation**: An evaluation conducted at the end of an operation (or a phase thereof) to determine the extent to which the planned results were produced. A summative evaluation is intended to provide information about the value of the operation.
- Thematic evaluation: Evaluation of a selection of development interventions, all of which address a specific development priority that cuts across countries, regions, and sectors. (OECD/DAC)
- -F Finding: A finding uses evidence from one or more evaluations to allow for a factual statement.
   (OECD/DAC)
- -H
  Humanitarian system: the group of organisations involved in the provision of humanitarian assistance and protection. (ALNAP)

**Humanitarian Action**: Assistance, protection and advocacy actions undertaken on an impartial basis in response to human needs resulting from complex political emergencies and natural hazards. (ALNAP)

- Impact looks at the wider effects of the project social, economic, technical, environmental on individuals, gender- and age-groups, communities, and institutions. (OECD/DAC)
  - Impacts can be intended or unintended, positive and negative, macro (sector) and micro (household).
  - Impact can also be direct or indirect, happen on the very long term, etc...
  - Impact is a general term to describe the effects of an intervention. The impact can be positive or negative, and expected or unexpected. A distinction should be drawn between operational impact (achievements), initial impact (results), and longer-term impact (consequences).
     (Manual for the Evaluation of humanitarian aid. ECHO. Part IV annexes, 8, Glossary)

**Indicator**: quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement or to reflect the changes connected to an operation.

• Impact indicator. Set at the objective level, impact indicators are the signs of behavioural change in, and impact on, beneficiaries and their welfare systems, institutions or processes of concern (UNHCR Practical Guide, March 2001).

 Performance indicator. Set at the output level, these indicators are measures of performance towards the achievement of planned outputs that can be quantified and/or qualified and readily revisited within a foreseen timeframe. Performance indicators should be disaggregated by sex and age, if appropriate (UNHCR Practical Guide, March 2001).

**Inputs**: The financial, human, and material resources used for the development intervention. (OECD/DAC)

**Intervention**: measures taken to help a target population meet its humanitarian needs (global plan or operation). (Manual for the Evaluation of humanitarian aid. ECHO. Part IV – annexes, 8, Glossary)

#### -M-

**Monitoring** is a continuing function that uses the systematic collection of data on specified indicators to inform management and the main stakeholders of an ongoing operation of the extent of progress and achievement of results in the use of allocated funds and aid. (WFP) -Monitoring describes the continuous collection and analysis of information to assess project progress. It is normally carried out by project staff for project management. Monitoring is complimentary to evaluation.

-0-

**Outcome**: The likely or achieved short-term and medium-term effects of an intervention's outputs. (OECD/DAC)

**Output**: The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes. (OECD/DAC)

-P-

**Performance**: The degree to which a development intervention or a development partner operates according to specific criteria/standards/ guidelines or achieves results in accordance with stated goals or plans. (OECD/DAC)

-Q-

**Quality** is the totality of features and characteristics of a product or service that makes it fit for the purpose of satisfying the stated or implied needs of the consumer or the intended beneficiary. Quality can be measured in terms of efficiency, effectiveness, outcome and impact (HAP-I).

A quality management system is a set of coordinated processes undertaken to continually improve the effectiveness and efficiency of an organisation in meeting the expectations of its customers. It comprises a documented quality policy, quality objectives, quality manual, and other documents needed to ensure the effective integration and implementation of the organisation's quality management processes. A humanitarian quality management system is a designated set of processes that enable continual improvement in an agency's performance in meeting the essential needs, and respecting the dignity, of disaster survivors (HAP-I)

#### -R-

**Relevance**: The extent to which the objectives of an operation are consistent with beneficiaries' needs, country needs, organisational priorities, and partners' and donors' policies.

## Relevance / Appropriateness (OECD/DAC)

**Relevance** is concerned with assessing whether the project is in line with local needs and priorities (as well as donor policy). **Appropriateness** is the tailoring of humanitarian activities to local needs, increasing ownership, accountability, and cost-effectiveness accordingly.

**Review**: an assessment of the performance of an operation, periodically or on an ad hoc basis (WFP).

Risk analysis: An analysis or an assessment of factors (called assumptions in the logframe) affecting or which are likely to affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property, or the environment posed by development interventions; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks. (OECD/DAC)

### -S-

**Stakeholders**: Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation. (OECD/DAC)

### -T-

**Terms of Reference**: the terms of reference define the requirements and parameters for conducting an evaluation.

Written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements. Two other expressions sometimes used with the same meaning are "scope of work" and "evaluation mandate". (OECD/DAC)

The "Three Cs" in the EU's Maastricht Treaty

- Policy coherence: a policy covering a different area (i.e. non-development) should not infringe on the possibilities of reaching development objectives, but ideally should contribute to them; the development objectives of the Treaty should also be coherent with those in other policies.
- Coordination: the Treaty requires that EU states and Commission coordinate their work among themselves, without conflict.
- Complementarity of policy: as far as possible, policies and agencies should complement each other's efforts, as part of coordination, and ideally resulting in coherence.

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  - EDF. www.edf-feph.org
  - International Disability Alliance (IDA). www.internationaldisabilityalliance.org
  - Global Partnership for Disability and Development (GPDD), with members from Governments, donors, UN agencies, NGOs, DPOs, etc. (see link to its website via the World Bank's Disability site).
  - World Bank Disability and Development Team website
  - http://www.worldbank.org/disability, and
  - http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTSOCIALPROTECTION/E XTDISABILITY/0,,contentMDK:20192454~menuPK:417739~pagePK:148956~piPK: 216618~theSitePK:282699,00.html.
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## **EVALUATION** within UN Agencies

## Food and Agriculture Organization (FAO)

• The FAO Evaluation Service website includes Policies and Procedures, a collection of tools and methodological guidance for project and programme evaluation. Evaluation summaries and reports can be accessed through their Documents and Reports database. Also available in French and Spanish.

## International Fund for Agricultural Development (IFAD)

• The Evaluation, Learning and Impact webpage includes the Evaluation Knowledge System, a database of evaluation reports including a detailed search function. The site also includes a Process and Methodology section that includes technical guidance on IFAD's evaluation approach.

#### International Labour Organization (ILO)

• The Evaluation webpage provides full reports of thematic evaluations. The ILO website also includes the LABORDOC database.

## Joint Inspection Unit (JIU)

• JIU is the only independent external oversight body of the United Nations system mandated to conducte valuations, in spections and investigations system-wide. The JIU's mandate, annual reports as well as reports on implementation of JIU recommendations can be found on the site. Also available in French and Spanish

## Joint UN Programme on HIV/AIDS (UNAIDS)

• UNAIDS harmonizes monitoring and evaluation approaches at global, regional and country levels. The monitoring and evaluation site provides information on monitoring the progress on the UNGASS Declaration of commitment on HIV/AIDS.

#### Office for the Coordination of Humanitarian Affairs (OCHA)

• Evaluation plays an important role as a key management and learning tool in OCHA. The site provides M&E tools, OCHA specific and Inter-Agency evaluations and study reports.

## **United Nations Capital Development Fund (UNCDF)**

• While UNCDF does not have a section specifically for evaluation, this site includes a complete list of their full evaluation reports to date.

## **United Nations Development Programme (UNDP)**

• The evaluation site includes the "Guidelines for Outcome Evaluators" (http://stone.undp.org/undpweb/eo/evalnet/docstore3/yellowbook/documents/comp-series1.pdf) published in 2002, and provides information about the agency's planned and ongoing evaluations. The Central Evaluation Database contains summaries of evaluation reports.

## United Nations Educational, Scientific and Cultural Organization (UNESCO)

• The Internal Oversight Service website has links to their recent evaluations and a range of methodological guidance under Evaluation Tools.

## **United Nations Environment Programme (UNEP)**

 The reports section of the site includes a list of annual and project evaluation reports organized thematically. The site also provides technical guidance on UNEP's approach to evaluation.

## **United Nations Humanitarian and Crisis Response (UNHCR)**

• The Evaluation and Policy Analysis Unit website provides access to all full text UNHCR evaluation reports since 1994.

See: UNHCR's evaluation policy, sep. 2002

#### **United Nations Children's Fund (UNICEF)**

 Emergency Field Handbook – A guide for UNICEF staff (see in particular Chap 3.1 on Assessment and Monitoring), July 2005 – with CD Link 222

## **United Nations Industrial Development Organization Evaluation Services (UNIDO)**

 The Industrial Development Abstracts Database (IDA) contains indexed abstracts of UNIDO documents which can be ordered online. In addition, this site lists evaluation reports classified by region and theme.

### **United Nations Population Plan (UNFPA)**

• The Monitoring and Evaluation Resources website includes full versions of their evaluation reports of UNFPA-supported projects and programmes. This site also includes The Programme Manager's Monitoring and Evaluation Toolkit, a collection of tools which provide hands-on information on basic M&E concepts and approaches.

### **World Health Organization (WHO)**

This site provides access to WHOLIS, the WHO library database which indexes full versions
of all WHO publications from 1948 onwards and articles from WHO-produced journals
and technical documents from 1985 to the present.

#### SOME KEY BILATERAL DONOR AGENCIES

## Australian Agency for International Development (AusAID)

- The Evaluation and Reporting site includes access to statistics publications and evaluation reports dating back to 1996.

## **Canadian International Development Agency (CIDA)**

- This Evaluation website offers access to its lengthy manual How to Perform Evaluations as well as other evaluation and results-based management guides. Also available in French.

## **Danish International Development Agency (DANIDA)**

- The Evaluation of Development section lists DANIDA's evaluation guidelines (http://www.um.dk/en/menu/DevelopmentPolicy/Evaluations/Guidelines/), evaluation programme for 2005-2006, and reports on evaluations undertaken since 1994.

## (UK) Department for International Development (DFID)

- The Evaluation & Reporting page lists evaluation reports and summaries as full-text report or to order. The Performance Assessment Resource Centre (PARC), established by DFID, provides online knowledge-sharing and learning tools on performance assessment and evaluation.

## (Finnish) Department for International Development Cooperation (Finnida)

- Abstracts of evaluations of country programmes or sectoral programmes supported by Finnida are available online, dating from 2000.

# (German) Federal Ministry for Economic Cooperation and Development (BMZ) \* in German language only.

- The Evaluation page provides access to evaluation instruments and evaluations of topics, sectors, and projects as well as examples of country evaluations.

### **Japan International Cooperation Agency (JICA)**

- Evaluation and Post-Project Monitoring website provides information on the history of its project evaluation activities, its evaluation topics and future plans, and project follow-up and results. The site provides evaluation guides and evaluation reports. Ministère des Affaires Etrangères (France), Délégation à l'Action Humanitaire (DAH), Sous-Direction des interventions Humanitaires et de l'Evaluation. Evaluation is combined with other functions, such as coordination with other concerned institutions, management of emergency stocks and funding.

http://www.diplomatie.gouv.fr/fr/actions-france\_830/humanitaire\_1039/acteurs-francais\_2379/delegation-action-humanitaire-dah\_15669/index.html

### Swedish International Development Agency (Sida)

Sida's evaluation reports are published in the series "Sida Evaluations". Studies concerned
with conceptual and methodological issues are published in "Sida Studies in Evaluation".
 Sida also has a newsletter, "Sida Evaluation Newsletter", including summaries of selected
reports from the two series.

#### U.S. Agency for International Development (USAID).

- USAID's "evalweb" provides tools, resources and ongoing evaluations. Also included are abstracts of their evaluation publications which are available through a searchable database. See in particular the "USAID Performance Monitoring and Evaluation Tips".

See also the "Guidelines for Unsolicited Proposals and Reporting", Dec 2006. http://www.usaid.gov/our\_work/humanitarian\_assistance/disaster\_assistance/resources/#grants

#### **EVALUATION SOCIETIES**

#### **Evaluation Associations and Institutions**

#### **African Evaluation Association (AfrEA)**

 AfrEA was founded in 1999 as an umbrella association for African Evaluators from every development-oriented discipline. As of June 2002, AfrEA brought together 17 national networks of evaluators. Highlights of this site include access to its African Evaluation Guidelines and its database of evaluators with African evaluation expertise.

#### **American Evaluation Association (AEA)**

The Meetings and Events section includes up-to-date information on upcoming events. The Training in Evaluation section provides links to ongoing degree programs and professional development programs. Publications allows access to association-related publications and documents, including AEA's Guiding Principles for Evaluators and Evaluation Standards developed by the Joint Committee on Standards for Education Evaluation, which serve increasingly as an important reference for standards on programme evaluation in general.

#### **Australasian Evaluation Society (AES)**

- Their publications sections includes the Evaluation Journal of Australasia and may be ordered by contacting the webmaster at aes@aes.asn.au. Latest issues of E-news, their online newsletter, are available as well as archived issues.

#### **Canadian Evaluation Society (CES)**

 Online publications include position papers on ethics, international co-operation and certification; the CES Newsletter; the CES Annual Report; and abstracts of the Canadian Journal of Program Evaluation.

Also available in French.

#### **European Evaluation Society (EES)**

- The site provides information about the structure, membership, and activities of the European Evaluation Society. You can also read their newsletter, see upcoming evaluation events, and link to professional networks and other evaluation sites.

#### **Evaluation Francophonie**

- The website includes six sections: Réseaux and Organisations with links to professional evaluation networks, organizations and online evaluation resources; Manifestations or events of interest to evaluation professionals with a priority to events intended for French-speaking participants; Formations or training opportunities in programme/policy evaluation; Opportunités in the evaluation profession; and Documentation or selected references and links to documents in French and also other languages, that are targeted to evaluators and evaluation sponsors (evaluation terminology and methodology, standards, advocacy for evaluation, online reports databases, etc.). Sponsored by l'Agence intergouvernementale de la Francophonie, this website supports the development of evaluation within the francophone space. http://www.evaluation.francophonie.org/

#### **International Development Evaluation Association (IDEAS)**

- IDEAS is a global network of development practitioners and evaluators committed to capacity building, networking, applying innovative methodological approaches, and sharing knowledge, especially in developing countries and countries in transition. The IDEAS secretariat is based in South Africa, and serves as an important platform for advocating development evaluation as an essential aspect of transparency and good governance. IDEAS was initiated by UNDP and the World Bank.

#### International Organization for Cooperation in Evaluation (IOCE)

- Loose coalition of regional and national evaluation organizations from around the world that is dedicated to building leadership and capacity in developing countries, fostering the cross-fertilization of evaluation theory and practice around the world, and assisting the evaluation profession to take a more global approach to contributing to the identification and solution of world problems. Also available in French and Spanish.

#### Nigerian Network of Monitoring and Evaluation (ReNSE)

- The network has a CV database of the evaluators of Niger. Robert Ndamobissi, Monitoring & Evaluation Officer for UNICEF is the ReNSE Coordinator and moderates a Yahoo discussion group. To join, just send a blank email to rense-subscribe@yahoogroupes.fr. The Documents section provides access to over a 100 evaluation articles in French and English, free of charge. ReNSE created 7 working groups on the themes of Education, Poverty/Vulnerability, Health/AIDS, Environmental/Natural Resources Management, Governance, Methodology, and ICT. ReNSE also publishes a Newsletter.

#### Société française de l'Evaluation (SFE) \*Only available in French.

- Find out how you can become a member. Join the discussion groups hosted by SFE to exchange your evaluation experiences and ideas.

#### Spanish Evaluation Association (SEE) \*Only available in Spanish.

- The Spanish Evaluation Association founded in 2001 promotes evaluation of national public policies as a means of improving efficiency and effectiveness of public interventions. The webpage of the SEE includes a list of activities and training events on evaluation of public policies. It also contains a site with links to institutions and associations involved in evaluation in different regions of the world.

#### Sri Lanka Evaluation Association (SLEvA)

- Among other things, this site includes a link to a draft of the National Evaluation Policy for Sri Lanka. Also included is information on past conferences.

#### **Swiss Evaluation Association (SEVAL)**

- Their evaluation standards are available online in German and French. Publications include the SEVAL-Bulletin and the journal LeGes - Gesetzgebung & Evaluation (in German and French). The interactive database of evaluators allows you to post your profile or search for evaluators, commissioners of evaluations, or research partners.

#### **UK Evaluation Society (UKES)**

- The UKES builds bridges between various groups and between the different evaluation communities providing a forum to consider differences and similarities in the problems they face. Highlights of this site include The Evaluator (UKES Newsletter), links to journals, and information on national and international evaluation events.

#### **RESEARCH INSTITUTIONS**

#### International Development Research Centre (IDRC)

- The Evaluation website contains IDRC's evaluation reports, electronic resources and links related to each of IDRC's 3 programming areas and the corporate level The IDRC Library provides public access to development information via two databases: the BIBLIO database provides information on IDRC's collection of research materials; the IDRIS on IDRC-funded development research activities.

#### International Evaluation Research Group (INTEVAL)

- INTEVAL disseminates issues of a cross-national nature by e-mail and through meetings. Research results are published as co-edited books or as part of the Comparative Policy Analysis Series. The site also provides information on the group's mandate, members, and publications in progress.

#### **UNICEF Innocenti Research Centre (IRC)**

The Centre offers access to a number of internal bibliographic resources and databases, as well as links to a number of external databases, on-line resources and organizations of interest to those involved in promoting the rights of children and women. TransMONEE is a public-use database of socio-economic indicators for Central and Eastern Europe and the Commonwealth of Independent States (CEE/CIS/Baltics).

#### Monitoring and Evaluation to Assess and Use Results (MEASURE)

- MEASURE Evaluation is one of five projects which make up the MEASURE program, established to provide information for monitoring and evaluation of population, health, and nutrition programs in developing countries. This site provides access to a wide range of information, including the STATcompiler, an online database tool allowing users to create customized tables from hundred of indicators; MEASURE News; Publications; and Training and Capacity Building on monitoring and evaluation; and more.

#### **EVALUATION CLEARINGHOUSES**

#### **EUFORIC - Europe's Forum on International Cooperation**

- The site provides online access to dossiers, briefings, country specific and thematic information on Europe's international development cooperation policies and activities. Euforic hosts several multi-actor forums including the Evaluation Forum, a cooperative venture of Euforic, the IOB Policy and Operations Evaluation Department of the Netherlands Ministry of Foreign Affairs and the Dutch Royal Tropical Institute (KIT).

#### **Education Resources Information Center (ERIC)**

- This site provides information on educational assessment and resources to encourage responsible test use. Highlights include access to the ERIC/AE Full Text Internet Library and the Practical Assessment, Research & Evaluation online journal.

#### **MandE News**

- A news service for Non-Governmental Organisations (NGOs) designed to be accessible by e-mail (minimal graphics), MandE News focuses on developments in M&E methods relevant to development projects with social development objectives. Included in the open forum are sections for M&E vacancies and consultancy opportunities.

#### **Online Evaluation Resource Library**

 OERL provides a large collection of plans, reports and instruments from past and current project evaluations in several areas; guidelines on how improving evaluation practice using the web resources and a forum for stimulating ongoing dialogue in the evaluation community. Of particular interest are the Quality Criteria for Project Evaluations (on design, technical quality and utility) and Quality Criteria for Reports.

#### PARC – Performance Assessment Resource Centre

- This site provides a news service, a lexicon of commonly used evaluation terminologies, and annotated listings of search engines to find online evaluation guidelines and reports. The E-learning section is devoted to knowledge sharing and improving learning across the world of international development evaluation and the publications section offers various parc documents to download, including their newsletter.

#### ReliefWeb

- The ReliefWeb Training Database is searchable by agency name, keyword, course date and country. Links are provided to other humanitarian training databases as well as to funding resources.

#### Resources for Methods in Evaluation and Social Research

- Compiled by Gene Shackman, Ph.D., this site lists free resources for methods in evaluation and social research. The focus is on how to do evaluation research and the methods used, e.g. surveys, focus groups, sampling, and interviews.

#### INTERNET-BASED DISCUSSION GROUPS

#### ARLIST-L

 Forum for the Theory and Practice of Action Research, a multidisciplinary electronic mailing list. To subscribe, e-mail listproc@scu.edu.au with the message: SUBSCRIBE ARLIST <Firstname> <Lastname>. Sponsored by Bob Dick of Southern Cross University, Australia.

#### **Empowerment Evaluation**

 To subscribe, e-mail majordomo@lists.stanford.edu with the message: SUBSCRIBE EMPOWERMENT EVALUTION97@lists.stanford.edu (username@hostname). Sponsored by the American Evaluation Association.

#### **EVALCHAT**

• To join the list send a message to: Evalchat-request@uwe.ac.uk With Evalchat-request in the Subject. The message should read only Subscribe evalchat [your e-mail address]. Sponsored by the U.K. Evaluation Society.

#### **EVALNET**

• EvalNet serves as a forum for practitioners and academics interested in evaluation of development projects in Latin America and the Caribbean. Registration is online. Sponsored by the Office of Evaluation and Oversight (OVE) of the Inter-American Development Bank (IDB).

#### **EVALTALK**

• To subscribe, e-mail LISTSERVE@UA1VM.UA.EDU with the message: SUBSCRIBE EVALTALK <Firstname> <Lastname>. Sponsored by the American Evaluation Association.

#### **EVALUER**

• To subscribe to this listserve, e-mail evaluer-subscribe@yahoogroupes.fr.

#### **XCeval**

• To subscribe, go to http://home.wmis.net/~russon/icceore-mail XCeval-subscribe@topica. com. Sponsored by The Association of International and Cross-Cultural Evaluators.

#### **GOVTEVAL**

• An unmoderated global electronic discussion group open to anyone involved or interested in issues related to public sector program evaluation. To subscribe, e-mail majordomo@ nasionet.net with the message: SUBSCRIBE GOVTEVAL [your e-mail address]. Sponsored by the American Evaluation Association.

#### **PREVAL**

• The NETWORK gathers more than 600 professionals from Latin America and the Caribbean, North America and Europe. Subscribe online or send a message to preval3@desco.org.pe including the subscriber's e-mail address and name. Also in Spanish.

#### ReBraMA (Rede Brasiliense de Monitoramento & Avaliacao)

 The network maintains a bilingual website (English and Spanish) and a discussion list (ReBraMA-subscribe@yahoogrupos.com.br). To subscribe to this listserve, e-mail Marco Segone at msegone@unicef.org or Maria do Pilar Joffily at mpjoffily@unicef.org with your name, surname and email address. Sponsored by UNICEF Brazil.

#### **ReLAC**

• Red de seguimiento, evaluación y sistematización en América Latina y el Caribe To subscribe, please send an email to relac-subscribe@gruposyahoo.com.ar with your name, surname and email address. Set up in September 2003 by the International Organization for Cooperation in Evaluation (IOCE), in cooperation with the M&E networks of Brazil, Central America, Colombia and Peru, and with the support of UNICEF and PREVAL.

## ANNEX C

#### LIST OF KEY CONTRIBUTORS TO THIS GUIDE (by alphabetical order)

- ACF
- ALNAP
- CARE
- DANIDA
- DFID
- DG ECHO
- DG EuropeAid
- ECDPM
- Groupe URD
- HAP-I
- ICRC
- IFRC
- IRD
- Malteser International
- Merlin
- Ministère des affaires étrangères, France
- MSF-B
- NRC
- OCHA
- OECD/DAC
- OXFAM GB
- Punto.sud
- Reliefweb
- SC-UK
- SPHERE
- UNDP
- UNHCR
- UNICEF
- USAID
- VENRO
- VOICE
- WFP
- World vision

# LINKS

Links, hyperlinks and documents of reference (Sequentially numbered as in the text)

#### Link 1:



http://www.odi.org.uk/ALNAP/

The Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) was established in 1997, following the multi-agency evaluation of the Rwanda genocide. It is a collective response by the humanitarian sector, dedicated to improving humanitarian performance through increased learning and accountability. ALNAP publishes annual reviews of the effectiveness of humanitarian actions (its most recent Review suggests that there is not enough learning from past experience, resulting in the repetition of many of the same mistakes). Its website includes a repository of various evaluation reports and other resources. The network has also produced corresponding training modules for both evaluators and agencies.

#### Link 2:



#### Why evaluate?

Some triggers that may indicate an evaluation is needed appropriate include the following:

- Performance monitoring indicates there are unexpected results (positive or negative) that need to be explained.
- A key management decision must be made and there is inadequate information.
- Annual performance reviews have identified key questions that need to be answered.
- Beneficiary or partner feedback suggests that there are implementation problems or unmet needs.
- The contribution of (evaluating agency, donor, stakeholder) activities to results is questioned.
- Issues of sustainability, cost-effectiveness, or relevance arise.
- The validity of results frameworks hypotheses and critical assumptions is questioned.
- Recommendations for actions to improve performance are needed.
- Extracting lessons is important for the benefit of other operating units or for future programming.

## Link 3:

**←** BACK

The following table highlights some of the differences between audit, monitoring, and evaluation.

Audit	Monitoring	Evaluation
<ul> <li>Episodic</li> <li>Checks against         compliance to predetermined rules and         procedures, with focus         on appropriate use of         resources</li> <li>Standardised procedures</li> <li>Primary focus on         accountability, assurance,         and compliance</li> <li>Always external to the         programme</li> <li>Method generally limited         to selective review of         document¬tation and         perhaps a limited number         of interviews</li> </ul>	<ul> <li>Periodic (systematic)</li> <li>Assumes appropriateness of programme, activities, indicators</li> <li>Tracks progress against small number of targets or indicators</li> <li>Usually quantitative</li> <li>Uses data routinely gathered or readily obtainable</li> <li>Cannot indicate causality</li> <li>Difficult to use for impact assessment</li> <li>Usually internal</li> </ul>	<ul> <li>Usually episodic</li> <li>Can address a wide range of potential questions about a policy, programme or project</li> <li>Can identify what has happened as a result of an intervention and provide guidance for future directions</li> <li>Can address "how" &amp; "why" questions</li> <li>Can use data from different sources and from a wide variety of quantitative and qualitative methods</li> <li>Can identify unintended as well as planned impacts and effects</li> <li>Can involve internal, external, or self evaluation</li> </ul>

## Link 4:



The DG ECHO Monitoring Methodology should be available as from May 2008 on the DG ECHO Thematic Evaluations website:

http://ec.europa.eu/echo/evaluation/thematic\_en.htm

#### Link 8:





#### **EUROPEAN COMMISSION**

DIRECTORATE-GENERAL FOR HUMANITARIAN AID - ECHO

ECHO 0/1 - Evaluation Sector

ANNEX I

# Terms of Reference for: A methodology for the Evaluation of Humanitarian Aid

Contract n°: ECHO/ADM/BUD/2006/0

#### Name of consultant(s):

#### Firm:

#### 1. <u>Introduction</u>

- 1. Under this ToR ECHO intends to construct a methodology for the evaluation of humanitarian aid. This work is to adapt and extend the methodology for evaluation recently developed by DG AIDCO, for use in evaluating other types of external aid, to become a tool that can be used in the evaluation of humanitarian actions. DG AIDCO's on-line methodology may be accessed at the following address <a href="http://ec.europa.eu/comm/europeaid/evaluation/intro\_pages/methods.htm">http://ec.europa.eu/comm/europeaid/evaluation/intro\_pages/methods.htm</a>
- 2. DG ECHO wishes to develop this methodology in consultation with its NGO partners. Among the primary objectives DG ECHO wishes to realise are:
  - an increase in the timeliness of information available to humanitarian aid decision makers, by increasing evaluation capacity in the sector; and
  - an improvement in the quality of information available to decision makers, by clarifying issues and promoting the use of a standardised methodology.
- 3. DG ECHO wishes to promote accountability and lessons learning. In order to promote better accountability, the existing criteria used in humanitarian aid have to be examined. At present, the majority of humanitarian aid evaluations are based on OECD DAC criteria, i.e. relevance, efficiency, effectiveness, impact and sustainability. In the case of DG ECHO, certain criteria are also examined in accordance with the Maastricht Treaty, i.e. coherence, coordination and complementarity.
- 4. However, it is recognised that there are problems with the application of OECD DAC criteria in humanitarian aid, e.g. impact is hard to measure, is sustainability a pertinent criteria in emergency operations, should not neutrality, independence and impartiality be examined?
- 5. Neither are cross-cutting issues systematically examined e.g. protection, gender, children, elderly and disabled people, environment, consultation of beneficiaries; civil-military interface, access, advocacy and visibility. Nor are entry and exit strategies systematically appraised.
- 6. The question of how should humanitarian organisations assess themselves must also be considered? Consider for example, <a href="http://eipa.euro-ip.net/CAF/Brochure/CAF2002\_Eng.pdf">http://eipa.euro-ip.net/CAF/Brochure/CAF2002\_Eng.pdf</a> What monitoring or feed-back mechanisms should be used? What are their key features?
- 7. The consultants chosen will examine the criteria used in humanitarian aid, then produce a methodology for use both by donors and implementing organisations based on the DG AIDCO tool. The methodology is to develop questionnaires based on the criteria to be proposed by the consultants. The questionnaires will contain objectives, judgement criteria and examples of

Terms of Reference 1/5 – ECHO/ADM/BUD//2006.



indicators for each criterion, at each phase of intervention. The methodology is to consider the application of the criteria over the whole of the project cycle, from needs-assessment through to exiting. Needs based versus rights based approaches must be considred. The methodology must also cover the characteristics and components of monitoring mechanisms. The questionnaires must also cover issues relating to medical, watsan, nutrition and shelter interventions.

- 8. To do this the consultants must analyse DG ECHO's mandate, relevant Maastricht requirements, standards such as the UN's and SPHERE's, HAP's accountability initiative, the Good Humanitarian Donorship initiative, DG AIDCO's evaluation methodology <a href="http://ec.europa.eu/comm/europeaid/evaluation/intro">http://ec.europa.eu/comm/europeaid/evaluation/intro</a> pages/methods.htm URD's Compass tool <a href="http://www.projetqualite.org/compas/outil/">http://www.projetqualite.org/compas/outil/</a> ODI ALNAP's Guide for evaluating humanitarian action <a href="http://www.alnap.org/publications/eha\_dac/pdfs/eha\_2006.pdf">http://www.alnap.org/publications/eha\_dac/pdfs/eha\_2006.pdf</a> and various other tools in the public domain.
- 9. The consultants are also to support the methodology by documenting and attaching tools already in the public domain.

#### 2. OBJECTIVES OF THE REVIEW AND TASKS TO BE ACCOMPLISHED

10. Under Article 4 of the Humanitarian Regulation DG ECHO may also finance: general studies... including the exchange of technical know-how and experience by European humanitarian organisations and agencies, or between such bodies and those of third countries.

#### 2.1. Objective of the review

11. The overall objective of this review is to strengthen the evaluation capacity of humanitarian organisations by establishing a standard methodology for the evaluation of humanitarian aid.

#### 2.2. Tasks to be accomplished

#### 12. The basis for the consultants' opinions shall be:

- their own professional qualifications and experience;
- interviews with key DG ECHO officials, both personnel at DG ECHO headquarters and technical assistants (TAs) based in the field;
- interviews with officials in other EC External Services, DG DEV, DG RELEX and DG AIDCO;
- interviews with officials of UN organisations based in Geneva and elsewhere, and EU NGOs;
- workshops in France, the United Kingdom and at one location in the field, possibly Kenya;
   and
- reviews of relevant methodologies and tools created by Member States or their agencies, the UN, Red Cross bodies, international and regional entities and NGOs. Consultants will carry out a comparative analysis of the conclusions and recommendations drawn in other publications.
- 13. **Drafting of a Methodology for submission to DG ECHO and its partners.** The consultants will need to consider the different criteria used at present and consider whether they should be added to or adapted. Based on this they need to set questions as to objectives, judgement criteria and identify benchmarks and indicators. The experts are required to consider benchmarks and indicators already established by the UN, Red Cross and major NGOs and to incorporate these in the methodology. The consultants must also provide a bibliography of supporting documents and websites that are pertinent for DG ECHO and its partners use. The emphasis is on clarity and conciseness in presentation.
- 14. In the conduct of their work, the consultants may also be able to draw on the facilities of the French Ministry for Foreign Affairs, which is associated to this review. The consultants may also be able to call upon the support of ALNAP, the secretariat for the 'Active Learning Network for Accountability and Performance in Humanitarian Action. <a href="https://www.alnap.org">www.alnap.org</a>

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#### 3. WORK PLAN

- 15. **Briefing** in Brussels (*maximum 2 days including all travel*): A briefing at DG ECHO with the responsible staff, during which all the documents available for the mission and necessary clarifications will be provided by the requesting service and other services of the Commission.
- 16. **Attendance** at the 2006 DG ECHO Partners' Conference to host a workshop on evaluation methodologies (maximum 2 days including all travel.
- 17. **Missions** to France, United Kingdom, Switzerland, (*maximum 8 days including all travel*): The senior experts shall undertake these visits in order to have contact with relevant UN and Red Cross officials and workshops with major NGOs.
- 18. **Field work** (*maximum 7 days including all travel*): The senior experts shall undertake a field visit to one DG ECHO office in order to organise a workshop at field level with key international partners and NGOs. They will also have contact with certain of DG ECHO's technical assistants and officials.
- 19. **Drafting** of documents required by the review the consulting companies bidding will have to propose a number of days for each of the two senior experts. The work has to be accomplished in the budget allowed. The other days are set out to assist with planning and per diems.
- 20. **Presentation** of the documents required by the review at DG ECHO (*maximum of 3 days for each of the two senior experts including all travel*): The two senior experts will make a presentation to DG ECHO management and key staff in 'PowerPoint' of the methodology and supporting documents. This presentation may be combined with a presentation at the Partners' Conference in December 2007.
- 21. **Submission** of the final version of documents requested: the experts are to submit their work at least two months before the December 2007 Partners' Conference to allow for review and editing and production of final CD/DVD versions.

#### 4. A METHODOLOGY FOR THE EVALUATION OF HUMANITARIAN AID

- 22. The review will result in the drawing up of a methodology written in a straightforward manner, in English. The consultants will map relevant supporting documentation in a bibliography and include them on the CD/DVD whenever appropriate.
- 23. The document format appearing below must be adhered to.
- Cover page
  - Title: "A Methodology for the Evaluation of Humanitarian Aid";
  - Date of the final version
  - Name of the consultants
  - Cost of the report in euros
  - Indication that "the methodology has been financed by and produced at the request of the European Commission."
- Table of contents
- Methodology
- Annexes, including bibliography and supporting documents
- 24. DG ECHO requires that 2000 CD/DVDs incorporating the methodology and supporting documentation be supplied. The design quality must be of a professional level (inter alia using a desk top publishing tool to incorporate visual images and clickable links in the final pdf version). The recent DG ECHO Watsan Review may be used as an example of what DG ECHO expects to receive, <a href="http://ec.europa.eu/echo/evaluation/thematic\_en.htm#water">http://ec.europa.eu/echo/evaluation/thematic\_en.htm#water</a> The consultants will have to include this cost in the budget to be submitted.
- 25. Once established, DG ECHO will have the methodology translated into French and Spanish.

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#### 5. REQUIRED SKILLS FOR THE CONSULTANTS

- 26. DG ECHO envisages that **two** senior experts shall carry out the work. DG ECHO considers that the consultants proposed should preferably have work experience in implementing humanitarian aid emergency or relief operations at field level, experience of drafting research, policy or strategy papers and/or substantial experience of evaluating humanitarian aid.
- 27. All experts should be able to draft in English, but knowledge of French by at least one member of the team is essential.
- 28. DG ECHO will make available office space at its HQ and one field office to facilitate the consultants' work. Telephone conferencing to other entities and organisations may also be used where necessary.

#### 6. ASSIGNMENT OF TASKS

- 29. Each team member is jointly responsible for the final accomplishment of the tasks; however, the separate elements of work necessary for the accomplishment of the tasks may be allocated between the consultants. The members of the team must work in close co-ordination.
- 30. A team leader shall be named who shall have the added responsibility of the overall coordination of the tasks to be completed and of the final coherence of the report and other works, both in terms of content and presentation.

#### 7. <u>Timetable</u>

- 31. The tasks under this evaluation will be undertaken by two senior experts and will be completed between December 1<sup>st</sup> 2006 and December 31<sup>st</sup> 2007, i.e. the consultants will use a workshop at the DG ECHO Partners' Conference 2006 to launch their work, and will finish with a presentation at the Partners' Conference in 2007.
- 32. Please note that, this contract will have to be presented for liquidation by mid-December 2007 at the latest. After the year-end 2007 liquidation will not be possible.

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#### Terms of Reference - Annex

#### **Guidelines for the consultants**

#### 1. Regulatory basis

The Regulatory basis for the evaluation of the aid provided by ECHO is established in Article 18 of Regulation (EC) 1257/96 concerning humanitarian aid, which states "the Commission shall regularly assess humanitarian aid operations financed by the Community in order to establish whether they have achieved their objectives and to produce guidelines for improving the effectiveness of subsequent operations".

#### 2. Terms of Reference. What are they?

The Terms of Reference set out the scope of the evaluator's mission, the issues to be considered and the evaluation timetable. They allow those commissioning the review to express their needs (guidance function) while providing the consultant with a clear idea of what is expected from him/her (control function).

#### 3. Methodology

For the purpose of accomplishing its tasks, the consultants shall use information available at ECHO HQ, from its experts on the spot, from other Commission services, the relevant Commission Delegation, ECHO partners on the spot and, if necessary, at their headquarters, aid beneficiaries, local authorities and international organisations.

#### 4. Scope of the evaluation and topics of study

In addition to the initial information contained in the ToR, the first briefing session in Brussels provides everyone involved in the review (requesting service, ECHO-Evaluation, consultants and other Commission services) with the opportunity to discuss the contents of the ToR and to establish priorities for the review. This meeting should, as well, allow the consultants to clarify any doubts they might have about the scope of their mission. Any important remark or comment on the content of the ToR at this stage will be considered an integral part of these and will be set out by the consultants' team leader in a note that must be submitted to ECHO-Evaluation at the end of the briefing session, and before the team's departure to other locations in Europe and elsewhere.

During the process of the review the consultants must try to follow all the items listed in the Terms of Reference. Their treatment, the relative importance given to them and their coverage in the final reports will depend, however, on the consultants' own opinion as a result of the information found, both during the desk study phase and in the field. Any decision not to cover one or more of the main task assignments described in the ToR will have to be justified in the text of the reports, if inappropriately justified ECHO may choose to not accept the final report.

#### 5. The report

By commissioning an independent review ECHO expects to obtain an objective, critical, readable and transparent analysis of its policy. This analysis should contain policy recommendations on future courses of action. The report should be, above all, a document that can function as a learning tool. Therefore, while writing it, the consultants should always bear in mind why the report is done, for whom, and how the results will be used.

Furthermore, the report is a working tool of value to ECHO only as long as it clearly reflects the consultant's independent view. ECHO's greatest concern is to respect this independence.

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# **Link 12**:



ICRC check list Evaluation Guidelines (internal), April 2002

Proposing and Deciding to evaluate – A check list			
Decision while at the planning stage	<ul> <li>When planning future components.</li> <li>When new types of activities are launched.</li> <li>When activities are in a pilot phase.</li> <li>When activities and objectives have high political and institutional priority.</li> </ul>		
Decision after the planning stage	<ul> <li>When an operation is problematic.</li> <li>When an operation is running successfully (good practices).</li> <li>To determine reasons behind unforeseen consequences.</li> <li>To determine the future of an operation.</li> <li>When new elements emerge in a given situation.</li> <li>When a similar action is planned elsewhere.</li> <li>If requested by donors.</li> </ul>		
Decision not to evaluate	<ul> <li>When an operation develops as foreseen, and enough is known about its performance and results.</li> <li>When enough is known about impact, problems, causes and solutions.</li> <li>When the context is not conducive to the undertaking of such an exercise (security reasons for example).</li> <li>When it seems that an evaluation will not be used.</li> </ul>		

#### **Link 14:**



#### Setting objectives by using the Logical Framework Analysis (LFA)

LFA is a standard feature of DG ECHO's "single form" (proposal format)

http://ec.europa.eu/echo/pdf\_files/fpa2008/fpa\_single\_form\_en.pdf, so let us presume that every implementing partners is fully conversant with the use of this eminently customer-friendly document. For those who might still nonetheless hesitate, it should be noted that WFP has published an interesting approach on how to link practically the LFA to the methodology of evaluation questions ("Link" supprimé), as illustrated by the table below (http://documents.wfp.org/stellent/groups/public/documents/ko/mekb\_module\_7.pdf)

Logframe	Evaluation questions	
Impact	Impact - What changes did the operation bring about? - Were there any unplanned or unintended changes?	Sustainability - Are the benefits likely to be maintained for an extended period after assistance ends?
Outcome Outputs	Effectiveness  - Were the operation's objectives achieved?  - Did the outputs lead to the intended outcomes?	Relevance - Were the operation's objectives consistent with beneficiaries' needs and with agency's and donor's policies?
Activities Inputs	<ul> <li>Efficiency</li> <li>Were the goods and/or services available on time and in the right quantities and qualities?</li> <li>Were activities implemented on schedule and within budget?</li> <li>Were outputs delivered cost-effectively?</li> </ul>	

#### **Link 15:**



#### Articulate the theory of change or INTERVENTION LOGIC

The theory of change (frequently referred to as "logic model" or "intervention logic") graphically illustrates the series of assumptions and links identifying the presumed relationships between inputs (e.g. funding, staff, volunteers, tangible and in-kind support from others, etc.), activities and their immediate outputs (i.e. what is done, such as provision of food aid), intermediate outcomes at various levels (e.g. the right individuals get appropriate food, starvation and malnutrition reduced), and the intended impact – self sufficiency and reduction of vulnerability of the target population. The theory of change also should illustrate the relationship between the various interventions of your organisation itself and those of other humanitarian actors, and how these interact with what else is going on that can affect the lives of your target population and communities.

Articulating the theory of change of your intervention represents a crucial step. This is frequently viewed in the evaluation community as a prerequisite to most evaluations. (E.g. see the discussion of intervention logic in the DG EuropeAid evaluation guidelines http://ec.europa.eu/europeaid/evaluation/methodology/methods/mth\_log\_en.htm). It is not always so easy to develop, as it generally requires identifying hidden assumptions and beliefs, and often reconciling differing views of how the overall programme is expected to work by different stakeholders. Sometimes it can be useful to have an external facilitator or evaluator to help with this process.

A model of theory of change represents a tool that is used for programme planning (LFA) and also is essential for designing the approach to evaluation and impact assessment. It can help in understanding the "logic" behind the proposed interventions and how these relate to the overall goal (that can indeed include long-term development and sustainability following alleviation of the immediate emergency situation). This will help in programme development and implementation. Sometimes this process can identify logical gaps, e.g. where it is not clear how a given activity would contribute to the overall desired outcome, or where it becomes apparent that other interventions will also be required. If these gaps can be identified and addressed at an early stage, this can contribute to the success of the intervention.

But a theory-of-change model can also represent a very useful tool in simplifying your actual approach to evaluation – and in helping make sure that you do not set yourself up for failure. Humanitarian aid actors are invariably optimistic about what they hope to achieve in the face of formidable challenges. A theory-of-change model, but identifying sequential outcomes at various levels, can be a useful tool to help you focus your evaluation on what is realistic to achieve at the current time – while still showing how this is expected to lead to longer-term goals.

#### **Link 18:**



The first question aims at assessing the appropriateness of what is being done, e.g. taking into account the rationale and relevance of the intervention, and how this is viewed by the intended beneficiaries. The second question addresses "the right way" of doing things or more specifically the implementation of the intervention as well as the results or outcomes, i.e. the efficiency of an organisation, and its capacity to reach expected results, i.e. its effectiveness. The third question gets to the raison d'être of evaluation – how to make use of the evaluation findings in some way, that can vary from minor fine-tuning to current operations, identifying more efficient methods of operating, to identifying very different approaches in the current or perhaps future contexts for addressing humanitarian challenges.

#### **Link 21:**



The key factor of risk assessment for humanitarian activities should be reflected in the evaluation questions and in the overall methodology. There is always a risk, at the time of evaluation, that the expected outcomes will not be realised or maintained. This must be considered in its two dimensions: (a) the likelihood that that some changes may occur that are detrimental to the ultimate achievement of the expected outcome and (b) the effect of the expected outcome if some or all of these changes actually materialise. Risks may be internal to the program or arise from external factors at the local, country, or even global levels. The actual effect of these risks on the ultimate outcomes will depend on both the severity and nature of the changes that occur and on the adaptability (or lack thereof) of the design of the program and its activities. Ideally, the potential risks to the expected outcomes should have been identified at the inception of the program and pertinent indicators for their monitoring included in the LFA (DAC). It should be noted that the URD 'Quality Compass' uses "sentinel indicators", which may be seen as indicators pointing at potential risks.

#### **Link 27:**



#### Classification of humanitarian principles according to HPA-I

#### **Primary principles**

- Humanity: upholding the right of all persons to receive and give assistance.
- Impartiality: providing humanitarian assistance in proportion to need and with respect to urgency, without discrimination based upon gender, age, race, impairment, ethnicity and nationality or by political, religious, cultural or organisational affiliation.

#### **Secondary principles**

- Informed Consent: ensuring that the intended beneficiaries, or their representatives, understand and agree with the proposed humanitarian action and its implications.
- Duty of care: ensuring that humanitarian assistance meets or exceeds recognised minimum standards pertaining to the wellbeing of the intended beneficiaries.
- Witness: reporting on policies or practices that affect the wellbeing of disaster survivors.

#### **Tertiary principles**

- Transparency: ensuring that all relevant information is communicated to intended beneficiaries or their representatives, and other specified parties.
- Independence: acting under the authority of the governing body of the agency and in pursuit of the agency's mandate.
- Neutrality: refraining from giving material or political support to parties to an armed conflict.
- Complementarity: operating as a responsible member of the humanitarian assistance community.

#### **Link 32:**



#### The HAP-I Principles of Accountability

#### 1. Commitment to humanitarian standards and rights

• Members state their commitment to respect and foster humanitarian standards and the rights of beneficiaries.

#### 2. Setting standards and building capacity

- Members set a framework of accountability (standards, policies, training etc) to their stakeholders\*
- Members set and periodically review their standards and performance indicators, and revise them, if necessary.
- Members provide appropriate training in the use and implementation of standards.

#### 3. Communication

• Members inform, and consult with, stakeholders, particularly beneficiaries and staff, about the standards adopted, programmes to be undertaken and mechanisms available for addressing concerns.

#### 4. Participation in programmes

 Members involve beneficiaries in the planning, implementation, monitoring and evaluation of programmes and report to them on progress, subject only to serious operational constraints.

#### 5. Monitoring and reporting on compliance

- Members involve beneficiaries and staff when they monitor and revise standards.
- Members regularly monitor and evaluate compliance with standards, using robust processes.
- Members report at least annually to stakeholders, including beneficiaries, on compliance with standards. Reporting may take a variety of forms.

#### 6. Addressing complaints

• Members enable beneficiaries and staff to report complaints and seek redress safely

#### 7. Implementing Partners

• Members are committed to the implementation of these principles if and when working through implementation partners.

**Link 33:** 



Evaluation Types (Source: DAC (2001) Glossary of Evaluation and Results Based Management Terms DCD/DAC/EV(2001)3 Working Party on Aid Evaluation, Paris: OECD)

Thematic One theme, such as gender or environment, across a number of

projects or country programmes, or across the organisation as a whole. Often called cross-cutting evaluations undertaken to develop

or refine policy.

Sector Aid to a particular sector, such as health or public nutrition. As with

thematic evaluations, these cover a number of projects and country

programmes.

**Sector Programme** Sector or programme aid to a particular country.

**Country Programme** All types of aid (project and non-project) to one country.

**Synthesis** A synthesis of the findings from a number of evaluations of individual

projects or programmes.

**Impact** Focuses on the impact of the aid, rather than on aid delivery. Usually,

but not always, carried out some time after project completion.

**Policy** Examines the framework of understanding, beliefs and assumptions

that make individual projects possible as well as desirable. Policy evaluations seek out the inherent tensions or contradictions in policy

objectives through tools such as discourse analysis.

# COMMON RAPID APPRAISAL METHODS (source: Performance Monitoring and Evaluation TIPS n°5 "Using Rapid Appraisal Methods", USAID, 1996)

METHODS	Useful for Providing	Advantages	Limitations
KEY INFORMANT INTERVIEWS	<ul> <li>general, descriptive data</li> <li>understanding of attitudes and behaviours</li> <li>suggestions and Recommendations</li> <li>information to interpret quantitative data</li> </ul>	<ul> <li>provides in-depth, inside information</li> <li>flexibility permits exploring unanticipated topics</li> <li>easy to administer</li> <li>relatively inexpensive</li> <li>takes 4-6 weeks</li> </ul>	<ul> <li>does not generate quantitative data</li> <li>susceptible to interviewer and selection biases</li> </ul>
FOCUS GROUP INTERVIEWS	<ul> <li>customer views on services, products, benefits</li> <li>information on implementation problems</li> <li>suggestions and recommendations for improving activities</li> </ul>	<ul> <li>can be completed rapidly (5 weeks)</li> <li>very economical</li> <li>group discussion may reduce</li> <li>inhibitions, allowing free exchange of ideas</li> </ul>	<ul> <li>does not provide quantitative data</li> <li>discussion may be dominated by a few individuals</li> <li>susceptible to moderator biases</li> </ul>
COMMUNITY INTERVIEWS	<ul> <li>village/community level data</li> <li>views on activities and suggestions for improvements</li> </ul>	<ul> <li>permits direct interactions between evaluator and large numbers of individuals</li> <li>can generate some quantitative data on community characteristics, behaviours, opinions</li> <li>participants tend to correct each other, providing more accurate information</li> <li>inexpensive and quick (5-6 weeks)</li> </ul>	<ul> <li>can be manipulated by elites or monopolized by individuals</li> <li>cultural taboos or norms may inhibit discussion of certain topics</li> </ul>
DIRECT OBSERVATION	<ul> <li>data on physical infrastructure, supplies, conditions</li> <li>information about an agency's delivery systems, services</li> <li>insights into behaviours or events</li> </ul>	<ul> <li>phenomenon can be examined in its natural setting</li> <li>may reveal conditions or problems informants are unaware of</li> <li>can be completed in 3-4 weeks</li> </ul>	<ul> <li>susceptible to observer bias</li> <li>act of observing can affect behaviours</li> <li>distortions can occur if sites selected are not representative</li> </ul>



#### >>> continued from link 34

METHODS	Useful for Providing	Advantages	Limitations
MINISURVEYS	<ul> <li>quantitative         data on narrowly         focused questions         for a relatively         homogeneous         population</li> <li>when probability         sampling is difficult</li> <li>data on attitudes,         beliefs, behaviours         of customers or         partners</li> </ul>	<ul> <li>can generate quantitative data</li> <li>reduces non-random sampling errors</li> <li>requires limited personnel and is quick (5-6 weeks)</li> </ul>	<ul> <li>findings are less easy tp Generalise from than those from sample surveys</li> <li>requires statistical analysis skills</li> <li>susceptible to sampling biases</li> <li>inappropriate for gathering indepth, qualitative information</li> </ul>

PREVIOUS PAGE

#### **Link 36:**



Source: Guidelines for CARE Country Offices planning After Action Reviews and/or External Evaluations of Humanitarian Actions. Draft ver. March 3, 2006

#### **Checklist for Joint (Multi-Agency) Evaluations**

- 1. Identify participating agencies and which will be "Lead" Agency to coordinate the evaluation.
- Lead agency should convene an initial meeting of an Evaluation Steering Committee composed of representatives from each participating agency and they should try and agree on:
  - a. Maximum of 3-4 key objectives (i.e. questions that they would like the evaluation team to particularly focus on). See draft TOR as an example;
  - b. Based on these key objectives, a desired skill set for the team members should be agreed upon and the "TOR for Evaluation Team Members" (also attached) revised accordingly;
  - c. A draft itinerary/timeline that should allow sufficient time for orientations/ briefings, field visits (including to hard-to-access areas), follow up interviews with "key informants", including in-country senior staff, govt. officials, UN agencies, etc., in-country debrief, telephone interviews with HQ-level key informants, drafting of report, circulation for commentary, and finalization of report;
  - d. Based on the draft itinerary, the Steering Committee should agree on a draft budget and cost-sharing arrangements (typically agencies share consultant costs equally and provide funding for their own agency team member; and
  - e. Decide how the evaluation can best be used to not only improve inter-agency coordination, programme quality, but also advance common advocacy strategies. It's better to discuss this at an early stage since "use of evaluation" should be included in the draft TOR and such discussions are helpful in identifying who the results of the evaluation should be targeted at and strategies for communicating these results. Look for opportunities where lessons learned could be fed into strategic planning activities.
- 3. Initiate the search for evaluation team members with suitable profiles. This again should be done as early as possible since good candidates can be booked up many weeks (or months) in advance. Apart from adequate preparation for the evaluation, the selection of a good Team Leader who has significant experience of managing teams will be one of the single most important factors in determining the quality of the result.



#### **Guidance notes for Joint Evaluations**

- 1. Evaluation Steering Committee: It's important for the Steering Committee to meet well in advance of the evaluation because of some important preparations that need to be done at an early stage. One potential spin-off is to encourage agencies to work jointly on M&E and the committee's focus on programme quality and accountability might actually help in not infrequent cases where the emergencies have caused strained inter-agency relationships.
- 2. Membership of Evaluation Steering Committee previously, member agencies of the steering committee have also had staff on the evaluation team, but this does not need to be a requirement. Generally agencies that are willing a) to have their programmes subjected to an external review, b) contribute both in staff time and financially, and c) make a commitment to following-up as needed on results of the evaluation can qualify as members of the Steering Committee. Fewer, shorter meetings with senior staff (in Niger, CD or ACD level was seen as the most useful) are seen to be more productive than more frequent meetings at a junior level.
- 3. Lead Agency the lead agency does not "do" the evaluation, but rather facilitates the process. The Lead Agency's main roles are:
  - a. Facilitation (convene and facilitate meetings, taking minutes, coordination of logistic support for evaluation team);
  - b. Administration (contracting consultants and managing cost-sharing arrangements); and
  - c. Information Management (collation of key background reference material, facilitation of communications between participating agencies and evaluation team).
- 4. Members of Evaluation Team a good Team Leader with substantial team management experience and good drafting skills will be critical. A national consultant will ensure that the study remains relevant to the local context. The team members, who have been agency staff from outside the country. Apart from broadening the range of technical skills, agency team members should also help to inform the Team Leader about how their respective organizations function.
- 5. Mix of technical skills the Team Leader will be an M&E expert, but this doesn't mean that all the other team members should be M&E specialists. Of course, it's useful for them to have a basic knowledge of how M&E processes work but, as an example, the technical expertise that was most appreciated by the Team Leader in Niger within his team was someone with a good finance/admin background and another team member who had a background in economics of local markets. It would certainly be a plus if the person has been previously involved in evaluations (perhaps their programmes have been evaluated), otherwise the ideal profile will be someone who's worked in the field and has good skills in analysis, observation, interviewing skills (especially open-ended techniques), and drafting.

Note, however, that as teams get larger they quickly become difficult to manage. Probably aiming for a total team of 5 with the two external consultants (not including drivers or interpreters for speaking to indigenous groups) would be reasonable.

# **Link 37:**



# **Evaluation Stages and Responsibilities**

Source: DFID evaluation guidelines - www.dfid.gov

STAGE	TASKS	RESPONSIBILITY	OUTPUTS
Planning, commissioning	<ul> <li>Drafting, circulation and approval of concept note</li> <li>Selection and briefing of Steering Group</li> <li>Drafting, circulation and approval of TOR</li> <li>Consultant selection</li> </ul>	- Evaluation Manager - Evaluation Manager (+ Steering Group)	<ul><li>Concept paper</li><li>TOR</li><li>Tender documents</li></ul>
Inception	<ul> <li>Briefing consultants</li> <li>Initial research</li> <li>Drafting Inception report</li> <li>Circulation and approval of Inception Report</li> </ul>	<ul><li>Evaluation Manager</li><li>Consultants</li><li>Consultants</li><li>Evaluation Manager and Steering Group</li></ul>	- Inception report
Preparation and research	<ul> <li>Project/programme research</li> <li>Interviews (UK and email)</li> <li>Planning country visits and dissemination strategy</li> </ul>	<ul> <li>Consultants</li> <li>Consultants</li> <li>Consultants,         <ul> <li>Evaluation Manager</li> <li>and Steering Group</li> </ul> </li> </ul>	
Country visits	<ul> <li>Preparatory visit:</li> <li>Planning activities</li> <li>Draft and circulate visit report</li> <li>Main visit:</li> <li>Evaluation research</li> <li>Workshop(s)</li> <li>Draft and circulate visit report</li> </ul>	<ul><li>Consultants (implementation)</li><li>Evaluation Manager (Quality of process)</li></ul>	<ul> <li>Visit reports</li> <li>In-country</li> <li>workshops</li> </ul>
Reporting	<ul> <li>Draft report and Evaluation summary</li> <li>Circulate report for comment</li> <li>Edit and revise report</li> <li>Circulation and comment on revised report</li> <li>Submission to Development Committee</li> <li>Final amendments to report</li> </ul>	<ul> <li>Consultants</li> <li>Evaluation Manager and Steering Group</li> <li>Consultants &amp; editor</li> <li>Evaluation Manager and Steering Group</li> <li>Evaluation Manager</li> <li>Evaluation Manager and Consultants</li> </ul>	<ul><li>Draft Report</li><li>Revised Report</li><li>Final Report</li></ul>
Dissemination	<ul> <li>Publication and distribution of report and Evaluation summary</li> <li>Workshops</li> </ul>	<ul> <li>Evaluation Manager</li> <li>Consultants,</li> <li>Steering Group and</li> <li>Evaluation Manager</li> </ul>	<ul><li>Published Report</li><li>Evaluation Summary</li><li>Workshops</li></ul>

#### Link 39':



#### Managing Joint or Multi-agency Evaluations (MAEs) (source: ALNAP):

The following is a short note on managing Multi-Agency Evaluations (MAEs)2. It sets out some indicative considerations and is not comprehensive. It is not an evaluation guide, rather a complement to such guides focussing on the specificity of MAEs. The note is based on the assumption that the two overall differences between MAEs and other evaluations boil down to, firstly, the number of actors involved (especially in the management of the evaluation) and secondly, the potential breadth of the activities, content or programme to be evaluated (e.g. a multi-actor programme rather than a single agency programme, project or activity level).

The note takes a chronological approach, through the main evaluation management steps or phases (allowing, however, that phases may overlap and run parallel). It is based on the assumption that the evaluation is a classical evaluation exercise, involving a team of consultants (or mixed with agency staff), going to 'the field', returning and reporting. If the exercise involves a number of constituent evaluations or studies, each one might be managed in the following manner, within a larger, overall structure and process. Considerations and key questions are set out as bullet-points under each step:

#### Assessment and scoping of the value of conducting conduct an MAE

- What is the added-value of a joint exercise as opposed to individual exercises, especially in function of its ultimate usage/user-focus? If so, what might those uses be, aimed at what target groups/audiences?
- Is there sufficient buy-in for an MAE, including understanding of the complexities, costs and benefits of an MAE?
- Can the multiple possible stakeholders to be mapped, prioritised and consulted and by whom and by when will they be consulted?
- Establishing a multi-agency management structure
- Can the main actors be identified and committed to the process, e.g. through the unambiguous provision of time and resources?
- Can a lead or host agency be identified? This is to provide a legally established umbrella organisation e.g. that the MAE be under the aegis of one of the constituent organisations, as a host, providing a physical 'home'; administrative and contracting body (e.g. for the team); accounts and legal status; etc.
- Based on the identification of those actors, what is the most effective and efficient management structure? This will probably be multi-layered, including: an overall MAE group, including an appropriate chairperson; a smaller management sub-committee (e.g. 3 5 people, ideally including the overall chairperson); a day-to-day manager (who would also sit on the management sub-committee, but without voting rights); an administrative and coordination secretariat (based in the host agency, to support the manager and entire under-taking); and the evaluation team.
- An explicit agreement on roles, responsibilities, rights and obligations of all concerned. This includes fundamentally who holds the 'ownership' of the process and its products

This short note reflects comments made by the author, John Telford, in response to a number of requests and initiatives; a roundtable meeting on the subject of joint evaluations, sponsored by ALNAP, DEC, ECB2 and the TEC in 2006; a review of the Tsunami Evaluation Coalition (TEC) exercise, also held in 2006; and a draft guide being produced by the Emergency Capacity Building (ECB) project.



- (e.g. the report). Ownership entails a series of aspects, from legal rights and obligations, to decision-making authority, especially in the event of disputes.
- Agreement and formalization of procedures for relevant aspects of the process, including establishment of the management structure; dismantling of the structure (including consideration of future ownership of the products of the MAE); a disputesmanagement mechanism; and financial, material and human resource management (including contracting the evaluation team and other resource provision, especially for day-to-day secretariat functions).

#### Designing the MAE and TOR

- Managing and focusing multiple possible uses, needs and expectations (links to assessment and scoping of needs above). This includes prioritization of the possible target users and audiences for the possible products coming from the evaluation.
- Delegating authority to the management sub-committee to make these decisions with the confidence and support of the broader MAE group, subject their review and approval.

#### Team selection, preparation and planning

- Decision by the MAE group and/or sub-committee on the nature and size of the team.
- Delegation of selection to the management sub-committee, based on accepted standards of professionalism, independence and transparency.
- Close coordination, preparation and planning among the management sub-committee, contracting (host) entity, MAE manager and the evaluation team. In function of the scoping and TOR, this includes the transparent selection of locations to be visited, possible stakeholders to be involved,

#### • Conducting the MAE, including analysis and reporting

- Application of methods and availability of time and resources in accordance with the possible breadth of aspects, issues and locations to be covered.
- Allowing sufficient time and 'space' (e.g. workshops) for the above and for team and stakeholder analysis of what may be very considerable materials and findings emerging (possibly more than in a single-agency undertaking).
- Clear agreements on when, how and by whom the draft reports will be reviewed. Of
  particular importance is explicit agreement on the authority of reviewers, especially if
  they are from within the overall management group i.e. are certain types of comments
  to always to be acted upon (such as errors of fact or inadequate verification) while
  others are of an advisory nature only (e.g. interpretations or analysis).

#### Dissemination and use

- Agreement (well in advance, preferably at the outset) on the number and type of products that will result from the MAE (according to the diverse sets of target groups/audiences).

#### >>> continued from link 39

- A usage, dissemination and communications plan for the outputs of the exercise. This
  would explain whether the process is centralized (managed by the sub-committee
  and/or the secretariat, or some such group), de-centralised (among all the agencies
  involved and possibly others), or a mixture of both. Given the complex range of
  possible stakeholders and locations involved, planning may need to be delegated to a
  sub-committee.
- Resources available for the implementation of the plan, and for unforeseen costs.
- A follow-up plan, including whatever activities are seen to be relevant, as decided by the overall MAE group. This would be in function of the initial scoping, TOR and results of the MAE. It could imply a new structure and process involving the agencies wishing to take the results forward into a new review and action process.
- A review of the MAE itself, recording lessons on the exercise. This would probably require a workshop or one-day meeting of all main actors and stakeholders.

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#### **Link 42:**

#### **TERMS OF REFERENCE**

#### Independent Evaluation of Care's Response to the Pakistan Earthquake

#### 1. Background

The South Asia earthquake of 8 October 2005 resulted in the loss of an estimated 86,000 lives and considerable damage of the built and natural environment in Pakistan. In all, 4 million people were reported as affected in the north-west frontier (NWFP) and Azad Jammu and Kashmir (AJK). More than 100,000 people were injured, and up to 3 million individuals were in immediate need of shelter and other life-sustaining assistance. An estimated 600,000 housing units were either destroyed or severely damaged. In some areas, close to 100% of the housing stock was destroyed. There was significant damage to roads, schools, health clinics and hospitals and other infrastructure. The vast geographic area affected, along with the rugged mountainous topography and inaccessibility of many populated areas, made a humanitarian response particularly difficult.

CARE Pakistan responded to the Earthquake by mounting a two-pronged relief operation. The first was to work through several strategic partners for immediate distribution of relief materials and provide health care for survivors; and the second to mount an emergency relief operation in the Allai Valley of the North West Frontier Province, one of the hardest hit areas of the Earthquake Zone. CARE Pakistan is currently mounting a reconstruction effort that focuses on shelter support to returning families, livelihood assistance to help families get back on their feet; and reconstruction of schools and start of primary education programs.

This evaluation will assess CARE Pakistan's immediate response to the earthquake as well the period leading up to the reconstruction phase, with a view to drawing lessons for country office and CI emergency preparedness, disaster risk reduction and future emergency response.

#### 2. Purpose and Objectives of the Evaluation

The purpose of the evaluation is three-fold:

- a) Assess the quality of CARE Pakistan's response to the earthquake in the Northwest Frontier Province including adherence to Sphere Standards during the response and performance relative to CARE International's Humanitarian Benchmarks and OECD evaluation criteria.
- b) Develop lessons learned and recommendations that will assist CARE Pakistan to build disaster risk management and emergency preparedness capacities into future programming in order to help communities better cope with risk, and to enable a more timely and appropriate response to disasters and crises in the future.
- c) Assess the extent to which CARE Pakistan was able to engage appropriately with the Pakistan military during the emergency response. The evaluation will make recommendations on future CARE policy on civil-military relations.



Evaluation recommendations will be based on accepted Red Cross Code of Conduct, to which CARE International members are signatories, as well as Sphere Minimum Standards, CARE International's Humanitarian Benchmarks, CARE International's Evaluation Policy and OECD evaluation criteria. Some specific areas which the evaluation will examine include:

- Timeliness and Appropriateness of response to what extent did the country office have the capacity, systems and procedures, sufficient human resources and appropriate level of preparedness to facilitate a rapid and appropriate response? How did CARE's capacity (notably CI members, ARMU and CARE Pakistan) to staff-up affect the quality of the response? Was gender taken into consideration adequately in all relevant areas of the response?
- Efficiency What were the outputs (both qualitative and quantitative) in relation to the inputs? Was CARE Pakistan's response cost effective?
- Impact Review of the impact of CARE Pakistan's response in terms of preservation of life and reduction of human suffering. Assessment of the extent to which international standards (e.g., international humanitarian and human rights law; the Red Cross/NGO Code of Conduct) and relevant standards (e.g., Sphere, CI Program Standards) were applied and their impact. Assessment of the impact of the response using a Do-No-Harm lens.
- Coverage scale and ability to reach those most in need, given the political, religious, geographic and social context of the emergency, and providing intended beneficiaries with assistance and protection that is proportionate to that need.
- Connectedness and Sustainability links to local capacity, plans and aspirations and the collaboration and co-ordination with intended beneficiaries (including the effectiveness of communication/feedback systems), within CARE and with external partners.

#### 3. Components of the evaluation report

- a) Introduction. The context of CARE's intervention in the earthquake the salient characteristics of the response and their implications. Specific issues for CARE in Pakistan, for example security and profile.
- b) CARE Pakistan's decision to engage in the earthquake response. Criteria influencing the decision and the implications of the decision.
- c) Human resources and management systems. The challenge of expansion from a small development–focused base. Mechanisms used in recruiting or transferring staff. Implications for the organization of the nature of the staff in the short, medium and longer terms. Inter-agency competition/sharing of staff.
- d) Partnerships. The nature and quality of partnerships with implementing agencies, other NGOs, the UN system and government organizations, including the army. The nature of co-ordination and co-operation and actual modes of operation.
- e) Community capacities and needs. Community responses in different phases, Building, maintaining and strengthening community capacity. Community participation modes. Community structures. The nature of need assessment at different levels and stages. Prioritisation of needs.

- f) Gender. Specific vulnerabilities and limitations on women. Gap identification and gap filling. Specific activities for women. Strategic implications of emergency interventions, Implications for and of human resources past present and future.
- g) Programming and delivery. Process focus (results in annex). Other stakeholder views, including community. Longer term strategic significance of modes for sustainability. Do no harm principle and accountability. Adherence to codes.
- h) Logistics. Procurement, delivery mechanisms, accommodation and site development. Specific problems of Allai valley and dependence on scarce helicopter travel and with poor road communication. Telecommunication systems.
- j) CIMIC. History of relationships and specific problems arising for CARE staff and community. Existing co-ordination mechanisms. Possible future relations in emergency and developmental contexts.
- k) Preparedness and development. Transition to development. Incorporation of preparedness, risk assessment, vulnerability reduction mechanisms and surveillance systems in the planned development context.

Many issues are relevant in different sections. There will be cross reference between these but no undue repetition. The OECD/DAC evaluation criteria will be used as appropriate in the assessments of each section. Where necessary material will be elaborated in annexes. Findings will be used in the preparation of action-focused recommendations.

## 4. Evaluation Methodology

- a) The methodology of the evaluation will include a combination of a desk review of relevant country office documentation, field travel, key informant interviews or focus group discussions with CARE staff in Pakistan (both field and HQ), ARMU and CI. The evaluation team will also interview a selection of beneficiaries in communities and key external stakeholders such as Pakistan government representatives, other international NGOs, and UN agencies.
- b) Confidentiality of information all documents and data collected from interviews will be treated as confidential and used solely to facilitate analysis. Interviewees will not be quoted in the reports without their permission.
- c) Communication of Results an official report of the evaluation will be prepared. However this report will be supplemented by a presentation of preliminary findings for key stakeholders (both internal and external) to both provide immediate feedback to CARE staff and beneficiaries (?) and give the Evaluation Team an opportunity to validate findings.
- d) Report: a concise report with focused practical recommendations will be prepared emphasizing both feedback to CARE managers and providing replicable lessons to inform CARE's disaster risk management and emergency response in future. CARE interviewees will be given an opportunity to comment on the draft reports prior to finalization. While the Evaluation Team will retain responsibility for drafting and editing the report, the Country Office will have the option of making a written response, which will be attached as an annex to the final report. Once finalized, the report will be shared within the CARE world.

### 5. Evaluation Team Composition

CARE Pakistan anticipates that the evaluation team will be made up of 3? to 5 persons including a Team Leader; a Human Resources specialist; a national expert (preferably with expertise in gender); an M&E Specialist and a national M&E Officer (CARE Pakistan staff).

### The Team Leader Qualifications:

## Required:

- Extensive experience of emergency management and risk management approaches
- Monitoring and evaluation of emergencies
- Previous Evaluation Team Leader experience
- Good knowledge regarding use of Sphere standards, Red Cross Code of Conduct, beneficiary accountability systems, etc. in humanitarian contexts
- First-hand knowledge of the South Asia context
- Excellent drafting and communication skills

#### Desired:

- Prior experience of CARE relief and development operations
- · Understanding of the Pakistan context
- Experience in managing emergency shelter programs
- Gender in emergencies experience
- Knowledge of Pashtu and/or Urdu language

### Other Team member combined experience:

- Monitoring and evaluation experience
- Strong knowledge of Pakistan context (particularly the Northwest Frontier Province)
- Gender in emergencies experience
- Strong HR management experience (particularly in emergencies)
- Strong emergency management experience (previous experience in earthquake response also desirable)
- · Knowledge of Pashtu and/or Urdu

### 6. Use of Evaluation Results

The Evaluation will make recommendations to various levels within CARE (e.g. the Country Office, the ARMU, and CARE USA) in order to improve the quality of CARE's preparedness and response to future emergencies. The target audiences of the evaluation will develop a plan of action based on the evaluation report and its findings within one month of distribution of the final report. An appropriate system for monitoring implementation of recommendations will be agreed by CARE Pakistan, CARE USA/ARMU, and CEG, who will each nominate a focal point to monitor implementation of recommendations.

# 7. Proposed Timeframe:

total of 4 1/2 weeks for the Team Leader and 3 weeks for the other Team Member(s). The evaluation schedule will include:

Activity	Approximate Dates	Person(s) responsible				
Desk review	End May (2-3 days)	Team leader & team members				
Field Visit to CARE Pakistan (including project sites)	First 1/2 of June (3 weeks)	Full team				
Interviews with CI members, RMU	Mid-June (2 days)	Team Leader				
Follow-up Interviews	Mid-end June(2-3 days)	Team leader, M&E and HR Experts				
Circulation of Draft Report	End June	Team Leader				
Final Report (after incorporating feedback on draft)	Mid-July	Team Leader w/ CARE staff				
Stakeholder review of recommendations	End July	CO, ARMU, CARE USA, CEG				
Stakeholder Plans of Action circulated	End July	Country Office, ARMU, CARE USA, CEG.				
Monitoring Implementation of Recommendations	ongoing	Country Office, ARMU, CARE USA, CEG.				

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### **Link 48:**



Examples of data collection methods (Source: Ministry of Foreign Affairs, Denmark, Danida (2006) 'Evaluation Guidelines')

1.	Literature search	Economic and efficient way of obtaining information.				
		Difficult to assess validity and reliability on secondary				
		data.				

2. Key informant interviews Flexible, in-depth approach. Easy to implement. Risk of biased presentation/ interpretation from informants/ interviewer

3. Direct measurement Registration of quantifiable or classifiable data by means of analytical instrument. Precise, reliable and often requiring few resources. Registers only facts, not explanations.

4. Direct observation Involves inspection, field visits, observation to understand processes, infrastructure/ services and their utilization. Dependent on observer's understanding and interpretation.

5. Group interviews Low-cost, efficient. Direct contact with those affected. Susceptible to manipulation and less suitable for sensitive issues.

6. Informal survey
Involves quantitative surveys of small samples.
Reasonable and rapid. Risk of sampling errors/ biases.
Less suited for generalization

7. Case studies In-depth review of one or a small number of selected cases. Well-suited for understanding processes and for formulating hypotheses to be tested later.

8. Observation In-depth observations over an extended period of time, participatory or non-participatory. Well-suited for understanding processes but with limited potential for generalization.

9. Formal survey
Oral interviews or written questionnaires in a representative sample of respondents. Data collection is demanding but often produces reliable information.

**10. Story-telling/ collection** Obtaining participants' and communities' experiences of change by collating their observations and stories.

### **Link 49:**



(Source: Prolog Consult) Some other techniques are more adapted to longer-term evaluations, e.g.: Literature review: comprehensive, often academically oriented, review of relevant references that can be found in international scientific literature, policy papers and guidelines.

- focus groups: (if not undertaken in a more rudimentary approach in an emergency context) a qualitative research technique that brings staff of homogeneous background or function together to hold a focused discussion on a specific topic of common concern. The group discussion is led by a skilled moderator whose job it is to gain the confidence of the group members and facilitate their discussion so that they will react and interact freely on a series of questions. A focus group is generally comprised of 7-10 people and does not have to be statistically representative. However, it should involve a good cross section of the groups in the survey population, and separate groups should be formed for the different categories of stakeholders.
- Brainstorming sessions: working group generally similar to the focus group above, but without a structured questionnaire to lead the discussion.
- Expert panels: a group gathering a limited number of highly qualified external experts, to provide advice or comments on specific issues at some key, pre-defined stages of the evaluation.
- Case studies: as a complement to the "horizontal" focus groups, case studies can be seen as the "vertical" type of workshops or rather in-depth exploration which typically need to be set up with complete organised communities (or working services) and people from all the various grades and functions. In comparison with focus groups, case studies are therefore more difficult to organise, since they generally demand the presence of a more significant number of interviewees; hence they also usually require more working time.
- Benchmarking: comparative survey of external groups, bodies or case studies that seem to present similar characteristics.
- Formal surveys. Questionnaires are a valuable tool but also represent lots of work. They are however a systematic way to gather an indication on points in the TOR oriented to the level of awareness within the targeted respondents. Moreover, they often collect comparable information for a relatively large number of people in particular target groups. Questionnaires may have close or/and open questions. The later often provide important depth of information. In the case of internal performance evaluations, administrative arrangements (distribution, how, type web or other, deadlines) have to be considered and the response rate calculated.
- Beneficiary/ Ownership<sup>2</sup> / Stakeholder analysis: used to develop and understanding of the power relationships, influence, and interests of the various people involved in an activity, and to design development initiatives, signal constraints to participation, and provide feedback to improve services and activities.

### Link 50:



(Source: Prolog Consult) Data analysis can also be quantitative....

- to describe phenomena in a concise format using statistical tabulation;
- to test relationship among variables of interest;
- to generalise findings to an overall population;

or qualitative (data of this type includes detailed descriptions- patterns, themes, tendencies, trends - and interpretations and explanations of these patterns).

- Content analysis, (i.a., through the use of a SWOT table (Strengths, Weaknesses, Opportunities and Threats, see e.g. http://www.m-arc.be/documents/SWOTChart.xls) or a Knowledge, Attitude, Practice and Behaviour table (KAPB), appropriate to assess individual capacities, possibly with a 360° approach.
- · Analysis of case studies.
- · Inductive or deductive analysis.
- Logical and sequential analysis, including through LFA (logical framework analysis), which may be either the original starting point of the project, or an ex-post frame, reconstructed on purpose by the evaluation.
- Peer review analysis through a panel of highly specialised experts, who can be completely external, internal, or mixed.

# Link 51:

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								Selection criteria						
	Name	Source of application	Int/Ext expert	Current position	Location	Nation/ resident	Fe/ male	Langu.: -English -French -other	(Sub) TL and evalua- tion mgt exp.	Sectoral /pro-gram expe- rience	Know- ledge of man-dates	proven writing skills	Region exper. / type of crisis	Rates
Shortlist														
Snortiist														
Longlist														
(possi- bles)														
,														
Not														
recom- mended														

# Link 52:



# **Ethical considerations**

Ethical guidance adapted from that provided by CIDA (1990), and as partially reproduced by Danida in its 'Evaluation Guidelines' (2006):

Cultural Intrusion	Local customs regarding dress, personal interaction, religious beliefs and practices should be respected.
Anonymity/confidentiality	Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source.
Responsibility for evaluations	In some countries, criticism can have serious consequences for a national. Evaluators must take care that those involved as local evaluators either endorse a report, or that their restricted roles are clearly described in the report. Statements should not be made on behalf of the evaluation team if other team members have not had an opportunity to disagree.
Right to privacy	Evaluators should realise that people can be extremely busy and their participation in evaluations can be burdensome. Therefore, evaluators should provide ample notice and minimise demands on time.
Supremacy of fundamental values	There is a delicate balance between certain cultural practices and the deprivation of fundamental rights and freedoms. While evaluators are expected to respect other cultures, they must also be aware of the values affecting minorities and particular groups. In such matters the UN Universal Declaration of Human Rights (1948) is the operative guide.
Omissions	Ethically, evaluators have a responsibility to bring to light issues and findings which may not relate directly to the Terms of Reference. Certain other issues can cause difficulties for the evaluator and should be acknowledged and discussed with the Evaluation manager as necessary.
Evaluation of individuals	Performance evaluation is not normally a part of evaluations, though reports will touch on issues such as leadership and management competence that border on evaluation of individuals. The evaluator is not expected to evaluate individuals and must balance an evaluation of management functions with this general principle.



## **Steps in Conducting a Participatory Evaluation** (source: USAID)

### Step 1: Decide if a participatory evaluation approach is appropriate.

Participatory evaluations are especially useful when there are questions about implementation difficulties or program effects on beneficiaries, or when information is wanted on stakeholders' knowledge of program goals or their views of progress. Traditional evaluation approaches may be more suitable when there is a need for independent outside judgment, when specialized information is needed that only technical experts can provide, when key stakeholders don't have time to participate, or when such serious lack of agreement exists among stakeholders that a collaborative approach is likely to fail.

### Step 2: Decide on the degree of participation.

What groups will participate and what roles will they play? Participation may be broad, with a wide array of program staff, beneficiaries, partners, and others. It may, alternatively, target one or two of these groups. For example, if the aim is to uncover what hinders program implementation, field staff may need to be involved. If the issue is a program's effect on local communities, beneficiaries may be the most appropriate participants. If the aim is to know if all stakeholders understand a program's goals and view progress similarly, broad participation may be best. Roles may range from serving as a resource or informant to participating fully in some or all phases of the evaluation.

## Step 3: Prepare the evaluation scope of work.

Consider the evaluation approach—the basic methods, schedule, logistics, and funding. Special attention should go to defining roles of the outside facilitator and participating stakeholders. As much as possible, decisions such as the evaluation questions to be addressed and the development of data collection instruments and analysis plans should be left to the participatory process rather than be predetermined in the scope of work.

### Step 4: Conduct the team planning meeting.

Typically, the participatory evaluation process begins with a workshop of the facilitator and participants. The purpose is to build consensus on the aim of the evaluation; refine the scope of work and clarify roles and responsibilities of the participants and facilitator; review the schedule, logistical arrangements, and agenda; and train participants in basic data collection and analysis. Assisted by the facilitator, participants identify the evaluation questions they want answered. The approach taken to identify questions may be open ended or may stipulate broad areas of inquiry. Participants then select appropriate methods and develop data-gathering instruments and analysis plans needed to answer the questions.

## Step 5: Conduct the evaluation. Participatory

Evaluations seek to maximize stakeholders' involvement in conducting the evaluation in order to promote learning. Participants define the questions, consider the data collection skills, methods, and commitment of time and labour required. Participatory evaluations usually use rapid appraisal techniques, which are simpler, quicker, and less costly than conventional sample surveys. They include methods such as those in the box on page 4. Typically, facilitators are skilled in these methods, and they help train and guide other participants in their use.

### Step 6: Analyze the data and build consensus on results.

Once the data are gathered, participatory approaches to analyzing and interpreting them help participants build a common body of knowledge. Once the analysis is complete, facilitators work with participants to reach consensus on findings, conclusions, and recommendations. Facilitators may need to negotiate among stakeholder groups if disagreements emerge. Developing a common understanding of the results, on the basis of empirical evidence, becomes the cornerstone for group commitment to a plan of action.

### Step 7: Prepare an action plan.

Facilitators work with participants to prepare an action plan to improve program performance. The knowledge shared by participants about a program's strengths and weaknesses is turned into action. Empowered by knowledge, participants become agents of change and apply the lessons they have learned to improve performance.

### Link 54:

(← BACK)

(Source: DANIDA)

During the final phases of the evaluation, the evaluators are invited to present their key findings. During this presentation, stakeholders are invited to reflect on recommendations.

Danida has a form to facilitate the follow-up to evaluations in general and this form is also applied to evaluations of humanitarian programmes. The form has three columns: the recommendation, the action to be undertaken and the status of this action.

- When the final draft of the evaluation report is submitted to the evaluation department, this department transfers the recommendations in the relevant column of the format.
- It then contacts the departments concerned to formulate the action to be taken for the follow-up of the recommendation.
- The form with recommendations and follow-up action is discussed in the Management Meeting (often) chaired by the Minister. During this meeting the recommendations and the follow-up action indicated are discussed, and if needed adjusted or reformulated.
- When agreement is reached, the decision is taken and authorised by the chairman to execute the follow-up action as indicated. It thereby becomes an instruction to the concerned departments
- Six months or longer after the follow-up action has been decided, the evaluation unit approaches the departments with the format, and requests to indicate the status of the follow-up action.

### Link 55:



http://www.undp.org/eo/documents/HandBook/part\_4.pdf

### APPLING THE RECOMMENDATIONS FROM FEEDBACK

Part of the feedback obtained through monitoring and evaluation will be in the form of recommendations for action. Different types of recommendations from monitoring and evaluation processes should be analyzed separately. This is accomplished by answering a number of questions about the type and consequences of recommendations. The questions address both substantive and implementation recommendations.

Feasibilities and priorities based on the answers to these questions must then be set for the short, medium and long terms. The following list of questions concerns the type of recommendation (substantive or implementation) and its consequences. Questions about the consequences of substantive recommendations from monitoring and evaluation:

- Who or what will be directly or indirectly affected by the recommendation(s) in terms of planned outputs and outcomes?
- How do the recommendations differ from previous ones?
- What are the key reasons and approaches used to substantiate the recommendation (s)?
- How do the recommendations compare with similar outcomes, projects, programmes or activities in other parts of the country or other countries?
- How do recommendations contribute to overall intended outputs and outcome(s)?
- Is there a "fit" between intended outcome(s) and actual outcome(s)?
- How do recommendations link with regional and global programme objectives?
- How does the senior CO management intend to respond to, and follow up on implementation of, the recommendations?

Questions about the consequences of i m p l e m e n t a t i o n recommendations from monitoring and evaluation:

- What will be the positive or negative effects in terms of key target groups or stakeholders?
- What can be done to improve the positive effects and compensate for the negative effects?
- What actions are required and by whom?
- What is the time frame?
- Who has the authority to implement the action?
- What are the financial implications?
- What are the political implications?
- What human resources are needed?
- Are special approaches, including training, or new types of partnership required?
- What monitoring or follow-up is required?



Analysis of the above questions will help identify a number of concrete actions through which recommendations may be judged, improved and implemented. While some of these actions will be implemented in the short term, others—especially those requiring political decisions, affecting institutional structure(s) or requiring extensive financial resources—will only be implemented in the medium or long term.

A management response to the substantive and implementation issues raised is important for all monitoring and evaluation recommendations. For outcome evaluations in particular, the management response should identify what recommendations are accepted or not accepted and why, and how the accepted recommendations will be implemented and monitored.

Publication of evaluation results should follow a clear format in order to treat the evidence fairly, to produce compelling analytic conclusions and to rule out ambiguity. Information may be presented through various analytic techniques. The main point, however, is to make information from evaluations and monitoring user-friendly, easily accessible and advantageous to the user. The characteristics of a good knowledge product, including a good publication, are listed in Box 6.

### BOX 6. CHARACTERISTICS OF A GOOD KNOWLEDGE PRODUCT

- Designed for a specific audience;
- Relevant to decision-making needs, especially for country office staff;
- Available when the "window of opportunity" for decision-making arises (i.e. timely);
- Easily and quickly understood;
- Based on sound methodological principles;
- Delivered through recognized channels;
- Areas of uncertainty and their significance clearly identified;
- Accompanied by full acknowledgement of data or information sources;
- Provides information on both tangible and intangible products and processes of development;
- Available at minimal cost in terms of time,

Keeping these characteristics in mind even before the start of actual analysis or the preparation of a publication will help organize the evidence in an orderly fashion. The assessments from evaluation should be documented and distributed to stakeholders for feedback. This will help identify information needs. A number of suggestions for improving evaluation feedback are listed in Box 7.

### BOX 7. ACTION POINTS TO IMPROVE EVALUATION FEEDBACK

- Understand how learning happens within and outside the organization (identify where the blockages occur);
- Assess how the relevance and timeliness of evaluation feedback can be improved, and ensure that this happens;
- Be explicit in identifying key audiences for evaluation feedback and the reasons for wanting to reach them, both in general and in specific cases;
- Get to know target groups better to learn what they want from evaluations, how they use evaluation information, and how feedback systems can respond better to these demands;
- Develop a more strategic view of how feedback approaches can be tailored to the needs of different audiences;
- Make sure the quality of evaluation outputs is up to standard—particularly in terms of brevity, clarity and presentation;
- Consider diversifying the range of approaches used to communicate with audiences, using innovative methods where appropriate;
- Improve evaluation websites and intranets, recognizing that ease of access and user-friendliness are key factors;
- Ensure that full disclosure of evaluation reports becomes the norm and that proper approval and notification processes are in place so that senior management or key partners are not caught unawares by controversial findings;
- Put more effort into finding better ways of involving country-level stakeholders in evaluation work, including the feedback of evaluation lessons, recognizing that language barriers are a key constraint;

The dissemination of evaluation results is as important as their publication. Only an efficient system of dissemination will ensure that the target recipients receive the evaluation feedback that is relevant to their specific needs. Communicating all that has been learned poses a challenge. The underlying issue is how to capture lessons from experience that are transferable; that is, those lessons that have a broader application as compared to those that are relevant only to a single programme or project. This challenge can be addressed through the institutionalization of learning from monitoring and evaluation feedback. Institutionalization of the learning process can be achieved in part by better incorporating learning into existing tools and processes, such as the project and programme document drafting, etc (according to the agency's own internal organisation).

# **Link 59:**



# Achievement of objectives (source: WFP)

- Are the objectives appropriate and realistic?
- To what extent have planned outputs been achieved in terms of quantity, quality, equity and timeliness?
- For EMOPs and PRROs: have the targeted beneficiaries received the planned rations? Have the right beneficiaries been targeted? Did the beneficiaries use the food aid as intended?
- For PRROs and development activities: have the beneficiaries maintained or improved their livelihoods and what assets have been created/maintained, who have they benefited and how?
- What were the most successful recovery activities? What were the least successful?
  How effectively was a transition made from relief to recovery activities? To what degree
  has food aid contributed to promoting resettlement and food self-sufficiency (where
  applicable)?
- Have outputs reached the poorest? Women? Vulnerable groups? To what extent? What share of women and vulnerable groups have benefited directly from FFW outputs?
- Were resources effectively and efficiently used? Do the results justify the costs?
- What evidence is there that the operation's stated purpose(s) and goal were achieved?
- To what extent were WFP's core mandate responsibilities met?
- If at mid-term, what additional measures are needed to improve the chances of achieving the purpose?

## Factors in the effectiveness and efficiency of EMOPs and PRROs

### Registration/verification

• Were data collected for target populations/groups reliable and disaggregated, and how well were the data maintained?

# Link 60:



**Appropriateness of rations** (source: WFP)

- Was the food ration and basket adequate and acceptable (quantitatively and qualitatively) vis-à-vis the livelihood and coping strategies of both men and women?
- Were the nutritional objectives realistic, and to what extent were they achieved?
- What has been the nutritional effect/outcome of WFP assistance on beneficiaries?
- Have there been ration reductions or phasing-out of food assistance; if so, on what basis?
- Was the food aid culturally acceptable and appropriate?

# Link 61:



Final distribution (source: WFP)

- Was the delivery system efficient and equitable? Was it transparent? Was a complaints procedure in place? How well were failures in the delivery system addressed?
- Did women play lead roles on local decision-making committees for food management? If so, to what extent, and has this resulted in a change in acceptance of women in lead decision-making roles?

# **Link 62:**



## Commitments to Women (source: WFP)

- To what extent were WFP's Commitments to Women met in terms of (i) food access by women; (ii) access to power structures and decision-making; and (iii) access to resources, employment, markets and trade?
- What changes are required in a future phase to ensure better compatibility with the Commitments?
- What gender training has been carried out, for whom, and what difference, if at all, has such training made?
- Was adequate effort been made to mainstream as well as advocate gender considerations?

### **Link 63:**



## Outcome/impact and sustainability/connectedness (source: WFP)

- What difference did the operation make to the lives of the beneficiaries (nutritional status, livelihood improvements, etc.)? Who benefited exactly? What would have happened if no assistance had been given?
- How do beneficiaries and other stakeholders value the operation?
- What impact did the operation have on household food security and self-reliance?
- EMOPs and PRROs: What was the impact on host populations?
- What unexpected outcomes (positive or negative) have there been?
- Have environmental concerns been adequately addressed within the operation/ programme?
- What intended or unintended impacts have occurred on the environment as a result of the operation?
- What impact have campsites had on the environment? What effect have rations and cooking requirements had?
- What was done to ameliorate the operation's environmental impact and restore the natural habitat?
- How long are these benefits likely to last? What are the prospects for the sustainability of activities and outputs? What factors are likely to undermine sustainability of benefits? Are the sustainable benefits likely to exceed the costs?
- What costs will have to be borne by government, implementing partners, beneficiaries or other stakeholders in order for the benefits to continue?
- Has food aid been used as leverage to obtain complementary national and international resources and recognition to improve the condition of women?

# Link 64:



# **Beneficiary participation** (source: WFP)

- In what way have the beneficiaries participated in the design, implementation and monitoring of the operation? Were the arrangements adequate? What was the impact of their participation or non-participation?
- Was beneficiary involvement empowering men and women?

### **Link 65:**



### **APPRECIATIVE INQUIRY (AI) type of questions**

Al concentrates on "what works", rather than on what is wrong.

For participation purposes with final beneficiaries, e.g. in focus groups meetings (source: Locating the Energy for Change, two Al-focused evaluations in Africa):

- How did this community (camp) come to be established? Who founded it?
- What do you like best about it? When is the community (camp) happiest? What makes people glad to live here?
- What is your favourite activity here?
- What would visitors to this community (camp) comment upon most favourably?
- When you have visited (other/neighbouring) communities/camps, what has impressed you most about them?
- Tell me a story about the best things (this NGO) does for (category of beneficiaries)
- Have you a story about the best thing that has happened to (a member of the category of beneficiaries)?
- What is it about (this NGO) that makes (category of beneficiaries) have confidence in it?
- Some days are better than others for you. Tell me what happens on the best days?
- When you are sick, tell me about the best things you can do to help yourself (the NGO can do for you) to get better?

### **Link 66:**



### **Protection** (source: ALNAP):

- What modes of protective practice did the organisation adopt at various stages of the humanitarian response? With what effect?
- How well did the programming team understand the affected population's coping mechanisms, its will and capacities for self-protection and organisation?
- What methods were used to assess violence against women throughout the program cycle?
- How was the agency's presence targeted to get close to particular groups of vulnerable people at particular high-risk times and in high-risk places?
- How much are existing guidelines on protection disseminated within the organisation concerned i.e. UNHCR guidelines to counter sexual violence?
- How aware were staff and field partners as to how to refer women and men seeking redress for human rights violations? How able were staff to link people's experiences of violations to specific legal standards?
- What specific steps were taken to ensure and increase personal safety and security of women, girls, boys and men?
- What measures were put in place regarding accommodation, transportation and security to enable women workers to do their jobs as safely as possible?
- How much did staff include humanitarian values and principles in educational programmes in health promotion, schools and literacy groups?

# **Link 67:**



# **Security** (source: WFP)

- Have adequate and appropriate measures been introduced and adhered to, in order to minimise the risk to WFP staff and implementing partners involved in the implementation of the operation/programme?
- Have measures been taken to provide protection to the men, women and children participating in the operation?
- Are there significant security challenges to the smooth functioning of the operation/ programme? Was the safety of the beneficiaries a high priority?

### **Link 68:**



# Questions for evaluation of coordination include (source: ALNAP):

- Were policies for coordination in place and followed? What did the policies say?
- Were there any incentives to coordinate, for example did donors promote UN coordination through funding arrangements? Or was there competition for funds?
- Was a lead agency appointed, and what was the result of this?
- Which parties were included and in what manner? Why?
- Who took the lead and how effective were they? Why?
- Were funds channelled in a coordinated fashion, or individually by donors to suit their own strategic aims?
- What were the main constraints and supports to coordination? How was good coordination achieved (What is good coordination?), and is it replicable for other situations.
- Did coordination lead to improved effectiveness and impact, for example an increase in humanitarian space? How did this come about?

### **Link 69:**



### **APPRECIATIVE INQUIRY (AI) type of questions**

Al concentrates on "what works", rather than on what is wrong

## For (local) staff, internal /process review

(source: Encyclopedia of positive questions)

- What has most attracted you to work (in this NGO) in the first place?
- Once you were hired, what were the initial impressions that made you proud of (the NGO)?
- What is your sense of the root cause of the ongoing success of (the NGO)?
- What do you believe are (this NGO's) most significant strategic (compared) advantages?
- Describe one of your earliest positive experiences with (the NGO), and how that reinforced your initial sense that this was a great place to work?
- Think of a time when (the NGO) was at its absolute best...when (the donors, beneficiaries, stakeholders) easily saw what (the NGO) really is and what it is about. Tell me about it.
- What are the things that make (your function, your department) the best that it can possibly be?
- Put yourself in (your donors', your beneficiaries') shoes. What do you think they would say if we asked them what makes (this NGO) best-in-class?
- Think about another (NGO, agency) that you admire...one that you either know well or have heard of. What, in your experience, makes that organisation best-in-class? What do they do that (this NGO) could learn to do better?
- How do you learn best? Tell me about a time/ a work experience when you learned something
  very challenging. What contributed to your learning? Who else was involved and what did
  they do? How did you benefit (for your career development)? How did (the NGO) benefit?
- Describe a time when you were involved in a participatory decision-making process in which everyone felt respected. How were you included? How did you contribute? How did people know their voices were heard? What made it successful?
- When have you been a part of or seen (this NGO) do something positive for the environment? Who was involved? If there were (2? 3?) things that you would like (this NGO) do that would benefit the environment, what would they be?
- Describe a time when you felt you exhibited a clear sense of financial responsibility. What was the situation and what did you do? What was the result of your financial responsibility?
- What do you most value and appreciate about leadership in (the NGO)? When people are in leadership positions, what (2? 3?) things can they do that will help you be the best you can be?
- What most appeals to you about the concept of continuous learning? What makes (this NGO) such a favourable place for learning? How did you and others grow and change, as a result of being in this environment?
- Tell me about a time when (this NGO's) organisational structure most supported you in implementing its core principles and values?
- Tell me about a time when you received recognition, appreciation, or acknowledgement for your work. Describe the situation. What did you do? How were you recognised? Describe types of recognition that would inspire you to strive for excellence. Why would these types of recognition be meaningful to you?
- Tell me about a time, recently, in which you experienced a comfortable sense of work/family balance. What contributed to it? What is it about (the NGO) that best supports you in creating work/family balance? What (2? 3?) things could be done that would help you create a better work/family balance?

## Link 70:



# **Strategy** (source: WFP)

- Was the strategy used the most relevant and appropriate to meet the identified needs?
- Were gender issues appropriately reflected in the strategy?
- Were alternative approaches to achieving objectives considered?
- Was the strategy consistent with WFP's core mandate, with WFP's policies and, where relevant, with Country Programme and strategic framework objectives?
- What was the link between food aid and other assistance provided?
- Was the strategy well prepared and did it provide adequate guidance for implementers? For PRROs: Did the strategy accurately consider the opportunities to introduce recovery activities?
- Was an exit strategy developed?
- Were other agencies included in the analysis of the problem and the drawing-up of the response plans?
- Did the preparation process adequately involve beneficiaries (both men and women)?
- Were constraints to implementation adequately assessed from the onset?
- Has the strategy been periodically reviewed or modified over the life of the operation in order to maintain its relevance to changing circumstances?

# Link 71:



# **Assessments** (source: WFP)

 How was the initial situation assessed? How has the beneficiaries' food insecurity, vulnerability and nutrition status been assessed? Were the roles of men and women adequately analysed? Have regular reassessments been conducted? Have host communities' needs been assessed?

# Link 72:



**Targeting** (source: WFP)

- How have beneficiary groups/areas been identified?
- Were the special needs of certain groups/areas considered?
- Have the needs of the host community been addressed?
- Were targeting objectives appropriate?
- Were arrangements made to review and update the targeting strategy?
- Were male and female beneficiaries involved in the negotiation of beneficiary status?
- What was the proportion of male and female beneficiaries participating in food for work (FFW)?

### **Link 73:**



**Design** (source: WFP)

- Was the design of the operation logical and coherent? Did it provide a good "road map" for implementation and a sound basis for review and evaluation?
- Were objectives set at the right level (i.e. in compliance with logframe definitions) and were sound means-to-ends linkages made between inputs, activities, outputs, outcome(s) and the impact?
- Was the operation design technically feasible?
- Were gender concerns appropriately reflected and in line with the Commitments to Women?
- Were assumptions reasonable when they were specified, and were contingency plans made for known risks?
- Which external factors were not taken into account during design?
- Has the operational context of the operation changed since its design, and if so has the operation adapted effectively?

## Link 74:



Factors in the (effectiveness and) efficiency of all operations Implementation (source: WFP)

- Were there any significant delays in approval; what were the causes of this?
- Were the implementation schedule and management arrangements realistic (this should include financial management and budgeting systems)?
- Were plans followed? If not, why not?
- Did objectives change during implementation? Why? On the basis of what analysis or what events?
- Have there been delays in implementation? How were these dealt with? What was the impact of such delays?
- How well were risks and problems managed?

# Link 75:



# Monitoring (source: WFP)

- Were baseline data collected and were appropriate indicators identified at the outset for measuring progress and results?
- Did the monitoring systems work, including the extent to which gender considerations were built into monitoring arrangements? Were gender-disaggregated data collected in accordance with WFP policy?
- For PRROs: have criteria been established to signal when to shift activities from relief to recovery, and from recovery to development? If so, are these being applied effectively?

## **Link 76:**



# **Coordination, partnerships** (source: WFP)

- Were objectives and activities compatible with the policies/programmes of the relevant government(s)? How supportive are WFP's counterparts?
- What mechanisms were put in place for coordination with the Government, donors, United Nations agencies, NGOs, etc. and how effective were they? Were sectorial responsibilities successfully divided among partners?
- Did implementing partners fulfil their contractual obligations? How was their capacity assessed? What training of partners has taken place? Has there been a trend towards or away from using local implementing partners? What capacity has been left behind?

# **Link 77:**



Programmatic linkages (source: WFP)

 Are the objectives and activities of the operation/programme compatible with and complementary to those of the other operations currently being implemented by the country office?

### **Link 78:**



Management, human resources and training (source: WFP)

- Did the country office, sub-offices and specialised units fulfil their roles effectively and efficiently?
- Did staff have the experience and expertise to carry out the activities envisaged?
- Are there staff or skill shortages? What has been done about these?
- Have correct financial and administrative procedures been followed?
- Is there appropriate gender balance in the operation staff (both WFP and implementing partners)? Have staff been trained in gender issues and are they applying this training to their work?

## Link 79:



# **Budget and resources** (source: WFP)

- Operation costs: What was the planned vs. actual expenditure for the operation as a whole, and under each main cost heading?
- Was the budget appropriate in relation to its objectives/activities, and what factors affected individual budget items, particularly direct support cost (DSC)?
- ITSH: How were internal transport, storage and handling financed? Were the calculated rates adequate? What revisions were required?
- To what extent have the resourcing requirements for the operation been met and how has the country office managed shortfalls? How predictably and regularly have resources been supplied to the operation/programme?
- Monetization: Was it justified? Were the prices fair?
- For PRROs: Has transformation to a PRRO resulted in longer-term (more than one year) financial commitments to the operation?
- How successfully has the operation/programme resourced its non-food inputs (NFIs) and what, if any, have been the constraints?

# Link 80



# Participation (source: SPHERE)

- Women and men of all ages from the disaster-affected and wider local populations, including vulnerable groups, receive information about the assistance programme, and are given the opportunity to comment to the assistance agency during all stages of the project cycle.
- Written assistance programme objectives and plans should reflect the needs, concerns and values of disaster-affected people, particularly those belonging to vulnerable groups, and contribute to their protection.
- Programming is designed to maximise the use of local skills and capacities.

### Link 81



### **Initial assessment** (source: SPHERE)

- Information is gathered using standardised procedures and made available to allow for transparent decision-making.
- The assessment considers all technical sectors (water and sanitation, nutrition, food, shelter, health), and the physical, social, economic, political and security environment.
- Through consultation, the assessment takes into account the responses of the local and national authorities and other actors and agencies.
- Local capacities and strategies to cope with the disaster, both those of the affected population and the surrounding population, are identified.
- Whenever feasible, data are disaggregated by sex and by age.
- The assessment is underpinned by the rights of those affected by disasters, as defined by international law.
- The assessment takes into account the responsibility of relevant authorities to
  protect and assist the population on the territory over which they have control, and
  also takes into account national law, standards and guidelines applicable where
  the affected population is found, as they conform with international law.
- The assessment includes an analysis of the operating environment, including factors affecting the personal safety and security of the affected population and of humanitarian staff.
- Estimates of population numbers are cross-checked and validated with as many sources as possible, and the basis for the estimate made known.
- Assessment findings are made available to other sectors, national and local authorities and representatives of the affected population. Recommendations are made on the need for external assistance, and on appropriate responses that should be linked with exit or transition strategies.



## Response (source: SPHERE)

- Where people's lives are at risk as a result of disaster, programmes prioritise lifesaving needs.
- Programmes and projects are designed to support and protect the affected population and to promote their livelihoods, so that they meet or exceed the Sphere Minimum Standards, as illustrated by the key indicators.
- There is effective coordination and exchange of information among those affected by or involved in the disaster response. Humanitarian agencies undertake activities on the basis of need, where their expertise and capacity can have the greatest impact within the overall assistance programme.
- Organisations, programmes and projects that either cannot address identified needs or are unable to attain the Minimum Standards make any gaps known so that others may assist.
- In conflict situations, the assistance programme takes into account the possible impact of the response on the dynamics of the situation.



## **Targeting** (source: SPHERE)

- Targeting criteria must be based on a thorough analysis of vulnerability.
- Targeting mechanisms are agreed among the affected population (including representatives of vulnerable groups) and other appropriate actors. Targeting criteria are clearly defined and widely disseminated.
- Targeting mechanisms and criteria should not undermine the dignity and security of individuals, or increase their vulnerability to exploitation.
- Distribution systems are monitored to ensure that targeting criteria are respected and that timely corrective action is taken when necessary.



## Monitoring (source: SPHERE)

- The information collected for monitoring is timely and useful, it is recorded and analysed in an accurate, logical, consistent, regular and transparent manner and it informs the ongoing programme.
- Systems are in place to ensure regular collection of information in each of the technical sectors and to identify whether the indicators for each standard are being met.
- Women, men and children from all affected groups are regularly consulted and are involved in monitoring activities.
- Systems are in place that enable a flow of information between the programme, other sectors, the affected groups of the population, the relevant local authorities, donors and other actors as needed.



**Evaluation** (source: SPHERE)

- The programme is evaluated with reference to stated objectives and agreed minimum standards to measure its overall appropriateness, efficiency, coverage, coherence and impact on the affected population.
- Evaluations take account of the views and opinions of the affected population, as well as the host community if different.
- The collection of information for evaluation purposes is independent and impartial.
- The results of each evaluation exercise are used to improve future practice.



## Aid worker competencies and responsibilities (source: SPHERE)

- Aid workers have relevant technical qualifications and knowledge of local cultures and customs, and/or previous emergency experience. Workers are also familiar with human rights and humanitarian principles.
- Staff are knowledgeable about the potential tensions and sources of conflict within the disaster-affected population itself and with host communities. They are aware of the implications of delivering humanitarian assistance, and pay particular attention to vulnerable groups.
- Staff are able to recognise abusive, discriminatory or illegal activities, and refrain from such activities.



## **Supervision, management and support of personnel** (source: SPHERE)

- Managers are accountable for their decisions and for ensuring adequate security and compliance with codes/rules of conduct as well as support for their staff.
- Technical and managerial staff are provided with the necessary training, resources and logistical support to fulfil their responsibilities.
- Staff working on programmes understand the purpose and method of the activities they are asked to carry out, and receive subsequent feedback on their performance.
- All staff have written job descriptions, with clear reporting lines, and undergo periodic written performance assessment.
- All staff are oriented regarding relevant health and safety issues for the region and environment in which they are to work.
- Staff receive appropriate security training.
- Capacity-building systems for staff are set up and these are subject to routine monitoring.
- The capacity of national and local organisations is built up to promote long-term sustainability.



Hygiene promotion standard 1: programme design and implementation (source: SPHERE)

- Key hygiene risks of public health importance are identified.
- Programmes include an effective mechanism for representative and participatory input from all users, including in the initial design of facilities.
- All groups within the population have equitable access to the resources or facilities needed to continue or achieve the hygiene practices that are promoted.
- Hygiene promotion messages and activities address key behaviours and misconceptions and are targeted for all user groups.
- Representatives from these groups participate in planning, training, implementation, monitoring and evaluation.
- Users take responsibility for the management and maintenance of facilities as appropriate, and different groups contribute equitably.



Water supply standard 1: access and water quantity (source: SPHERE)

- Average water use for drinking, cooking and personal hygiene in any household is at least 15 litres per person per day.
- The maximum distance from any household to the nearest water point is 500 metres.
- Queuing time at a water source is no more than 15 minutes.
- It takes no more than three minutes to fill a 20-litre container.
- Water sources and systems are maintained such that appropriate quantities of water are available consistently or on a regular basis.



Water supply standard 2: water quality (source: SPHERE)

- A sanitary survey indicates a low risk of faecal contamination.
- There are no faecal coliforms per 100ml at the point of delivery.
- People drink water from a protected or treated source in preference to other readily available water sources.
- Excessive queuing times are indicators of insufficient water availability (either due to an inadequate number of water points or inadequate yields of water points).
- Water points should be located in areas that are accessible to all regardless of e.g. sex or ethnicity. Some handpumps and water carrying containers may need to be designed or adapted for use by people living with HIV/AIDS, older and disabled people and children. In situations where water is rationed or pumped at given times, this should be planned in consultation with the users. Times should be set which are convenient and safe for women and others who have responsibility for collecting water, and all users should be fully informed of when and where water is available.
- Steps are taken to minimise post-delivery contamination.
- For piped water supplies, or for all water supplies at times of risk or presence of diarrhoea epidemic, water is treated with a disinfectant so that there is a free chlorine residual at the tap of 0.5mg per litre and turbidity is below 5 NTU.
- No negative health effect is detected due to short-term use of water contaminated by chemical (including carry-over of treatment chemicals) or radiological sources, and assessment shows no significant probability of such an effect.



Water supply standard 3: water use facilities and goods (source: SPHERE)

- Each household has at least two clean water collecting containers of 10-20 litres, plus enough clean water storage containers to ensure there is always water in the household.
- Water collection and storage containers have narrow necks and/or covers, or other safe means of storage, drawing and handling, and are demonstrably used.
- There is at least 250g of soap available for personal hygiene per person per month.
- Where communal bathing facilities are necessary, there are sufficient bathing cubicles available, with separate cubicles for males and females, and they are used appropriately and equitably.
- Where communal laundry facilities are necessary, there is at least one washing basin per 100 people, and private laundering areas are available for women to wash and dry undergarments and sanitary cloths.
- The participation of all vulnerable groups is actively encouraged in the siting and construction of bathing facilities and/or the production and distribution of soap, and/or the use and promotion of suitable alternatives.



Excreta disposal standard 1: access to, and numbers of, toilets (source: SPHERE)

- A maximum of 20 people use each toilet.
- Use of toilets is arranged by household(s) and/or segregated by sex.
- Separate toilets for women and men are available in public places (markets, distribution centres, health centres, etc.).
- Shared or public toilets are cleaned and maintained in such a way that they are used by all intended users.
- Toilets are no more than 50 metres from dwellings.
- Toilets are used in the most hygienic way and children's faeces are disposed of immediately and hygienically.



### Excreta disposal standard 2: design, construction and use of toilets (source: SPHERE)

- Users (especially women) have been consulted and approve of the siting and design of the toilet.
- Toilets are designed, built and located to have the following features: they are designed in such a way that they can be used by all sections of the population, including children, older people, pregnant women and physically and mentally disabled people; they are sited in such a way as to minimise threats to users, especially women and girls, throughout the day and night; they are sufficiently easy to keep clean to invite use and do not present a health hazard; they provide a degree of privacy in line with the norms of the users; they allow for the disposal of women's sanitary protection, or provide women with the necessary privacy for washing and drying sanitary protection cloths; they minimise fly and mosquito breeding.
- All toilets constructed that use water for flushing and/or a hygienic seal have an adequate and regular supply of water.
- Pit latrines and soakaways (for most soils) are at least 30 metres from any groundwater source and the bottom of any latrine is at least 1.5 metres above the water table. Drainage or spillage from defecation systems must not run towards any surface water source or shallow groundwater source.
- People wash their hands after defecation and before eating and food preparation.
- People are provided with tools and materials for constructing, maintaining and cleaning their own toilets if appropriate.



**Vector control standard 1: individual and family protection** (source: SPHERE)

- All populations at risk from vector-borne disease understand the modes of transmission and possible methods of prevention.
- All populations have access to shelters that do not harbour or encourage the growth of vector populations and are protected by appropriate vector control measures.
- People avoid exposure to mosquitoes during peak biting times by using all nonharmful means available to them. Special attention is paid to protection of highrisk groups such as pregnant and feeding mothers, babies, infants, older people and the sick.
- People with treated mosquito nets use them effectively.
- Control of human body lice is carried out where louse-borne typhus or relapsing fever is a threat.
- Bedding and clothing are aired and washed regularly.
- Food is protected at all times from contamination by vectors such as flies, insects and rodents.



Vector control standard 2: physical, environmental and chemical protection measures (source: SPHERE)

- Displaced populations are settled in locations that minimise their exposure to mosquitoes.
- Vector breeding and resting sites are modified where practicable.
- Intensive fly control is carried out in high-density settlements when there is a risk or the presence of a diarrhoea epidemic.
- The population density of mosquitoes is kept low enough to avoid the risk of excessive transmission levels and infection.
- People infected with malaria are diagnosed early and receive treatment.



**Vector control standard 3: chemical control safety** (source: SPHERE)

- Personnel are protected by the provision of training, protective clothing, use of bathing facilities, supervision and a restriction on the number of hours spent handling chemicals.
- The choice, quality, transport and storage of chemicals used for vector control, the application equipment and the disposal of the substances follow international norms, and can be accounted for at all times.
- Communities are informed about the potential risks of the substances used in chemical vector control and about the schedule for application. They are protected during and after the application of poisons or pesticides, according to internationally agreed procedures.



**Solid waste management standard 1: solid waste collection and disposal** (source: SPHERE)

- People from the affected population are involved in the design and implementation of the solid waste programme.
- Household waste is put in containers daily for regular collection, burnt or buried in a specified refuse pit.
- All households have access to a refuse container and/or are no more than 100 metres from a communal refuse pit.
- At least one 100-litre refuse container is available per 10 families, where domestic refuse is not buried on-site.
- Refuse is removed from the settlement before it becomes a nuisance or a health risk.
- Medical wastes are separated and disposed of separately and there is a correctly designed, constructed and operated pit, or incinerator with a deep ash pit, within the boundaries of each health facility.
- There are no contaminated or dangerous medical wastes (needles, glass, dressings, drugs, etc.) at any time in living areas or public spaces.
- There are clearly marked and appropriately fenced refuse pits, bins or specified areas at public places, such as markets and slaughtering areas, with a regular collection system in place.
- Final disposal of solid waste is carried out in such a place and in such a way as to avoid creating health and environmental problems for the local and affected populations.



## **Drainage standard 1: drainage work** (source: SPHERE)

- Areas around dwellings and water points are kept free of standing wastewater, and stormwater drains are kept clear.
- Shelters, paths and water and sanitation facilities are not flooded or eroded by water.
- Water point drainage is well planned, built and maintained. This includes drainage from washing and bathing areas as well as water collection points.
- Drainage waters do not pollute existing surface or groundwater sources or cause erosion.
- Sufficient numbers of appropriate tools are provided for small drainage works and maintenance where necessary.



### Food security standard 1: general food security (source: SPHERE)

- Where people's lives are at risk through lack of food, responses prioritise meeting their immediate food needs.
- In all disaster contexts, measures are taken to support, protect and promote food security. This includes preserving productive assets or recovering those lost as the result of disaster.
- Responses that protect and support food security are based on sound analysis, in consultation with the disaster-affected community.
- Responses take account of people's coping strategies, their benefits and any associated risks and costs.
- Transition and exit strategies are developed for all food security responses to disaster, and are publicised and applied as appropriate.
- When a response supports the development of new or alternative livelihood strategies, all groups have access to appropriate support, including necessary knowledge, skills and services.
- Food security responses have the least possible degradative effect on the environment.
- Numbers of beneficiaries are monitored to determine the level of acceptance and access by different groups in the population and to ensure overall coverage of the affected population without discrimination.
- The effects of responses on the local economy, social networks, livelihoods and the environment are monitored, in addition to ongoing monitoring linked to programme objectives.



#### Food security standard 2: primary production (source: SPHERE)

- Interventions to support primary production are based on a demonstrated understanding of the viability of production systems, including access to and availability of necessary inputs and services.
- New technologies are introduced only where their implications for local production systems, cultural practices and environment are understood and accepted by food producers.
- Where possible, a range of inputs is provided in order to give producers more flexibility in managing production, processing and distribution and in reducing risks.
- Productive plant, animal or fisheries inputs are delivered in time, are locally acceptable and conform to appropriate quality norms.
- The introduction of inputs and services does not exacerbate vulnerability or increase risk, e.g. by increasing competition for scarce natural resources or by damaging existing social networks.
- Inputs and services are purchased locally whenever possible, unless this would adversely affect local producers, markets or consumers.
- Food producers, processors and distributors receiving project inputs make appropriate use of them.
- Responses understand the need for complementary inputs and services and provide these where appropriate.



### Food security standard 3: income and employment (source: SPHERE)

- Project decisions about timing, work activities, type of remuneration and the technical feasibility of implementation are based on a demonstrated understanding of local human resource capacities, a market and economic analysis, and an analysis of demand and supply for relevant skills and training needs.
- Responses providing job or income opportunities are technically feasible and all necessary inputs are available on time. Where possible, responses contribute to the food security of others and preserve or restore the environment.
- The level of remuneration is appropriate, and payments for waged labour are prompt, regular and timely. In situations of acute food insecurity, payments may be made in advance
- Procedures are in place to provide a safe, secure working environment.
- Projects involving large sums of cash include measures to avoid diversion and/or insecurity.
- Responses providing labour opportunities protect and support household caring responsibilities, and do not negatively affect the local environment or interfere with regular livelihood activities.
- The household management and use of remuneration (cash or food), grants or loans are understood and seen to be contributing towards the food security of all household members.



### Food security standard 4: access to markets (source: SPHERE)

- Food security responses are based on a demonstrated understanding of local markets and economic systems, which informs their design and, where necessary, leads to advocacy for system improvement and policy change.
- Producers and consumers have economic and physical access to operating markets, which have a regular supply of basic items, including food at affordable prices.
- Adverse effects of food security responses, including food purchases and distribution, on local markets and market suppliers are minimised where possible.
- There is increased information and local awareness of market prices and availability, of how markets function and the policies that govern this.
- Basic food items and other essential commodities are available.
- The negative consequences of extreme seasonal or other abnormal price fluctuations are minimised.



## General nutritional support standard 1: all groups (source: SPHERE)

- There is access to a range of foods staple (cereal or tuber), pulses (or animal products) and fat sources that meet nutritional requirements.
- There is access to vitamin A-, C- and iron-rich or fortified foods or appropriate supplements
- There is access to iodised salt for the majority (>90%) of households.
- There is access to additional sources of niacin (e.g. pulses, nuts, dried fish) if the staple is maize or sorghum.
- There is access to additional sources of thiamine (e.g. pulses, nuts, eggs) if the staple is polished rice.
- There is access to adequate sources of riboflavin where people are dependent on a very limited diet.
- Levels of moderate and severe malnutrition are stable at, or declining to, acceptable levels.
- There are no cases of scurvy, pellagra, beri-beri or riboflavin deficiency.
- Rates of xerophthalmia and iodine deficiency disorders are not of public health significance.



#### **General nutritional support standard 2: at-risk groups** (source: SPHERE)

- Infants under six months are exclusively breastfed or, in exceptional cases, have access to an adequate amount of an appropriate breast milk substitute.
- Children aged 6-24 months have access to nutritious, energy-dense complementary foods.
- Pregnant and breastfeeding women have access to additional nutrients and support.
- Specific attention is paid to the protection, promotion and support of the care and nutrition of adolescent girls.
- Appropriate nutritional information, education and training is given to relevant professionals, care givers and organisations on infant and child feeding practices.
- Older people's access to appropriate nutritious foods and nutritional support is protected, promoted and supported.
- Families with chronically ill members, including people living with HIV/AIDS, and members with specific disabilities have access to appropriate nutritious food and adequate nutritional support.
- Community-based systems are in place to ensure appropriate care of vulnerable individuals.



## **Correction of malnutrition standard 1: moderate malnutrition** (source: SPHERE)

- From the outset, clearly defined and agreed objectives and criteria for set-up and closure of the programme are established.
- Coverage is >50% in rural areas, >70% in urban areas and >90% in a camp situation.
- More than 90% of the target population is within <1 day's return walk (including time for treatment) of the distribution centre for dry ration supplementary feeding programmes and no more than 1 hour's walk for on-site supplementary feeding programmes.
- The proportion of exits from targeted supplementary feeding programmes who have died is <3%, recovered is >75% and defaulted is <15%.
- Admission of individuals is based on assessment against internationally accepted anthropometric criteria.
- Targeted supplementary feeding programmes are linked to any existing health structure and protocols are followed to identify health problems and refer accordingly.
- Supplementary feeding is based on the distribution of dry take-home rations unless there is a clear rationale for on-site feeding.
- Monitoring systems are in place.



## Correction of malnutrition standard 2: severe malnutrition (source: SPHERE)

- From the outset, clearly defined and agreed criteria for set-up and closure of the programme are established.
- Coverage is >50% in rural areas, >70% in urban areas and >90% in camp situations.
- The proportion of exits from therapeutic care who have died is <10%, recovered is >75% and defaulted is <15%.
- Discharge criteria include non-anthropometric indices such as good appetite and the absence of diarrhoea, fever, parasitic infestation and other untreated illness.
- Mean weight gain is >8g per kg per person per day.
- Nutritional and medical care is provided according to internationally recognised therapeutic care protocols.
- As much attention is attached to breastfeeding and psychosocial support, hygiene and community outreach as to clinical care.
- There should be a minimum of one feeding assistant for 10 inpatients.
- Constraints to caring for malnourished individuals and affected family members should be identified and addressed.



**Correction of malnutrition standard 3: micronutrient malnutrition** (source: SPHERE)

- All clinical cases of deficiency diseases are treated according to WHO micronutrient supplementation protocols.
- Procedures are established to respond efficiently to micronutrient deficiencies to which the population may be at risk.
- Health staff are trained in how to identify and treat micronutrient deficiencies to which the population is most at risk.



## Food aid planning standard 1: ration planning (source: SPHERE)

- \_ Rations for general distribution are designed on the basis of the standard initial planning requirements for energy, protein, fat and micronutrients, adjusted as necessary to the local situation (see guidance note 1; see also General nutrition support standards on pages 137-144 and Appendix 7).
- \_The ration distributed reduces or eliminates the need for disaster affected people to adopt damaging coping strategies.
- \_ When relevant, the economic transfer value of the ration is calculated and is appropriate to the local situation



### Food aid planning standard 2: appropriateness and acceptability (source: SPHERE)

- People are consulted during assessment or programme design on the acceptability, familiarity and appropriateness of food items, and results are factored into programme decisions on the choice of commodities.
- When an unfamiliar food is distributed, instructions on its preparation in a locally palatable manner, with minimum nutrient loss, are provided to women and other people who prepare food, preferably in the local language.
- People's ability to access cooking fuel and water, and the duration of cooking times and requirements for soaking, are considered when selecting commodities for distribution.
- When a whole grain cereal is distributed, recipients either have the means to mill or
  process it in a traditional home-based manner or have access to adequate milling/
  processing facilities reasonably close to their dwellings.
- People have access to culturally important items, including condiments.
- There is no distribution of free or subsidised milk powder or of liquid milk as a single commodity.



Food aid planning standard 3: food quality and safety (source: SPHERE)

- Food commodities conform to national (recipient country) and other internationally accepted standards.
- All imported packaged food has a minimum six-month shelf life on arrival in the country and is distributed before the expiry date or well within the 'best before' period.
- There are no verifiable complaints about the quality of food distributed.
- Food packaging is sturdy, convenient for handling, storage and distribution, and is not a hazard for the environment.
- Food packages are labelled in an appropriate language with, for packaged foods, the date of production, the 'best before' date and details of the nutrient content.
- Storage conditions are adequate and appropriate, stores are properly managed and routine checks on food quality are carried out in all locations.



## Food aid management standard 1: food handling (source: SPHERE)

- There are no adverse health effects resulting from inappropriate food handling or preparation at any distribution site.
- Recipients of food aid are informed about and understand the importance of food hygiene.
- There are no complaints concerning difficulties in storing, preparing, cooking or consuming the food distributed.
- Every household has access to appropriate cooking utensils, fuel and hygiene materials.
- Individuals who cannot prepare food or cannot feed themselves have access to a carer who prepares appropriate food in a timely manner and administers feeding where necessary.
- Where food is distributed in cooked form, staff have received training in safe storage, handling of commodities and the preparation of food and understand the potential health hazards caused by improper practices.



## Food aid management standard 2: supply chain management (source: SPHERE)

- Food aid resources reach the intended beneficiaries.
- An assessment is made of local supply chain management (SCM) capabilities and logistics infrastructure and a co-ordinated, efficient SCM system is established, using local capacity where this is feasible.
- The assessment considers the availability of locally sourced food commodities.
- The award of contracts for SCM services is transparent, fair and open.
- Staff at all levels of the SCM system are adequately trained and observe procedures relating to food quality and safety.
- Appropriate inventory accounting, reporting and financial systems are in place to ensure accountability at all levels of the SCM system
- Care is taken to minimise losses, including through theft, and all losses are accounted for.
- The food pipeline is monitored and maintained in such a way that any interruption to distribution is avoided.
- Information on the performance of the supply chain is provided to all stakeholders on a regular basis.



## Food aid management standard 3: distribution (source: SPHERE)

- Recipients of food aid are identified and targeted on the basis of need, by means
  of an assessment carried out through consultation with stakeholders, including
  community groups
- Efficient and equitable distribution methods are designed in consultation with local groups and partner organisations, and involve the various recipient groups.
- The point of distribution is as close as possible to recipients' homes to ensure easy access and safety.
- Recipients are informed well in advance of the quality and quantity of the food ration and the distribution plan.
- The performance and effectiveness of the food aid programme are properly monitored and evaluated.



### **Shelter and settlement standard 1: strategic planning** (source: SPHERE)

- Affected households return to the site of their original dwellings where possible.
- Affected households who cannot return to the site of their original dwellings settle independently within a host community or with host families where possible.
- Affected households who cannot return to the site of their original dwellings or who cannot settle independently within a host community or with host families are accommodated in mass shelters or in temporary planned or self-settled camps.
- Actual or potential threats to the security of the affected population are assessed, and the dwellings or settlements are located at a safe distance from any such external threats.
- Risks from natural hazards including earthquakes, volcanic activity, landslides, flooding or high winds are minimised, and the area is not prone to diseases or significant vector risks.
- Locations are free of potentially hazardous equipment or material, and existing hazards such as dangerous structures, debris or unstable ground are identified and made safe, or access is restricted and guarded.
- Land and property ownership and/or use rights for buildings or locations are established prior to occupation and permitted use is agreed as necessary.
- Water and sanitation services, and social facilities including health care, schools and places of worship, are available or can be satisfactorily provided.
- The transportation infrastructure provides access to the settlement for personal movement and the provision of services.
- Where possible, households can access land, markets or services for the continuation or development of livelihood support activities.



### **Shelter and settlement standard 2: physical planning** (source: SPHERE)

- Area or cluster planning by family, neighbourhood or village groups as appropriate supports existing social networks, contributes to security and enables selfmanagement by the affected population.
- All members of the affected population have safe access to water, sanitary facilities, health care, solid waste disposal, graveyards and social facilities, including schools, places of worship, meeting points and recreational areas.
- Temporary planned or self-settled camps are based on a minimum surface area of 45m2 for each person.
- The surface topography is used or augmented to facilitate water drainage, and the ground conditions are suitable for excavating toilet pits where this is the primary sanitation system.
- There are roads and pathways to provide safe, secure and all-weather access to the individual dwellings and facilities.
- Mass shelters have openings to enable required access and emergency evacuation, and these openings are positioned so that access is well supervised and does not pose a security threat to occupants.
- Vector risks are minimised.



**Shelter and settlement standard 3: covered living space** (source: SPHERE)

- The initial covered floor area per person is at least 3.5m2.
- The covered area enables safe separation and privacy between the sexes, between different age groups and between separate families within a given household as required.
- Essential household activities can be carried out within the shelter.
- Key livelihood support activities are accommodated where possible.



### **Shelter and settlement standard 4: design** (source: SPHERE)

- The design of the shelter and the materials used are familiar where possible and culturally and socially acceptable.
- The repair of existing damaged shelters or the upgrading of initial shelter solutions constructed by the disaster-affected population is prioritised.
- Alternative materials required to provide temporary shelter are durable, practical and acceptable to the affected population.
- The type of construction, materials used and the sizing and positioning of openings provides optimal thermal comfort and ventilation.
- Access to water supply sources and sanitation facilities, and the appropriate provision of rainwater harvesting, water storage, drainage and solid waste management, complement the construction of shelters.
- Vector control measures are incorporated into the design and materials are selected to minimise health hazards.



#### **Shelter and settlement standard 5: construction** (source: SPHERE)

- Locally sourced materials and labour are used without adversely affecting the local economy or environment.
- Locally derived standards of workmanship and materials are achieved.
- Construction and material specifications mitigate against future natural disasters.
- The type of construction and materials used enable the maintenance and upgrading of individual household shelters using locally available tools and resources.
- The procurement of materials and labour and the supervision of the construction process are transparent, accountable and in accordance with internationally accepted bidding, purchasing and construction administration practices.



## **Shelter and settlement standard 6: environmental impact** (source: SPHERE)

- The temporary or permanent settling of the affected population considers the extent of the natural resources available.
- Natural resources are managed to meet the ongoing needs of the displaced and host populations.
- The production and supply of construction material and the building process minimises the long-term depletion of natural resources.
- Trees and other vegetation are retained where possible to increase water retention, minimise soil erosion and to provide shade.
- The locations of mass shelters or temporary planned camps are returned to their original condition, unless agreed otherwise, once they are no longer needed for emergency shelter use.



## Non-food items standard 1: clothing and bedding (source: SPHERE)

- Women, girls, men and boys have at least one full set of clothing in the correct size, appropriate to the culture, season and climate.
- Infants and children up to two years old also have a blanket of a minimum 100cmx70cm.
- People have access to a combination of blankets, bedding or sleeping mats to provide thermal comfort and to enable separate sleeping arrangements as required.
- Those individuals most at risk have additional clothing and bedding to meet their needs.
- Culturally appropriate burial cloth is available when needed.



Non-food items standard 2: personal hygiene (source: SPHERE)

- Each person has access to 250g of bathing soap per month.
- Each person has access to 200g of laundry soap per month.
- Women and girls have sanitary materials for menstruation.
- Infants and children up to two years old have 12 washable nappies or diapers where these are typically used.
- Additional items essential for ensuring personal hygiene, dignity and well-being can be accessed.



Non-food items standard 3: cooking and eating utensils (source: SPHERE)

- Each household has access to a large-sized cooking pot with handle and a pan to act as a lid; a medium-sized cooking pot with handle and lid; a basin for food preparation or serving; a kitchen knife; and two wooden serving spoons.
- Each household has access to two 10- to 20-litre water collection vessels with a lid or cap (20-litre jerry can with a screw cap or 10-litre bucket with lid), plus additional water or food storage vessels.
- Each person has access to a dished plate, a metal spoon and a mug or drinking vessel.



## Non-food items standard 4: stoves, fuel and lighting (source: SPHERE)

- Where food is cooked on an individual household basis, each household has a stove and fuel to meet essential cooking and heating needs.
- Environmentally and economically sustainable sources of fuel are identified and prioritised over fuel provided from external sources.
- Fuel is obtained in a safe and secure manner, and there are no reports of incidents of harm to people in the routine collection of fuel.
- Safe fuel storage space is available.
- Each household has access to sustainable means of providing artificial lighting, e.g. lanterns or candles.
- Each household has access to matches or a suitable alternative means of igniting fuel or candles, etc.



## Non-food items standard 5: tools and equipment (source: SPHERE)

- Where responsible for constructing part or all of their shelters or for carrying out essential maintenance, each household has access to tools and equipment to safely undertake each task.
- Training or guidance in the use of the tools and in the shelter construction or maintenance tasks required is provided where necessary.
- Materials to reduce the spread of vector-borne disease, such as impregnated mosquito nets, are provided to protect each member of the household (see Vector control standards 1-3).



# Health systems and infrastructure standard 1: prioritising health services (source: SPHERE)

- The major causes of mortality and morbidity are identified, documented and monitored.
- Priority health services include the most appropriate and effective interventions to reduce excess morbidity and mortality.
- All members of the community, including vulnerable groups, have access to priority health interventions.
- Local health authorities and community members participate in the design and implementation of priority health interventions.
- There is active collaboration with other sectors in the design and implementation of priority health interventions, including water and sanitation, food security, nutrition, shelter and protection.
- The crude mortality rate (CMR) is maintained at, or reduced to, less than twice the baseline rate documented for the population prior to the disaster.
- The under-5 mortality rate (U5MR) is maintained at, or reduced to, less than twice the baseline rate documented for the population prior to the disaster.



# Health systems and infrastructure standard 2: supporting national and local health systems

(source: SPHERE)

- Representatives of the Ministry of Health lead the health sector response, whenever possible.
- When the Ministry of Health lacks the necessary capacity, an alternate agency with the requisite capacity is identified to take the lead in the health sector.
- Local health facilities are supported and strengthened by responding agencies.
- Local health workers are supported and integrated into health services, taking account of gender and ethnic balance.
- Health services incorporate or adapt the existing national standards and guidelines of the disaster-affected or host country.
- No alternate or parallel health facilities and services are established, including foreign field hospitals, unless local capacities are exceeded or the population does not have ready access to existing services. The lead health authority is consulted on this issue.



Health systems and infrastructure standard 3: coordination (source: SPHERE)

- Coordination mechanisms are established at central level (national or regional) and at field level within the health sector, and between health and other sectors.
- Specific responsibilities of each health agency are clarified and documented in consultation with the lead health authority to ensure optimal coverage of the population and complementarity of services.
- Regular health sector coordination meetings are held for local and external partners at both central and field levels.



Health systems and infrastructure standard 4: primary health care (source: SPHERE)

- All people have access to health information that allows them to protect and promote their own health and well-being.
- Health services are provided at the appropriate level of the health system: household/community, peripheral health facilities, central health facilities, referral hospital.
- A standardised referral system is established by the lead health authority and utilised by health agencies. Suitable transportation is organised for patients to reach the referral facility.
- Health services and interventions are based on scientifically sound methods and are evidence-based, whenever possible.
- Health services and interventions utilise appropriate technology, and are socially and culturally acceptable.



## Health systems and infrastructure standard 5: clinical services (source: SPHERE)

- The number, level and location of health facilities are appropriate to meet the needs of the population.
- The number, skills and gender/ethnic balance of staff at each health facility are appropriate to meet the needs of the population.
- Adequate staffing levels are achieved so that clinicians are not required to consistently consult on more than 50 patients per day. If this threshold is regularly exceeded, additional clinical staff are recruited.
- Utilisation rates at health facilities are monitored and corrective measures taken if there is over- or under-utilisation.
- Standardised case management protocols are established by the lead health authority, and adhered to by health agencies.
- A standardised essential drug list is established by the lead health authority, and adhered to by health agencies.
- Clinical staff are trained and supervised in the use of the protocols and the essential drug list
- People have access to a consistent supply of essential drugs through a standardised drug management system that follows accepted guidelines.
- Drug donations are accepted only if they follow internationally recognised guidelines. Donations that do not follow these guidelines are not used and are disposed of safely.
- Bodies of the deceased are disposed of in a manner that is dignified, culturally appropriate and is based on good public health practice.



# Health systems and infrastructure standard 6: health information systems (source: SPHERE)

- A standardised health information system (HIS) is implemented by all health agencies to routinely collect relevant data on demographics, mortality, morbidity and health services.
- A designated HIS coordinating agency (or agencies) is identified to organise and supervise the system.
- Health facilities and agencies submit surveillance data to the designated HIS
  coordinating agency on a regular basis. The frequency of these reports will vary
  according to the context, e.g. daily, weekly, monthly.
- A regular epidemiological report, including analysis and interpretation of the data, is produced by the HIS coordinating agency and shared with all relevant agencies, decision-makers and the community. The frequency of the report will vary according to the context, e.g. daily, weekly, monthly.
- Agencies take adequate precautions for the protection of data to guarantee the rights and safety of individuals and/or populations.
- The HIS includes an early warning component to ensure timely detection of and response to infectious disease outbreaks (see Control of communicable diseases standard 5).
- Supplementary data from other relevant sources are consistently used to interpret surveillance data and to guide decision-making.



**Control of communicable diseases standard 1: prevention** (source: SPHERE)

- General prevention measures are developed and implemented in coordination with other relevant sectors.
- Community health education messages provide individuals with information on how to prevent common communicable diseases and how to access relevant services (see Health systems and infrastructure standard 4).
- Specific prevention measures, such as a mass measles vaccination campaign and Expanded Programme on Immunisation (EPI), are implemented as indicated.



#### Control of communicable diseases standard 2: measles prevention (source: SPHERE)

- An estimation of measles vaccination coverage of children aged 9 months to 15
  years is made at the outset of the emergency response, to determine the prevalence
  of susceptibility to measles.
- If vaccination coverage is estimated to be less than 90%, a mass measles vaccination campaign for children aged 6 months to 15 years (including administration of vitamin A to children aged 6-59 months) is initiated. The vaccination campaign is coordinated with national and local health authorities, including the Expanded Programme on Immunisation.
- Upon completion of the campaign:
  - at least 95% of children aged 6 months to 15 years have received measles vaccination;
  - at least 95% of children aged 6-59 months have received an appropriate dose of vitamin A.
- All infants vaccinated between 6-9 months of age receive another dose of measles vaccine upon reaching 9 months.
- Routine ongoing vaccination of 9-month-old children is established to ensure the maintenance of the minimum 95% coverage. This system is linked to the Expanded Programme on Immunisation.
- For mobile or displaced populations, an ongoing system is established to ensure that at least 95% of newcomers aged between 6 months and 15 years receive vaccination against measles.



Control of communicable diseases standard 3: diagnosis and case management (source: SPHERE)

- Standardised case management protocols for diagnosis and treatment of the most common infectious diseases are consistently used (see also Health systems and infrastructure standard 5).
- Public health education messages encourage people to seek early care for fever, cough, diarrhoea, etc., especially children, pregnant women and older people.
- In malaria-endemic regions, a protocol is established to ensure early (<24 hours) diagnosis of fever cases and treatment with highly effective first-line drugs.
- Laboratory services are available and utilised when indicated.
- A tuberculosis control programme is introduced only after consideration of recognised criteria.



Control of communicable diseases standard 4: outbreak preparedness (source: SPHERE)

- An outbreak investigation and control plan is prepared.
- Protocols for the investigation and control of common outbreaks are available and distributed to relevant staff.
- Staff receive training in the principles of outbreak investigation and control, including relevant treatment protocols.
- Reserve stocks of essential drugs, medical supplies, vaccines and basic protection material are available and can be procured rapidly.
- Sources of vaccines for relevant outbreaks (e.g. measles, meningococcal meningitis, yellow fever) are identified for rapid procurement and use. Mechanisms for rapid procurement are established.
- Sites for the isolation and treatment of infectious patients are identified in advance, e.g. cholera treatment centres.
- A laboratory is identified, whether locally, regionally, nationally or in another country, that can provide confirmation of diagnoses.
- Sampling materials and transport media for the infectious agents most likely to cause a sudden outbreak are available on-site, to permit transfer of specimens to an appropriate laboratory. In addition, several rapid tests may be stored on-site.



Control of communicable diseases standard 5: outbreak detection, investigation and response (source: SPHERE)

- The health information system (HIS) includes an early warning component.
- Initiation of outbreak investigation occurs within 24 hours of notification.
- The outbreak is described according to time, place and person, leading to the identification of high-risk groups. Adequate precautions are taken to protect the safety of both individuals and data.
- Appropriate control measures that are specific to the disease and context are implemented as soon as possible.
- Case fatality rates are maintained at acceptable levels:

- cholera: 1% or lower

- Shigella dysentery: 1% or lower

typhoid: 1% or lower

meningococcal meningitis: varies.



#### **Control of communicable diseases standard 6: HIV/AIDS** (source: SPHERE)

- People have access to the following essential package of services during the disaster phase:
  - free male condoms and promotion of proper condom use;
  - universal precautions to prevent iatrogenic/nosocomial transmission in emergency and health-care settings;
  - safe blood supply;
  - relevant information and education so that individuals can take steps to protect themselves against HIV transmission;
  - syndromic case management of sexually transmitted infections (STIs);
  - prevention and management of the consequences of sexual violence;
  - basic health care for people living with HIV/AIDS (PLWH/A).
- Plans are initiated to broaden the range of HIV control services in the postdisaster phase.



## **Control of non-communicable diseases standard 1: injury** (source: SPHERE)

- In situations with a large number of injured patients, a standardised system of triage is established to guide health care providers on assessment, prioritisation, basic resuscitation and referral.
- Standardised guidelines for the provision of first aid and basic resuscitation are established.
- Standardised protocols for the referral of injured patients for advanced care, including surgery, are established. Suitable transportation is organised for patients to reach the referral facility.
- Definitive trauma and surgical services are established only by agencies with appropriate expertise and resources.
- In situations with a potentially large number of injured patients, contingency plans for the management of multiple casualties are developed for relevant health care facilities. These plans are related to district and regional plans.



**Control of non-communicable diseases standard 2: reproductive health** (source: SPHERE)

- An organisation(s) and individual(s) are identified to facilitate the coordination and implementation of the MISP in consultation with the lead health authority.
- Steps are taken by health agencies to prevent and manage the consequences of gender-based violence (GBV), in coordination with other relevant sectors, especially protection and community services.
- The number of cases of sexual and other forms of GBV reported to health services, protection and security officers is monitored and reported to a designated lead GBV agency (or agencies). Rules of confidentiality are applied to data collection and review.
- The minimum package of services to prevent the transmission of HIV/AIDS is implemented (see Control of communicable diseases standard 6).
- Adequate numbers of clean delivery kits, based on the estimated number of births in a given time period, are available and distributed to visibly pregnant women and skilled/traditional birth attendants to promote clean home deliveries.
- Adequate numbers of midwife delivery kits (UNICEF or equivalent) are distributed to health facilities to ensure clean and safe deliveries.
- A standardised referral system is established and promoted within the community, incorporating midwives and skilled/traditional birth attendants, to manage obstetric emergencies. Suitable transportation is organised for patients to reach the referral facility.
- Plans are initiated to implement a comprehensive range of reproductive health services integrated into primary health care as soon as possible.



Control of non-communicable diseases standard 3: mental and social aspects of health (source: SPHERE)

- People have access to an ongoing, reliable flow of credible information on the disaster and associated relief efforts.
- Normal cultural and religious events are maintained or re-established (including grieving rituals conducted by relevant spiritual and religious practitioners). People are able to conduct funeral ceremonies.
- As soon as resources permit, children and adolescents have access to formal or informal schooling and to normal recreational activities.
- Adults and adolescents are able to participate in concrete, purposeful, common interest activities, such as emergency relief activities.
- Isolated persons, such as separated or orphaned children, child combatants, widows and widowers, older people or others without their families, have access to activities that facilitate their inclusion in social networks.
- When necessary, a tracing service is established to reunite people and families.
- Where people are displaced, shelter is organised with the aim of keeping family members and communities together.
- The community is consulted regarding decisions on where to locate religious places, schools, water points and sanitation facilities. The design of settlements for displaced people includes recreational and cultural space (see Shelter and settlement standards 1-2).



**Key psychological and psychiatric intervention indicators** (source: SPHERE) (to be read in conjunction with the guidance notes)

- Individuals experiencing acute mental distress after exposure to traumatic stressors have access to psychological first aid at health service facilities and in the community.
- Care for urgent psychiatric complaints is available through the primary health care system. Essential psychiatric medications, consistent with the essential drug list, are available at primary care facilities.
- Individuals with pre-existing psychiatric disorders continue to receive relevant treatment, and harmful, sudden discontinuation of medications is avoided. Basic needs of patients in custodial psychiatric hospitals are addressed.
- If the disaster becomes protracted, plans are initiated to provide a more comprehensive range of community-based psychological interventions for the post-disaster phase.



Control of non-communicable diseases standard 4: chronic diseases (source: SPHERE)

- A specific agency (or agencies) is designated to coordinate programmes for individuals with chronic diseases for which an acute cessation of therapy is likely to result in death.
- Individuals with such chronic diseases are actively identified and registered.
- Medications for the routine, ongoing management of chronic diseases are available through the primary health care system, provided that these medications are specified on the essential drug list.



## Reporting (source: WFP)

 What are the type and frequency of reporting for the operation, including periodic participatory appraisals? Were reports submitted on time? Were they complete? What problems were experienced? Is the information analysed and used to make decisions regarding the management of the operation?

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Fisheries (source: USAID/OFDA, Program guidelines 2006)

## **Capture Fisheries:**

- Number of people provided fishing or processing equipment
- Number of people trained
- Number of kilograms of fish captured/fisher/month
- Average number of kilograms of fish consumed/week/fisher household
- Average monthly income from captured fish/fisher or household Aquaculture:
- Number of fish farmers provided equipment
- Number of fish farmers trained
- Number of kilograms of fish harvested/fish farmer or household/six-month period
- Average number of kilograms of fish consumed/week/fish farmer household
- Average income (in USD) from fish sales/fish farmer/week



Livestock (source: USAID/OFDA, Program guidelines 2006)

- Number and percentage of targeted animals vaccinated
- Number of CAHWs trained
- Number of beneficiaries provided equipment



Pests and Pesticides (source: USAID/OFDA, Program guidelines 2006)

- Number of hectares treated against target pests
- Number of types of crops/pasture saved/protected against
- Liters/kilograms of obsolete and unusable pesticides removed and/or disposed safely
- Number of empty pesticide containers collected and disposed safely
- Number of farmers/pastoralists trained in ETOP operations



**Seed Systems and Agricultural Inputs** (source: USAID/OFDA, Program guidelines 2006)

- Actual number of hectares (ha) planted with distributed seeds
- Number and percent of seed recipient farmers with sufficient seeds to plant fields for next agricultural seasons
- Number of months of food self-sufficiency due to distributed seed production for beneficiary families
- Number of gardens planted with distributed seed
- Number of seedlings provided



**Veterinary Medicines and Vaccines** (source: USAID/OFDA, Program guidelines 2006)

- Number of veterinary diseases/conditions identified
- Prevalence of disease in area of intervention, represented as both the percentage of total herd as well as the total number of affected animals.
- Number of interventions, treatments or vaccinations administered.
- Increase in number and percentage of animals vaccinated, by type, from baseline of pre-program numbers vaccinated



**Economic Recovery (LRRD)** (source: USAID/OFDA, Program guidelines 2006)

#### **Individual Level**

- USD amount increase in purchasing power per beneficiary. This may consist of the total voucher amount per beneficiary, cash distribution amount, or cash-for-work payout. Note: For Cash-for-work payout, the "average pay/beneficiary over the life of the project" is preferable to "pay/beneficiary/day."

#### **Market Level**

- Number of markets restored
- Kilometers of roads rehabilitated
- Number of fairs
- Total USD grant amount of fairs

#### **Local Economy Level**

- Total value in USD of all assistance provided directly to beneficiaries. This may consist of the sum of all cash-for-work salaries, cash distribution, vouchers, and value of locally-procured commodities. This indicator is designed to estimate the amount of money that is infused into the local economy through beneficiary-oriented activities. The indicator should not include staff salaries, operation expenses (office rent, vehicle rental, etc.), office supplies, etc.



Health (General Indicators) (source: USAID/OFDA, Program guidelines 2006)

- Number of USAID/OFDA-supported health facilities providing services to manage the most common diseases causing morbidity and mortality in the target population, including maternal and neonatal health
- Number of health providers and/or community members trained in areas such as the prevention and management of the most common diseases causing morbidity and mortality, maternal and neonatal health, EPI, HIV/AIDS prevention, and health education
- Utilization rates of USAID/OFDA supported health facilities
- Reduction in CMR or CDR with a target of less than 2x baseline or ≤1/10,000/day if baseline unknown)
- Reduction in U5MR or 0-5DR maintained or reduced (target less than 2x baseline or U5MR ≤2/10,000/day if baseline unknown.)



Child Health (source: USAID/OFDA, Program guidelines 2006)

#### Malaria (in malaria endemic countries)

• Number and percent of total population, pregnant women, and < 5 effectively treated for malaria with appropriate anti-malarial -Percent of coverage with ITNs of target population (total, <5 and pregnant women) -Percent utilization of ITNs in target population (total, <5 and pregnant women) -Incidence rate of malaria (total, <5 and pregnant women) -Proportional morbidity from malaria (total, <5 and pregnant women) -Proportional mortality from malaria (total, <5 and pregnant women) Acute Respiratory Tract Infections (ARI) -Number and percent of population < 5 effectively treated for ARI with appropriate antibiotic -Proportional morbidity of children < 5 years of age from ARI Diarrhea -Number and percent of population < 5 effectively treated for diarrhea with ORT and zinc (antibiotic for dysentery) at the health facility and/or community level -Percentage of children exclusively breastfed for at least 6 months or continued feeding -Incidence rate of diarrhea -Proportional morbidity of children < 5 years of age from diarrhea -Proportional mortality of children < 5 years of age from diarrhea



Maternal Health (source: USAID/OFDA, Program guidelines 2006)

- Number of providers trained in management of clean deliveries and detection of danger signs. (Indicate the type of provider, such as midwife or TBA.)
- Percentage of pregnant women who have attended at least 2 ANC visits
- Percentage of pregnant women receiving iron and folic acid at the ANC
- Percentage of pregnant women who received a clean delivery kit
- Percentage of women vaccinated with tetanus toxoid (TT2)
- Percentage of pregnant women in their 2nd and 3rd trimester attending an ANC who receive intermittent presumptive therapy for malaria -Percentage of pregnant women utilizing ITNs
- Percentage of pregnant women who deliver assisted by a trained provider (indicate type of provider such as midwife, TBA)
- Referral system for obstetrical emergencies in place
- Percentage of women who attend at least one postpartum visit with trained provider (including provision of Vitamin A where appropriate)
- Maternal mortality ratio (MMR) -Neonatal mortality rate



## **Expanded Program of Immunization (EPI)**

(source: USAID/OFDA, Program guidelines 2006)

- Immunization coverage <1 year age (DPT3, Polio3).
- Measles immunization coverage, ages 6 month to 15 years old.
- Vitamin A coverage, 6 to 59 months.



Health Education (source: USAID/OFDA, Program guidelines 2006)

- Number of CHW trained in the prevention and community based management of diarrhea, ARI, malaria, measles, and maternal and infant health
- Number of health education and promotion sessions (or number of population targeted) provided to communities
- Percentage of target population properly washing hands at appropriate times (see hygiene section of WASH for more details)
- Percentage of target population with knowledge of and practicing two methods to prevent diarrhea
- Percentage of population properly managing diarrhea at home
- Percentage of women exclusively breastfeeding for six months
- Percentage of target population able to identify the transmission and prevention of malaria
- Percentage of utilization rate of ITNs in total population, children under 5, and pregnant women
- Percentage of target population with knowledge of when to seek care for children with respiratory difficulty, fever and diarrhea (dehydration), complications of pregnancy



HIV/AIDS source: USAID/OFDA, Program guidelines 2006)

- Number of providers (indicate type of provider, such as CHW, midwives, or nurses) trained in the prevention of HIV/AIDS and STIs
- Number of health education sessions (or number of population targeted) provided to communities
- Percentage of target population with the knowledge of two types of transmission and prevention of HIV/AIDS
- Percentage of health facilities were standard precautions are routinely practiced
- Percentage of referral centers with safe blood supply (based on laboratory validation)



**Essential Medicines / Pharmaceuticals** (source: USAID/OFDA, Program guidelines 2006)

- Number of patients treated for a particular targeted disease or condition.
- Number of facilities where prescription records kept for medicines dispensed
- Number of healthcare providers involved in project, including Physicians, Pharmacists, Nurses, Dentists, and Midwives.



**Community Therapeutic Care** (source: USAID/OFDA, Program guidelines 2006)

- General -GAM and SAM rates decreased to pre-crisis level. (Provide current crisis level and pre-crisis data.)
- CTC program as a whole:
  - Coverage rate: in rural areas >70%; in urban areas >70%; in IDP camps > 90%
- Number of beneficiaries treated in the community-based therapeutic care program, disaggregated by age, under- fives, and adults and disaggregated by patients treated in the stabilization centers and the outpatient therapeutic programs Particular to Outpatient Therapeutic Programs (OTP) -Default rate: <15%</li>
- Death rate: <10% -Average length of stay in OTP: <60 days -Weight gain: >4g/kg/day Particular to Stabilization Centers (SC) -Average length of stay in SC 4-7 days
- Referrals to hospital are <10% of exits



Nutrition Education (source: USAID/OFDA, Program guidelines 2006)

• Number of beneficiaries receiving nutrition education. -Percentage change in practice pertaining to nutrition education topics. -Number of health care providers trained in the treatment of moderate and severe acute malnutrition



Supplementary Feeding Programs (source: USAID/OFDA, Program guidelines 2006)

- MAM rates decreased to pre-crisis level. (Provide current crisis level and pre-crisis data, focusing on moderate acute malnutrition rates.)
- Stand Alone SFP: Coverage rate: in rural areas >50%; in urban areas >70%; in IDP camps >90% (Sphere Guidelines)
- If the SFP is part of a CTC program then the coverage rate should be as follows: in rural areas >70%; in urban areas >70%; in IDP camps >90% -Default rate: <15%
- Cure rate: >75% -Death rate: <3% -Number of beneficiaries treated in the SFP (disaggregated by under-fives and adults)



**Therapeutic Feeding Programs** (source: USAID/OFDA, Program guidelines 2006)

- SAM rates decreased to pre-crisis level (provide current crisis level and pre-crisis data)
- Number of beneficiaries treated in the TFP (disaggregated by under- fives and adults)
- Coverage rate: in rural areas >50%; in urban areas >70%; in IDP camps > 90%
- Default rate: <15% -Death rate: <10% -Cure rate: >75%



**Child-Friendly Spaces and/or Youth Centers** (source: USAID/OFDA, Program guidelines 2006)

- Number of spaces created.
- Percent of targeted children using the spaces/centers. -Number of youth trained in a vocation.



## Coordination, Personnel, and/or Advocacy

(source: USAID/OFDA, Program guidelines 2006)

- Number of protection officers provided.
- Numbers of policies or procedures modified as a result of this program to include protection language.



Family Reunification and/or Child Tracing (source: USAID/OFDA, Program guidelines 2006)

- Number of children united with their families.
- Number of systems established to coordinate reunification and tracing.



### Gender-Based Violence and/or Women's Centers

(source: USAID/OFDA, Program guidelines 2006)

- Number and type of GBV services made available to targeted population.
- Number of complex GBV cases successfully referred to specialists.
- Number of women trained/sensitized in GBV issues
- Number of men trained/sensitized in GBV issues.



**Psychosocial Services** (source: USAID/OFDA, Program guidelines 2006)

- Percentage of targeted participants returning to productive family and community roles and responsibilities.
- Numbers of individuals experiencing acute mental distress provided psychological first aid at health service facilities or in the community.
- Number of individuals with psychiatric disorders referred to specialists and equipped facilities.



Hydrometeorological Disasters (source: USAID/OFDA, Program guidelines 2006)

- Percent improvement in the lead time for potential hydrometeorological hazards.
- Number and percentage of participants retaining information gained during training.
- Number of policies/procedures improved as a result of the program.
- Number of people trained in hydrometeorological -related activities.
- Number of people who will benefit from proposed hydrometeorological activities.



**Geological Disasters** (source: USAID/OFDA, Program guidelines 2006)

- Number of people who will benefit from proposed geologic-disaster related activities.
- Percent improvement in warning time for potential geologic events.
- Number of policies or procedures modified as a result of the program to increase the preparedness for geologic events.
- Number of people trained to reduce the impact of geologic events.



**Technological Disasters** (source: USAID/OFDA, Program guidelines 2006)

- Number of people who will benefit from proposed activities.
- Number of people who have retained knowledge obtained during training three months after the training.
- Number of policies/procedures that have been modified to reduce risks to technological disasters.
- Number of people trained on responding or prevention of technological disasters.



## Disaster Preparedness, Mitigation, and Management

(source: USAID/OFDA, Program guidelines 2006)

- Percent improvement in time in responding to disaster.
- Percent reduction in disaster response time.
- Number of people retaining knowledge gained three months after training.
- Change in the policies, legislation, regulations or behavior of communities, local and regional entities on disaster risk reduction and management.
- Number of national hazard risk reduction plans or policies developed.
- Number of people trained in disaster risk reduction and management.
- Number of people who will benefit from reduced risk.



Camp Design and Management (source: USAID/OFDA, Program guidelines 2006)

- Number of households receiving shelter according to Sphere Guidelines.
- Percentage of total affected population receiving shelter assistance.
- Amount and percentage of approved project budget spent in affected local economy



**Emergency Shelter** (source: USAID/OFDA, Program guidelines 2006)

- Number of households receiving shelter according to Sphere Guidelines
- Percentage of total affected population receiving shelter assistance
- Amount and percentage of approved project budget spent in the affected economy



## **Shelter Hazard Mitigation and Environmental Management**

(source: USAID/OFDA, Program guidelines 2006)

- Number of shelters incorporating hazard mitigation measures
- Number of settlements adopting hazard mitigation measures
- Number of people receiving training
- Number of project trainees retaining knowledge received for identified activities
- Number of non-beneficiaries who learned and applied mitigation measures



**Transitional Shelter and Settlements** (source: USAID/OFDA, Program guidelines 2006)

- Number of households receiving shelter according to Sphere Guidelines
- Percentage share of total affected population receiving shelter assistance
- Amount and percentage of approved project budget spent in the affected economy



**Hygiene Promotion** (source: USAID/OFDA, Program guidelines 2006)

- Number of water and sanitation committees revitalized, trained and/or established
- Average cleanliness of water points three months after their completion (reported as percent of water points)
- Average increase in good hand washing practices (reported as percentage of people)
- Average increase in correct water usage practices (reported as percentage of people)



Sanitation (Household Level) (source: USAID/OFDA, Program guidelines 2006)

- Number of household latrines constructed
- Number of beneficiaries benefiting from household latrines
- Number of communal/institutional latrines constructed
- Number of beneficiaries benefiting from communal/institutional latrines
- Number of household hand washing facilities introduced
- Number of communal hand washing facilities introduced
- Number of household waste management pits dug



Other Environmental Health (source: USAID/OFDA, Program guidelines 2006)

- Number of community waste management facilities constructed
- Average cleanliness of community waste management facilities 3 months after their completion (reported as the percent of facilities)
- Number of animal pens constructed -Number of debris cleanups undertaken



Water (source: USAID/OFDA, Program guidelines 2006)

- Number of protected water points established
- Geo-coordinates of every protected water point established
- Number of beneficiaries receiving water from protected water points
- Number of liters available per person per day before the intervention
- Number of liters available per person per day after the intervention
- Number of minutes a family takes to collect water each day before the intervention
- Number of minutes a family takes to collect water each day after the intervention
- Percent of water points with 0 fecal coliforms per 100 ml
- Percent of household water supplies with 0 fecal coliforms per 100 ml



**Artisanal Production** (source: USAID/OFDA, Program guidelines 2006)

- Number and percentage of participants with increased production
- Number and percentage of participants with increased sales
- Average increase in income of participants in USD over the life of the program



Capacity Building / Training (source: USAID/OFDA, Program guidelines 2006)

- Number of people trained
- Number of people hired post-training
- Percentage of beneficiaries using their skills training within their livelihood activity

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Cash Distribution (source: USAID/OFDA, Program guidelines 2006)

• Amount of money distributed per beneficiary.



Cash for Work (CFW) (source: USAID/OFDA, Program guidelines 2006)

- Number of people employed in the CFW.
- Percentage of beneficiaries reporting increased access to food and non-food items as a result of the program.



Gender Relations (source: USAID/OFDA, Program guidelines 2006)

• Percentage of the men and women in the targeted population or who report improvements in gender relations as a result of the activities



**Internally Displaced Populations (IDPs)** (source: USAID/OFDA, Program guidelines 2006)

- Total number of IDPs assisted
- Number of male IDPs assisted
- Number of female IDPs assisted.



Livelihoods / Income Generation (source: USAID/OFDA, Program guidelines 2006)

- Number of people assisted with livelihoods interventions
- Average amount of income in USD generated by participant/month



Market Rehabilitation (source: USAID/OFDA, Program guidelines 2006)

- Number of markets rehabilitated/created
- Number of cooperatives created
- Number of participants trained in marketing skills
- Percentage of targeted beneficiaries with increased engagement in economic activities
- Number/percentage of targeted small businesses with increased revenues relative to baseline



Micro-Finance / Micro-Credit (source: USAID/OFDA, Program guidelines 2006)

- Number of individuals receiving micro-credit assistance
- Number and percentage of micro-credit recipients who rehabilitate or establish new businesses
- Average amount (in USD) of increase in income of participants over the life of the program (based on pre-program baseline)



**Protection Mainstreaming** (source: USAID/OFDA, Program guidelines 2006)

- Coordination / Information Management Sector:
  - Percent of disseminated documents that include protection information
  - Percent of disseminated documents that safeguard sensitive information.
- Economy and Market Systems Sector:
  - Percent of income-generating activities that reduce risks for targeted population
- Agriculture and Food Security Sector:
  - Percent of vulnerable populations receiving full designated rations
  - Percentage of women escorted to agricultural fields in insecure areas
- Health and Nutrition Sectors:
  - Number and types of gender-based violence (GBV) services provided
  - Percentage of targeted staff trained in protection sensitivity
  - Number of systems of privacy protocols established and adhered to
- Shelter and Settlements Sector:
  - Number of settlement solutions provided that reduce the need for large camps
  - Percent of camps sited away from conflict and borders

#### WASH Sector:

- Percentage of latrines built with separate facilities for men and women
- Percentage of latrine facilities providing escort services for women and girls where necessary



**Returnees** (source: USAID/OFDA, Program guidelines 2006)

- Number of returnees assisted
- Number of returnees settling permanently in home village or new area



Slavery / Trafficking (source: USAID/OFDA, Program guidelines 2006)

- Number of people trained in slavery and trafficking sensitivity
- Number of individuals removed from a slavery/trafficked status



**Vouchers** (source: USAID/OFDA, Program guidelines 2006)

- Number of people receiving vouchers
- Number of merchants participating in the voucher activity
- Percentage of vouchers redeemed
- Total monetary value of vouchers redeemed
- Percentage of types of goods procured

Link 192:



Organisational Performance, a discussion paper, S. Lawry White, 1998.

## Link 193:



the Good Enough Guide – Impact measurement and Accountability in Emergencies, the Emergency Capacity Building project (CARE; CRS; IRC; Mercy Corps; Oxfam GB; Save the Children; WVI), 2007

 $http://publications.oxfam.org.uk/oxfam/display.asp?K=\_2006111410173391\&sf\_01=CTITLE \&st\_01=the+good+enough+guide\&sort=SORT\_DATE\%2FD\&x=16\&y=12\&m=1\&dc=1$ 

## Link 194:



Questions to help test whether a tool is 'good enough' (source: The Good Enough Guide, link 193)

- Can we use this tool without endangering field staff and the people affected by the emergency?
- Does it meet essential requirements in this context at this time?
- Is it realistic?
- Do we have the resources time, staff, volunteers and money to use it?
- Is it useful for those applying it?
- Is it as simple as necessary?
- Have we referred to widely accepted humanitarian values, standards and guidelines?
- Will it be 'good enough' tomorrow? When will we review our use of this tool?

### Link 195:

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USAID/OFDA has embarked on a programme in collaboration with CARE International and the Benfield Hazard Research Centre in UK to develop an appropriate analytical framework to identify significant environmental issues in emergencies. Member states (specifically Norway) also contribute to this programme. The programme has developed a simple methodology, known as Rapid Environmental Assessment (REA) which is now in its second phase and has been field tested and improved in a number of situations. Training courses in the use of REA are run regularly in different parts of the world and several of DG ECHO's staff working on DIPECHO projects have attended these courses (see for more details

http://www.benfieldhrc.org/disaster\_studies/rea/virtual\_conf/index.htm).

### **Link 196:**

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A number of examples of potential evaluation questions regarding children can betaken from the Save the Children UK 'Global Impact Monitoring Guidelines', published in 2004. Questions are divided into 5 main dimensions of change: changes in the lives of children and young people; changes in policies and practices affecting children's and young people's rights; changes in children's and young people's participation and active citizenship; changes in equity and non-discrimination of children and young people, and changes in civil societies' and communities' capacity to support children rights. No web link could be found.



'Practical Guide to the Systematic Use of Standards and Indicators in UNHCR Operations', UNHCR, 2006

http://www.unhcr.org/statistics/STATISTICS/40eaa9804.pdf, pages 63-69.



The objective of UN-CMCoord IMPACT ("Integrated Missions Practical Approach to Coordination Tools") is to raise awareness on civil-military coordination guiding documents among military and civilians personnel working in multidimensional peace missions or deploying to countries hosting peace operations.

http://ocha.unog.ch/uncmcoord/

DG ECHO's booklet 'A partnership for communication' no web link



INEE (Inter-Agency Network for Education in Emergencies) Minimum Standards for Education in Emergencies, Chronic crisis and Early Reconstruction, in particular the M&E page http://www.ineesite.org/page.asp?pid=1066



Some key characteristics	When evaluation undertaken	
	Evaluation during the programme/operation	Evaluation at the end of a programme/operation
Alternative names	Midterm, formative evaluation	Final, ex-post, summative evaluation
Main purpose and use of the evaluation	To identify ways in which the current operation can be improved	To identify what can be learned from the overall operation to inform planning and implementation of future programmes and operations
Main user of the evaluation	Managers and staff of the current operation (and perhaps others for reassurance)	Depends – can be local managers if a follow-up operation is planned, agency HQ staff and managers/staff at other sites undertaking or contemplating similar interventions
Methodological approach	Quick, simple and easy to apply, e.g. RTE	Use of more robust methods possible



Source: VENRO (Verband Entwicklungspolitik Deutscher Nichtregierungsorganisationen e.v.) working paper no. 14 " Humanitarian aid put to the test - Principles, criteria and indicators to ensure and monitor quality in humanitarian aid", August 2005

### 4.2 Quality criteria: Briefing and preparatory measures for staff, staff care Indicators:

- 1. Guidelines in place on the selection, briefing and preparing and care of the staff assigned and the local staff
- Training of staff regarding Code of Conduct, minimum standards (Sphere Project), International Humanitarian Law and its application as well as security training for assigned specialists
- 3. Are the staff informed about measures to prevent sexual abuse? (Also see UNHCR guideline on "Sexual and gender based violence against refugees, returnees and internally displaced persons", May 2003 and "Prävention von sexuellem Missbrauch von Abhängigen in der Projektarbeit", DWHH July 2004.)
- 4. Descriptions of workplaces for assigned and local staff are available
- 5. Sufficient health and accident insurance for assigned and local staff tailored to the respective situation
- 6. Orientation on guidelines and standards on staff care such as the People in Aid Code of Good Practice, cf. www.peopleinaid.org and VENRO's "Minimum Standards for Staff Security in Humanitarian Aid" and "Criteria for Staff Planning in Humanitarian Aid", cf. http://www.venro.org.



Source: VENRO (Verband Entwicklungspolitik Deutscher Nichtregierungsorganisationen e.v.) working paper no. 14 "Humanitarian aid put to the test - Principles, criteria and indicators to ensure and monitor quality in humanitarian aid", August 2005

### **Key questions:**

- Are the organisation's strategy, content and regional priorities documented e.g. in Internet presentations, activity reports and profiles?
- Are all the organisation's levels aware of the strategy and sectoral and regional orientation?
- Does knowledge of regional dangers and risk factors exist, and is it considered in the concept of the measure with a view to reducing the target group's vulnerability?
- Are there concepts to integrate preventive components vis-à-vis existing local and regional risk factors into project development and implementation?



- Are guidelines on staff care in place?
- Do workplace descriptions exist for the various positions?
- How is the security and the safeguarding of staff seen to?
- Do recognised standards form the basis of staff care?
- Are the conditions of assignment considered in social security arrangements (insurances, etc.)?



- In selecting staff, is intercultural competence and experience with emergency and development aid considered in addition to subject qualifications?
- What is the ratio of local to assigned staff like in filling posts?
- Does the profile of the staff assigned correspond to the defined requirements?
- Are there regular (several times a year) upgrading and further education programmes?
- Are local partners and their staff considered when applications are reviewed?



- Is there a consistent accounting system?
- Are calls for tenders made according to the requirements of the financiers when material is procured, and is it documented?
- Is the handling of financial affairs subject to regular external checking?
- Is the financial situation made public?



- Are there local co-ordinating structures?
- Does the organisation participate in co-ordinating meetings and structures?
- Is the organisation actively involved in co-ordination?
- Which tasks has the organisation performed to promote co-ordination?
- How has the organisation co-ordinated its activities with other organisations and local authorities?
- Has the organisation been recognised as a constructive and reliable partner by the organisations responsible for co-ordination ("co-ordinating organisations")?
- What impact has co-ordination had on the programmes of the organisation in question and those of other organisations?
- What were the reasons not to take part in coordinating or to do so only marginally?
- Is the organisation integrated into international co-ordinating committees at home or at regional or international level, and does it participate actively in these committees?



- Was there a needs assessment?
- Did the needs assessment establish the causes of the present disaster and existing risk factors (hazards and vulnerability)?
- Were the goals sufficiently unambiguously formulated (SMART), and were appropriate indicators defined and applied to measure attainment of the goal?
- To what degree was the defined goal attained?
- What were the essential framework conditions that influenced the attainment of the goal?
- Were deviations from the objective explained in a comprehensible manner?
- Were the causes established and was a risk assessment made? Were these aspects considered in the project concept, and were preventive measures integrated into the project design?
- Has the project contributed to boosting the target group's self-help potential to face new risks?
- Did the measures reach the target population? Who was reached? Who was not reached?



- What would have happened if the project had not been run?
- Were the framework conditions (e.g. political, economic, environmental, conflict potential) established and analysed with regard to possible interaction with the aid measures?
- Were such assumptions and risks sufficiently represented and considered in planning?
- Were possible negative impacts considered in designing the concept?
- Was there a monitoring system to ensure that negative impacts could be established and counter-measures could be initiated as early as possible?
- Were local risk factors established and considered?
- Were there special plans to enhance the target group's self-help capacity vis-à-vis the risk factors or was the development of dependence accepted?
- Have the project results raised or reduced the target group's vulnerability?
- Were measures to reduce the risks integrated into planning?



'Living with Risk', A global review of disaster reduction initiatives (preliminary version), ISDR Geneva, July 2002

MSF-B, Evaluation Manual (internal document), December 2005



Source: MSF-B, Evaluation Manual (internal document), December 2005

## Coverage

- To which extent does the project activities reach the specific target population? Are there any factors that hinder us in reaching the most needy population?
- To which extent do beneficiaries have access to project services?
- Is anyone, or any particular group excluded from our services?

#### Connectedness

- Is a phasing out strategy designed and achieved? What does it consist of?
- Which interconnected and longer-term problems (possible negative effects of the project) can be identified, and how have they been taken into consideration?
- Which local capacities and resources were identified? How does the project connect with them?

#### **Timeliness**

- Was the timing of the intervention adequate?
- What were reasons for timely or delayed response?

#### Coordination

- Have other actors in the area of intervention been identified?
- Which contacts / coordination happens with other actors?
- Is coordination adequate?
- Has independence from other actors / coordinating bodies need maintained?

#### **Learning lessons**

- What issues emerged during the setting up and management of the program, which might be generalised to other situations?
- What policy lessons can we learn from the program?



The Common Assessment Framework – Improving an organisation through self-assessment, October 2002

http://www.eipa.nl/CAF/CAFmenu.htm



NGO Self-assessment through a SWOT exercise, Networklearning 2006 http://www.networklearning.org/download/SWOT.pdf



The OCTAGON tool for assessment of strengths and weaknesses of NGOs, SIDA 2002

http://www.sida.se/sida/jsp/sida.jsp?d=118&a=2745&language=en\_US&searchWords=octagon



Source: USAID TIPS n°15, 2000 "Measuring Institutional Capacity" –annex with tools

Annex 1

## **DOSA Questionnaire**

The questionnaire is only one part of DOSA and should be used in conjunction with available at: <a href="http://www.edc.org/INT/CapDev/dosapage.htm">http://www.edc.org/INT/CapDev/dosapage.htm</a>.

Annex 2

**IDF Toolkit** 

The toolkit consists of three parts:

Institutional Development Framework IDF Calculation Sheet Institutional Development Profile

Annex 3

Organizational Capacity Assessment Tool (OCAT)

Section Three of Participatory Monitoring, Evaluation and Reporting: An Organizal Development Perspective for South African NGOs contains the capacity assessment t

The OCAT Assessment Sheet (pages 98-106)
Rating Sheet (pages 108-115)
Categories and Stages of Organizational Development (pages 70-85)

The complete document is available at: <a href="http://www.dec.org/pdf\_docs/pnack432.pdf">http://www.dec.org/pdf\_docs/pnack432.pdf</a>.

Annex 4

**USAID/Madagascar Institutional Capacity Questionnaire** 



See also glossary.

A Management Audit is a future-oriented, independent, and systematic evaluation (sic) of the activities of all levels of management performed by the internal auditor for the purposes of improving organisational profitability and increasing the attainment of the other organisational objectives through improvements in the performance of the management function, achievements of programme purposes, social objectives, and employee development. Financial data are some of the sources of evidence. The primary sources of evidence are the operational policies and the management decisions as related to the organisational objectives...The resultant audit report identifies problems and recommends solutions. (Smith, J.E.: 'An Evaluation of Selected Current Internal Auditing terms', Research Report n°19, IIA Inc, 1975)

#### The "Four E"s in audit:

- Effectiveness: doing the right things
- Efficiency: doing things the right way
- Economy: doing things cheap
- Equity: doing right, i.e. being socially responsible in a social audit perspective. (Internal Auditing, A.D. Chambers, G.M. Selim, G. Vinten, Pitman Publishing 1987)

Remark: the use of the fourth audit 'E' (Equity), should be probably avoided in the larger humanitarian context, as it could be confused with some notions of humanitarian principles (e.g. rights-based approach), whereas its audit sense is much more restrictive.



**Evaluation indicators** (source: EuropeAid evaluation Guidelines )

http://ec.europa.eu/europeaid/evaluation/methodology/methods/mth\_ind\_en.htm

- The main evaluation indicators are those related to judgement criteria, that specify the data needed to make a judgement based on those criteria.
- An indicator can be constructed specifically for an evaluation (ad hoc indicator) and measured during a survey, for example. It may also be drawn from monitoring databases, a performance assessment framework, or statistical sources.
- A qualitative indicator (or descriptor) takes the form of a statement that has to be verified during the data collection (e.g. parents' opinion is that their children have the possibility of attending a primary school class with a qualified and experienced teacher).
- A quantitative indicator is based on a counting process (e.g. number of qualified and experienced teachers). The basic indicator directly results from the counting process. It may be used for computing more elaborate indicators (ratios, rates) such as cost per pupil or number of qualified and experienced teachers per 1,000 children of primary-school age.
- Indicators may belong to different categories: inputs, outputs, results or impacts.



Judgement criteria, from evaluation questions to indicators (source: EuropeAid evaluation guidelines)

 $http://ec.europa.eu/europeaid/evaluation/methodology/methods/mth\_qci\_en.htm$ 



Emergency Field Handbook – A guide for UNICEF staff, UNICEF July 2005 http://www.unicef.org/publications/files/UNICEF\_EFH\_2005.pdf

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Core Commitments for Children (CCC) in Emergencies, UNICEF 2005 http://www.unicef.org/publications/files/CCC\_EMERG\_E\_revised7.pdf



Growing the Sheltering Tree - Protecting Rights Through Humanitarian Action, UNICEF 2002 http://www.unicef.org/publications/index\_4397.html



PATH – a Principled Approach To Humanitarian Action (UNICEF) training course available on CD

http://www.unicef.org/path/



Protection - An ALNAP Guide for Humanitarian Agencies, by Hugo Slim and Andrew Bonwick, 2005. ALNAP

 $http://www.odi.org.uk/ALNAP/publications/protection/alnap\_protection\_guide.pdf$ 



ALNAP Global Study on Consultation and Participation of Disaster-affected Populations, ALNAP, 2003 – 2004

http://www.odi.org.uk/ALNAP/publications/participation\_study.htm

Exit Handbook, Norwegian Refugee council (NRC), May 2007

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Assessment of humanitarian needs and identification of "forgotten crises", technical note, DG ECHO August 2006

http://ec.europa.eu/echo/pdf\_files/strategic\_methodologies/methodology\_2007\_en.pdf



Global Needs Assessment (GNA) 2006 - 2007, DG ECHO 2007

 $http://ec.europa.eu/echo/pdf\_files/strategic\_methodologies/glob\_needs\_ass\_2007.xls$ 

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Forgotten Crises Assessment (FCA), DG ECHO 2007

 $http://ec.europa.eu/echo/pdf\_files/strategic\_methodologies/forgotten\_crisis\_data\_2007.xls$ 



http://www.partos.nl/index.php?page=5\_2\_3 (please follow the links in the middle frame of the website to access the joint evaluation reports).

Link 233

IIED (International institute for Environment and Development), www.iied.org



Information on climate, risks, natural resources management in developing countries and humanitarian settings can also be drawn from a number of sites, such as e.g. (in French) the IRD (Institut de Recherche pour le Développement), web site

http://www.bondy.ird.fr/recherche/themes.htm

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UNAIDS, catalogue of publications

http://www.unaids.org/DocOrder/OrderForm.aspx



UNICEF, Enhanced Protection for Children Affected by AIDS

 $http://www.unicef.org/publications/files/Enhanced\_Protection\_for\_Children\_Affected\_by\_AIDS.pdf$ 



- Cost effectiveness analysis entails comparing costs across different strategies for achieving
  a given outcome, with a view to determining the lowest cost approach. For example, costeffectiveness analysis might explore three different approaches to getting girls working
  in the informal sector back into school. As compared to cost-efficiency analysis, it is wider
  in scope, looking beyond outputs to outcomes. (M&E Training Resources, UNICEF, 2004)
- Cost effectiveness looks beyond how inputs were converted into outputs, to whether different outputs could have been produced that would have had a greater impact in achieving the project purpose. (ALNAP Quality Pro-forma).
- Cost analysis in evaluation builds on financial information, but may also involve calculating
   "economic costs" such as human resources, labour-in-kind, opportunity costs, etc.
   The scope of cost analysis, i.e. whether cost comparison is made concerning impacts,
   outcomes or outputs, will depend on the purpose of the evaluation and the evaluation
   questions posed. Cost analysis must be explicit in terms of the different perspectives from
   which costs are analysed (donors, a single organization, primary stakeholders) and the
   limitations the complexity of the subject (multiple programme objectives, partners,
   financial systems), the availability of data and the time and resources invested.
- Cost analysis is not always feasible. Where no cost analysis is included in an evaluation, some rationale for this exclusion should be included in the objectives or methodology section. It is expected that evaluators point out areas of obvious inefficient use of resources. (UNEG, standard 3.8)



Source: UNEG, Standard 3.8: an evaluation should assess cost effectiveness, to the extent feasible.

Using a range of cost analysis approaches, from the elaborate cost-effectiveness and cost-benefit analysis, to cost-efficiency analysis, to a quick cost comparison, an evaluation should, to the extent possible, pursue the following broad questions:

- How do actual costs compare to other similar benchmarks?
- What is the cheapest or most efficient way to get the expected results?
- What are the cost implications of scaling up or down?
- What are the costs of replicating the subject being evaluated in a different environment?
- Is the subject being evaluated worth doing? Do economic benefits outweigh the costs?
- How do costs affect the sustainability of the results?



Some forms of bias:

Spatial Issues of comfort and ease determine the assessment site

**Project** The assessor is drawn toward sites where contacts and

information is readily available and may have been assessed

before by many others

**Person** Key informants tend to be those who are in a high position

and have the ability to communicate

Season Assessments are conducted during periods of pleasant

weather, or areas cut off by bad weather go unassessed, thus

many typical problems go unnoticed

**Diplomatic** Selectivity in projects shown to the assessor for diplomatic

reasons

Professional Assessors are too specialised and miss linkages between

processes (preceding biases, Chambers, 1983)

Battle Assessors go only to areas of cease-fire and relative safety.

(Barakat and Ellis, 1996)

**Political** Informants present information that is skewed toward their

political agenda; assessors look for information that fits their

political agenda.

Cultural Incorrect assumptions are based on one's own cultural

norms; Assessors do not understand the cultural practices of

the affected populations.

Class/ethnic Needs and resources of different groups are not included in

the assessment

Interviewer or Investigator Tendency to concentrate on information that confirms

preconceived notions and hypotheses, causing one to seek consistency too early and overlook evidence inconsistent with earlier findings; Partiality to the opinions of elite key

informants.

**Key informant** Biases of key informants carried into assessment results

Gender Assessors only speak to men, or male interviewers survey

women, or vice versa.

Mandate or speciality Agencies assess areas of their competency without an inter-

disciplinary or inter-agency approach.

**Time of day or schedule bias** The assessment is conducted at a time of day when certain

segments of the population may be over- or under-

represented.

Sampling Respondents are not representative of the population.

(Source: Monitoring and Evaluation Guidelines. A training module prepared for the University of Wisconsin-Madison Disaster Management Center by InterWorks.)



http://ochaonline.un.org/humanitarianappeal/webpage.asp?Nav=\_training\_en&Site=\_training&Lang=en

CAP workshops are usually facilitated by two people from different humanitarian organisations, based either in the field or at headquarters. They are seen as a key step in an on-going process of discussion around humanitarian effectiveness, with the aim of increasing the accountability of the humanitarian system. The objectives of a workshop are to debate openly and critically about humanitarian response and mechanisms; analyse contexts and build scenarios; clarify roles and responsibilities, etc. Schedules of workshops, guidelines and toolkit, a roster of skilled facilitators and reports are available on OCHA's website. Annual training of trainers sessions and a training workshop for OCHA's own staff are also organised.



The importance of such a need has recently been identified by the OECD/DAC, e.g. in the following analysis.

"Current efforts to devise more strategic approaches to aid allocations are subjecting DAC evaluation departments to demands to assess the performance of external organizations, such as multilateral organizations and NGOs. ... While some evaluation departments are devising ways to rely on multilateral existing systems to capitalize on them and extract strategic lessons, in other cases these demands are pushing evaluation towards an audit-like function.

The same considerations apply to the need for assessing NGOs' programmes and activities. Several donors are concentrating on requiring NGOs and implementing agencies to step up their systems, standards and practices in order to conduct more rigorous self-evaluations. Once again, the challenges here lie in supporting the development of NGOs' evaluation capacities to help them demonstrate the impact and sustainability of their programmes autonomously." (emphasis added)

(Source: Liverani and Lundgren - Evaluation systems in development aid agencies: An analysis of DAC peer reviews 1996-2004. Evaluation, vol. e, no. 2 April 2007)



Assessment questions regarding emergencies:

- How urgently is help needed? (is it a life-saving emergency or not?)
- Who needs help?
- Which groups are affected?
- Which groups are worst off?
- What is their situation now?
- What resources do they have?
- What resources do they need?

(Source: Assessment and Analysis V110, J. Cosgrave et al, Interworks Europe, Oct. 2002)



This finding must be attributed to Michael Patton, one of the best known writers about evaluation, who in particular has strongly advocated a utilisation-focused approach to evaluation, such as this Guide also recommends. His writing, by far, the most entertaining of evaluation theorists. If there is one book on evaluation to read, his Utilization-Focused Evaluation (1997) is the one to get.