

# Inter-Agency Humanitarian Evaluations of Large Scale System-Wide Emergencies (IAHEs)

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## Guidelines

*Developed by the IAHE Steering Group*

Final Version<sup>1</sup>

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<sup>1</sup> These Guidelines will be reviewed in 2015 on the basis of lessons learned through their use and application during 2014.

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## Acronyms

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ALNAP	Active Learning Network for Accountability and Performance
CLA	Cluster Lead Agencies
ECB-Project	The Emergency Capacity Building Project
EoI	Expression of Interest
ERC	Emergency Relief Coordinator
FAO	United Nations Food and Agriculture Organization
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HPC	Humanitarian Programme Cycle
HoO	Head of Office
IAHE MG	Inter-agency Humanitarian Evaluation Management Group
IAHE AG	Inter-agency Humanitarian Evaluation In-Country Advisory Group
IAHE SG	Inter-agency Humanitarian Evaluation Steering Group
IAHE	Inter-agency Humanitarian Evaluation
IASC	Inter-agency Standing Committee
IASC WG	Inter-agency Standing Committee Working Group
IFRC	International Federation of Red Cross and Red Crescent Societies
IRC	International Rescue Committee
M&E	Monitoring & Evaluation
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OPR	Operational Peer Review
OSOCC	On-Site Operations Coordination Centre
ROP	Recommended Operating Procedure
SOP	Standard Operating Procedure
SRP	Strategic Response Plan
TOR	Terms of Reference
UN	United Nations
UNDAC	United Nations Disaster Assessment and Coordination system
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations International Children's Emergency Fund
WFP	United Nations World Food Programme
WHO	United Nations World Health Organization

# 1 Background and Rationale

The international humanitarian system is undergoing a period of reform with the aim to further improve humanitarian leadership and coordination and to strengthen accountability.<sup>2</sup> To this end, new strategies and tools are being introduced to boost leadership systems and coordination platforms, better align and synergize response activities through common strategic visioning and programmatic cycles, and ensure that the differential and specific views, needs, priorities and vulnerabilities of affected women, men, girls and boys of all ages and diversities are reflected and addressed in response planning, implementation, monitoring and evaluation, as well as in policy development. As part of these reform efforts, Inter-Agency Humanitarian Evaluations (IAHEs) of Large Scale System-Wide Emergencies have been introduced with a view to strengthen learning and promote accountability towards donors, national governments and affected people.

In recent years, inter-agency evaluations in humanitarian settings have assessed key features of the humanitarian reform agenda, including the establishment of the Central Emergency Response Fund (CERF), the introduction of country-based pooled funding mechanisms, and the roll-out and functioning of the cluster system. The IASC-commissioned Real-Time Evaluations (RTEs), conducted between 2007 and 2012, provided in-depth independent assessments of the coordinated responses to large-scale disasters in a variety of contexts, such as Myanmar, Haiti, Pakistan, the Horn of Africa and others. Findings from these evaluations helped inform the reform initiatives of the IASC's Transformative Agenda. Given their timing, i.e. three months after the emergency response was triggered, RTEs' main purpose was to provide evidence for course corrections in the response. RTEs have been replaced by the Operational Peer Reviews (OPRs), an internal, inter-agency management tool which identifies areas for improvement (if applicable) early in a response. An OPR designed to be a light, brief and collaborative process, undertaken by peers. It is not intended to measure results or the impact of the response .

Under the IASC's Transformative Agenda, IAHEs constitute the final component of the common Humanitarian Programme Cycle (HPC), and are automatically triggered by the declaration of a system-wide Level 3 (L3) emergency. IAHE final reports are expected to be available between 12 and 15 months after the declaration of an L3. As a joint effort, IAHEs add distinct value in that they help foster a sense of collective accountability and system<sup>3</sup>-wide strategic learning, and respond to the call of UN Member States for greater system-wide coherence through the adoption of more harmonized and coordinated approaches. Due to their independence, methodological rigour and quality control, IAHE are an important tool for assisting: 1) in-country responders to demonstrate accountability and ensure that learning from the evaluation is used in future responses and/or to adapt the on-going response; 2) humanitarian leaders to gain evidence and further insights on high-stake challenges; 3) national governments and Member States to adapt and evolve response policies and plans regarding national and multilateral humanitarian action; and 4) affected people to learn about what worked and what did not work in the response, and develop their own communication and advocacy strategies.

The present Guidelines specify the roles and responsibilities of different stakeholders and provide a set of operating procedures for IAHEs. They are intended to help support and guide the management and conduct of IAHEs, only. In addition to IAHEs, the Inter-Agency Humanitarian Evaluation Steering Group may initiate

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<sup>2</sup> These are the three pillars of the Transformative Agenda.

<sup>3</sup> The 'international humanitarian system' is defined "*as the network of national and international provider agencies, donors and host-government authorities that are functionally connected to each other in the humanitarian endeavour and that share common overarching goals, norms and principles. The system also includes actors that do not have humanitarian assistance as their central mission but play important humanitarian roles, such as military and private-sector entities*". From: The State of the Humanitarian System (2012 Edition), ALNAP, page 8. The report is accessible from:

<http://www.alnap.org/ourwork/sohs>

other types of evaluative activities.<sup>4</sup> The procedures and methodologies prescribed by these Guidelines will apply in both natural disaster and complex emergency situations. For the sake of brevity and clarity, the Guidelines are based on the assumption of an emergency in a single national context. Hence some aspects, namely around key stakeholders (such as in-country advisory groups and HCTs) will need to be modified in the case of disasters involving cross-border operations. To this end, the Guidelines include the following templates for use in IAHEs:

1. Standard Terms of Reference
2. An outline for the inception report
3. An outline for the evaluation report
4. A check list of roles and responsibilities

These Guidelines will be revised in 2015 based on feedback on their use.

## 2 Purpose and Definitions

### 2.1 Vision and Purpose

IAHEs are guided by a vision of improved human well-being for those impacted by disasters and by the desire to contribute to the equitable distribution of the benefits resulting from coordinated humanitarian action. IAHEs: 1) contribute to accountability and strategic learning for the humanitarian system, and seek to promote human dignity and the empowerment of affected people. 2) They are also a key factor in promoting accountability to affected people, through their provision of feedback on the results of the response to affected communities.

### 2.2 Definition

An IAHE is an independent assessment of results of the collective humanitarian response by member organizations of the IASC to a specific crisis. IAHEs evaluate the extent to which planned collective results have been achieved and how humanitarian reform efforts have contributed to that achievement. IAHEs are not an in-depth evaluation of any one sector or of the performance of a specific agency, and, as such, cannot replace any other form of agency-specific humanitarian evaluation, joint or otherwise, which may be undertaken or required.

IAHEs follow agreed norms and standards for evaluation that emphasize: 1) the independence of the evaluation team; 2) the application of evaluation methodology; and 3) the full disclosure of results. IAHEs have a clear scope (defined in the TOR and inception report) with regard to the period, geographic area(s) and target groups to be covered by the evaluation<sup>5</sup>.

### 2.3 Users

IAHEs are designed primarily to:

- Provide **Humanitarian Coordinators and Country Teams** with independent and credible evidence of collective progress towards stated goals, objectives and results. This may, where relevant, complement the OPRs in facilitating decisions regarding an ongoing response, as well as identify additional areas that need to be addressed to improve the response, especially in chronic emergency situations. Additionally,

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<sup>4</sup> These may include, but are not limited to: common context analysis, mapping of evaluations, or evaluation frameworks.

<sup>5</sup> This may cover, as examples: the first nine to twelve months of a major L3 system-wide response in a whole country or region; a one-, two- or three-year time frame of an on-going protracted emergency response in a specific country, or an evaluation of all response activities at a sub-national level over a fixed period of time.

IAHEs may help inform longer-term recovery plans, and in the case of a sudden onset disaster, support preparedness efforts for the next emergency; and

- Contribute to the evidence base for decision making and judgments about future humanitarian action, policy development and reform by the **IASC Principals, IASC Working Group, Emergency Directors** and other stakeholders, particularly regarding high-stake challenges for the specific contexts and the role of humanitarian reform in the overall effectiveness of humanitarian response.

In so doing, they will also:

- Provide **national governments and disaster management institutions** with evaluative evidence and analysis to inform their national policies and protocols for crises involving international agencies and other actors;
- Promote learning and awareness among **affected people** of the outcomes of the response to support their own communication and advocacy purposes; and
- Provide **Member States, donors, and learning and evaluation networks**, with evaluative evidence of collective response efforts for accountability and learning purposes.

## 2.4 Links between Operational Peer Reviews (OPRs) and IAHEs

An Operational Peer Review is an inter-agency, internal management tool that assesses progress in four areas: leadership, the humanitarian programme cycle, coordination and accountability to affected people. It identifies areas for improvement (if applicable) early in a response and also collects good practice/learning for country and/or global level action. An OPR is designed to be a light brief and collaborative process, undertaken by peers. Its methodology includes a review of secondary data; key informant interviews, site visits/observations, self-assessment exercises, and an HCT workshop. It is mandatory to conduct an OPR for an L3 emergency, and is recommended that it is undertaken within the first 90 days after the L3 declaration.

An OPR is therefore not an evaluation, in that it does not address the accountability needs of coordinated humanitarian action, including through the generation of a ‘public document’<sup>6</sup> or the measuring of results of the response. In situations in which OPRs have been conducted, IAHEs will be informed by the report and recommendations of the OPRs, and will also look at their role in supporting the humanitarian response. The evaluation inception report will clarify how the results of the OPR and other reviews, assessments or evaluations will be considered during each specific IAHE.

## 3 Triggers, Timelines and Methodological Approach

### 3.1 Triggers for IAHEs

An IAHE is triggered by the ERC once certain criteria have been met. These criteria are established as follows, in order of decreasing priority:

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<sup>6</sup> The OPR report is a public document that is distributed to IASC members and humanitarian system actors; however, it is not posted on any website.

- a. In the case of all declared L3 system-wide emergencies, the IAHE will be considered mandatory and conducted within 9 to 12 months of the L3 declaration, with the aim to have the final report available at between twelve and fifteen months after the declaration.
- b. In the case of large-scale, sudden-onset emergencies affecting multiple sectors,<sup>7</sup> an IAHE will be considered to be conducted within 9 to 12 months of the onset of a crisis, with the aim of having the final report available between 12 and 15 months after the occurrence of the emergency.
- c. A discretionary IAHE could also be conducted in other cases at the specific request of an RC/HCT or other primary stakeholders, such as in the case of prolonged chronic emergencies.

In the event of insufficient capacity to undertake all the evaluations required by the automatic trigger mechanism (A& B), the Steering Group will prioritize evaluations in consultation with the EDG.

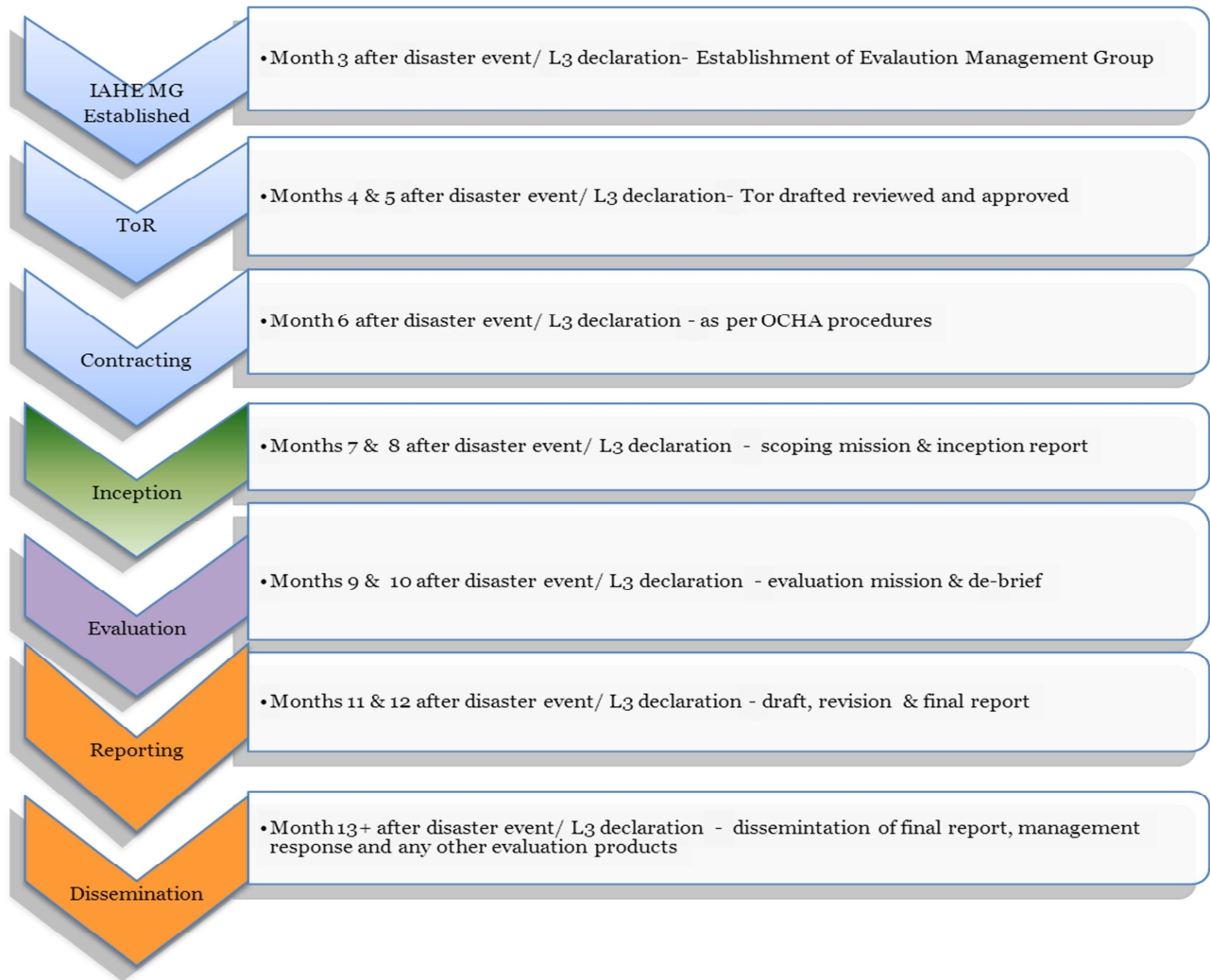
### **3.2 Phases, Timelines and Procedures for IAHEs**

For all IAHEs, it is desirable to have the evaluation mission between nine to ten months after the disaster, so that results are available between 12 and 15 months after the event. However, to help promote full utilization of IAHE results, the timing of the evaluation mission should be planned in consultation with stakeholders, including the HC and the EDG, to ensure that operational issues are taken into account -- such as for instance access, security and seasonal meteorological events -- as well as to optimize the relevance and utilization of the IAHEs *vis a vis* strategic and programming processes.<sup>8</sup>

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<sup>7</sup> It is proposed that the criteria be more than US\$ 300 million received under the initial plan or appeal (previously referred to as a 'flash appeal').

<sup>8</sup> For more information in the key elements of the humanitarian programme cycle see "IASC Humanitarian Programme Cycle Reference Module Version 1.0" December 2013 available at:<https://www.humanitarianresponse.info/programme-cycle/space/document/humanitarian-programme-cycle-reference-module-version-10>



## 4 Methodological Approach

IAHEs will be conducted by teams of independent evaluation experts. The gender balance of the teams will be ensured to the extent possible. As a matter of principle and where appropriate, the participation of an independent national evaluator will be sought.

The evaluation will be carried out through analyses of various sources of information including desk reviews, review of monitoring data, field visits, interviews with key stakeholders (affected population, UN, NGOs, donors, governments, and others), individually and in focus groups, and through the cross-validation of data. This will ensure that the evaluation is inclusive of the views of diverse stakeholder groups. The evaluation team will also ensure that questions and approaches are in line with the United Nations Evaluation Group (UNEG) Guidance on integrating human rights and gender equality in evaluation<sup>9</sup>. The methodological approach should also be in line with ALNAP guidelines on evaluating humanitarian action, UNEG norms and standards, and the International Humanitarian Principles.<sup>10</sup>

<sup>9</sup> “UNEG Guidance on Integrating Human Rights and Gender Equality”: [http://www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=1401](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=1401)

<sup>10</sup> For more information on the International Humanitarian Principles see [https://docs.unocha.org/sites/dms/Documents/OOM\\_HumPrinciple\\_English.pdf](https://docs.unocha.org/sites/dms/Documents/OOM_HumPrinciple_English.pdf)



## 4.1 Special Considerations

In line with the System-wide Action Plan (UN-SWAP) on gender equality,<sup>11</sup> and the IASC Gender Equality Policy Statement<sup>12</sup>, the evaluation will apply gender analysis in all phases of the evaluation. The evaluation methodology will integrate participatory processes especially at the community level; e.g. sex separate focus group discussions, key informant interviews and targeted consultations with organized community groups such as women's associations, youth groups, etc., to adequately engage women, men, boys and girls of different ages and taking into consideration the existence of disadvantaged groups, such as people with disabilities. The evaluation process will aim to assess the extent to which the differential needs, priorities, risks and vulnerabilities of different population groups have been identified and assessed in the response. Further, the evaluation process will seek to understand the processes and methodologies utilized to enhance the equitable and effective inclusion, access and participation of particularly women and girls in the humanitarian programme cycle, and in decision-making processes. In a bid to promote durable solutions and sustainability, the evaluation process will, to the extent possible, seek to understand how underlying issues, barriers and drivers of inequalities are identified and addressed within humanitarian programming. To facilitate this analysis, at least one member of the team should have qualifications on gender analysis.

To enhance accountability to affected people, IAHEs will endeavor to gain their perspectives on the quality, usefulness and coverage of the emergency response and to incorporate these views in the evaluation findings. Additionally, they will seek to understand how the various segments of the affected population are consulted especially in the prioritization of needs, decision making processes and the ways in which limitations to participation and inclusion are addressed. To this end, evaluators will strive to devote an appropriate amount of time during the field visit to communication with communities and seeking out the views of affected people. Whenever possible, IAHEs will also seek to provide feedback on the evaluation findings to affected people.

To enhance the evaluation teams' understanding of the local context and to improve ownership and communication with local communities, where relevant and possible, IAHEs will seek to encourage the active involvement of national evaluators and the participation of national governments throughout the evaluation process. A Monitoring and Evaluation Officer from the national government will, when and if appropriate, be invited to participate in the technical review of evaluation outputs and provide input throughout the evaluation.

## 4.2 Analytical Framework and Core Evaluation Questions

The evaluation's analytical framework will be structured around the following core questions:

1. To what extent are SRP objectives appropriate and relevant to meet humanitarian needs, and have systems been established to measure their achievement? To what extent are the results articulated in the Strategic Response Plan achieved, and what were both the positive and potentially negative outcomes for people affected by the disaster?
2. To what extent have national and local stakeholders been involved and their capacities strengthened through the response?

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<sup>11</sup> For more information on the UN-SWAP on gender equality see:

<http://www.unwomen.org/~media/Headquarters/Media/Stories/en/unswap-brochure.pdf>

<sup>12</sup> Approved by the IASC Working Group on 20 June 2008. For information, see

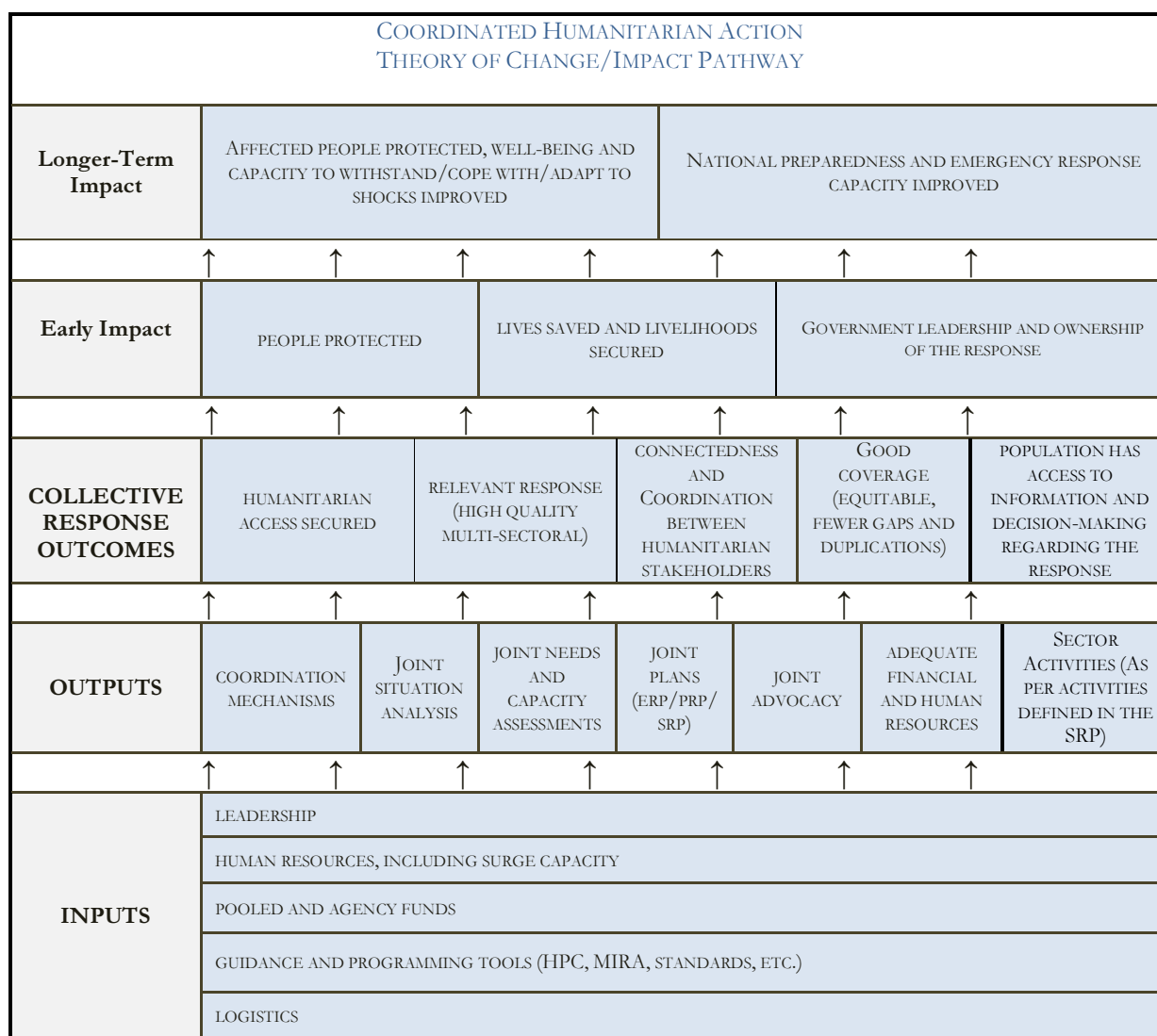
<http://www.humanitarianinfo.org/iasc/downloaddoc.aspx?docID=4497&type=pdf>

3. Was the assistance well-coordinated, successfully avoiding duplication and filling gaps? What contextual factors help explain results or the lack thereof?
4. To what extent were IASC core humanitarian programming principles and guidance applied<sup>13</sup>?

In addition to the four core questions, the evaluation team will develop context specific sub-questions during the inception phase of the individual IAHEs.

The evaluative analysis will be informed by the following key inputs:

- The Strategic Response Plan – as the main reference to assess whether the stated humanitarian response objectives have achieved the intended results.
- The IAHE Impact Pathway (see diagram below), which portrays crucial characteristics of an ‘ideal humanitarian response,’ identifying key components widely accepted to lead to the effective and coherent delivery of assistance.



<sup>13</sup> Guidance to be applied includes HPC guidance, MIRA, etc.

### 4.3 Application of Internationally Established Evaluation Criteria

The evaluation team will additionally consider and agree on the relevant internationally established evaluation criteria for each specific IAHE at the evaluation inception phase. This criteria is drawn from UNEG norms and guidance<sup>14</sup>, OECD/DAC criteria for development programmes<sup>15</sup>, and the ALNAP criteria for the evaluation of humanitarian action<sup>16</sup>, and includes : i) relevance, ii) coherence, iii) coverage, iv) connectedness, v) efficiency, vi) effectiveness, vii) impact, viii) sustainability, ix) coordination and x) protection. Not all criteria will necessarily be applicable to every evaluation.

## 5 IAHE Governance and Management: Roles and Responsibilities

This section spells out the main implementation arrangements as well as roles and responsibilities for the IAHE process. The key actors in the management of the IAHE are the Emergency Relief Coordinator (ERC), the IASC Principals, the IASC Working Group, the Emergency Directors Group (EDG), the HC/HCT, the IAHE Steering Group (IAHE SG), the IAHE Management Group (IAHE MG), the IAHE Evaluation Manager (IAHE EM) and the IAHE In-country Advisory Group (IAHE AG).

### 5.1 Emergency Relief Coordinator and IASC Principals

The ERC, as chair of the IASC, bears the overall responsibility for ensuring that automatically triggered IAHEs are carried out in a timely and expedient manner and that appropriate follow-up measures are taken.

The ERC recognizes the mandate of the IAHE SG to commission independent joint evaluations of large scale system wide humanitarian responses.

The ERC, supported by the Emergency Directors Group (EDG), will also ensure that the HC undertakes a full management response plan in response to the evaluation findings.

The IASC Principals are responsible for ensuring that **systemic** recommendations from IAHEs are addressed in a formal management response plan and implementation is monitored over a 12-month period. They also have a responsibility to ensure adequate dissemination and uptake of evaluation findings within their joint programming.

### 5.2 IASC Working Group and Emergency Directors Group

The IAHE SG will encourage engagement with the IASC WG and EDG to help scope the evaluation, and to ensure that high-stake strategic and operational issues are considered when undertaking the evaluation.

The IASC WG and the EDG will assist in the preparation of management response plans for Principal-level consideration.

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<sup>14</sup> See the UNEG website: [www.uneval.org](http://www.uneval.org)

<sup>15</sup> See the OECD/DAC criteria for evaluating development assistance. A factsheet can be found at: <http://www.oecd.org/dac/evaluation/49756382.pdf>

<sup>16</sup> See the ALNAP guide for humanitarian agencies: Evaluating humanitarian action using the OECD/DAC criteria at [www.alnap.org/pool/files/cha\\_2006.pdf](http://www.alnap.org/pool/files/cha_2006.pdf)

Both the IASC WG and the EDG will also promote a wide dissemination of evaluation results and advocate for the role of IAHEs with a view to strengthening system-wide accountability and learning.

Working Modalities:

The Chair of the IASC WG will facilitate consultations with key stakeholders, including the IASC WG members and the EDG, to inform the development of the management response plan for final endorsement of the IASC Principals.

### **5.3 The Humanitarian Coordinator and the Humanitarian Country Team**

In the inception phase, Humanitarian Country Team (HCT) members will engage with the evaluation team to help scope the evaluation to ensure that specific policy and operational questions are addressed. HCT members will provide sustained inputs to the evaluation throughout the process, from inception to dissemination, and play an important role in facilitating the evaluation mission.

The HC will be responsible for ensuring that **operational-level** recommendations are addressed in a formal management response plan and that their implementation is monitored over a 12-month period, with an update being provided to the ERC on the implementation of follow-up plans after three months from the date of issuance of the report.

Working Modalities:

The HC will facilitate consultations with key stakeholders, including the HCT and the in-country Advisory Group (see below), to inform the development of the management response plan for final endorsement of the ERC. In support of the HC and HCT, the OCHA Country Office will be responsible for: 1) the mapping of stakeholders to create the In-country Advisory Group; 2) supporting the organization of the inception visit as well as the evaluation field visit; 3) coordinating inputs to the inception and evaluation reports; and 4) supporting the HC in the preparation of a management response to address the evaluation recommendations.

### **5.4 Inter-Agency Humanitarian Evaluation Steering Group**

The specific roles and responsibilities of the Inter Agency Humanitarian Evaluation Steering Group (IAHE SG) are to:

- Coordinate the development of broad strategic guidance on methodological approaches and refinements for IAHEs;
- Develop a prioritized list of IAHEs to be conducted, and share these with the ERC;
- Designate participation within IAHE Management Groups for specific IAHEs as required;
- Approve the IAHE TOR, including timeline and budget, inception report and the final IAHE evaluation reports;
- Consider and approve whether staff from evaluation offices may be part of an IAHE evaluation team;
- Contribute to the development of a communications strategy for IAHEs results;
- Ensure, via the Chair, that the final report is transmitted to the ERC for consideration by the IASC Principals and the HC;
- Ensure that results of the IAHEs are shared with executive boards and/or relevant management, disseminated adequately internally and to agency partners, and widely disseminated externally; and
- Make proposals to the IASC on the further development and application of IAHEs to contribute to improvements of humanitarian action.

The responsibilities of the Chair of the IAHE Steering Group, in relation to the conduct of IAHE of large scale system wide emergencies, are to:

- Maintain a list of IAHE SG members and an inventory of humanitarian evaluations planned by members;
- Brief the Steering Group on emerging humanitarian crises and coordinate the implementation of any action points between meetings; and
- Drive the overall IAHE agenda forward in full consultation with the Steering Group, promoting awareness about IAHEs and presenting/disseminating evaluation results to internal and external stakeholders as agreed by the Steering Group.

#### Working Modalities:

The IAHE SG is chaired by OCHA, which provides policy and strategic support to IAHE efforts. Membership to the IAHE SG is voluntary and open to representatives of evaluation functions from IASC members (UN, NGO's, IOM, IFRC) and ALNAP.

The IAHE SG will meet at least two times a year to discuss and synthesize lessons learned and identify areas for further methodological strengthening as needed. In the case of an IAHE, virtual meetings might be called more frequently to ensure a timely implementation of the evaluation process [e.g, nomination of the Management Group (described below), approval of TOR and IR]. The IAHE SG takes decisions on a quorum of two-thirds of its members and after a general debate has taken place.

### **5.5 Ad Hoc IAHE Management Group**

A small Management Group is established for each IAHE from among the IAHE SG membership. The IAHE MG is chaired by OCHA. The specific roles and responsibilities of the IAHE Management Group are to:

- Ensure the independence of the evaluation process and results;
- Provide quality control and inputs throughout the entire evaluation to ensure that it meets agreed criteria and standards (including during the development of the TOR, evaluation team briefings, review and approval of the inception report, review of the draft report, preparing draft presentations, etc.);
- Support the Evaluation Manager in the preparation of the draft TOR and budget for the evaluation by either providing input before the Evaluation Manager prepares a first draft or by providing comments on documents drafted by the Evaluation Manager;
- Support the Evaluation Manager in the collection of key reference documents and coordination mapping;
- Support the Evaluation Manager to review the proposals from the companies and/or consultants and then approve the selection of the external team to conduct the evaluation;
- Review and approve the inception report;
- Review the evaluation report;
- Monitor and assesses the quality of the evaluation and its processes at all phases of the IAHEs, from data collection to analysis and presentation;
- Facilitate the evaluation team's access to key stakeholders and specific information or expertise needed to perform the evaluation;
- Provide guidance and institutional support to the evaluation team especially on issues of methodology, and other areas as necessary (e.g. navigating the inter-agency system, optimizing independence, etc.);

- Identify lessons learned from the IAHE.

#### Working Modalities:

The Management Group will be established on a voluntary basis by member agencies of the Steering Group and will be composed of the chair and 2 to 3 other members. Upon triggering an IAHE, OCHA will send a message to the IAHE SG requesting interested agencies to reply within 7 days stating their interest to serve on the Management Group. If more than 3 additional members volunteer, the following criteria will be used to prioritize participation. The criteria are, in order of importance: 1) time lapse since last participation in a Management Group; 2) in-country capacity to support the evaluation; and 3) earliest reply to volunteer for the Management Group.

OCHA evaluation staff (and/or other members of the Management Group) may be part of the mission during the inception phase to develop the inception report, scope the evaluation, brief and prepare HCTs to engage effectively in the IAHE, as well as to manage expectations.

## **5.6 Evaluation Manager**

In principle, OCHA<sup>17</sup> will assume the role of Evaluation Manager. The specific roles and responsibilities of the Evaluation Manager are to:

- Prepare a draft TOR, including budget and timeline, and coordinate the finalization of the TOR in coordination and with support/input from the Management Group;
- Submit the TOR and budget for approval by the IAHE SG;
- Organize the selection and contracting of the evaluation team in coordination and with support of the Management Group;
- Engage with the OCHA Country Office to coordinate the mapping of stakeholders as well as the nomination of participants for the creation of the In-country Advisory Group;
- Manage the approved budget;
- Participate in the scoping mission during the inception phase to engage and familiarize stakeholders on the ground with the processes and objectives of an IAHE and to facilitate its usage;
- Share the final inception report with the IAHE SG;
- Collect key reference documents from the beginning of the emergency and help map the coordination arrangements;
- Organize the evaluation team briefing, and assist in the preparation of field missions;
- Consolidate comments from stakeholders on the various evaluation products (inception and evaluations reports etc.);
- Review draft reports to ensure comments have been reflected;
- Submit, on behalf of the Management Group, the reviewed (and cleared by Management Group) evaluation report for IAHE SG final approval;
- Actively support the IAHE SG in the dissemination of evaluation products;
- Coordinate as relevant between the Evaluation Team, Management Group, IAHE SG, and HC/HCT/In-country IAHE Advisory Group to ensure a smooth and efficient evaluation process, and serve as mediator when/if required.

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<sup>17</sup> Using staff from its evaluation function only.

## 5.7 In-country IAHE Advisory Group

The In-country IAHE Advisory Group (IAHE AG) represents country level stakeholders engaged in the emergency response. It plays a key role in advising the evaluation team and supporting the evaluation through the planning, implementation and follow-up stages. It serves in an advisory capacity only, without having decision-making authority. The specific roles and responsibilities of the IAHE AG are to:

- Together with the HCT, serve as the main link between the IAHE evaluation team and key stakeholder groups involved in the response and/or impacted by the disaster;
- Provide advice and support to the IAHE evaluation team, identifying priority questions for the evaluation to address and support data gathering to ensure that the evaluative process and deliverables provide practical and useful guidance for in-country stakeholders;
- Review and provide appropriate and timely feedback on draft documents related to the IAHE (i.e. inception report, report), which the evaluation team will consider as appropriate in the finalization of evaluation outputs;
- Help promote ownership of respective stakeholder groups of the IAHE process and subsequent use of the report and recommendations and related deliverables;
- Support the HCT in the processes associated with the preparation of the management response, development of action plans to follow up on recommendations, and monitoring of implementation of recommendations; and
- Assist with developing and implementing a communication strategy in support of IAHE processes to promote the reports availability for in-country stakeholders, civil society and partners.

### Working Modalities

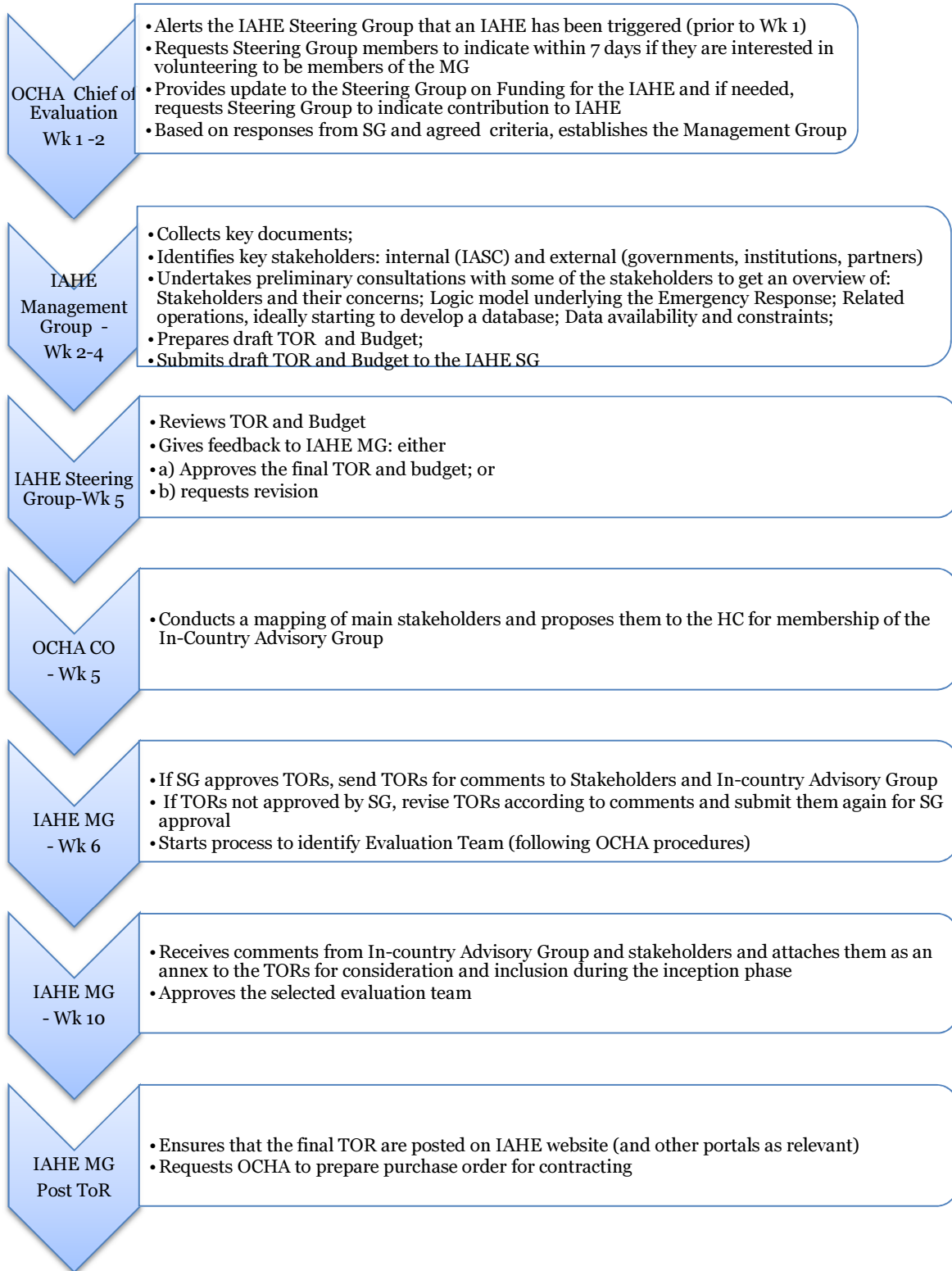
- The membership of the IAHE AG is based on a contextualised ‘mapping’ of key stakeholders that have been directly involved in the humanitarian response, and are appointed by the HC. These comprise UN agencies, international NGOs, local NGOs, key funders of the response, and the government. The OCHA Head of Office will assist in the mapping exercise of these stakeholders and, if no other member of the IAHE AG volunteers, chair and convene the Advisory Group.
- The IAHE AG will typically meet during the inception phase (including during the mission) and during the evaluation phase (including at the beginning and end of the evaluation mission) as well as during the reporting phase to provide inputs to the draft report.
- Under the chairmanship of the HC, the IAHE AG will also meet once the evaluation report has been finalized to discuss the management response and action plan and subsequent updates as required.

## 5.8 Financial Arrangements

OCHA has set up an ‘inter-agency evaluation and review’ account and can receive funds as Special Designated Contributions (SDC). Donors, organizations and agencies will be invited to transfer funding to this account. Organizations providing funds to IAHEs in the calendar year, or to a specific IAHE, will be mentioned on the cover of the report. Efforts will be made to seek funding for evaluations through joint resource mobilization efforts.

## 6 Procedures for Conducting and Managing IAHEs

### A – Preparation Phase: months 3-6 after disaster event / L3 - Process Map





## **6.1 Contracting**

IAHEs are undertaken by independent evaluators who have not been involved with the design and implementation of the intervention being evaluated in any way. OCHA will establish Long-Term Standing Agreements with companies based on a competitive bidding process.

Upon the request for an IAHE, the Evaluation Manager, in consultation with the IAHE Management Group, will seek to select the evaluation team among the companies that have entered into a Long-Term Standing Agreements with OCHA. Should none of those companies be available or present an acceptable proposal to conduct the IAHE, OCHA will seek to contract individual consultants through a transparent and fair decision-making process.

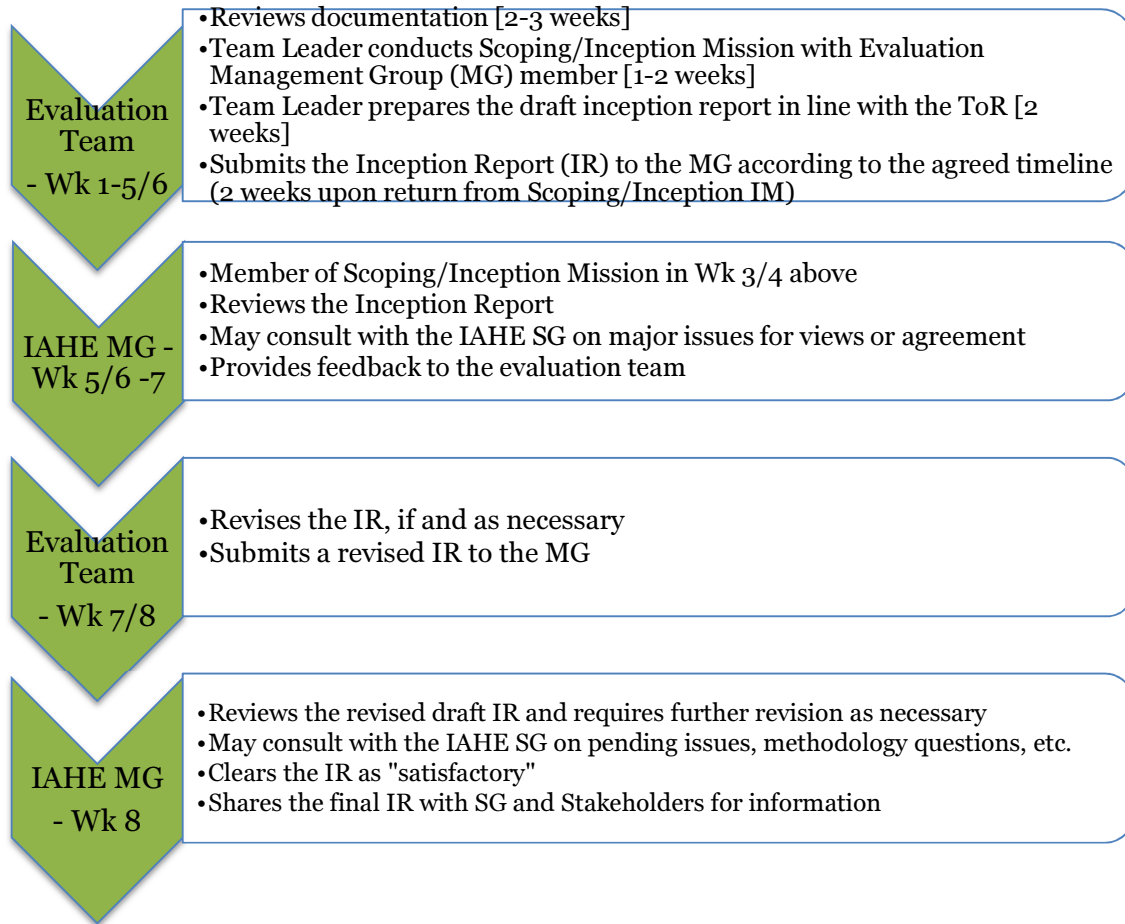
## **6.2 Preparing for an IAHE**

A Management Group will be established for each IAHE and be chaired by OCHA as Evaluation Manager.

At the country level, the OCHA Head of Office will support the RC/HC in establishing and chairing an In-country Advisory Group.

The Management Group will brief the evaluation team (and if needed – hold a face-to-face meeting), in order to discuss the objectives of the evaluation, expectations and possible limitations, define roles and responsibilities, and obtain a common understanding of the TOR.

## B – Inception Phase: months 7 & 8 after disaster event / L3 - Process Map



### 6.3 Scoping Mission and inception report

The Evaluation Manager, the evaluation team leader and possibly other Management Group members, will conduct an inception mission (estimated to be 7 days) in the country. The evaluation TORs, which will inform the scoping mission, will be developed by the OCHA Evaluation Manager, in consultation with the Management Group. Lessons from recent inter-agency evaluations indicate that the inception mission is a key step in building awareness and ownership at the country level and in gaining valuable input and insights to tailor the process, questions and scope of the evaluation to the local context and to local concerns.

The In-country Advisory Group (IAHE AG), chaired by the HC, will be responsible for providing input to the scoping mission and facilitating consultations with stakeholders. The scoping mission will begin with an initial meeting with the IAHE AG, and a debriefing will be held, if possible, with the In-Country Advisory Group at the end of the mission.

At the outset of the mission, the HCT will be briefed on the objectives and processes of the IAHE, and the evaluation team leader will identify -- in close collaboration with the HCT and other key stakeholders, including affected people -- the key issues of concern and scope of the IAHE.

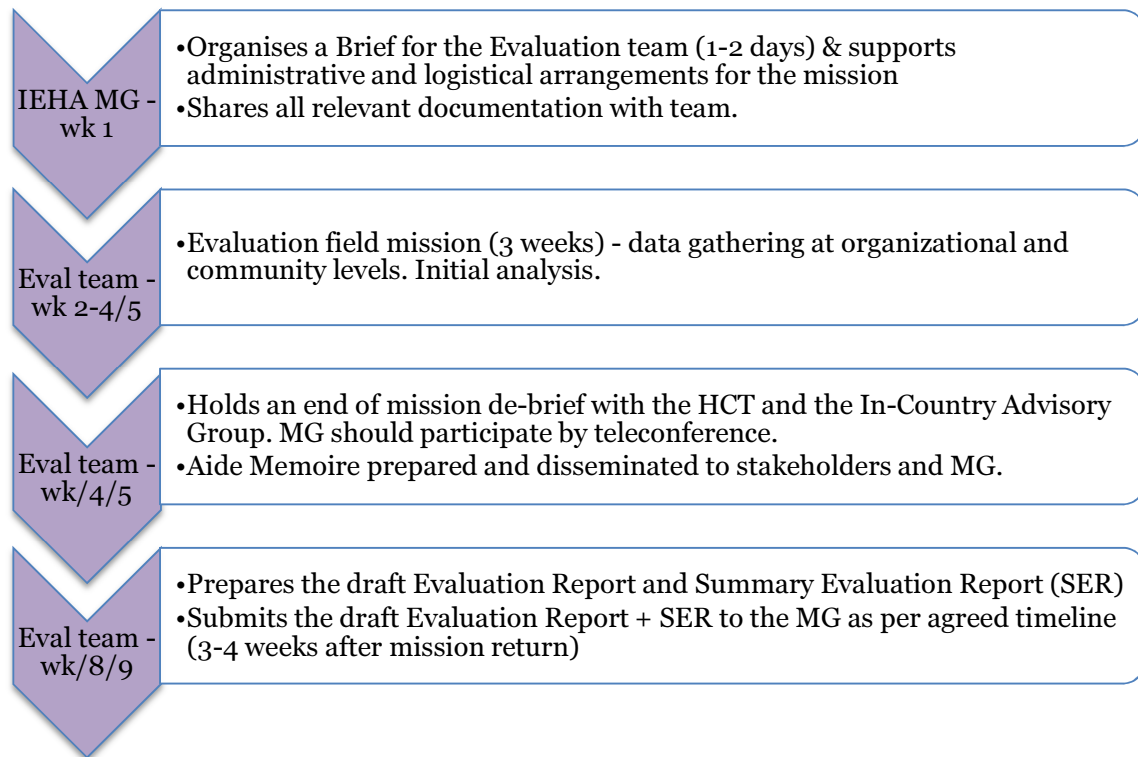
As part of the inception phase, the evaluation team might also undertake interviews and consultations with stakeholders at the HQ/global level, such as the IASC WG and EDG and, if possible, disaster-affected people, in order to identify policy and strategic issues that might have had a bearing on the effectiveness of the specific humanitarian response.

The inception report will, building on the four main questions for IAHEs outlined in section 4 of this document, identify a set of sub-questions and issues to be considered; a methodology for conducting the evaluation; a work plan including a list of interviewees and field missions; a timeline for conducting the evaluation; and an end-of-mission debriefing.

The inception report will also explain how affected people will be consulted throughout the evaluation process and how this information will be used in the evaluation. It will also identify how International Humanitarian Principles are respected in the conduct of the evaluation, i.e., it will ensure that the evaluation approach, methodology and dissemination obey to the principles of independence, neutrality, humanity and impartiality. Further details on the content of the inception report are provided in the inception report outline included in the Annexes.

The Evaluation Manager will disseminate the inception report to the IAHE Management Group and In-country Advisory Group to seek their inputs, coordinate and consolidate comments, and share them with the evaluation team. The evaluation team will address the comments from the Management Group and the In-country Advisory Group and submit a final inception report to the Management Group for its approval. The Evaluation Manager will share the approved inception report with the IAHE SG and relevant stakeholders.

### C – Evaluation Phase: Months 9 & 10 after disaster event / L3 - Process Map



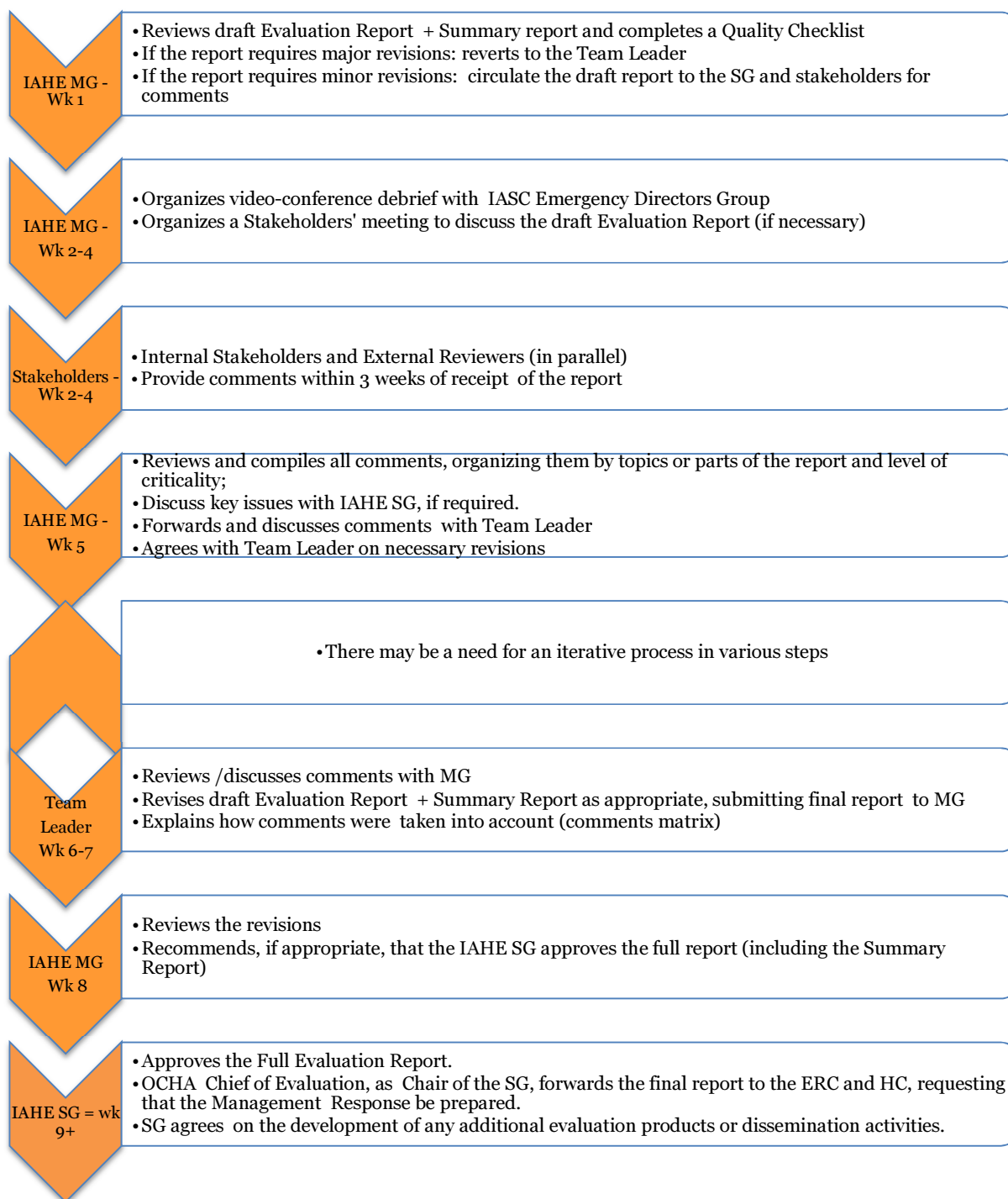
#### 6.4 Evaluation Mission and Drafting of the Report

The evaluation team will conduct the in-country evaluation mission in line with the agreed TOR and approved inception report. The evaluation team will provide feedback and an end of mission debrief to the HCT and the In-country Advisory Group. As appropriate, a debrief may be held at the end of field missions at the sub-national levels. The debriefing will present preliminary key findings, indicative conclusions and potential areas for recommendations.

The Evaluation Manager will also consult with the In-country Advisory Group on the evaluation field mission, timing and interviewees. Within three and four weeks of the in-country debrief and in line with the process map above, the evaluation team should present the Management Group with the draft report.

## 6.5 Finalizing, Reviewing and Approving the Final Report

### D – Finalizing the Report and Communications/Dissemination: months 11-12 + after disaster



Event/L3 - Process Map

The IAHE Management Group (IAHE MG) will review the quality of the draft, after which the Evaluation Manager, on behalf of the IAHE MG will send the draft to the HC and the In-country Advisory Group [requesting that the HC (or designated official) circulate the report to the HCT]. At the same time, the Evaluation Manager, on behalf of the IAHE MG, will circulate the draft report to the IAHE SG for comments.

Comments and feedback on the draft report should be sent to the Evaluation Manager within a maximum of three weeks. Comments do not need to be consolidated by the In-country Advisory Group or HC. The Evaluation Manager will forward comments immediately upon receipt to the evaluation team and IAHE MG, and discuss the comments with the evaluation team as appropriate. The Evaluation Manager will provide a consolidated matrix of all comments received to the evaluation team and IAHE MG at the end of the three weeks.

The evaluation team will be given a maximum of two weeks to incorporate or reject comments, as appropriate. The evaluation team will also provide the IAHE MG with a matrix that indicates which comments were accepted, and if so how were they addressed, and which comments were not accepted, and if so the reasons why.

The IAHE MG will review the final report. It is also responsible for ensuring that comments are adequately considered, errors are corrected and that the final report meets quality standards.

Once the IAHE MG approves the final report based on a majority vote, it will be submitted by the Evaluation Manager to the IAHE SG for its consideration and final clearance. The IAHE SG members will be given one week to review and approve the final report. If an IAHE SG member does not respond, this will be considered acceptance of the final report.

If an IAHE SG member has comments or concerns, these will be shared with the IAHE MG, who will share them with the evaluation team leader before the one week period. The team leader will have one week to consider and respond to the comments. If the team leader does not agree with or address the IAHE SG member's concerns, the IAHE SG member can choose to include a footnote in the relevant section in the final report within one week.

## **6.6 Management Response**

The evaluation report will provide a limited set of actionable recommendations directed to specific individuals or agencies. It will divide these recommendations into two categories: those addressed to in-country responders on operational issues and those addressed to IASC Principals on systemic issues.

The ERC, with the support of the EDG, is responsible for ensuring that country-based recommendations from IAHEs are addressed in a formal management response plan and implementation is monitored over a 12-month period. The HC will, in consultation with the HCT and the In-country Advisory Group, lead the development of the management response plan addressing the in-country recommendations of the IAHE for final endorsement by ERC. The HC will provide an update to the ERC on the implementation of follow-up plans after three months of issuance of the evaluation report.

The IASC Principals are responsible for ensuring that systemic recommendations from IAHEs are addressed in a formal management response plan and implementation is monitored over a twelve month period. The Chair of the IASC WG will facilitate consultations with key stakeholders, including the IASC

WG and the EDG, to inform the development of the management response plan for final endorsement of the IASC Principals.

## **6.7 Dissemination**

In coordination with the HCT, the RC/HC will be responsible for ensuring adequate dissemination of the report at country level and of the formal management response which, together with the report, will be available in the public domain.

The evaluation team will present the findings of the IAHE at the regular IASC meetings in New York and Geneva, subject to availability of funds.

To the extent possible, independent national evaluators who have been part of the evaluation team will present the IAHE findings and recommendations to the affected population consulted, relevant national authorities, and other in-country stakeholders. Other stakeholders, as relevant, may also be involved in disseminating the results.

Summaries and briefs based on the full evaluation report will be prepared to facilitate the dissemination of findings and recommendations. Lessons learned documents will also be produced to feed into knowledge management systems.

IAHE reports will be presented to the relevant agency governing bodies. Results will also be included in annual evaluation reports and other reports to relevant governance bodies.

A meta-analysis may be conducted every two years and shared with the IASC to identify findings and conclusions relevant to global policy and strategy development. The results of the meta-analysis will be presented to ECOSOC. In addition, the Chair of the Steering Group will engage and consult with UN-DESA, to explore the possibility of presenting the results of individual IAHEs during ECOSOC sessions as a side panel, or an ad hoc event.

## **6.8 Information Disclosure Policy**

The IAHE SG is committed to making the evaluation results available to the public. The IAHE SG considers public access to information a key component of effective participation of all stakeholders in the evaluation process.

The IAHE Information Disclosure Policy (hereinafter referred to as the “Policy”) is intended to ensure that information concerning IAHEs is available to all stakeholders and the public, except for limited information that is deemed confidential as set out in this Policy.

This policy recognizes that humanitarian disasters pose potential challenges to UN and NGO relations with governments and other stakeholders. The fundamental principle that applies to information disclosure in these situations -- or in communities with heightened levels of political, social and cultural tensions -- is transparency. However, the IAHE SG recognizes that in certain situations, sensitive information relative to political or other contexts will remain confidential. It will be up to the IAHE SG to decide if information will not be in the public domain.

Final evaluations reports will be published on ReliefWeb (<http://www.reliefweb.int/>), ALNAP (<http://www.alnap.org/>), OCHAOnline (<http://www.unocha.org/>) and on the IASC website (<http://www.humanitarianinfo.org>), as well as on participating agencies websites.



## ANNEXES

### Annex A: Standard Terms of Reference for IAHEs

#### INTER-AGENCY HUMANITARIAN EVALUATION (IAHE) OF (ADD HERE NAME OF THE EMERGENCY AND COUNTRY)

*(DRAFT) TERMS OF REFERENCE, (DATE)*

#### I. INTRODUCTION

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1. Describe the nature of the disaster that will be evaluated and its main characteristics.
2. If an OPR was conducted, refer to it and its linkages to the IAHE.
- 3.

#### II. INTER-AGENCY HUMANITARIAN EVALUATIONS

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4. In December 2012, the IASC Principals endorsed the Transformative Agenda (TA) Protocols, a set of guidance which set the parameters for improved collective action in humanitarian emergencies.<sup>18</sup> These documents set out how all IASC members will work together better in emergencies through exercising stronger leadership, establishing effective coordination structures and increasing accountability to people affected by disasters.

5. The Reference Module for the Humanitarian Programme Cycle (HPC) outlines a strategic process that runs through the cycle of inter-agency coordination, and defines a coordinated series of actions undertaken to help prepare for, manage and deliver humanitarian response. The HPC consists of five phases: preparedness; needs assessment and analysis; strategic planning; monitoring; and operational peer review and evaluation.

6. OPRs and IAHEs are the tools to undertake the last phase of the HPC: operational peer review and evaluation. Both of them assess and reflect on the extent to which the collective response has met its objectives and to provide information on areas of work that need to be improved in the future to make the response more effective. They complement each other, but they are also substantively different.

7. An Operational Peer Review is an inter-agency, internal management tool that assesses progress in four areas: leadership, the humanitarian programme cycle, coordination and accountability to affected people. It identifies areas for improvement (if applicable) early in a response and also collects good practice/learning for country and/or global level action. An

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<sup>18</sup> The Protocols are: Concept Paper on “Empowered Leadership”; “Humanitarian System wide Emergency Activation: definitions and procedures”; “Responding to Level 3 Emergencies What ‘Empowered Leadership’ looks like in practice”; “Reference Module for Cluster Coordination at the Country Level”; “Reference Module for The Humanitarian Programme Cycle”; “Concept paper on the Inter-Agency Rapid Response Mechanism”; “Common Framework for Capacity Development for Emergency Preparedness”; and “Operational Framework for Accountability to Affected Populations”.

OPR is designed to be a light brief and collaborative process, undertaken by peers. OPRs are not an accountability tool.

8. IAHEs, on the other hand, are conducted at a later stage of the humanitarian response and their main purpose is to promote accountability to donors and affected population. The promotion of accountability includes the consistent application of quality standards, adherence to core humanitarian principles<sup>19</sup>, and fostering strategic learning for the humanitarian system. IAHEs are conducted in adherence to the international evaluation principles of independence, credibility and utility.

### III. PURPOSE, OBJECTIVES, SCOPE AND USE OF THE (COUNTRY) IAHE

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9. The purpose of this IAHE is two-fold. First, it will provide an independent assessment of the extent to which planned collective objectives set in the Strategic Response Plan (SRP) to respond to the needs of affected people have been met. Secondly, the evaluation aims to assess the extent to which response mechanisms, including the HPC and other key pillars of the TA have successfully supported the response, and recommend improvement-oriented actions.

10. In addition, the IAHE will also aim to:

- Assess to what extent the collective response to the emergency met objectives as established in the SRP;
- Assess how effectively humanitarian needs were identified and to what extent the collective response adequately met those needs;
- Capture lessons learned and good practices in order to enable collective learning from this humanitarian response;
- Provide actionable recommendations at both the policy and operational levels on how collective response mechanisms might be strengthened, particularly in light of changes in the humanitarian context, including the Humanitarian Program Cycle and the three pillars of the Transformative Agenda.

11. The evaluation will present findings that provide a transparent assessment of progress achieved against the objectives established in the (country) SRP. Evidence and findings of the IAHE will also include the views of disaster-affected people with regard to the overall quality and appropriateness of the assistance received.

12. The evaluation will be global in scope, in that it will cover all sectors of the emergency response to (name of the emergency). In terms of time, the evaluation will consider the collective response provided from the time of the L3 Declaration (date) until the time in which the field visits are conducted (date).

13. The primary users of the IAHE will be the Humanitarian Coordinator and Humanitarian Country Team, which will use the results to ensure accountability and to learn for future similar response. Findings from the IAHE may, where relevant, identify areas that need to be addressed to improve the response, as well as inform longer-term recovery plans and support preparedness

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<sup>19</sup> Humanitarian principles provide the foundation for humanitarian action and they are: humanity, neutrality, impartiality and independence. For more information on humanitarian principles, please see: [https://docs.unocha.org/sites/dms/Documents/OOM\\_HumPrinciple\\_English.pdf](https://docs.unocha.org/sites/dms/Documents/OOM_HumPrinciple_English.pdf)

efforts. Evaluation results<sup>20</sup> are expected to be available before the completion of the preparation of the new SRP. Findings and lessons from this IAHE will therefore serve as inputs to the upcoming SPR. The IAHE is also expected to generate information and analysis relevant to actors engaged in the on-going response, including local, national and donor stakeholders.

14. The secondary users of the IAHE are the IASC Principals, the IASC Working Group and Emergency Directors group, who are expected to use IAHE results and lessons learned as part of their overall monitoring strategies on key strategic issues at the global level, policy-making and conceptualization of the approach to future emergencies. The audience and potential users of the evaluation also include donors, the Government of (name of country) and other national responders, and affected population, which might use the evaluation results for learning, awareness and advocacy purposes.

#### IV. EVALUATION QUESTIONS AND CRITERIA

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15. As per the guidance document “Inter-Agency Humanitarian Evaluations of Large Scale System-Wide Emergencies (IAHEs): Guidelines”<sup>21</sup>, the following key areas of inquiry must be addressed by all IAHEs:

1. To what extent are SRP objectives appropriate and relevant to meet humanitarian needs, and have systems been established to measure their achievement? To what extent are the results articulated in the Strategic Response Plan achieved, and what were both the positive and potentially negative outcomes for people affected by the disaster?
2. To what extent have national and local stakeholders been involved and their capacities strengthened through the response?
3. Was the assistance well-coordinated, successfully avoiding duplication and filling gaps? What contextual factors help explain results or the lack thereof?
4. To what extent were IASC core humanitarian programming principles and guidance applied<sup>22</sup>?

16. In addition to these four core questions, the evaluation team will develop context-specific sub-questions during the inception phase of the individual IAHEs. Contextualization of the present Terms of Reference, taking into account the specific characteristics of the response and the context in which it has taken place, will be conducted in consultation with the HC/HCT during the inception phase of the evaluation. To this purpose, during the inception mission the evaluation team will conduct ample in-country consultations with all key response stakeholders, to ensure that their views on issues that need to be considered, potential sub-questions, etc are incorporated in the IAHE.

17. The evaluation will draw evidence-based conclusions in relation to internationally established evaluation criteria drawn from UNEG norms and guidance<sup>23</sup>, OECD/DAC<sup>24</sup> and the

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<sup>20</sup> Either as a preliminary draft of the evaluation report, or a final version.

<sup>21</sup> See “Inter-Agency Humanitarian Evaluations of Large Scale System-Wide Emergencies (IAHEs): Guidelines” Developed by the IAHE Steering Group, April 2014.

<sup>22</sup> Guidance to be applied includes HPC guidance, MIRA, etc.

<sup>23</sup> See UNEG’s website: [www.uneval.org](http://www.uneval.org).

<sup>24</sup> See the DAC criteria for evaluating development assistance Factsheet at: <http://www.oecd.org/dac/evaluation/49756382.pdf>

ALNAP criteria for the evaluation of humanitarian action,<sup>25</sup> including: i) relevance, ii) coherence, iii) coverage, iv) connectedness, v) efficiency, vi) effectiveness, vii) impact, viii) sustainability, ix) coordination and x) protection. Not all criteria may necessarily be applicable, and the evaluation team will need to assess which criteria are most relevant during the inception phase of the IAHE.

## V. METHODOLOGY

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18. The evaluation will use mixed method analysis, employing the most appropriate qualitative and quantitative approaches, data types, and methods of data analysis. To ensure maximum validity and reliability of data, the evaluation team will ensure triangulation of the various data sources.

19. The evaluation team will be guided by the major analytical frameworks that form the basis for drawing final conclusions and generating forward-looking recommendations, namely: the IAHE key questions, the SRP, as the main reference to assess whether the response objectives have been achieved, and the IAHE impact pathway, which outlines the components of an “ideal humanitarian response”.<sup>26</sup>

20. During the inception phase, the evaluation team will propose a detailed methodology that the evaluation team will use to address key questions, develop sub-questions, and assess the results of the collective humanitarian response. The proposal should include a description of data sources, data collection and analysis methods/tools, indicators, triangulation plan, financial overview, factors for comparative analysis, and validation strategy, as well as how the team intends to incorporate the views of affected people.

21. Methods of analyses may include, among others: the review of various sources of information, including review of monitoring data; field visits; interviews with key stakeholders (affected population, UN, NGOs, donors, government representatives and civil society organizations); (gendered) focus groups and cross-validation of data. Consultations will ensure that diverse stakeholder groups are included, paying specific attention to adequately engage women, men, boys and girls of different ages, and taking into consideration the existence of disadvantaged groups, such as people with disabilities. The evaluation approach will be in line with UNEG guidance on integrating human rights and gender equality, with ALNAP guidelines on evaluating humanitarian action, UNEG norms and standards and the International Humanitarian Principles.

22. In line with the System-wide Action Plan (UN-SWAP) on gender equality and the IASC Gender Equality Policy Statement<sup>27</sup>, the evaluation will use gender analysis, and will specifically assess the extent to which gender considerations have been taken into account in the provision of the response. The final report should acknowledge how inclusive stakeholder participation was ensured during the evaluation process and any challenges to obtaining the gender equality information or to addressing these issues appropriately.

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<sup>25</sup> See the *ALNAP guide for humanitarian agencies: Evaluating humanitarian action using the OECD/DAC criteria* at [www.alnap.org/pool/files/cha\\_2006.pdf](http://www.alnap.org/pool/files/cha_2006.pdf)

<sup>26</sup> See Annex 1 of the ToR – Impact Pathway for IAHEs.

<sup>27</sup> Approved by the IASC Working Group on 20 June 2008.

23. The evaluation team will conduct field visits to the affected areas. The team should seek to spend the necessary amount of time during the field mission to conduct direct consultations with local communities affected by the disaster and that have received international assistance. The evaluation should, wherever possible, undertake systematic data gathering from both beneficiaries and non-beneficiaries on the appropriateness and quality of the assistance provided. In deciding the amount of time to be spent in consultations with communities in the affected areas, it is important that the evaluation team keeps a balance in the need to identify high level and strategic themes, and the need to ensure sufficiently ample consultations.

24. The inception report will also provide a detailed stakeholder analysis and a clear indication of on how/who of national entities and communities will be (a) consulted (b) engaged with (c) involved in the evaluation process as relevant. The evaluation team should explicitly describe in the inception report the approaches and strategies that will be used to identify and reach response beneficiaries and affected people, and to adequately engage women, men, boys and girls of different ages, taking into consideration the existence of disadvantaged groups. These strategies may include, among others, the selection of key informants, use of snowball sampling strategies, use of focus groups, etc. The advantages and limitations of the use of these methods should also be clearly explained.

25. Adherence to a code of ethics in the gathering, treatment and use of data collected should be made explicit in the inception report.

26. An evaluation matrix will be prepared during the inception phase in which sources of data, methods and criteria will be defined for each evaluation question.

## **VI. MANAGEMENT ARRANGEMENTS AND STAKEHOLDER PARTICIPATION**<sup>28</sup>

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### **A. (Country) Inter-Agency Humanitarian Evaluation Management Group (IAHE MG)**

27. The evaluation will be managed by the (country) IAHE Management Group, which is chaired by OCHA. The (country) IAHE Management Group will provide sustained support and guidance to the evaluation process, in order to ensure its relevance, independence and transparency, and promote the utilization of evaluation results. The (country) IAHE Management Group will be comprised of the following organizations: WFP, UNICEF and FAO.

28. In accordance with IAHE Guidelines, IAHE Management Group members will act as point of contact for the evaluation for their organizations, and provide quality control and inputs to the IAHE (including during the development of the TORs, evaluation team briefing, review and approval of the inception report, and review of the draft report and presentations) and will facilitate dissemination and follow up of the final evaluation report cleared by the IAHE Steering Group.

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<sup>28</sup> For further details on the specific roles and responsibilities of the different IAHE stakeholders, please see “Inter-Agency Humanitarian Evaluations of Large Scale System-Wide Emergencies (IAHEs): Guidelines, developed by the IAHE Steering Group, April 2014.

29. The Chair of the IAHE Management Group will be OCHA’s Chief of the Evaluation Unit. He/she will be the main point of contact for the evaluation and will ensure day-to-day support and consistency throughout the evaluation process, from drafting the Terms of Reference to the dissemination of the report. OCHA’s Chief of Evaluation will also be the contact person for administrative and organizational issues, and will coordinate activities of the different stakeholders involved in the evaluation. He/she will organize and supervise the different phases of the evaluation process and ensure the quality of all deliverables submitted by the evaluation team.

30. The HC for (country) will appoint an in-country focal point for the evaluation to act as point of contact with the IAHE Management Group, facilitate access to pertinent information and relevant documents and to help organize the field visits.

### **B. IAHE In-country Advisory Group**

31. An in-country Advisory Group for the IAHE will also be formed, to represent country-level stakeholders that have been directly involved in the response or affected by the disaster. The roles and responsibilities of this group include: to serve as the main link between the IAHE evaluation team and key stakeholder groups, to help the evaluation team identify priority questions for the evaluation, to provide feedback on key evaluation issues and evaluation deliverables such as the inception and draft evaluation reports, to help promote ownership of respective stakeholder groups, and to assist in the development and implementation of a communication strategy for the IAHE findings.

32. The membership of the In-Country Advisory group will be based on a “mapping” of key stakeholders. Stakeholders in the IAHE In-Country Advisory Group may include UN Agencies, international and local NGOs, key donors, national entities, government representatives, private sector representatives and civil society representatives. Members of the In-Country Advisory Group will be appointed by the HC.

### **C. Inter-Agency Humanitarian Evaluation Steering Group (IAHE SG)**

33. As per IAHE Guidelines, the IAHE Steering Group will approve the IAHE Terms of Reference, as well as final evaluation report, on the basis of the recommendations provided by the IAHE Management Group.

## **VII. DELIVERABLES AND REPORTING REQUIREMENTS**

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34. The quality of the evaluation report will be assessed according to the UNEG Norms and Standards for Evaluation and the OCHA Quality Assurance System for Evaluations.

35. The inception and draft reports will be produced jointly by the members of the evaluation team and reflect their collective understanding of the evaluation. All deliverables listed will be written in good Standard English. If in the estimation of the Evaluation Manager the reports do not meet required standards, the Evaluation Team will ensure at their own expense the editing and changes needed to bring it to the required standards.

### **A. Inception Report**

36. The Evaluation Team will produce an inception report not to exceed 15000 words, excluding annexes, setting out:

- The team’s understanding of the issues to be evaluated (scope), questions that the IAHE intends to answer, and their understanding of the context in which the IAHE takes place;
- Inclusion of a comprehensive stakeholders mapping and analysis;
- Any suggested deviations from the ToRs, including any additional issues raised during the initial consultations;
- Evaluation framework, selected criteria of analysis and sub-questions;
- An evaluation matrix showing, for each question, the indicators proposed and sources of information;
- Methodology, including details of gender analysis and triangulation strategy;
- Data collection and analysis tools that will be used to conduct the IAHE (survey, interview questions, document with the preparation of field visit and schedule of interviews, etc.);
- Any limitations of the chosen methods of data collection and analysis and how they will be addressed;
- How will the views of the affected populations as well as protection and gender issues be addressed during the evaluation;
- Data collection and analysis plan;
- Detailed fieldwork plan;
- Detailed timeline for the evaluation;
- Interview guides, survey instruments, and/or other tools to be employed for the evaluation;
- Draft dissemination strategy of the evaluation findings (including with the IAHE Management Group and the IAHE In-Country Advisory group).

## **B. Evaluation Report**

37. The Evaluation Team will produce a single report, written in a clear and concise manner that allows readers to understand what are the main evaluation findings, conclusions and corresponding recommendations, and their inter-relationship. The report should be comprised of:

- Executive summary of no more than 2500 words;
- Table of contents;
- Summary table linking findings, conclusions and recommendations, including where responsibility for follow up should lie;
- Analysis of context in which the response was implemented;
- Methodology summary – a brief chapter, with a more detailed description provided in an annex;
- Main body of the report, including an overall assessment, findings in response to the evaluation questions, conclusions and recommendations;
- Annexes will include: (1) ToR, (2) Detailed methodology, (3) List of persons met, (4) Details of qualitative and quantitative analysis undertaken, (6) Team itinerary, (7) All evaluation tools employed, (8) List of acronyms; and (9) Bibliography of documents (including web pages, etc.) relevant to the evaluation; (10) Assessment of the usefulness of the IAHE guidelines and process and main recommendations for their improvement.

38. For accuracy and credibility, recommendations should follow logically from the evaluation findings and conclusions, and be:

- Categorised as a) Critical, b) Important, or c) Opportunity for learning.
- Relevant, realistic and useful and reflect the reality of the context;
- Specific, measurable, clearly stated and not broad or vague;
- Realistic and reflect an understanding of the humanitarian system and potential constraints to follow-up;
- Suggest where responsibility for follow-up should lie and include a timeframe for follow-up.
- A rating on the achievement of specific SRP outcomes will also be included.

The draft report will be reviewed by the IAHE Management Group and the final version cleared by the IAHE Steering Group prior to dissemination.

### **C. Other evaluation products.**

39. The Evaluation Team will also produce presentations, as requested by the Evaluation Management Group, including presentations to HC/HCT, IASC members, in-country presentations to local communities and affected people, etc.

40. Additional evaluation products such as briefs, video presentations or précis may be proposed in the inception report.

## **VIII. DISSEMINATION AND FOLLOW UP**

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41. The Evaluation Team will conduct the following presentations:

- At the end of the field visit, the evaluation team will conduct an exit brief with the IAHE In-Country Advisory Group and the IAHE Management Group to share first impressions, preliminary findings and possible areas of conclusions and recommendations. The brief will also help clarify issues and outline any expected pending actions from any stakeholders, as relevant, as well as discuss next steps;
- Upon completion of the draft evaluation report, the results of the IAHE will be presented by the evaluation team (or evaluation manager) to the IASC in New York and Geneva;
- Once the evaluation is completed, presentations of the main findings and recommendations will be made available to various fora as decided by OCHA and the IAHE Management Group. The Evaluation Team may be requested to assist with these presentations.

42. The IAHE final report will also be submitted to the IASC Working Group, the EDG and the Principals.

43. Once the evaluation results are finalized, national evaluators will help feed back results to communities who participated in the evaluation and to affected people and communities.



44. In addition to the Evaluation Report and oral briefings, the evaluation findings and recommendations can be presented through alternative ways of dissemination, such as video. The Evaluation Team will consider possible ways to present the evaluation and include a dissemination strategy proposal in the Inception Report.
45. The recommendations of the evaluation will be addressed through a formal Management Response Plan (MRP). The preparation of the MRP will be facilitated by the IASC Working Group Chair. Three months after the issuance of the IAHE report, the HC in (country) will provide the ERC, the IASC Working Group and the IASC Emergency Directors with an update on the implementation of follow-up plans.

## *IX. THE EVALUATION TEAM*

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46. The Evaluation Team will be recruited through a competitive bidding process. The evaluation will require the services of an Evaluation Team of (estimated number) members with the following collective experience and skills:

- Extensive evaluation experience of humanitarian strategies and programmes, and other key humanitarian issues, especially humanitarian finance and funding instruments;
- Experience with and institutional knowledge of UN and NGO actors, inter-agency mechanisms at headquarters and in the field;
- Extensive knowledge of humanitarian law and principles, and experience with using human rights, protection and gender analysis in evaluations (at least one of the team members should have experience in gender analysis);
- Good understanding of cross-cutting issues, such as gender, resilience, transition, etc;
- An appropriate range of field experience;
- Experience in facilitating consultative workshops involving a wide range of organizations and participants;
- The team leader should have excellent writing and communication skills in English.
- Other skills needed.

All efforts should be made so that at least two of the evaluation team members are nationals of (country), as they are to play a key role in ensuring that the views of local communities and affected people are incorporated in the evaluation. They will also play a key role in disseminating the evaluation results to affected communities.

47. The Evaluation Team will include a Team Leader, who is responsible for the overall conduct of the evaluation in accordance with the ToR, including:

- Developing and adjusting the evaluation methodology;
- Managing the evaluation team, ensuring efficient division of tasks between mission members and taking responsibility for the quality of their work;
- Undertaking the inception field mission;
- Representing the Evaluation Team in meetings;
- Ensuring the quality of all outputs; and
- Submitting all outputs in a timely manner.

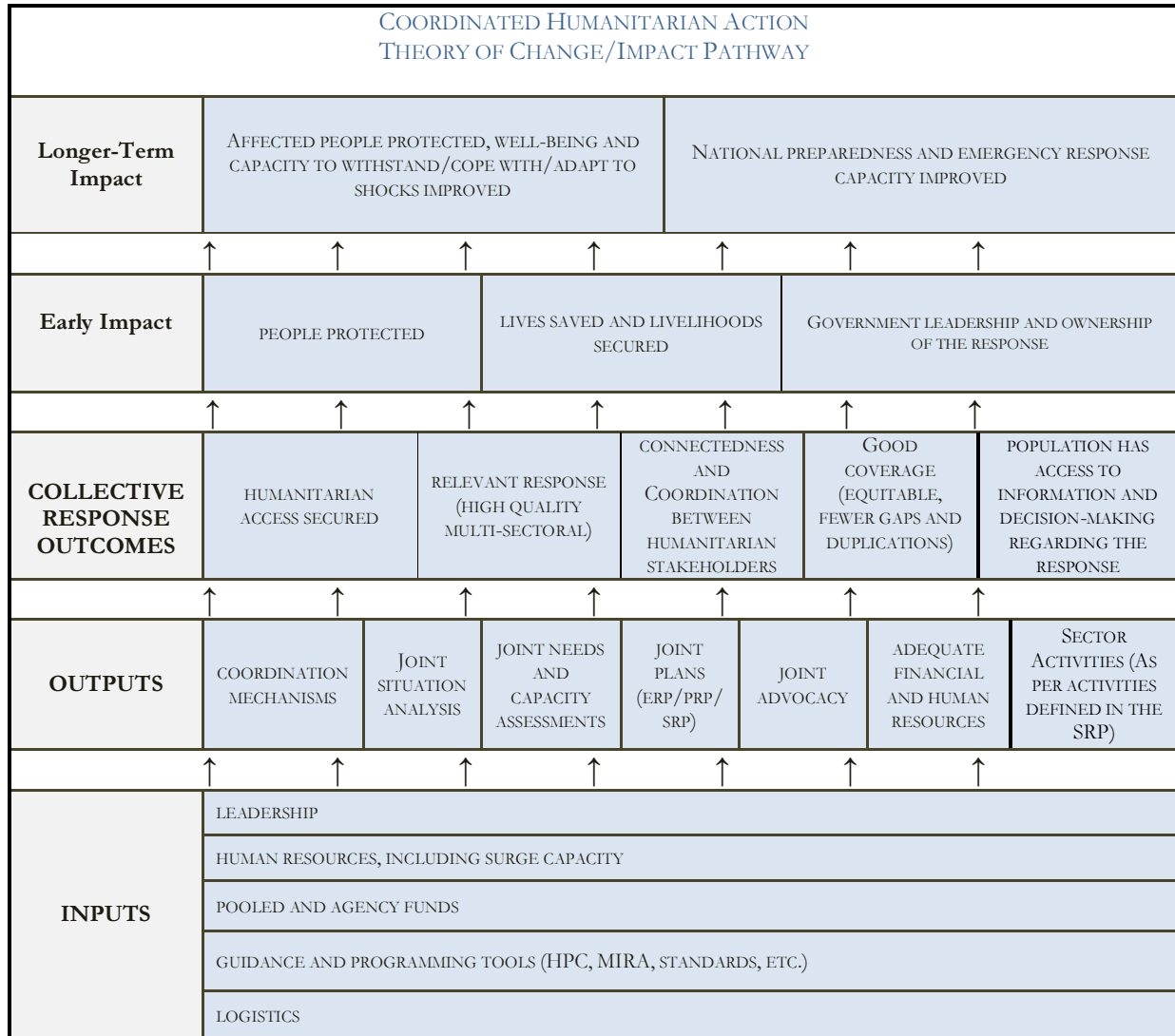
48. The Team Leader will have no less than 15 years of professional experience in humanitarian action, including experience in management of humanitarian operations. S/he will, further, have at least seven years of experience in conducting evaluations of humanitarian operations and demonstrate strong analytical, communication and writing skills.

49. To the extent possible, the Evaluation Team will be gender balanced and represent geographical diversity. All efforts should be made to include nationals of the country evaluated as members of the evaluation team.

#### TIMELINE AND PHASES OF THE EVALUATION

<b>Main Phases</b>	<b>Timeline</b>	<b>Tasks and Deliverables</b>
1.Preparatory		Draft and Final TOR Evaluation Team and/or firm selection & contract. Briefing at HQ
2. Inception		Document Review Inception Mission and inception reports.
3. Evaluation, including fieldwork		Evaluation mission, data collection . Exit debriefing Analysis
4. Reporting		Report Drafting Comments Process Final evaluation report
5. Dissemination and HCT Response to Recommendations		Summary Evaluation Report Editing / Evaluation Report Formatting Management Response and Executive Board Preparation

Annex 1 to IAHE TORs – IAHE Impact Pathway



## Annex B: Outline for IAHE Inception Report

[DRAFT] INCEPTION REPORT  
[TITLE OF THE INTER-AGENCY HUMANITARIAN EVALUATION]

DATE AND AUTHOR

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## **1. Introduction**

### **1.1. Evaluation Features**

1. Define IAHE
2. Present rationale, objectives and users of the evaluation.
3. Briefly describe the purpose of the Inception Report, its place within the evaluation process and the activities carried out in preparation of the IR.

### **1.2. Country Context**

4. Provide information that helps understand the context in which the emergency took place:
  - Poverty and social indicators.
  - Government strategy - policies and programmes.
  - Existing in-country plans/ infrastructure, capacities, etc, to respond to the emergency.
  - Humanitarian situation and challenges.
  - International assistance.

## **2. Subject of the Evaluation and Stakeholders**

### **2.1. The Strategic Response Plan in [specify country name]**

5. Provide additional info to TOR on:
  - The SRP and its main characteristics.
  - Data on the operations that fall within the scope of the evaluation levels of funding and funding source.
  - Key external events which led to significant changes in response, etc.
  - “New” initiatives and their relative weight (e.g. cash and vouchers, P4P, grants/TF activities);
  - The HCTs work in relation to the Program Cycle (i.e. needs assessment, strategic response plan, resource mobilization, monitoring, etc.)

### **2.2. Stakeholder Analysis**

6. Building on the preliminary stakeholders’ analysis in the TOR, and meetings and consultations during the inception period, provide necessary and relevant information to establish an overview of the key stakeholders and inter-relationships.
7. Use appropriate analytical tools for this purpose such as accountability maps, force-field analysis, power-to-influence, stakeholder matrix, partnership maps, etc.
8. For each group of stakeholders, specify concrete agencies or individuals, describe their role in the subject of evaluation and analyse the nature of their stake/interest, including what do they stand to gain or lose from the results of the evaluation.
9. Determine whether different stakeholders may have different ways of valuing/evaluating the impact and outcomes of assistance provided as an input for the methodology development (participatory approach concerning beneficiary perspectives).

### **2.3. Current knowledge about the response to date**

10. Reference should be made to any findings arising from individual agency evaluations, lessons learning or performance assessment work that has taken place before the IAHE, or findings from the Operational Peer Review. It should be explained how the evaluation team has reviewed these systematically and drawn from them both to refine their questions and to take advantage of existing evidence. The views of key stakeholders on these assessments should be included.

## **3. Evaluation Methodology**

### **3.1. Methodological Approach**

11. Present the chosen methodological approach showing clearly how it will minimize threats to validity and ensure the reliability and credibility of the evaluation.
12. Describe how the perspective of key stakeholders will be included – including those of affected people, and how the evaluation will aim to reach all segments of the population, including men, women, boys and girls, and disadvantaged groups.
13. Describe how gender and other key cross-cutting issues will be addressed in the evaluation, building on the framework presented in the TOR.

### **3.2. Evaluation criteria**

14. Describe the evaluation criteria that was selected among most relevant for the evaluation, of all the criteria presented in the TOR. Explain why was this criteria seen as most relevant.

### **3.3. Evaluation Questions**

15. Elaborate here on the questions that will be addressed by the evaluation. In addition to the core four evaluation questions in the TORs, explain here which are the additional questions/ sub-questions identified by the evaluation team during the inception mission and in consultation with stakeholders. Explain the relevance of addressing those questions, and how they were identified (e.g. consultations during the inception mission, etc).
16. Addressing each of the four key evaluation questions in the TOR, as well as any other key questions/ sub-questions identified during the inception mission, develop an evaluation matrix. Present the matrix in Annex and provide a brief summary here.
17. For each evaluation question of the matrix, identify:
  - a. Sub-questions;
  - b. Criteria of analysis;
  - c. A set of indicators to measure performance, explicitly referring to the logic model used;
  - d. Possible benchmarks (including good practice standards, performance assessment of comparator agencies, etc.);
  - e. The relevant parts of the methodology (and which specific methods) that will contribute to answering the (sub-)questions;
  - f. How the data from each of these will be triangulated to inform findings;
  - g. Sources of information (specifying where secondary data will be used and where primary data is needed).

### **3.4. Data Collection Methods**

18. Provide detailed overview of the data collection methods building on the preliminary methodology guide in the TOR. Explain and justify how the methodology is modified from that presented in the TOR.
19. Explain how data gaps will be filled and how information will be gathered, analysed and used to answer all the questions in the evaluation matrix (e.g. with reference to specific field instruments).
20. Define the nature of data information collection methods and field instruments. Highlight their comparative advantage, inherent constraints and solutions to address them.
21. The chosen methods should be explicitly linked to the evaluation matrix and be informed by the stakeholder analysis in 2.2 as well as by an analysis of the reliability and completeness of the data collected during the design and inception phases (secondary data, M&E information, previous evaluations, etc.).
22. Present the sampling strategy; explain process and criteria. NB - The sampling strategy should explicitly be linked to the analysis of the programme/activity in 2.1.
23. Present a summary description of fieldwork tools. (Actual fieldwork tools should be presented in an annex).
24. Specify how data will be checked and cleaned.
25. Explain the strategy for data analysis, including how data will be triangulated for conclusion drawing, and expected displays of data (tables, graphs, photos, network maps, diagrams, text, etc.).
26. A complete methodology guide building on that presented in the TOR should be contained in the IR, annexes covering data collection instruments and further details as agreed by the Management Group.

### **3.5. Quality Assurance**

27. Mention any step that the evaluation team will take to ensure the quality of the evaluation process and products (e.g. how data errors arising from proposed data collection methods will be addressed, etc.).
28. Indicate any potential conflict of interest that any of the evaluation team members may have and how it will be managed.

### **3.6. Risks and Assumptions**

29. Mention any limitations to conducting the evaluation (e.g. problems with logic model or definition of results, logistical bottlenecks, time and budget limitations, stakeholder interests etc.) besides those already stated in the TOR.
30. Explain how the team will address these.
31. Mention additional risks and/or assumptions, implications and how these will be moderated.

## **4. Organization of the Evaluation**

### **4.1. Team composition, workplan and schedule**

32. Present the composition of the evaluation team and primary role and responsibilities of team members in line with expertise and evaluation requirements in the TOR, and the areas to be covered in the evaluation matrix.
33. Present a work-plan for each team member in line with the deliverables agreed according to roles and responsibilities (above). Explain how individual inputs will be translated into expected evaluation products.
34. Provide final agreed schedule of activities including consultation with stakeholders and interaction points (e.g. briefings, de-briefings, etc.) and deadlines for delivery of key evaluation products. These may also include feedback sessions with stakeholders on interim products such as desk reviews of the policy (comparative analysis of the policy with good practice). Explain any variations from the TOR.
35. Add a detailed presentation of support needs and provider source during the evaluation process (e.g. transportation, interpretation).
36. Prepare a detailed field work schedule (by days, team member, locations, stakeholders, etc) to enable the COs to organize appointments and make logistics arrangements (the detailed plan can be presented in an annex and should be done in ways that it is a pragmatic working tool for COs).

### **4.2. Communication and Dissemination**

37. Explanation should be provided on how the evaluation findings will be shared during and after the evaluation



## 5 Annexes

**Annex 1: [title for first annex mentioned in main body of text]**

**Annex 2: [title for second annex mentioned in main body of text]**

**Annex n: [etc.]**

Ensure to number and include annexes in the order in which they appear in the main text. Some of the expected annexes are:

- TOR (main body, not annexes)
- Bibliography
- Methodology
- Evaluation Matrix
- Revised methods guide including Fieldwork Tools, including : i) quantitative surveys and protocols for qualitative data collection;
- List of People Met/Interviewed
- Others (list titles)

## 6 Acronyms

## **Annex C: Annotated Evaluation Report Outline**

[DRAFT] ANNOTATED EVALUATION REPORT OUTLINE

[TITLE OF THE INTER-AGENCY HUMANITARIAN EVALUATION]

## **Annotated evaluation report outline**

*The annotated outline is an annex to the evaluation Terms of Reference. The evaluation team can adjust the structure of this report to suit the specific needs of an evaluation, as long as the headings are maintained in the report and the flow of information and analysis is coherent and clear.*

*The report should be presented with numbered chapters and paragraphs, following the template of this document.*

*The length of Inter Agency Humanitarian Evaluation reports should be of approximately 15-18,000 words, excluding executive summary (max 4,000 words) and annexes.*

**The text and the bullet points under each heading are to be used as reference for the contents to be included in the report.**

## **Acknowledgements**

[include acknowledgement here]

## **Disclaimer**

The opinions expressed are those of the Evaluation Team, and do not necessarily reflect those of the IAHE Steering Group members or the Management Group. Responsibility for the opinions expressed in this report rests solely with the authors.

## **Evaluation Management**

Evaluation Manager: [name and title of evaluation manager]

Members of Evaluation Management Group [name and titles]

www. (location of the report online)

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**Fact Sheet: Emergency Response in [country name]**

## Summary Evaluation Report

1. Purpose: The Summary Evaluation Report is a stand-alone summary evaluation report. It has to provide a complete and balanced synthesis of the evaluation findings, conclusions and recommendations.
2. Introduction including main points on evaluation features, context and the emergency response.
3. Key Findings on the 4 Core Evaluation Questions, as well as other important questions identified:
  - a) Were the results articulated in the Strategic Response achieved, and what were both the positive and potentially negative outcomes for people affected by the disaster?
  - b) To what extent have national and local stakeholders been involved and their capacities strengthened through the response?
  - c) Was the assistance well-coordinated, successfully avoiding duplication and filling gaps? What contextual factors help explain results or lack thereof?
  - d) To what extent were IASC core humanitarian programming principles and guidance applied?
  - e) Other important findings.
4. Conclusions: overall assessment and main recommendations.
5. Note: the Summary should not exceed 2,500 words.

## Map

## **1. Introduction**

### **1.1. Background and Purpose of the Evaluation**

5. Brief overview of the evaluation features to explain why and how the evaluation was carried out. It should include information about: the evaluation rationale, objectives and scope of the evaluation, stakeholders and users;

### **1.2. Methodology**

6. Methodology and its limitations, main activities including timing and duration of fieldwork, evaluation team, and quality assurance.
7. This section should be short (about 1 page); full details are to be provided in annexes.

### **1.3. Country Context**

8. Includes information about:
  - Poverty and social indicators (trends data).
  - Government strategy - policies and programmes, capacity to respond to humanitarian emergencies.
  - Humanitarian situation - disasters/crises (natural and/or man-made) over the recent past and key humanitarian/development challenges.
  - International assistance - long-standing donors/agencies in the country, level of resources, humanitarian and development assistance, etc.

### **1.4. Emergency Response and Strategic Plan in [name of the country]**

9. Data on the operations that fall within the scope of the evaluation - number, types, geographical distribution, number of beneficiaries, levels of funding;
10. Key external events which led to significant changes in implementation of SRP.
11. “New” initiatives and their relative weight
12. Overview of the HCT Strategic Response Plan and its implementation (e.g. needs assessments, resource mobilization, monitoring, etc.)

## **2. Evaluation Findings**

- 2.1. Were the results articulated in the Strategic Response achieved, and what were both the positive and potentially negative outcomes for people affected by the disaster?**
- 2.2. To what extent have national and local stakeholders been involved and their capacities strengthened through the response?**



- 2.3. Was the assistance well-coordinated, successfully avoiding duplication and filling gaps? What contextual factors help explain results or lack thereof?**
- 2.4. To what extent were IASC core humanitarian programming principles and guidance applied?**
- 2.5. Other important findings**

### **3. Conclusions and Recommendations**

#### **3.1. Overall Assessment and Conclusions**

13. Provides a balanced assessment of results on the basis of the findings related to the three main evaluation questions, considering the evaluation criteria agreed at the inception stage: 1) relevance; 2) coherence; 3) coverage; 4) connectedness; 5) efficiency; 6) effectiveness; 7) impact; 8) sustainability; 9) coordination and 10) protection.
14. Conclusions on the findings focusing on explaining why the operation performed as it did: issues that affected the performance and results of the operation that should be highlighted.

#### **3.2. Recommendations**

15. Recommendations should
- a. Be few (10 maximum);
  - b. Follow logically from the findings and conclusions;
  - c. Be relevant and realistic (implementable), and oriented to strategic change;
  - d. Prioritized phased and sequenced logically.
  - e. Targeted at key actors;
  - f. Grouped by type of recommendation (e.g. critical, important, or opportunity for learning, in agreement with evaluation manager).
  - g. Be clear and concise.

#### **3.3. [Key Lessons for the Future] (optional)**

16. This section of the report is optional, in case the evaluation team has found lessons worth noting, but that do not lend themselves to concrete recommendations.

## **Annexes**

**Annex 1: [title for first annex mentioned in main body of text]**

**Annex 2: [title for second annex mentioned in main body of text]**

**Annex n: [etc.]**

17. Annexes should be supporting/expanding on text in the main report, and should not include all working documents of the evaluation team.
18. They should be listed in the order in which they are cited in the main text.
19. If the full report, including annexes, exceeds 100 pages consider separating essential annexes (to be included) and supplementary annexes (second volume).
20. Ensure to include the following annexes:
  - a. TOR (without the annexes of the TOR).
  - b. Detailed Methodology
  - c. Details of qualitative and quantitative analysis undertaken
  - d. Evaluation tools employed
  - e. Evaluation Team itinerary
  - f. Evaluation Matrix
  - g. Bibliography of documents relevant to the evaluation
  - h. List of People Met/Interviewed
  - i. Others (list titles)
  - j. Supplementary Annexes (including summary fieldwork agenda, etc).
  - k. Any technical annexes agreed at Inception.

## **Acronyms**