Evaluation Guideline
For the Austrian Red Cross
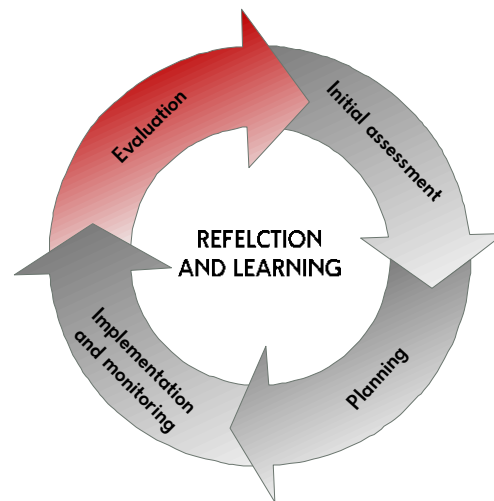# International Aid Department

Vienna

December 2011

1 Introduction

This guideline has been largely adopted from the IFRC Framework for Evaluation[1] with prior consent by the Planning and Evaluation Department of the Secretariat of the International Federation of Red Cross and Red Crescent Societies (IFRC Secretariat). All projects and programmes carried out by the Austrian Red Cross / International Aid Department (AutRC/IntAid) are implemented within the Red Cross Red Crescent Movement in cooperation with IFRC, ICRC and/or the local National Society. The coordinating role of the IFRC Secretariat is acknowledged and therefor it has been avoided to create an own evaluation guideline for the AutRC/IntAid. By adopting the IFRC Framework for Evaluation the AutRC/IntAid intends to contribute to a Federation wide harmonisation of standards and procedures in order to minimise the burden on its partners. It has to be accounted for that AutRC/IntAid programmes/projects are implemented under different conditions than IFRC Secretariat's programmes/projects in terms of legal status, partner and donor relations, financing, project size and duration. Therefore it was necessary to adapt the IFRC Framework to the specific AutRC/IntAid context, in particular section 5: Evaluation Process.

In the project/programme cycle (Figure 1) evaluation forms the link between the actual implementation and the further development of a project or a programme and therefore contributes to

- organizational learning,
- accountability,
- and our mission to best serve those in need.

Figure 1: The project/programme cycle[2]

The purpose of this Evaluation Guideline is to guide how evaluations are planned, managed, conducted, and utilized by the Austrian Red Cross / International Aid Department. It is designed to promote reliable, useful, ethical evaluations and upholds AutRC/IntAid commitment to transparency, providing a publicly accessible document to all stakeholders so that they may better understand and participate in the evaluation function. This guideline also demonstrates AutRC/IntAid commitment to improving the importance and utility of evaluation, modelling credible and legitimate practices.

The content of this guideline is organized into four additional sections. Section 2 provides an overview of the concept and role of evaluation in the AutRC/IntAid. The next three sections discuss the parts of

---

1 The IFRC Framework for Evaluation can be downloaded from the IFRC homepage: http://www.ifrc.org/Global/Publications/monitoring/IFRC-Framework-for-Evaluation.pdf

2 IFRC 2009 – Project/programme planning, Guidance manual

the evaluation guideline as presented in Figure 2: Section 3 identifies the evaluation criteria that inform *what* we evaluate; Section 4 identifies the evaluation standards that guide *how* we evaluate; and Section 5 expands upon the standards with specific practices to guide the evaluation process. While this guideline seeks to provide some practical guidance to its implementation, it is beyond the scope of the guideline to provide complete evaluation guidance. Instead, the guideline identifies key evaluation practices, which can be complimented by additional guidance listed in Annex 1: Resources.[3]
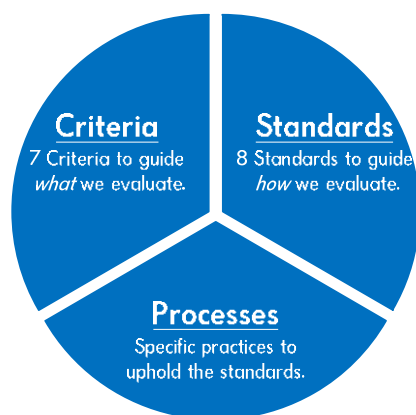
Figure 2: Key Parts of the Evaluation Guideline

This guideline is intended for two audiences.

First, it is intended to guide people involved in commissioning, managing, or conducting an AutRC/IntAid evaluation. This includes those responsible for programme and project management, policy development and review, strategic planning, evaluation capacity building and training, our project partners and the evaluators themselves.

Second, this guideline is intended to inform and assure other stakeholders in the evaluation process, i.e. donors and beneficiaries, of key practices and ethical commitments expected from AutRC/IntAid evaluation work.

This guideline is to be applied to all evaluation activities exclusively by or for the Austrian Red Cross / International Aid Department (AutRC/IntAid)[4].

This framework draws upon the best practices from the international community, including the OECD/DAC evaluation criteria and principles, the norms and standards of the United Nations Evaluation Group and agencies within the United Nations system, national and international evaluation standards, and the evaluation guidance developed by the *Active Learning Network for Accountability and Performance* in Humanitarian Action (ALNAP)[5]. Foremost, this framework upholds the Fundamental Principles and Code of Conduct of the Movement.

As a support for those involved in the planning and conducting of an evaluation specific example formats, templates and recommendations can be found in the annex. This guideline and its annexes will be periodically reviewed and updated to ensure that it remains relevant to evolving circumstances and continues to conform to the highest international standards.

---

[3] Resource development and revision is ongoing and monitoring and evaluation resources will be regularly updated.

[4] The services provided by the Austrian Red Cross comprise a diverse array of activities such as rescue and ambulance service, health and community services, blood donation, tracing service, dissemination of International Humanitarian Law, and Youth Red Cross. This guideline is based upon the best practice from international humanitarian actions and development cooperation which norms and standards are not applicable for Austrian Red Cross' national services.

[5] The full titles of these and other resources referred to in this policy are listed in the Annex 1: Resources, along with the websites where they can be accessed.

2 Evaluation at the AutRC/IntAid

The AutRC/IntAid adopts the OECD/DAC definition of evaluation as, "an assessment, as systematic and objective as possible, of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors."[6]

AutRC/IntAid evaluations serve four key purposes:

1. **Improve our work and ultimately our mission to help those in need.** Evaluation improves our performance through reliable and accurate assessment of success and failures. It informs management and decision making processes, including strategic planning, policy and programme design, programming, budgeting, implementation and reporting. Evaluation helps us improve the relevance and impact of results, optimizing the use of resources, and maximizing the satisfaction with and impact of our work.
2. **Contribute to organizational learning.** Evaluations form a basis for learning to better plan, manage and deliver our programmes and services as well as to contribute to the improvement on the strategic level. They provide opportunities to reflect upon and share experience and learning, and enhance collaboration so that we can gain the full benefit from what we do and how we do it.
3. **Uphold accountability and transparency.** Timely and transparent evaluations model accountability to our stakeholders at multiple levels: beneficiaries, donors, National Societies, partner organizations and governments, and other key stakeholders. Evaluations help demonstrate whether or not work has been carried out as agreed and in compliance with established standards. They also provide opportunities for stakeholders, especially beneficiaries, to provide input into and perceptions of our work, modelling openness to criticism, and willingness to learn from experiences and to adapt to changing needs.
4. **Promote and celebrate our work.** Reliable evaluations can be used for resource mobilization, advocacy, and to recognize and celebrate our accomplishments. The promotion of a programme or policy through evaluation is not perceived as a pure marketing tactic because evaluations provide impartial and often independent assessments of our performance and results, lending credibility to our achievements. They help demonstrate the returns we get from the investment of resources, and celebrate our hard effort.

AutRC/IntAid evaluations can be categorized in a variety of ways. Ultimately, the approach and method is determined by the audience and purpose of the evaluation. Following are three general categories of evaluation according to:

1. **Who conducts the evaluation.** *Internal or self evaluations* are conducted by those responsible for implementing a programme or policy and can help build staff capacity and ownership. *External or independent evaluations* are conducted by evaluator/s outside of the implementing team, lending it a degree of objectivity, and often technical expertise. *Joint evaluations* are conducted collaboratively by more than one implementing partner, and can help build consensus at different levels, credibility, and joint support. *Participatory evaluations* are conducted with the beneficiaries and other key stakeholders, and can be empowering, building their capacity, ownership and support. It is important to remember that *these categories of evaluation are not mutually exclusive*. For instance, an external evaluation can use participatory approaches.

---

[6] OECD, Development Assistance Committee – DAC, Working Party on Aid Evaluation, Glossary of Key Terms in Evaluation and Results Based Management, 2002.

2. **The timing of the evaluation.** *Formative evaluations* occur during implementation to improve performance, and *summative evaluations* occur at the end of implementation to assess effectiveness and impact. Further distinctions in timing include *ex-ante evaluations* conducted before implementation to inform feasibility and potential benefits; *midterm evaluations* are formative in purpose and occur mid-way through implementation; *final evaluations* are summative in purpose and are conducted (often externally) at the completion of implementation; and *ex-post evaluations* are conducted some time after implementation to assess long-term impact and sustainability.

3. **The technicality or methodology of the evaluation**. This category of evaluations is determined by the specific technical focus of the evaluation and the methods needed for such assessment. It is a diverse category, and examples include *process evaluations, outcome evaluations, impact evaluations, meta-evaluations, thematic evaluations, strategic evaluations, sector evaluations*, and many others.[7]

All AutRC/IntAid programmes/projects should be subject of a critical assessment during and/or at the end of their implementation. Nevertheless we have to be sensible about the cost-benefit ratio (4.2 Feasibility Standard). Bearing in mind the diverse spectrum of programmes/projects AutRC/IntAid is implementing it is crucial to always find the adequate form for an evaluation. For programmes/projects with a smaller budget we will have to apply cost-efficient methods such as internal or self-evaluations trying to keep the best possible objectivity.

Programmes/projects implemented by the IFRC Secretariat or the ICRC with contribution from AutRC/IntAid regardless of the form of contribution[8] will be evaluated by the respective organisation. Both organisations have their own evaluation policies and regulations in place and an additional AutRC/IntAid evaluation would not create an additional benefit. In consortia and cooperation with other partners where the partner is having the lead for the implementation AutRC/IntAid will strive for a participatory approach and compliance with our evaluation standards and criteria.

It is worth noting that there are other forms of assessment at AutRC/IntAid that are distinct from evaluation, but can overlap in scope and purpose. Such assessments include, but are not limited to: *Appraisals* or initial assessments of the potential value of an intervention prior to investing in implementation; *Monitoring* is the routine collection and analysis of information in order to examine progress, track compliance and make informed decisions for project management; *Reviews* are periodic assessments of performance, emphasizing operational issues; *Audits* are assessments to verify compliance with established rules, regulations, procedures or mandates.

3   Evaluation Criteria

The following seven evaluation criteria guide *what* we evaluate in our work. They are key measures used to determine the factors for success in our work. They differ from the evaluation standards and process (discussed in Sections 4 and 5) in that the criteria inform *what* we evaluate, (the focus of inquiry), whereas the standards and process guide *how* we conduct the evaluation. The evaluation criteria are complementary, and together they seek to provide a comprehensive evaluation of AutRC/IntAid's work. Acknowledging the broad geographic and thematic scope of AutRC/IntAid's work, all of the criteria may not be relevant in its evaluation. Therefore, if a particular criterion is not

---

[7] For brevity, this discussion is limited to key evaluation categories and types. A more complete discussion can be accessed in supplemental IFRC monitoring and evaluation guidelines.

[8] AutRC is contributing to IFRC Secretariat's and ICRC's appeals and emergency operations in form of cash, in kind and personnel.

applicable to an evaluation context, this should be explained in the evaluation report, as can be any additional criteria applied.[9]

The criteria are based on internationally recognized practices and are largely adopted from the OECD/DAC criteria[10], include the Fundamental Principles and Code of Conduct of the International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGO) in Disaster Relief, and are informed by and reflect the priorities of additional IFRC Secretariat policies and guidelines, as well as other international standards and guidelines adopted by IFRC, i.e. the Sphere Standards.

3.1   Relevance & Appropriateness

Relevance and appropriateness are complementary criteria used to evaluate an intervention's objectives and wider goal. *Relevance* focuses on the extent to which an intervention is suited to the priorities of the target group, (i.e. local population and donor) and our own strategies. It also considers other approaches that may have been better suited to address the identified needs. The *validity of design* is an important element of relevance. This refers to the logic and coherence of the design of the intervention, (i.e. project or programme), and that its planned (or modified) objectives remain valid and appropriate to the overall goal/s.

Appropriateness focuses on the extent to which an intervention is tailored to local needs and context, and compliments other interventions from other actors. It includes how well the intervention takes into account the economic, social, political and environmental context, thus contributing to ownership, accountability, and cost-effectiveness. When applicable, it is particularly important that the evaluation function supports a community's own problem-solving and effective decision-making to address local needs, and build community capacity to do so in the future.

3.2   Efficiency

Efficiency measures the extent to which results have been delivered in the least costly manner possible. It is directly related to *cost-effectiveness* – how well inputs, (i.e. funds, people, material, and time), are used to undertake activities and are converted to results. It is typically based upon an intervention's stated objectives and the processes by which they were pursued, analyzing the outputs in relation to the inputs and their respective indicators. It includes whether the results or benefits justify the cost, and can compare alternative approaches to achieving the same results to determine whether the most efficient processes have been adopted. It is closely related to effectiveness and the measurement of performance.

3.3   Effectiveness

Effectiveness measures the extent to which an intervention has or is likely to achieve its intended, immediate results. It is based upon an intervention's objectives and related indicators, typically stated in a logical framework. However, the assessment of effectiveness should not be limited to whether an intervention has achieved its objectives, but also to identify the major reasons and key lessons to inform further implementation or future interventions. When relevant, this should include a comparison with alternative approaches to achieving the same results. Key elements of effectiveness include:

---

[9] For programmes/projects in development cooperation usually only the five OECD/DAC criteria efficiency, effectiveness, impact, sustainability and relevance will be suitable. Finally it is under the responsibility of the evaluation manager to define a focus for each evaluation and to decide which criteria should be applied.

[10] OECD/DAC (2010) supplemented their standard five evaluation criteria of efficiency, effectiveness, impact, sustainability and relevance with the two additional criteria of coverage and coherence to better evaluate humanitarian assistance provided in complex emergencies. The IFRC criteria are adopted from these criteria, and informed by the ALNAP (2006) guide for using the OECD-DAC criteria.

- *Timeliness*. Evaluations should assess to what extent services and items were delivered in a timely manner, and to what degree service provision was adequately supported to achieve objectives on schedule.
- *Coordination*. This refers to how well various parts of an intervention, often involving multiple actors, were managed in a cohesive and effective manner. This is particularly relevant in the work of AutRC/IntAid, where disaster response or longer-term development initiatives often involve multiple National Societies, local and national governments and institutions, and other partners.
- *Trade-offs*. Evaluations should assess the effect of decisions made during the intervention that may alter the goals or priorities in acknowledged or unacknowledged ways.
- *Stakeholder perspectives*. The viewpoint of stakeholders can help identify factors related to the performance of an intervention, such as who participated and why, and the influence of the local context.

3.4   Coverage

Coverage refers to the extent population groups are included in or excluded from an intervention, and the differential impact on these groups. Evaluation of coverage involves determining who was supported by humanitarian action, and why. It is a particularly important criterion for emergency response, where there is an imperative to reach major population groups facing life-threatening risk wherever they are. Coverage is linked closely to effectiveness (discussed above), but it has been included here as a separate criterion as it is especially relevant for the work of AutRC/IntAid and its commitment to provide aid on the basis of need alone (see Box 1). Key elements of coverage include:

- *Proportionality*. Evaluations should examine whether aid has been provided proportionate to need, and includes key questions of equity and the degree of inclusion and exclusion bias. *Inclusion bias* is the extent that certain groups receive support that should not, and *exclusion bias* is the extent that certain groups that should receive support do not.
- *Demographical analysis*. The assessment of coverage typically requires a breakdown of demographic data (disaggregation) by geographic location and relevant socioeconomic categories, such as gender, age, race, religion, ability, socioeconomic status, and marginalized populations (i.e. internally displaced persons - IDPs).
- *Levels of coverage*. Coverage can usually be assessed on three levels: 1) International, to determine whether and why support provided in one intervention, or response, is adequate in comparison to another; 2) National or regional, to determine whether and why support was provided according to need in different areas; and 3) Local or community, to determine who received support and why.
- *Cultural/political factors*. Coverage is often culturally determined. What constitutes "need," and therefore who is assisted, often requires an analysis of socio-political and economic factors and related power structures.

Box 1: Red Cross/Red Crescent Code of Conduct and Coverage

Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone. Wherever possible, we will base the provision of relief aid upon a thorough assessment of the needs of the disaster victims and the local capacities already in place to meet those needs. Within the entirety of our programmes, we will reflect considerations of proportionality. Human suffering must be alleviated whenever it is found; life is as precious in one part of a country as another. Thus, our provision of aid will reflect the degree of suffering it seeks to alleviate. (Principles 2 of the Code of Conduct for International Red Cross and Red Crescent Movement and NGOs in Disaster Relief)

3.5 Impact

Impact examines the positive and negative changes from an intervention, directly or indirectly, intended or unintended. It attempts to measure how much difference we make. Whereas effectiveness focuses on whether immediate results have been achieved according to the intervention design, the assessment of impact expands the focus to the longer-term and wider-reaching consequences of achieving or not achieving intended objectives. Its scope includes the wider effects of an intervention, including the social, economic, technical, and environmental effect on individuals, groups, communities, and institutions. Key elements of impact include:

- *Attribution*. A critical aspect in assessing impact is the degree to which observed changes are due to the evaluated intervention versus some other factor. In other words, how much credit (or blame) can the measured changes be attributed to the intervention? Two broad approaches are used to determine attribution. Comparative approaches attempt to establish what would have happened without a particular intervention, and theory-based methods examine a particular case in depth to explain how an intervention could be responsible for specific changes. Both these approaches may involve the use of qualitative and quantitative methods and tools, and are often used in combination. What is most important is that the approach and method fits the specific circumstances of an impact assessment – its purpose, the nature of the intervention being assessed, questions, indicators, level of existing knowledge, and resources available.
- *Methodological constraints*. The measurement of impact has considerable methodological constraints and is widely debated. Of the evaluation criteria, it is typically the most difficult and costly to measure, due to the level of sophistication needed. As its focuses on longer-term changes, it may take months or years for such changes to become apparent. Thus, *a comprehensive assessment of impact is not always possible or practical* for an evaluation. This is especially true for evaluations carried out during or immediately after an intervention. The reliable and credible assessment of impact may require a longitudinal approach and a level of resources and specialized skills that is not feasible.

3.6 Coherence

Coherence refers to policy coherence, ensuring that relevant policies (i.e. humanitarian, security, trade, military, and development) are consistent, and take adequate account of humanitarian and human-rights considerations. While it is closely related to coordination, coherence focuses on the extent to which policies of different concerned actors in the intervention context were complementary or contradictory, whereas coordination focuses more on operational issues. Given that AutRC/IntAid interventions are often implemented through various partnerships with the Federation Secretariat, governments, other international organizations and agencies, and within the Movement itself, coherence is an important criterion to consider separately, especially for upholding the Fundamental Principles of Impartiality, Neutrality, Independence, and Unity. Key considerations in the assessment of coherence include:

- *Multiple actors*. Evaluating coherence is of particular importance when there are multiple actors involved in an intervention with conflicting mandates and interests, such as military and civilian actors in a conflict setting, or multiple agencies during an emergency response to a disaster.
- *Political repercussions*. The assessment and reporting of coherence can have political consequences, given its focus on wider policy issues. Therefore, careful consideration should be given to the objective credibility in measurement, and the manner in which findings are reported.
- *Methodologically challenging*. Similar to impact, coherence is measured in relation to higher level, longer-term objectives, and can be difficult for the evaluator/s, depending on their capacity and resources to conduct policy analysis.

3.7 Sustainability & Connectedness

Sustainability is concerned whether the benefits of an intervention are likely to continue once donor input has been withdrawn. It includes environmental, institutional, and financial sustainability. It is especially appropriate for longer-term interventions that seek to build local capacity and ownership so management can continue without donor funding, i.e. livelihoods programmes. However, with interventions that respond to complex emergencies or natural disasters, acute and immediate needs take precedence over longer-term objectives. Thus, connectedness has been adapted from sustainability for these situations. *Connectedness refers to the need to ensure that activities of a short-term emergency are implemented in a way that takes longer-term and interconnected factors into account.* It focuses on intermediate objectives that assist longer-term objectives, such as the establishment of key linkages between the relief and recovery (i.e. a sound exit strategy handing over responsibilities to appropriate stakeholders, allocating adequate resources for post-response, etc.)

4 Evaluation Standards

The following eight evaluation standards summarize key principles that guide *how* evaluation is conducted by the AutRC/IntAid. Whereas the above criteria guide *what* is evaluated, the standards guide *how* the evaluation should be planned, managed, conducted, and utilized. In some instances the standards may be mutually supportive – i.e. impartiality and independence contribute to accuracy. However, in other instances the evaluation standards may impose conflicting demands on an organization that must negotiated. For instance, independence in an evaluation can be in opposition to utility; when an evaluation is externally conducted, it may not have the degree of ownership and follow-up as an internal or participatory evaluation conducted by stakeholders themselves.

In Section 5, the evaluation process expands upon the standards with key practices for their practical implementation. Collectively, the evaluation standards and practices contribute to the credibility and legitimacy of the AutRC/IntAid evaluation process. Both evaluation standards and practices have been compiled taking into account internationally recognized practices for evaluation in humanitarian relief and development.[11]

4.1 Utility Standard

Evaluations must be useful and used. Evaluations are useful if they are done at the right time, serving the specific information needs of intended users. A utilization-focus requires that the needs of stakeholders are identified during the planning stage and addressed throughout the evaluation. It also requires that evaluations are conducted in a credible manner so that findings are accepted and can inform decision-making and organizational learning. There should be clear indication of how the evaluation findings will be used, and follow up should be specific in the response and in the investment of time and resources.

4.2 Feasibility Standard

Evaluations must be realistic, diplomatic, and managed in a sensible, cost effective manner. The AutRC/IntAid commits to allocating adequate resources for evaluation, which should be managed cost-effectively to maximize the benefits while minimizing the use of scarce resources and unnecessary time demands on stakeholders. In the context of complex, resource-strained settings, evaluations need to be carefully selected, planned and conducted. Practical and appropriate methods and procedures should be used that minimize disruption to ongoing programming, as well as the socio- economic and political context.

---

[11] Key resources included AES 2002, AJCSEE 1994, OECD-DAC 1991 & 2010. Additional resources included DFID 2009, GEF 2006, UNEG 2005 & 2005b, UNICEF 2007, UNDP 2006.

4.3 Ethics & Legality Standard

Evaluations must be conducted in an ethical and legal manner, with particular regard for the welfare of those involved in and affected by the evaluation. Evaluations should abide by professional ethics, standards and regulations to minimize risks, harms and burdens to evaluation participants – this includes careful consideration as to whether an evaluation or certain procedures should be foregone because of potential risks or harms. Evaluators should respect the customs, culture, and dignity of human subjects, (consistent with the fifth and tenth Principles of Conduct). This includes differences due to religion, gender, disability, age, sexual orientation and ethnicity. Particular attention should be given to address issues of discrimination and gender inequality, (in accordance with the United Nations Universal Declaration of Human Rights). AutRC/IntAid endorses the principle of "do no harm." Processes and protocols should be clearly defined to inform evaluation participants, obtain the consent and ensure confidentiality of respondents, and handle illegal or harmful activity.

4.4 Impartiality & Independence Standard

Evaluations should be impartial, providing a comprehensive and unbiased assessment that takes into account the views of all stakeholders. Often referred to as objectivity, impartiality implies freedom from political influence and organizational pressure. It improves evaluation accuracy and credibility, and reduces the potential for conflict of interest. The requirement of impartiality exists at all stages of the evaluation, including transparent processes and protocol for competitive bidding and awarding of evaluation contracts, and mitigating competing interests and differing opinions. **Independence refers to external evaluations, for which evaluators should not be involved or have a vested interest in the intervention being evaluated.** Independence further reduces bias and the potential for conflict of interest because the evaluators conducting the evaluation are not evaluating their own activities. Independence and impartiality are closely related, but impartiality applies to all evaluations, including non-independent evaluations, (i.e. an internal or self-evaluations). Both standards are in accordance with the Fundamental Principles of Impartiality and Neutrality, and uphold the third, fourth and tenth Principles of Conduct to not further a particular political or religious standpoint, to not act as instruments of government foreign policy, and to portray an objective image of disaster situations.

4.5 Transparency Standard

Evaluations should be conducted in an open and transparent manner, in accordance with the ninth Principle of Conduct. Specific procedures and protocol should be developed to ensure transparency in the evaluation design, data collection, the development and dissemination of evaluation products, and handling competing interests, differences of opinion, and disputes. Terms of Reference and evaluation products, including the report, should be made public. It is important to note that transparency may be compromised if it threatens the rights and security of individuals, or where sharing of information violates personal data or breaches confidentiality under freedom of information rules, (consistent with Standard 4.3 for ethics and legality).

4.6 Accuracy Standard

Evaluations should be technically accurate, providing sufficient information about the data collection, analysis, and interpretation methods so that its worth or merit can be determined. Evaluators should possess the necessary education, expertise, and experience to conduct systematic assessments that uphold the highest methodological rigor, technical standards, professional integrity and best practices promulgated by professional evaluation associations and agencies.[12] In the case of internal evaluations, participants should have adequate experience and expertise, which may necessitate capacity development as part of the evaluation process.

---

[12] A list of key evaluation associations and agencies can be found at "MandE" (listed Annex 1, Resources).

4.7   Participation Standard

Stakeholders should be consulted and meaningfully involved in the evaluation process when feasible and appropriate. Key stakeholder groups include the beneficiaries, programme staff, donor/s, Movement partners, with bi-lateral organizations, and between international, national, and civic society organizations. Particular attention should be given to include any marginalized or vulnerable groups. Stakeholder participation in data collection, analysis, reporting, and utilization increases legitimacy and utility of evaluations, as well as overall cooperation, support, and ownership for the process. It also helps to ensure the evaluation adheres to any donor requirements, and, (in accordance with the fifth Principle of Conduct), local laws, regulations, and customs. Local involvement is also consistent with the sixth and seventh Principles of Conduct, to find ways to involve beneficiaries and build local capacities.

4.8   Collaboration Standard

Collaboration between key operating partners in the evaluation process improves the legitimacy and utility of the evaluation. AutRC/IntAid interventions are often implemented through various partnerships within the Movement, with bi-lateral donors, and between international, national, and civic society organizations. Within the Movement, collaboration between actors upholds the Fundamental Principles of Unity and Universality. *Pluralism* that involves beneficiaries and other key stakeholders in the evaluation process ensures that all the legitimate points of view are expressed and considered in a balanced manner. It encourages transparent information sharing and organizational learning. In addition to pooling together and conserving resources, collaborative initiatives such as joint evaluations can reduce the duplication of services and procedures and the related burden on recipients, build consensus, credibility, and support, and provide insights and feedback that might not be possible through a stand-alone evaluation.

5   Evaluation Process in the AutRC/IntAid

The following section details how evaluation standards are applied in the evaluation process. It distinguishes five major phases for which key practices have been identified that uphold the evaluation standards.

5.1   Planning for an Evaluation

5.1.1   M&E Plan
At the programme/project level, evaluations should be included as part of an overall monitoring and evaluation (M&E) plan. An M&E plan helps to ensure that M&E events are complimentary and mutually supportive, conducted in a timely manner to be useful, and that adequate resources are allocated for evaluations. An M&E plan has to be considered at the programme/project planning phase and in-depth defined in the start-up or inception phase. It shall define the appropriate type and form of the intended evaluation. The required budget and timeframe to realise the evaluation has to be accounted for in the project budget and activity plan. Recognizing the dynamic context in which AutRC/IntAid and its partners operate the rationale and timing of evaluations should be periodically reviewed, and un-envisaged changes to the evaluation timeframe should be explained to stakeholders.

5.1.2   Utility and donor compliance
Evaluations should be planned in accordance with the utility standard (4.1 above), and any additional requirements from partners and external donors. Primary stakeholders and specific rationale for an evaluation should be clearly understood and agreed beforehand. If there is a conflict between the provisions of this guideline and that of partners or external donors, this should be addressed through mutual consent between AutRC/IntAid, its partners and the donor.

5.1.3 Involvement of AutRC/IntAid

The AutRC PME Focal point should be notified of all planned evaluations with AutRC/IntAid involvement. The AutRC PME Focal point will provide support throughout all phases of the evaluation process for those responsible to conduct an evaluation. It will also collect all products resulting from these evaluations and make it available for all AutRC/IntAid staff and its partners in order to facilitate a comprehensive organisational learning process. This process shall support decision makers within AutRC/IntAid on a policy and strategic level as well as operational staff for their project planning and management tasks.

5.1.4 Required evaluations

The specific evaluation type will ultimately depend on the specific need/context. Following are specific types of evaluations that are required and should be planned for accordingly for AutRC/IntAid programmes/projects:

5.1.4.1 Baseline study

All AutRC/IntAid programmes/projects should have some form of measurement of the initial status of appropriate indicators prior to programme/project implementation. This benchmark data is used for comparison at latter points in the intervention to help assess impact.

5.1.4.2 Final evaluation

All AutRC/IntAid programmes/projects should have some form of final assessment, whether it is internal or external. If the programme is ongoing, then an assessment schedule should be determined appropriate to the intervention.

5.1.4.3 Independent final evaluation

For AutRC/IntAid interventions exceeding 1,000,000 Euro, the final evaluation should be undertaken by an independent external evaluator. The process shall be reviewed by the AutRC PME Focal point, or by some other independent quality assurance mechanism approved by AutRC PME Focal point. An independent evaluation may be used regardless of budget size when the credibility of the findings requires an external evaluator, or expertise is not available internally.

5.1.4.4 Midterm evaluation or review

For programmes/projects over 24 months in length, some type of mid-term assessment, evaluation, or review should be conducted. Typically, this does not need to be independent or external, but may be according to specific assessment needs.

5.1.5 Joint evaluations

should be considered where multiple organizations and agencies are involved in an intervention. This can help provide insights and feedback that might not be possible through a stand-alone evaluation, while pooling resources, and reducing the duplication of services and procedures and the related burden on recipients.

5.1.6 Meta-evaluations[13]

of the AutRC/IntAid evaluation process should be periodically conducted to: take inventory of evaluations and synthesize evaluation results; examine evaluation methodologies; check compliance with and consider revision of the evaluation guideline; inform corporate policy and strategy in the selection of evaluation exercises; and improve dissemination and utilization of lessons learned from evaluations. The AutRC PME Focal point will lead this practice at a minimum of every two years.

---

[13] The term meta-evaluation is used for evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators. OECD-DAC 2009

5.1.7 Evaluation Budget

Evaluation budgets should be planned for, along with other major M&E events, during the design phase of AutRC/IntAid programmes/projects. A dedicated budget line between 3% and 5% should be included for all evaluations of interventions above 200,000 Euro. This approach is consistent with best international practice[14]. For interventions below this, a rule of thumb is that the evaluation budget should not be so small as to compromise the accuracy and credibility of results, but neither should it divert project resources to the extent that programming is impaired.

5.2 Commissioning an Evaluation

5.2.1 Decision to commission an evaluation

For all programmes/projects implemented under the lead of AutRC/IntAid the evaluation has to be commissioned by the respective programme/project manager. She/he has to define type and time schedule for the evaluation in accordance with partner and donor requirements and the standards and practices presented in this guideline. Cross-project evaluations, such as sector evaluations, thematic evaluations, country evaluations, strategic evaluations and meta-evaluations have to be commissioned by the Head of AutRC International Aid Department. These evaluations are planned on an annual basis in coordination with the AutRC PME Focal point.

5.2.2 Evaluation TOR

A terms of reference (TOR) or briefing document should be prepared for all evaluations and has to be shared with the AutRC PME Focal point. The TOR should clearly state the overall purpose and scope of the evaluation, the key questions and criteria (Section 3 above) to be addressed, any preferred approaches and issues to be considered, the expected competencies and skills of the evaluator/s, and the intended audience and use of the evaluation findings. Other important elements of the TOR include a proposed timeline and specific deliverables. This evaluation guideline should also be referred to in the TOR, and should be annexed to the TOR itself. (An example TOR format is provided in Annex 3).

5.2.3 Initial dissemination list

An initial list of intended recipients of the evaluation report should be prepared and expressed in the TOR (audience), communicated during stakeholder consultation (Practice 5.2.5), and then followed upon during the evaluation dissemination (discussed below).

5.2.4 Evaluation manager or management team

An evaluation manager or management team should be designated and communicated for each evaluation, regardless of the actual evaluator/s conducting the evaluation. If a team of managers is needed, it is recommended that one is identified as the lead manager. The evaluation manager is responsible for overseeing the logistical and contractual arrangements of the evaluation, managing any external consultants, delegating responsibilities, securing approval of key deliverables according to the evaluation contract/timeframe, and ensuring adequate quality control throughout the evaluation process.

5.2.5 Stakeholder assessment and consultation

Stakeholder groups should be identified and meaningfully consulted in the evaluation design. A stakeholder analysis should identify key groups, including different beneficiary groups, programme staff, donor/s, Movement partners, local and national governments, bi-lateral organizations, and international, national, and civil society organizations. Stakeholder participation can take many forms, from commenting on the TOR, to establishing a small task force of key stakeholders to assist in preparing the TOR and in supporting the evaluation mission.

---

[14] UNICEF 2007: p. 8; USAID 2007: p. 9.

5.2.6 Identification and disclosure of risk

Potential risks or harms to evaluation stakeholders, (clients, target groups, programme staff, etc.), should be anticipated and discussed during the initial negotiation of the evaluation. Stakeholders affected by the evaluation should have an opportunity to identify ways to reduce potential risks, and if necessary, an evaluation or certain procedures should be foregone if potential risks or harms are too high.

5.2.7 Independent consultants

For independent evaluations or studies, engaged consultants should not have been involved or have a vested interest in the intervention being evaluated.

5.2.8 Partner/donor collaboration

Evaluation TORs and plans should be systematically exchanged with other partners/donors and coordinating bodies[15], such as the Active Learning Network for Accountability and Performance (ALNAP), well ahead of actual implementation. They can assist with the identification of opportunities for collaboration, i.e. the sharing secondary data, in data collection, or joint evaluations.

5.2.9 Recruitment

Evaluators, whether internal or external, should be recruited in a fair and transparent process, based on evaluator skills and merit. External evaluations should be awarded in due consideration of the AutRC/IntAid procurement guidelines. The evaluator/s should possess and be able to reliably represent their professional experience, competence, ethics and integrity for the given evaluation. In responding to an evaluation TOR, evaluators should conduct themselves in a professional and honourable manner, and disclose any of their roles or relationships that may result in the potential conflict of interest in the conduct of the evaluation. Likewise, the evaluator should be encouraged to identify any shortcoming and strengths in the proposed evaluation, especially methodological or ethical limitations and their potential effect upon stakeholders and the credibility of the evaluation.

5.2.10 Contractual arrangement

An external evaluation should have a written contractual arrangement between the commissioners and the evaluators. It should refer to the evaluation TOR, as well as this evaluation guideline, and specify the agreed conditions of engagement, services to be rendered, any fees to be paid, resources available, deliverables and their timeframe, ownership of materials and intellectual properties, protection of privileged communication, storage and disposal of all information collected, procedures for dealing with disputes, any editorial role of the commissioner, the publication and release of evaluation report(s), and any subsequent use of evaluation materials. While both parties have the right to expect that the contractual arrangements will be followed, each party has the responsibility to advise the other about and changes or unforeseen conditions/circumstances, and should be prepared to renegotiate accordingly.

5.3 Data Collection & Analysis

5.3.1 Inception report

An inception report is recommended for larger evaluations, to demonstrate a clear understanding and realistic plan of work for the evaluation, checking that the evaluation plan is in agreement with the TOR as well as the evaluation manager and other stakeholders. For lighter reviews, an evaluation work plan will suffice. The inception report interprets the key questions from the TOR by the evaluators and explains how methodologies and data collection will be used to answer these. It also elaborates a reporting plan with identified deliverables, draft data collection tools such as interview guides, the allocation of roles and responsibilities within the evaluation team, and travel and logistical arrangements for the evaluation. (Parts of a well-prepared inception report can be adapted for the final evaluation report).

---

[15] The AutRC PME focal point should be contacted for guidance and support

5.3.2 Free access to information

As much as possible, evaluators should have cooperation and access to all relevant information during data collection, without interference or pressure. Evaluators should report any restrictions to their access to data and relevant parties, including marginalized or vulnerable groups. Evaluators should be able to impartially conduct their work and express their opinion without personal or professional threat.

5.3.3 Rigor and evidence-based

The evaluation should be rigorous in design, data collection and analysis to the extent required by the intended use of the evaluation. Data collection methods and procedures should be clearly identified, documented, systematic and replicable when possible, ensuring that information is valid, reliable, defensible, and upholds impartiality. Evaluations should triangulate (combine) quantitative and qualitative methods accordingly to assess an intervention's working hypothesis, results change, and the relevance of objectives as stated in the logical framework and in relation to the evaluation criteria.

5.3.4 Relevant stakeholders consulted

Relevant stakeholders should be involved in the evaluation process to identify issues and provide input for the evaluation. Special attention should be given to adequate representation of beneficiary groups, particularly any marginalized or vulnerable groups. The evaluation methodology must state the criteria for stakeholder selection, any reasons for underrepresentation, and describes their participation.

5.3.5 Implications of differences and inequalities

Attention should be given to the potential effects of differences and inequalities in society related to race, age, gender, sexual orientation, physical or intellectual ability, religion, and socioeconomic or ethnic background. Particular regard should be given to any rights, protocols, treaties or legal guidelines which apply[16].

5.3.6 Participation

When feasible and appropriate, beneficiaries should be involved in the data collection and analysis, enhancing support and ownership for the evaluation. Training and capacity building should ensure that participants have the understanding and skills to reliable collect and analyze data.

5.3.7 Quality control

The reliability and accuracy of data should be promoted through the triangulation (use of) different sources and/or methods in its collection and analysis. Systems should be employed to verify data accuracy and completeness, such as cross-checking figures with other data sources, or computer double entry and post-data entry verification when possible. Stakeholders should have the opportunity to review evaluation products for accuracy, especially informants for which any statements are attributed. Inaccuracies and discrepancies should be addressed in the revision of the evaluation report and other products prior to the release of the final report or product.

5.3.8 Informed consent

The informed consent of those directly providing information for an evaluation should be obtained, preferably in writing. Evaluators should identify themselves, the evaluation commissioners, purpose, intended audience and use of findings, the degree of confidentiality of provided information, and any potential risks and benefits arising from participation in the evaluation. Potential participants must be competent to make a decision about their participation, and free from coercion or undue inducement. In the case of minors and other dependents, informed consent should also be sought from parents or guardians. Consent arrangements may include provision for release of information for purposes of formative evaluation, or the validation of evaluation findings.

---

[16] This has been largely adopted from AES (2002).

5.3.9 Confidentiality

During the evaluation, the results and other findings should be held as confidential until released by the commissioner, and in accordance with any consent arrangements agreed with contributors. The anonymity and confidentiality of all evaluation participants should be protected when requested and/or as required by law. If evidence of wrongdoing is expected or uncovered, confidentiality may be compromised, (Practice 5.3.10).

5.3.10 Misconduct and unlawful behaviour

Evaluators have the ethical and legal responsibility to be prepared for and to respond to any evidence encountered of criminal or harmful activity of wrong doing (i.e. alleged child sexual abuse). The evaluator/s should seek to avoid or reduce any further harm to victims of wrongdoing, and to fulfil obligations under law or their professional codes of conduct. This may include reporting cases to the appropriate authority. In the case that this may conflict with confidentiality agreements, evaluators should anticipate the risk of such discoveries as best as possible, and develop protocols for identifying and reporting them, and refer to the protocols when obtaining informed consent (Practice 5.3.8).

5.3.11 Anticipated and unanticipated problems & limitations

Methodological limitations, such as the measurement of impact and attribution amidst confounding factors, should be identified and best addressed in the evaluation methodology. Where the evaluator/s confronts circumstances beyond their competence, or evidence of significant problem of the intervention being evaluated, this should be declared immediately to the evaluation manager/commissioner, unless this constitutes a breach of rights for those concerned.

5.3.12 Conflicts of interest and differences of opinion

Conflicts of interest and differences of opinion or interpretation should be dealt with in a transparent manner, so as not to compromise the evaluation process or results. Differing views and opinions among stakeholders should be reflected in the evaluation analysis and reporting. In the case of disagreements within an evaluation team, members should have the opportunity to dissociate themselves from particular judgements and recommendations, and differences of opinion should be acknowledged in the evaluation report.

5.3.13 Accounting practices

Proper accounting practices should also be used during the data collection, analysis, and reporting to ensure that the allocation and expenditure of resources during the evaluation is prudent and ethically responsible.

5.4 Evaluation Reporting

5.4.1 Report content and coherency

The content of the written report should be coherently structured with a logical flow. Data and information should be presented, analysed, and interpreted systematically, with a clear line of evidence supporting the conclusions and recommendations. Specific report content will vary according to the evaluation, but at a minimum it should include a profile (background) of the intervention evaluated, a description of the evaluation methods and limitations, findings, conclusions, lessons learned, and recommendations. An executive summary should provide a succinct and clear overview of the report, highlighting key findings, conclusions, recommendations and lessons learned. The report should also have appropriate appendixes, including a copy of the TOR, data collection instruments, and full citations for any cited resources.

5.4.2 Methodology and limitations

Evaluation reporting should adequately explain the methods and techniques used for data collection, management, and analysis. Methodological limitations, assumptions, concerns, and any constraints encountered should be acknowledged, including their impact on the validity (attribution), reliability, and independence of the evaluation.

5.4.3 Recommendations

Recommendations should be specific, addressed and implementable within the local and global strategic and principles frameworks and resource limitations of AutRC/IntAid. Preferably, recommendations will also be prioritized and *monitorable* (capable of being monitored so their followup can be tracked and reported upon).

5.4.4 Comprehensible

Evaluation reporting should be as clear and simple as accuracy allows to easily understand the evaluation process and results. Reporting to stakeholders should be translated to the appropriate language in a culturally appropriate format, (i.e. summary form, verbal or written). Excessively technical jargon, especially when reporting to communities, should be avoided.

5.4.5 Fair and complete

Oral and written evaluation reports should be direct, complete and honest in the disclosure of findings and the limitations of the evaluation. Reports should interpret and present evidence and conclusions in a fair manner, fully disclosing the findings and conclusions, unless this constitutes a breach of rights for those concerned. Evaluation reports should address all the information needs identified in the scope of the evaluation, explaining if and why this was not possible. If any of the seven evaluation criteria (Section 3) are not included in the evaluation, this should have been noted in the TOR and explained in the evaluation report.

5.4.6 Sources and acknowledgments

Evaluation reporting should clearly identify the sources of information used (secondary and primary) and evaluative judgement (evaluator or other stakeholder) so that the adequacy of the information can be assessed. Acknowledgment should be given to those who contributed significantly to the evaluation, and interviewees and documents consulted should be listed to the extent that this does not breach the privacy and confidentiality of those concerned (Practice 5.3.9).

5.4.7 Review and revision

Stakeholders should have the opportunity to review evaluation products for accuracy and to provide feedback. However, the evaluation commissioners have a responsibility not to breach the integrity of the reports, which should accurately reflect the findings and conclusions determined by the evaluator/s, and should not be revised without the evaluator's consent. Evaluators should consider feedback, and verify and address any inaccuracies and discrepancies in the revision of the evaluation report and other products (Practice 5.3.7). Conflict of interests and differing opinions within the evaluation team should be clearly noted in the evaluation reporting (Practice 5.3.12). With regards to differences of opinion expressed by an evaluation participant or stakeholder, it is left to the discretion of the evaluator/s as to whether and how to address in any revision of the report. If an evaluator/s decides not to address a difference of opinion expressed by stakeholder/participant, then the Management Response Team (Practice 5.5.5) can consider whether to address the differing opinion in its Management Response action plan.

5.5 Evaluation Dissemination & Follow-up

5.5.1 Transparent and complete dissemination

Evaluation results should be placed in public domain and widely disseminated, ensuring that information is readily accessible to all stakeholders. An initial dissemination list (Practice 5.2.3) should be employed to ensure the evaluation report or summary reaches its intended audience (per the TOR). Any changes and the rationale for such changes to the initial dissemination list should be communicated to relevant stakeholders.

5.5.2 Appropriate dissemination

Related to comprehensibility (Practice 5.4.4), the dissemination of the evaluation report may take a variety of forms that are appropriate to the specific audience. This can include posting reports or excerpts/summaries on a community notice board or on the internet, and presentations at planning

meetings, community meetings, and industry conferences. Such considerations are especially important when sharing reports with communities.

5.5.3 Internal and external dissemination

In order to maximize public access to and sharing of evaluation reports, it may be appropriate to prepare and disseminate an external version of an evaluation report. This may be done for multiple reasons: 1) with sensitive issues that should remain internal, 2) to protect the identity and avoid or reduce any harm to evaluation subjects (Standard 4.3), and 3) to improve the comprehensibility (Practice 5.4.4) of the report in a summary or simplified form for external audiences.

5.5.4 Evaluation Database

In follow-up to Practice 5.1.3, all evaluation reports and management responses (Practice 5.5.5) should be submitted for record with the AutRC PME Focal point. AutRC PME Focal point will collect all deliverables from AutRC/IntAid evaluations and make it available for all AutRC/IntAid staff and its partners.

5.5.5 Management Response

Evaluations require an explicit response to recommendations by the evaluation commissioner/s and management, and should not be conducted only as an ex post exercise. In order to ensure the utility and follow-up of the evaluation, a **Management Response Team (MRT)** should be identified with the responsibility to formulate a management response and action plan to be disclosed jointly with the evaluation as an annex. The management response and action plan should be completed in a timely manner as to not retard the dissemination and follow-up of the evaluation. It should respond to each specific recommendation. It should explain why any recommendation will not be addressed, and for those recommendations that will be acted upon, it should clearly state how the recommendation will be addressed, the timeframe, responsibilities and accountabilities. Follow up should be systematic and monitored and reported on in a reliable, timely, and public manner.

5.5.6 Discussion and feedback

Stakeholder discussion and feedback on evaluation results is critical for building understanding and ownership, and informing the appropriate follow-up to recommendation. A feedback mechanism involving key stakeholders is recommended to ensure that evaluation results are utilized in future policy and programme development. This process can begin during the review and revision of the evaluation report (Practice 5.4.7) and could include an initial task force or committee formed during the evaluation planning stage, seminars and workshops, web-based forums, teleconferences, and/or organizational reporting and follow-up procedures. As part of the organisational learning all AutRC/IntAid evaluations of the recent year and the corresponding management responses will be presented and discussed at least once a year during an annual meeting where all AutRC field delegates and headquarters staff are available.

ANNEX 1: Resources

Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), 2006. *Evaluation Humanitarian Action Using OECD/DAC Criteria*. Overseas Development Institute: Paris. http://www.alnap.org/pool/files/eha_2006.pdf

Cosgrave, J., and B. Ramalingam, and T. Beck., 2009. *Real-time evaluations of humanitarian action: An ALNAP Guide, Pilot Version*. Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) - Overseas Development Institute: Paris. http://www.alnap.org/resources/guides/evaluation/rte.aspx

American Evaluation Association (AEA), 2004. *American Evaluation Association Guiding Principles for Evaluators*. http://www.eval.org/Publications/GuidingPrinciples.asp

American Joint Committee on Standards for Educational Evaluation (AJCSEE), 2011. *The Program Evaluation Standards (3rd edition)*. http://www.wmich.edu/evalctr/jc/

Australian Evaluation Society (AES), 2006. *Guidelines for the Ethical Conduct of Evaluations* http://www.aes.asn.au/about/Documents%20-%20ongoing/guidelines_for_the_ethical_conduct_of_evaluations.pdf

Department for International Development (DFID), 2009. *Building the Evidence to Reduce Poverty. The UK's Policy on Evaluation for International Development.* London. http://www.dfid.gov.uk/Documents/publications1/evaluation/evaluation-policy.pdf

Global Environment Facility (GEF), 2010. The GEF Monitoring and Evaluation Policy. Washington, DC. http://www.thegef.org/gef/sites/thegef.org/files/documents/ME_Policy_2010.pdf

International Federation of Red Cross and Red Crescent Societies (IFRC). *IFRC Principles and Values.* Geneva. http://www.ifrc.org/en/what-we-do/principles-and-values/

International Federation of Red Cross and Red Crescent Societies (IFRC), 2011. *IFRC Framework for Evaluation*. Geneva. http://www.ifrc.org/Global/Publications/monitoring/IFRC-Framework-for-Evaluation.pdf

International Federation of Red Cross and Red Crescent Societies (IFRC), 2007. *Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief.* Geneva. http://www.ifrc.org/en/publications-and-reports/code-of-conduct/

International Federation of Red Cross and Red Crescent Societies (IFRC). *The Fundamental Principles of the International Red Cross and Red Crescent Movement.* http://www.ifrc.org/en/who-we-are/vision-and-mission/the-seven-fundamental-principles/

International Federation of Red Cross and Red Crescent Societies (IFRC), 2010. *Project/programme planning (PPP) guidance manual.* Geneva. http://www.ifrc.org/Global/Publications/monitoring/PPP-Guidance-Manual-English.pdf

International Federation of Red Cross and Red Crescent Societies (IFRC), 2011. *Project/programme monitoring and evaluation (M&E) guide.* Geneva. http://www.ifrc.org/Global/Publications/monitoring/IFRC-ME-Guide-8-2011.pdf

International Federation of Red Cross and Red Crescent Societies (IFRC), 2010. *Strategy 2020*. Geneva. http://www.ifrc.org/Global/Publications/general/strategy-2020.pdf

M and E, 2009. Monitoring and Evaluation News: Societies, Networks and Conference.
http://mande.co.uk/

Organization for Economic Co-operation and Development, Development Assistance Committee (OECD/DAC), 2002. Glossary of Key Terms in Evaluation and Results Based Management
http://www.oecd.org/dataoecd/43/54/35336188.pdf

Organization for Economic Co-operation and Development, Development Assistance Committee (OECD/DAC), 1999. *Guidance for Evaluating Humanitarian Assistance in Complex Emergencies*. Paris: OECD. http://www.oecd.org/dataoecd/9/50/2667294.pdf

Organization for Economic Co-operation and Development, Development Assistance Committee (OECD/DAC), 1991. *Principles for Evaluation of development Assistance.* Paris: OECD.
http://www.oecd.org/LongAbstract/0,3425,en_2649_34435_2667287_1_1_1_1,00.html
http://www.oecd.org/dataoecd/31/12/2755284.pdf

Organization for Economic Co-operation and Development, Development Assistance Committee (OECD/DAC), 2010. *Quality Standards for Development Evaluation*. Paris: OECD.
http://www.oecd.org/dataoecd/55/0/44798177.pdf

Organization for Economic Co-operation and Development, Development Assistance Committee (OECD/DAC), 2010. *Evaluating Development Co-operation, Summary of Key Norms and Standards, Second Edition*. Paris: OECD. http://www.oecd.org/dataoecd/12/56/41612905.pdf

United Nations Evaluation Group (UNEG). 2005. *Norms for Evaluation in the UN System*.
http://www.uneval.org/normsandstandards/index.jsp?doc_cat_source_id=4

United Nations Evaluation Group (UNEG). 2005b. *Standards for Evaluation in the UN System*.
http://www.uneval.org/normsandstandards/index.jsp?doc_cat_source_id=4

United Nations Children's Fund (UNICEF), 2007. *UNICEF Evaluation Policy*. United Nations Economic and Social Council. http://www.unicef.org/evaluation/index_13477.html

United Nations Development Program (UNDP), 2006. *The Evaluation Policy of UNDP*. Executive Board of the United Nations Development Programme and of the United Nations Population Fund.
http://www.unicef.org/evaluation/index_13477.html

United States Agency for International Development (USAID). 2007. "M&E Fundamentals – A Self-Guided Minicourse." USAID, Washington, DC. www.cpc.unc.edu/measure/publications/pdf/ms-07-20.pdf

Annex 2: Timeline and checklist for AutRC/IntAid evaluations

| Planning for an Evaluation | Commissioning an Evaluation | Data Collection & Analysis | Evaluation Reporting | Evaluation Dissemination & Follow-up |

Project Design/ Inception Phase

Task	Check
Information/involvement of PME focal point	
Development of M&E plan	
Consideration of donor and partner requirements	
Definition of evaluation type	
Definition of evaluation timeframe - beside project cycle requirements consider climatic, seasonal and cultural-religious events (e.g. Ramadan)	
Budgeting of evaluation	

| Planning for an Evaluation | Commissioning an Evaluation | Data Collection & Analysis | Evaluation Reporting | Evaluation Dissemination & Follow-up |

6 to 9 month before evaluation

3 month before evaluation

1 month before evaluation

Task	Check
Information/involvement of PME focal point	
Appointment of the evaluation manager or management team	
Contact donor for specific donor requirements and interests	
Definition of the evaluation purpose and objectives	
Preparation of initial dissemination list	
Definition of stakeholder involvement	
Stakeholder, partner and beneficiary assessment and consultation	
Risk analysis	
Drafting Terms of reference	
Consultation of and feedback from selected stakeholders, partners and beneficiaries	
Adjustment with selected stakeholders, partners and beneficiaries and finalisation of ToR	
Posting for external consultancy (consider AutRC procurement guidelines)	
Selection of evaluator/s	
Negotiation with evaluator/s and joint adaption of ToR	
Contracting of evaluator/s	
Provision of project documents, reports and other relevant information to the evaluator/s	
Logistic preparation (Visa, invitation letter, travel arrangements, hotel booking, translator,)	
Information of key informants	

| Planning for an Evaluation | Commissioning an Evaluation | **Data Collection & Analysis** | Evaluation Reporting | Evaluation Dissemination & Follow-up |

Task	Check
Inception report	
Comment inception report and final adjustments for the data collection and analysis phase	
Logistic support (travel arrangements, hotel booking, translator, …)	
Information of key informants and arrangement of meetings	
Briefing for evaluator/s, introduction workshop	
Secure free access to information	
Monitor security for evaluator/s	
Preparation of first feedback session in the field	

Preparation of evaluation

Field mission

| Planning for an Evaluation | Commissioning an Evaluation | Data Collection & Analysis | **Evaluation Reporting** | Evaluation Dissemination & Follow-up |

Task	Check
Feedback workshop with stakeholders, partners and beneficiaries	
Draft evaluation report	
Quality control of draft evaluation report	
Review and revision of evaluation report	
Final evaluation report	

End of field mission until 4 weeks later

| Planning for an Evaluation | Commissioning an Evaluation | Data Collection & Analysis | Evaluation Reporting | **Evaluation Dissemination & Follow-up** |

Task	Check
Translation of evaluation report (or executive summary) into local language	
Dissemination of report according dissemination list	
Send final evaluation report to PME focal point	
Prepare management response	
Presentation of report and management response to stakeholders (workshop)	
Send management response to PME focal point	
Presentation and discussion in RDW	
Follow-up of recommendations and management response	

After evaluation

Annex 3: Proposed content for Evaluation Terms of Reference (ToR)

1   Background

… provides a description about history and current status of the programme/project being evaluated.

Describe briefly (indicatively 1-2 pages) the programme/project addressing the following points:

- Full name of the programme/project, duration, location, budget
- AutRC history in the country and its current activities
- Partners and special arrangements in the project implementation
- Overall objective, purpose, results and activities (refer to logical framework to be appended)
- Any significant changes in the project design to the original objectives
- Origin of the programme/project, historical background, design process, policies and strategies which the programme/project contributes to
- Evolution of the context – major trends – in the political, institutional, social and/or economic fields
- Previous evaluations

2   Evaluation Purpose

… presents the overall aim which the evaluation shall contribute to.

Explain what learning aspects and accountability functions are referred to. E.g. a) The evaluation is intended to contribute to the development of AutRC competence and capacities in the Wat San sector. b) The evaluation makes recommendations about the improvement of processes and methods used in the project implementation. c) The evaluation contributes to the accountability towards the stakeholders, donors and beneficiaries.

3   Evaluation Objectives

… illustrates why the evaluation takes place at a certain point of time.

… details the evaluation purpose.

Explain what exactly you want to achieve with this evaluation. E.g. a) The evaluation will look at the appropriateness, timeliness and effectiveness of the set activities. b) It will assess the effectiveness and efficiency of the used methods and tool in order to achieve the intended project results. c) It will present the results of the intervention in comparison to the set goals and question their relevance for the target group and the national strategies.

… explains by whom and how the evaluation results and recommendation will be used.

E.g. The XRC Wat San and disaster management departments, the AutRC emergency and Wat San project manager, as well as technical backup at headquarters are all expected to use the recommendations made by this evaluation to improve the project design in the future.

4 Evaluation Scope

… defines the subject and focus of the evaluation.

Explain the boundaries for what will and what will not be included in the evaluation, such as thematic focus, geographical coverage, target groups, time period, and funds actually expended. If one or more of the seven evaluation criteria (relevance & appropriateness, efficiency, effectiveness, coverage, impact and coherence) are not applied it has to be substantiated under this paragraph. A substantiation is also required if additional criteria are applied. It also needs to mentioned whether cross-cutting issues (such as poverty and gender) are taken into consideration or if the intervention logic (logframe) will be analysed.

5 Main Evaluation Questions

… states the questions that should be answered with this evaluation.

The questions should be formulated as concrete as possible and in accordance with the evaluation criteria.

6 Evaluation Approach and Methodology

… outlines what is expected from the evaluator in order to get reliable data and analyses.

Describe what is expected in the respective phases of the evaluation (desk study, inception phase, preparation of inception report, field study, final report and presentations). If specific methods for data collection are expected from the evaluator (e.g. interviews, focus groups, surveys, observations, facilities visits, technical testing, triangulation) should be stated under this paragraph.

7 Proposed Timeline

… summarises the timing of the planned evaluation events.

Describe in a chorographical order the respective phases of the evaluation (e.g. tender, contracting, desk study, inception phase including submission of inception report, field studies, preparation of final draft report and final report, presentations). Number the working days planned, as well as number an duration of field trips.

8 Deliverables, Reports

… identifies the key deliverables or outputs from the evaluation.

State what reports (inception report, final draft report, final report) are expected from the evaluator. Identify required format, contend, maximal length, language and due dates for deliverables. If specific presentations and/or workshops are expected from the evaluator state here with indication of extend and audience.

9 Evaluation Quality & Ethical Standards

… outlines the standards the evaluators are expected to adhere to.

The following wording has been adopted from the IFRC Framework for Evaluation (*http://www.ifrc.org/Global/Publications/monitoring/IFRC-Framework-for-Evaluation.pdf*.) *and* is recommended to be used in all evaluation ToR.

The evaluators should take all reasonable steps to ensure that the evaluation is designed and conducted to respect and protect the rights and welfare of people and the communities of which they are members, and to ensure that the evaluation is technically accurate, reliable, and legitimate, conducted in a transparent and impartial manner, and contributes to organizational learning and accountability. Therefore, the evaluation team should adhere to the evaluation standards and specific, applicable practices outlined in the IFRC Framework for Evaluation:

The IFRC Evaluation Standards are:

1. ***Utility****: Evaluations must be useful and used.*
2. ***Feasibility****: Evaluations must be realistic, diplomatic, and managed in a sensible, cost effective manner.*
3. ***Ethics & Legality****: Evaluations must be conducted in an ethical and legal manner, with particular regard for the welfare of those involved in and affected by the evaluation.*
4. ***Impartiality & Independence****; Evaluations should be impartial, providing a comprehensive and unbiased assessment that takes into account the views of all stakeholders.*
5. ***Transparency****: Evaluation activities should reflect an attitude of openness and transparency.*
6. ***Accuracy****: Evaluations should be technical accurate, providing sufficient information about the data collection, analysis, and interpretation methods so that its worth or merit can be determined.*
7. ***Participation****: Stakeholders should be consulted and meaningfully involved in the evaluation process when feasible and appropriate.*
8. ***Collaboration****: Collaboration between key operating partners in the evaluation process improves the legitimacy and utility of the evaluation.*

It is also expected that the evaluation will respect the seven Fundamental Principles of the Red Cross and Red Crescent: 1) humanity, 2) impartiality, 3) neutrality, 4) independence, 5) voluntary service, 6) unity, and 7) universality. Further information can be obtained about these principles at: www.ifrc.org/what/values/principles/index.asp

10 Evaluation Team & Qualifications

… summarises the composition and technical qualifications of the evaluation team.

Describe how many people will form the evaluation team and what their roles within the team. State what qualifications are required (technical, geographical and methodological expertise, specific experience in evaluation, cross-sector and gender expertise) for each team member and indicate how qualifications can be proven (e.g. CVs, reference evaluations).

11 Coordination/Responsibilities

… indicates who within the organisation is responsible for the evaluation process.

State the responsible person (unit) and the contact person for the evaluator. Clarify whether and what logistical support (e.g. transportation, accommodation, communication, and translation) is offered to the evaluator.

12 Annexes

… provides additional information relevant to the ToR.

At a minimum this should include:

- AutRC Mission Statement International Aid
- Evaluation Guideline
- Code of Conduct and AutRC – Rules and Regulations
- ARC Security Regulations
- Project Document with Logframe
- Project reports

If available:

- Previous Evaluation Reports
- National/Partner policies and strategies
- Baseline surveys

Annex 4: Proposed content for inception reports

The inception report should not be longer than 15 pages.

1. Introduction

… contains a short description of the background, purpose and scope of the evaluation according to the ToR.

2. Schedule

… describes the schedule for the evaluation and explains possible deviations and adaptions to the proposed timeline in the ToR.

3. Activities

… contains an overview of the activities already carried out in the course of the preparation for the evaluation.

4. Preliminary hypotheses

… presents the preliminary results on the basis of the evaluation criteria and evaluation questions respectively, as listed in the ToR.

5. Methods

… provides an overview of the main evaluation questions with all the corresponding sub-evaluation questions, indicators, required data, data sources, survey methods, and the person in charge. It provides information about the planed data triangulation, data processing and quality assurance. Methodological details on the formulation of cross-cutting issues (particularly gender) and the extent of which the intervention logic will be analysed in the evaluation also need to be included in the inception report. Any foreseen difficulties in data collection, staff mobilisation and/or any

6. Further procedure

… details the further activities, including field trips, logistical arrangements, interviews, discussions, surveys, reporting etc. The internal division of labour in the evaluation team should be clearly mentioned.

7. Annexes

… contains the ToR, an overview of documents used, references, …

Annex 5: Proposed content for final evaluation reports

The final evaluation report should not be longer than 25-30 pages, excluding annexes.

1. Title page

Title of evaluation, date of completion of report, name of evaluator/s, name of contractor

2. Index, list of abbreviations, map

3. Executive summary

The evaluation report shall start with a short executive summary not more than three pages. It contains a brief overview of the purpose, objectives, scope, methods of the evaluation and highlights the key findings, conclusions, lessons learned and recommendations. The executive summary must be written as a free-standing document so that it can be forwarded to third parties without the whole report.

4. Background

A description of the programme/project being evaluated, providing the reader with sufficient information about the context (e.g. national, political, economic, social, cultural background) and the project itself (e.g. title, duration, partner, location, costs, target groups, objectives, expected results).

5. Introduction

This chapter contains a brief description of purpose, objectives and scope of the evaluation and briefly explains whether there have been any restrictions during the evaluation.

6. Methodology

This section should adequately explain the methods and techniques used for collection and processing of data and information. Methodological limitations, assumptions, concerns, and any constraints encountered should be acknowledged, including their impact on the validity (attribution), reliability, and independence of the evaluation.

7. Evaluation findings

This chapter presents the evaluation findings in detail. Findings have to be evidence-based and should be structured according the evaluation criteria (Evaluation Guideline, section 4) and additional criteria as stated in the ToR.

8. Conclusions

Conclusions are the interpretation of the findings drawn for each evaluation question. They should be presented in a fair manner a have to be substantiated by referring to the evaluation findings or to annexes showing how the conclusions were derived from data, information, and analysis. For smaller evaluations this chapter might be included in the evaluation findings.

9. Lessons learned

Lessons learned are conclusions that can be generalised beyond the specific evaluation. This chapter might be included in recommendations. For lager evaluations it might be useful to highlight the lessons in a separate chapter.

10. Recommendations

Recommendations should be related to the conclusions without replicating them. It must be clearly identifiable to whom the recommendations are addressed to. They should be specific, realistic and implementable within the limitations of the targeted organisation. It might be useful to present the recommendations in a matrix.

11. Annexes

The report should include the following annexes:

- Terms of Reference for the evaluation
- List of persons/organisations consulted
- List of documents and literature used
- Questionnaires or other instruments used in the evaluation
- Other technical annexes (e.g. statistical analyses, tables, figures prepared for the evaluation)

Annex 6: Format for a Management Response

Management Response
[Name of the Evaluation], Date:

Prepared by: Position: Date:

Overall comments:

Evaluation Recommendation 1: (copy/paste from evaluation report)				
Management Response: (Accepted, partially accepted or rejected; Insert brief explanatory comment on any conditions)				
Key Action(s)	Time Frame	Responsible	Tracking	
			Status	Comments
1.1. (describe actions as specific as needed)				
1.2				
Evaluation Recommendation 2: (copy/paste from evaluation report)				
Management Response: (Accepted, partially accepted or rejected; Insert brief explanatory comment on any conditions)				
Key Action(s)	Time Frame	Responsible	Tracking	
			Status	Comments
2.1. (describe actions as specific as needed)				
2.2.				
Evaluation Recommendation 3: (copy/paste from evaluation report)				
Management Response: (Accepted, partially accepted or rejected; Insert brief explanatory comment on any conditions)				
Key Action(s)	Time Frame	Responsible	Tracking	
			Status	Comments
3.1. (describe actions as specific as needed)				
3.2				