IFRC Framework
for Evaluation

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International Federation
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1.   INTRODUCTION

The purpose of this IFRC Framework for Evaluation (hereafter "evaluation framework") is to guide how evaluations are planned, managed, conducted, and utilized by the Secretariat of the International Federation of Red Cross and Red Crescent Societies (hereafter "Secretariat"). The framework is designed to promote reliable, useful, ethical evaluations that contribute to organizational learning, accountability, and our mission to best serve those in need. It upholds IFRC's commitment to transparency, providing a publicly accessible document to all stakeholders so that they may better understand and participate in the evaluation function. This framework also demonstrates IFRC's commitment to improving the importance and utility of evaluation, modelling credible and legitimate practices as a leading global actor in the humanitarian field.

The content of this framework is organized into four additional sections. Section 2 provides an overview of the concept and role of evaluation in the Secretariat. The next three sections discuss the parts of the evaluation framework as presented in Diagram 1: 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 framework seeks to provide some practical guidance to its implementation, it is beyond the scope of the framework to provide complete evaluation guidance. Instead, the framework identifies key evaluation practices, which can be complimented by additional guidance listed in 1: Resources.[1]
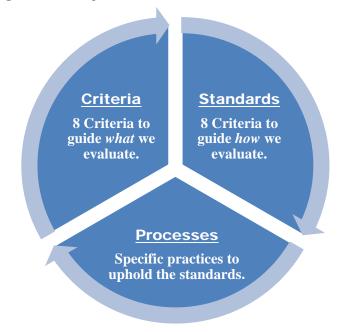
Diagram 1: Key Parts of the Evaluation Framework

Criteria
8 Criteria to guide *what* we evaluate.

Standards
8 Criteria to guide *how* we evaluate.

Processes
Specific practices to uphold the standards.

This framework is intended for two audiences. First, it is intended to guide people involved in commissioning, managing, or conducting a Secretariat evaluation. This includes those responsible for programme and project management, policy development and review, strategic planning, evaluation capacity building and training, and the evaluators themselves. Second, this framework 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 IFRC evaluation work.

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

This framework is to be applied to all evaluation activities by or for the IFRC Secretariat. Evaluation activities are explained in more detail in Section 2 below, but include a range of data collection and assessment activities at multiple levels, including projects, programmes, strategic plans, multi-agency evaluations, and meta-evaluations. While the framework may be applicable to other types of IFRC assessments, such as personnel performance reviews or audits, specific policy and procedures for such assessments take precedence.

This framework is meant to guide the theory, practice and use of evaluation among all National Societies. The IFRC is a membership organization established by and comprised of 186 National Societies (at the time of writing this framework), working in varying socio-political contexts, providing a diverse array of services. Therefore, it is acknowledged that many National Societies may already have or plan to develop their own evaluation policies according to the specific evaluation functions appropriate to their particular context. This is encouraged, and this framework seeks to provide a foundation of key practices upon which Nationals Societies can build.

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).[2] Foremost, this framework upholds the Fundamental Principles and Code of Conduct of the Movement. It is also compliment to and consistent with other key IFRC Secretariat policies, principles, and guidelines.

This framework was approved by the IFRC Secretariat on 10 February 2011, following a process of development and consultation lead by the IFRC Planning and Evaluation Department (PED) and including consultation with multiple stakeholders in the International Red Cross Red Crescent Movement, as well and non-Movement partners. *It is understood that the evaluation standards and practices are not exhaustive for the broad and diverse geographic and thematic scope of IFRC work.* This evaluation framework 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]
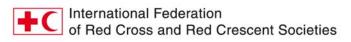
2. EVALUATION at IFRC

The IFRC Secretariat 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."[4]

IFRC Secretariat 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.

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[2] 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.
[3] Feedback and comments on this draft version can be sent to the IFRC Planning and Evaluation Department (PED) at misgana.ghebreberhan@ifrc.org.
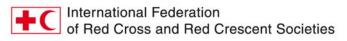[4] OECD, Development Assistance Committee – DAC, Working Party on Aid Evaluation, Glossary of Key Terms in Evaluation and Results Based Management, 2002.

2. **Contribute to organizational learning.** Evaluations form a basis for learning to better manage and deliver our programmes and services. 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, and build on our strengths as a leading actor in humanitarian relief.

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 in the humanitarian field. 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.

IFRC Secretariat 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.

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, real-time evaluations, cluster evaluations, empowerment evaluations***, and many others.[5]

It is worth noting that there are other forms of assessment at IFRC 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

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[5] 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.

make informed decisions for project management; *Review*s are periodic assessments of performance, emphasizing operational issues; *Inspections* are general examinations to identify and correct shortcomings and malfunctions; *Investigation* are examinations to collect evidence for prosecution or corrective action in response to a claim or wrongdoing or misconduct; *Audits* are assessments to verify compliance with established rules, regulations, procedures or mandates.

3. EVALUATION CRITERIA

The following eight evaluation criteria endorsed by the IFRC Secretariat 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 IFRC's work. Acknowledging the broad geographic and thematic scope of IFRC's work, all of the criteria may not be relevant in its evaluation. Therefore, if a particular criterion is not applicable to an evaluation context, this should be explained in the evaluation report, as can be any additional criteria applied.

The criteria are based on internationally recognized practices, largely adopted from the OECD/DAC criteria,[6] 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.

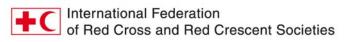## 3.1 The Red Cross and Red Crescent Fundamental Principles, Code of Conduct, IFRC's Strategy 2020

IFRC work should uphold IFRC policies and guidelines. Foremost, this includes the (1) Fundamental Principles of the Red Cross and Red Crescent Movement, the (2) Code of Conduct for International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, and (3) the IFRC Strategy 2020 adopted in November 2009 by the 17th Session of the General Assembly.[7]

3.2 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). 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.

3.3 Efficiency

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[6] OECD/DAC (1999) 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.

[7] Complete citations of these two documents can be found Annex 1: Resources, as well as the IFRC webpage for Principles and Values (http://www.ifrc.org/what/values/index.asp?navid=04_02), which provides additional resources and links.

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.

3.4   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:

- *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 IFRC, 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.

3.5   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 IFRC 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)
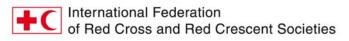
3.6   Impact

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.

3.7   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 IFRC interventions are often implemented through various partnerships with 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.

3.8 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.)
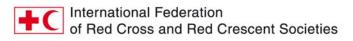
4. EVALUATION STANDARDS

The following eight evaluation standards summarize key principles that guide *how* evaluation is conducted by the IFRC Secretariat. 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 IFRC evaluation process. Both evaluation standards and practices have been compiled taking into account internationally recognized practices for evaluation in humanitarian relief and development.[8]

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

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

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 Secretariat 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.

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). IFRC endorses the principle of "do no harm." Processes and protocols (below) 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.[9] In the case of internal evaluations, participants should have adequate experience and expertise, which may necessitate capacity development as part of the evaluation process.

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. IFRC 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.
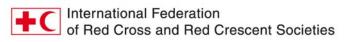
5.   EVALUATION PROCESS

The following section details how evaluation standards are applied in the evaluation process. It distinguishes five major phases for which 43 key practices have been identified that uphold the evaluation standards.
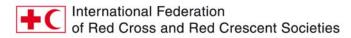
Planning for an Evaluation

5.1   **Programme 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. Recognizing the dynamic context in which IFRC

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

operates, the rationale and timing of evaluations should be periodically reviewed, and un-envisaged changes to the evaluation timeframe should be explained to stakeholders.

5.2   **Utility and donor compliance**. Evaluations should be planned in accordance with the utility standard (4.1 above), and any additional requirements from 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 framework and that of external donors, this should be addressed through mutual consent between IFRC and the donor.

5.3   **Secretariat Evaluation Database**. The IFRC Planning and Evaluation Department (PED) should be notified of all planned Secretariat evaluations for a global database. This inventory of evaluations can be used to inform policy and strategy, coordination and coherence of evaluations from the Secretariat and with partners, technical assistance and resources to best support Secretariat evaluation function, and to ensure adherence to the evaluation framework.

5.4   **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 Secretariat programmes:

   5.4.1   **Baseline study**. All Secretariat 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.

   5.4.2   **Final evaluation**. All Secretariat 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.

   5.4.3   **Independent final evaluation.** For Secretariat interventions exceeding 1,000,000 Swiss francs, the final evaluation should be undertaken independent of project management, or if undertaken by project management, will be reviewed by the Secretariat Planning and Evaluation Department (PED), or by some other independent quality assurance mechanism approved by PED. 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.

   5.4.4   **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.

   5.4.5   **Real-time evaluation(RTE).**[10] Shall be initiated within the first three months of an emergency operation under one or a combination of the following conditions:

      1) The emergency operation is over nine months in length;

      2) Greater than 100,000 people are planned to be reached by the emergency operation;

      3) The emergency appeal is greater than 10,000,000 Swiss francs;

      4) Greater than ten National Societies are operational with staff in the field.

5.5   **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

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[10] A real-time evaluation (RTE) is an evaluation in which the primary objective is to provide feedback in a participatory way in real time (i.e. during the evaluation fieldwork) to those executing and managing the humanitarian response (Cosgrove et. al. 2009).
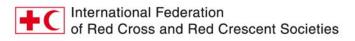
stand-alone evaluation, while pooling resources, and reducing the duplication of services and procedures and the related burden on recipients.

5.6   **Meta-evaluations**[11] of the Secretariat evaluation process should be periodically conducted to: take inventory or evaluations and synthesize evaluation results; examine evaluation methodologies; check compliance with and consider revision of the evaluation framework; inform corporate policy and strategy in the selection of evaluation exercises; and improve dissemination and utilization of lessons learned from evaluations. The Planning and Evaluation Department (PED) will lead this practice at a minimum of every two years.

5.7   **Evaluation Budget.** Evaluation budgets should be planned for, along with other major M&E events, during the design phase of Secretariat policies, projects and programmes. A dedicated budget line between 3% and 5% should be included for all evaluations of interventions above 200,000 Swiss francs. This approach is consistent with best international practice.[12] 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.

Commissioning an Evaluation

5.8   **Decision to commission an evaluation.** Evaluations can be commissioned by a person or department in accordance with the evaluation standards and practices presented in this framework. This typically involves the programme senior management, or for evaluations involving multiple programme areas it may require the involvement of Secretariat senior management.

5.9   **Evaluation TOR.** A terms of reference (TOR) or briefing document should be prepared and publicized, and for Secretariat evaluations it should be shared with the Planning and Evaluation Department (PED). 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 Framework should also be referred to in the TOR, including the internet link with this framework can be accessed, or the framework can be annexed to the TOR itself. (An example TOR format is provided in Annex 2).

5.10 **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 5.12), and then followed upon during the evaluation dissemination (discussed below).

5.11 **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.

5.12 **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 civic society

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[11] A meta-evaluation is the evaluation of an evaluation, evaluation system or evaluation device.
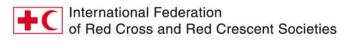[12] UNICEF 2007: p. 8; USAID 2007: p. 9.

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.

5.13 **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.

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

5.15 **Partner/donor collaboration.** Evaluation TORs and plans should be systematically exchanged with other partners/donors and coordinating bodies,[13] 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.

5.16 **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 through a transparent process with competitive bidding. 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.

5.17 **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 framework, 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.
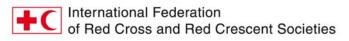
Data Collection & Analysis

5.18 **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 RTEs and other 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).

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[13] The Secretariat Planning and Evaluation Department (PED) can be contacted for relevant coordinating bodies.

5.19 **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.

5.20 **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.

5.21 **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.

5.22 **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.[14]

5.23 **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.

5.24 **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.

5.25 **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.

5.26 **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 5.27).
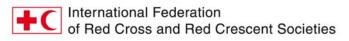
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[14] This has been largely adopted from AES (2002).

5.27 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 5.25).

5.28 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.

5.29 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.

5.30 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.

Evaluation Reporting

5.31 Report content and coherency. The content of the written report should be coherently structured with a logical flow. Data and information should be presented, analyzed, 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, the management response and action plan (Practice 5.42), data collection instruments, and full citations for any cited resources.[15]

5.32 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.

5.33 Recommendations. Recommendations should be specific and implementable within the local and global strategic and principles frameworks and resource limitations of IFRC. Preferably, recommendations will also be prioritized and *monitorable* (capable of being monitored so their follow-up can be tracked and reported upon).

5.34 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

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[15] Specific guidelines for report writing IFRC evaluation reports can be found in the Annex 1: Resources.

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.

5.35 **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 eight evaluation criteria (Section 3) are not included in the evaluation, this should have been noted in the TOR and explained in the evaluation report.

5.36 **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.

5.37 **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 5.24). Conflict of interests and differing opinions within the evaluation team should be clearly noted in the evaluation reporting (Practice 5.29). 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 (5.42) can consider whether to address the differing opinion in its Management Response action plan.

Evaluation Dissemination & Follow-Up

5.38 **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 5.10) 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.

5.39 **Appropriate dissemination.** Related to comprehensibility (Practice 5.34), 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.

5.40 **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 5.34) of the report in a summary or simplified form for external audiences.

5.41 **Evaluation Database**. In follow-up to Practice 5.3, all Secretariat evaluation reports should be submitted for record with the IFRC Planning and Evaluation Department (PED). PED will post reports on both IFRC internal (FedNet) and external websites.

5.42 Management Response. Evaluations require an explicit response to recommendations by the evaluation commissioner/s, and should not be conducted as an 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.

5.43 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 5.37) 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.

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), 1994. *The Program Evaluation Standards (2nd edition).*
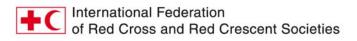http://www.wmich.edu/evalctr/jc/

Australian Evaluation Society (AES), 2002. *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/publications/evaluation/evaluation-policy.pdf

Global Environment Facility (GEF), 2006. The GEF Monitoring and Evaluation Policy. Washington, DC.
http://www.thegef.org/uploadedFiles/Policies_and_Guidelines-me_policy-english.pdf

International Federation of Red Cross and Red Crescent Societies (IFRC). *IFRC Principles and Values.* Geneva.
http://www.ifrc.org/what/values/index.asp?navid=04_02

International Federation of Red Cross and Red Crescent Societies (IFRC), 2005. *Operational Framework for Evaluations*. Geneva.
http://www.ifrc.org/cgi/pdf_evaluation.pl?operational-framework-revised.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/publicat/conduct/code.asp

International Federation of Red Cross and Red Crescent Societies (IFRC), 2007. *The Fundamental Principles of the International Red Cross and Red Crescent Movement. Statutory texts of the International Federation of Red Cross and Red Crescent Societies (p. 42-43).* Geneva.
http://www.ifrc.org/what/values/principles/index.asp

International Federation of Red Cross and Red Crescent Societies (IFRC), 2009. *Project/programme planning (PPP) guidance manual.* Geneva. (Website forthcoming)

International Federation of Red Cross and Red Crescent Societies (IFRC), 2009. *Strategy 2020.* Geneva.

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

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/LongAbstract/0,3425,en_2649_34435_2667287_1_1_1_1,00.html

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), 2006. *DAC Evaluation Quality Standards.* Paris: OECD.
http://www.oecd.org/dataoecd/30/62/36596604.pdf

Organization for Economic Co-operation and Development, Development Assistance Committee (OECD/DAC), 2000. *DAC Criteria for Evaluating Development Assistance.* Paris: OECD.
http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html

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.
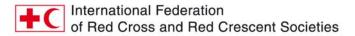http://www.unicef.org/evaluation/index_13477.html

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: Example Terms of Reference (TOR)

"Evaluation/Study Title"

1. **Summary**. Provides a succinct summary of key elements of the evaluation, including:
   - **1.1. Purpose** – stated in a succinct sentence drawn from Section 3 of the TOR.
   - **1.2. Audience** – also summarized from Section 3 of the TOR.
   - **1.3. Commissioners** – identifies who is funding (requiring) the evaluation.
   - **1.4. Reports** – identifies who the evaluator/s or consultant will directly report to (i.e. the evaluation manager).
   - **1.5. Duration -** list only the number of days or hours for the consultant/s, not the overall management of the evaluation, i.e. time needed for the evaluation commissioner or manager to plan or follow-up.
   - **1.6. Timeframe** – list only the dates for the consultant/s and not the overall management of the evaluation.
   - **1.7. Location**: List any locations where the consultancy will take place.

2. **Background**. Provides background history as well as the current status of the programme being evaluated.

3. **Evaluation Purpose & Scope**. Presents the overall aim and parameters of the evaluation.
   - **3.1. Purpose (overall objective).** State why the evaluation is necessary (at that particular point in time), how the information will be used, and by whom (the audience). This should include the audience of the evaluation – the key stakeholders using the information.
   - **3.2. Scope.** Focus the evaluation by setting the boundaries for what will and will not be included, such as the the *unit of analysis* covered by the evaluation, the *time period* or phase(s) of the programme to be evaluated, the *funds* actually expended at the time of the evaluation versus the total amount allocated, the *geographical coverage* of the evaluation, and the *target groups* or beneficiaries to be included in the evaluation.

4. **4. Evaluation Objectives and Criteria**. Details the evaluation's purpose and scope with specific areas of inquiry and questions to be answered identified.
   - **4.1. Objectives.** Identify specific objectives about what the evaluation will do to fulfil the purpose of the evaluation. A given evaluation may pursue one or a number of objectives.
   - **4.2. Evaluation criteria.** Identify relevant evaluation criteria from the IFRC Evaluation Framework (Section 3, above): 1) adherence to Fundamental Principles and Code of Conduct, 2) relevance and appropriateness, 3) efficiency, 4) effectiveness, 5) coverage, 6) impact, 7) coherence, 8) sustainability and connectedness.

5. **Evaluation Methodology**. Outlines the key data sources, and methods of data collection and analysis.

6. **Deliverables (or Outputs)**. Identifies the key deliverables or outputs from the evaluation; it is also recommended to identify specific dates for deliverables, as well as separate responsibilities when relevant.

7. **Proposed Timeline (or Schedule)**. Summarizes the timing of key evaluation events, i.e. desk review, briefing, data collection and analysis, presentations, draft and final reports, etc.

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8. **Evaluation Quality & Ethical Standards**. The following wording is recommended to uphold IFRC Evaluation Framework standards:

    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 Evaluation Framework accompanying this TOR.

    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

9. **Evaluation Team & Qualifications**. Summarizes the composition and technical qualifications of the evaluation team.

10. **Application Procedures**. Clearly states the specific procedures, materials, and deadlines for potential applicants to submit their application.

11. **Appendices**. Provides additional information relevant to the TOR, such as the IFRC Framework for Evaluations, a bibliography of documents, maps, a detailed evaluation schedule, etc.