These guidelines are complemented by a series of documents on Inter-Agency Humanitarian Evaluations (IAHEs): a) a Conceptual Framework; b) an Engagement and Communications Strategy; and c) a four-Year Rolling Workplan, 2018-2021.

This document intends to guide Management Groups during Inter-Agency Humanitarian Evaluations commissioned by the IAHE Steering Group. Any actual evaluation may follow a somewhat different process with additional or fewer steps within a phase (e.g., a scoping mission at preparation phase, or a workshop at reporting stage). All the phases set out in the guidelines are required for any IAHE process.
# CONTENTS

**Acronyms** ........................................................................................................... 7

1. **Background** ........................................................................................................ 8

2. **Purpose and definitions** .................................................................................. 10
   2.1 Vision and purpose ............................................................................................ 10
   2.2 Definition ........................................................................................................ 10
   2.3 Users of IAHEs results .................................................................................... 10
   2.4 Links between Peer Support Missions and IAHEs ........................................ 11

3. **Triggers, Timing and Process TIMELINES** .................................................. 12
   3.1 Triggers for IAHEs – Selection criteria for inclusion within IAHE SG Work Plan . 12
   3.2 Timing ........................................................................................................... 12
   3.3 Phases and process timelines ........................................................................ 13

4. **Methodological Approach** ............................................................................. 14
   4.1 Special considerations ...................................................................................... 14
   4.2 Analytical framework and core evaluation questions ...................................... 15
     4.2.1 Crisis-specific evaluations ......................................................................... 17
     4.2.2 Thematic evaluations .............................................................................. 17

5. **IAHE Governance and Management: Roles and Responsibilities** ............... 18
   5.1 Emergency Relief Coordinator and IASC Principals ...................................... 18
   5.2 IASC Working Group and Emergency Directors Group ................................ 19
   5.3 The Humanitarian Coordinator and the Humanitarian Country Team in crisis-specific evaluations ................................................................. 19
   5.4 Inter-Agency Humanitarian Evaluation Steering Group ................................ 20
   5.5 Ad hoc IAHE Management Group ................................................................. 21
   5.6 Evaluation Manager ....................................................................................... 22
   5.7 IAHE Advisory Group ................................................................................... 23
   5.8 Financial arrangements .................................................................................. 25
6. Procedures for Conducting and Managing IAHEs .......................................................... 26
  6.1 Preparing for an IAHE ............................................................................................................ 27
  6.2 Selection and recruitment of the Evaluation Team ............................................................... 27
  6.3 Inception phase ...................................................................................................................... 27
  6.4 Data collection ....................................................................................................................... 30
  6.5 Reporting (3 months for crisis-specific IAHEs – 5 months for thematic IAHEs) ........... 31
  6.6 Management response and follow-up processes ................................................................. 33
  6.7 Information disclosure policy .............................................................................................. 37

Annex A: Standard Terms of Reference for Crisis-Specific IAHEs ................................. 38
LIST OF FIGURES

Figure 1: Process map of 5 IAHE phases ........................................................................................................13
Figure 2: Coordinated Humanitarian Action: The Ideal Model ..............................................................16
Figure 3: Preparation phase (month 0-3) ....................................................................................................26
Figure 4: Inception phase (month 4-6) ......................................................................................................29
Figure 5: Field mission phase (month 7 for crisis-specific, months 7-9 for thematic IAHEs) ....30
Figure 6: Reporting phase (months 8-10 for crisis-specific IAHEs, 10-14 for thematic IAHEs) ....31
# ACRONYMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Full Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALNAP</td>
<td>Active Learning Network for Accountability and Performance</td>
</tr>
<tr>
<td>ERC</td>
<td>Emergency Relief Coordinator</td>
</tr>
<tr>
<td>HC</td>
<td>Humanitarian Coordinator</td>
</tr>
<tr>
<td>HCT</td>
<td>Humanitarian Country Team</td>
</tr>
<tr>
<td>IAHE</td>
<td>Inter-Agency Humanitarian Evaluation</td>
</tr>
<tr>
<td>IAHE AG</td>
<td>Inter-Agency Humanitarian Evaluation Advisory Group</td>
</tr>
<tr>
<td>IAHE MG</td>
<td>Inter-Agency Humanitarian Evaluation Management Group</td>
</tr>
<tr>
<td>IAHE SG</td>
<td>Inter-Agency Humanitarian Evaluation Steering Group</td>
</tr>
<tr>
<td>IASC</td>
<td>Inter-Agency Standing Committee</td>
</tr>
<tr>
<td>IASC EDG</td>
<td>Inter-Agency Standing Committee Emergency Directors Group</td>
</tr>
<tr>
<td>IASC WG</td>
<td>Inter-Agency Standing Committee Working Group</td>
</tr>
<tr>
<td>NGO</td>
<td>Non-governmental Organization</td>
</tr>
<tr>
<td>OCHA</td>
<td>United Nations Office for the Coordination of Humanitarian Affairs</td>
</tr>
<tr>
<td>TOR</td>
<td>Terms of Reference</td>
</tr>
<tr>
<td>UNEG</td>
<td>United Nations Evaluation Group</td>
</tr>
</tbody>
</table>
1. BACKGROUND

1. The 2016 World Humanitarian Summit generated commitments to reduce suffering and improve delivery of aid for people caught in humanitarian crises. These commitments are contained in the Agenda for Humanity. The Agenda is a plan that outlines the changes needed to alleviate suffering, reduce risk and lessen vulnerability on a global scale. In the Agenda, humanity - in particular people’s safety, dignity and the right to thrive - is placed at the heart of global decision-making. To achieve this, global leaders and all humanitarian actors are called upon to act on five core responsibilities, each of which contains normative and strategic transformations that are necessary to make them reality:

   i. political leadership to prevent and end conflicts
   ii. upholding the norms that safeguard humanity
   iii. leaving no one behind
   iv. changing people’s lives: from delivering aid to ending need
   v. investing in humanity

2. Inter-Agency Humanitarian Evaluations (IAHEs) of large-scale system-wide emergencies were introduced to strengthen learning and promote accountability towards affected people, national governments, donors and the public.

3. The Inter-Agency Humanitarian Evaluation Steering Group (IAHE SG) developed guidelines for its evaluations in 2014, at a time when the international humanitarian system was undergoing a period of reform, with the aim to further improve humanitarian leadership and coordination and to strengthen accountability, under the Transformative Agenda.

4. Following on from the Agenda for Humanity and changes to the mechanism for level-3 (L3) crises, and building on the experience gained between 2013 and 2016 from three crisis-specific IAHEs and the Syria-CALL, the 2014 IAHE guidelines were revised in 2018. The old guidelines reflected the mindset of the original L3 activation protocols, i.e., they were geared towards sudden-onset natural disasters. The revision considers the efforts of humanitarian actors to bridge the humanitarian/development nexus and the New Way of Working.

5. The present guidelines specify the roles and responsibilities of different stakeholders and provide a set of operating procedures for IAHEs. They are intended to help support and guide the management and conduct of evaluations commissioned by the Steering Group. These are either thematic or crisis-specific evaluations. In addition, the Steering Group may

---

1. www.agendaforhumanity.org
2. Coordinated Accountability and Lessons Learning for Syria: A joint evaluative effort launched by the Steering Group in 2013 to present an overall picture of the evaluative work conducted by various humanitarian actors of the response to the Syria crisis, see: https://interagencystandingcommittee.org/evaluations/country-pages/syria-call
3. www.agendaforhumanity.org/initiatives/5358
4. Crisis-specific evaluations may focus on sudden-onset or protracted crises, conflicts or natural disasters.
initiate other types of evaluative activities (such as syntheses) which fall outside the scope of these guidelines. The procedures and methodologies prescribed by these guidelines will apply to all crisis-specific emergency situations, as well as to themes related to the 24 key transformations of the Agenda for Humanity. For the sake of brevity and clarity, the guidelines are based on the assumption of an emergency in a single country. Hence some aspects, especially with regard to stakeholders (such as in-country Advisory Groups and Humanitarian Country Teams) will need to be modified in the case of crises involving cross-border operations. The guidelines include standard Terms of Reference (TOR). Additional annexes, e.g., TORs for thematic IAHEs, will be added over time.
2. PURPOSE AND DEFINITIONS

2.1 Vision and purpose

6. IAHEs are guided by a vision of addressing the most urgent needs of people impacted by crises resulting from coordinated and accountable humanitarian action. IAHEs contribute to both accountability and strategic learning across the humanitarian system, and aim to improve aid effectiveness to ultimately better assist affected people. The dual purpose (accountability and learning) is common to all IAHEs; however, their balance in a specific IAHE may vary based on relevance and utility.

2.2 Definition

7. An IAHE is an independent assessment of results of the collective humanitarian response by Member Organizations of the Inter-Agency Standing Committee (IASC)\(^5\) to a specific crisis or theme. IAHEs evaluate the extent to which planned collective results have been achieved and how humanitarian reform efforts have contributed to that achievement. IAHEs are not an in-depth evaluation of any one sector or of the performance of a specific organization and, as such, cannot replace any other form of agency-specific humanitarian evaluation, joint or otherwise, which may be undertaken or required.

8. IAHEs follow the United Nations Evaluation Group (UNEG) Norms and Standards\(^6\) that emphasize, among others: i) the independence of the Evaluation Team; ii) the application of evaluation methodology; and iii) the full disclosure of results. IAHEs have a clear scope (defined in the TOR and inception report) with regard to the period, geographic areas and target groups to be covered by the evaluation.

2.3 Users of IAHEs results

9. IAHEs are designed primarily to:

- Provide Humanitarian Coordinators (HCs) and Humanitarian Country Teams (HCTs) with independent and credible evidence of collective progress towards stated goals, objectives and results. This may, where relevant, complement internal review exercises (see section 2.4) in providing further evidence for decision-making regarding course corrections in an ongoing response, or identify additional areas that need to be addressed to improve the response, especially in chronic emergency situations. Additionally, IAHEs may help inform longer term recovery plans, and in the case of a sudden-onset disaster, support preparedness efforts for the next emergency.

\(^5\) Throughout, the reference to “IASC members” includes standing invitees which, in practice, have the same status as members.

\(^6\) [www.unevaluation.org/document/detail/1914](http://www.unevaluation.org/document/detail/1914)
Contribute to the evidence base for decision-making and judgments about future humanitarian action, policy development and reform by the IASC Principals, IASC Working Group (IASC WG), Emergency Directors Group and other stakeholders.

10. In doing so, they will also:

- Provide national governments and disaster management institutions with evaluative evidence and analysis to inform their national policies and protocols for crises involving international agencies and other actors (specifically crisis-specific IAHEs but potentially also thematic ones).
- Provide information to affected people of the outcomes of the response (crisis-specific IAHEs).
- Provide Member States of international organizations, donors, and learning and evaluation networks with evaluative evidence of collective response efforts for accountability and learning purposes.

2.4 Links between Peer Support Missions and IAHEs

11. Peer Support Missions (previously Operational Peer Reviews) are an inter-agency internal management review tool that assesses whether a humanitarian response is on the right course and is meeting its strategic objectives. Peer Support Missions, organized by Peer 2 Peer (P2P) Support, are carried out at the request of the IASC Emergency Directors Group (IASC EDG) and the Humanitarian Coordinator in countries affected by a humanitarian crisis. A P2P Support Mission consists of a light review of the humanitarian operation undertaken with a bottom-up approach that looks at issues impacting the effectiveness of the response.

12. They are not a substitute for evaluations, in that they do not address the accountability needs of coordinated humanitarian action, including through the generation of a public document or the measuring of results. In situations in which Peer Support Missions have been conducted, IAHEs will be informed by the results of such Missions and will look at their role in supporting the humanitarian response. The evaluation inception report will clarify how the results of a Peer Support Mission and other reviews, assessments or evaluations will be considered during each IAHE.
3. TRIGGERS, TIMING AND PROCESS TIMELINES

3.1 Triggers for IAHEs – selection criteria for inclusion within IAHE SG Work Plan

13. With the IASC Humanitarian Project Cycle (IASC HPC) module revision of 2015, IAHEs are now initiated as per their inclusion in the IAHE SG’s Workplan and are formally launched by the Emergency Relief Coordinator (ERC). The IAHE SG establishes annually a list of priority countries (or regions) for crisis-specific evaluations and a list of priority themes for thematic evaluations, using a systematic and defined set of selection and prioritization criteria – see the IAHE Work Plan – as well as considering requests of Humanitarian Coordinators or Humanitarian Country Teams in a specific crisis.

3.2 Timing

14. There is no fixed time frame for when an IAHE should be conducted, as a particular emergency situation may require flexibility in terms of the commissioning and conducting of an evaluation process and, as in the case of thematic IAHE, timing will depend on the prioritization done by the Steering Group in its workplan regarding the relevance of a particular topic. Consultations with key stakeholders and potential users are paramount to establish the optimal timing of a particular evaluation process, and efforts should be geared towards enhancing perspectives for effective evaluation use. For crisis-specific IAHEs, this means embedding IAHEs in the planning cycle and/or key events of the country teams; for thematic IAHEs this may mean a strategic interest by IASC stakeholders on a particular theme.

15. IAHE processes, as all evaluation processes, comprise five phases: preparation, inception, evaluation field mission, reporting and dissemination. The Evaluation Team’s engagement starts at inception and extends to the reporting or dissemination phase. The key outputs of each phase are listed below:

- Preparation: TOR (including budget plan) and contracting of team.
- Inception: draft and final inception report (including confirmation of evaluability and scope).
- Field mission: exit debriefs with HCT on initial findings, gaps in data and next steps.
- Reporting: draft and final evaluation report.
- Dissemination: communications products to be defined for each process, but may include a two-page summary of the evaluation to communicate results.

For more information on the key elements of the humanitarian programme cycle see “IASC Humanitarian Programme Cycle Reference Module Version 2.0” 2015 available at www.humanitarianresponse.info/en/programme-cycle/space
16. The duration of any IAHE process should be kept to between 10 and 14 months from the time of the TOR’s approval. The timing of the evaluation field mission, to enhance effective utilization of IAHE results, should be planned in consultation with stakeholders for all IAHE processes, and for crises-specific IAHEs in particular. It is expected that crisis-specific IAHEs will be shorter in duration than thematic evaluations (as reflected in Figure 1 below).

3.3 Phases and process timelines

17. Thematic and regional crisis-specific evaluations may require more time at the field mission phase than single-country crisis-specific evaluations, given that they usually require multi-country field visits or case studies, hence the differential timelines shown in Figure 1.

---

Figure 1: Process map of 5 IAHE phases: Preparation → Inception → Field Mission → Reporting → Dissemination

- **Prep: MG Establishment**
  - Month 0: Establishment of an evaluation Management Group (MG) by the IAHE SG

- **Prep: TOR**
  - Months 1-2: TOR drafted by the MG, reviewed and approved by the IAHE SG

- **Prep: ET Contracting**
  - Month 3: Evaluation Team (ET) contracting as per OCHA procedures

- **Inception**
  - Months 4-6: Evaluability assessment/scoping and/or inception mission(s) held; inception report drafted by ET and reviewed/approved by MG

- **Field Mission**
  - Month 7: Field mission and exit brief (for single-country crisis-specific evaluations)
  - Months 7-9: Field mission and exit brief (for regional crisis-specific evaluations or thematic evaluations)

- **Reporting**
  - Months 8-10: Draft evaluation report, revisions, final report cleared by MG and approved by IAHE SG
  - Months 10-14: Draft synthesis report, draft country notes, revisions, final report and country notes cleared by MG and approved by IAHE SG

- **Dissemination**
  - Month 11+: Dissemination of final report, management response and any other evaluation products
  - Month 15+: Dissemination of final report, management response and any other evaluation products

---

This should include the HC/HCT and the EDG, to ensure that operational issues are taken into account, such as the in-country Cluster Monitoring Surveys and/or Cluster Performance Plans, access, security and seasonal meteorological events, as well as to optimize the relevance and utilization of the IAHEs vis-à-vis strategic and programming processes.
4. METHODOLOGICAL APPROACH

18. IAHEs will be conducted by teams of independent evaluation experts. The gender balance of the teams will be ensured to the extent possible. As a matter of principle — where circumstances allow — the participation of independent national evaluators will be sought.

19. The evaluation will be carried out through analyses of various sources of information including desk reviews, reviews of monitoring data, field visits, interviews with key stakeholders (affected population, United Nations, non-governmental organizations (NGOs), donors, governments and others), individually and in focus groups, and through the cross-validation of data. This will ensure that the evaluation is inclusive of the views of diverse stakeholder groups.

20. The Evaluation Team will ensure that questions and approaches are in line with established norms and standards as described below, and the Humanitarian Principles.

4.1 Special considerations

21. Gender: In line with the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation, the UN System-Wide Action Plan (UN-SWAP) on gender equality and the IASC Gender Equality Policy Statement, the evaluation will apply gender analysis in all phases. To facilitate this analysis, at least one member of the team should have qualifications on gender analysis. In a bid to promote durable solutions and sustainability, the IAHE processes will, where possible, seek to understand how underlying issues, barriers and drivers of inequalities are identified and addressed within humanitarian programming.

22. Inclusiveness: The evaluation methodology will integrate participatory processes, especially at the community level, to adequately engage women, men, boys and girls of different ages and taking into consideration the existence of disadvantaged groups, such as people with disabilities. The evaluation process will aim to assess the extent to which the differential needs, priorities, risks and vulnerabilities of different population groups have been identified and assessed in the response. Further, the evaluation process will seek to understand the processes and methodologies utilized to enhance the equitable and effective inclusion, access and participation particularly of women and girls in humanitarian activities (both at design and implementation) and in decision-making processes.

10 Some conflict-related situations may not allow for a national evaluator to be included in a team or to partake in specific field visits.
11 www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=1401
13 www.unsystem.org/content/un-system-wide-action-plan-gender-equality-and-empowerment-women-swap
15 Such as: sex-separate focus group discussions, key informant interviews and targeted consultations with organized community groups such as women’s associations, youth groups, etc.
23. **Accountability to affected people**: To enhance accountability to affected people, IAHEs will endeavour to gain their perspectives on the quality, usefulness and coverage of the emergency response and to incorporate these views in the evaluation findings. Additionally, they will seek to understand how the various segments of the affected population are consulted especially in the prioritization of needs, decision-making processes and the ways in which limitations to participation and inclusion are addressed. To this end, evaluators will strive to devote an appropriate amount of time during the field visit to consult communities and seek out the views of affected people. Whenever possible, IAHEs will seek to provide feedback on the evaluation findings to affected people.

24. **Ethical considerations**: Due diligence will be given to effectively integrating good ethical practices and paying due attention to robust ethical considerations in the conduct of any IAHE.

25. **Relevance to context**: To enhance the Evaluation Team’s understanding of the local context and to improve ownership and communication with local communities, where relevant and possible, IAHEs will not only seek to encourage the active involvement of national evaluators (as stated above) but also the participation of national governments throughout the evaluation process. A monitoring and evaluation officer from the national government may, when and if appropriate, be invited to participate in the technical review of evaluation outputs and provide input throughout the evaluation.

26. **Application of internationally established evaluation criteria**: IAHEs draw from evaluation criteria from UNEG Norms and Standards\(^\text{16}\) Organisation for Economic Co-operation and Development’s (OECD) Development Assistance Committee (DAC) criteria for development programmes:\(^\text{17}\) i) relevance; ii) efficiency; iii) effectiveness; iv) impact; v) sustainability; and the Active Learning Network for Accountability and Performance (ALNAP) criteria for the evaluation of humanitarian action:\(^\text{18}\) a) coherence; b) coverage; and c) connectedness. Not all criteria will necessarily be applicable to the same depth or breadth in every evaluation.

### 4.2 Analytical framework and core evaluation questions

27. The evaluative analysis of IAHEs will be informed by the following key planning documents and tools:

- **For all**: The Impact Pathway (see diagram below) provides the point of reference for all IAHEs. Broadly based on the principles of effective coordination, leadership and accountability of the Transformative Agenda, and the long-term impacts and core

---

\(^{16}\) See the UNEG website: [www.uneval.org](http://www.uneval.org)

\(^{17}\) See the OECD/DAC criteria for evaluating development assistance. A factsheet can be found at: [http://www.oecd.org/dac/evaluation/49756382.pdf](http://www.oecd.org/dac/evaluation/49756382.pdf)

Responsibilities as defined in the Agenda for Humanity, it portrays crucial characteristics of an ‘ideal humanitarian response,’ identifying key components widely accepted to lead to the effective and coherent delivery of assistance.

- **For crisis-specific IAHEs:** A crisis-specific IAHE will use the Humanitarian Response Plan (or similar plan) as the main reference to assess whether the stated objectives have been achieved.

---

**Figure 2: Coordinated Humanitarian Action: The Ideal Model**

<table>
<thead>
<tr>
<th>Coordinated Humanitarian Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Impact Pathway</strong></td>
</tr>
<tr>
<td>Longer Term Impact</td>
</tr>
<tr>
<td>Affected people live in enhanced safety and dignity with better prospects of thriving as agents of their own destinies</td>
</tr>
<tr>
<td>Core Responsibilities</td>
</tr>
<tr>
<td>Prevent and end conflicts [conflict-related crises]</td>
</tr>
<tr>
<td>Uphold norms of safeguard of humanity</td>
</tr>
<tr>
<td>Leave no one behind</td>
</tr>
<tr>
<td>Change people’s lives: from delivering aid to ending needs</td>
</tr>
<tr>
<td>Invest in humanity and in local leadership and ownership of the response</td>
</tr>
<tr>
<td>OUTCOMES</td>
</tr>
<tr>
<td>Humanitarian access secured for all</td>
</tr>
<tr>
<td>Relevant response</td>
</tr>
<tr>
<td>Connectedness and coordination between humanitarian stakeholders</td>
</tr>
<tr>
<td>Good coverage</td>
</tr>
<tr>
<td>OUTPUTS</td>
</tr>
<tr>
<td>Effective coordination mechanisms</td>
</tr>
<tr>
<td>Adequate partnerships</td>
</tr>
<tr>
<td>Common needs assessments and response plans</td>
</tr>
<tr>
<td>Common services</td>
</tr>
<tr>
<td>Concerted advocacy for adequate response capacity across sectors</td>
</tr>
<tr>
<td>Accountability (inc. AAP) mechanisms</td>
</tr>
<tr>
<td>INPUTS</td>
</tr>
<tr>
<td>Enhanced leadership</td>
</tr>
<tr>
<td>Human resources, including surge capacity</td>
</tr>
<tr>
<td>Pooled and agency funds</td>
</tr>
<tr>
<td>Guidance and programming tools (hpc, mira, sphere standards, etc.)</td>
</tr>
<tr>
<td>Sector/Cluster leads activation and common services provision</td>
</tr>
</tbody>
</table>

---

19 The UN Secretary General has urged humanitarian actors to use the Agenda for Humanity as a framework of action, change and mutual accountability [Annex to the Report of the SG for the World Humanitarian Summit, A/70/709 of February 2016].
4.2.1 Crisis-specific evaluations

28. The evaluation’s analytical framework for crisis-specific IAHEs will be structured around six questions:20

   a) **Relevance** - To what extent have the objectives set out in the Humanitarian Response Plan (HRP) or similar plan been based on identified needs of the most vulnerable groups affected by the crisis?

   b) **Effectiveness** - To what extent were the results (in terms of assistance delivery as articulated in the HRP) achieved and to what extent were they effective in meeting the needs of the most vulnerable?

   c) **Sustainability** - What were the positive and negative, intended and unintended effects of the IASC humanitarian system’s assistance for people affected by the crisis?

   d) **Partnerships** - To what extent have adequate partnerships been established (with international, national and/or local stakeholders) to deliver assistance to affected people?

   e) **Localization** - Have national and local stakeholders been involved in the response design and have their capacities and systems to respond in the future been strengthened through the response?

   f) **Coordination** - Was the assistance well-coordinated, successful and, as much as possible, equitable, reaching all affected populations and avoiding duplication of assistance and gaps?

29. In addition to the six questions above, the Evaluation Team for a crisis-specific IAHE will systematically give particular attention – specifically under core questions b, c and d – to the following: access and protection, and collective response for collective outcomes.

30. At inception stage, the Evaluation Team will consider and agree on the appropriate definition and interpretation to be given to the internationally established evaluation criteria (as well as their relative importance) for each specific IAHE. Context-specific sub-questions will also be developed by the Evaluation Team during the inception phase.

4.2.2 Thematic evaluations

31. The evaluation’s analytical framework for thematic IAHEs will be developed on a case-by-case basis according to the agreed theme, with the TOR to be informed by a scoping paper, but will be structured around:

   ■ relevance
   ■ effectiveness
   ■ assessment of the shifts in ways agencies are delivering for collective outcomes

---

20 The teams and Management Group may at TOR or inception further define which of the OECD and ALNAP evaluation criteria should be given specific attention [see par. 29].
5. IAHE GOVERNANCE AND MANAGEMENT: ROLES AND RESPONSIBILITIES

32. This section spells out the main implementation arrangements, as well as roles and responsibilities for the IAHE process. The key actors in the management of an IAHE are the Emergency Relief Coordinator, the IASC Principals, the IASC Working Group and Emergency Directors Group, the Humanitarian Coordinator and Humanitarian Country Team, the IAHE Steering Group, Management Group (IAHE MG), Evaluation Manager and Advisory Group (in-country for crisis-specific IAHEs and at the global level for thematic IAHEs).

5.1 Emergency Relief Coordinator and IASC Principals

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

34. The ERC recognizes the mandate of the IAHE Steering Group to commission independent joint evaluations of large-scale system-wide humanitarian responses and thematic evaluations focusing on the Agenda for Humanity.

35. The ERC, supported by the Emergency Directors Group, will designate the responsibilities for the management response for the evaluations and ensure agreed actions are carried out. Depending on the evaluation, responsibilities will usually include:

- For crisis-specific evaluations, the Humanitarian Coordinator is responsible (supported by the Humanitarian Country Team). This will be adapted as appropriate in the cases of multi-country/regional crises.
- For thematic evaluations, the overall responsibility will be with the ERC, supported as appropriate by the IASC Principals, the Emergency Directors Group and the Working Group.

36. The IASC Principals will engage on IAHEs at least once a year on the following:

- Review and provide guidance on the priorities for the workplan on both crisis-specific and thematic evaluations.
- Ensure that the systemic recommendations from IAHEs are addressed in a formal management response plan within two months of the approval of the evaluation report.
- Be briefed and receive status reports on the implementation of recommendations for past reports (yearly monitoring following the release of the management response until closure of the recommendation or management response).
- Ensure adequate dissemination and uptake of evaluation findings within their joint programming.
5.2 IASC Working Group and Emergency Directors Group

37. The IAHE Steering Group will ensure engagement with the IASC Working Group and Emergency Directors Group to help scope the evaluation, and to ensure that high-stake strategic and operational issues are considered when undertaking an evaluation. This will be done through a dedicated briefing during one of the EDG and WG meetings by a delegate of the IAHE SG, at least once a year. In addition, members of the IAHE SG will undertake regular briefings on a bilateral basis with their organization’s Emergency Director and member of the IASC Working Group.

38. The IASC WG and EDG have the responsibility for compiling the initial draft in the preparation of management response plans for consideration by the IASC Principals.

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

Working modalities

40. The Chair of the IASC Working Group will facilitate consultations with key stakeholders, including Working Group members and the EDG, to inform the development of a management response plan for final endorsement of the IASC Principals. The Chair of the Working Group will advise on and facilitate consultations on the priorities and engagement for the selection of the thematic evaluations. They will support and facilitate access to HCs and HCTs for surveys, interviews and missions to countries selected as case studies in thematic evaluations. They will advise on the selection of experts and other stakeholders as members of the Advisory Group for thematic evaluations.

5.3 The Humanitarian Coordinator and the Humanitarian Country Team in crisis-specific evaluations

41. In the inception phase of crisis response evaluations, HCT members will engage with the Evaluation Team to help scope the evaluation to ensure that specific policy and operational questions are addressed. HCT members will provide inputs to the evaluation throughout the process, from inception to dissemination, and play an important role in facilitating the evaluation mission. HCT members will play an active role in supporting the HC in drafting the formal management response to the evaluation report.

42. The HC will be responsible for ensuring that operational-level recommendations are addressed in a formal management response plan within two months of the approval of the evaluation report and that their implementation is monitored yearly until the closure of the management response plan, with an update being provided to the ERC on its implementation.
Working modalities

43. The HC will facilitate consultations with key stakeholders, including the HCT and the in-country Advisory Group (see below), to inform the development of the management response plan for final endorsement of the ERC. In support of the HC and HCT, the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) Country Office will be responsible for: i) the mapping of stakeholders to create the in-country Advisory Group; ii) supporting the organization of the inception visit and evaluation field visit; iii) coordinating inputs to the inception and evaluation reports; and iv) supporting the HC and HCT in the preparation of a management response to address the evaluation recommendations.

5.4 Inter-Agency Humanitarian Evaluation Steering Group

44. The specific roles and responsibilities of the Steering Group, relative to the selection of evaluations, are to:

- Coordinate the development of broad strategic guidance on methodological approaches and refinements for IAHEs;
- Develop a prioritized list of IAHEs to be conducted and share these with the ERC.

45. The specific roles and responsibilities of the Steering Group, relative to the conduct of specific evaluations, are to:

- Designate participation within IAHE Management Groups for specific IAHEs as required;
- Approve the IAHE TOR, including the timeline and budget, and the final IAHE evaluation reports;
- Consider and approve whether staff from evaluation offices may be part of an IAHE Evaluation Team;
- Contribute to the development of a communications strategy for IAHE results;
- Ensure, via the Chair, that the final report is transmitted to the ERC for consideration by the IASC Principals, the HC (for crisis-specific evaluations) and other stakeholders as appropriate;
- Ensure that results of the IAHEs are shared with executive boards and relevant management, disseminated adequately internally and to agency partners, and widely disseminated externally;
- Make proposals to the IASC on the further development and application of IAHEs to contribute to improvements of humanitarian action.

46. The responsibilities of the Chair of the IAHE Steering Group, in relation to the conduct of IAHE evaluations, are to coordinate all the tasks of the Steering Group, as well as be the first point of liaison with the ERC, IASC Principals, EDG and WG, HC and HCT. The Steering Group Chair will drive the overall IAHE Agenda forward in full consultation with the Steering Group, overseeing the timely and effective implementation of all the steps and tasks in the evaluation conduct. They will promote awareness about IAHEs and present and disseminate evaluation results to internal and external stakeholders as agreed by the Steering Group.
Working modalities

47. The Steering Group is chaired by OCHA, and provides policy and strategic support to IAHE efforts. Membership to the Steering Group is voluntary and open to representatives of evaluation functions from IASC members and standing invitees (United Nations, NGOs, IFRC) and ALNAP. The members will be expected to contribute actively and according to agency capacity and staffing to the selection, overall management and clearance processes of each evaluation. The Steering Group takes decisions on a majority vote by a quorum of two-thirds of its members and after a general debate has taken place.

5.5 Ad hoc IAHE Management Group

48. A small Management Group is established for each IAHE from among the IAHE Steering Group membership. The MG is chaired by OCHA (for crisis-specific evaluations), or by OCHA or any other Steering Group member (for thematic evaluations). The members of any particular MG are mandated by their respective Steering Group representations within all the delegation of authority of the MG to manage IAHE deliverables as per the present guidelines. Good practice is for individual MG members to closely coordinate and consult where relevant with their respective Steering Group representatives to avoid last-minute objections on deliverables.

49. The specific roles and responsibilities of the IAHE Management Group are to:

- Ensure the independence of the evaluation process and results.
- Provide quality control and inputs throughout the entire evaluation to ensure that it meets agreed criteria and standards (including during the development of the TOR, Evaluation Team briefings, review and approval of the inception report, review of the draft report, preparation of draft presentations, etc.).
- Support the Evaluation Manager in the preparation of the draft TOR and budget for the evaluation by either providing input before the Evaluation Manager prepares a first draft or by providing comments on documents drafted by the Evaluation Manager.
- Support the Evaluation Manager in the collection of key reference documents and coordination mapping, including mapping of data availability and of planned, scheduled and ongoing data collection exercises.
- Support the Evaluation Manager to review the proposals from the companies and/or consultants and then approve the selection of the external team to conduct the evaluation.
- Review and provide feedback to the inception report and approve the final inception report (unless there are budget implications, in which case the MG would submit to the Steering Group for approval).
- When necessary and agreed upon by the MG, individual members can take part in evaluation missions, accompanying the team of independent consultants (or company), primarily at the inception stage.
- Review the evaluation report and clear it for submission to the Steering Group for approval.
Monitor and assess the quality of the evaluation and its processes at all phases of the IAHE, from data collection to analysis and presentation.

Facilitate the Evaluation Team’s access to key stakeholders and specific information or expertise needed to perform the evaluation.

Provide guidance and institutional support to the Evaluation Team, especially on issues of methodology and other areas as necessary (e.g., navigating the inter-agency system, optimizing independence, etc.).

Identify lessons learned from the IAHE.

Working modalities

50. The Management Group will be established on a voluntary basis by Member Organizations of the Steering Group and will be composed of the chair and between two and four other members. If more than four additional members volunteer, the following criteria will be used to prioritize participation, in order of importance: i) time since last participation in a Management Group; ii) capacity to support the evaluation in terms of dedicated staff time; iii) earliest reply to volunteer for the Management Group; and iv) financial contributions and importance of the specific country programme or topic in relation to the mandate and work of the agency.

51. For crisis-specific evaluations, OCHA evaluation staff (and/or other members of the Management Group) may be part of the mission and, if approved by the MG, during the inception phase to develop the inception report, scope the evaluation, brief and prepare HCTs to engage effectively in the IAHE, support the revision and confirmation of the original (TOR) data mapping, as well as to manage expectations.

5.6 Evaluation Manager

52. The OCHA Evaluation Unit(21) will assume the role of Evaluation Manager for crisis-specific evaluations. In cases of thematic IAHEs, the Evaluation Manager role is open as a co-Evaluation Manager to all IAHE members as per their interest and mandate. The respective roles in terms of evaluation management versus that of administrative support and facilitation to the process will be defined between OCHA and that co-lead on a case-by-case basis in such cases. The specific roles and responsibilities of the (lead or co-lead) Evaluation Manager are to:

- Prepare a draft TOR, including budget, data mapping of ongoing or planned data collection exercises and Cluster Performance Plans and timeline, and finalize the TOR in coordination and with support and input from the Management Group.
- Submit the TOR and budget for approval by the Steering Group.
- Select and contract the Evaluation Team in coordination and with support of the Management Group.
- Coordinate the mapping of data availability and stakeholders through Steering Group members, both at country/regional and headquarters levels, depending on the type of evaluation.

---

(21) Using staff from its evaluation function only.
Coordinate and lead on the selection and nomination of participants for the creation of the Advisory Group.

Manage the approved budget.

Participate (in person or remotely) or support the participation of MG members in the mission during the inception phase to familiarize stakeholders with the processes and objectives of an IAHE for thematic evaluations; in the case of crisis-specific evaluations, the OCHA Manager will participate in the mission to coordinate at country level.

Share the cleared inception report with the Steering Group for information (or approval in case of budgetary implications).

Coordinate the collection of key reference documents through the IAHE MG and SG members and help map the coordination arrangements for crisis-specific evaluations and stakeholder analysis for thematic evaluations.

Organize the Evaluation Team briefing and assist in the preparation of field missions and/or contact lists for surveys and remote interviews. If approved by the Steering Group (as part of the evaluation’s budget), the Evaluation Manager or a member of the MG designated by the latter may participate in the main field mission to steer the Evaluation Team and facilitate access to data and contacts with stakeholders.

Facilitate, as an integral part of the fieldwork data collection process, the organization of an end-of-field-mission exit brief (or periodic progress reports in the case of thematic evaluations with no field missions) by the Evaluation Team with the Advisory Group (and with the HCT for crisis-specific evaluations) as an opportunity for the team to discuss preliminary findings, as well as collect and request additional data from stakeholders and clarify issues as required. The team will present work accomplished so far, next steps to come, highlight data gaps and discuss the preliminary findings’ potential areas for conclusions.

Coordinate and liaise as relevant between the Evaluation Team, Management Group, Steering Group and Advisory Group to ensure a smooth and efficient evaluation process, and serve as mediator when and if required.

Consolidate comments from stakeholders on the various evaluation products (inception and evaluation reports, etc.).

Review draft reports to ensure comments have been reflected.

Submit, on behalf of the Management Group, the evaluation report, reviewed and cleared by the Management Group, for final approval by the Steering Group.

Take the lead in the dissemination of evaluation products with the active support of both the IAHE SG and MG.

Prepare a management response follow-up report (for consideration by the ERC and IASC Principals, and IAHE SG) at required intervals after completion of the evaluation.

### 5.7 IAHE Advisory Group

53. The IAHE Advisory Group (AG) represents country-level or thematic stakeholders engaged in the emergency response or thematic domain. It plays a key role in advising the Evaluation Team and supporting the evaluation through the planning, implementation and follow-up stages. It serves in an advisory capacity only, without having decision-making authority. The specific roles and responsibilities of the IAHE AG are to:
Serve as the main link between the IAHE Evaluation Team and key stakeholder groups involved in the response and/or impacted by the crisis (for crisis-specific evaluations) or who have a major stake and/or strategic and programmatic capacity or interest in the evaluation and/or have been selected as a case study (for thematic evaluations).

Provide advice and support to the IAHE Evaluation Team, identifying priority questions for the evaluation to address and support data gathering.

Review and provide appropriate and timely feedback on draft documents related to the IAHE (e.g., inception report, evaluation report).

Help promote ownership of respective stakeholder groups of the IAHE process and subsequent use of the report and recommendations and related deliverables.

Support the HCT or another designated IASC group in the preparation of the management response, development of action plans to follow-up on recommendations and monitoring of implementation of recommendations.

Assist with developing and implementing a communication strategy to promote the evaluation among stakeholders, governments, civil society and partners as appropriate.

**Working modalities**

**54.** Membership of the IAHE AG is based on a contextualized mapping of key stakeholders that have been directly involved in a humanitarian response (mainly for crisis-specific evaluations), and/or have an interest in the evaluation and/or are active in the area of work covered by the evaluation. These comprise United Nations agencies, international NGOs, local NGOs, resource partners, governments, think tanks and research institutions and, for thematic evaluations, individuals recognized as experts.

**55.** The members of the Advisory Group are selected by a stakeholder mapping:

- For crisis-specific evaluations, the mapping will be conducted by the OCHA Head of Office and confirmed by the HCT, under the leadership of the HC.
- For thematic evaluations, the MG will compile a long list of perspective members and the final membership will be approved by the Steering Group, using the criteria of finding a balance between different profiles and constituencies. At least one of the members should come from either the IASC WG or EDG.

**56.** The Advisory Groups will comprise between four and six members, who should be appointed primarily on a pro bono basis and should have contingency lists in case members are unable to participate or have to drop out. The Chair of the Advisory Group is selected by its members; if no other member of the IAHE AG volunteers, the OCHA Head of Office – for crisis-specific evaluations – and the member of the IASC WG or EDG – for thematic evaluations – will also convene and chair the Advisory Group.

**57.** The IAHE AG will typically meet (face-to-face or remotely) during the inception phase, the evaluation phase (including at the beginning and end of the evaluation mission, including participation in the exit brief) and the reporting phase to provide inputs to the draft report.

**58.** Under the chairmanship, the IAHE AG will meet once the evaluation report has been finalized to discuss and provide inputs to the management response and action plan and subsequent updates as required.
5.8 Financial arrangements

59. OCHA has set up an ‘inter-agency evaluation and review’ account and can receive funds as Special Designated Contributions (SDC). Donors, organizations and agencies will be invited to transfer funding to this account. Organizations providing funds to IAHEs in the calendar year or to a specific IAHE, will be mentioned either in the acknowledgement and/or on the back cover of the report. Efforts will be made to seek funding for evaluations through joint resource mobilization efforts. In the case of thematic evaluations, if the Evaluation Manager is not from OCHA, the financial management, depending on agency capacity, will either be managed directly by the managing agency setting up a dedicated arrangement or through the support of OCHA.
6. PROCEDURES FOR CONDUCTING AND MANAGING IAHEs

Timings on the below timelines and the duration of a specific phase are indicative and may vary. However, the overall time frames of 11 months (for crisis-specific IAHEs) and 15 months (for thematic IAHEs) are the time frames necessary for rigorous IAHE processes.

Figure 3: Preparation phase (month 0-3)

**OCHA**
- Wk 1-2
  - Confirms feasibility and timing of evaluation process
  - Alerts the Steering Group that an IAHE is operationally initiated
  - Provides update to Steering Group on funding and, if needed, requests Steering Group to contribute to the evaluation
  - Requests Steering Group to volunteer members of the Management Group [1 week]
  - Based on responses from the Steering Group and agreed criteria, establishes the MG
  -Alerts the companies with a service agreement of an upcoming IAHE

**IAHE MG**
- Wk 3-9
  - Collects key documents available from the IAHE SG, MG and evaluation offices
  - Determines scope for the evaluation (to feed into the TOR)
  - Identifies key stakeholders and undertakes preliminary consultations
  - EM prepares draft TOR and budget and submits them to the MG [1 week]
  - MG reviews TOR and budget using quality assurance (QA) checklist and either clears them or requests revisions [2 weeks]
  - Once cleared, the EM sends the draft TOR and budget to the Steering Group, for review - and the draft TOR to other relevant stakeholders, for comments [2 weeks]
  - EM issues the Call for Expression of Interest and starts recruitment process
  - MG reviews the comments received, revises the TOR and shares it with the Steering Group [1 week]

**IAHE SG**
- Wk 10-11
  - Reviews TOR and budget
  - Approves TOR and budget or requests revisions

**IAHE MG**
- Wk 12
  - MG reviews the proposals received and selects the Evaluation Team
  - OCHA signs the contractual agreements
6.1 Preparing for an IAHE

60. It will be necessary for a thematic IAHE to commission a scoping paper in the preparatory phase - to determine the thematic, temporal and geographic scope and preliminary evaluation questions. Hence the preparatory phase of thematic IAHEs is bound to be longer than that of crisis-specific evaluations.

61. Once the evaluation is initiated operationally, OCHA will: i) request the IAHE Steering Group to nominate members of the Management Group; and ii) provide a funding update and request funding as needed.

62. For thematic IAHEs, the ERC will announce the evaluation to IASC Principals and ask for nominations for the membership to the Advisory Group, with a final decision on its membership by the Steering Group.

63. For crisis-specific IAHEs, the ERC will announce the evaluation to IASC Principals and the HC. The OCHA Head of Office will seek nominations for the in-country Advisory Group, and in consultation with the HCT, support the HC in establishing and chairing an in-country Advisory Group.

6.2 Selection and recruitment of the Evaluation Team

64. The Evaluation Team will be recruited through a competitive process.

65. Upon the operational initiation of an IAHE and the request to the IAHE Steering Group for member participation to a specific Management Group, the Evaluation Manager will alert the companies under systems contracts for evaluations with OCHA and/or publish an open Call for Expression of Interest by individual consultants. As needed, other Steering Group members will share their respective service agreements for evaluations through the United Nations Global Marketplace (UNGM).

66. The Evaluation Manager will launch the request for proposals once the Steering Group approves the Terms of Reference and budget for the evaluation.

67. The Management Group will review the proposals and select the Evaluation Team, based on a majority vote of all members.

68. If the Steering Group deems it necessary, the contracting will be done through individual consultancies.

6.3 Inception phase

69. The purpose of the inception phase is to: i) inform the conduct of the evaluation by determining the most appropriate focus and scope in terms of timing, geographical areas and
sectoral/cross-cutting issues; ii) fine-tune and detail the methodology; and iii) map relevant in-country, agency and external data sources, assessing strengths and gaps.

70. The Evaluation Team will undertake interviews and consultations with stakeholders at the country/headquarters/global level as relevant, including the IASC WG and EDG, to obtain their views on key issues to be addressed by the evaluation.

71. As part of the inception phase, the Evaluation Team will travel to the crisis-affected country in the case of crisis-specific IAHEs, and to one of the countries selected as a possible case study in terms of thematic evaluations. Should travel not be possible, the views of key stakeholders will be obtained through remote interviews and a survey.

72. The inception field mission will be conducted by the Evaluation Team Leader, an Evaluation Team member tasked with analysis of data sources and data collection, and the Evaluation Manager. On a case-by-case basis, the participation of additional Evaluation Team members might be agreed upon by the Management Group.

73. At the onset of the inception mission to a particular country, both for crisis-specific IAHEs and country-specific case studies within thematic IAHEs where and if relevant, the HC and HCT will be briefed on the objectives and processes of the IAHE. In the case of a thematic IAHE, the ERC and Principals will be briefed on the objective and processes of the IAHE.

74. At the end of the inception mission, the Evaluation Team Leader will debrief the HCT and the Advisory Group on the key findings and conclusions of the inception mission and the next steps in the evaluation process (both for crisis-specific and for thematic IAHEs where relevant). For thematic IAHEs, the Team Leader and Evaluation Manager will brief the ERC and Principals on the key findings and conclusions of the inception mission and the next steps in the evaluation process.

75. Following the inception mission, the Evaluation Team Leader will prepare and submit the inception report to the Evaluation Manager and the Management Group.

76. The inception report, building on the key questions for IAHEs outlined in section 4 of this document, will identify: i) a set of sub-questions and issues to be considered; ii) a methodology for conducting the evaluation, including a mapping of key stakeholders for the evaluation and the sampling approach to be used; iii) all tools to be used (interviews, protocols, survey instruments); iv) a mission field plan and schedule including a list of main interviewees, sites for the field mission; and v) a revised or confirmed timeline for conducting the evaluation.

77. The inception report will explain how affected people will be consulted throughout the evaluation process and how this information will be used in the evaluation. It will identify how the humanitarian principles and ethical considerations are given due consideration in the conduct of the evaluation.
78. The Management Group will assess the quality of the inception report according to UNEG Norms and Standards and provide feedback. All feedback will be shared with the Evaluation Team in the form of a consolidated matrix by the Evaluation Manager.

79. The Evaluation Team will address the comments from the Management Group and submit a revised inception report to the Management Group, together with an indication of the team’s uptake of the comments in the revised version, for review and clearance by the MG. This may be an iterative process.

80. Once the inception report is cleared by the Management Group, the Evaluation Manager will share it with the relevant stakeholders of the agencies/organizations, including the Steering Group, the IASC Principals and HC/HCT to seek their inputs. All feedback will be shared with the Evaluation Team, again, in the form of a consolidated matrix by the Evaluation Manager.

81. Once the final inception report is approved by the Management Group, OCHA will share it with the Steering Group, IASC Principals and HC/HCT.

Figure 4: Inception phase (month 4–6)

- **Evaluation Team Wk 1-4**
  - Document review [1 week]
  - Inception mission [1 week]
  - Team leader prepares and submits the draft inception report according to the agreed timeline [2 weeks upon return from inception mission]
  - EM checks for completeness and shares accordingly with MG for review

- **IAHE MG Wk 5-6**
  - Reviews the inception report [2 weeks]
  - May consult with the Steering Group on major issues (e.g., change of budget, scope, methodology) for views or agreement
  - Provides feedback to the Evaluation Team

- **Evaluation Team Wk 7-8**
  - Revises the inception report, if and as necessary
  - Submits a revised inception report to the MG

- **IAHE MG Wk 9-10**
  - Reviews the revised draft inception report and requires further revision as necessary [1 week]
  - Clears the draft inception report and shares it with the Steering Group, IASC Principals, HC/HCT and other stakeholders for comments [1 week]

- **ET Wk 11**
  - Reviews as per stakeholders comments

- **IAHE MG Wk 12**
  - Reviews the revised draft inception report and requires further revision as necessary [1 week]
  - Once approved by the MG, shares the final inception report with the inception report and HC/HCT
6.4 Data collection

82. During the data collection phase of an IAHE, the Evaluation Team will gather evidence to answer the evaluation questions, as per the Terms of Reference and the inception report.

83. As part of the data collection, the Evaluation Team will conduct the in-country evaluation mission, or, in the case of a thematic or multi-country response evaluation, missions to a number of countries. The Evaluation Manager and other members of the Management Group may join the evaluation missions.

84. At the end of the missions, the Evaluation Team will debrief each HCT and Advisory Group. The end-of-mission exit briefing will present preliminary findings and conclusions and is a good opportunity to seek feedback from the evaluation users on the relevance and feasibility of potential recommendations. As appropriate, debriefs may be held at subnational levels as well.

85. After the fieldwork has been completed, OCHA will organize a presentation of preliminary findings to the IASC Working Group.

---

**Figure 5: Field mission phase (month 7 for crisis-specific, months 7-9 for thematic IAHEs)**

### A - IAHE crisis-specific

- Organizes a brief for the Evaluation Team [1-2 days]
- Supports administrative and logistical arrangements for the mission
- Shares all relevant documentation with team

### ET wk 2-4

- Evaluation induction mission - face-to-face brief at EM’s headquarters
- Evaluation field mission [3 weeks] - data gathering at capital and community levels

### ET wk 4

- Holds an end-of-mission exit brief with the HCT and the in-country Advisory Group

### B - IAHE thematic

- Organises a brief for the Evaluation Team [2 days]
- Supports administrative and logistical arrangements for the missions (to various headquarters of agencies, to various countries selected as case studies)
- Shares all relevant documentation with team

### ET wk 3-6 +3 co’s => wk 12

- Induction brief - face-to-face brief at EM’s headquarters
- Data collection at agencies’ headquarters [1 week each]
- Three country case studies field mission [3 weeks each] - data gathering at capital and community levels
- Holds an end of mission exit brief with the HCT and the in-country Advisory Group in each country visited

### ET wk 12

- Holds an end of mission exit debrief with the EM/MG as relevant
6.5 Reporting (3 months for crisis-specific IAHEs – 5 months for thematic IAHEs)

To enhance the usefulness of the evaluation process, and to build ownership, the Evaluation Manager should plan for, at the reporting phase, a workshop to discuss the report’s recommendations and a possible management response. This could be a workshop on the draft report (discussing preliminary findings and draft recommendations) or a final evaluation report (a dissemination of findings and a discussion of the management response).

---

**Figure 6: Reporting phase (months 8-10 for crisis-specific IAHEs, 10-14 for thematic IAHEs)**

### A – IAHE crisis-specific (3 months)

<table>
<thead>
<tr>
<th>Evaluation Team</th>
<th>Wk 1-4</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Analysis [2 weeks]</td>
<td></td>
</tr>
<tr>
<td>• Prepares and submits the draft evaluation report, draft summary evaluation report and the evaluation matrix to the MG [2 weeks]</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>IAHE MG</th>
<th>Wk 5-6</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Reviews the draft report according to the quality criteria</td>
<td></td>
</tr>
<tr>
<td>• If and when the draft report is found to be of satisfactory quality, the EM will circulate the draft report to the Steering Group and stakeholders for comments</td>
<td></td>
</tr>
<tr>
<td>• EM organizes a debrief to the EDG</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Stakeholders</th>
<th>Wk 7-8</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The Steering Group and other stakeholders (in parallel) review the report</td>
<td></td>
</tr>
<tr>
<td>• Provide comments within two weeks of receipt of the report</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>IAHE MG</th>
<th>Wk 9</th>
</tr>
</thead>
<tbody>
<tr>
<td>• EM reviews and compiles all comments</td>
<td></td>
</tr>
<tr>
<td>• MG discusses key issues with the Steering Group, if required</td>
<td></td>
</tr>
<tr>
<td>• EM forwards and discusses comments with Team Leader</td>
<td></td>
</tr>
<tr>
<td>• MG agrees with Team Leader on necessary revisions</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Evaluation Team</th>
<th>Wk 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>• There may be a need for an iterative process in various steps - the Evaluation Team may be required to review the evaluation report on the basis of the EM/MG/SG and stakeholders’ comments</td>
<td></td>
</tr>
<tr>
<td>• Reviews/discusses comments with the MG</td>
<td></td>
</tr>
<tr>
<td>• Revises draft evaluation report and summary evaluation report as appropriate</td>
<td></td>
</tr>
<tr>
<td>• Submits the final report and the comment matrix to the MG</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>IAHE MG</th>
<th>Wk 11</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Reviews the revisions</td>
<td></td>
</tr>
<tr>
<td>• EM may organize a workshop to discuss the report’s recommendations and possible management response</td>
<td></td>
</tr>
<tr>
<td>• Recommends, if appropriate, that the Steering Group approves the report</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>IAHE SG</th>
<th>wk 12</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Approves the evaluation report</td>
<td></td>
</tr>
<tr>
<td>• Chair of the Steering Group forwards the final report to the ERC and HC, requesting that the management response be prepared</td>
<td></td>
</tr>
<tr>
<td>• The Steering Group agrees on the development of any additional evaluation products or dissemination activities</td>
<td></td>
</tr>
</tbody>
</table>
86. **The draft evaluation report will be submitted to the Evaluation Manager by the representative of the company conducting the evaluation, or, in case of evaluations conducted by individual consultants, by the Team Leader. The evaluation matrix, outlining the evidence based behind the report, will also be submitted.**

87. **Following the receipt of the draft evaluation report, the Evaluation Manager will share it with the Management Group for review according to quality assurance criteria.**

88. **Once the draft is found to be of satisfactory quality by the majority of the MG members, the Evaluation Manager will share it with the Steering Group, HC and HCT, and the in-country Advisory Group for comments (as well as, in the case of a thematic IAHE, the ERC and**
Principals). Given the need for ensuring the timeliness of IAHEs, stakeholders will be given ten working days to comment.

89. Once the commenting period is over, the Evaluation Manager will compile all comments received, consolidate them in a matrix, and forward them to the Evaluation Team and the Management Group.

90. Within ten working days of the receipt of all comments, the company or Team Leader conducting the evaluation will submit the final evaluation report, as well as a matrix that indicates which comments were accepted and how they were addressed, and which comments were not accepted and the reasons why.

91. The Evaluation Manager and the Management Group will review the final report to ensure that it meets the required quality standards and that comments are adequately considered. Members of the Management Group will seek approval from their respective Steering Group members in that regard.

92. Once the Management Group clears the report for submission to the Steering Group, the Evaluation Manager will submit it to the Steering Group for their final review and approval.

93. If a Steering Group member has comments or concerns, these will be shared with the Management Group, which will share them with the Evaluation Team Leader. The Team Leader will have one week to consider and respond to the comments. If the Team Leader does not agree with or does not address the Steering Group member’s concerns, the Steering Group member can choose to include a footnote in the relevant section in the final report within one week.

94. The Steering Group will have one week to review and approve the final report by a majority vote, with all members voting. Non-response by a Steering Group member will be considered as acceptance of the final report.

6.6 Management response and follow-up processes

Management responses to IAHEs

95. All IAHEs contain a set of recommendations that:

- Highlight specific actions to be taken to strengthen the humanitarian response in a given context (in the case of a crisis-specific evaluation in particular, but potentially as part of a case study for a thematic evaluation);
- In case of thematic IAHEs, focus on inter-agency approaches with respect to the particular theme;
- Are aimed at system-wide improvements in the humanitarian response (both types of IAHEs).
96. The use and follow-up of inter-agency evaluation recommendations at country and global level is a key element to ensure the utility and impact of IAHEs.

97. IAHE evaluation reports must provide a limited set of actionable recommendations directed to specific individuals or entities. Recommendations should be divided into two categories: those addressed to in-country responders on operational issues (whether for a crisis-specific evaluation or as part of a country case study within a thematic evaluation), and those addressed to IASC Principals on systemic issues.

98. There will be one management response to the report, comprised of both sets of recommendations and their respective responses.

99. The IASC Principals are responsible for ensuring that systemic recommendations from IAHEs are addressed in a formal management response plan that is issued within 60 days from the presentation of the evaluation report. IASC Principals are responsible for ensuring that the implementation of recommendations is monitored every year until the closure of the response plan.

100. The ERC, with the support of the EDG, is responsible for ensuring that country-based recommendations are addressed in a formal management response plan and implementation is monitored every year until the closure of the response plan.

101. OCHA will consolidate the two sets of responses into one final consolidated management response plan (MRP). MRPs, as well as the updates on actions taken, will be published alongside the evaluation report.

102. To operationalize the implementation of these recommendations, the IAHE Steering Group has agreed on the following protocol for the management response and follow-up to IAHE recommendations:

**Protocol for IAHE Management Response Plans**

103. All recommendations provided in each IAHE will be put together in a single publishing platform and management response plan. Recommendations are classified as “global or systemic/strategic recommendations” and “country-level recommendations” (this distinction is already made in the IAHE report). Global or systemic recommendations will be presented and followed up at the IASC level, while country-level recommendations are presented and followed up at the country level.

**Mechanism for follow-up to IAHE global recommendations, at the IASC Principals level**

104. IAHE-global level recommendations are brought to the attention of the Chair of the IASC Working Group at the end of each evaluation, by the IAHE Steering Group.

---

22 Including recommendations of thematic IAHEs.
105. The Working Group Chair reviews recommendations and proposes an initial allocation of responsibilities for the follow-up to each recommendation; the proposals are circulated to the group before the next Working Group meeting.

106. An IASC member will be identified to lead and report back on the course of action that will be taken to implement each recommendation.

107. The IASC Working Group discusses and agrees on an action plan (which includes the course of action identified for each of the recommendations), and then shares the endorsed action plan with the ERC.

108. Action plans are updated every six months, until all relevant recommendations are implemented. If necessary, the IAHE Steering Group will support the ERC in requesting an update from the IASC Working Group. Management response plans are posted on the IASC website.

109. Management response plans are reviewed every year until all recommendations are closed.

110. An annual report is issued on the implementation of management response plans.

111. In this process, it is important to identify the entity that supports the Working Group chair and the ERC to follow-up on the implementation, monitoring and reporting of these global level recommendations.

Mechanism for follow-up to IAHE country-based recommendations, at the country level

112. The process to be followed is:

- Within 60 days of the issuance of the evaluation report, the HC, with the support of OCHA’s Country Office and in consultation with the HCT and the in-country Advisory Group, will lead the development of a management response plan addressing in-country recommendations.
- This in-country management response plan is presented for final endorsement to the ERC.
- The HC will provide yearly updates to the ERC on the implementation of follow-up plans from the date of issuance of the management response, until all recommendations are implemented.
- Once the management response is produced, it is immediately part of the ERC’s compact with the HC, and progress is evaluated along with the compact at the end of the year. The oversight would then become part of the normal accountability framework between the ERC and the HC.

23 Including recommendations of thematic IAHEs
Sharing of IAHE results to Governing Bodies

113. Upon approval of IAHE final reports, IAHE Steering Group members will make the reports available to their respective Governing Bodies.

Dissemination

114. Adequate dissemination of the report findings is key to ensuring the utility of the evaluation. In addition, communication and dissemination of the evaluation is an important component of the accountability role that evaluations play at all levels: from accountability of the system towards affected people, to accountability to the people whose taxes are used to conduct evaluations.

115. All IAHE Steering Group members, as well as the HC, HCTs and offices in the field have the responsibility to ensure the adequate dissemination of evaluation findings.

116. At the country level, the HC will be responsible for ensuring adequate dissemination of the report in coordination with the HCT, as well as of the formal management response which, together with the report, will be available in the public domain.

117. The Steering Group will ensure that summaries and briefs based on the full evaluation report are prepared to facilitate the dissemination of findings and recommendations. Lessons learned documents will be produced to feed into knowledge management systems.

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

119. The Evaluation Team will present the findings of the IAHE at the regular IASC meetings, subject to availability of funds. If decided by the MG, the Team Leader or Evaluation Manager may hold, before the report’s finalization, an end-of-field-mission information brief to the IASC WG and EDG (as it fosters engagement of EDG throughout the process, preparing for a participatory management response process). The timing and objectives of this engagement will be well communicated to all, e.g. an information brief to share first impressions, clarify potential gaps, as well as present preliminary findings and possible areas of conclusions.

120. The Steering Group members will make the reports available to their respective Governing Bodies and ensure dissemination of the report within their own organizations. Following finalization of an IAHE report, Steering Group members will report at a Steering Group meeting on progress and lessons from the dissemination of the report. Steering Group members should ensure that IAHE results are included in annual evaluation reports and other reports to relevant Governing Bodies.
6.7 Information disclosure policy

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

122. This Policy recognizes that humanitarian emergencies pose potential challenges to United Nations and NGO relations with governments and other stakeholders. The fundamental principle that applies to information disclosure in these situations – or in communities with heightened levels of political, social and cultural tensions – is transparency. However, the Steering Group recognizes that in certain situations, sensitive information relative to political or other contexts will remain confidential. It will be up to the Steering Group to decide if information will not be in the public domain.

Final evaluations reports will be published on ReliefWeb (www.reliefweb.int), ALNAP (www.alnap.org), OCHA’s website (www.unocha.org) and on the IASC website (https://interagencystandingcommittee.org/evaluations), as well as on participating agencies’ websites.
ANNEX A: STANDARD TERMS OF REFERENCE FOR CRISIS-SPECIFIC IAHES

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

(DRAFT) TERMS OF REFERENCE, (DATE)

1. INTRODUCTION

1. Describe the nature of the emergency that will be evaluated and its main characteristics

2. If a Peer Support Mission was conducted, refer to it and its linkages to the Inter-Agency Humanitarian Evaluation (IAHE).

2. INTER-AGENCY HUMANITARIAN EVALUATIONS

3. The 2016 World Humanitarian Summit generated commitments to reduce suffering and improve delivery of aid for people caught in humanitarian crises. These commitments are contained in the Agenda for Humanity. The Agenda is a plan that outlines the changes needed to alleviate suffering, reduce risk and lessen vulnerability on a global scale. In the Agenda, humanity - in particular people’s safety, dignity and the right to thrive - is placed at the heart of global decision-making. To achieve this, global leaders and all humanitarian actors are called upon to act on five core responsibilities, each of which contains normative and strategic transformations that are necessary to make them reality:

   i. political leadership to prevent and end conflicts
   ii. upholding the norms that safeguard humanity
   iii. leaving no one behind
   iv. changing people’s lives: from delivering aid to ending need
   v. investing in humanity

24 www.agendaforhumanity.org
4. Inter-Agency Humanitarian Evaluations (IAHEs) of large-scale system-wide emergencies were introduced to strengthen learning and promote accountability towards affected people, national governments, donors and the public.

3. PURPOSE, OBJECTIVES, SCOPE AND USE OF THE IAHE

5. The purpose of this IAHE is twofold. First, it will provide an independent assessment of the extent to which planned collective objectives set in the Humanitarian Response Plan (or similar plan) to respond to the needs of affected people have been met. Second, the evaluation aims to assess the extent to which response mechanisms, including the Humanitarian Project Cycle, have successfully supported the response, and recommend improvement-oriented actions.

Vision and purpose

6. IAHEs are guided by a vision of addressing the most urgent needs of people impacted by crises resulting from coordinated and accountable humanitarian action. IAHEs contribute to both accountability and strategic learning across the humanitarian system, and aim to improve aid effectiveness to ultimately better assist affected people. The dual purpose (accountability and learning) is common to all IAHEs; however, their balance in a specific IAHE may vary based on relevance and utility.

Definition

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

8. IAHEs follow the United Nations Evaluation Group (UNEG) Norms and Standards that emphasize, among others: i) the independence of the Evaluation Team; ii) the application of evaluation methodology; and iii) the full disclosure of results. IAHEs have a clear scope (defined in the TOR and inception report) with regard to the period, geographic areas and target groups to be covered by the evaluation.

9. IAHEs are designed primarily to:
   - Provide Humanitarian Coordinators (HCs) and Humanitarian Country Teams (HCTs) with independent and credible evidence of collective progress towards stated goals,
objectives and results. This may, where relevant, complement internal review exercises (see section 2.4) in providing further evidence for decision-making regarding course corrections in an ongoing response, or identify additional areas that need to be addressed to improve the response, especially in chronic emergency situations. Additionally, IAHEs may help inform longer term recovery plans, and in the case of a sudden-onset disaster, support preparedness efforts for the next emergency.

- Contribute to the evidence base for decision-making and judgments about future humanitarian action, policy development and reform by the IASC Principals, IASC Working Group (IASC WG), Emergency Directors Group and other stakeholders.

10. In doing so, they will also:

- Provide national governments and disaster management institutions with evaluative evidence and analysis to inform their national policies and protocols for crises involving international agencies and other actors (specifically crisis-specific IAHEs but potentially also thematic ones).
- Provide information to affected people of the outcomes of the response (crisis-specific IAHEs).
- Provide Member States of international organizations, donors, and learning and evaluation networks with evaluative evidence of collective response efforts for accountability and learning purposes.

4. EVALUATION QUESTIONS AND CRITERIA

11. IAHEs will be conducted by teams of independent evaluation experts. The gender balance of the teams will be ensured to the extent possible. As a matter of principle — where circumstances allow — the participation of independent national evaluators will be sought.

12. The evaluation will be carried out through analyses of various sources of information including desk reviews, reviews of monitoring data, field visits, interviews with key stakeholders (affected population, United Nations, non-governmental organizations (NGOs), donors, governments and others), individually and in focus groups, and through the cross-validation of data. This will ensure that the evaluation is inclusive of the views of diverse stakeholder groups.

13. The Evaluation Team will ensure that questions and approaches are in line with established norms and standards as described below, and the Humanitarian Principles.(28)

---

27 Some conflict-related situations may not allow for a national evaluator to be included in a team or to partake in specific field visits.
28 https://docs.unocha.org/sites/dms/Documents/OOM_HumPrinciple_English.pdf
4.1 Special considerations

14. **Gender:** In line with the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation, the UN System-Wide Action Plan (UN-SWAP) on gender equality and the IASC Gender Equality Policy Statement, the evaluation will apply gender analysis in all phases. To facilitate this analysis, at least one member of the team should have qualifications on gender analysis. In a bid to promote durable solutions and sustainability, the IAHE processes will, where possible, seek to understand how underlying issues, barriers and drivers of inequalities are identified and addressed within humanitarian programming.

15. **Inclusiveness:** The evaluation methodology will integrate participatory processes, especially at the community level, to adequately engage women, men, boys and girls of different ages and taking into consideration the existence of disadvantaged groups, such as people with disabilities. The evaluation process will aim to assess the extent to which the differential needs, priorities, risks and vulnerabilities of different population groups have been identified and assessed in the response. Further, the evaluation process will seek to understand the processes and methodologies utilized to enhance the equitable and effective inclusion, access and participation particularly of women and girls in humanitarian activities (both at design and implementation) and in decision-making processes.

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

17. **Ethical considerations:** Due diligence will be given to effectively integrating good ethical practices and paying due attention to robust ethical considerations in the conduct of any IAHE.

18. **Relevance to context:** To enhance the Evaluation Team’s understanding of the local context and to improve ownership and communication with local communities, where relevant and possible, IAHEs will not only seek to encourage the active involvement of

---

29 www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=1401
30 www.unsystem.org/content/un-system-wide-action-plan-gender-equality-and-empowerment-women-swap
32 Such as: sex-separate focus group discussions, key informant interviews and targeted consultations with organized community groups such as women’s associations, youth groups, etc.
national evaluators (as stated above) but also the participation of national governments throughout the evaluation process. A monitoring and evaluation officer from the national government may, when and if appropriate, be invited to participate in the technical review of evaluation outputs and provide input throughout the evaluation.

19. Application of internationally established evaluation criteria: IAHEs draw from evaluation criteria from UNEG Norms and Standards,\(^{(33)}\) Organisation for Economic Co-operation and Development’s (OECD) Development Assistance Committee (DAC) criteria for development programmes,\(^{(34)}\) i) relevance; ii) efficiency; iii) effectiveness; iv) impact; v) sustainability; and the Active Learning Network for Accountability and Performance (ALNAP) criteria for the evaluation of humanitarian action;\(^{(35)}\) a) coherence; b) coverage; and c) connectedness. Not all criteria will necessarily be applicable to the same depth or breadth in every evaluation.

4.2 Analytical framework and core evaluation questions

20. The evaluative analysis of IAHEs will be informed by the following key planning documents and tools:

- **For all:** The Impact Pathway (see diagram below) provides the point of reference for all IAHEs. Broadly based on the principles of effective coordination, leadership and accountability of the Transformative Agenda, and the long-term impacts and core responsibilities as defined in the Agenda for Humanity,\(^{(36)}\) it portrays crucial characteristics of an ‘ideal humanitarian response,’ identifying key components widely accepted to lead to the effective and coherent delivery of assistance.

- **For crisis-specific IAHEs:** A crisis-specific IAHE will use the Humanitarian Response Plan (or similar plan) as the main reference to assess whether the stated objectives have been achieved.

\(^{(33)}\) See the UNEG website: www.uneval.org

\(^{(34)}\) See the OECD/DAC criteria for evaluating development assistance. A factsheet can be found at: http://www.oecd.org/dac/evaluation/49756382.pdf

\(^{(35)}\) See the ALNAP guide for humanitarian agencies: Evaluating humanitarian action using the OECD/DAC criteria at www.alnap.org/pool/files/eha_2006.pdf

\(^{(36)}\) The UN Secretary General has urged humanitarian actors to use the Agenda for Humanity as a framework of action, change and mutual accountability [Annex to the Report of the SG for the World Humanitarian Summit, A/70/709 of February 2016].
### Coordinated Humanitarian Action

#### Impact Pathway

<table>
<thead>
<tr>
<th>Longer Term Impact</th>
<th>Affected people live in enhanced safety and dignity with better prospects of thriving as agents of their own destinies</th>
</tr>
</thead>
</table>

**Core Responsibilities**

| Prevent and end conflicts [conflict-related crises] | Uphold norms [safeguard of humanity] | Leave no one behind | Change people’s lives: from delivering aid to ending needs | Invest in humanity and in local leadership and ownership of the response |

**OUTCOMES**

| Humanitarian access secured for all | Relevant response | Connectedness and coordination between humanitarian stakeholders | Good coverage |

**OUTPUTS**

| Effective coordination mechanisms | Adequate partnerships | Common needs assessments and response plans | Common services | Concerted advocacy for adequate response capacity across sectors | Accountability (inc. AAP) mechanisms |

**INPUTS**

| Enhanced leadership | Human resources, including surge capacity | Pooled and agency funds | Guidance and programming tools (hpc, mira, sphere standards, etc.) | Sector/Cluster leads activation and common services provision |

---

21. The evaluation’s analytical framework for crisis-specific IAHEs will be structured around six questions:

   a) **Relevance** – To what extent have the objectives set out in the Humanitarian Response Plan (HRP) or similar plan been based on identified needs of the most vulnerable groups affected by the crisis?

---

---

37. The teams and Management Group may at TOR or inception further define which of the OECD and ALNAP evaluation criteria should be given specific attention.
b) **Effectiveness** – To what extent were the results (in terms of assistance delivery as articulated in the HRP) achieved and to what extent were they effective in meeting the needs of the most vulnerable?

c) **Sustainability** – What were the positive and negative, intended and unintended effects of the IASC humanitarian system’s assistance for people affected by the crisis?

d) **Partnerships** – To what extent have adequate partnerships been established (with international, national and/or local stakeholders) to deliver assistance to affected people?

e) **Localization** – Have national and local stakeholders been involved in the response design and have their capacities and systems to respond in the future been strengthened through the response?

f) **Coordination** – Was the assistance well-coordinated, successful and, as much as possible, equitable, reaching all affected populations and avoiding duplication of assistance and gaps?

22. In addition to the six questions above, the Evaluation Team for a crisis-specific IAHE will systematically give particular attention – specifically under core questions b, c and d – to the following: access and protection, and collective response for collective outcomes.

23. At inception stage, the Evaluation Team will consider and agree on the appropriate definition and interpretation to be given to the internationally established evaluation criteria (as well as their relative importance) for each specific IAHE. Context-specific sub-questions will also be developed by the Evaluation Team during the inception phase.

5. **MANAGEMENT ARRANGEMENTS AND STAKEHOLDER PARTICIPATION**

5.1 **Management Group (IAHE MG)**

24. A small Management Group is established for each IAHE from among the IAHE Steering Group membership. The MG is chaired by the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (for crisis-specific evaluations), or by OCHA or any other Steering Group member (for thematic evaluations). The members of any particular MG are mandated by their respective Steering Group representations within all the delegation of authority of the MG to manage IAHE deliverables as per the present guidelines. Good practice is for individual MG members to closely coordinate and consult where relevant with their respective Steering Group representatives to avoid last-minute objections on deliverables.

---

38 For further details on the specific roles and responsibilities of the different IAHE stakeholders, please see Inter-Agency Humanitarian Evaluations of Large-Scale System-Wide Emergencies (IAHEs): Guidelines, developed by the IAHE Steering Group, May 2018.
25. The specific roles and responsibilities of the IAHE Management Group are to:

- Ensure the independence of the evaluation process and results.
- Provide quality control and inputs throughout the entire evaluation to ensure that it meets agreed criteria and standards (including during the development of the TOR, Evaluation Team briefings, review and approval of the inception report, review of the draft report, preparation of draft presentations, etc.).
- Support the Evaluation Manager in the preparation of the draft TOR and budget for the evaluation by either providing input before the Evaluation Manager prepares a first draft or by providing comments on documents drafted by the Evaluation Manager.
- Support the Evaluation Manager in the collection of key reference documents and coordination mapping, including mapping of data availability and of planned, scheduled and ongoing data collection exercises.
- Support the Evaluation Manager to review the proposals from the companies and/or consultants and then approve the selection of the external team to conduct the evaluation.
- Review and provide feedback to the inception report and approve the final inception report (unless there are budget implications, in which case the MG would submit to the Steering Group for approval).
- When necessary and agreed upon by the MG, individual members can take part in evaluation missions, accompanying the team of independent consultants (or company), primarily at the inception stage.
- Review the evaluation report and clear it for submission to the Steering Group for approval.
- Monitor and assess the quality of the evaluation and its processes at all phases of the IAHE, from data collection to analysis and presentation.
- Facilitate the Evaluation Team’s access to key stakeholders and specific information or expertise needed to perform the evaluation.
- Provide guidance and institutional support to the Evaluation Team, especially on issues of methodology and other areas as necessary (e.g., navigating the inter-agency system, optimizing independence, etc.).
- Identify lessons learned from the IAHE.

Working modalities

26. The Management Group will be established on a voluntary basis by Member Organizations of the Steering Group and will be composed of the chair and between two and four other members. If more than four additional members volunteer, the following criteria will be used to prioritize participation, in order of importance: i) time since last participation in a Management Group; ii) capacity to support the evaluation in terms of dedicated staff time; iii) earliest reply to volunteer for the Management Group; and iv) financial contributions and importance of the specific country programme or topic in relation to the mandate and work of the agency.
27. For crisis-specific evaluations, OCHA evaluation staff (and/or other members of the Management Group) may be part of the mission and, if approved by the MG, during the inception phase to develop the inception report, scope the evaluation, brief and prepare HCTs to engage effectively in the IAHE, support the revision and confirmation of the original (TOR) data mapping, as well as to manage expectations.

5.2 IAHE In-country Advisory Group

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

- Serve as the main link between the IAHE Evaluation Team and key stakeholder groups involved in the response and/or impacted by the crisis (for crisis-specific evaluations) or who have a major stake and/or strategic and programmatic capacity or interest in the evaluation and/or have been selected as a case study (for thematic evaluations).
- Provide advice and support to the IAHE Evaluation Team, identifying priority questions for the evaluation to address and support data gathering.
- Review and provide appropriate and timely feedback on draft documents related to the IAHE (e.g., inception report, evaluation report).
- Help promote ownership of respective stakeholder groups of the IAHE process and subsequent use of the report and recommendations and related deliverables.
- Support the HCT or another designated IASC group in the preparation of the management response, development of action plans to follow-up on recommendations and monitoring of implementation of recommendations.
- Assist with developing and implementing a communication strategy to promote the evaluation among stakeholders, governments, civil society and partners as appropriate.

Working modalities

29. Membership of the IAHE AG is based on a contextualized mapping of key stakeholders that have been directly involved in a humanitarian response (mainly for crisis-specific evaluations), and/or have an interest in the evaluation and/or are active in the area of work covered by the evaluation. These comprise United Nations agencies, international NGOs, local NGOs, resource partners, governments, think tanks and research institutions.

30. The members of the Advisory Group are selected on the basis of a stakeholder mapping. The mapping will be conducted by the OCHA Head of Office and confirmed by the HCT, under the leadership of the HC.

31. The Advisory Groups will comprise between four and six members, who should be appointed primarily on a pro bono basis and should have contingency lists in case members...
are unable to participate or have to drop out. The Chair of the Advisory Group is selected by its members; if no other member of the IAHE AG volunteers, the OCHA Head of Office - for crisis-specific evaluations - and the member of the IASC WG or EDG - for thematic evaluations - will also convene and chair the Advisory Group.

32. The IAHE AG will typically meet (face-to-face or remotely) during the inception phase, the evaluation phase (including at the beginning and end of the evaluation mission, including participation in the exit brief) and the reporting phase to provide inputs to the draft report.

33. Under the chairmanship, the IAHE AG will meet once the evaluation report has been finalized to discuss and provide inputs to the management response and action plan and subsequent updates as required.

5.3 Steering Group (IAHE SG)

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

6. DELIVERABLES AND REPORTING REQUIREMENTS

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

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

6.1 Inception report

37. The Evaluation Team will produce an inception report not to exceed 15,000 words, excluding annexes, setting out:

- The team’s understanding of the issues to be evaluated (scope), questions that the IAHE intends to answer, and their understanding of the context in which the IAHE takes place.
- Inclusion of a comprehensive stakeholders mapping and analysis.
- Any suggested deviations from the TORs, including any additional issues raised during the initial consultations.
- Evaluation framework, selected criteria of analysis and sub-questions.
- An evaluation matrix showing, for each question, the indicators proposed and sources of information.
Methodology, including details of gender analysis and triangulation strategy.

Data collection and analysis tools that will be used to conduct the IAHE (survey, interview questions, document with the preparation of field visit and schedule of interviews, etc.).

Any limitations of the chosen methods of data collection and analysis and how they will be addressed.

How will the views of the affected populations as well as protection and gender issues be addressed during the evaluation.

Data collection and analysis plan.

Detailed fieldwork plan.

Detailed timeline for the evaluation.

Interview guides, survey instruments and/or other tools to be employed for the evaluation.

Draft dissemination strategy of the evaluation findings (including with the IAHE Management Group and the in-country IAHE Advisory Group).

6.2 Evaluation report

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

- Executive summary of no more than 2 500 words.
- Table of contents.
- Summary table linking findings, conclusions and recommendations, including where responsibility for follow-up should lie.
- Analysis of context in which the response was implemented.
- Methodology summary – a brief chapter, with a more detailed description provided in an annex.
- Main body of the report, including an overall assessment, findings in response to the evaluation questions, conclusions and recommendations.
- Annexes will include: i) TOR; ii) detailed methodology; iii) list of persons met; iv) details of qualitative and quantitative analysis undertaken; v) team itinerary; vi) all evaluation tools employed; vii) list of acronyms; and viii) bibliography of documents (including web pages, etc.) relevant to the evaluation; ix) assessment of the usefulness of the IAHE guidelines and process and main recommendations for their improvement.

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

- Categorized as a) Critical; b) Important; or c) Opportunity for learning.
- Relevant and useful and reflect the reality of the context.
- Specific, measurable, clearly stated and not broad or vague.
- Realistic and reflect an understanding of the humanitarian system and potential constraints to follow-up.
Suggest where responsibility for follow-up should lie and include a time frame for follow-up.

A rating on the achievement of specific HRP outcomes will be included.

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

6.3 Other evaluation products

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

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

7. DISSEMINATION AND FOLLOW-UP

43. The Evaluation Team will conduct the following presentations:

- At the end of the field visit, the Evaluation Team will conduct an exit brief with the in-country IAHE Advisory Group, HCT and the IAHE Management Group to share first impressions, preliminary findings and possible areas of conclusions and recommendations. The brief will help clarify issues and outline any expected pending actions from any stakeholders, as relevant, as well as discuss next steps.

- Upon completion of the draft evaluation report, the results of the IAHE will be presented by the Evaluation Team Leader (or Evaluation Manager) to IASC in New York and Geneva.

- Once the evaluation is completed, presentations of the main findings and recommendations will be made available to various fora as decided by OCHA and the IAHE Management and Steering Groups. The Evaluation Team may be requested to assist with these presentations.

44. The IAHE final report will be submitted to the IASC Working Group, the Emergency Directors Group and the Principals.

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

46. In addition to the evaluation report and oral briefings, the evaluation findings and recommendations can be presented through alternative ways of dissemination, such as websites, video, etc. The Evaluation Team will consider possible ways to present the evaluation and include a dissemination strategy proposal in the inception report.

47. The recommendations of the evaluation will be addressed through a formal Management Response Plan (MRP), as further detailed in the IAHE Guidelines.
8. THE EVALUATION TEAM

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

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

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

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

- developing and adjusting the evaluation methodology;
- managing the Evaluation Team, ensuring efficient division of tasks between mission members and taking responsibility for the quality of their work;
- undertaking the inception field mission;
- representing the Evaluation Team in meetings;
- ensuring the quality of all outputs;
- submitting all outputs in a timely manner.

51. The Team Leader will have no less than 15 years of professional experience in humanitarian action, including experience in management of humanitarian operations. S/he will further have at least seven years of experience in conducting evaluations of humanitarian operations and demonstrate strong analytical, communication and writing skills.
52. To the extent possible, the Evaluation Team will be gender-balanced and represent geographical diversity. All efforts should be made to include nationals of the country evaluated as members of the Evaluation Team.

Figure 2: Timeline and phases of the evaluation

<table>
<thead>
<tr>
<th>Main Phases</th>
<th>Timeline</th>
<th>Tasks and Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparatory</td>
<td>Draft and Final TOR</td>
<td>Evaluation Team and/or firm selection and contract</td>
</tr>
<tr>
<td></td>
<td>Evaluation Team and/or firm selection and contract</td>
<td>Briefing at headquarters</td>
</tr>
<tr>
<td>Inception</td>
<td>Document review</td>
<td>Inception mission and inception reports</td>
</tr>
<tr>
<td>Evaluation, including fieldwork</td>
<td>Evaluation mission, data collection</td>
<td>Exit debriefing</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Analysis</td>
</tr>
<tr>
<td>Reporting</td>
<td>Report drafting</td>
<td>Comments process</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Final evaluation report</td>
</tr>
<tr>
<td>Dissemination and IASC/HCT response to Recommendations</td>
<td>Summary evaluation report editing / evaluation report formatting</td>
<td>Management response and Executive Board preparation</td>
</tr>
</tbody>
</table>