



# EVALUATING

## HOW DO YOU USE THE CORE HUMANITARIAN STANDARD TO EVALUATE A PROJECT?

This section describes how an evaluation can use the quality criteria of the Core Humanitarian Standard (CHS) to complement the OECD-DAC<sup>30</sup> quality criteria, prioritise areas of analysis and identify relevant evaluation questions<sup>31</sup>.

It is split into two parts:

1. The introduction stresses how the Core Humanitarian Standard can help to define evaluation criteria and implement the evaluation cycle.
2. Practical guidelines are provided to support the identification of key evaluation questions and related information to be collected.

It is aimed particularly at:

- People commissioning an evaluation, to help them design the evaluation process.
- People undertaking an evaluation, to help them prepare it and carry it out.

## INTRODUCTION

### ▲ How to use the Core Humanitarian Standard to evaluate a project?

#### **Why evaluation matters**

Evaluation can support quality, learning and accountability. In complex contexts, evaluation represents an opportunity to take stock of what has worked and what has not, and why. It is the basis for learning and improving, and a concrete way to improve performance and increase accountability towards people and communities, staff and donors.

It differs from other steering processes as it is *the systematic and objective examination of humanitarian action, to determine the worth or significance of an activity, policy*

<sup>30</sup> OECD-DAC – The Organisation for Economic Cooperation and Development’s Development Assistance Committee

<sup>31</sup> For more information on evaluation theory and practice in general, we recommend the Evaluation of Humanitarian Action Guide (ALNAP) - <http://www.alnap.org/resource/23592>

or programme, intended to draw lessons to improve policy and practice and enhance accountability<sup>32</sup>.

### Evaluation criteria

The most commonly used framework for evaluations in the humanitarian and development sector is the OECD/DAC framework. Initially developed for the development sector, it is based on five criteria to which two were added specifically for humanitarian contexts:

1. **Relevance** – the extent to which an aid activity corresponds to the priorities and policies of the target group, partners or funding bodies.
2. **Effectiveness** – the extent to which an aid activity meets its objectives.
3. **Efficiency** – outputs considered - qualitatively and quantitatively - in relation to resources used/inputs.
4. **Impact** – the positive and negative, direct or indirect, intended or unintended effect of an intervention.
5. **Sustainability** – whether the benefits of the activity are likely to persist once the funding body has withdrawn funding.
6. **Coverage** – the extent to which major population groups facing life-threatening suffering were reached by humanitarian action.
7. **Coherence** – the extent to which security, developmental, trade, and military policies as well as humanitarian policies, are consistent and take into account humanitarian and human rights considerations.

Other evaluation frameworks can be used to complement the OECD-DAC criteria when appropriate or requested, such as the Core Humanitarian Standard and other normative frameworks such as International Humanitarian Law, sector-specific standards or agency guidelines.

### Using the Core Humanitarian Standard for evaluation

The Core Humanitarian Standard may be used because the commissioning agency has made a formal commitment to adhere to it. This will have the following advantages:

- It will facilitate internal acceptance of the evaluation, as project teams will be familiar and understand the criteria used for the evaluation.
- If the commissioning agency has developed its MEAL framework on the basis of the CHS or is implementing the COMPASS throughout the organisation, data from the project processes, and in particular from monitoring, would be directly used as key information for the evaluation process.
- Moreover, the systematic use of the same framework for evaluations can facilitate cross-analysis and build the basis for meta-analysis.
- Finally, it could also be used for any CHS related verification process.

But the use of the CHS for evaluation can also bring added value to a single evaluation process:

- The OECD-DAC criteria are sometimes difficult to use. An advantage of the CHS quality criteria is that they are expressed in sentences. These can be easier to use than concepts, especially within a team and a group of diverse stakeholders.
- After consulting with donors, humanitarian agencies, field teams and affected

<sup>32</sup> The evaluation of humanitarian action – ALNAP – p. 27.



populations, it became apparent that a number of concepts, which are very important for the quality and accountability of a project, were not addressed by the OECD-DAC criteria (participation, learning ...). The Core Humanitarian Standard complements the OECD-DAC criteria with these additional important concepts.

### Experience from the field – Algeria

*After there had been a great deal of tension between operational partners, which had slowed down the activities of a project, an evaluation was carried out. This allowed an objective analysis of the situation with a specific focus on issues of cooperation, which helped to put the project back on the rails.*

**Commitment 2 – Communities and people affected by crisis have access to the humanitarian assistance they need at the right time.**

### How to link the Core Humanitarian Standard with the OECD-DAC criteria

Each OECD-DAC criterion is incorporated into one or more of the nine CHS quality criteria, making its use for evaluation in line with best practices in the sector. The following table underlines linkages between the nine CHS quality criteria and the seven OECD-DAC criteria.

CHS QUALITY CRITERIA	OECD-DAC CRITERIA						
	RELEVANCE	EFFECTIVENESS	EFFICIENCY	IMPACT	SUSTAINABILITY	COVER	COHERENCE
1. Humanitarian response is appropriate and relevant	Fully relevant	No specific relevance	No specific relevance	No specific relevance	No specific relevance	Partly relevant	No specific relevance
2. Humanitarian response is effective and timely	No specific relevance	Fully relevant	No specific relevance	No specific relevance	No specific relevance	Partly relevant	No specific relevance
3. Humanitarian response strengthens local capacities and avoids negative effects	No specific relevance	No specific relevance	No specific relevance	Fully relevant	Fully relevant	No specific relevance	No specific relevance
4. Humanitarian response is based on communication, participation and feedback	Partly relevant	No specific relevance	No specific relevance	No specific relevance	No specific relevance	No specific relevance	Partly relevant
5. Complaints are welcomed and addressed	No specific relevance	No specific relevance	No specific relevance	No specific relevance	No specific relevance	No specific relevance	Partly relevant
6. Humanitarian response is coordinated and complementary	Partly relevant	No specific relevance	Partly relevant	No specific relevance	Partly relevant	Fully relevant	Fully relevant
7. Humanitarian actors continuously learn and improve	No specific relevance	No specific relevance	No specific relevance	Partly relevant	No specific relevance	No specific relevance	Partly relevant
8. Staff are supported to do their job effectively, and are treated fairly and equitably	No specific relevance	Partly relevant	No specific relevance	No specific relevance	No specific relevance	No specific relevance	Partly relevant
9. Resources are managed and used responsibly for their intended purpose	No specific relevance	No specific relevance	Fully relevant	Partly relevant	No specific relevance	No specific relevance	Partly relevant

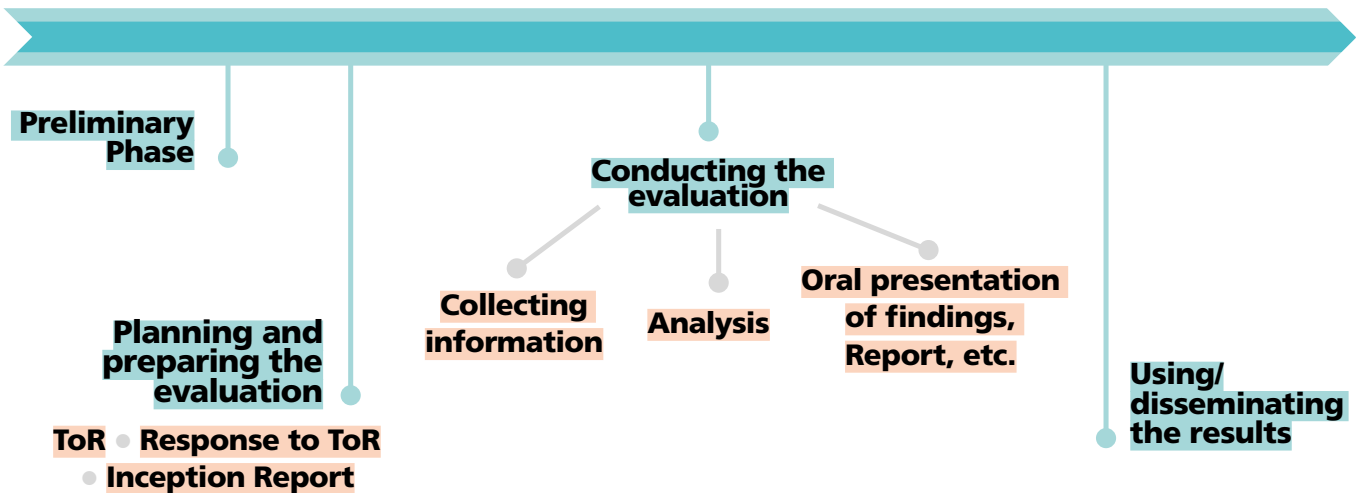
Key  Fully relevant to that particular OECD-DAC criteria  Partly relevant.  
 No specific relevance.

# EVALUATING

## How can you use the Core Humanitarian Standard to evaluate a project?

The evaluation cycle includes four main steps: 1. The preliminary phase. 2. Planning and preparing the evaluation. 3. Conducting the evaluation. 4. Using / disseminating the results.

### THE MAIN PHASES OF AN EVALUATION



**Preliminary phase** - This phase leads to the decision to conduct an evaluation, or not. It consists essentially of a rapid analysis of the needs, risks and opportunities of a possible evaluation in order to arrive at a «well-founded» and well-reasoned decision.

The nine CHS quality criteria can be used at this stage to **quickly assess the situation and therefore contribute to an informed decision to launch (or not) the evaluation.**

**Planning and preparing the evaluation** – This phase results in the writing of the evaluation terms of reference and the designation of the team that will be responsible for conducting the evaluation. It focuses on the ways and means of the evaluation mission to be conducted (who, what, why, how).

**! Important** During this phase, evaluation questions are identified and evaluation criteria confirmed. Avoid starting with the criteria and then selecting questions for each one, because of resource limitations but also because an evaluation should focus on users' needs<sup>33</sup>. All the elements of the CHS evaluation framework can be used, although it is recommended that you use only a few criteria depending on the priorities of the evaluation and the resources available.

The nine CHS quality criteria can be used at this stage to:

- **Provide a quick overview of all the criteria and/or prioritise a few criteria for detailed analysis during the evaluation** – The proposed “Project health check” tool in the COMPASS method – See Annexes- can be used to collect the views of different stakeholders on the overall situation of the project and identify which criteria should be prioritised for more detailed analysis.

<sup>33</sup> ALNAP, Humanitarian evaluation guide, p. 115.

- **Confirm evaluation questions** - The proposed evaluation guidelines and recommendations in the COMPASS method can help to confirm evaluation questions and give examples of related information to be collected.

### **Caution – The importance of evaluating the technological components of projects<sup>34</sup>**

*Evaluations of IT projects or of the technological components of projects remain extremely rare in the sector; it would seem that this sector still benefits from a certain “immunity” in terms of accountability despite the large amounts invested in these by certain aid organisations. Similarly, there have been very few academic studies on the subject and exchanges and feedback are very informal for the time being (blogs, mailing lists, fail tests, etc.).*

*The evaluation of projects that include technological components should therefore be encouraged, along with the sharing of lessons learned: the classic OECD-DAC evaluation criteria have thus already been adapted to the specific characteristics of technology by certain actors and the Principles for Digital Development also provide a framework that is adapted to the needs of the sector.*

**Commitment 9 – Communities and people affected by crisis can expect that the organisations assisting them are managing resources effectively, efficiently and ethically.**

**Conducting the evaluation** – This phase concerns the implementation of the evaluation mission and results in the writing of the evaluation report. It consists of two interacting components: the collection and analysis of information on the one hand, and the synthesis and presentation of findings on the other.

The nine CHS quality criteria can be used at this stage to **help develop data collection tools (e.g. using CHS quality criteria to complement/confirm questionnaires) and structure the analysis and the presentation of findings.**

**Using the evaluation** - This phase concerns accountability and learning, the overall objective of the evaluation process. It consists of presenting the results, and possibly publishing, distributing and disseminating them (internally and/or externally). It is focused on planning how lessons can be taken into account and how their implementation can be monitored.

The nine CHS quality criteria can be used at this stage **to structure the evaluation and to make decisions about changes that need to be made to the project.** This can make it easier to compare evaluations within an organisation or between partners, and can make analysis easier for meta-evaluations.

<sup>34</sup> This sub-section was written by CartONG. For more information about this organization, which provides humanitarian and development actors with specialized support in information management, mapping, analysis and data processing: - <http://www.cartong.org>

## PRACTICAL SHEETS AND TOOLS

This section is divided on the basis of the nine CHS quality criteria, with one page per criterion. For each criterion, there is an introduction from an evaluation perspective, and a set of proposed evaluation questions and related information to be collected.

### 1. IS HUMANITARIAN RESPONSE APPROPRIATE AND RELEVANT?

Assessing if the humanitarian response is appropriate and relevant means measuring the extent to which the response is tailored to respond to local needs and specificities. This includes the issue of coverage, which means evaluating the extent to which the humanitarian response met the needs of major population groups in acute needs. The relevance and appropriateness of the response are closely linked to and have a direct impact on the effectiveness of the response and the level of engagement with communities.

#### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

##### 5. To what extent is the humanitarian response adapted to the (cultural, political, etc.) characteristics of the context and how it evolves?

- > Level of participation by the communities and people affected by the crisis in the response activities
- > Level of acceptance of the humanitarian response by the main local stakeholders
- > Adjustments made to adapt the response to the characteristics of the context (cultural, political, etc.)
- > Adjustments made to adapt the response to potential changes in the context (and their analysis)

##### 6. To what extent do the targeted needs correspond to actual/'real' priority needs?

- > The perception of communities and people affected by the crisis regarding the inclusion of their specific needs in the response
- > The extent to which the capacities of people requiring assistance and/or protection were included
- > Adjustments made to adapt the response to potential changes in needs (and their analysis)

##### 7. To what extent do the assistance and protection provided correspond to the assessed risks, vulnerabilities and needs?

- > Coherence between the response strategy and the assessed risks, vulnerabilities and needs
- > Existence of uncovered risks, vulnerabilities and needs

#### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Was a systematic, objective and on-going analysis of the context and stakeholders conducted and regularly up-dated?	4. Are policies in place committing to providing impartial assistance based on the needs and capacities of communities and people affected by crisis?
2. Was the response designed and implemented on the basis of an impartial assessment of needs and risks, and of the vulnerabilities and capacities of different groups?	5. Are policies in place set out commitments which take into account the diversity of communities, including disadvantaged or marginalised people, and to collect disaggregated data?
3. Was the response adapted to changing needs, capacities and contexts?	6. Are processes in place to ensure an appropriate ongoing analysis of the context?

## 2. IS HUMANITARIAN RESPONSE EFFECTIVE AND TIMELY?

Evaluating whether the humanitarian response is effective means measuring the extent to which the response achieves its purpose or whether this can be expected to happen on the basis of the outputs. The issue of timeliness is of particular importance in emergency situations.

### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

#### 5. To what extent is the humanitarian response achieving its objectives?

- > Trends of targeted needs (nutrition rates, morbidity, etc.) for the different population groups (monitoring data, public health data, etc.)
- > Communities and people affected by the crisis' perception of how their needs have evolved and how effective the response has been
- > Level of achievement of objectives and expected results (monitoring data)

#### 6. To what extent is the assistance delivered in a timely manner?

- > Level and gravity of needs not covered for timing issues
- > Adaptation of the activities to local calendars (seasons, agricultural calendar, etc.)
- > Delays between planned schedule and implementation (monitoring data)

#### 7. To what extent is the response strategy (general approach and activities) appropriate to reach the expected results?

- > Evidence-base of the chosen approach (use of best practices, reference to the current knowledge of the sector, etc.)
- > Level of participation of communities in project activities
- > Opinion of informed staff and stakeholders about the effectiveness of the strategy

### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Was the response designed in order to address constraints so that proposed action is realistic and safe for communities?	6. Are programme commitments in line with organisational capacities?
2. Was the humanitarian response delivered in a timely manner, making decision without unnecessary delays?	7. Are policy commitments ensuring: <ul style="list-style-type: none"> <li>a. systematic, objective and ongoing monitoring and evaluation of activities and their effects;</li> <li>b. evidence from monitoring and evaluations is used to adapt and improve programmes; and</li> <li>c. timely decision-making with resources allocated accordingly.</li> </ul>
3. Were the unmet needs referred to those organisations with the relevant expertise and mandate, or was advocacy done for those needs to be addressed?	
4. Were the relevant technical standards and good practice employed across the humanitarian sector used to plan and assess programmes?	
5. Were the activities, outputs and outcomes of humanitarian responses monitored in order to adapt programmes and address poor performance?	



### 3. IS HUMANITARIAN RESPONSE STRENGTHENING LOCAL CAPACITIES AND AVOIDING NEGATIVE EFFECTS?

When evaluating this criterion, we attempt to assess the wider effects of the response on individuals, gender and age groups, communities and institutions. Impacts can be intended and unintended, positive and negative, macro and micro. In particular, we consider the extent to which activities of a short-term nature are carried out while taking into account longer-term and inter-connected problems.

#### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

##### 1. To what extent are local capacities strengthened by the response?

- > Evidence about strengthened local capacities (e.g. better response to new disaster, results of organisational assessment, etc.)
- > The perception of local authorities, leaders and organisations involved in crisis response regarding any increase in their capacities
- > Trends of indicators related to key factors of resilience (context specific)
- > Perception of targeted populations of their ability to withstand future shocks and stresses

##### 2. Can any negative effects observed be attributed to the response? Which ones and to what degree?

- > The existence, nature and gravity of negative effects on the natural environment, local capacities, socio-economic balance, etc. (monitoring data, specific studies)
- > Staff and key stakeholders' perception of potential negative effects caused by the humanitarian response
- > Communities and people affected by the crisis' perception of potential negative effects

##### 3. To what extent does the response strategy anticipate and mitigate the risks of negative effects (do no harm approach)?

- > Quality and depth of the risk analysis (environmental assessment, economic studies, etc.)
- > Existence, nature and effects of preventive or curative measures

#### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Were the programmes built on local capacities and worked towards improving the resilience of communities and people affected by crisis?	7. Are policies, strategies and guidance are designed to prevent programmes having any negative effects, such as, for example, exploitation, abuse or discrimination by staff against communities and people affected by crisis; and strengthen local capacities?
2. Were the results of community hazard and risk assessments and preparedness plans used to guide activities?	
3. Was the development of local leadership and organisations in their capacity as first-responders in the event of future crises enabled, taking steps to ensure that marginalised and disadvantaged groups are appropriately represented?	
4. Was a transition or exit strategy planned in the early stages of the humanitarian programme that ensures longer-term positive effects and reduces the risk of dependency?	8. Are systems in place to safeguard any personal information collected from communities and people affected by crisis that could put them at risk?
5. Were programmes that promote early disaster recovery and benefit the local economy designed and implemented?	
6. Were potential or actual unintended negative effects identify and act upon in a timely and systematic manner?	

## 4. IS HUMANITARIAN RESPONSE BASED ON COMMUNICATION, PARTICIPATION AND FEEDBACK?

When evaluating this criterion we measure the level and quality of engagement with communities and people affected by crisis during the humanitarian response. It encompasses measuring (1) the extent to which the engagement strategy is relevant and appropriate and (2) its level of implementation and effectiveness. The perception and views of communities and people affected by crisis are of particular importance to evaluate this criterion.

### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

#### 1. To what extent is the engagement strategy (communication, participation and feedback loops) relevant and appropriate to the context?

- > Communities and people affected by the crisis' perception of their access to information (timeliness, relevance and clarity)
- > Level of participation by communities and people affected by the crisis in the activities of the response (decision-making process, implementation of activities, monitoring and evaluation, etc.)
- > Level of use of the various communication tools (appropriateness of the languages used)

#### 2. To what extent is the engagement strategy (communication, participation and feedback loops) implemented and effective?

- > Communities and people affected by the crisis' perception of their rights and entitlements (knowledge of their rights and entitlements, and extent to which these are respected)
- > The quality of relationships between staff and the population
- > Communities and people affected by the crisis' perception of their capacity to influence the response
- > Degree of ownership of the response activities by crisis-affected people

### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Was information provided to communities and people affected by crisis about the organisation, the principles it adheres to, how it expects its staff to behave, the programmes it is implementing and what they intend to deliver?	5. Are policies for information-sharing in place, and promoting a culture of open communication?
2. Was communication provided in languages, formats and media that are easily understood, respectful and culturally appropriate for different members of the community, especially vulnerable and marginalised groups?	6. Are policies in place for engaging communities and people affected by crisis, reflecting the priorities and risks they identify in all stages of the work?
3. Was representation ensured to be inclusive, involving the participation and engagement of communities and people affected by crisis at all stages of the work?	7. Are external communications, including those used for fundraising purposes, accurate, ethical and respectful, presenting communities and people affected by crisis as dignified human beings?
4. Were communities and people affected by crisis encouraged and facilitated to provide feedback on their level of satisfaction with the quality and effectiveness of the assistance received, paying particular attention to the gender, age and diversity of those giving feedback?	

## 5. ARE COMPLAINTS WELCOME AND ADDRESSED?

Evaluating whether complaints are welcome and addressed complements the analysis of the level and quality of engagement with communities and people affected by crisis. Focusing on the complaints mechanism, we measure (1) the extent to which it is relevant and appropriate and (2) its level of implementation and effectiveness.

### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

#### 1. To what extent is the complaints mechanism relevant and appropriate to the context?

- > Number of registered complaints
- > Communities and people affected by the crisis' perception of the accessibility of the complaints mechanism
- > Adjustments made to adapt the complaints mechanism to the specific characteristics of the context (language, media, etc.)

#### 2. To what extent is the complaints mechanism implemented and effective?

- > Number of complaints processed
- > Communities and people affected by the crisis' level of knowledge of the scope and functioning of the complaints mechanism
- > Actions undertaken as a result of a complaint

### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Were communities and people affected by crisis consulted on the design, implementation and monitoring of complaints-handling processes?	5. Has an organisational culture been established in which complaints are taken seriously and acted upon according to defined policies and processes?
2. Were complaints welcomed and accepted, and was how the mechanism can be accessed and the scope of issues it can address communicated?	6. Are communities and people affected by crisis fully aware of the expected behaviour of humanitarian staff, including organisational commitments made on the prevention of sexual exploitation and abuse?
3. Were complaints managed in a timely, fair and appropriate manner that prioritises the safety of the complainant and those affected at all stages?	7. Are complaints that do not fall within the scope of the organisation referred to a relevant party in a manner consistent with good practice?
4. Is the complaints-handling process for communities and people affected by crisis documented and in place? The process should cover programming, sexual exploitation and abuse, and other abuses of power.	

## 6. IS HUMANITARIAN RESPONSE COORDINATED AND COMPLEMENTARY?

Evaluating whether humanitarian response is coordinated and complementary involves measuring the extent to which the interventions of different actors are harmonised, promote synergy, and avoid gaps, duplication and resource conflict.

### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

#### 1. To what extent is the coordination architecture and the collaborative strategy relevant to the context?

- > Quality of the (national and/or international) coordination leadership
- > Level of participation from organisations in coordination bodies and activities
- > Adjustments made to adapt the coordination architecture (e.g. national or international leadership) and conditions (e.g. language issues) to the context

#### 2. To what extent is the coordination architecture and the collaborative strategy implemented and effective?

- > Quantity and quality of the information shared between organisations and with the main stakeholders of the response
- > Quality of relationships between humanitarian and other relevant organisations
- > Type and quality of coordinated and collaborative activities (such as joint needs assessments, responses by consortia, etc.)

#### 3. To what extent is the overall humanitarian response responding to the diversity of needs and tackling the multiple facets of the situation?

- > Communities and people affected by the crisis' perception of gaps or overlaps in the response
- > Observation of gaps or overlaps in geographic or thematic areas

### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Were the roles, responsibilities, capacities and interests of different stakeholders identified?	5. Do policies and strategies include a clear commitment to coordination and collaboration with others, including national and local authorities, without compromising humanitarian principles?
2. Was humanitarian response designed to complement that of national and local authorities and other humanitarian organisations?	
3. Was participation in relevant coordination bodies and collaboration with others ensured in order to minimise demands on communities and maximise the coverage and service provision of the wider humanitarian effort?	6. Is work with partners governed by clear and consistent agreements that respect each partner's mandate, obligations and independence, and recognises their respective constraints and commitments?
4. Was necessary information shared with partners, coordination groups and other relevant actors through appropriate communication channels?	

## 7. ARE HUMANITARIAN ACTORS CONTINUOUSLY LEARNING AND IMPROVING?

When we evaluate whether humanitarian actors are continuously learning and improving, we assess their capacity to make best use of existing knowledge and to adapt to experience. This criterion is linked to efficiency as it should enable actors to improve the effectiveness of interventions and to make best use of limited resources.

### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

#### 1. To what extent is the humanitarian response taking into account previous experience from the context as well as lessons learnt more globally?

- > Evidence on which response strategy is based (references to research, articles, evaluations, etc.)
- > Adjustments made to adapt the response based on previous experience from the context

#### 2. To what extent are the monitoring and learning processes in place relevant and effective?

- > Quality of the monitoring system (context, implementation and results) in place (indicators, tools and processes)
- > Frequency of data collection and analysis – links with decision-making
- > Level of resources allocated to learning mechanisms (review, formal evaluation, etc.)
- > Sharing of experiences and learning (through formal or informal communication) to communities, peers and the wider sector

#### 3. To what extent has the response improved over time?

- > Communities' and people's perception of improvements
- > Observed/documentated improvements made to the response as a result of learning processes
- > Feedback from staff and partners about opportunities for learning and improvements

### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Were lessons learnt and prior experience drawn on when designing programmes?	4. Are evaluation and learning policies in place, and means are available to learn from experiences and improve practices?
2. Were learning, innovation and implementation of changes done on the basis of monitoring and evaluation, and feedback and complaints?	5. Does mechanisms exist to record knowledge and experience, and make it accessible throughout the organisation?
3. Were learning and innovation shared internally, with communities and people affected by crisis, and with other stakeholders?	6. Does the organisation contribute to learning and innovation in humanitarian response amongst peers and within the sector?



## 8. ARE STAFF SUPPORTED TO DO THEIR JOB EFFECTIVELY, AND ARE THEY TREATED FAIRLY AND EQUITABLY?

In order to evaluate whether staff are supported to do their job effectively, and treated fairly and equitably, we assess the relevance and effectiveness of the human resources management system in place. This process criterion is closely linked to effectiveness and efficiency as it concerns whether the organisation makes best use of its limited resources.

### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

#### 1. To what extent are staff expertise and competencies adequate to implement the humanitarian response?

- > Communities and people affected by the crisis' perception of staff effectiveness (i.e. in terms of knowledge, skills, behaviour and attitudes)
- > The quality of relationships between the staff and the communities and people affected by the crisis
- > Level of attainment of staff performance objectives
- > Resources (incl. time) dedicated to skills development for staff

#### 2. To what extent is the management of human resources and support to staff appropriate, fair and equitable?

- > Level of knowledge of staff about key policy and institutional documents
- > Staff turnover rate and trends
- > Feedback from staff about management and support received from their organisation to do their job

### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Did staff work according to the mandate and values of the organisation and to agreed objectives and performance standards?	4. Does the organisation have the management and staff capacity and capability to deliver its programmes?
	5. Are staff policies and procedures fair, transparent, non-discriminatory and compliant with local employment law?
2. Did staff adhere to the policies that are relevant to them and understand the consequences of not adhering to them?	6. Are job descriptions, work objectives and feedback processes in place so that staff have a clear understanding of what is required of them?
	7. Is a code of conduct in place that establishes, at a minimum, the obligation of staff not to exploit, abuse or otherwise discriminate against people?
3. Did staff develop and use the necessary personal, technical and management competencies to fulfil their role and understand how the organisation can support them to do this?	8. Are policies in place to support staff to improve their skills and competencies?
	9. Are policies in place for the security and the wellbeing of staff?

## 9. ARE RESOURCES MANAGED AND USED RESPONSIBLY FOR THEIR INTENDED PURPOSE?

Evaluating whether resources are managed and used responsibly for their intended purpose encompasses two different dimensions: (1) measuring the cost-effectiveness of the response which means comparing the outputs (qualitative and quantitative) achieved in relation to inputs and (2) assessing the effectiveness of the management system in terms of transparent and responsible use of resources.

### KEY EVALUATIVE QUESTIONS AND RELATED INFORMATION TO BE COLLECTED:

#### 1. To what extent is the response cost-effective? Would other strategies achieve better results for the same costs?

- > Ratio between achieved results and cost of the project activities
- > Existence of other strategies that could increase the impact for the same cost
- > Feedback from staff, partners or communities about potential diversions or wastage

#### 2. To what extent is the resource management system effective and transparent?

- > Level of awareness among communities and people affected by the crisis about community-level budgets, expenditure and the results achieved
- > Gaps between agreed and implemented plans, targets, budget and timeframes
- > Discrepancies between management requirements and implementation
- > Accessibility of financial documentation

### POTENTIAL AREAS FOR ANALYSIS AND RECOMMENDATIONS

Key actions	Organisational responsibilities
1. Were programmes designed and processes implemented to ensure the efficient use of resources, balancing quality, cost and timeliness at each phase of the response?	6. Are policies and processes governing the use and management of resources in place? including how the organisation:
2. Were resources managed and used to achieve their intended purpose, so minimising waste?	a. accepts and allocates funds and gifts-in-kind ethically and legally;
3. Were expenditure monitored and reported against budget.	b. uses its resources in an environmentally responsible way;
4. When using local and natural resources, was their impact on the environment considered?	c. prevents and addresses corruption, fraud, conflicts of interest and misuse of resources;
5. Was the risk of corruption managed and appropriate action taken if it is identified?	d. conducts audits, verifies compliance and reports transparently;
	e. assesses, manages and mitigates risk on an ongoing basis; and
	f. ensures that the acceptance of resources does not compromise its independence.