



How to manage evaluations

Seven steps

Evaluation and Policy Analysis Unit

UNHCR's Evaluation and Policy Analysis Unit (EPAU) is committed to the systematic examination and assessment of UNHCR policies, programmes, projects and practices. EPAU also promotes rigorous research on issues related to the work of UNHCR and encourages an active exchange of ideas and information between humanitarian practitioners, policymakers and the research community. All of these activities are undertaken with the purpose of strengthening UNHCR's operational effectiveness, thereby enhancing the organization's capacity to fulfil its mandate on behalf of refugees and other displaced people. The work of the unit is guided by the principles of transparency, independence, consultation, relevance and integrity.

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Central to building consensus on ways in which to improve learning and accountability is the effective management of UNHCR's evaluation function. As a platform for sharing lessons, learning from persons of concern, identifying common approaches, and addressing good and poor practices, evaluation is the barometer for the health of an organization. UNHCR is committed to ensuring that it develops and implements effective evaluation management policies and practice.

This handbook aims to advance understanding and practice in the management of evaluations of UNHCR operations, programmes, themes, and policies. The handbook contains a set of guidelines intended to help UNHCR staff design and implement evaluations, with some handy checklists included. Both new and advanced evaluation specialists should find it useful. Users of this guide are encouraged to submit comments on its usefulness or suggest improvements to the Evaluation and Policy Analysis Unit (EPAU) at hqep00@unhcr.org

This handbook is based on UNHCR planning documents, EPAU's experiences with self-evaluation, inputs from EPAU staff, and the work of consultants. It has been recently revised and reviewed.

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Introduction

What is evaluation?

1. Evaluation provides an organization with the means to reflect on its performance by asking focused questions about its policies and practices, demonstrating its impact on stated objectives, recommending ways to build on its strengths and to address its weaknesses. Evaluation is often confused with other review activities. Though there is a degree of overlap between some activities like inspection and routine monitoring, evaluation is concerned in the main with assessment; the practical and objective assessment of policies and programmes with a view to improving organizational learning and performance. UNHCR defines evaluation generally as the systematic, objective analysis and assessment of the organization's policies, programmes, partnerships and procedures.¹

What is the purpose of evaluation?

2. The purpose of most UNHCR evaluations is to gather and analyze findings with a view to assessing the impact and effectiveness of operational activities. When undertaking an evaluation, clarity as to its nature and purpose is paramount. Transparency of purpose and clarity of intention promote trust and cooperation which are central to successful evaluation outcomes. Understanding the purpose of evaluation is important to both evaluators and the evaluated. Such understanding relates to UNHCR's operational environment, its activities and the interests and behaviours of persons of concern and to the other actors with whom it works.

3. Though assessing operational effectiveness is a major purpose of evaluation, ensuring accountability is arguably a major outcome. UNHCR is required to provide proof as to whether it has accomplished what it set out to do, to account for organizational performance against stated objectives. Good evaluation is central to accountability in that it provides a cumulative picture of the impact of operational activities, and highlights areas or sectors where improved practice is required. Evaluation reports further speak to accountability in that they are accounts of record and regularly published.

4. Evaluation supports organizational accountability in several other ways, chief among them is promoting organizational learning and, thereafter, influencing organizational culture, supporting team-building, stimulating partnerships, and increasing institutional and public awareness.

¹ According to Administrative Instruction ST/SGB/2000/8, Regulation 7.1 the objective of evaluation is to determine as systematically and objectively as possible the relevance, efficiency, effectiveness and impact of the Organization's activities in relation to its objectives [in order] to enable the Secretariat and Member States to engage in systematic reflection, with a view to increasing the effectiveness of the main programmes of the Organization by altering their content and, if necessary, reviewing their objectives. Rule 107.2 of the same Instruction indicates that all programmes shall be evaluated on a regular, periodic basis.

What are the benefits of evaluation?

5. Investment in evaluation is worthwhile. The potential benefits of good evaluation are several in that they bring together:

- questions that clearly identify what is to be evaluated, who are the major stakeholders, what they want to know, and how results are to be used;
- findings that are clear, decisive, respond to the central questions asked about the programme, and reflect learning from affected populations and other relevant stakeholders;
- critical analysis of the impact of an operation;
- recommendations drawn from the findings;
- identification of lessons and their possible application across the organization and to external partners; and
- wide dissemination and strategic review of evaluation findings and lessons.

Step 1 Planning

Deciding to evaluate: determining question(s)

6. The first step in any evaluation process is clearly defining what questions are to be asked. Such questions are critical to the decision as to whether or not to evaluate a programme, operation, theme or policy. In formulating questions, keep in mind that clarity, precision and good sense are central to good questions. Deciding what needs to be addressed in the programme or policy, helps to focus evaluation questions. This helps to support the decision as to whether or not to evaluate in the first place. Other factors include decisions as to:

- what questions you want the evaluation to answer, and whether evaluation is the appropriate model to use;
- what outputs are anticipated, and what is their intended use;
- what stage is the programme? Are there special needs to be addressed as the result of conflict, abuse of power or other related issues;
- what scope is required: camp, sub-office, country programme, operation, region, policy, or theme?

Once these questions have been addressed, several other factors require attention:

- what is the historical, political, cultural and organizational context in which the evaluation is to take place;
- who are the persons of concern, what are their needs, strengths and weaknesses, what is the situation in their country (ies) of origin, and what provision will be made for their participation;
- who are the stakeholders (including national staff), what are their knowledge and other needs, and what provisions may be required to ensure confidentiality of those interviewed;
- what results are anticipated and how will they be used;
- Are there further questions? Which questions are most important?

7. Evaluation questions are generally either descriptive, normative or impact/outcome oriented.² Thoroughly addressing these questions or others like them, is the first step in an evaluation and central to a comprehensive evaluation design.

² See 'Organising Participatory Self-Evaluations at UNHCR', Draft Guidelines, EPAU, 2004. See EPAU web link at www.unhcr.org/epau

Other reasons that determine whether or not to evaluate include:

- evaluating success. For example, in the case of a particularly successful or innovative programme where reasons behind success and potential for replication are important.
 - evaluating failure. An evaluation may be required to address failure, whether the failure was programmatic, institutional or other factor related .
 - evaluating changed circumstances. This may involve several factors: a sudden onset emergency or repatriation; operational changes; the introduction of a new strategic plan; a change in management; or when scale-down or handover of a programme is imminent.
 - evaluating programme continuation or renewal. This may require an interim evaluation which is both past and future-directed in its focus and findings.
 - evaluating in response to stakeholder pressure. This will require consultation with EPAU and UNHCR senior management.
8. The next step is to appoint an Evaluation Project Manager, albeit one may already be in place.³

Role of the evaluation project manager

9. Once the decision has been taken what is to be evaluated, an Evaluation Project Manager (hereafter manager) is appointed. S/he is responsible for initiating and overseeing the evaluation from its inception through to its completion. In other words, the Manager commissions and guides the course of the evaluation from planning through implementation and monitoring, to ensuring wide distribution and effective use of the evaluation's findings. For highly sensitive evaluations, it may be advisable to ensure that a senior manager, or managers, at director level, take on this role.⁴ One of the manager's first steps is to organize the development of an evaluation design or plan.

How to develop an evaluation design⁵

10. The purpose of such a design is to serve as a guide for the assessment of the results of a particular operation or programme and the processes that brought about those results. The evaluation design should reflect decisions as to what type of evaluation is required and will be influenced by the scope and stage of the evaluation exercise, as well as the need for internal or external leadership and the level of participation. If the programme is new, formative and normative issues will be

³ For various reasons, the Evaluation Manager may already be in place and have taken part in the decision as to what and whether to evaluate.

⁴ Along with this guide, the Manager can turn for advice to some or all of the following: EPAU for advice on all aspects of the project; SMS on commissioning corporate consultancies; HRS regarding grading individual consultants for fee purposes; and other colleagues who have successfully managed evaluations.

⁵ UNHCR recognizes external, independent evaluation as an important component of accountability. It also believes that including internal and external stakeholders in the evaluation process is a strength.

paramount (are we doing the right thing, and are we doing it in the right way). If the programme has been around for awhile, outcomes and impacts could be examined.

11. Some useful factors to take into consideration when developing an evaluation design include:

Identifying the focus of the evaluation? Is it a :

- Country operation: all the operations covered by a Branch Office?
- Situation/theme/population ?
- Project: UNHCR's work with one caseload or specific issues ?
- Sector: one aspect of operations in one or more countries. For example, health services across a country operation ?
- Agency: evaluating the work of a partner and UNHCR's relationship with that partner, nationally, regionally or globally ?

Recognizing the phase or stage of the intended operation or programme?

- First phase: during the first phase of an operation. This includes 'real time' evaluations. All new operations and substantially escalated programmes are required to be evaluated in the first six months.
- Interim: at any stage during the implementation.
- Final phase: when operations are being wound down, or at final closure.
- Retrospective: at some point after a programme (especially an integration or reintegration programme) has been completed.

Understanding what type of participation is required? Is it

- Inter-agency: evaluations, of any type, jointly undertaken by UNHCR with one or more agencies.
- Self-evaluation: evaluations initiated and undertaken by UNHCR offices, preferably with an independent facilitator.
- Participatory: evaluations involving extensive consultations with refugees, other persons of concern and local populations.

Annex 2 provides a useful list of various evaluation types.

Forming a steering committee

12. Forming a Steering Committee has immediate advantages which are related to the broadening of input to the design study and enhancement of the credibility of the evaluation which broader participation imparts. The purpose of a Steering Committee is to assist in several key aspects of the evaluation process. These include:

- finalising the Terms of Reference (TOR) for the evaluation;
- selecting external evaluators;⁶
- reviewing preliminary findings and recommendations; and
- establishing a dissemination plan and utilization of findings, or implementation of recommendations strategy.

13. Ideally, committee membership should be between three and eight people. The Evaluation Manager acts as Chair to the Committee whose members can be drawn from but are not limited to UNHCR staff, Implementing Partners, EXCom Members, EPAU, specialist external advisers, members of the Evaluation Advisory Group, or local government representative(s).

14. Most importantly, the Manager, assisted by the Steering Committee, should calculate, negotiate and agree an evaluation budget sufficient to cover all expenditures. No commitment can be approved until the budget and TOR have been drawn up. In fact, drawing up the budget and developing the TOR are inter-dependent activities. Where corporate consultancy is concerned, the manager will be required to liaise with SMS ⁷, following which a request for proposals may be issued to agreed contractors.

⁶ Where there are competitive bids from corporate consultants to consider, the Steering Committee will advise the Committee Chair on their relative merits. Where there is lack of consensus within the Committee, the Chair will make the final selection.

⁷ SMS is the acronym for the Supply Management Service at UNHCR Headquarters responsible for the issuance of all UNHCR contracts for registered suppliers, including consultancy companies. Procurement of consultancy services via this route is subject to UN procurement regulations. See the 'Practical Guide for Procurement Services' (the SMS Guide, issued by SMS). This guide sets out procedures for contracting via SMS.

Step 2 Key elements in developing ToRs

15. The main purpose of TOR is to summarize the context, purpose, objectives, timeframe, methodology, assumptions and constraints, evaluator qualifications, the composition of the evaluation team, the outputs, timelines and costs of the evaluation.

16. The key elements to keep in mind when developing TOR are purpose, methods, timelines, qualifications, resources and outputs.

17. Ideally, the evaluation's TOR should be drafted by the Evaluation Project Manager, assisted by the Steering Committee. Negotiating, developing and finalizing the project's terms of reference what, why, when, for whom, who by and how are critical to the successful planning of an evaluation. The evaluation team or external facilitators should be given an opportunity to comment on the TOR before they are finalized. The Evaluation Project Manager ensures that all relevant stakeholders are consulted on the draft Terms of Reference and incorporates their comments into the final version. Once an evaluation team or team leader has been identified, they should also be given opportunity to comment on the TOR, especially on methodology, time frame and costs.

18. Where consultancy companies are to be asked to express interest in carrying out the evaluation, summary TOR need to be developed early on so they can be sent out or published on the UNHCR web site.

Describing the context

19. The TOR should describe the context in which the evaluation is to take place. This should include but is not limited to:

- political situation;
- actors and activities;
- origins of the current operation, programme, project, team to be evaluated;
- summary details of the refugee caseload;
- operating constraints: logistics, funding, government policy;
- significant events since the start of the operation; and
- describing the socio-cultural and legal context.

Objectives

Recalling that evaluation is about results and the processes that led to those results is central to developing robust objectives. Evaluations that focus solely on process and stakeholders' aspirations for the future are missing the mark.

The TOR should specify

- who the evaluation concerns;
- what information the evaluation is designed to generate;
- what questions the evaluation is addressing;
- what balance is to be achieved between a review of past achievements and shortcomings versus future planning and recommendations?

Methods

20. This guide does not provide advice on which evaluation methods to use when. Different approaches are listed below so that those managing evaluations can make themselves familiar with various methods.

21. A variety of methods can be employed to make sure that evaluations are both comprehensive and balanced. Two types of information are normally available to evaluators, quantitative and qualitative. They are equally important. Quantitative information is normally available through written reports and surveys, while qualitative information comes from interviews, discussions and observation. The aim of any evaluation is to gather different types of information from various sources and so be able to cross-verify sources. This is what evaluators call triangulation.⁸

22. A sound evaluation methodology is one of the keys to a successful result. Some factors to keep in mind include:

- which locations will the evaluators need to visit;
- what is the balance between quantitative and qualitative methods;
- how will refugees be consulted, and how will stakeholder participation be ensured;
- will presentations of draft findings be required before the evaluators present a draft report?

23. The evaluation methodology will need to be updated in the final TOR, after discussion with the evaluation team.

Quantitative information

24. This type of information normally comes in at least two forms, numerical statistics and financial data. Numerical statistics are available on refugee populations, health records, tonnes of food delivered to warehouses etc. Financial data, is either in the form of budgets or actual expenditure records. The aim is to establish the baseline from which the programme began and its current position.

⁸ Triangulation 'refers to the use of more than one approach to the investigation of a research question in order to enhance confidence in the ensuing findings. Since much social science research is founded on the use of a single research method and as such may suffer limitations associated with that method, or from specific application of it, triangulation offers the prospect of enhanced outcomes'. See <http://www.referenceworld.com/sage/socialscience/triangulation.pdf>. Alan Bryman, Professor of Social Research, Department of Social Science, Loughborough University, Leicestershire, UK.

25. There are no shortage of statistics in UNHCR, but financial information is harder to obtain and to interpret. UNHCR has separate programme, administration and staff budgets, managed at various levels in the organization. This makes evaluation of cost effectiveness more complicated. Nevertheless, the assessment of cost effectiveness should not be overlooked.

26. Surveys (see below) can also be used to generate quantitative information.

27. The UNHCR standards and Indicators Reporting structures are used by country programmes and should be used by evaluators in reviewing these programmes.

Interviews

28. Evaluations of humanitarian operations tend to rely heavily on inductive methods which focus on building up pictures of reality from various inputs, especially the impressions and views of stakeholders, that is, those parties most directly involved. In most evaluations, team members will interview:

- individual refugees, representing different genders, gender and age representation, minorities and socio-economic groups;
- refugee leaders and representatives with an eye to gender and age representation in these groups;
- field and sometimes headquarters staff of local and international NGOs
- government officials, including representatives of government ministries and any co-ordinating bodies;
- host communities;
- other UN agencies concerned;
- UNHCR field staff;
- UNHCR headquarters staff;
- donor state representatives, normally in the capital city of the country of operation;
- other informed parties including researchers, representatives of other agencies working in related refugee programmes, and sometimes the media.

29. While interviews should allow for free ranging discussion, the evaluation team will normally agree on a limited standard set of key topics and questions that need to be covered in each interview. A methodical and disciplined approach is required. Even then, individual interviews taken alone can provide misleading or one-sided information. Moreover, it is quite normal for interviews with different parties to contradict one another. Keeping these possibilities in mind, the key task of the evaluation team is to form a balanced view of the varying impressions and priorities

of stakeholders. In this regard, ensuring the possibility of a balance between yes/no questions and open-ended questions is important.

Observation

30. First-hand observation by evaluators in refugee camps or returnee-populated areas is often done in a somewhat cursory manner. Far more time tends to get spent in capital cities and provincial centres, interviewing UNHCR, NGO and government officials. Evaluators also learn not to put too much reliance on brief first hand observation, as those organising the visit often want to show the favourable side of the programme. To address this issue, evaluation teams – or certain members of an evaluation team – should be encouraged to spend longer periods of time in the field, interacting with refugees and local people. Such a requirement, which is consistent with UNHCR’s evaluation policy, can also be written into the terms of reference for an evaluation.

31. Another more explicit form of observation is provided by transect walks. These are walks where a route is planned to take in a cross-section of the camp or related site, including key points of interest, such as a refugee and worker accommodation units, toilets, pesticide stores, waste disposal facilities, water and food sources, nursing stations etc. A transect walk allows one to cross-check information by seeing, hearing and smelling. You may pick up on new issues that have not been mentioned.⁹

32. A far more detailed and extended form of observation is that used by social-anthropologists, who will stay in one community for some weeks at a time to observe in detail how that community functions, the way that UNHCR funded activities are perceived, and their effects on the refugee community. UNHCR recognises the value of this approach and will be field testing it further.

Surveys

33. An evaluation team may wish to use survey methods to assess the quality and impact of UNHCR programmes. This is usually based around a standard, and ideally relatively simple questionnaire. The advantage of this approach is that a large amount information and a mixture of qualitative and quantitative information can be collected. The downside of surveys is that they are time-consuming, and have to be planned well in advance of the main evaluation. In some countries, questioning individual refugees may be difficult for cultural or political reasons. In order to draw a representative picture and improve overall analysis, it is important to disaggregate interviewees by age, gender and background.

34. Another survey method to be considered is sampling where one selects a sample of the population and makes inferences from that sample. This involves going beyond the available information and is more than simply describing the population. It involves generalising from the sample to the population. The difference between descriptive and inferential statistics is based precisely upon this distinction between samples and populations. Descriptive statistics are concerned

⁹ For more information on transect walks see transect walks in <http://www.nri.org/NRET/TP4.pdf>. NRET Theme Paper Series, Natural Resource Institute, University of Greenwich, UK, 2004.

with describing or summarising a sample. Inferential statistics are concerned with going beyond the sample to make predictions about the population from which the sample is drawn.

Group discussions

35. It is often time-efficient to interview people in groups. This can best be done with those in a one category, for example, NGO field staff. (Focus Group interviews. This also has the advantage of stimulating discussion between parties which may not be going on in the normal course of events, and which may have benefits beyond the immediate needs of the evaluation. Leading group interviews requires some skill: to ask pertinent questions, to make a balanced assessment of the views expressed and to provide a summary of what has been said. Evaluators need to be aware of and sensitive to group dynamics and power relations which may impact on what is being said.

36. Group members should be chosen as representative of the larger group from which they are drawn. Where the refugee caseload is ethnically homogenous, for example, a selection by age groups and gender might produce a good representation of the caseload as a whole. However, it is important to recall that often there are other forces at work behind the scenes that influence the selection of group members, and these processes may remain obscure to the evaluators.

Workshops

37. Taking the group interview process a stage further, workshops can be used to bring different sets of stakeholders together to discuss their perspectives, to work together on assessing the present and to make proposals for the future. This will normally require facilitation from a member of the evaluation team or a perhaps a specialist brought in for the purpose. Ideally, the facilitator will not be directly involved with the programme, both for reasons of impartiality, and because those directly involved should have the opportunity to participate fully, rather than having to focus on steering the workshop.

Participatory evaluation

38. Participatory techniques have been developed because of a frustration with the shortcomings of traditional evaluation and survey techniques. They have been shown to be reliable. Participatory methods require that the evaluators talk directly to the refugee population, ideally in the refugee camp setting. In this regard, the role of interpreters may prove critical to ensuring accuracy in interviews. Briefing them as to the purpose of the evaluation and ensuring that they provide direct interpretation of the interviewees' responses is time well spent. Overall, participatory evaluators must have good group and interpersonal skills, active listening and a willingness to be led by refugee perspectives in making their assessments, rather than controlling the dialogue. If a participatory model is selected, then choosing evaluators with these skills is important. Sets of participatory techniques, such as Participatory Rural Appraisal (PRA), have been developed over the last twenty years and are now reasonably well documented. UNHCR is keen to encourage participatory forms of

evaluation. Including refugees in the evaluation process is one way that UNHCR aims to increase its “downward” accountability.

Video & photo

39. There is a trend to move away from the dryness and limited impact of written reports by using audio-visual presentation to provide a visual record of places, interviews and meetings. UNHCR has not as yet used video as an evaluation tool, but will be encouraging its future testing.

What to look for when recruiting evaluators?

40. The ToR should briefly describe the qualifications of evaluators consistent with the requirements of the evaluation. In this regard, it will be important to note:

- experience
- skills
- abilities
- personal ethics

See more on this in **Step 3** concerning the formation of an evaluation team.

How are ToR outputs defined?

41. The evaluation team, and especially the team leader, need to know exactly what outputs are required by the evaluation. This includes all deliverables, for example: presentations that will be required, when and to whom? The required format of the draft and final report?

42. While each evaluation project will normally result in the preparation of a final report, other activities and outputs can be generated (eg. Workshops including lessons learned meetings, training materials and audio-visual presentations) so as to maximize the potential for findings and recommendations to be used.

43. UNHCR particularly encourages the use of mid-term workshops and consultations, enabling Steering Committee members and other stakeholders to review an evaluation team’s initial findings and recommendations.

Setting dates

44. When planning an evaluation, keep in mind any organizational target dates within the annual planning cycle that need to be met. When setting a completion date, don’t forget to allow time for translation, if required.

45. Start planning the evaluations of new/newly escalated programmes at an early stage, in order to meet the “within first 6 months” requirement set out in UNHCR’s evaluation policy.

STEP 2 – THE TORs

46. Getting evaluations started and completed takes time, and usually longer than first imagined. As a guide to planning, the main stages of evaluation are set out below in the form of three sample evaluation types, with suggested timelines in months:

<i>Stage</i>	<i>Examples</i>		
	<i>Self-Evaluation</i>	<i>Country Operation Externally-led (no competitive tendering)</i>	<i>Complex thematic, multi-country (with competitive tendering)</i>
Agree ToR, set up Steering Committee and assemble evaluation team	0.5 – 2 months	1 – 3 months	2 – 4 months
Conduct evaluation up to draft report stage	0.5 – 1	1.5 – 2	2 – 6
Get comments, complete final report and publish	0.5 – 1	1 - 1.5	1.5 – 2
Publish management response - (timeframe set by UNHCR's evaluation policy)	3	3	3
Total months elapsed, (approx.)	4.5 - 7	6.5 - 9.5	8.5 - 15

Budget

47. When the evaluation has been designed, the budget can be established. Costs may include:

- travel and DSA for the evaluation team and other participants; (See Annex 6)
- consultancy fees; (See Annexes 7 and 8)
- meeting / workshop organization;
- stationery, materials and other administration costs;
- reproduction costs; and
- translation.

Consulting on the draft Terms of Reference(ToR)

48. The Evaluation Project Manager ensures that stakeholders are consulted on the draft ToR and incorporates their comments into the final version. Once an evaluation team or team leader has been identified, they should also be given opportunity to review the ToR and offer their views in respect of methods, timeframe and costs.

Documentation

49. It is the task of the Evaluation Project Manager to assemble the right internal background materials. This is not the work of the evaluation team. The documentation may include:

- previous evaluations;
- various mission reports;
- annual reports;
- programme plans, budgets and actual expenditure;
- relevant evaluations conducted by other agencies; and
- office/project organigrammes with roles and responsibilities.

50. Documents should be collated and a dossier made up for the evaluation team. See Annex 4: Available information/ data at UNHCR Headquarters.

Finalizing ToR

51. Once agreed, the final ToR should be marked as FINAL, signed and dated by the Evaluation Project Manager and sent to the evaluation team leader. If there is a consultancy contract, the ToR must be attached.

Step 3 The team

52. What are the key attributes of a balanced team? Assembling the right team of people to undertake the evaluation is vital for its success. The team members must be able to work together. This applies equally to internal, external or mixed internal/external evaluation teams.

53. The evaluation team needs a balanced mix of skills, gender and age, experience and specialist knowledge. Depending on the evaluation to be conducted, evaluation team members could be drawn from a number of sources, internal or external to UNHCR and its partners. As far as possible, all team members should be capable of acting impartially. Internal teams must have the ability to be self-critical.

54. Team members should have the following skills:

- document analysis;
- data analysis which means listening with an open mind;
- relevant technical knowledge;
- financial analysis (one aspect of evaluation frequently forgotten);
- language skills, depending on location;
- interviewing and synthesis of perspectives skills;
- facilitation skills, especially in working with small groups;
- understanding of diversity, including cultural and gender awareness; and
- knowledge of participatory methods (not applicable to all evaluations).



Diversity

The team should be culturally diverse and multidisciplinary in nature. Efforts should be made to create a gender balance. Correctly distinguishing between the perspectives and relative effects on males and females improves the quality of evaluation. Just having men and women in the team does not prove that they will be gender-aware, so check their understanding and approach.

55. Some team members should have a prior and sound understanding of:

- the political context;
- UNHCR's mission and mandate; and
- the UNHCR management context in which they will be making recommendations.

 The Evaluation Project Manager and Steering Committee members should exercise caution when assessing possible team members. A quick read of CVs shows where people have worked and for which organizations, but this does not prove they have the right skills. If in doubt, ask for references. As a general rule, it is definitely better to use someone with the right skills but without experience of the specific situation, than someone familiar with the situation but without the skills required.

What are the different team types and how are they comprised?

Internal team

56. An internal evaluation team usually comprises UNHCR staff. Internal team members may be drawn from anywhere in the organization. At least one member should have some working knowledge of the specific situation to be evaluated. No member should have (or have had) any direct involvement in the activity to be evaluated.

57. Internal evaluations can have a number of benefits:

- providing immediate and direct feed-back on a project or programme;
- allowing staff and partners to participate in the process, increasing their commitment and sense of responsibility for the evaluation;
- providing a relatively quick and low cost means of evaluation; and
- promoting a dialogue between partners, refugees and UNHCR.

External team

58. An external team may consist of external consultants and representatives of other organizations, but not UNHCR staff, partner staff or refugees. External teams are used where there is a perceived need for an entirely independent review, usually when a programme is especially large, complex, or controversial.

Mixed team

59. UNHCR is keen to encourage the use of mixed evaluation teams, in which the membership is drawn from UNHCR, partner organizations and persons of concern. Participation in mixed evaluation teams represents an important learning opportunity for UNHCR staff members.

60. Team members could be drawn from:

- HCR staff: internal specialists, staff from neighbouring programmes, staff included in the team as a personal development assignment;

- NGO partner staff;
- other UN agencies;
- host government representatives;
- donor government representatives;
- external consultants, and
- refugee representatives (at community level).

61. There are variations of mixed teams, such as inter-agency teams and externally-led teams.

Inter-agency team

62. An inter-agency team is one where the team is composed of representatives of UNHCR staff plus partner organizations. The team leader could be drawn from any one of these partner categories, as long as the individual has the right skills and has the respect of team members.

Externally-led team

63. In an externally-led team, an external consultant acts as team leader for an evaluation and takes responsibility for the content of the final report, including the recommendations. Teams established for such evaluations may include UNHCR staff, but exclude those with a current or past direct interest in the activity being evaluated. For example, a Protection Officer could take part in an externally-led evaluation of operations in a neighbouring country but not in their own. A headquarters-based Emergency Officer could not be part of an evaluation team looking into an emergency programme in which they have had any direct role. The advantage of externally-led evaluations is that they can combine both external independence with internal participation and the opportunity to incorporate lessons learned directly into policy and practice.

Choosing a team leader

64. Finding a qualified and reliable team leader is essential. The team leader must be impartial and be able to:

- manage the team and build team spirit;
- delegate tasks between team members and make sure they are done on time; and
- negotiate the TOR with the Commissioning Manager or Steering Committee.

65. Other vital skills for the team leader include:

- project management;

- budget awareness;
- analytical skills;
- presentation skills;
- report writing skills, especially:
 - drawing of conclusions based on the evidence gathered
 - developing clear recommendations in consultation with team members
 - producing an Executive Summary that clearly summarises the evaluation key findings
- ability to manage sensitive information, knowing what to keep confidential and the best way to pass on sensitive information.



It is not advisable to have an evaluation team where everybody is equal. The client needs one person with whom they can communicate and who is responsible for the work. “Equal” team members can be made to work where there are two members of a team working closely together, but not with more than two. As a rule there should be one clearly designated team leader. A team functions best where the expertise of each member is respected and built upon.

Determining the size of the team

66. For smaller assignments, 2-3 people will be adequate. In any event, do not let any one evaluation mission include more than 5 people. Large teams tend to have drawbacks:

- first and most obvious, cost;
- team management- too much effort goes into team co-ordination rather than substantive content;
- large teams can break down into factions;
- logistics: 2-3 evaluators fit in one vehicle.

67. With an external evaluation, remember that consultancy companies may have an interest in submitting bids with large teams because it increases the breadth of skills offered and the value of fees in the bid. You may need to negotiate downsizing proposed the team size.

Assembling the team

68. Make sure that you have written confirmation for all personnel from UNHCR, NGOs, bilateral aid departments etc. that permits them to be released to take part in the evaluation for period required. (Where a consultancy company has been given the assignment, it is their responsibility to assemble the team).

69. From the outset, make sure the whole team knows who the team leader is and agrees to work under his/her management.

Client - provider relations

70. The key relationship in the evaluation is that between the Evaluation Project Manager and the Evaluation Team Leader. In both internal and external evaluations, this is essentially a Client-Provider relationship. The accountability for delivering the evaluation results and implementing them rests with these two people. It is important that they establish a good working relationship.



A good team leader keeps the Evaluation Project Manager informed of progress regularly and negotiates any changes to the TOR and schedule *before* they become an issue. This is important because UNHCR will only accept late submissions or budget overruns where they have been previously negotiated between the Evaluation Project Manager and the team leader.

Step 4 Consultants

Not all evaluations need consultants. Where consultants are required, the Evaluation Project Manager needs to understand UNHCR's contracting arrangements.

When to use consultants

71. For internal evaluations, consultants may not be required. Externally-led and external evaluations, however, will require one or more consultants.
72. Consultants may be brought in because:
- certain evaluation or other specialists skills are not available within UNHCR or among other partners;
 - an external consultant is required to lead the evaluation under UNHCR minimum standards for evaluation; and
 - it is considered that one or more consultants will add a degree of independence or fresh perspectives to the process that other parties may be unable to provide – but this should not be a blanket assumption about all evaluations.



If it is determined that some form of external consultancy input is NOT REQUIRED, the evaluation budget can be drawn up without personnel costs. UNHCR does not normally pay salaries for staff seconded to an evaluation by an implementing partner because a) UNHCR is already paying part of that organization's staff costs and b) the organization and the individual will both gain from their participation.

How to find consultants

73. Consultants may be recruited from international, regional, or local sources. They may be self-employed, belong to a consultancy company, they may be academics, or former UNHCR staff members. Former staff members should not be engaged to evaluate activities for which they were once responsible.
74. Where consultants are required, the first question is often “Where do I find the right consultant or consultancy company?” It is well worth the effort in finding consultants who match the requirements of the Terms of Reference. Sources worth checking include:
- EPAU's consultants' database;
 - SMS database of consultancy companies;

- Colleagues in UN agencies who have their own experience with the recruitment of consultants via HQ evaluation departments, or local/regional offices;
- UN Common Supply Database www.uncsd.org;
- NGO partners;
- National universities and research institutes; and
- Relevant humanitarian or developmental websites.



Be aware that highly qualified consultants are often not available at a short notice. Prepare well in advance, once the decision to include external consultant(s) in the evaluation is made.

Consulting contracts

75. Where just one or perhaps two consultants are required, they will normally be contracted as individual consultants by the Unit or Field Office commissioning the evaluation. Consultancy companies, on the other hand, are contracted through SMS. All recruitment of consultants is done via UNHCR Headquarters, even for regionally or locally-based consultants. Choosing the appropriate route for contracting consultants is important.

76. As mentioned above, there are two possible routes in UNHCR for engaging consultants:

- Employment of individual consultants, according to IOM-FOM/21/2005; and
- Contracting of consultancy companies through the Contracts Unit of SMS.

Some additional factors relevant to individual contracts for consultants¹⁰

- Consultants are not UNHCR staff members. Their conditions of service are not governed by the Staff rules and regulations, but rather in accordance with Administrative Instruction ST/AI/1999/7 and the UNHCR Policy on Individual Consultants.
- In addition to International and National Consultants, there is also a Locally-Hired International Consultants as well as Consultants engaged for protection deployment schemes. For a full explanation of hiring provisions, see IOM/FOM 021/2005 with effect from 1 April 2005.

¹⁰ See Annex 8 'Contracting consultants' for more details. For administrative instruction, see IOM/FOM 21/2005 of 10 March 2005 from which some elements have been repeated under 'Some additional factors relevant to individual contracts for consultants.'

STEP 4 – CONSULTANTS

- The duration of a consultancy cannot exceed a contract period of 24 months within a 36 month period. A mandatory break in service of one month is required after a contract of 11 consecutive months.
- If the value of the contract is less than \$10,000, where formal competitive tendering is not required, individual contracts are quicker than using consultancy companies. Theoretically, there is no upper limit on a contract sum.
- When a contract or related extension reaches \$100,000 or more, the request must be submitted to the Committee on Contracts for review and approval. The authority to approve contracts for less than \$100,000 is delegated to all Bureau and Department/Division Directors at Headquarters.
- The request for consultants must be based on detailed Terms of Reference. The remuneration levels are in turn based on the complexity of the assignment, according to the ToRs, and the specialized knowledge and experience required to perform the assigned tasks. The prevailing market rates should also be considered.
- Lump sum contracts are possible, reducing administration load on the unit commissioning the evaluation.
- Individual contracts are useful if just one or two consultants are required for the assignment.
- A full medical examination is required for consultants assigned to or on mission to B, C, D and E duty stations, reimbursable by UNHCR. A certificate of good health is sufficient for assignments in H and A duty stations, the costs of which are covered by the consultant.
- A consultant on mission or assigned to a duty station with security Phase One or above has to successfully complete security training prior to travel.
- Provisions for DSA, living expenses and travel applying to consultants can be clarified in IOM/FOM 21/2005, effective 1 April 2005.

Using the UNHCR procurement system for consultancy companies¹¹

- Management burden may be less. Once the ToRs and contracts are agreed, the implementation is up to the consultancy company. All the same, do not underestimate the time required for monitoring.
- The evaluation project manager only has to deal with one party that then takes on the administration of the rest of the project, rather than the commissioning unit having to manage arrangements for each consultant.
- Easier to tie interim payments to outputs.

¹¹ See Annex 6 'UNHCR General Guide for Corporate Contract Proposals' for more details. For any service valued at over \$10,000, competitive bidding is required.

STEP 4 – CONSULTANTS

- The best consultants may be more willing to accept to work as a member of a consultancy company since the fee rates for individual consultants are usually lower.
- Consultancy companies may bring corporate credibility from their prior experience which the evaluation project manager or steering committee considers important for the evaluation in question.

 For field offices, arranging accommodation, travel, security clearance etc. depends largely on the numbers of people involved, irrespective of how they have been contracted.

 When employing local/regional consultants, field offices should consult the local UNDP office for advice on fee rates and compare these with the experience of other NGO and multi/bilateral organizations. UNHCR Geneva does not designate consultancy rates by region.

Step 5 Implementation and monitoring

Once the evaluation team is ready to start and any contracts have been signed, the implementation stage of the evaluation can begin.

Advance information

77. UNHCR gives full written information to field offices and all other actors involved with the evaluation, along with details of any arrangements that need to be made for the evaluation team by the field office.

Team briefing

78. The evaluation project manager ensures that the evaluation team receives orientation before undertaking the evaluation.



Access

Evaluation teams should be given access to all relevant files, documents, people and locations.

Desk study

79. The evaluation team may conduct a desk study using documentation supplied.

Organising field visits/missions

80. The Evaluation Project Manager should:

- contact the Field Office as soon as it is decided that the evaluation team visits the country to arrange the dates/duration of the mission;
- discuss the team's itinerary with the Field Office;
- make sure that the evaluation team gets logistical support during any field work required; and
- obtain security clearance(s) when/if applicable.



Time management

Evaluators should give good notice of their requirements for meetings, materials, logistical support etc. and should respect other people's time.

Presentation of field work

81. The evaluation team should give an on-site presentation at the end of the field work stage to UNHCR and partner staff in the field. Time should be allowed for this in planning. The purpose of an on-site presentation is:

- to present the evaluation team's initial findings;
- demonstrate that they have taken informants' input seriously; and
- to capture the response of the field-based actors – this invariably improves the quality of the draft report.



How to deal with sensitive information?

Evaluators who collect significant evidence on issues which fall beyond their terms of reference should provide that information immediately and on a confidential basis to the Head of EPAU or to the Inspector-General. This does not mean that observations embarrassing to UNHCR should be excluded, but refers to sensitive management or personnel matters, abuse of authority and security issues, or evidence of fraud emerging from the evaluation.

Progress updates

82. The evaluation team leader should provide regular, brief progress updates. The team leader may need guidance about what to prioritise in the evaluation, as issues may emerge in the course of the evaluation exercise that were not highlighted in the TOR. The Evaluation Project Manager should watch for any signs that the programme is falling behind schedule.



Omissions

When significant issues arise in the course of an evaluation that were not highlighted in the TOR, the evaluation team should bring them to the attention of the Evaluation Project Manager and include them in the report.

Mid-term meetings

83. It is useful if the team leader has a possibility to meet with the Steering Committee members before the team starts writing the draft report so as to keep the Steering Committee abreast of progress and to share initial findings and recommendations.

Interim payments

84. Consultancy companies are paid against invoice. Make sure payments are only made when the planned progress (outputs/deliverables) relative to that stage of the project has been achieved.

Step 6 Assessing results

It is the responsibility of the Evaluation Project Manager and the Steering Committee to assess to what extent the Terms of Reference are being and have been met.

What should be included in the Draft report?

85. While members of the team may have drafted parts of the report, the team leader is responsible for verifying content and ensuring coherence. In doing so, the team leader should carefully review the extent to which the report responds to questions posed in the TOR, and to substantive outputs required. A report that is simply an assembly of chapters authored by different team members will probably not be accepted.

86. The evaluation team leader should give/send a copy of the draft report to the Evaluation Project Manager and members of the evaluation team only. It is up to the Evaluation Project Manager to send copies of the draft report to the principal stakeholders for comment.



Distribution of Findings: It is up to the Evaluation Project Manager to circulate evaluation reports; the evaluation team must not release its findings unilaterally.

87. The draft report should carry a covering memo from the Evaluation Project Manager requesting comments by a certain date, typically 3 weeks after distribution of the draft. Comments received after this date will be disregarded.

Report formats

88. In general, evaluation reports should conform to UNHCR Evaluation style. The content and structure of the report for each evaluation should be specified clearly in the TOR, highlighting any special requirements. All evaluation reports should comply with the following style guide:

- A4 page size;
- Microsoft Word 2002, or earlier Word format, or RTF;
- Standard font for UNHCR evaluation reports, Book Antiqua, 11 point, fully justified;
- Two levels of headings: chapter headings and section headings;
- page numbers centred at bottom of page
- footnotes and bibliography, no endnotes

- no numbered paragraphs

<i>Section</i>	<i>Requirements</i>
Title page	Showing status (draft 1, 2, final etc.), date and author(s)
Table of Contents page(s)	Including schedules of tables, figures and annexes
Executive summary:	This must be able to stand alone as a concise summary, with all the key findings and recommendations. (4-6 sides)
Main report:	Normally limited to 30 sides, plus annexes. The main report will normally cover the following issues.
Internal context	Why this evaluation was undertaken at this time, including a summary of purpose, as per the TOR, and any changes to the TOR agreed during the conduct of the evaluation.
External context	The external circumstances and key events against which the activity is taking place.
Methodology	<input type="checkbox"/> How the evaluation was conducted (including process, sampling technique, if any) <input type="checkbox"/> Brief details of the evaluation team <input type="checkbox"/> Brief summary of field/site visits
Analysis	<input type="checkbox"/> Comparison of information from data sources <input type="checkbox"/> Main issues arising from data collected <input type="checkbox"/> Any shortcomings in the methodology
Findings	<input type="checkbox"/> Main conclusions, based on the analysis <input type="checkbox"/> Any parts of the TOR that it has not been possible to fulfil
Recommendations	Stated clearly and in terms that UNHCR can take action to implement.
Annexes	To include: <ul style="list-style-type: none"> • Terms of Reference • Schedule of informants/interviewees (optional) • Numerical/ financial Data • Results of any field surveys • Details of field visits, if relevant <p>If the annexes are bulky, they should be compiled into a separate document from the main report.</p>

Incorporating comments

89. The evaluation team will have a pre-agreed time period to update the report in the light of comments from stakeholders, normally two weeks. Evaluation reports should present findings that are the consensus of the evaluation team. Any significant lack of consensus among the team members should be highlighted. Likewise, where the evaluation team disagrees with material comments from stakeholders, they should highlight this in the report. The evaluation team should consider comments received but remain true to their own assessments in their final report.

What are the key elements to recall in reviewing the report?

90. This is an important step for the Evaluation Project Manager and the Steering Committee.

91. Evaluation reports should be shared for comments with key stakeholders. When the Evaluation Project Manager and the Steering Committee come to review the draft or the final report, the various points mentioned in the checklist below should be considered.

	Checklist
✓	Does the report summarise the political and economic context?
✓	Was the methodology sound?
✓	Have the right informants been interviewed or consulted during the evaluation exercise?
✓	Have stakeholder views been brought into the process adequately?
✓	Where the report quotes facts and figures, are these accurate?
✓	Is the report well written? More specifically, is it: Well argued? Logically structured? Written in clear, straightforward language and easily read? The length specified in the TOR?
✓	Are any specific questions raised in the TOR left unaddressed?
✓	Is there a financial analysis of costs compared to results?
✓	Are the report's findings built on the evidence collected?
✓	Do the recommendations clearly stem from the findings?
✓	Does the report have the appropriate annexes including the TOR, schedule of informants, relevant
✓	Does the report have the appropriate annexes including the TOR, schedule of informants, relevant financial data and any others specified in the TOR?
✓	Is the report impartial, fairly balancing strengths and weaknesses?
✓	Is there a separate Executive Summary and Recommendations that can be used as a standalone document capturing all the essential elements of the evaluation? (This is important because it is all most people will read).
✓	<i>Overall, have the objectives of the evaluation been met?</i>

92. Where the draft report is found to be inadequate, comments should be passed to the evaluation team leader within the time allowed for comments. If the answer to any of the above questions is 'no', the report should be returned to the evaluation team leader for revision. A clear statement of what improvement is required should accompany the report.

93. The Evaluation Project Manager should send the summary report to all key stakeholders and especially to those who were interviewed and who commented on the draft report. Particular thought needs to be given to a format that can be used to communicate findings to refugees. This may involve translation.

 UNHCR does not pay for substandard work and Evaluation Project Managers should make this clear to consultants from the outset. Final payments will not be made until the work meets the requirements of the Terms of Reference.

Accepting the final report

94. When it is clear to the Evaluation Project Manager that the Terms of Reference have been met, any final payments can and should be made promptly. The Evaluation Project Manager will then write to the evaluation team to inform them that the report has been accepted.

95. 'Accepting the final report' does not mean that UNHCR accepts all the findings and recommendations. If there is difference in opinion between the team and UNHCR on certain issues, these could be dealt with at the next stage.

See Management Response in Step 9.

Releasing the final report

96. Once the report is accepted, it should be published without delay, in both hardcopy and electronic form. The value of evaluations is often diminished because their publication is delayed. The report should not be subject to delay because it includes controversial findings or because of extensive editing or reformatting to make it more readable or attractive. A report needing extensive editing should not have been accepted. Every week that passes without publication reduces the currency of the work.

Step 7 Effective use of findings

When the final report is complete, the evaluation team's work may be almost over, but the Evaluation Project Manager's work is only just beginning. This is the opportunity to make full use of the findings of the evaluation. In practice, the team most closely involved with the activity evaluated will often start to use the provisional findings well before the final report is published.

Response meeting

97. A meeting should be organized inviting some or all of the stakeholders to discuss their response to the evaluation report. This may be combined with a presentation of the findings and recommendations by one or more of the evaluation team. This meeting helps the Evaluation Project Manager to frame his/her management response. A response meeting should be the norm, though it may not prove possible in all cases.



Lessons learned on the conduct of evaluation

At the conclusion of each major evaluation project, a lessons learned exercise on the conduct of the evaluation will be undertaken. The consultancy team will be requested to submit a short paper on how and whether UNHCR's evaluation principles, procedures and methods have been utilized appropriately and effectively during the process.

Management response

98. Within three months of the publication of the final report, as per UNHCR evaluation policy, the Evaluation Project Manager is required to publish a response to the evaluation report, and especially to the recommendations. The response should be sent through EPAU, to the Assistant High Commissioner.

99. Follow-up to recommendations directly concerning the activity being evaluated, is the responsibility of the manager of that programme or operation.

100. According to UNHCR Evaluation Policy, the Evaluation Project Manager has three months to provide a management response which is submitted to his/her supervisor and copied to EPAU. This rule applies to the results of all evaluations, not just those that are external. The management response may include comments on:

- each recommendation in turn (may not be applicable in all cases);
- to what extent the recommendation is accepted, with cogent reasons for any rejections;
- the management actions to be taken in the light of the recommendation;

- who is responsible for action (where this is in the manager's control); and
- a time frame for completion of each management action (if possible).

101. In the case of global and thematic evaluations, the management response will be prepared by the Assistant High Commissioner and presented to the High Commissioner.

102. The management response will be published and copied to the Chair of the Evaluation Advisory Group. The Advisory Group will recommend the way in which evaluations findings and recommendations are to be implemented or utilized.

Dissemination

103. If the organization is to benefit, evaluation findings need to be shared. At a minimum, the Evaluation Project Manager should make sure that the Executive Summary is widely disseminated within UNHCR and to partners, especially to any that have been involved in the evaluation. The report should be quickly passed to EPAU for publication on the UNHCR website.

104. UNHCR staff often do not have or make the time to read the many documents that come their way via mail or e-mail. Therefore, merely distributing an evaluation report is a poor way of communicating its findings.¹² At the Evaluation Project Manager's discretion, s/he will organise one or more learning meetings or workshops to present the main findings, conclusions and actions following the evaluation to groups of internal and external stakeholders.¹³

105. If the manager responsible cannot organise a follow-up meeting, EPAU may take on this responsibility, perhaps combining feedback from a number of evaluations, comparing methodology and highlighting common themes.

106. Copies of the final report are also routinely sent to key stakeholders in the evaluation. EPAU may use the report to inform:

- Learning meeting(s) with UNHCR staff only, or including partners
- Technical professional papers and popular abstracts or newsletters

¹² Recent examples from UNHCR field offices show what can be achieved with a PowerPoint slideshow to illustrate key evaluation findings. These can be easily distributed by e-mail and can be accessed by most UNHCR staff, as PowerPoint is a standard software application in the organization.

¹³ The findings and recommendations of all major evaluation projects will be presented to the Senior Management Committee.

Annex 1 UNHCR's evaluation policy

1. Evaluation in UNHCR

Since the establishment of the Evaluation and Policy Analysis Unit (EPAU) in September 1999, UNHCR has made a concerted effort to enhance the quality and expand the quantity of the evaluation activities it undertakes.¹⁴ UNHCR is now introducing an evaluation policy that is intended to make a further contribution towards UNHCR's capacity for organizational learning, performance review and public accountability.

This policy, which takes effect on 1 January 2003, has been developed on the basis of consultations between EPAU, the Executive Office, the Senior Management Committee and Oversight Committee, as well as UNHCR's Executive Committee. It also draws upon a review of UNHCR's evaluation function, undertaken by an independent consultant one year after the establishment of EPAU.¹⁵

To support the introduction of this new evaluation policy, EPAU will produce a number of additional resources:

- guidelines on the management of externally-led evaluations;
- a 'toolbox' of self-evaluation procedures and methods;
- an introduction to the evaluation function for staff deployed in the field; and,
- a guide to the methods employed in 'real-time' emergency evaluations.

With the introduction of this policy, UNHCR will increase its level of evaluation activity in a phased and principled manner, and in close association with other components of UNHCR's organizational learning and performance review frameworks. UNHCR will employ evaluation methods that are effective and innovative, and will introduce more systematic and dynamic approaches to the utilization of evaluation findings.

While EPAU will continue to be the focal point for evaluation activities in UNHCR, particular efforts will be made to develop a broader sense of ownership and involvement in relation to the evaluation function. UNHCR also recognizes the need to develop an organizational culture that is amenable to the development of an effective evaluation function, and in that respect, will strive to ensure:

- that managers are fully committed to organizational learning and performance review;
- that using evaluation to bring about change is positively encouraged; and,
- that staff are held accountable for the activities they manage.

All UNHCR staff members and consultants who are directly engaged in evaluation projects will be required to give an undertaking that they will respect this policy.

¹⁴ See 'UNHCR's evaluation plan and activities', EC/51/SC/CRP.19, Standing Committee, June 2001.

¹⁵ 'Improving the effectiveness of UNHCR's evaluation function', Simon Lawry-White, Vine Management Consulting, September 2000.

The content and implementation of the policy will be regularly reviewed, and may be revised on that basis.

1.1 *The role of evaluation*

Drawing upon the description provided in the OECD/DAC's evaluation principles, UNHCR defines evaluation as the analysis and assessment, as systematic and objective as possible, of the organization's policies, programmes, practices, partnerships and procedures, focusing on their planning, design, implementation and impact.¹⁶

Evaluation is one component of UNHCR's broader performance review framework, which also includes activities such as inspection, audit, programme monitoring and protection oversight.¹⁷ UNHCR will strive to ensure that these activities function in a coherent and complementary manner. To facilitate this task, EPAU will participate in meetings of the Oversight Committee, and will coordinate its activities with other entities represented on that committee.

UNHCR also recognizes the important relationship that exists between organizational and individual learning. EPAU will consequently work in close association with the Staff Development Section (SDS), so as to ensure that evaluation findings are incorporated into UNHCR's training modules and programmes. At the same time, steps will be taken to ensure that the management learning programmes administered by SDS include a focus on the evaluation function.

1.2 *Evaluation purposes*

The primary purpose of UNHCR's evaluation function is to provide UNHCR managers, staff and partner organizations with useful information, analysis and recommendations, thereby enabling the organization to engage in effective policymaking, planning, programming and implementation.

At the same time, evaluation fulfils a number of other important purposes. These include:

- assisting UNHCR to derive lessons from its operational experience, thereby enabling the organization to perform more effectively in future;
- providing stakeholders, especially refugees, with an opportunity to present their perceptions and assessments of UNHCR's activities;
- reinforcing UNHCR's accountability to refugees, partner organizations and the Executive Committee;
- promoting a better understanding, within and outside UNHCR, of the organization's programmes, policies and operational environment;
- encouraging team-building through the implementation of participatory and consultative evaluation methods;

¹⁶ OECD Development Assistance Committee, 'Principles for evaluation of development assistance', Paris, 1991.

¹⁷ See 'UNHCR's organizational oversight and performance review framework', EC/50/SC/INF.6, Standing Committee, September 2000.

- drawing organizational and international attention to specific refugee issues and operations;
- documenting UNHCR's experiences, thereby contributing to the development of the organization's institutional memory;
- identifying examples of good practice that can be incorporated in UNHCR's training and learning programmes;
- promoting inter-agency cooperation through the implementation of joint evaluation activities; and,
- fostering a transparent, inquisitive and self-critical organizational culture within UNHCR.

1.3 *Evaluation principles and standards*

UNHCR's evaluation function will be guided by the following principles:

<i>Transparency</i>	Evaluation activities are conducted openly; terms of reference, findings and recommendations are always placed in the public domain; major evaluation contracts are awarded through a process of competitive bidding.
<i>Independence</i>	The findings and recommendations of evaluation projects are not subject to the control or interference of senior UNHCR management; the independence of the evaluation function is ensured through the extensive use of external evaluators.
<i>Consultation</i>	UNHCR's stakeholders, including refugees whenever possible, participate in the identification, planning, implementation and utilization of evaluation projects; evaluation findings and recommendations are never placed in the public domain without such consultation.
<i>Relevance</i>	Evaluations focus on those operations, functions and operational policy issues that are of most direct concern to UNHCR, its partners and beneficiaries; evaluations are used as a means of enhancing the organization's capacity to fulfil its mandate on behalf of refugees and other people of concern to the organization

Integrity

Staff members and external evaluators engaged by UNHCR will maintain the highest possible professional and personal standards. In particular, they will ensure the honesty and integrity of the evaluation process, and respect the security and dignity of the stakeholders with whom they interact. Information and documentation gathered in the course of an evaluation project may not be used for any other purpose without the prior permission of UNHCR. Evaluators who collect significant evidence on issues which fall beyond their terms of reference should provide that information immediately and on a confidential basis to the Head of EPAU or to the Inspector-General.

1.4 Beneficiary rights

The primary concern of all evaluations is the impact of UNHCR's work on the rights and welfare of refugees, even when the evaluation relates to entities and functions that do not have appear to have a direct impact on people of concern to the organization.

UNHCR will strive to develop evaluation methods that enable refugees and other beneficiaries to articulate their opinions and aspirations. In reviewing UNHCR's operational activities, evaluation projects will adopt a disaggregated approach to beneficiary and other populations, taking due account of issues such as gender, age, and socio-economic status. To the extent possible, all evaluations undertaken or commissioned by UNHCR will include a focus on protection and human rights issues.

1.5 Evaluation guidelines

In recent years, many different actors have prepared guidelines for the evaluation of humanitarian programmes, setting out the procedures, principles and criteria to be employed by such reviews.

Given the duplication of effort that has already taken place, UNHCR does not intend to establish an additional set of evaluation guidelines. The organization does, however, encourage the use of existing guidelines, the most useful of which can be accessed from the Evaluation and Policy Analysis page of the UNHCR website (www.unhcr.org).

2. UNHCR's commitment to evaluation

UNHCR is committed to increasing and improving:

- the level of evaluation activity within the organization;
- the effectiveness of its evaluation methods and management; and,
- the utilization of evaluation findings and recommendations.

2.1 *Phased development*

With the introduction of this policy, the obligations of management to undertake and make effective use of evaluations will be progressively strengthened. At the same time, the ability of managers and other staff members to assume such responsibilities will be enhanced by means of training, the introduction of relevant evaluation tools and other capacity-building activities.

2.2 *Resource commitment*

UNHCR is committed to allocating the resources required for this evaluation policy to be fully and effectively implemented. In that respect, governments are invited to provide the organization with financial support for evaluation activities. Governments and other actors are also invited to play an active role in UNHCR's evaluation function by seconding appropriately qualified personnel to EPAU or to specific evaluation projects.

2.3 *Minimum levels of evaluation*

UNHCR has adopted the following parameters to ensure that the organization undertakes a minimum level of evaluation activity.

a) Evaluation and Policy Analysis Unit

With the introduction of this policy, EPAU will:

- undertake or commission at least one global, thematic or policy evaluation each year;
- undertake or commission an evaluation of any large-scale emergency operation within six months of its establishment;
- organize or participate in at least one joint or inter-agency evaluation each year; and,
- facilitate at least two self-evaluation exercises in the field each year.

b) Regional bureaux

From 2002, every Regional Bureau will commission at least one externally-led evaluation each year, with priority given to the review of large, long-term programmes and those not evaluated within the last five years. The regional bureaux will also commission an externally-led evaluation of any large-scale repatriation and reintegration operation, during the course of the operation or within six months of its completion.

All evaluations commissioned by the Regional Bureaux will be undertaken in accordance with this policy statement and with UNHCR's guidelines on the management of externally-led evaluations. Such evaluations will receive technical support and guidance from EPAU, which may also make funding available for such evaluations .

EPAU will be notified of all planned evaluations and sent copies of all evaluation reports. EPAU will be given the opportunity to comment on the terms of reference for all evaluation projects planned or proposed by the regional bureaux.

c) Field offices

UNHCR offices in the field are encouraged to commission, undertake or participate in evaluations of their programmes., with technical support, guidance and funding provided by EPAU. Such offices are also encouraged to undertake periodic participatory self-evaluation exercises. To facilitate this task, EPAU will provide field offices with a self-evaluation 'toolbox'.

3. The conduct of evaluation in UNHCR

UNHCR recognises a diversity of evaluation types and encourages managers to select the most appropriate approach for each project. Evaluations may:

- be focused on a policy, a function, a programme, a project , practice or set of procedures;
- be conducted at an early stage of an operation (in 'real-time'), at a mid-point or upon completion;
- use a range of different evaluative, analytical and participatory techniques;
- be fully external and independent or involve UNHCR staff and partners.

3.1 Terms of reference

Separate terms of reference will be established for every evaluation project initiated by UNHCR. These terms of reference will identify the background to and rationale for the project; the primary issues to be addressed; the evaluative criteria to be employed; the methodology to be used; the process established to ensure stakeholder consultation; and the different means whereby evaluation findings and recommendations will be utilized.

3.2 External evaluations

UNHCR recognizes the value of external and externally-led evaluations, particularly when the programme or activity under review is a large, highly publicized or controversial one.

Evaluation consultancy opportunities with UNHCR will be widely advertised and competitive procedures will be employed to select consultants and consultancy teams or companies. Contractual arrangements with consultancy companies will conform to UNHCR's procurement regulations.

Consultancy companies will be paid only for satisfactory work, completed in accordance with their terms of reference. All evaluations will be properly budgeted and undertaken in a cost-effective and timely manner.

3.3 *Mixed evaluation teams*

UNHCR encourages the establishment of mixed evaluation teams, comprising any combination of external consultants, representatives of states and partner organizations, as well as UNHCR staff. However constituted, UNHCR evaluation teams should ideally include both women and men, be culturally diverse and multidisciplinary in nature.

Participation in mixed evaluation teams represents an important learning opportunity for UNHCR staff members, who are also encouraged to avail themselves of the evaluation training opportunities offered by EPAU. UNHCR staff who participate in an evaluation team should not normally have had any direct responsibility for the activity being evaluated.

3.4 *Self-evaluation exercises*

UNHCR wishes to promote the use of participatory self-evaluation exercises because, when properly planned and managed, they are a cost-effective means of:

- giving a voice to beneficiaries and other affected populations;
- improving collaboration with and between UNHCR's implementing partners;
- providing UNHCR staff with learning opportunities; and,
- providing information, analysis and recommendations that can be put to immediate use.

To ensure that self-evaluation exercises are undertaken in a consistent and principled manner, EPAU will develop a 'toolbox' to provide guidance in this matter.

3.5 *Utilization focus*

In UNHCR, as in many other humanitarian organizations, evaluation has traditionally focused on the preparation of a final report, containing a set of recommendations that operations managers are expected to implement in a given timeframe.

Experience has shown that evaluations of this nature can act as an important catalyst for change, especially when they are timely and their recommendations enjoy the strong support of senior management and other influential stakeholders.

In many cases, however, evaluation recommendations go unimplemented, often because they lack such support, because they are perceived as unrealistic or inappropriate by programme staff, or because the situation on the ground has changed by the time the report is published.

With the introduction of this policy, UNHCR will strive to enhance the impact of the evaluation function by pursuing what is known professionally as a 'utilization-focused' approach to evaluation, based on the following principles:¹⁸

- decisions concerning the terms of reference, design, methods and timing of any evaluation project will be made in such a way as to maximize the potential for the findings and recommendations of that project to be effectively utilized;
- at the outset of any evaluation project, a stakeholder analysis will be undertaken to identify the intended users of the project and to ensure their active participation in it;
- while each evaluation project will normally result in the preparation of a final report, other activities and outputs will be generated (e.g. workshops, training materials, published articles and audio-visual presentations) so as to maximize the potential for findings and recommendations to be used;
- particular findings and recommendations of any evaluation project will be summarized, communicated to and discussed with relevant entities and managers within UNHCR so as to ensure that they are effectively utilized.

To facilitate the introduction of this approach, a Steering Committee will be established for each major evaluation project, involving key internal and external stakeholders. The functions of the Steering Committee will be to assist in the following areas: establishing terms of reference for the project, selecting external evaluators; reviewing preliminary findings and recommendations; establishing a dissemination and utilization strategy.

3.6 *Consultation processes*

UNHCR expects an extensive process of consultation to take place before an evaluation team formally places its findings and recommendations in the public domain. UNHCR particularly encourages the use of mid-term workshops and consultations, enabling Steering Committee members and other stakeholders to review an evaluation team's initial findings and recommendations.

The organization also expects draft evaluation reports and other preliminary outputs to be shared for comments with key stakeholders, including managers who are responsible for the activity under review. Evaluation teams, whether or not they are externally led, are expected to consider and take due account of these comments, but are not obliged to incorporate them in their final outputs.

3.7 *Disseminating findings*

The findings and recommendations of all major evaluation projects will be presented to the Senior Management Committee. Where appropriate, similar briefings will be provided to other groups of internal and external stakeholders.

¹⁸ Michael Quinn Patton, *Utilization Focused Evaluation: The New Century Text*, Sage Publications, London, 1997.

UNHCR is committed to placing evaluation findings in the public domain and to ensuring their effective dissemination. All evaluation reports will be published in hard copy and disseminated to a broad range of interested parties within and outside the organization. They will also be available on demand. Reports and other outputs will be placed and announced on UNHCR's internal and external websites.

3.8 *Management response*

Effective mechanisms are required to ensure that UNHCR's increased investment in evaluation leads to real improvements in the quality and impact of the organization's work.

To meet this objective, managers are expected to respond appropriately to the findings and recommendations of any evaluation project, especially those which focus on ongoing programmes and activities. In such cases, evaluation findings and recommendations should be used by field offices in the development of their Country Operations Plans. Regional Bureaux should also report on the way in which evaluation findings and recommendations are being utilized in the global and mid-year reports issued by UNHCR.

Within three months of the receipt of a final evaluation report, the manager responsible for the activity under review will ensure that a management response is produced and sent, through EPAU, to the Assistant High Commissioner. In the case of global and thematic reviews, the management response will be prepared by the Assistant High Commissioner and presented to the High Commissioner.

The response will comment on the findings of the evaluation and describe what action is being taken to implement each of the accepted recommendations. It will also provide a full explanation in relation to any recommendation that is rejected. A manager may be called upon by the Executive Office to explain how the findings and recommendations of any evaluation project are being utilized.

3.9 *Quality control*

With an expansion in the level of evaluation activity and expenditure within the organization, UNHCR recognizes the importance of maintaining the highest possible evaluation standards. To achieve this objective, the organization encourages internal and external stakeholders to comment on the findings, recommendations and general quality of its evaluation projects.

At the conclusion of each major evaluation project, a lessons learned exercise on the conduct of the review will be undertaken, so as to ensure that UNHCR's evaluation principles, procedures and methods are both appropriate and effective.

3.10 *Relations with the Executive Committee*

UNHCR will continue to provide regular reports on its evaluation activities to formal and informal meetings of the Executive Committee.

UNHCR recognizes the desire of Executive Committee members and observers to request, commission, undertake and participate in evaluations, and encourages them to do this in close consultation with EPAU and UNHCR management so as to avoid any duplication of effort and to minimize the pressures placed on the organization's field offices.

Evaluations of UNHCR activities by Executive Committee members and observers should ideally be consistent with the organization's own evaluation principles and procedures, as set out in this policy statement. In the interests of consistency and transparency, the organization encourages its partners to place all evaluations of UNHCR activities in the public domain. UNHCR will normally issue a management response to any external evaluation of its activities, in accordance with the management response requirement introduced elsewhere in this policy statement .

EPAU, or another entity designated by the Assistant High Commissioner, will act as a Headquarters focal point for any external evaluation of UNHCR activities. The designated focal point will be responsible for ensuring that the findings and recommendations of such reviews are disseminated to appropriate UNHCR managers, staff and offices

3.11 Relations with evaluation fora

UNHCR is committed to an active engagement with international evaluation fora, particularly the UN's Inter-Agency Working Group on Evaluation and the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP). All UNHCR evaluations will be made available to ALNAP so as to ensure that they are incorporated in that organization's database and its annual review of humanitarian evaluations.

4. The Evaluation and Policy Analysis Unit

UNHCR has established a dedicated unit, reporting to the Assistant High Commissioner, which has overall responsibility for the development of the organization's evaluation function.

EPAU's primary task is to ensure that UNHCR management, staff and partners are provided with relevant information, analysis and recommendations. Responsibility for the implementation of those recommendations, however, lies with the manager of the operation or activity under review.

4.1 EPAU work programme

With the introduction of this policy, EPAU will continue to undertake, commission and participate in evaluation projects. In this respect, EPAU will establish a flexible and rolling work programme, focusing on evaluations which assess UNHCR's role and performance in relation to key operations and operational policy issues. EPAU may also undertake or commission evaluations of Headquarters functions.

The EPAU work programme will incorporate project proposals identified by senior management, other entities within UNHCR, external stakeholders and by EPAU

itself. The work programme will be approved by the Assistant High Commissioner and presented to the Oversight Committee.

4.2 *Development of the evaluation function*

In addition to its direct role in the evaluation of UNHCR activities, EPAU is responsible for ensuring the effective development and devolution of the organization's evaluation function. This task involves:

- working with other UNHCR entities so as to encourage a broader sense of ownership and involvement in relation to the evaluation function;
- helping to build organizational capacity for evaluation and supporting the spread of good evaluation practice across the organization;
- advising other parts of the organization on the effective conduct and management of evaluation;
- developing evaluation tools, procedures, methods and standards;
- introducing innovative evaluation methods; and,
- acting as a focal point for inter-agency evaluation initiatives and representing UNHCR at inter-agency evaluation fora.

4.3 *Policy analysis and research*

The Assistant High Commissioner may call upon EPAU to undertake research on and provide an analysis of key refugee-related policy issues. To facilitate this task, EPAU will act as a focal point for UNHCR's relations with individuals, institutions and professional associations which are engaged in research on refugee and humanitarian issues. The unit will also be responsible for the publication of UNHCR's working paper series, 'New Issues in Refugee Research'.

4.4 *Evaluation advisory group*

With the introduction of this policy, an evaluation advisory group will be established, enabling external stakeholders (Executive Committee members, NGOs, other UN agencies, etc.) to be kept abreast of evaluation activities in UNHCR and to provide UNHCR with guidance on the development and utilization of the organization's evaluation function. Members of the group may be invited to sit on the Steering Committees established in relation to specific evaluation projects.

September 2002

Annex 2 Evaluation types

Cluster evaluation

An evaluation of a set of related activities, projects and/or programmes.

Country programme evaluation/country assistance evaluation

Evaluation of one or more donor's or agency's portfolio of (development) interventions, and the assistance strategy behind them, in a partner country.

Ex-ante evaluation

An evaluation that is performed before implementation.

Ex-post evaluation

Evaluation of a (development) intervention after it has been completed.

External evaluation

The evaluation of a (development) intervention conducted by entities and/or individuals outside the implementing organization and its partners.

Formative evaluation

Evaluation intended to improve performance, most often conducted during the design and/or implementation phases of projects or programmes.

Independent evaluation

An evaluation carried out by entities and persons free of control by those responsible for the design and implementation of the (development) intervention.

Internal evaluation

Evaluation of a development intervention conducted by a unit and/or individuals reporting to the management of the donor, partner, or implementing organization.

Joint evaluation

An evaluation to which different donor agencies and/or partners contribute.

Meta-evaluation

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

Mid-term evaluation

Evaluation performed towards the middle of the period of implementation of the intervention.

Participatory evaluation

Evaluation method in which representatives of agencies and stakeholders (including persons of concern) work together in designing, carrying out and interpreting an evaluation.

Process evaluation

An evaluation of the internal dynamics of the implementing organizations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these.

Programme evaluation

Evaluation of a set of development interventions, marshalled to attain specific global, regional, country, or sector development objectives.

Project evaluation

Evaluation of an individual (development) intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader programme.

Real Time evaluation

Evaluation of a project or programme while they are in progress.

Sector programme evaluation

Evaluation of a cluster of (development) interventions in a sector within one country or across countries, all of which contribute to the achievement of a specific (development) goal.

Self evaluation

An evaluation by those who are entrusted with the design and delivery of a (development) intervention.

Summative evaluation

A study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the programme.

Thematic evaluation

Evaluation of a selection of (development) interventions, all of which address a specific development priority that cuts across countries, regions, and sectors.

Source: DAC (2002) 'Glossary of Key Terms in Evaluation and Results Based Management'

Annex 3 Sample Terms of Reference

Evaluation of the community services function

The community services function is a relatively neglected aspect of UNHCR's work, attracting significantly less international attention than many other of the organization's activities. And yet it is a function which seeks to meet some of the most essential needs of refugees and refugee communities, including those who are at greatest physical and psychological risk.

In an attempt to examine the effectiveness of UNHCR's activities in this domain, and in response to a suggestion made by the US government's Bureau for Population, Refugees and Migration, UNHCR's Evaluation and Policy Analysis Unit is commissioning an evaluation of the community services function. The evaluation will be undertaken by a consultancy team or company, to be selected by a process of competitive bidding.

The evaluation is expected to provide a brief historical overview of the development of the community services function in UNHCR, and to address four primary themes: policy, strategy and priorities; operational issues; management and resources; and partnerships. An indicative list of issues falling within each of these themes is appended, and will be used to guide the evaluation team's enquiries.

The evaluation is expected to provide a comprehensive and empirically-supported analysis of UNHCR's community services function, and to make specific and realistic recommendations to UNHCR management. It will also draw attention to examples of good and bad practice that can be incorporated in training activities, guidelines and manuals.

The evaluation will be undertaken in accordance with the mission statement of UNHCR's Evaluation and Policy Analysis Unit (EPAU), as well as UNHCR's evaluation policy. It will therefore involve extensive consultation with refugees and other stakeholders, and adopt an approach which is sensitive to the issues of age, gender and socio-economic differentiation in refugee populations.

The team engaged for this evaluation will have proven experience in the use of participatory evaluation methods. The team will be gender-balanced, bring a multicultural perspective to the project and have some familiarity with UNHCR, refugee situations and the community services function. One or more UNHCR staff members with evaluation and/or community services experience may participate in this review, subject to the agreement of the selected team.

The evaluation will be guided by a Steering Committee consisting of key stakeholders within and outside UNHCR, and chaired by a member of EPAU. The Steering Committee will help to develop the terms of reference for the review, select a consultancy team, monitor the progress of the project and ensure that its findings and recommendations are effectively utilized.

This evaluation will begin in the first quarter of 2002, and will be completed by the end of 2002. The selected consultancy team will undertake interviews and research

at UNHCR's Geneva headquarters, and will undertake missions to three or four field locations, to be chosen in association with EPAU. The team is expected to develop an appropriate means of sampling the opinions of UNHCR staff and other stakeholders in countries which are not visited.

The report of this evaluation project will be placed in the public domain. UNHCR will not exercise any editorial control over the report but will provide comments on the draft and will proofread and format the report prior to publication. UNHCR reserves the right to publish a response to the report and to attach it as an annex to the report.

Members of the consultancy team that undertakes the evaluation should feel free to express a range of different viewpoints on issues where they are unable to reach a consensus. The team may be asked to provide an interim and/or final briefing in Geneva on the findings, recommendations and methodology of the evaluation project.

After the completion of the project, the team will be asked to prepare a brief 'lessons learned' report, analyzing the way in which the evaluation was managed and undertaken. This report will be used to enhance UNHCR's evaluation procedures and methods.

Following the completion of the evaluation report, the Division of Operational Support will prepare a management response to the review, explaining how its findings and recommendations will be utilized. The steering committee for the project will also be asked to make recommendations in this respect. The findings and recommendations of the project may be used as a basis for national or regional workshops, briefings to donor states, the Executive Committee and NGOs, and for training purposes.

Indicative list of issues to be addressed by the evaluation

Policy, strategy and priorities

To what extent does the community services function enhance the protection and solutions mandate of UNHCR and what could be done to strengthen this linkage?

Does UNHCR have a clearly-defined community services policy, strategy and priorities?

If so, to what extent are the policy, strategy and priorities appropriate ones? And to what extent are the policy, strategy and priorities known, understood and implemented, by community services staff, by other UNHCR personnel and by the organization's implementing partners?

To what extent is UNHCR's recently-established community development policy understood and implemented at national and regional levels, and what role are community services personnel playing in that process, including the promotion of self-reliance and socio-economic empowerment?

Operational issues

Which of UNHCR's activities are categorized as 'community services', and is that categorization a rational and effective one?

Are community services activities effectively linked to other components of UNHCR's field operations?

To what extent does the community services function vary from one country programme to another?

In which areas do field offices need/expect HQs support regarding community services work?

How useful are UNHCR's community services manuals, guidelines and management tools, and how successfully have they been disseminated? Do these tools reflect the community development policy recently introduced by UNHCR?

How often is an analysis of the basis for perception of beneficiaries towards services been carried out, so that services are adapted to some of the beneficiaries perceptions?

To what extent are examples of good and bad practice in the community services sector effectively disseminated in the organization and to UNHCR's implementing partners?

Which are the indicators used by offices to measure the impact of community services work?

Management/Resources

Is the community services function provided with adequate human and financial resources? Is it given adequate priority in the planning and programming process?

Are community services staff undertaking appropriate activities? To what extent their time/resources are used at their maximum?

To what extent is their work effectively coordinated with the activities of other UNHCR specialists, including those who work on the issues of gender, children and education?

Is the community services function appropriately located in UNHCR's headquarters and field office structures?

To what extent a professional profile clearly defined for community services staff in-house?

Do community services staff have adequate skills, and do they receive appropriate training, guidance and support? Do community services officers actually have the competencies required of them?

Partnerships

Is the work of those implementing partners adequately monitored, supervised and coordinated?

To what extent have UNHCR's emergency community services stand-by arrangements with NGOs proved effective? And how, if at all, could they be enhanced?

EPAU
February 2002

Annex 4 Checklists

The Evaluation Project Manager, the Steering Committee, and the evaluation team may find the following checklists helpful in refining the Terms of Reference and in conducting the evaluation. Evaluations should not be designed to answer every question but these questions may prove a useful tool.

1. UNDERSTANDING THE SITUATION

- What access do we have to refugees?
- Are they of clear concern to UNHCR?
- What would happen if refugees were not granted asylum, assisted?
- Are lives in danger?
- Are there any refoulements, or deportations of asylum seekers?
- Are communities located and organised in a way that provides security?
- Are new movements imminent or has the situation stabilized?
- How rapidly are circumstances changing?
- Are refugee needs being seen in isolation from other affected persons?
- What are the principal concerns of the host government?
- Have refugees had a destabilizing effect or other impact on the area?
- What is known about the refugees?
- What types of contacts are maintained with refugees?
- How are they organized?
- What is known about the refugee community structure(s)?
- What are the power relations in the refugee community?
- What is the number and make-up of the group in terms of origins, vulnerability, age, gender, skills and social-economic background?
- Is there sufficient understanding of gender roles?
- Are there significant gaps in statistics and knowledge?
- What UNHCR Standards and Indicators are available?
- Is gender and age data disaggregated?
- How accurate are populations figures?
- Are events in the country of origin understood?
- What is known about refugees' intentions and desires?
- What options are available to the refugees?
- What efforts have been made to identify and seek solutions?
- What is known about the safety and feasibility of repatriation?
- What is the likelihood of local settlement?
- How self-reliant are the refugees?
- Will refugees settle spontaneously?
- What are the prospects for integration?
- To what extent will refugees have to find their own way?
- How will the experience change the refugees and effect the solution?
- What is the likelihood of refugees returning to their traditional way of life?
- What is the situation (legal, socio-cultural and economic) in their country of origin?
- Are there aspects of the situation that attract refugees?
- What are their needs, and how are they evolving?

- What information is available regarding the persons of concern or situation, including studies, reports, data, etc.?
- What is known of the refugee community's resources, strengths, capacities and skills?
- What will happen if refugees are not assisted?
- Would assistance attract opportunity seekers?
- Are refugee privileged in any way compared to nationals?
- How does the refugee presence affect nationals or the host country?
- How long have refugees been receiving assistance?
- What are their attitudes toward assistance?
- How do standards compare to national and country of origin standards?
- What are the limitations to assisting or protecting refugees?
- What are the prospects for self reliance, in what ways?
- How can more self-reliance be achieved, what are the barriers?

2. REVIEWING THE PLAN AND APPROACH

- Has there been an adequate diagnosis of the situation and analysis of the potential persons of concern?
- Has a demographic profile been done?
- Has data been systematically collected and analysed?
- What data, assessments and research are required?
- Has the need for disaggregated gender and age data been added?
- Has a gender and age analysis been conducted?
- Are impacts different for women, men, boys, girls, infants and the elderly?
- Has an assessment for the protection of refugee women and children been done?
- Does the situation call for participatory assessment(s)?
- Has feedback and experience been taken into account?
- What is UNHCR's potential role?
- Are there any precedents for UNHCR actions?
- What are the reasons for involvement and criteria for phase out?
- What are UNHCR's comparative strengths in the situation?
- What should be the nature, extent and duration of UNHCR involvement?
- What are our principal problems and constraints?
- Have all critical factors been considered including the political, economic and cultural factors, as well as the weather and logistical considerations?
- Are there lessons from other situations that can be drawn upon?
- What aspects of the situation are likely to change?
- Have various scenarios been taken into account?
- What are the prospects for the future?
- How can refugees be assisted toward solutions?
- Have needs been prioritized?
- What major assumptions were made in designing the activity?
- Have the assumptions proved accurate?
- Were there major considerations or problems that should have been foreseen but were not?
- Are assumptions and expectations realistic?
- Have the objectives and strategies been sufficiently clarified?
- Were alternative approaches to achieving the objectives considered?
- Are objective precise or vague statements of intent?

- Are the objectives sufficiently explicit so that their achievement be determined?
- Are there specific indicators against which the attainment of objective can be assessed and impact determined?
- What are the principal strategies?
- Were alternate approaches and strategies considered?
- Are activities within UNHCR's mandate and appropriate?
- Which needs are a priority?
- What activities are the most critical?
- To what extent do activities correspond to actual needs?
- What were the main inputs, activities and outputs?
- What is the status of activities?
- What major changes, external, institutional, political, or economic have occurred, since the activity was planned and will have a substantial impact on results?
- What changes are being sought or planned?
- Do activities serve a sufficient number of potential persons of concern?
- Can activities be reduced without negatively affecting refugees?
- What are the potential difficulties associated with activities?
- What are the principal constraints?
- Are activities consistent with solutions?
- Are activities and services linked to longer term integration or repatriation?
- Will activities contribute to rehabilitation and reconstruction?
- Do activities discourage initiative and lead to dependence?
- Does the activity logically fit and meaningfully relate to an overall framework?
- Does the activity relate to similar parallel, prior, or subsequent activities?
- What administrative and material support is required?
- What are the links between protection and assistance activities?
- Is the plan comprehensive and coherent or a justification for piecemeal inputs?
- Is there potential to rationalise and harmonize activities?
- Do activities have a planned completion, can a date be set?
- Do activities make sufficient provision for phasing out?
- How have activities begun and developed?
- Are activities developing a life of their own separate from needs?
- Do activities imply permanence?
- Once begun are activities likely to expand?
- How was the programme to be implemented e.g., how was it organised?
- Who are the principal persons of concern and how were they to benefit?
- What special needs attention is being given to women and children, other groups?
- Are environmental concerns being considered?
- What are the implications of new activities and approaches?
- What are the operational requirements?
- What skills or knowledge is required to formulate needed projects?
- Do staff have the experience and expertise to carry out the activities envisaged?
- Does the general planning framework permit more detailed technical planning?
- Are plans coherent?
- Did planning anticipate and make provisions for over-coming obstacles?
- How extensive and comprehensive is the planning?
- Are headquarters and the field in agreement regarding the approach and strategy?
- What are the key policy dilemmas?
- Has headquarters provided solid backing and support?
- What political or moral support can UNHCR provide to partners?

- Can reductions be negotiated, what are the barriers?
- What can be outsourced?
- What are the immediate, medium and long term requirements according to levels of assistance foreseen, numbers of persons of concern and priority of needs?
- Is there sufficient capacity to perform the required activities?
- Will the activity be able to secure resources?
- Can funds be raised to support the activities?
- What role can be played without resources?
- Which activities need outside support in order to be sustained?
- Have all the likely problems been anticipated?
- What is the outlook for success?

3. ASSESSING THE CONTEXT AND LINKAGES

What are national attitudes and interests regarding refugees, assistance?

- What are the government's objectives, how are they different?
- Are refugees considered in national plans?
- Can national resources be mobilised?
- What are the critical or potential constraints imposed by the host government?
- How vulnerable is UNHCR to various pressures?
- What are the prospects for a change in government policies?
- Can assistance be used to shape and liberalise policies?
- What are the principal areas of conflict with local interests, government, and partners?
- What potential interest do donors have, how can interest be developed?
- Are there related country or regional initiatives?
- Are related initiatives successful, can they be drawn upon?
- Is there external expertise which can be utilised?
- In which areas do organizations have a presence?
- What do others have to offer?
- Do roles conflict or result in duplication?
- What activities can or should be carried out by others?
- Are there particular areas and sectors in which partners are interested or uninterested?
- Do partners have the mandate, expertise, material resources including staff and money to assume activities?
- What commitments has UNHCR made?
- Is UNHCR being drawn into development activities?
- Is there a mismatch of mandates, objectives or approaches?
- How is UNHCR perceived?
- Have partners capabilities been identified?
- Do partners have the capacity and skills required, how can we support them?
- Do partners share common goals?
- Was there adequate consultation and participation with those related to or affected by the plans?
- Is there agreement among partners on UNHCR's plan and strategy?
- What are the links and arrangement with others?
- Are activities well coordinated?
- Are sector activities or responsibilities successfully divided among partners?
- To what extent is there competition among agencies?
- How can UNHCR collaborate more effectively with other organizations?
- What type of support and assistance is available from donors, partners, other agencies and host government?
- Is the support provided by partners adequate, good?
- Can interest and support be increased?
- Have public information activities been adequately covered?
- What are the principal external constraints?

Annex 5 Available sample reports at UNHCR Headquarters

	Reports / Information	Frequency	What can we find ?	Where to find ?
✓	Country Report	Yearly Due in February	I. Executive Summary + statistics on beneficiary population(s) II. Achievements and Impact: <ul style="list-style-type: none"> • Working Environment • Strategy • Organization and Implementation • Activities and Impact • Overall Assessment III. Country Management Issues	Some of the last year's COPS are available on the net. Otherwise, go to the relevant desks.
✓	Country Operations Plan	Yearly Due in March	I. Overview: <ul style="list-style-type: none"> • UNHCR's role and operational environment • <i>NGOs, PARinAC and capacity building</i> • Inter-agency cooperation and technical integrity • Security of refugee/returnee areas (camp security) • Linkage with other country operations • Emergency preparedness/contingency planning • Justification for country post requirements and administrative budgets • Oversight mechanisms and reports • Staff security and welfare • Staff and team development • Support requirements • Map II. Beneficiary Population/Theme <ul style="list-style-type: none"> • Assumption and constraints • Strategy for achieving goal(s) • Implementation strategy • Policy priorities: women/gender, children and adolescents, environmental concerns • Registration • Potential for solutions and UNHCR phase-out 	Same as above

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			III. Project description	
✓	Global Appeal	Yearly	Appeal for UNHCR's operations worldwide Protection/solution strategies/policy priorities/management structure, implementing arrangements/assistance and lessons learned/phase-out strategies	Hard copy available at External Relations
✓	Mid-Year Progress Report	Yearly	Initial objectives vs. Revised objectives and priority activities for July-December, with financial data	Hard copy available at External Relations
✓	Global Report	Yearly	A review of UNHCR's operations worldwide At a glance / Working environment / Achievements and impact / Organization and Implementation / Overall assessment	Hard copy available at External Relations
✓	Annual Protection Report	Yearly Due in February	<ol style="list-style-type: none"> 1. Asylum policy and practice 2. Determination of refugee status 3. Standard of treatment of refugees 4. Durable solutions 5. Refugee children 6. Refugee women 7. Statelessness and issues relating to nationality 8. Internally displaced persons 9. Promotion of refugee law, training and dissemination activities 10. Prevention, Human Rights and Early Warning 11. Programme activities and protection objectives 12. Supervisory responsibility 13. Review and outlook 	
✓	Annual Statistical Report	Yearly Due in January	<ol style="list-style-type: none"> 1. Refugee population and changes 2. Populations of concern to UNHCR: demographic characteristics and location by end-year 3. Refugee population as at end-year by legal status and type of recognition 4. Individual asylum applications and refugee status determination 5. Returnees and others of concern to UNHCR 	Available on the net
✓	Annual Resettlement Statistics	Yearly Due in January	Resettlement by country	Resettlement section
✓	Quarterly Statistical	Due in April, July,	<ol style="list-style-type: none"> 1. Refugee population and changes 	Available on the

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	Report	and October	2. Individual asylum applications and refugee status determination 3. Returned refugees 4. Others of concern	net
✓	Current Year Annual Programme Review	Yearly Due in August	Review of project budgets aimed at identifying potential savings or over-expenditures	Relevant desks
✓	Situation reports	Monthly	A. General situation B. Major developments C. Statistics and registration D. Protection and durable solutions E. Programme F. External Relations G. Administration, Human Resources Management and Finance	Approx. 1/3 of the reports are available on the net.
✓	Final Sub Project Monitoring Reports (SPMRs)	Yearly	Implementing partners submit to the Field Offices two narrative reports per year (mid term and final) as well as four financial reports (one every term). Only the final narrative report and financial report are submitted to HQs.	Relevant desks
✓	Audit reports from Implementing Partners	Yearly	Implementing partners to submit.	Relevant desks
✓	Individual donor submissions and final reports on programme activities which are earmarked	Yearly	Required by each donor country which earmarks a certain project. Format/content specified by each donor country.	Relevant desks.
✓	(Purchasing Plan)	Yearly Due in October		
✓	(Obligation Plan)	Yearly Due in October		
✓	(Food Plan)	Yearly Due in October		
✓	Emergency updates	Weekly/bi-weekly as necessary	A. General Situation B. Major developments C. Refugee statistics and registration D. Protection and durable solutions E. Operations	Ask relevant desk and/or Emergency and Security Service (ESS)

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			F. External relations G. Administration and staffing	
✓	Public Information		<ul style="list-style-type: none"> • Refugee News • Briefing Notes • Press releases • Publications/videos/photos, etc. 	Available on the net
✓	Technical reports and assessments		Published by technical units (PTSS in the past) and now by Reintegration and Local Settlement Section (RLSS), Health and Community Development Section (HCDS) and Engineering and Environmental Services Section (EESS), as well as the coordinators for women, children	Some available on the net, otherwise, ask each unit
✓	Evaluation reports		All the past / present evaluation reports are now in the public domain.	Available on the net Or hard copy available at EPAU
✓	Locally commissioned evaluations			Ask relevant desk or country office
✓	Inspection reports		Per country	Needs authorization
✓	Annual Accounts and the Annual Report of the Board of Auditors (External Audit reports)	Yearly		Available on the net (as part of EXCOM documents)
✓	Mission reports			Ask relevant desk
✓	Knowledge Information Management System (KIMS)		<ul style="list-style-type: none"> • UNHCR information, including EXCOM, Standing Committee documents • Operational guidance, including Inter-Office Memorandum and Field Office Memorandum (IOM/FOM) • Manuals, instructions and guidelines • Policy library • Country information • UN information • Maps 	Available on the net
✓	<i>State of the World's Refugees</i>	Published in 1993, 1995, 1998 and 2000.	<p>"The Challenge of Protection" 1993</p> <p>"In Search of Solutions" 1995</p>	Available on the net

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		It will become an annual report from 2002.	"A Humanitarian Agenda" 1997-1998 "Fifty Years of Humanitarian Action" 2000	
✓	State of UNHCR's Staff	Published by Division of Resource Management in 2000		Available on the net

Annex 6 Corporate contracts

UNHCR general guide for corporate contract proposals

How to prepare a proposal

General information for corporate consultants bidding for contracts with EPAU.

1. Total amount of contract stated is a **MAXIMUM**.

The price component is a major consideration in the award of the contract, so companies must calculate accurately. Additional funds will not be made available to compensate for miscalculations.

For example, if you budget for an interpreter at US\$100 a day, and your interpreter subsequently costs \$50 a day, then you'll get \$50. (You will have to produce receipts.)

Also, if you budgeted for \$100 a day (again a maximum) and the interpreter costs more, you will be unlikely to get MORE than that because you should have researched the cost prior to budgeting.

2. Travel costs.

Flights: Only most direct route, economy class fares will be reimbursed. Original ticket stubs (proof of travel) and proof of purchase, must be produced, and you will only be reimbursed the actual cost provided it does not exceed the above restrictions. It must be clear where the journey was to/from. Changes in reservations which incur a charge will only be reimbursed if authorised in advance by UNHCR.

Airport taxes should be included in the budget, and again will only be reimbursed upon proof of payment. (See also terminal expenses.)

Any kind of transport to be reimbursed has to be supported by details. Bus trips, ferries etc. all need to have receipts and be listed to/from, on way to They should be submitted in a logical sequence. Original receipts, not photocopies, must be submitted.

3. DSA is a fixed amount.

a) DSA (Daily Subsistence Allowance) covers all expenses including accommodation, all meals and refreshments, and any miscellaneous payments during each 24 hour period. It is also expected to cover transport during that period. (So the cost of taxis to and from official meetings would come under DSA and cannot be budgeted separately.) Specific DSA rates can be obtained from EPAU, most easily by e-mail (hqep00@unhcr.org). Please note that should you be provided free with lunch, for example during a workshop, your DSA will be reduced accordingly.

4. Admin costs

EPAU needs a breakdown of proposed administrative expenditure, rather than a lump sum. This could comprise: visa fees (specify), photos for visas (photo booth prices), postage (for what), photocopying costs (for what), etc.

a) Telephone calls.

Budget for a certain amount if you think they're really necessary, but you will only be reimbursed for those which you can prove were official. Try to keep them to a minimum. The maximum amount should be agreed beforehand with EPAU.

So, whenever you make official calls which you want reimbursed, you will have to submit the original print-out, (on which there must be the date, time, length of call, and number), and also the person called. (If necessary, the consultant may be asked the reason for the call, to ensure that it was indeed official.)

b) Faxes.

Again, keep them to a minimum, keep the transmission slip and keep a log of all faxes sent, with the same details as needed above for telephone calls.

c) Other expenditure.

Terminal expenses. These are intended to cover you for a taxi fare to and from the airport on departure/arrival. These are a **maximum** of US\$30 for each trip to or from an airport. So, if you're flying London/Geneva/London, you would get a maximum of \$120. However, if you live within a few minutes of the airport, we would not expect you to claim \$30. You must produce receipts.

If you budget for a workshop, please itemise what the expenditure is for; ie. hire of meeting room, coffees and teas, interpreters, cost of photocopying, etc.. A total figure is not acceptable.

RE. INVOICES

When submitting invoices, please try to keep to the same system as for planning your budget (see attached), ie. separate invoice for each person, split into categories (fees, DSA, travel costs, miscellaneous expenditure).

Annex 7 Budget plan

Part of a Request for Proposal (RFP) for an evaluation for EPAU, UNHCR

Please use this form to plan your budget and submit your commercial offer.

Name of your company _____ Indicate here the currency of your offer: _____ Date: _____

PLEASE USE THE FORM BELOW (WORD DOCUMENT) AND ADAPT WHERE NECESSARY.

	Name 1	Name 2	Name 3	Name 4	Total (where applicable)
FEES					
Daily fees					
Total no. of days to be worked					
TOTAL fees:					
DSA					
No. of days Geneva					
Proposed field locations & DSA rate * / (no of days) total. (see example below)					
Eg. Conakry (GUI) x \$ 67	(12 days) \$804	(6) \$402			
TOTAL DSA COSTS =					
ADMIN COSTS Please give full details and use extra space if necessary. (See attached form for info.)					

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TRAVEL COSTS **	Person 1 Example	Person 2 Example	Person 3	Person 4	Total (where applicable)
Please specify all field locations, and underline " <u>home base</u> ". see example right	<u>London</u> - Geneva - Kosovo (field) - Geneva - London	<u>Oslo</u> - Kosovo - Geneva - Oslo			
	US \$ 600	US \$ 470			
(Copy/expand this table as necessary)					

* DSA rates are obtainable from EPAU.

**Airfare to be based on trip from/to named home base, economy rate, most direct route. Proof of purchase and travel must be submitted with your invoice (ie ticket stubs etc)

Total cost: Fees: _____
 Total estimated DSA: _____
 Total estimated travel: _____
 Other expenses: _____
 Grand total: _____

Please indicate your preferred schedule of payments, all of which must be expressed, and will be effected, in the currency of the proposal.
 N.B. no payment can be made before the contract's start date.

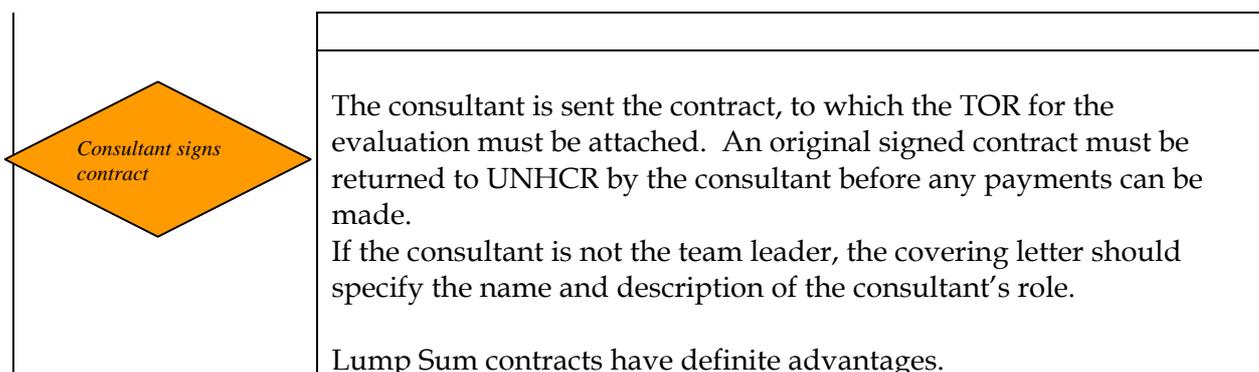
Annex 8 Contracting consultants

A. Individual contracts

STEPS	WHAT TO DO
	<p>Individual contracts can be used to contract one or more individual consultants. (These contracts do not constitute a contract of employment.)</p>
	<p>The Evaluation Project Manager should submit the following:</p> <ul style="list-style-type: none"> ❑ proof of funding ❑ ToRs ❑ proof of the unavailability of UNHCR staff as the result of a check with DHRM/RPS ❑ A completed form Admin 1A, with a proposed monthly fee rate¹⁹, details of per diems and other expenses (the monthly fee rate is based on 21.75 working days per month) and the proposed payment schedule. Form IA must be signed by the Director of the Bureau/Department/Division and also cleared with the relevant technical section. ❑ Alternative consultants should be listed along with the rationale for proposing the preferred consultant.²⁰ <p>The documentation is then sent to DHRM who have a number of responsibilities outlined in detail in IOM/FOM 21/2005 under the heading II. 'Administrative Guidelines on Consultants: Role and Responsibilities of the directors of regional bureaux/ departments/ divisions and DHRM.'</p>
	<p>If the consultant has not previously been employed as a consultant by UNHCR, they will need to complete a UN Personal History Form (P11), and complete a medical exam or a certificate of good health as outlined in Step 4 overleaf.</p>
	<p>Once agreement has been received from DHRM, proceed to:</p> <ul style="list-style-type: none"> ◆ Issue offer letter to consultant, with final TOR attached. ◆ Draw up contract and send to consultant for signature.

¹⁹ For a consultant who has been taken on before, the fee rate will be known. The Evaluation Project Manager may suggest an amendment. For new consultants, DHRM will grade the consultant and set the fee rate. Some negotiation may be necessary to get to an agreed rate. (Note that the current grading system relies heavily on the consultant's academic qualifications).

²⁰ Competitive quotes are not required, but at least three suitable consultants should be considered for each position before proposing a preferred consultant.



Lump Sum Contracts

The lump sum contract **greatly reduces the administrative burden** for the Evaluation Project Manager's unit, as well as reducing delays.

Where individual consultants are contracted, their contracts are not automatically for a fixed lump sum, unless specified from the outset. Evaluation Project Managers are advised to agree a lump sum contract with consultants; that is where there is a fixed price for the job, including all fees, travel costs, per diems, and other expenses as agreed with the consultant as part of the contract. The consultant is responsible for booking air tickets and hotels, obtaining visas, etc - except where a local UNHCR office needs to handle local logistical arrangements. The consultant covers all his/her expenses from the contract sum, but is still paid by instalments.

B. Consultancy companies

STEPS	WHAT TO DO
	<p>The Evaluation Project Manager and/or the Steering Committee may decide that evaluation is of a scale, complexity or nature that makes the recruitment of an external consultancy company appropriate.²¹</p>
	<p>Don't forget that you can negotiate with consultancy companies, you don't have to accept their initial bids. Consultancy companies expect to negotiate with their clients over content, method and price.</p> <p>External consultancy firms will tend to present their own complete teams in their proposals. If you are opting for a mixed team, they can be told from the outset that they are required to include one or more team members from implementing partners, Excom members or refugee representatives. Make sure that these requirements are clearly set out in the Request for Proposals.</p> <p>Guidance for the company on how they should prepare a proposal is available as Annex 5.</p>
	<p>A consultancy company must be able to show that they have the background, expertise and approach that suits the evaluation in question.</p>
	<p>Handling a large number of bids from consultancy companies can be very time-consuming. It is advisable to pre-qualify consultants to reduce work in inviting bids.</p> <ul style="list-style-type: none"> ◆ Prepare a summary TOR ◆ Inform possible suppliers, asking for an expression of interest and a 1-page Statement of Capability, where the company can summarise any experience <i>directly relevant</i> to the assignment in question (but not a complete listing of their consultancy projects). ◆ Use the UNHCR website, local websites, local press and local contacts to make possible suppliers aware of the consultancy requirement.
	<ul style="list-style-type: none"> ◆ Select 6-10 companies to send the RFP. ◆ Work with Supply Management Service (SMS) to draw up tender documents. ◆ Send out tender documents via SMS. (SMS should approve the list of invited contractors before the tender documents are sent.)

²¹ The word “company” is used loosely here to refer to any named grouping of consultants. In the business of humanitarian evaluation, this may include limited companies, partnerships, or individuals with a brand name who assemble evaluation teams as and when required.

 <p>Financial Limits</p>	<p>(Any company wishing to tender must already be registered with SMS or register during the bidding process.)</p>
	<p>Supply Management Service (SMS) issues all UNHCR contracts for registered suppliers, including consultancy companies. Procurement of consultancy services via this route is subject to UN procurement regulations. See the “Practical Guide for Procurement of Services” (the SMS Guide) issued by SMS.²² The SMS Guide uses the term the “Requesting Unit” (RU) – in this case referring to the Evaluation Project Manager’s unit.</p>
<p><i>Estimated value of the consultancy services less than \$1,000</i></p>	<p>Procedures for contracting via SMS depend on the value of the contract, as set out below.</p>
<p><i>Estimated value of the services is more than \$1,000 but less than \$5,000</i></p>	<p>At least three informal offers must be obtained by the Requesting Unit (RU). SMS does not need to be involved, the RU can request and pay the invoice.</p>
<p><i>Estimated value of the services is more than \$5,000 but less than \$10,000</i></p>	<ul style="list-style-type: none"> • The RU prepares the Terms of Reference and obtains at least 3 written proposals. • The RU reviews the proposals and makes a selection, keeping a written record of its reasoning on file. • The RU raises a commitment and pays invoices directly to the supplier. <ul style="list-style-type: none"> • The RU prepares the Terms of Reference and obtains at least 3 written proposals. • The RU makes a recommendation to the Chief of SMS, detailing procedures followed (see the Guide for details) and attaching a copy of the comparison/analysis of proposals. • Once SMS approves the recommendation, the RU raises a Purchase Request. • SMS prepares, authorises and issues the contract and makes payments.

²² Key documents including Request for Proposals (RFP), Terms of Reference (for tender), Memo requesting approval for competitive tender, and Waiver Request are available on the UNHCR Intranet under Operational Support/ Supply and Transport / RFP Information.

C. Competitive bidding process

STEPS	WHAT TO DO
<p><i>Estimated value of the services is more <u>than</u> \$10,000 but less than \$100,000</i></p>	<p>Most contracts for consultancy companies evaluation assignments are likely to fall into the \$10,000-100,000 range.</p> <p>For any service valued at over \$10,000, competitive bidding is required, based on a UNHCR written Request for Proposals from prospective suppliers.</p> <ul style="list-style-type: none"> • The RU prepares the TOR. • Follow the pre-qualification and RFP process. • Proposals from suppliers go straight to the Secretary of Supply Centre Contracts Unit. • SMS retains financial bids and forwards technical bids separately to the Evaluation Project Manager. • Steering Committee for the project to review the technical bids, using an agreed scoring system. Steering Committee members evaluate the technical bids first separately and then together, comparing their assessments and jointly ranking the technical bids. The committee members advise the Chair who is responsible for deciding the final ranking. • The Evaluation Project Manager prepares a written report on the technical evaluation. • SMS prepares a financial evaluation. • SMS and Evaluation Team meet to compare assessments and make a final proposal. • RU renegotiates with the technical and financial submissions of the preferred bidder, if appropriate. • The Evaluation Project Manager writes to Chief of SMS giving details of process, preferred bidder and confirms that adequate funds are available. • SMS draws up contract and signs, the contractor signs and returns, and SMS makes copies for the Evaluation Project Manager. • SMS or the Evaluation Project Manager advises unsuccessful bidders of outcome.
<p><i>Estimated value of the services is more <u>than</u> \$100,000</i></p>	<p>As for \$10,000-100,000, except:</p> <ul style="list-style-type: none"> • The memo from the Evaluation Project Manager goes to the Chairperson of the UNHCR Committee on Contracts, via SMS. • SMS and the Evaluation Project Manager jointly present the recommendations of the Steering Committee to the Contracts Committee. • Once the Contracts Committee gives its approval, the process for SMS issuing contracts is as per above.
<p style="text-align: center;">Contracts and Payments</p>	<p>In all cases SMS:</p> <ul style="list-style-type: none"> • Issues the contract (including the TOR), not the Evaluation Project Manager. • Negotiates the payment schedule with the contractor. • Provide advice on any payment related issues.

All invoices are received by the Payments Unit, passed to SMS for checking that the invoiced amount corresponds with the contractual terms. They will then be passed on to the Evaluation Project Manager for certification. The Manager should then send them back to SMS who in turn passes them back to Payments Unit for actual payment. UNHCR pays within 30 days from the date of receipt of invoice.