

Final Report
Annexes
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unicef 
for every child

Global Evaluation of UNICEF's WASH Programming in Protracted Crisis, 2014-19



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Annex 1. Evaluation Matrix and strength of evidence assessment, and quality scorecard

Evaluation matrix and strength of evidence assessment

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
EQ1	To what extent has UNICEF achieved quality, including equity and inclusion, in WASH in Protracted Crises? (against a Quality Scorecard for WASH in protracted crises)?				
1.1	To what extent have UNICEF staff and partners been made familiar with and able to apply the relevant normative frameworks and agency and sectoral standards for WiPC?	Evidence that: a) UNICEF has incorporated them into its WASH strategies, guidance, capacity building and communication materials. b) Disseminated/rolled them out down to the decentralized level (country/field/IPs) and made them accessible at all times. c) UNICEF staff at CO level are familiar with them. d) UNICEF CO staff have included them in its implementation partnerships and trained IPs. e) Partners have considered and applied them to programmes adapting them to the specific context if necessary.	Set of key, relevant normative frameworks and agency and sectoral standards (based on the 'quality scorecard').	Effectiveness	Strong - All the evidence products were able to inform aspects of the SEQ. There is in-depth evidence across the success criteria, only one evidence product - the FDR - was less able to inform the success criteria related to the partners consideration and application of the standards and frameworks.
1.2	Service level In its WASH programming in protracted crises, to what extent has UNICEF achieved adequate provision of WASH services for men, women and children?	Evidence that: a) UNICEF-supported interventions in the field effectively aligned with the relevant quality norms/standards/benchmark.	CCC benchmarks 2, 3, 4 and 5. (Alt) Sphere WS, sanitation and hygiene standards and associated indicators.	Coverage Effectiveness Efficiency	Strong - All the evidence products provided evidence to the SEQ. The main source of evidence is a comparative analysis of the SMQ data for UNICEFs 'standard indicators' of WASH service levels across WiPC. This was triangulated with

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
					reported data shared from the CO in the CCS, TCS, the FDR. Since the standards and benchmarks varied across countries (not all measured against CCC benchmarks) it was difficult to compare against countries performance. However, this is not considered a major challenge to evaluating the performance of UNICEF in provision of WASH services.
1.3	Equity and protection In its WASH programming in protracted crises, to what extent has UNICEF achieved safe and equitable access to WASH services and facilities?	Evidence that: a) UNICEF-supported interventions in the field effectively aligned with the relevant equity, gender, inclusion and protection related norms/standards/benchmarks. b) Users have not been put at risk from violence, exploitation, harassment or abuse connected to their access or use of WASH services. c) Users feel safe accessing and using WASH services.	GWC Min Requirements for National Hum WASH coordination Platforms – AAP GWC WASH Minimum commitments for the safety and dignity of affected people Minimum Standards for Age and Disability Inclusion in Humanitarian Action (ADCAP). IASC – GBV guidelines – M and E indicator: implementation.	Relevance Connectedness Efficiency	Strong - All evidence products provided evidence to the SEQ. There is evidence across all the success criteria related to a) performance and alignment to equity/gender protection standards and, b) the ability and capacity of UNICEF to monitor and evaluate safety and protection. With regard to success criteria b) and c) there is strong evidence from the case studies that UNICEF does not

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
					consistently collect this information at CO level. Whether users feel safe is sensitive information that was difficult to collect during transect walks.
1.4	Context appropriateness In its WASH programming in protracted crises, to what extent has UNICEF achieved responses that were relevant and appropriate that meet the needs of the population based on user participation in design and feedback mechanisms?	Evidence that: a) WASH facilities have been designed based on the participation with users (men, women, children and other identified groups) in mind and cultural needs have been considered. b) A feedback mechanism for the users to monitor and provide feedback on the service they receive exists. c) User feedback have influenced project design and decision making in line with changes in needs over time. d) Users were satisfied that the WASH response met their needs in an appropriate way.	Core Humanitarian Standard 4/5 quality criterion: GWC WASH Minimum commitments for the safety and dignity of affected people. IASC – GBV guidelines – M and E indicator: Assessment, Analysis and Planning. GWC 2017 Right of Affected people and communities.	Appropriateness Connectedness Effectiveness	Medium - All the evidence products provided evidence to the SEQ. There is little evidence against success criteria b) and d) because UNICEF does not consistently collect data about this - as was demonstrated by the lack of compliance mechanisms or collection or feedback from users (including protection concerns) found in the FDR and CCS.
1.5	Reliability and use To what extent have WASH services provided/supported by UNICEF been reliable?	Evidence of: a) Technical quality/robustness of WASH facilities supported/established by UNICEF and its IPs. b) UNICEF and its IPs supported/established operation and maintenance arrangements and building local management capacities for WASH services.	Sphere WASH standard 1: Sphere WASH ED standard 1: Sphere WS Standard 1 & 2	Connectedness (sustainability)	Medium - Findings for this SEQ are based on the CCS, in particular field evidence through observations of infrastructure and mechanisms in place. There is very little evidence against the success criteria for reliability and

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
		<p>c) Continued and appropriate maintenance and repair of WASH services over time.</p> <p>d) Satisfactory level of accessibility, functionality and use of WASH services over time.</p>			functionality and use over time as there is little data reported to / collected by UNICEF.
EQ2	How well has UNICEF exercised its leadership and coordination roles for WASH in protracted crises?				
2.1	At individual crisis level in country, to what extent has UNICEF provided effective coordination of the WASH cluster, and effective support to nationally-led WASH sector coordination mechanisms?	<p>In thematic and country case studies, evidence that:</p> <p>a) Where there is a WASH cluster (or similar coordination platform), UNICEF as cluster lead agency has fulfilled it's 6+1 core functions for WASH against IASC/GWC guidelines, including effective support and guidance from GWC.</p> <p>b) UNICEF has used its leadership role (either directly or via the cluster) to support the national government in line with IASC /GWC guidelines.</p> <p>c) Where necessary, UNICEF has fulfilled its function as provider of last resort a) UNICEF (either directly or via the cluster) had/has the tools and analysis to monitor and analyse gaps (4Ws), b) UNICEF (either directly or via the cluster) provided the required resources to fulfil this role.</p>	<p>CCC 1</p> <p>6+1 core coordination functions and associated GWC Minimum requirements for national humanitarian WASH coordination platforms 2017.</p>	Co-ordination	<p>Strong - There is evidence against this SEQ from all evidence products, and evidence for all success criteria. However, there is no in-depth evidence on performance across each of the 6+1 core functions individually from the CCS and TCS. Whilst the evaluation can draw broad conclusions and identify areas of relative weakness or strength, it cannot reach definitive judgments on the extent to which individual national WASH clusters are fulfilling the 6+1 core functions. This is not perceived as a major challenge to the evaluation credibility, as this is not intended to be a specific evaluation of the WASH cluster.</p>

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
2.2	At Global level, to what extent has UNICEF demonstrated thought leadership of the humanitarian WASH sector?	Evidence that UNICEF (either directly or via the GWC) has taken the lead in: a) Setting, influencing and disseminating global policy and standards for the sector. b) Equipping the sector for delivering context specific WASH responses, convening/contributing to global partnerships, and supporting innovations for WiPC. c) Influencing donors to support inter-agency WASH initiatives in protracted crises.	UNICEF global WASH/WiE strategy and other commitments as cluster lead agency.	Relevance Effectiveness	Medium - Findings for this SEQ are based heavily on KIs (in line with the evidence sources identified in the inception report). Because of the subjective nature of the evidence for this SEQ it is more difficult to directly answer against each of the success criteria. Many interviewees conflated their views of UNICEF and the GWC, which has been taken into account in the evaluative judgement.
EQ3	How well has UNICEF monitored and reported the results of its WASH programming in protracted crisis?				
3.1	How well has UNICEF monitored and reported WASH outputs and outcomes?	Evidence that: a) UNICEF has had appropriate systems/processes and practices to collect and report consistent, complete and disaggregated data on the outputs and outcomes of its WASH programming in protracted crises. b) UNICEF staff have used this data to inform programming decisions.	Appropriate monitoring and reporting in theory (systems and processes in place) and in practice (as per intention/commitment, compared to baseline situation in 2014, and/or in line with best practices of other agencies). Effective use of data/evidence for evidence-based programming.	Effectiveness	Strong - There is evidence against this SEQ from all bar one evidence product (urban thematic case study). There is evidence against all success criteria.
3.2	What does available evidence tell us about changes in the lives of affected populations associated with WASH action?	Evidence that: a) UNICEF clearly articulates the changes in the lives of the affected population it expects associated with WASH action, and the mechanisms through which these are realised. This includes cross-sectoral changes to	Systematic and context-adapted cross-sectoral programming. Reasonable level of data/evidence availability (to be determined). Satisfactory level of sustainability and user satisfaction (to be determined).	Effectiveness Relevance Impact (not assessed)	Strong - The overall findings are not that UNICEF WASH action has not led to changes in the lives of the affected population, but that

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
		<p>which WASH contributes (e.g. health, education, nutrition, protection).</p> <p>b) UNICEF collects and reports data on intended and unintended, positive and negative changes resulting from UNICEF's response and cluster coordination, ideally by pop groups (inferred from quality assessment; reports from beneficiaries).</p> <p>c) End users perceive that UNICEF WASH action has led to changes in their lives.</p> <p>d) UNICEF's WASH action may have contributed to health, education, nutrition, and protection impacts (inferred from quality scorecard results and from the academic literature).</p>			<p>there is little/no available evidence either way. There is evidence (or an absence of contradictory evidence) on this SEQ from all evidence products. Evidence on perceptions is largely limited to data collected by the evaluation team from beneficiaries - this was always intended to be only supplementary primary data collection.</p>
EQ4	To what extent has UNICEF had the capacity to implement a timely and effective WiPC response?				
4.1	To what extent have UNICEF Preparedness, HR, WASH Field Support Team and surge capacity systems been fit for purpose in responding to WASH in protracted crises?	<p>Evidence that:</p> <p>a) UNICEF's Preparedness systems and procedures have been utilised at CO level, are suitable for and have been adapted for WASH in protracted crisis situations and integrated in the CO WASH planning and management processes; and that UNICEF has monitored the WASH context & risks, and adapted its preparedness arrangements to the changing situation accordingly.</p> <p>b) UNICEF has been able to mobilise internal surge, RRT & standby partner capacity effectively to respond to WASH in protracted crises in terms of the right staffing and timeliness; evidence that the quantity of staff,</p>	<p>As per intention/strategy/commitment, according to the needs. Compared to baseline situation in 2014, and/or in line with best practices or other agencies.</p>	Effectiveness	<p>Medium - Evidence comes mainly from CCS and TCS, triangulated through KIIs and survey results. There is limited information on the effectiveness of EPP implementation at CO level and only limited information from CCS and TCS on success criteria c) the adequacy of surge skills as crises become contracted.</p>

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
		FST, surge and SB partners available/deployable meets the needs for WiPC; measures/mechanisms to ensure adequate HR quantity/availability are appropriate/fit for purpose for WiPC. c) Their skillsets meet the needs in protracted crisis situations; appropriateness of measures/mechanisms to ensure adequate skills (incl. technical guidance, capacity building initiatives, etc.) for protracted crises.			
4.2	To what extent have UNICEF COs appropriately developed and managed their partnership portfolio so that it remains efficient, effective and context-appropriate?	Evidence that: a) UNICEF has developed and managed its WASH response partnerships with NGOs, government and contracts/contractors in protracted crises in a strategic and efficient way to optimise results and resource utilisation, through effective, efficient and context-appropriate: b) Selection approaches, capacity assessment and capacity building efforts & methods to ensure they have the right skills and capacities for the context. c) UNICEF successfully reviews and adjusts the overall partnership portfolio to adapt to changes over time. d) Contractual/partnership arrangements to incentives performance and sanctions underperformance.	As per UNICEF procedures and rules (e.g. HACT and L2/L3 SSOPs for gov & IPs, and Supply manual for contractors). Compared to baseline situation in 2014 and/or in line with best practices or other agencies.	Effectiveness	Medium – The evidence is drawn from CCS, triangulated with all other document. There are some information gaps on partnership network evolution over time at country level.

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
		e) Field supervision incl. by UNICEF staff and third party (frequency and quality/usefulness) and frequency of meetings with gov partners/IPs/contractors.			
EQ5	To what extent has UNICEF ensured linkages, coherence and mutual reinforcement of its WASH action in protracted crises with longer term development objectives?				
5.1	How well has UNICEF's commitment to linking humanitarian and development programming been reflected in its programme planning and design at crisis level?	Evidence that: a) UNICEF's LHD related commitments and general guidance have been translated into corporate WASH strategies and guidance for country offices. b) UNICEF's emerging guidance on LHD draws on the learning and experience of country offices on WiPC.	Executive Board Paper on LHD, 2019, Guidance Note, the Humanitarian-Development Nexus, EMOPS and PD on the Humanitarian-Development Nexus, WASH Annex: Checklist for Linking Development and Humanitarian Programming, UNICEF PD_HATIS LDH research project, 2016 Global WASH Cluster (core function 5 only).	Relevance Connectedness Effectiveness	Medium - The evidence is drawn from the FDR, global KIIs and CCS but overall, the level of documentation is limited.
5.2	To what extent has UNICEF followed key elements of LHD when implementing WASH action in protracted crises?	Evidence that UNICEF WASH action in protracted crises has implemented (through a humanitarian response plan or equivalent) the following elements: a) Risk-informed programming (risk assessments and adaptation of programmes accordingly, integrating conflict-sensitivity programming) – this will be answered under EQ 4.1 SC 2 but a reference is kept here as this is an integral element of LHD. b) Needs assessments, analysis, sector-specific LHD or resilience plan that are carried out jointly/ coordinated by humanitarian and development actors.		Effectiveness	Medium – Evidence is drawn mainly from the CCS and TCS. There are some case studies where evidence could not always be obtained on all success criteria.

	Evaluation questions and sub-questions	Success criteria	Quality standards	Evaluative criteria	Strength of evidence
		<p>c) Longer-term, predictable and flexible / adaptive programming and funding modalities at global and crisis level.</p> <p>d) Continued user engagement through participation in design and feed-back mechanisms thereafter this is answered under EQ 1 but kept here for reference.</p> <p>e) Systems strengthening of national and local WASH response capacity through support to preparedness, coordination, systems, procedures and financing – this criterion is answered under 2.2 and 4.1, but kept here for reference.</p> <p>f) UNICEF WASH responses in protracted emergencies have engaged in context adapted and effective WASH-specific and multi-purpose cash-based interventions.</p>			

Quality scorecard

Quality – criteria and sub questions	Success Criteria	Agreed International Quality Standards (CCC/Sphere/Other)	Benchmarks: CCC Targets/ Sphere Indicators/
<p>1.1 To what extent have UNICEF staff and partners been made familiar with and able to apply the relevant normative frameworks and agency and sectoral standards for WiPC?</p>			
<p>1.2 Service Level In its WASH programming in protracted crises, to what extent has UNICEF achieved adequate provision of WASH services for men, women and children?</p> <p>(apart from service level: where benchmarks can be quantitative targets and indicators the other sub-questions will be answered associated with normative standards – cannot be answered quantitatively)</p>	<p>UNICEF-supported interventions in the field effectively aligned with the relevant quality norms/standards/benchmarks.</p>	<p>CCC benchmarks 2, 3, 4 and 5. <i>(Alt) Sphere WS, sanitation and hygiene standards and associated indicators if CCC not used by cluster</i></p>	<p>CCC2: % of population with access to 7.5-15 l of clean water/pp/day</p> <p>CC3: A maximum ratio of 20 people per hygienic toilet or latrine squat hole; users should have a means to wash their hands after defecation with soap or an alternative (such as ash).</p> <p>CC4: Hygiene education and information pertaining to safe and hygienic child-care and feeding practices are provided to 70% of women and child caregivers.</p> <p>CC5: In learning facilities and child friendly spaces, 1-2 l of drinking water/day; 50 children /toilet; users have a means for handwashing after defecation; appropriate hygiene education and information to children, guardian, teachers.</p>
<p>1.3 Equity and protection In its WASH programming in protracted crises, to what extent has</p>	<p>Evidence that: UNICEF-supported interventions in the field effectively aligned with the relevant equity, gender,</p>	<p>GWC Min Requirements for National Hum WASH coordination Platforms – AAP</p>	<p>When relevant and feasible, cluster/sector reporting data is disaggregated by sex, age, geographical areas or ethnic groups</p>

Quality – criteria and sub questions	Success Criteria	Agreed International Quality Standards (CCC/Sphere/Other)	Benchmarks: CCC Targets/ Sphere Indicators/
UNICEF achieved safe and equitable access to WASH services and facilities?	inclusion and protection related norms/standards/benchmarks.	GWC WASH Minimum commitments for the safety and dignity of affected people	Ensure that girls, boys, women, and men, including older people and those with disabilities have access to appropriate and safe WASH services
	Evidence that: Users have not been put at risk from violence, exploitation, harassment or abuse connected to their access or use of WASH services. Users feel safe accessing and using WASH services.	IASC – GBV guidelines – M and E indicator: implementation	Access to water point within 500 meters of household Existence of lockable, sex-segregated WASH facilities in affected areas Presence of functional lighting at WASH facilities
1.4 Context appropriateness: In its WASH programming in protracted crises, to what extent has UNICEF achieved relevant and appropriate responses that meet the needs of the population.	Evidence that: WASH facilities are have been designed based on the participation with users (men, women, children and other identified groups) in mind and cultural needs have been considered. A feedback mechanism for the users to monitor and provide feedback on the service they receive existed User feedback influenced project design and decision making in	Core Humanitarian Standard 4/5 quality criterion	Humanitarian response is based on communication, participation and feedback. Complaints are welcomed and addressed
		GWC WASH Minimum commitments for the safety and dignity of affected people	Consult separately girls, boys, women, and men, including older people and those with disabilities, to ensure that WASH programs are designed so as to provide equitable access and reduce incidences of violence
		IASC – GBV guidelines – M and E indicator: Assessment, Analysis and Planning	Female participation prior to WASH facility siting and design

Quality – criteria and sub questions	Success Criteria	Agreed International Quality Standards (CCC/Sphere/Other)	Benchmarks: CCC Targets/ Sphere Indicators/
	<p>line with changes in needs over time. Users were satisfied that the WASH response met their needs in an appropriate way</p>	<p>GWC 2017 Right of Affected people and communities:</p>	<p>A consultation process and feedback mechanism is set up to measure the degree of satisfaction of the affected people</p>
<p>1.5 Reliability and use To what extent have WASH services provided/supported by UNICEF been reliable and used by affected population?</p>	<p>Evidence of: UNICEF and its IPs supported/established operation and maintenance arrangements and building local management capacities for WASH services Continued and appropriate maintenance and repair of WASH services over time. Satisfactory level of accessibility, functionality and use of WASH services over time</p>	<p>Sphere WASH standard 1:</p>	<p>All groups within the population have safe and equitable access to WASH resources and facilities, use the facilities provided and take action to reduce the public health risk There is a system in place for the management and maintenance of facilities as appropriate, and different groups contribute equitably</p>
		<p>Sphere ED standard 1: Sphere WS Standard 1: Sphere WS Standard 2:</p>	<p>The living environment in general and specifically the habitat, food production areas, public centres and surroundings of drinking water sources are free from human faecal contamination Water is palatable and of sufficient quality to be drunk and used for cooking and personal and domestic hygiene without causing risk to health People have adequate facilities to collect, store and use sufficient quantities of water for drinking, cooking and personal hygiene, and to ensure that drinking water remains safe until it is consumed</p>

Annex 2. The context of UNICEF’s WASH response in protracted emergencies

Table 1. Examples of UNICEF WASH interventions in protracted crises

Year	Water Supply	Sanitation	Hygiene Behavior Change
2014	Providing piped water systems in urban (Aleppo and Damascus) and camps settings Construction and management of water systems in Ebola treatment centres. Innovation - solar powered boreholes (South Sudan)	Sanitation systems in Ebola treatment centers. Innovation - flood-resistant latrines (South Sudan)	Adaptation of CATS approach for Ebola response behavior change campaign (Sierra Leone) C4D program (South Sudan) Cholera response (Chad, DRC, Somalia, South Sudan) inc Sword and Shield strategy (WCAR)
2015	Large scale support to water supply systems (Syria, 7.1 million people) WASH services in camps (Jordan, Syria)	Large scale sewage networks in camps (Syria) Solid waste collection and sewage treatment (Yemen)	Promotion of handwashing in Ebola response and provision of emergency WASH kits (Guinea, Liberia, Sierra Leone) Cholera response (Ethiopia, South Sudan)
2016	Water infrastructure or trucking (Syria, Lebanon, Jordan). Large-scale procurement	Sanitation infrastructure support (Syria, Jordan). Desludging services (Lebanon)	Distributed hygiene kits (Turkey, Yemen) Preventative hygiene campaigns in response to cholera and acute diarrhea (DRC, Kenya, South Sudan, Yemen)
2017	Large scale water supply systems (e.g. entire Mosul area). Water supply systems in camp settings (Syria, Lebanon, Jordan) - piped water and water trucking.	Repair of Urban Sewer systems (unspecified countries)	Nationwide door-to-door hygiene promotion in Yemen for cholera prevention (10 million people). Hygiene campaigns in response to Cholera in Somalia (1.3 million people) Chad, DRC, South Sudan
2018	Emergency water trucking (Syria, Yemen) Repair and operation of existing water systems (Yemen) Distribution of water purification tablets (global)	Repair and operation of existing sanitation systems (Yemen)	Hygiene kit distribution (Syria, Yemen, global) Rapid Response teams for cholera cases (Yemen)

Table 2. Emergency WASH beneficiaries reached across the evaluation period (Source: UNICEF SMQ data)

		2014		2015		2016		2017		2018	
		Targeted	Reached	Targeted	Reached	Targeted	Reached	Targeted	Reached	Targeted	Reached
Water	Cameroon	80,000	55,000	100,000	51,100	25,000	19,900	55,000	38,655	600,000	335,400
	Lebanon	385,726	1,510,562	1,100,700	1,503,247	125,590	153,027	5,000	2,485	190,855	230,052
	Somalia	190,000	294,000	-	-	548,000	550,339	2,000,000	1,785,691	-	-
	South Sudan	875,000	495,750	600,000	521,040	610,000	614,288	800,000	811,462	800,000	520,221
	WiPC subtotal	13,548,617	12,256,142	20,817,259	18,861,633	18,122,393	15,981,839	25,203,063	23,386,781	23,184,527	22,773,071
	UNICEF emergency WASH total	19,562,284	18,022,711	30,144,002	25,452,757	30,276,069	28,791,929	34,414,571	32,721,713	-	43,600,000
	Global WASH Cluster total	50,015,484	36,897,707	60,443,330	38,971,134	73,767,836	51,253,496	70,812,447	55,629,863	-	-
Sanitation	Cameroon	55,000	55,000	150,000	77,000	-	100,300	150,000	80,215	600,000	618,280
	Lebanon	214,900	50,576	553,178	553,178	111,839	149,402	-	-	188,175	216,750
	Somalia	123,000	33,930	-	-	548,000	170,509	500,000	298,744	-	-
	South Sudan	500,000	273,650	250,000	292,765	365,000	213,742	400,000	242,411	300,000	158,274
	WiPC subtotal	5,555,700	2,790,490	6,335,151	4,141,973	7,931,821	4,711,716	9,347,388	6,871,623	13,236,733	11,515,144
	UNICEF emergency WASH total	7,764,269	4,374,261	10,536,568	5,970,168	13,763,751	7,190,044	13,239,957	9,009,823	-	13,000,000
	Global WASH Cluster total	20,176,825	11,340,238	28,644,381	11,860,578	37,597,278	15,988,553	35,079,504	22,608,405	-	-
Hygiene	Cameroon	55,000	55,000	-	-	77,000	77,000	150,000	80,215	-	-
	Lebanon	713,000	395,563	773,326	721,723	229,993	226,564	-	-	-	-
	Somalia	215,000	351,389	-	-	548,000	298,660	2,000,000	1,274,076	-	-
	South Sudan	600,000	970,000	250,000	696,000	860,000	829,383	850,000	840,819	-	-
	WiPC subtotal	13,454,000	9,815,822	11,057,741	7,329,621	9,700,898	7,681,115	24,707,776	18,464,289	-	-
	UNICEF emergency WASH total	20,796,848	12,935,714	20,256,517	13,770,967	21,058,745	15,816,542	31,017,728	28,133,282	-	-
	Global WASH Cluster total	35,596,519	18,725,301	43,615,675	20,024,651	45,840,389	31,621,290	47,363,324	33,038,075	-	-
WASH in Schools	Cameroon	40,000	25,000	-	-	4,552	4,552	-	-	200,000	100,000
	Lebanon	-	23,186	-	-	18,342	18,342	-	-	-	4,820
	Somalia	25,000	30,274	-	-	21,000	18,000	20,000	18,250	-	-
	South Sudan	-	75,000	180,000	60,000	180,000	60,000	400,000	353,718	-	-
	WiPC subtotal	2,926,846	2,004,833	4,178,499	3,453,261	1,110,601	1,400,980	1,234,500	1,168,959	1,355,927	3,257,319
	UNICEF emergency WASH total	3,995,264	3,114,963	5,089,909	4,105,726	4,349,587	2,711,113	2,456,826	2,400,358	-	-
	Global WASH Cluster total	-	-	-	-	-	-	-	-	-	-

		2014	2015	2016	2017	2018			2014	2015	2016
		Targeted	Reached	Targeted	Reached	Targeted			Targeted	Reached	Targeted
Menstrual Hygiene Management	Cameroon	20,000	15,000	10,000	6,336	-	6,465	-	-	300,000	208,498
	Lebanon	120,000	95,786	58,005	39,720	-	-	-	-	-	-
	Somalia	-	-	-	-	1,425	1,425	1,629	1,375	-	-
	South Sudan	-	500,000	-	40,000	36,000	36,000	90,000	88,429	119,044	34,198
	WiPC subtotal	681,282	1,285,961	222,805	394,093	645,108	635,564	1,122,440	749,767	988,975	832,865
	UNICEF emergency WASH total	1,233,727	1,705,376	905,985	1,373,266	1,251,205	1,020,716	1,393,945	997,704	-	4,400,000
	Global WASH Cluster total	-	-	-	-	-	-	-	-	-	-

Table 3. UNICEF expenditure on emergencies (all sectors) and WASH in emergencies 2014-2018 (US\$)

L2 / L3 Crisis	Country	2014			2015			2016			2017			2018			Total 2014-2018		
		Total Emergency Expenditure	WASH in Emergencies Expenditure	%	Total Emergency Expenditure	WASH in Emergencies Expenditure	%	Total Emergency Expenditure	WASH in Emergencies Expenditure	%	Total Emergency Expenditure	WASH in Emergencies Expenditure	%	Total Emergency Expenditure	WASH in Emergencies Expenditure	%	Total Emergency Expenditure	WASH in Emergencies Expenditure	%
CAR	CAR	30,662,970	8,785,327	29	34,932,034	8,539,850	24	28,073,655	6,647,259	24	24,786,828	6,520,637	26	19,769,881	2,288,732	12	138,225,368	32,781,805	24
DRC (Kasai province)	DRC	69,708,792	5,733,412	8	67,974,420	5,441,195	8	54,524,083	7,446,356	14	43,803,285	6,982,507	16	69,450,672	20,352,962	29	305,461,252	45,956,432	15
Ebola in West Africa	Guinea	13,429,824	10,813,893	80	68,658,230	20,648,226	30	29,762,809	5,467,972	18	7,189,850	286,670	4	1,197,722	244,673	20	120,238,435	37,461,434	31
	Liberia	13,423,543	4,589,670	34	65,572,096	16,694,882	25	31,576,698	8,802,266	28	19,767,078	6,366,290	32	6,050,775	2,951,043	49	136,390,190	39,404,151	29
	Sierra Leone	14,027,992	1,003,519	7	82,939,183	10,147,372	12	21,968,136	1,960,133	9	12,750,415	1,161,246	9	10,330,921	1,524,423	15	142,016,647	15,796,693	11
	Total	40,881,359	16,407,082	40	217,169,509	47,490,480	22	83,307,643	16,230,371	19	39,707,343	7,814,206	20	17,579,418	4,720,139	27	398,645,272	92,662,278	23
Horn of Africa	Ethiopia	27,023,703	6,097,413	22	30,387,360	9,081,541	30	61,825,614	24,778,492	40	79,186,344	40,615,004	51	59,032,666	24,629,782	42	257,455,687	105,202,232	41
	Kenya	20,594,999	1,745,045	8	18,154,054	2,254,568	12	12,443,635	1,508,364	12	19,889,200	3,457,359	17	18,746,653	3,041,526	16	89,828,541	12,006,862	13
	Somalia	54,861,679	10,947,610	20	62,418,082	12,868,482	21	58,814,221	13,107,510	22	96,470,822	30,418,430	32	97,744,724	27,747,101	28	370,309,528	95,089,133	26
	Total	102,480,381	18,790,068	18	110,959,496	24,204,591	22	133,083,470	39,394,366	30	195,546,366	74,490,793	38	175,524,043	55,418,409	32	717,593,756	212,298,227	30
Iraq	Iraq	69,856,261	33,550,393	48	174,287,570	56,646,952	33	164,390,871	72,146,672	44	176,724,644	74,287,574	42	93,690,709	35,780,081	38	678,950,055	272,411,672	40
Nigeria and Lake Chad Basin	Cameroon	13,878,005	3,722,243	27	8,415,339	2,967,378	35	11,812,396	3,039,109	26	9,287,727	1,983,167	21	6,035,966	2,547,641	42	49,429,433	14,259,538	29
	Chad	27,353,661	8,595,466	31	25,242,707	4,122,809	16	19,365,968	3,268,089	17	26,698,867	3,212,408	12	27,012,208	3,197,463	12	125,673,411	22,396,235	18
	Niger	29,907,956	4,582,007	15	22,040,866	3,307,787	15	21,228,475	4,080,037	19	23,621,496	6,462,500	27	23,470,615	4,511,646	19	120,269,408	22,943,977	19
	Nigeria	3,512,531	1,010,064	29	6,923,504	3,103,105	45	32,039,839	8,891,573	28	47,725,085	16,020,118	34	63,045,694	14,534,104	23	153,246,653	43,558,964	28
	Total	74,652,153	17,909,780	24	62,622,416	13,501,079	22	84,446,678	19,278,808	23	107,333,175	27,678,193	26	119,564,483	24,790,854	21	448,618,905	103,158,714	23
South Sudan	South Sudan	69,327,708	23,234,467	34	122,166,571	31,437,145	26	98,036,031	26,992,868	28	114,284,581	30,610,293	27	127,868,933	28,182,389	22	531,683,824	140,457,162	26
Syria and neighbouring countries	Jordan	85,346,132	39,108,614	46	116,901,946	50,011,407	43	152,155,076	57,237,418	38	192,513,325	69,954,822	36	169,494,331	56,443,351	33	716,410,810	272,755,612	38
	Lebanon	88,133,244	25,843,127	29	190,000,667	50,279,188	27	243,431,072	69,044,696	28	299,962,183	60,070,573	20	262,849,139	38,746,873	15	1,084,376,305	243,984,457	22
	Syria	101,179,643	39,454,148	39	133,967,411	43,713,510	33	161,093,533	54,524,316	34	158,388,594	48,384,088	31	126,905,581	44,243,190	35	681,534,762	230,319,252	34
	Total	274,659,019	104,405,889	38	440,870,024	144,004,105	33	556,679,681	180,806,430	33	650,864,102	178,409,483	27	559,249,051	139,433,414	25	2,482,321,877	747,059,321	30
Yemen	Yemen	44,222,176	11,687,502	26	40,690,982	10,379,571	26	95,833,152	22,233,535	23	123,209,531	40,550,731	33	162,932,596	105,136,256	65	466,888,437	189,987,595	41
Other emergencies	Other	426,848,074	135,215,713	32	414,221,468	122,249,233	30	519,378,404	149,718,207	29	578,990,145	138,395,199	24	633,845,938	160,635,988	25	2,573,284,029	706,214,340	27
Global total		1,203,298,893	375,719,633	31	1,685,894,490	463,894,201	28	1,817,753,668	540,894,872	30	2,055,250,000	585,739,616	29	1,979,475,724	576,739,224	29	8,741,672,775	2,542,987,546	29

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Annex 5. Details of key informants interviewed

Global KIs

Name	Position	Organization
George Laryea-Adjei	Director, EO	UNICEF
Kelly Ann Naylor	Head of WASH, WASH-PD	UNICEF
Lakshmi Balaji	Senior Adviser, Health Systems Strengthening	UNICEF
Lenay Alexandra Blason	WCAR Desk, EMOPS	UNICEF
Luc Chauvin	Chief, Humanitarian Operational Partnerships	UNICEF
Timothy Grieve	Head of WiE, WASH-PD	UNICEF
Guy Hutton	Senior Adviser, WASH Section	UNICEF
Esmaeil AlAzhari Ibrahim	WASH Specialist, MENARO	UNICEF
Grant Leaity	Deputy Director, EMOPS	UNICEF
Anthea Moore	Planning and Monitoring Specialist, EMPS / HPM	UNICEF
Frederic Sizaret	Deputy Representative	UNICEF
Monica Ramos	WAS Working Group Coordinator, GTFCC	UNICEF
Jamal Shah	WASH Specialist, WASH-PD	UNICEF
Hamish Young	Chief, Climate, Environment, Peace building and Resilience Team	UNICEF
Frank Bouvet	Deputy Global WASH Cluster Coordinator	Global WASH Cluster
Dominique Porteaud	GWC Coordinator, HQ	Global WASH Cluster
Jean Lapeague	Senior WASH Adviser	ACF
Robert Fraser	Senior WASH Officer	IFRC
Kit Dyer	WASH Adviser	NCA
Paul Handley	Head of Regional Office for Syria Crises	OCHA
Andy Bastable	Head of WASH	Oxfam
Mageda Malawneh	National WASH Coordinator	Palestinian government
Aude Lazzarini	Head of WASH	Solidarités
Murray Burt	Head of Global WASH Unit	UNHCR
Arjun Ottens	Response Director	Welthungerhilfe

Somaliland CCS

Name	Position	Organization
Jesper Moller	Deputy Representative, Program, Mogadishu	UNICEF
Mohammed Amin Adan	WASH Officer, Hargeisa	UNICEF
Mahboob Ahmed Bajwa	Chief of WASH, Mogadishu	UNICEF
Sara Karimbhoy	Emergency Chief, Mogadishu	UNICEF
Ayanle Mohamed Omar	Project Monitoring and Evaluation Officer, Hargeisa	UNICEF

Philip Vincent Otieno	Chief of WASH, Hargeisa	UNICEF
Jeremy Shusterman	Chief, PM&E, Mogadishu	UNICEF
Abdallah Ahmin Abdallah	Wash Sector Coordinator	MoWD
Mohamed Farah Abdi	Director Planning and Coordination	MoWD
Abdulrahman	Regional MoWD	MoWD
Mohammed Yussuf Ishmail	Director General	MoWD
Mohamed Omar	Regional Coordinator	MoWD
Mohammed Abdi Nur	Board Chairman and Member of Parliament	HEAL
Faisal Ali Sh. Mohamed	Chairman	NADFOR
Sharmaarke Abdi Musse	Director of Planning and Research	NADFOR
Muhammed Imtiaz Anjum	Humanitarian Affairs Officer (Head of Field Office)	OCHA
Hassan Ibrahim Warsame	Humanitarian Affairs Analyst	OCHA
Abdirashid Jama Bihi	Chairperson	SRO
Ali Abdi Nur	Program Manager	SRO
Omar Jama Farah	Ex-Director	TASCO
Mohammed Suleyman	WASH Engineer	TASCO
Maurizio Gatti	Country Director	Terre Solidali
Mohamed Abdi Bille	WUA	Borama
Mohamed Dahir	School Head Master	Borama
Mohamed Abdi Farid	SHABA	Borama
Suleyman Hassan Hadi	Mayor of Borama	Borama
Haweeyo Jama	WUA	Borama
Ibrahim Ahmed Libah	WUA	Borama
Hana Mohamed	Teacher	Borama
Fardus Osman	Nurse/manager	Borama
Hiba Mohamed Osman	WUA	Borama
Mayor of the town	Mayor	Garbada
Mustafa Farah Musse	AYODA Focal Point	Garbada
Water committee representative	Water Committee	Garbada
Abdullahi Mohamed	Mayor	Gargara
Awale Adan	Water Agency PPP	Lughaya
Ega Ali	Water Agency PPP	Lughaya
Cawa Nimcaan	Care Taker	Tog Wajaale

Cameroon CCS

Name	Position	Organization
Arsène Azandossessi	Deputy Representative	UNICEF
Wally Badiane	Chief Field Office	UNICEF
Manatcheo Baldagai	WASH Officer	UNICEF
Augustin Birba	Deputy Representative Operations	UNICEF
Imane Cherif	Chief of Field Office	UNICEF
Faustin Ekah Ekwele	WASH Specialist	UNICEF
Antoine Haba	Human Resource Office	UNICEF

Belyse Halmata Ngum	Child Survival & Development Specialist	UNICEF
Gregoire Kananda	Chief of Health	UNICEF
Sarah Karimbhoy	Chief Field Operation and Emergency	UNICEF
Jeanne d'Arc Katengwa	Human Resource Specialist	UNICEF
Carol Kungu	Supply and Logistics Specialist	UNICEF
Hubert Onibon	Chief of WASH	UNICEF
Modeste Tiemgni	WASH Officer	UNICEF
Serge Zanga	Chief of Planning, Monitoring and Evaluation	UNICEF
Serge Dia Fopa	Chef de Service	MINEE
Aristide Etoundi	Point focal WASH	MINEE
René Haiwang	Regional Delegate of Ministry of Water Resources, Maroua	MINEE
Evelyne Nkoantel Mampang	Regional Delegate of Ministry of Water Resources	MINEE
Ousmane Daibou	Coordinateur	AAEDC
Victor Feujo	Expert de WASH	ACF
Chaneline Makuate	<i>Team member (Field visit),</i> WASH Engineer at ADES	ADES - GADO
Josias Chefang Noubi	Responsable WASH	ADRA
Victor Josué Nang Kigwe	Comptable	ADRA
Jules Hubert Tchio	Promoteur de l'ONG	AIDER
Nnjock Salomon	Représentant national Afrique Solidarité ASOL	ASOL
Moussa Adamou	<i>Team member (Field visit),</i> Président du Comité des réfugiés	COMITE DES REFUGIES
Julienne Bazama	<i>Team member (Field visit),</i> Trésorier du Comité de gestion	COMITE WASH
Gaston Bounguene Zoulde	<i>Team member (Field visit),</i> Président du Comité de gestion GADO	COMITE WASH
Adamou Hawoua	<i>Team member (Field visit),</i> Vice-présidente du comité WASH	COMITE WASH
Firmin Ismaël Pounande	<i>Team member (Field visit),</i> Commissaire au compte comité WASH	COMITE WASH
Boukar Beladane	Promoteur de l'ONG	ECDC
Ahidjo	Responsible des projets	FONDATION BETHLEEM
Solaybou Bayero	<i>Team member (Field visit),</i> Chief of WASH Committee	GADO REFUGEECAMP
Marcelin Kongbo	<i>Team member (Field visit),</i> Secrétaire du Comité WASH de GADO	GADO REFUGEE CAMP
Mylene Ahaounou	Head of Sub Office, UNHCR, Maroua	HCR

Jean Marie Awono	Associate Protection Officer (Comm. Based)	HCR
Kadessou Djarmatna	WASH Officer	HCR
Modou Adji	<i>Team member (Field visit)</i> IDPs	COMITE IDPs
Jean Sébastien Munie	Chargé des affaires Humanitaires, Chef de Sous-Bureau Maroua	OCHA
Modibo Traore	Chef de Bureau	OCHA
Mbele Kombo	<i>Team member (Field visit),</i> Chef canton Mbodomo Ngoura	n/a

Lebanon CCS

Name	Position	Organization
Violet Warnery	Deputy Representative/Representative OIC	UNICEF
Jackie Atwi	Child Protection Officer (Child Labor)	UNICEF
Prem Bahadur Chand	Chief Field Operations (OIC) North	UNICEF
Maxime Bazin	Cash Specialist	UNICEF
Genevieve Begkoyian	Head of Child Survival	UNICEF
Jorge Bica	WIE Specialist	UNICEF
Hussein Fakih	WASH Stabilization Specialist	UNICEF
Georges Haddad	PME Specialist	UNICEF
Diala Ktaiche	C4D Specialist	UNICEF
Mazen Manna	Deputy Representative, Operations	UNICEF
Ahmad Nizam	Team Lead Labour Intensive Project / Former DG Water Establishment South	UNICEF
Amal Obeid	Youth Specialist	UNICEF
Nabil Rizk	Communications Specialist - Engagement	UNICEF
Olivier Thonet	Chief of WASH WASH Sector Coordinator	UNICEF
Rahel Vetsch	Emergency Officer / OIC Humanitarian Affairs	UNICEF
Mahdi Wehbi	Water Sector Coordination (IM)	UNICEF
Charbel Hanna	OIC Child Survival & Development Officer Water Sector Field Coordinator-North & Akkar	UNICEF
Houssein Nouredine	Child Survival Program Officer	UNICEF

Name	Position	Organization
Maria Saidy	Water Sector Field Coordinator-Bekaa Child Survival Program Officer	UNICEF
Utpal TK	Chief of Field Office	UNICEF
Suzy Haoyek	Adviser to the Minister	Ministry of Energy and Water
Lamia Mansour	Adviser to the Minister	Ministry of Environment
Randa Nemr	Adviser to the Minister	Ministry of Energy and Water
Beatriz Navarro-Rubio	Head of Mission	ACF
Jean McCluskey	WASH Coordinator	Oxfam
Elie Mansour	Head of Urban Planning and Design	UN-HABITAT
Bobbie Francis Baker	Senior Technical Officer (Shelter & WASH)	UNHCR
Carol Sparks	Inter-Agency Coordinator	UNHCR

South Sudan CCS

Name	Position	Organization
Mohamed Ag Ayoya	Representative	UNICEF
Andrea Suley	Deputy Representative	UNICEF
Hyun Hee Ban	Chief - Social Policy, Planning, Monitoring and Evaluation	UNICEF
Gopinath Durairajan	Head of C4D	UNICEF
Antonio Galli	Emergency Specialist, Humanitarian Access	UNICEF
Julie Halding	Cash Based Approaches Officer	UNICEF
Aamer Khan	M&E Specialist	UNICEF
Victor Kinyanjui	Chief of WASH	UNICEF
Anne Laevens	Health Manager	UNICEF
Samuel Madul	WASH Specialist	UNICEF
Rory Morrison	Programme Officer	UNICEF
Mads Oyen	Chief of Field Operations	UNICEF
Haitham Shatti	M&E Specialist	UNICEF
Rose Tawil	WASH Specialist	UNICEF
Francois Bellet	WASH Cluster Coordinator	UNICEF
Olivia Pearson	Information Management Specialist	UNICEF
Shouki Aboch Ajak	WASH Officer	UNICEF
Maleng Alel	Commissioner	Aweil South Local Government
Deng Nyinkuany Akuar	Director General	State Ministry of Water Resources Irrigation and Rural Development Aweil State

Name	Position	Organization
Picos Ariath Ngor	Director for Rural Water Supply and Sanitation	State Ministry of Water Resources Irrigation and Rural Development Aweil State
Alier Bullen N Oka	Undersecretary	Ministry of Water Resources and Irrigation
Riak Mabor	WASH Cluster Sub-National Coordinator (Northern Bahr el Ghazal)	CEDS
Michelle Dann	Programme Support Officer	Concern Worldwide
Emma Massey	Humanitarian Adviser	DFID
Richard Aludra	Policy Officer, Water	Embassy of the Kingdom of the Netherlands, South Sudan
Marc Mazairac	1st secretary, Coordinator Water, Food Security, Climate and Private Sector Development	Embassy of the Kingdom of the Netherlands, South Sudan
Ismail Abdalla Lado	National Field Officer	OCHA
Andrea Noyes	Deputy Head of Office	OCHA
Morie Amadu	EP&R Manager	Oxfam South Sudan
Arike Kassim	PHE Team Leader	Oxfam South Sudan
Beata Dolinska	Head of Programmes	Polish Humanitarian Action
Modi Alphonse	Programme Manager	RUWASSA
Joseph Kenyi	Director	RUWASSA
Labina Patricia	WASH Programme Coordinator	RUWASSA
Steven Luga Wani	Programmes Director	SSDO

Public health TCS

Name	Position	Organization
Gregory Bulit	Cholera Cluster Lead, Haiti	UNICEF
Jorge Caravotta	Health in Emergencies Specialist, DRC	UNICEF
Nicholas Chudeau	WASH Chief, DRC	UNICEF
Abner Dorvil	Emergency Officer, Haiti	UNICEF
Giuliaserena Gagliardini	Cluster Lead, DRC	UNICEF
Nisar Syed	WASH Chief, Yemen	UNICEF
Emma Tuck	WASH Cluster Coordinator, Yemen	UNICEF
Peter Nyamoko	WASH TA, Yemen	Save the Children
Jean-Sébastien Molitor	CD SI, Haiti	Solidarités International
Enamul Hoque	HSP, Yemen	Oxfam

Urban TCS

Name	Position	Organization
Bisi Agberimi	Urban WASH Specialist, NY	UNICEF
Gregory Bulit	Emergency Manager / GTFCC, Yemen	UNICEF
Aidan Cronin	WASH Chief, Zimbabwe	UNICEF
Alessandra Dentice	Country Deputy Representative, Syria	UNICEF
Eyad EIDubai	WASH Sector Coordinator, Syria	UNICEF
Samuel Godfrey	WASH Adviser, ESAR	UNICEF
Dara Johnston	WASH Chief, Bangladesh	UNICEF
Khaled Shalak	Consultant, Syria	UNICEF and Syrian Arab Red Crescent
Nizar Syed	WASH Chief, Yemen	UNICEF
Georges Tabbal	WASH Chief, Syria	UNICEF
Emma Tuck	WASH Cluster Coordinator, Yemen	UNICEF
Monaf Youssef	WASH Manager, Syria	UNICEF
Enamul Hoque	WASH Coordinator	INGO Partner
Peter Nyamko	WASH Coordinator	INGO Partner

Annex 6. Details of evaluation universe and list of county case studies and sites visited

Table 4: List of countries included in the evaluation universe

Region	Crisis	Type of crisis	Countries
West and Central Africa	Nigeria and the Lake Chad basin	Extensive armed conflict (Boko Haram) resulting in large scale displacement (both refugees and IDPs)	Chad
			Cameroon
			Niger
			Nigeria
	Central African Republic	Multiple refugee crises (CAR and Boko Haram) and increasing internal conflicts (Anglophone areas)	Central African Republic
Ebola virus pandemic in West Africa	Prolonged public health crisis.	Guinea	
		Conakry	
		Liberia	
		Sierra Leone	
Kasai provinces in the DRC	Multiple overlapping crises: armed conflict, civil unrest, public health outbreaks (Ebola and cholera)	DRC	
East and Southern Africa	Horn of Africa	Widespread malnutrition and limited access to water. Conflict in Somalia. Significant refugee populations.	Ethiopia
			Kenya
			Somalia
South Sudan	Prolonged internal conflict, significant numbers of IDPs (plus refugee populations in neighbouring countries). Endemic cholera.	South Sudan	
Middle East and North Africa	Syria and neighbouring countries ¹	Active conflict (Syria) and very large-scale displacement to neighbouring countries	Jordan
			Lebanon
			Syria
	Iraq	Widespread violence and protection violations, significant destruction of infrastructure and large numbers of IDPs.	Iraq
Yemen	Large numbers of IDPs, malnutrition/food insecurity, cholera/diarrhoea, protection violations.	Yemen	
South Asia	Afghanistan ²	Overlapping conflicts, violence and natural disasters.	Afghanistan
	Rohingya Crisis	Large scale refugee crises arising from conflict in Myanmar.	Bangladesh
Latin and Central America	Haiti Cholera Crisis	Public health crises.	Haiti

¹ Egypt and Turkey were initially considered as part of this crisis, but were not included in this evaluation due to the absence of UNICEF Country Office WASH expenditure.

² This is classified as L1 during the evaluation period, but considered as a protracted crisis due to the unique context

Annex 7. Online survey descriptive analysis

Introduction

As part of the Global Evaluation of WASH Programming in Protracted Crises, 2014-19, Itad carried out an online survey for UNICEF staff and partners working in protracted crises. This report provides an overview of the survey design, implementation and presents a descriptive analysis of the online survey results.

The first part of the report provides an overview of the *Methodology* with details of the *Survey respondents*. This is followed by the *Survey results*, with headline questions from each of the six sections of the survey. Data on all questions are given in each section, though some questions have been omitted due to a low response rate resulting from a technical issue (discussed further below). Results for UNICEF staff are presented in **blue**, and results for Partners presented in **green**. The full text of responses to open-ended questions has not been included due to confidentiality but is available upon request on a case-by-case basis.

Methodology

Design process

Itad developed a survey protocol, which included a full set of the survey questions. The questions were finetuned with the UNICEF Evaluation Office. A full set of the final questions are provided in Appendix 1 (separate document). The survey questions are grouped into six sections, following the logic of the evaluation questions. Questions were generated by thinking through the various ways in which UNICEF provides support to its staff and partners in the relation to each evaluation question. Key areas of enquiry that run throughout the survey are training, supporting documents, human resources, systems/tools, and supplies.

Pre-testing

The survey went through several iterations, with key input and pre-testing provided by WiPC team members, the EO, and three UNICEF staff operating in target country contexts. Pre-testing was done with a focus on functionality, user-experience (i.e. length and clarity), and relevance. Once the survey had undergone its final draft, it was quality assured by an Itad team member and finalized.

Sampling

The survey respondent list was compiled by the UNICEF EO, consisting primarily of the WASH teams in UNICEF COs in the countries where WASH programming in situations of protracted crisis has been or is currently underway (see Section 0 for respondent country details). One member from each CO was asked by the EO to provide Itad with the contact details of members of their partner organizations so that the link to the survey and request for taking part in the survey could also be sent directly to them

Technical details

The survey was hosted on the surveymonkey platform, and invitations to the survey were disseminated via surveymonkey to the emails provided. This allowed the Itad team to track the responses to the survey, and send automated emails to remind those that had not filled the survey in yet. The survey was live for 19 days from 24/10/2019 to 11/11/2019. Two automated reminders were sent (30/10/2019 and 05/11/2019), as well as one manual reminder sent by the EO on

6/11/2019. In addition to the survey invitation, a survey weblink was created to allow the survey to be easily shared with partner staff. Details of responses to both the invitation and weblink can be found in 0.

Limitations

There was one issue identified whereby the skip logic directed some survey respondents to the wrong part of the survey. This issue was picked up whilst the survey was live, but had affected 16 of the UNICEF staff survey responses. The implications were mitigated by manually changing the data once the survey was closed, which allowed the answers provided to be re-allocated to the right sections. The remaining implication of this issue is that the 16 affected responses are missing answers to questions in sections *Preparedness (0)*, *Partnerships (0)*, and questions relating to training in *Achieving quality (0)*. This has resulted in low response rates for some of these questions, and any questions with less than 14 responses were consequently excluded from the descriptive analysis.

Survey respondents

The survey invitation was sent via survey monkey to a total of 128 people, and a web link was shared (total number unknown). The survey received 76 responses³, 61 of which were complete and 15 of which were partially complete. Out of the 76 responses, 52 (68%) were UNICEF staff from the following offices:

- 2 (4%) Regional Office
- 45 (86%) Country Office
- 5 (10%) Subnational.

The remaining 24 (32%) of the 76 responses were partners from the following types of organizations:

- 12 (50%) National NGOs
- 8 (33%) International NGOs
- 3 (13%) Community-based organization
- 1 (4%) Other

The respondents are based in 24 different countries, with the highest response rate from those in Somalia and Liberia:

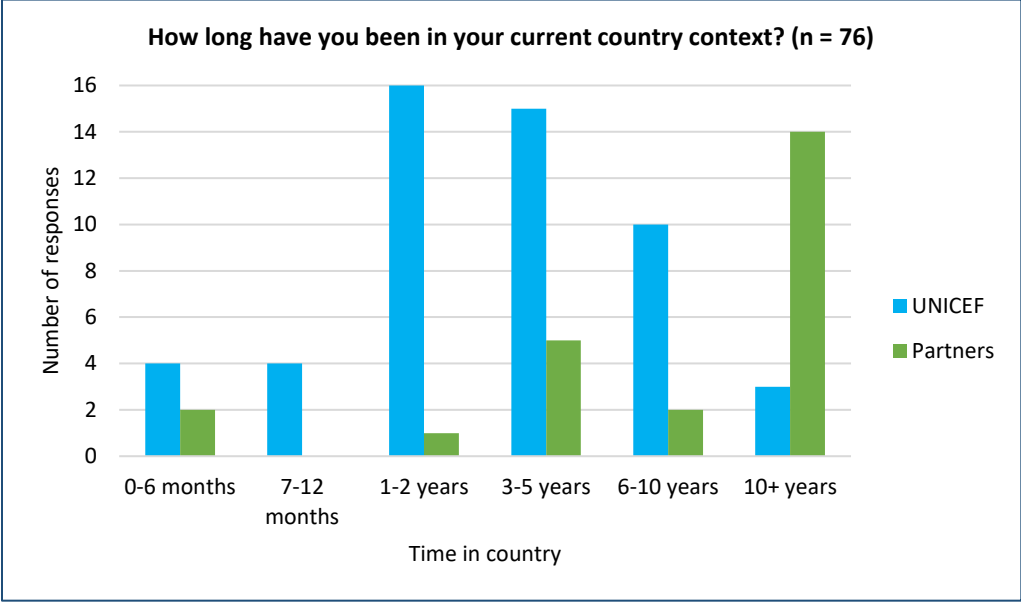
Country	Combined		UNICEF		Partners	
	%	#	%	#	%	#
Afghanistan	7.89%	6	1.92%	1	20.83%	5
Bangladesh	1.32%	1	1.92%	1	0.00%	0
Cameroon	2.63%	2	3.85%	2	0.00%	0
Central African Republic	5.26%	4	7.69%	4	0.00%	0
Chad	1.32%	1	1.92%	1	0.00%	0
DRC (Kasai province)	0.00%	0	0.00%	0	0.00%	0
Ethiopia	6.58%	5	9.62%	5	0.00%	0
Guinea	2.63%	2	3.85%	2	0.00%	0
Haiti	0.00%	0	0.00%	0	0.00%	0

³ Whilst we received more UNICEF responses than anticipated in the survey protocol, we are cognizant that there were significantly less responses from partners than expected (24 as opposed to 200). The responses from partners are also geographically concentrated in six countries, and results should therefore be considered with this caveat in mind.

Iraq	2.63%	2	3.85%	2	0.00%	0
Jordan	1.32%	1	1.92%	1	0.00%	0
Kenya	1.32%	1	1.92%	1	0.00%	0
Lebanon	2.63%	2	3.85%	2	0.00%	0
Liberia	11.84%	9	9.62%	5	16.67%	4
Niger	5.26%	4	5.77%	3	4.17%	1
Nigeria	1.32%	1	1.92%	1	0.00%	0
Palestine	2.63%	2	1.92%	1	4.17%	1
Sierra Leone	3.95%	3	5.77%	3	0.00%	0
Somalia	19.74%	15	9.62%	5	41.67%	10
South Sudan	9.21%	7	7.69%	4	12.50%	3
Syria	2.63%	2	3.85%	2	0.00%	0
Yemen	5.26%	4	7.69%	4	0.00%	0
Other (please specify)	2.63%	2	3.85%	2	0.00%	0
Total (#)		76		52		24

Responses were not received from either UNICEF staff or partners in the DRC and Haiti. Partner responses were received from six countries, 41.67% of which came from Somalia, and 20.83% from Afghanistan.

The majority of respondents had been based in their current country context for 1-5 years, or over 10 years (suggesting a long-term residence):

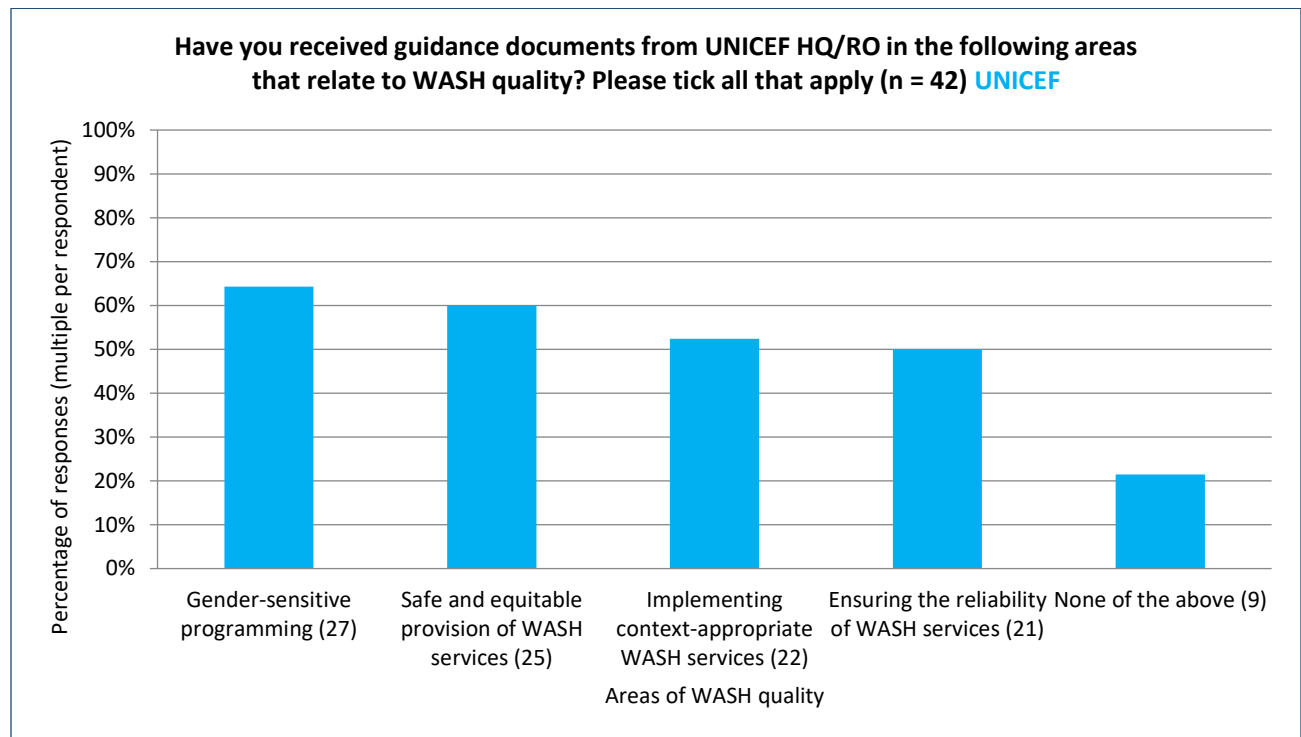


Survey results

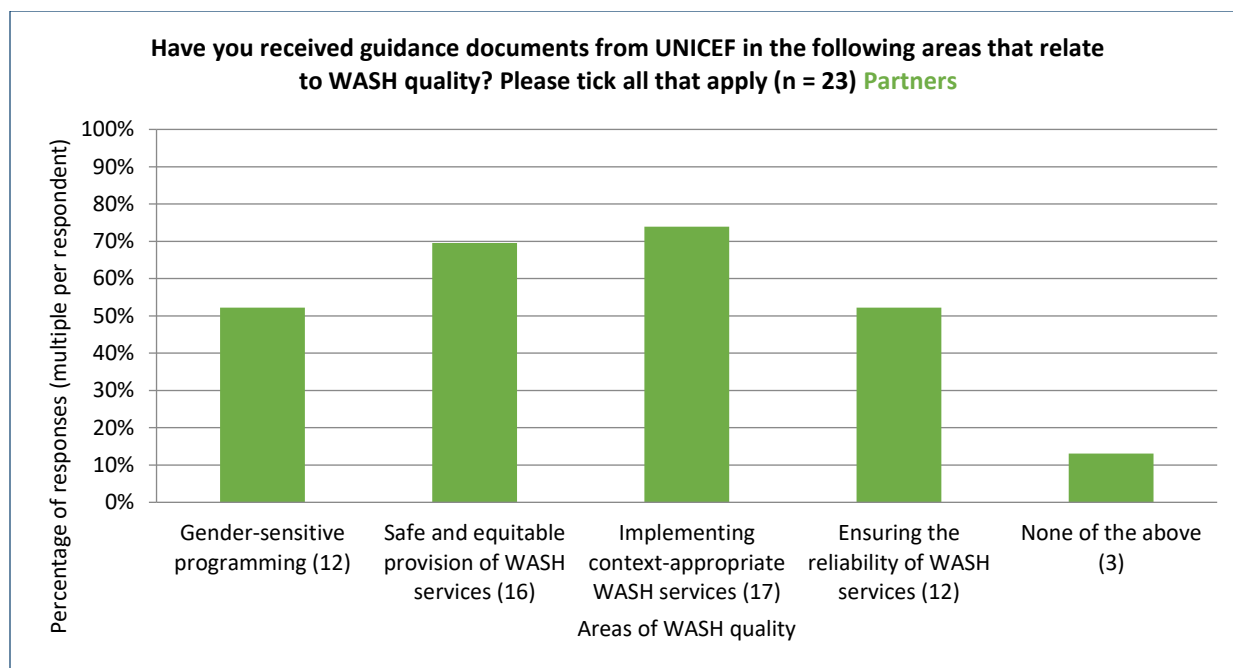
This section provides results and analysis for all the survey questions with a meaningful response rate, and is structured as follows: Achieving quality (EQ1), WASH cluster leadership and coordination (EQ2), Monitoring and reporting (EQ3), Preparedness with respect to WASH in protracted crises (EQ4.1), Partnerships (EQ4.2), Linkages to development (EQ5).

Achieving quality

This section looks at achieving quality, in reference to EQ1.



The guidance document area that was most widely received relating to WASH quality was gender-sensitive programming (64%), followed by safe and equitable provision of WASH services (60%), implementing context-appropriate WASH services (52%) and lastly ensuring the reliability of WASH services (50%). A total of 9 out of 42 respondents for this question reported having received none of the above (21%).



In contrast to UNICEF staff, the guidance document area that was most widely received by Partners from UNICEF relating to WASH quality was implementing context-appropriate WASH services (74%), followed by safe and equitable provision of WASH services (70%), and gender-sensitive programming and ensuring the reliability of WASH services both at 52%. 3 out of 23 respondents for this question reported having received none of the above (13%).

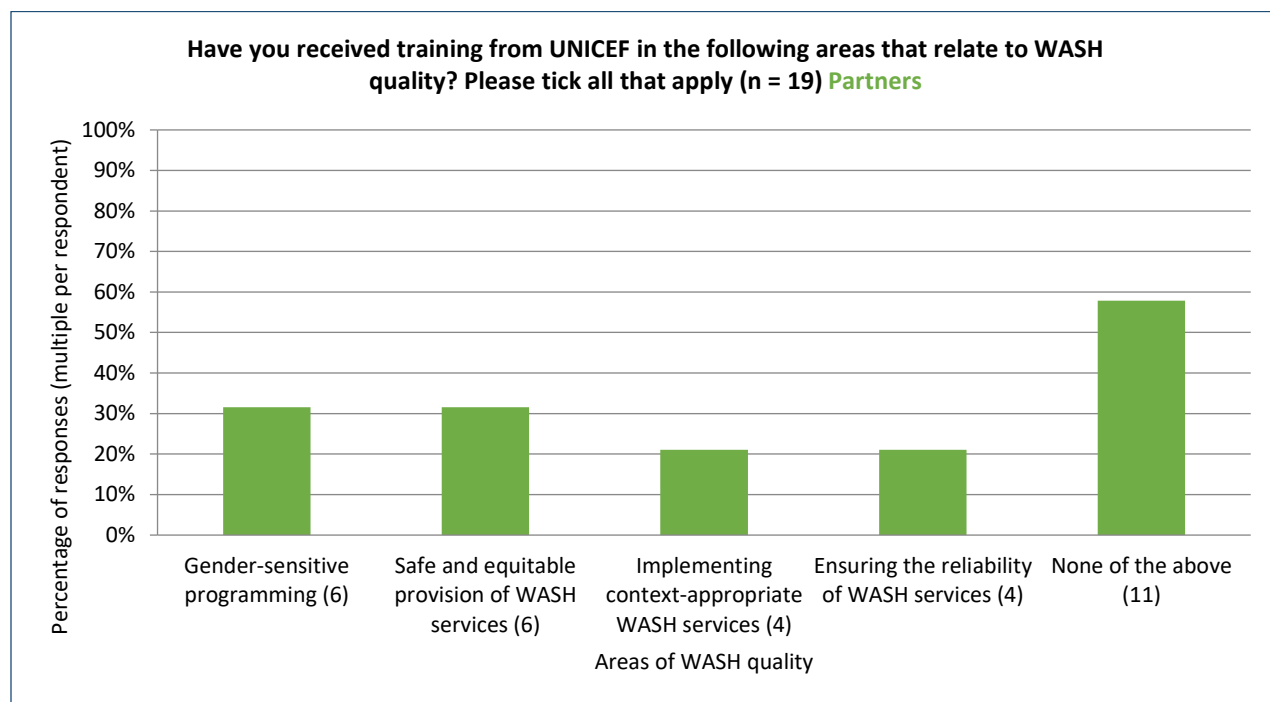
In reference to the previous question, please provide the titles of the key documents used to inform WASH quality

Response	# mentioned		
	UNICEF	Partners	Total
Gender	5	4	9
WASH in emergencies	5	3	8
SPHERE handbook	4	3	7
WASH strategy	5	1	6
WASH in schools	2	2	4
CLTS	0	3	3
WASH in healthcare facilities	1	1	2
Climate resilience	2	0	2
Market-based programming	2	0	2
Water safety	2	0	2
Core Commitments for Children	2	0	2

A range of different key documents were cited, with the following types of document appearing in several survey responses:

- Gender
- WASH in emergencies

- SPHERE handbook
- WASH strategy
- WinS

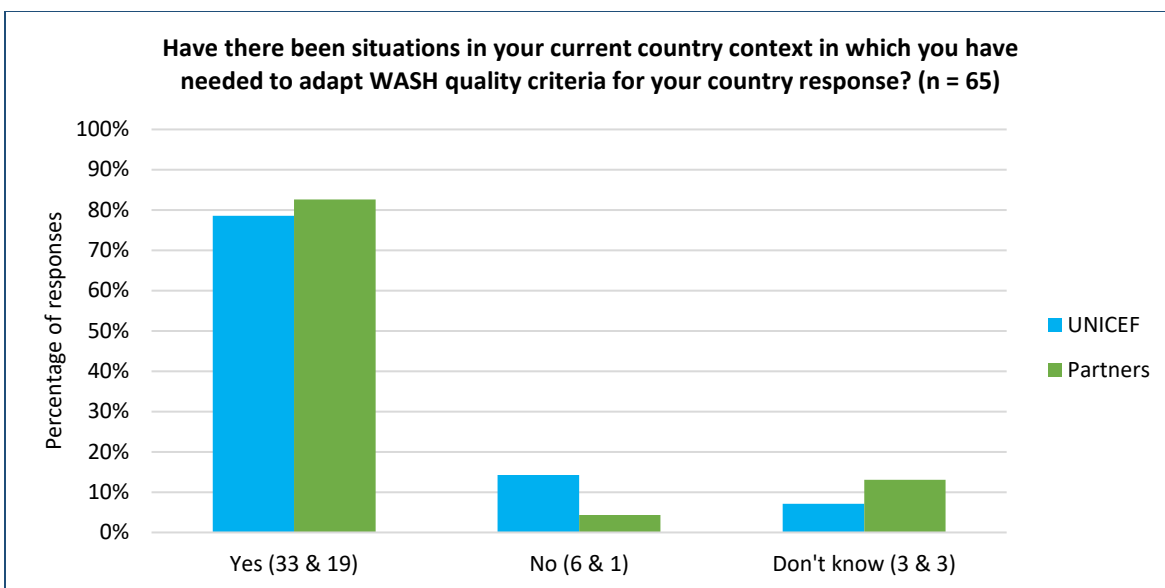


The training area most widely received from Partners from UNICEF relating to WASH quality was gender-sensitive programming and safe and equitable provision of WASH services (32%), followed by implementing context-appropriate WASH services and ensuring the reliability of WASH services (21%). 11 out of 19 respondents for this question reported having received none of the above (58%).

In reference to the previous question, please provide details of the training provided Partners

Response	# mentioned
Type of training	Total
General WASH	5
Gender	4

The responses provided refer mostly to general WASH training and gender-sensitive programming.



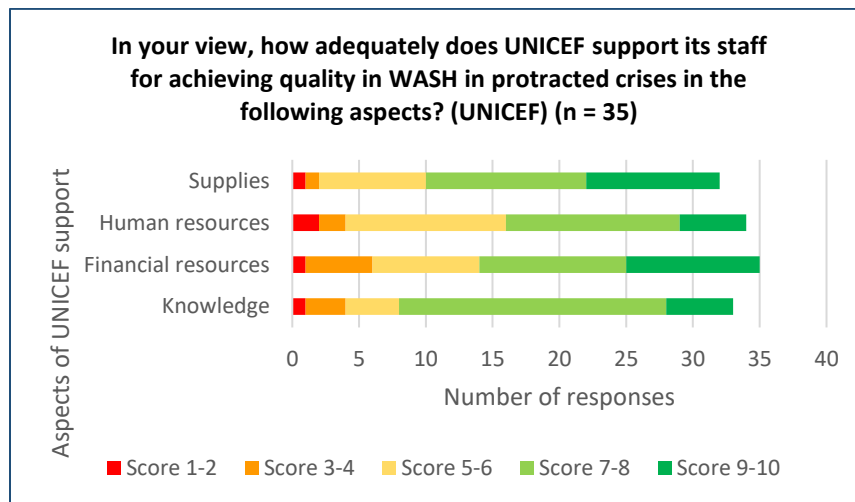
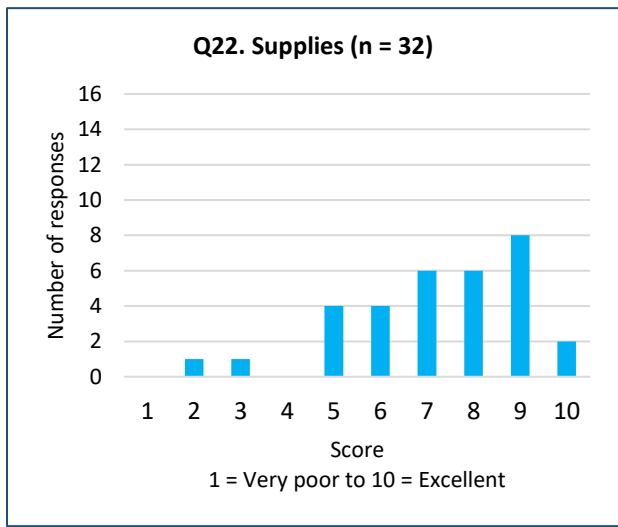
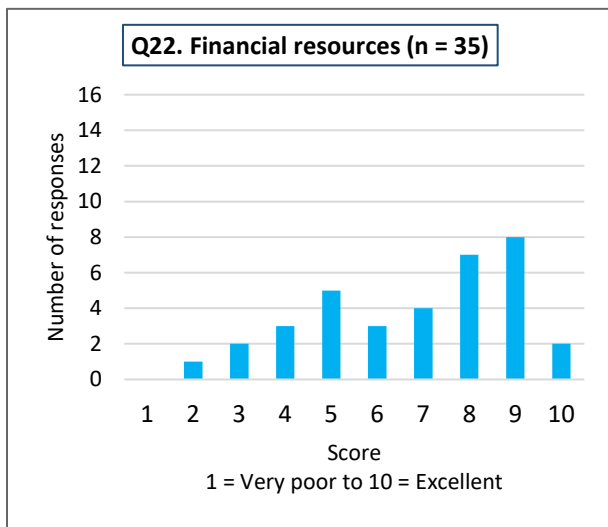
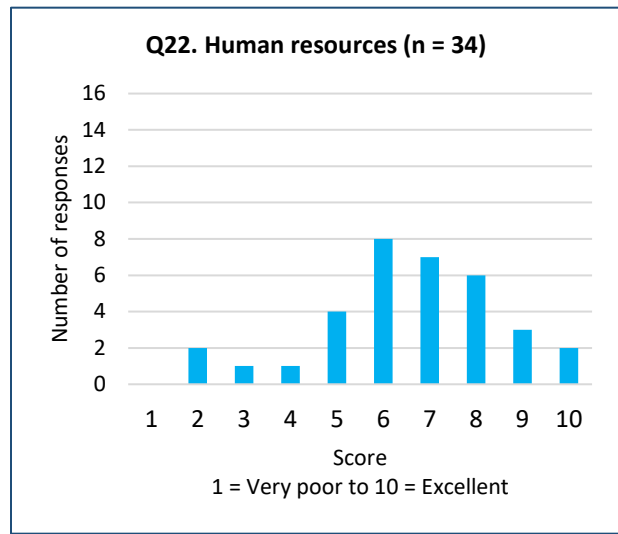
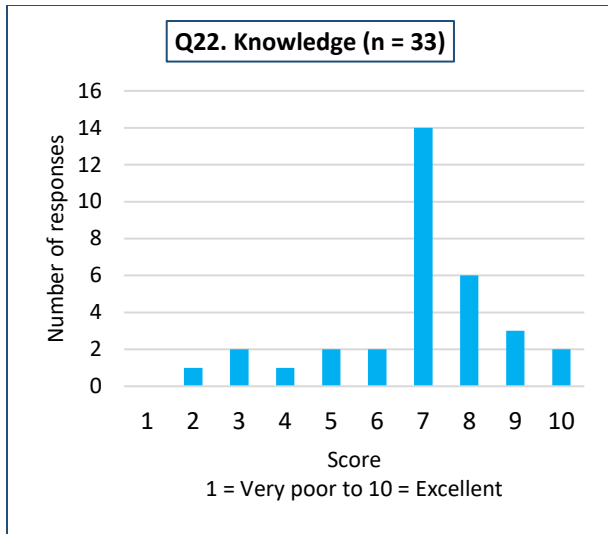
The majority of both UNICEF (79%) and Partners (83%) reported having needed to adapt WASH quality criteria for their country response.

Please provide an example of a situation in which you have needed to adapt WASH quality criteria for your country response

Response	# mentioned		
	UNICEF	Partners	Total
Type of situation / adaptation			
Context-specific designs	7	2	9
Health crises	4	2	6
Natural disaster	3	2	5
Lack of guidance	3	1	4
Limited by resources (supply/material)	1	3	4
During conflict	2	1	3
Limited by resources (knowledge)	2	0	2
Limited by resources (financial)	2	0	2
Minimum standards not met	0	2	2
Limited by resources (personnel)	1	0	1
Healthcare facilities/WinS	1	0	1

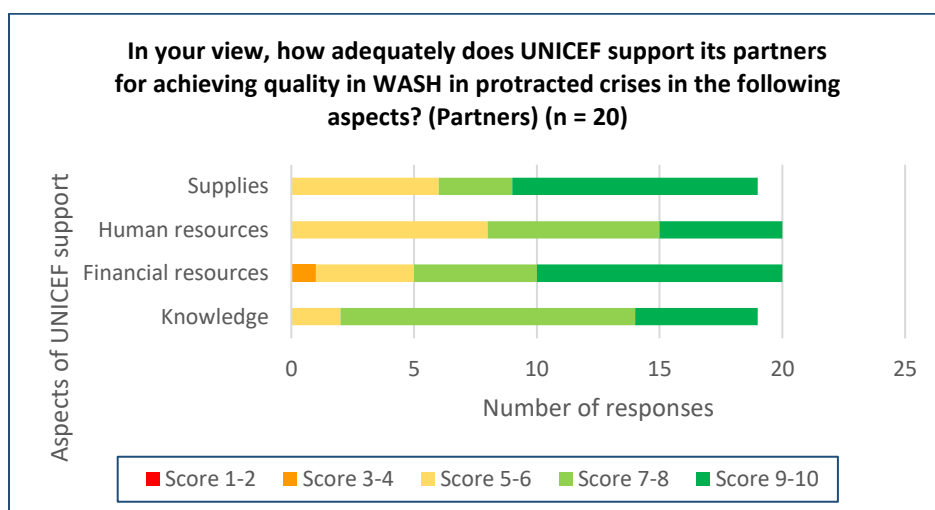
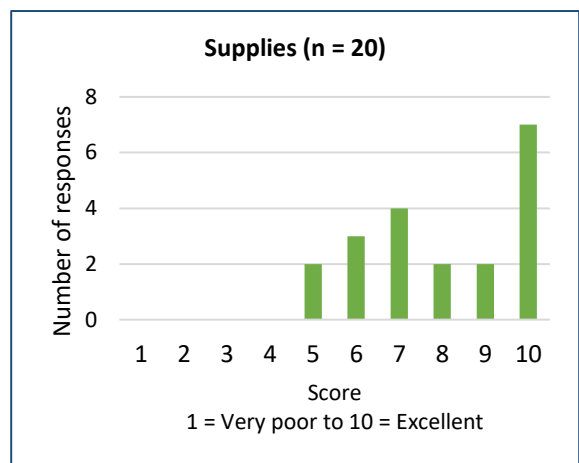
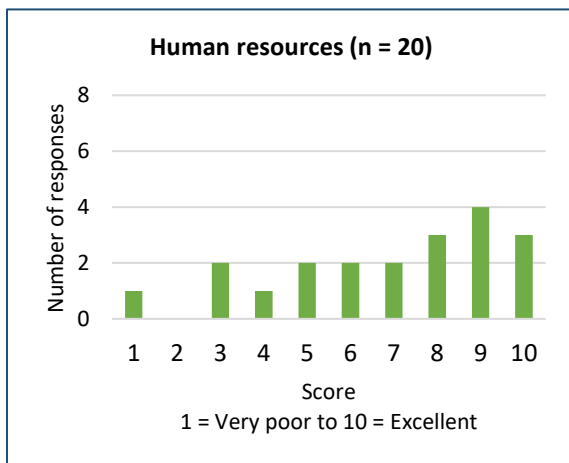
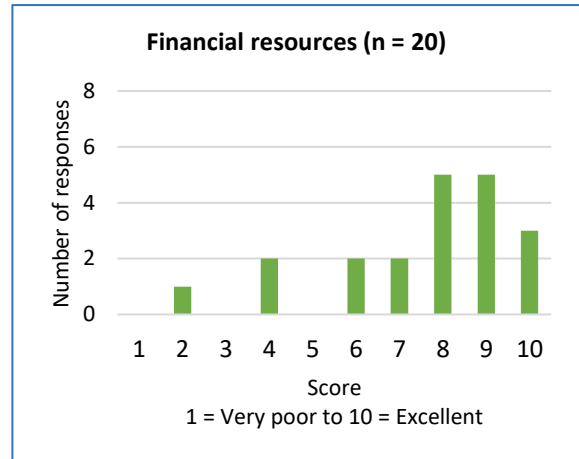
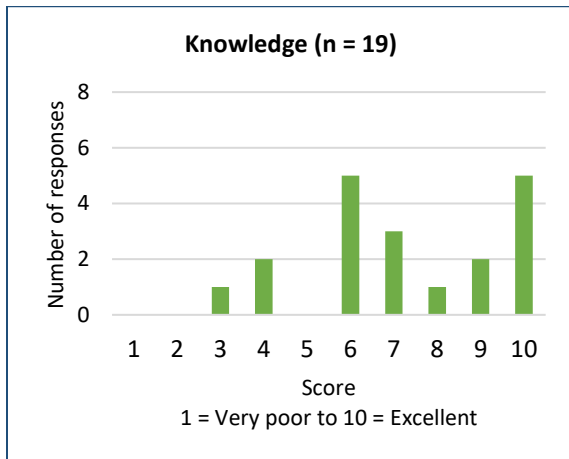
A wide range of examples were provided, some focusing on the context within which WASH quality criteria was adapted, and others on the details of the adaptation. The most common response refers to designs adapted to suit a specific context, whilst others discussed the setting in which adaptation occurred, such as health crises, natural disasters and during conflict. The two main reasons provided for the need for adaptation were a lack of guidance on what the WASH quality standards are, or resource limitations.

In your view, how adequately does UNICEF support its staff for achieving quality in WASH in protracted crises in the following aspects? UNICEF



The results suggest that UNICEF staff generally feel well supported in terms of knowledge, but less well with regards to resources, where similar score distributions can be seen for financial resources, human resources, and supplies.

In your view, how adequately does UNICEF support its partners for achieving quality in WASH in protracted crises in the following aspects? Partners



Results suggest that Partners feel UNICEF provide adequate response in terms of supplies, as well as financial resources and knowledge although for the latter two responses are more mixed, with some respondents not feeling well supported. The area in which the support provided is seen as mixed is human resources. When being asked about areas where additional support is required, most survey respondents refer to training and capacity building (see below). This is mirrored by UNICEF staff's responses who also indicate that capacity building and training is a key area for increasing support to achieve quality in WASH.

In your opinion, what actions could UNICEF take to better support its partners for achieving quality in WASH in protracted crises? Partners

Response	# mentioned
Type of action	Total
Training to staff	9
Build capacity	5
Resource support	2
Financial support	1

The majority of respondents identify training and capacity building as the two main actions could UNICEF take to better support its partners for achieving quality in WASH in protracted crises, with some mention of resource and financial support as well.

Response	# mentioned
Type of action	Total
Training to staff	9
Build capacity	5
Resource support	2
Financial support	1

In your opinion, what actions could UNICEF take to better support its staff for achieving quality in WASH response in situations of protracted crises? UNICEF

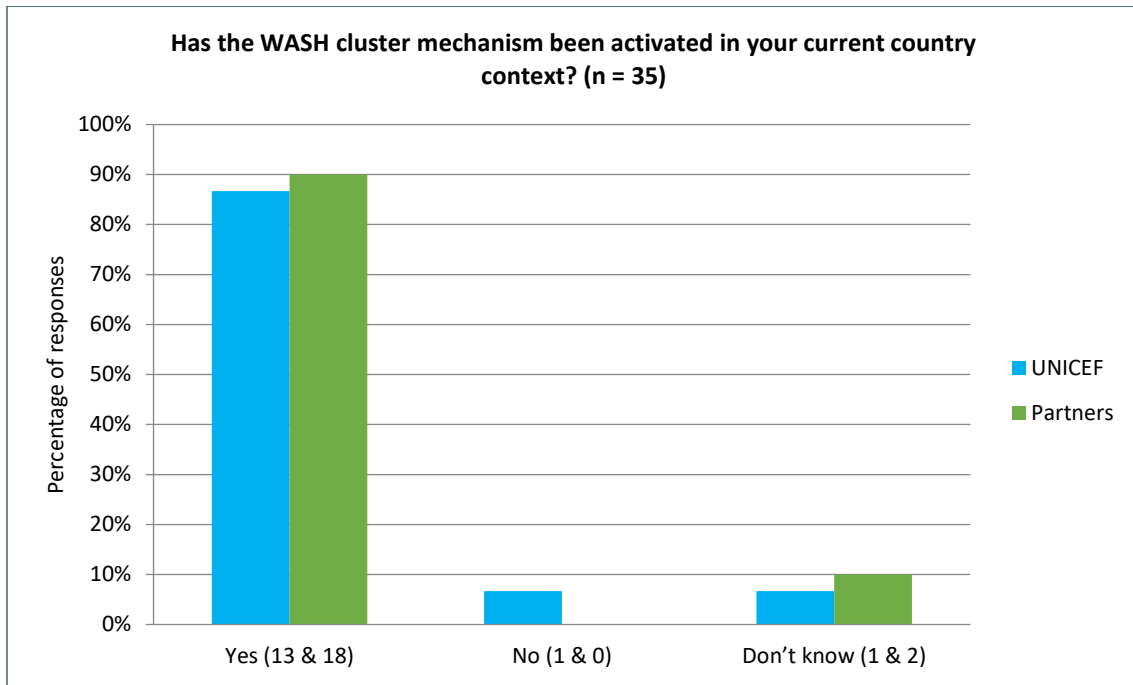
Response	# mentioned
Type of action	Total
Training	6
Build capacity	6
Guidance provided	1
Capturing learning	1
Field monitoring visits	1

Several UNICEF staff felt that UNICEF could better support its staff for achieving quality in WASH response in situations of protracted crises through increased training and capacity building. Having the right number of staff with the relevant expertise in place to respond to a crisis was also cited as an area in which better support could be provided.

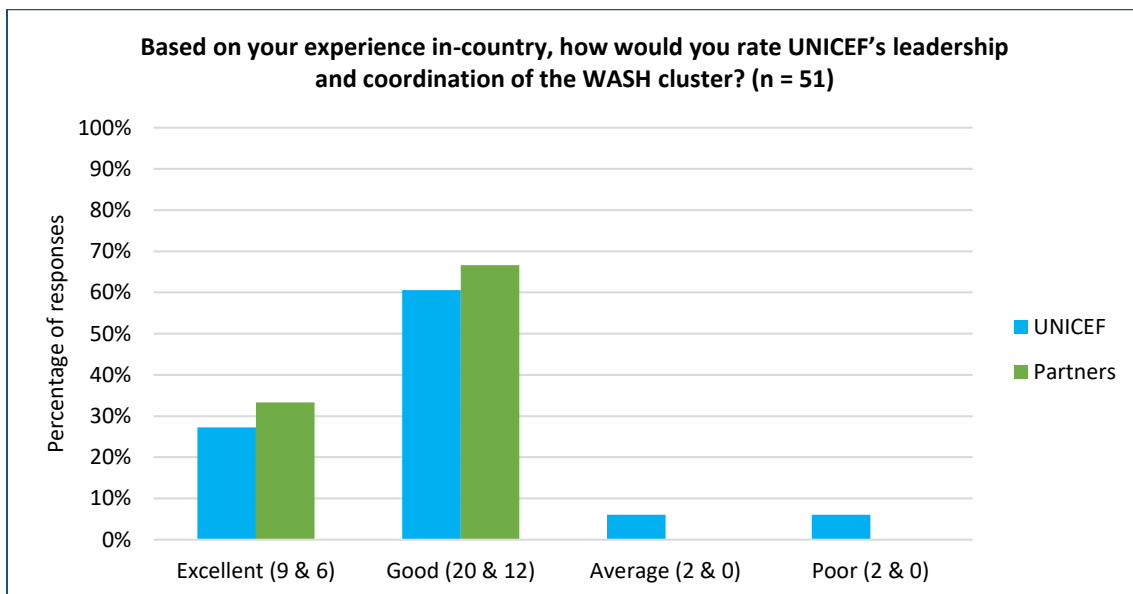
Note: 10 questions relating to training have been omitted from this section, as there are not enough survey responses to warrant a viable analysis.

WASH cluster leadership and coordination

This section looks at WASH cluster leadership and coordination, in reference to EQ2.



The cluster mechanism had been activated in the vast majority of respondent's country contexts (87% for UNICEF and 90% for Partners).



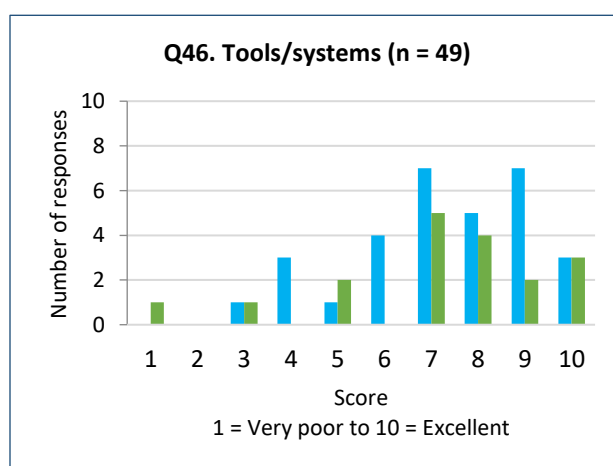
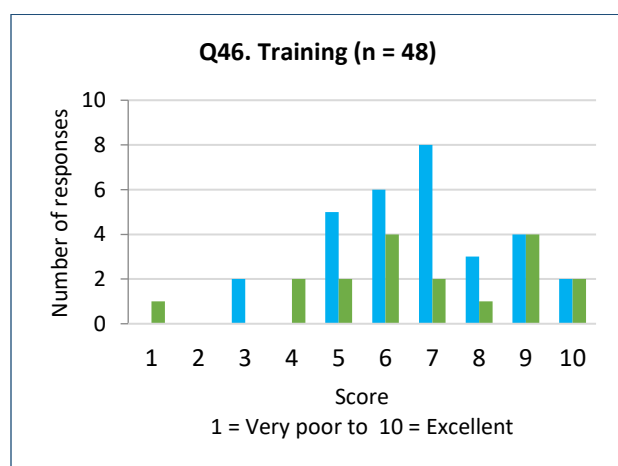
UNICEF’s leadership and coordination of the WASH cluster was rated as excellent or good by all Partners and the vast majority of UNICEF staff. Responses suggest that UNICEF staff rate the leadership and coordination moderately less favorably than Partners, whilst still predominantly positively.

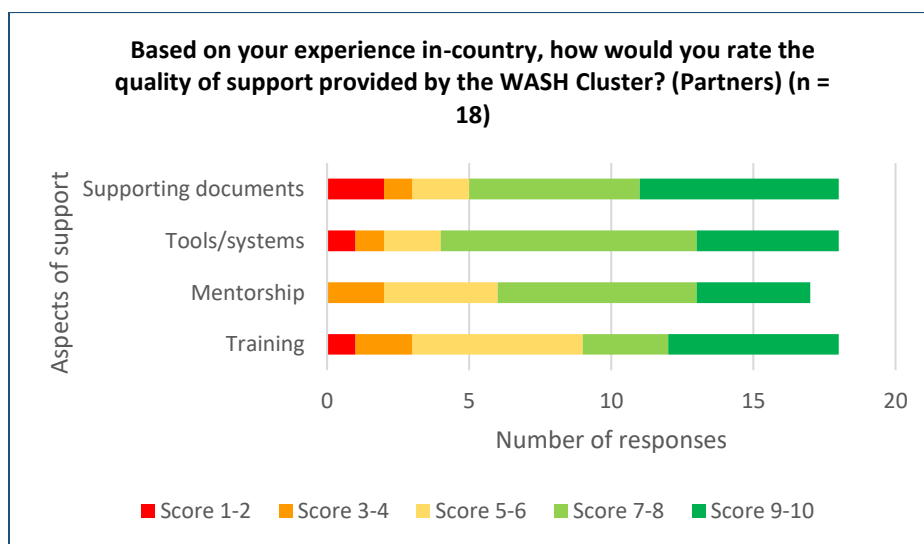
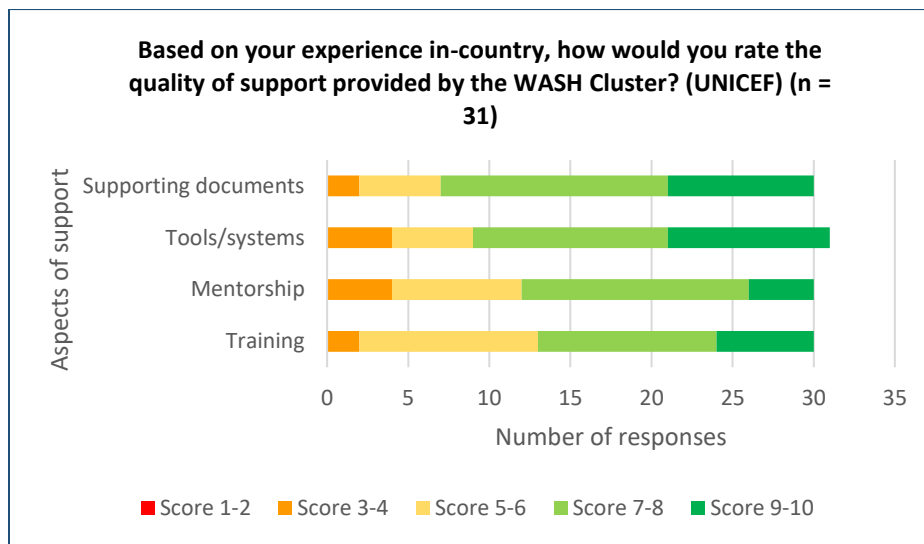
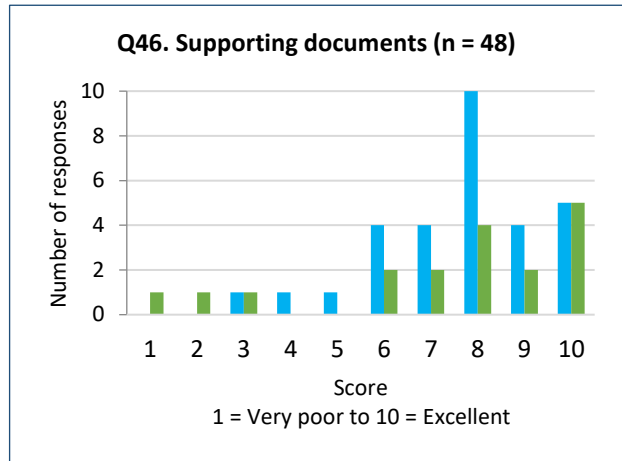
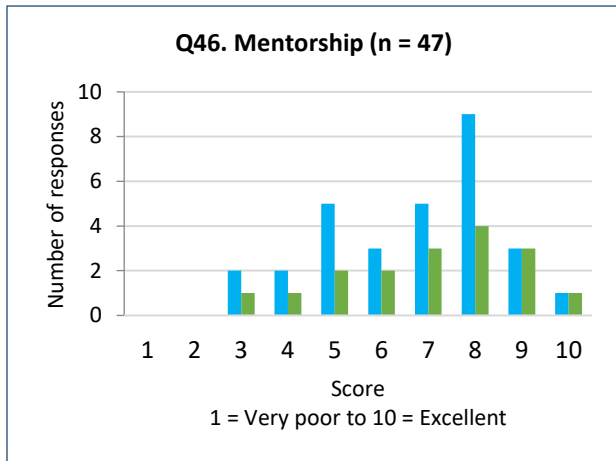
In your opinion, how could UNICEF’s coordination of the WASH cluster in your current country context be improved?

Response	# mentioned		
	UNICEF	Partners	Total
Strengthening sub-national level structure	5	1	6
Increasing cluster staffing level	6	0	6
Enhanced engagement with partners	0	4	4
Long-term funding for WASH cluster coordinator	4	0	4
Capacity building to government	3	1	4
Training to WASH partners	0	4	4
Capacity building for cluster staff	2	1	3
Quicker recruitment	1	0	1
UNICEF to take on more leadership	1	0	1
M&E coordination systems strengthened	0	1	1

A number of suggestions for improving UNICEF’s coordination of the WASH cluster in respondent’s country contexts were made by UNICEF staff and Partners. It is difficult to generalize, but beyond calls for increased resourcing, two recurrent comments concern cluster coordination strengthening at the sub-national level and increasing staffing levels.

Based on your experience in-country, how would you rate the quality of support provided by the WASH Cluster? UNICEF + Partners

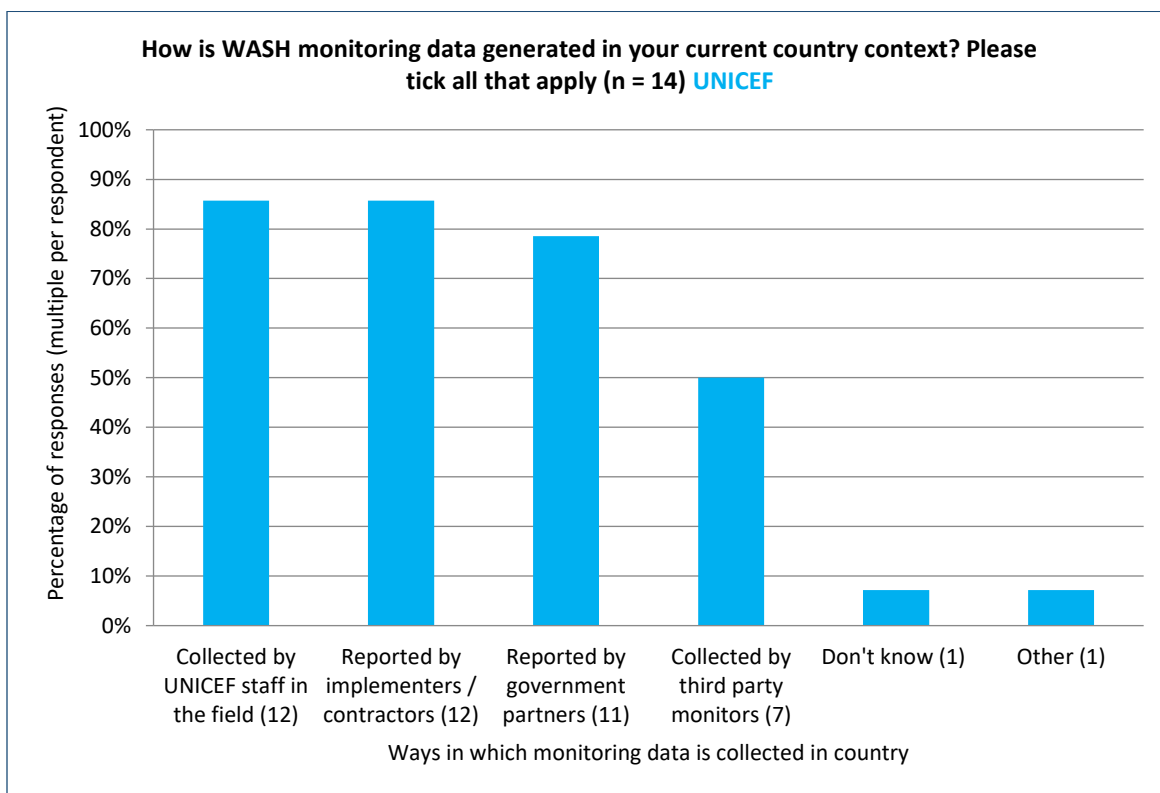




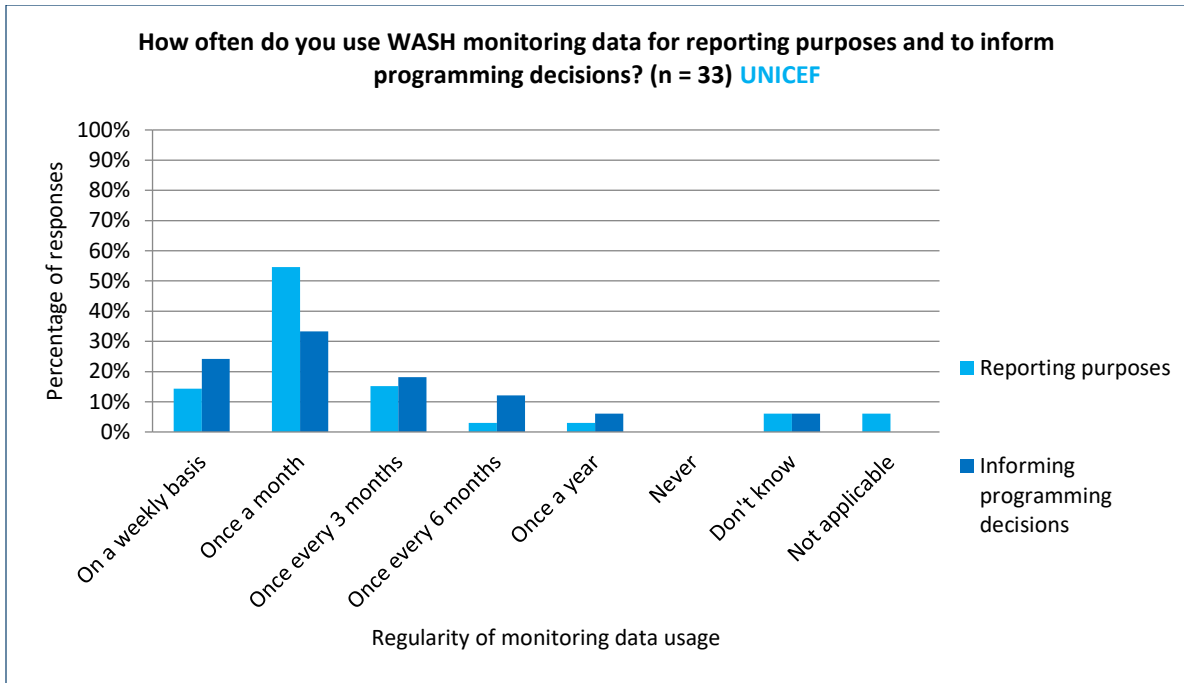
For UNICEF staff, the quality of support from the WASH Cluster is strongest with regards to supporting documents and tools/systems, followed by mentorship and training where the results are moderately more mixed. The distribution of responses for Partners is generally less distinctive, with fairly similar responses given for each of the four areas of enquiry. A discernable difference in opinion between UNICEF and partners can be seen with regard to supporting documents, which is rated more positively by UNICEF than by partners.

Monitoring and reporting

This section looks at achieving monitoring and reporting, in reference to EQ3.



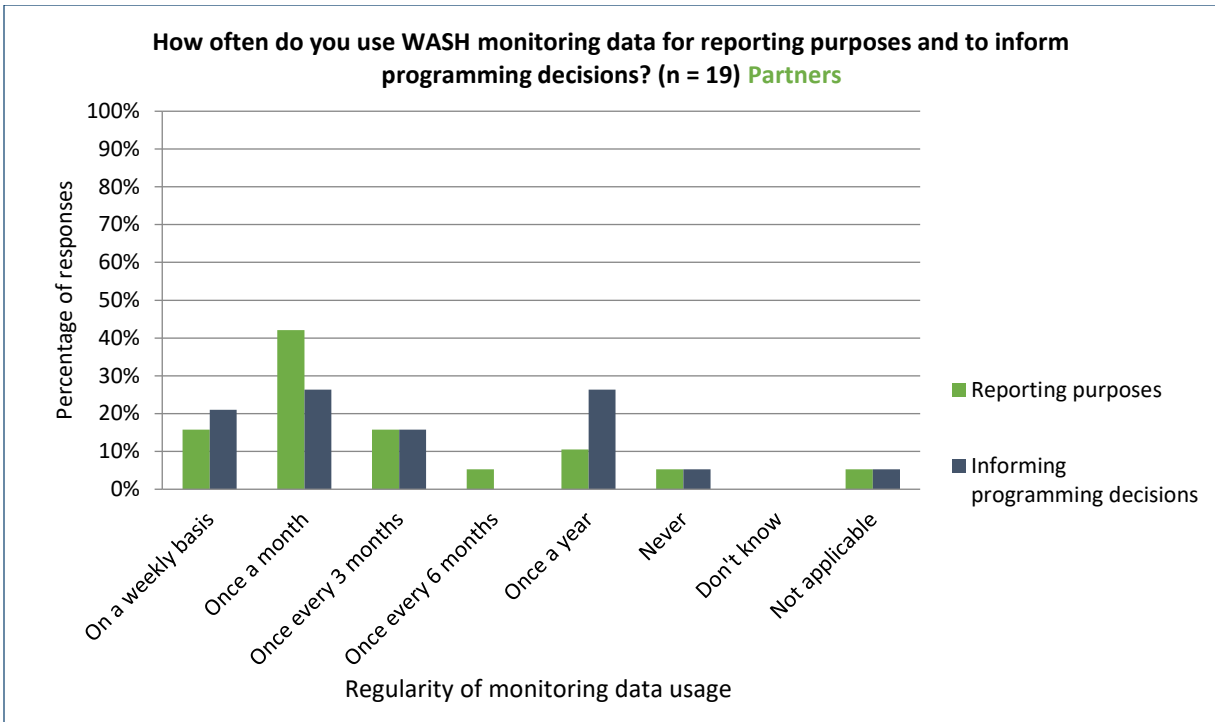
The results suggest that 86% of UNICEF staff’s monitoring data is generated through collection by UNICEF staff in the field, and reported by implementers / contractors. Slightly less (79%) also receive monitoring data from government partners, whilst half (50%) receive monitoring data from third party monitors. It needs to be noted that the response rate is relatively low (14 out of 52 survey respondents provided data on this question).



The results here suggest that monitoring data is mostly used on a monthly basis. Monitoring data is used for reporting purposes most often on a monthly basis, whilst its use for informing programming decisions is distributed more evenly across the different timing regularities. Over 75% of responses use monitoring data for both reporting purposes and informing programming decisions on a weekly basis, once a month or once every 3 months.

If applicable, please provide an example where you have used monitoring data to inform a programming decision in WASH in protracted crises UNICEF

Response	# mentioned		
	UNICEF	Partners	Total
Data used to inform activities	4	4	8
Data used to identify gaps	3	2	5
Data used for reporting	4	0	4
Data used to shift focus	3	0	3
Data used to inform frequency of monitoring	1	0	1

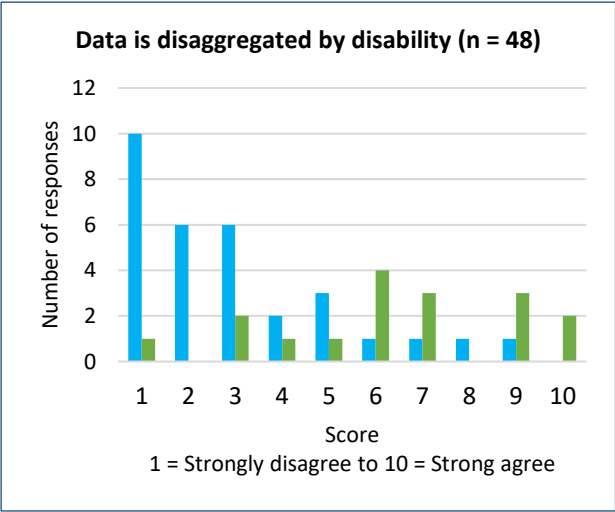
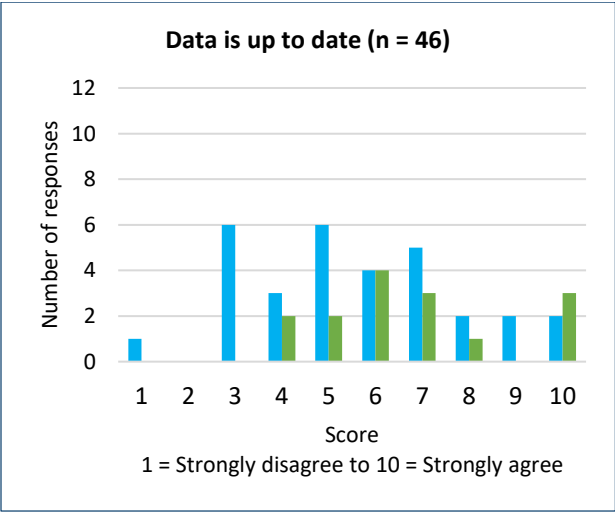
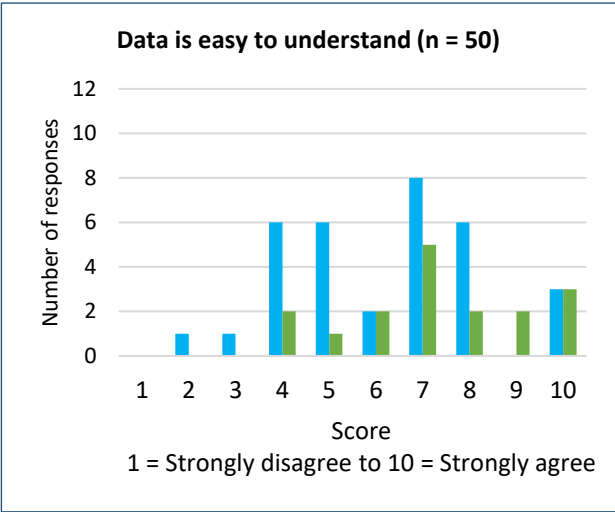
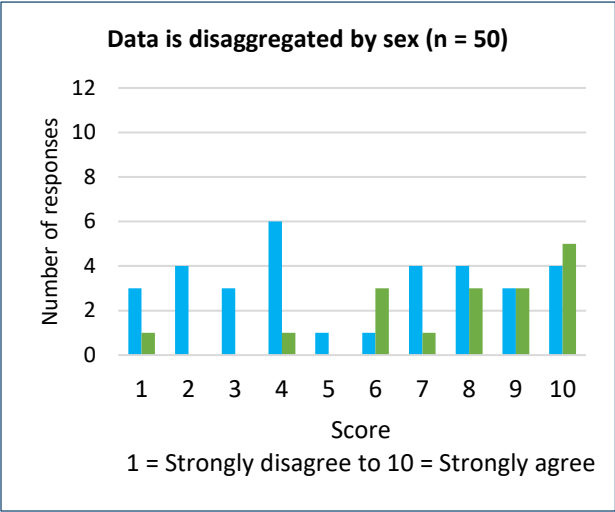
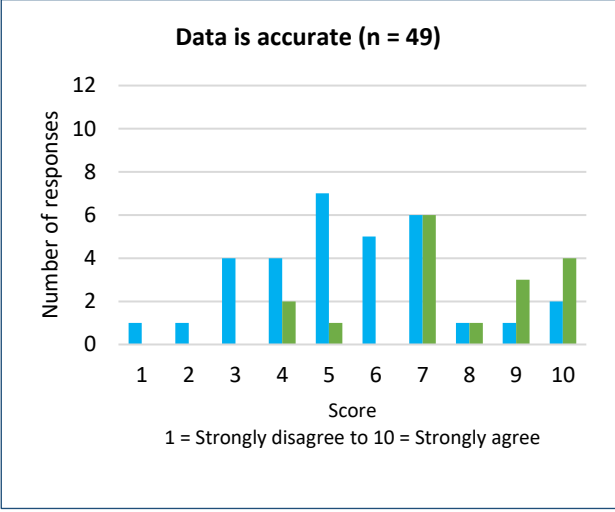
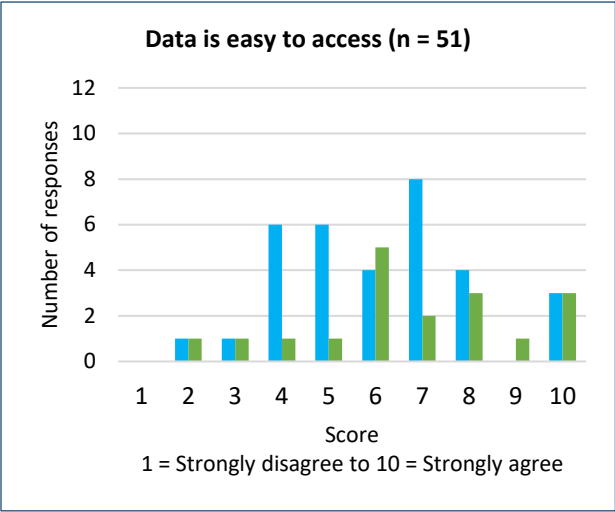


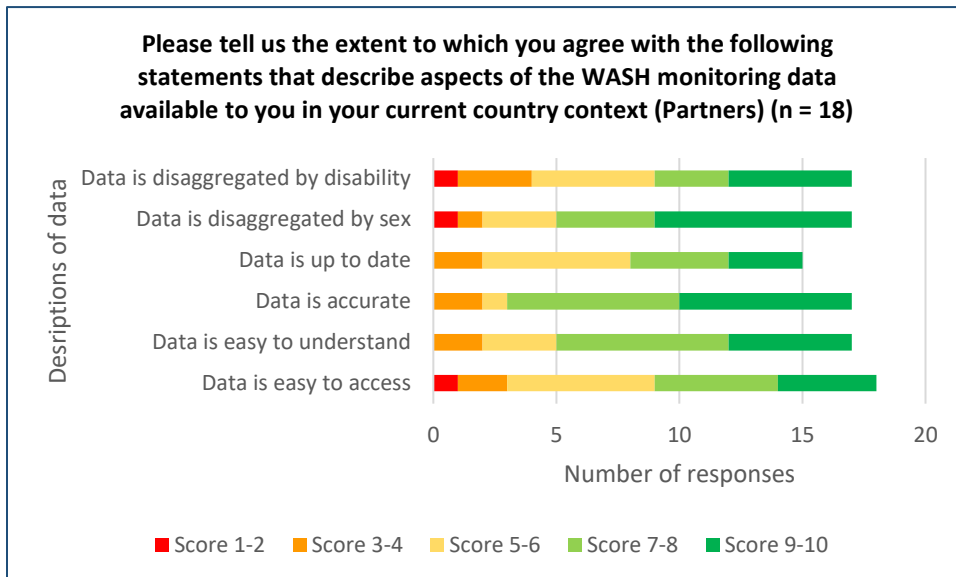
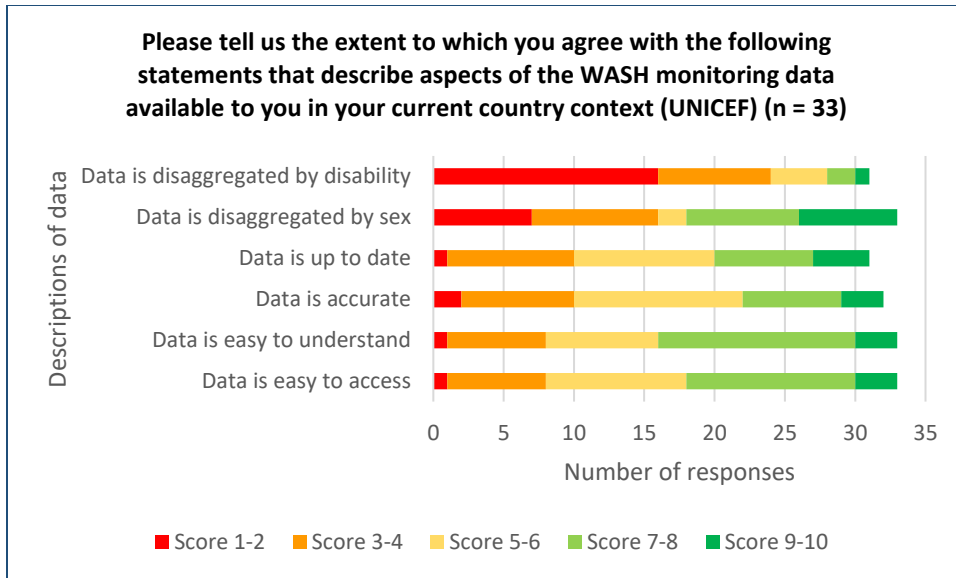
The results here are similar to that of UNICEF staff, in that monitoring data is mostly used on a monthly basis. Monitoring data is used for reporting purposes most often on a monthly basis, whilst its use for informing programming decisions is distributed more evenly across the different timing regularities. In contrast to UNICEF staff, one quarter of Partner responses use monitoring data to inform programming decisions once a month, and another quarter once a year.

If applicable, please provide an example where you have used monitoring data to inform a programming decision in WASH in protracted crises Partners

The majority of examples provided refer to data being used to inform activities and identify gaps, as well as reporting.

Please tell us the extent to which you agree with the following statements that describe aspects of the WASH monitoring data available to you in your current country context UNICEF + Partners

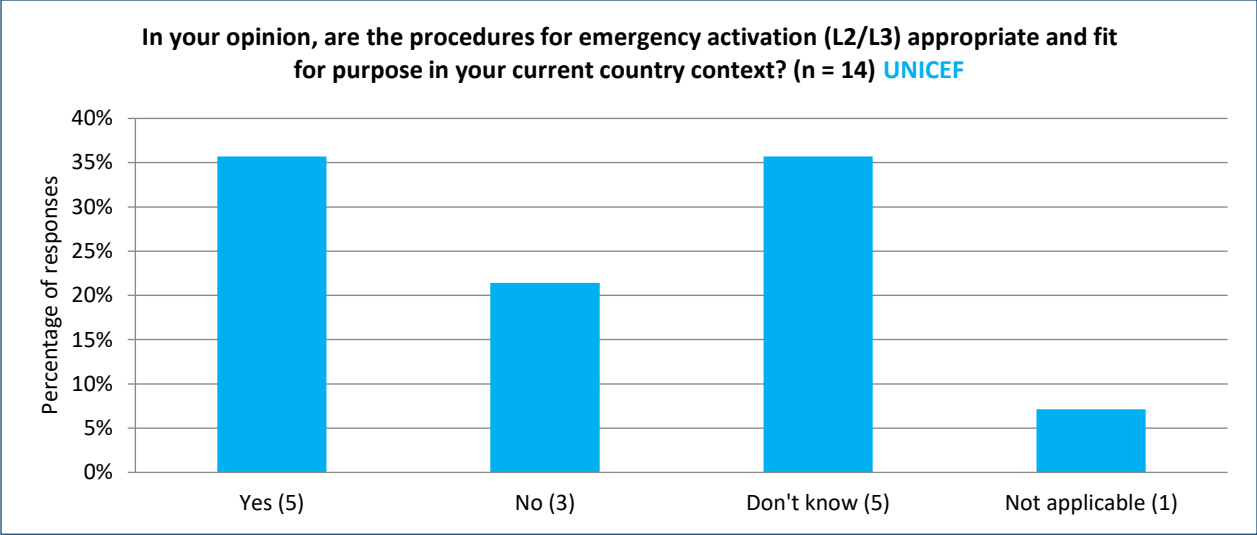




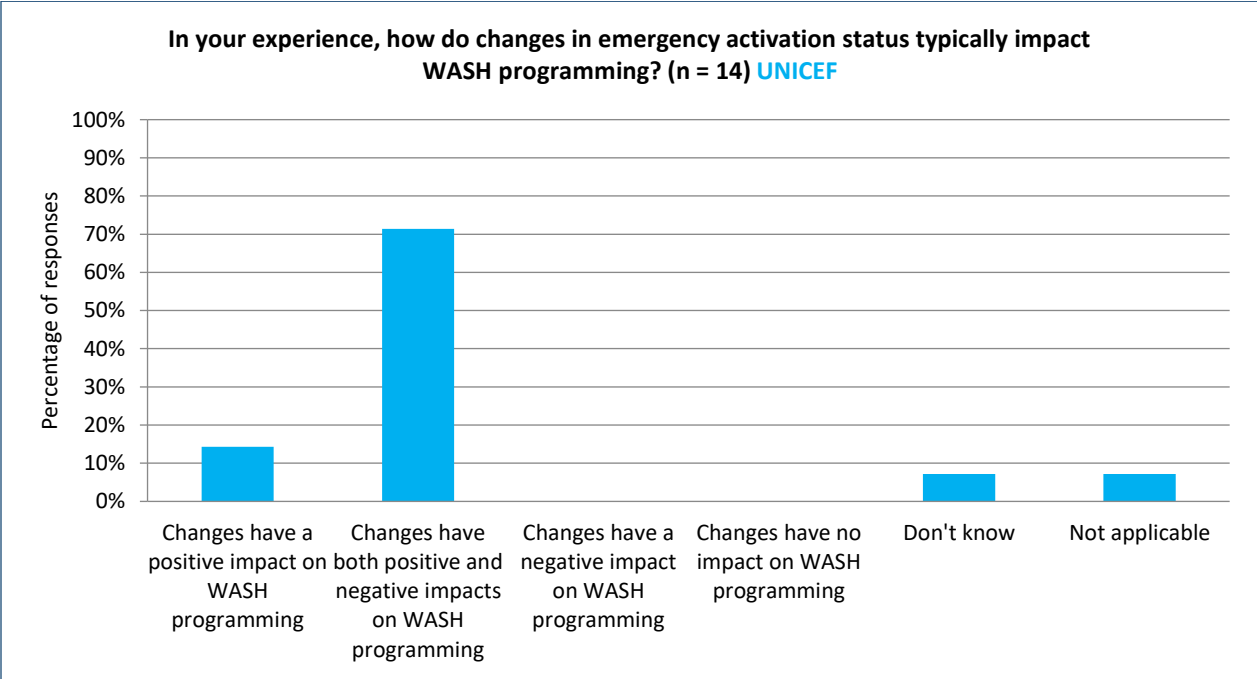
The distribution of scores are generally more negative for the WASH monitoring data available to UNICEF staff than Partners. One clear area in which UNICEF staff WASH monitoring data is considered weak is in its disaggregation – both for sex and particularly disability.

Preparedness with respect to WASH in protracted crises

This section looks at preparedness, in reference to EQ4.1.



36% UNICEF staff felt procedures for emergency activation are appropriate and fit for purpose in their current country context, 21% did not, and 36% did not know. It is difficult to draw any significant conclusions from this data, however, given the total number of respondents is only 14 out of 52. The low response rate to this question could be related to a lack of understanding / clarity around this area.



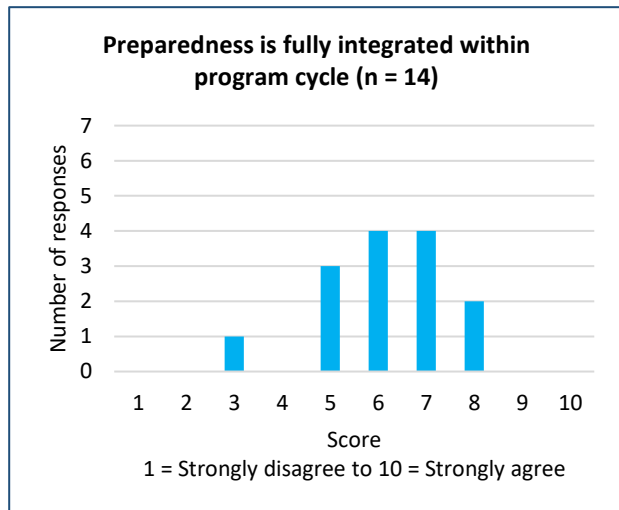
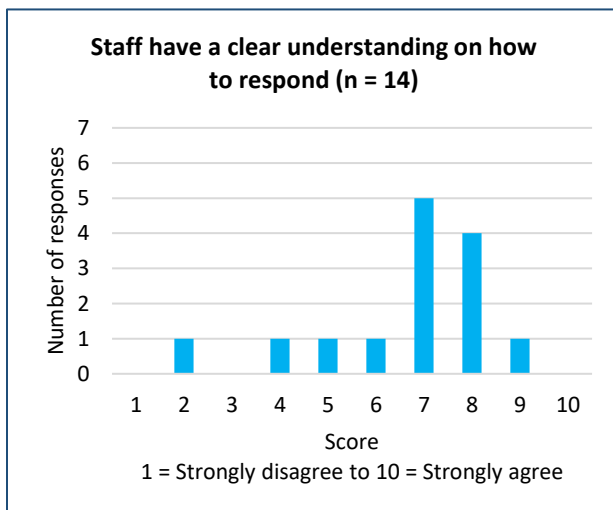
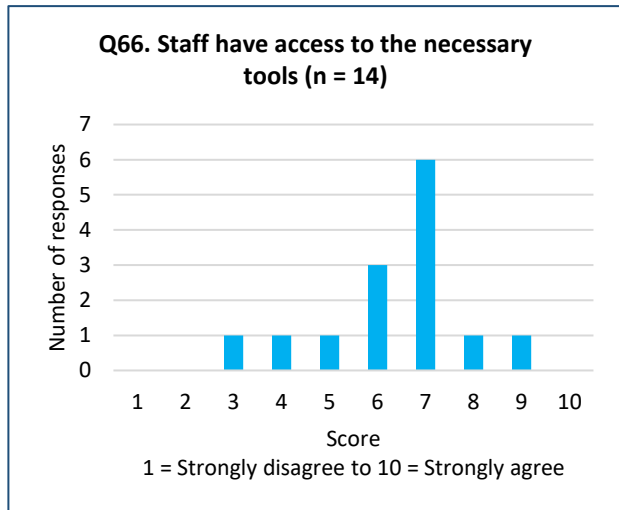
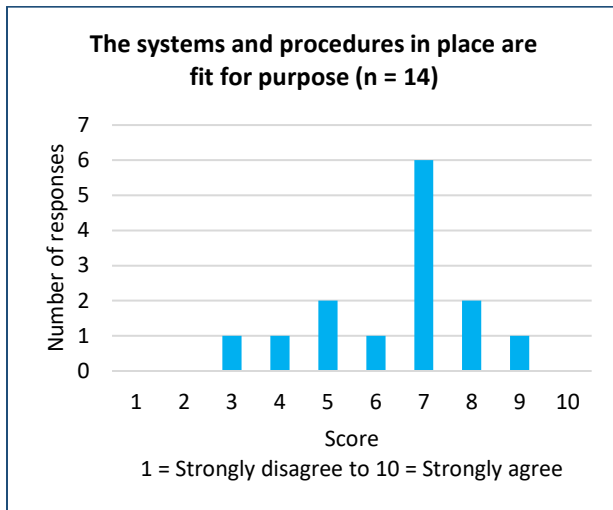
The majority of UNICEF staff (71%) felt that changes in emergency activation status brought about both positive and negative changes on WASH programming.

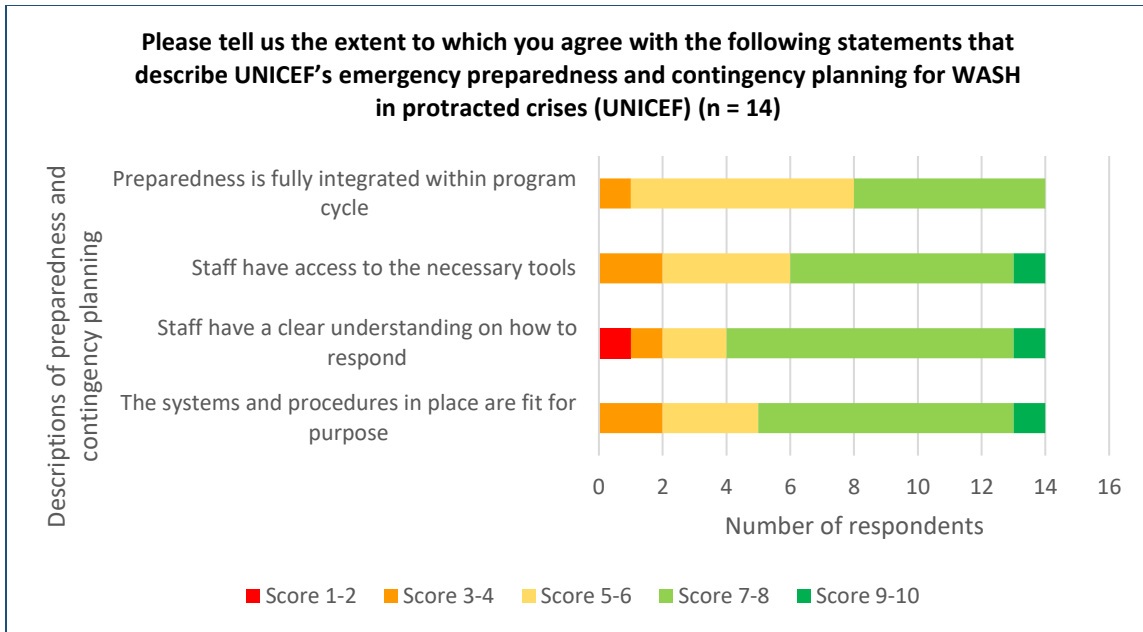
If changes in emergency activation status have had positive or negative impacts on WASH programming, please provide an example UNICEF

Response	# mentioned
Type of action	Total
Positive	
Fund mobilization	4
Additional HR support	2
Fast-track recruitment	2
Improved procurement process	1
Exchange of information between partners	1
Negative	
Shift of focus from long-term to short-term programming	7
Increase in workload	2

A number of the examples provided similarly mention the changes in emergency activation allowing for more funding to come in, but negatively impacting the longer-term development programs.

Please tell us the extent to which you agree with the following statements that describe UNICEF's emergency preparedness and contingency planning for WASH in protracted crises [UNICEF](#)



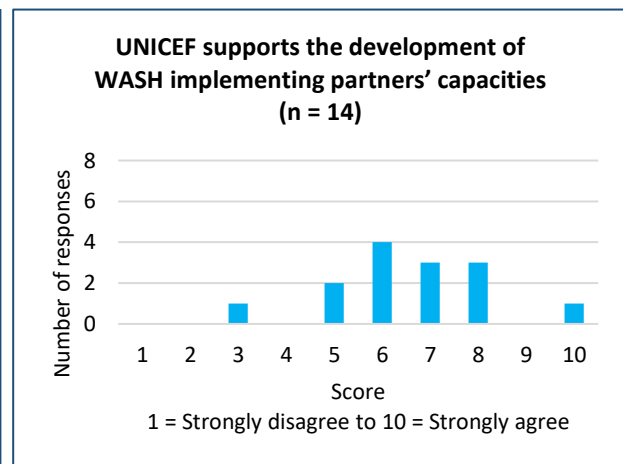
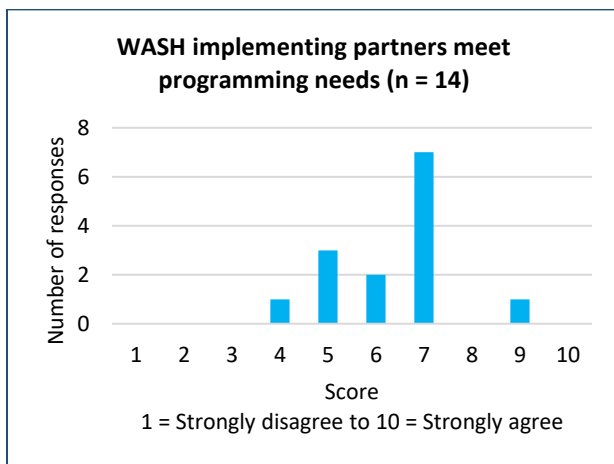


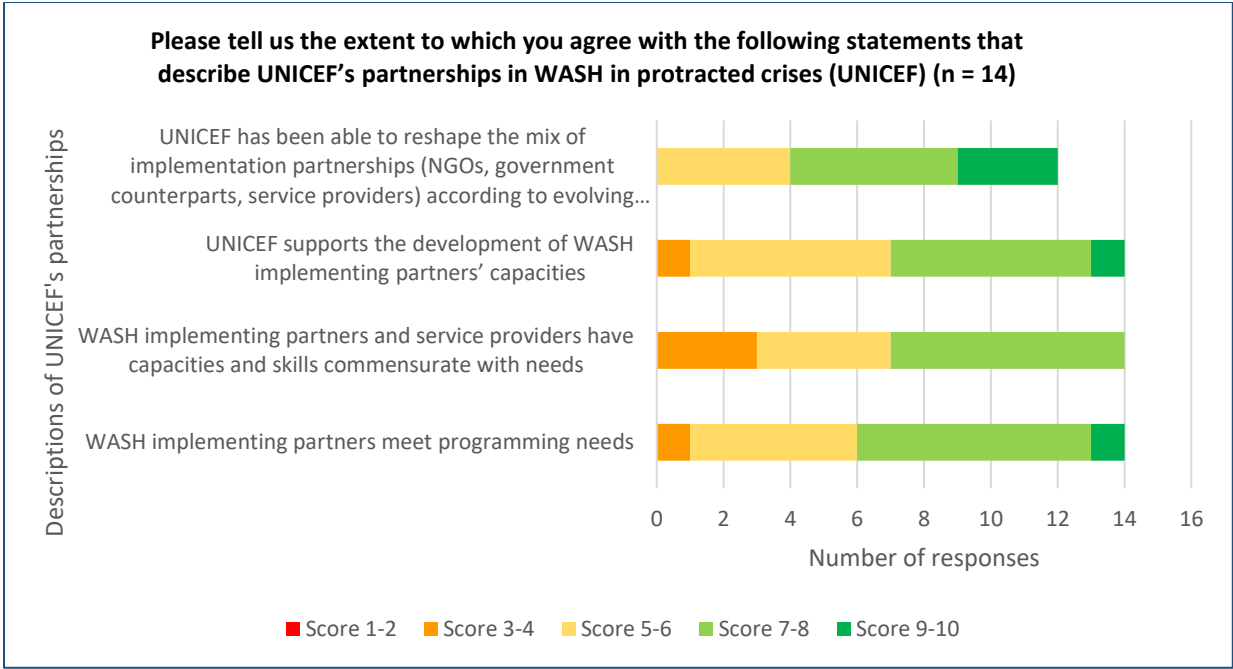
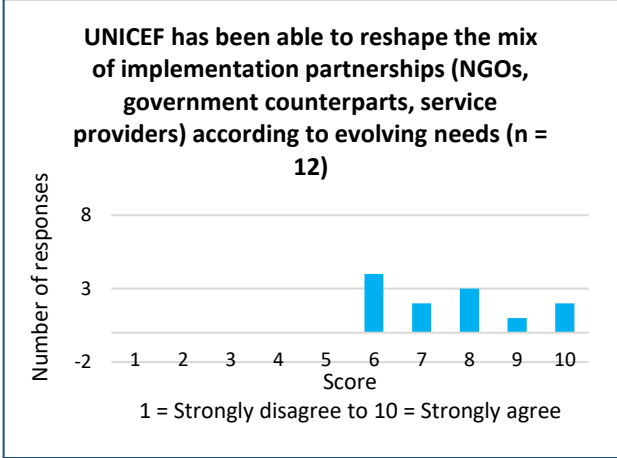
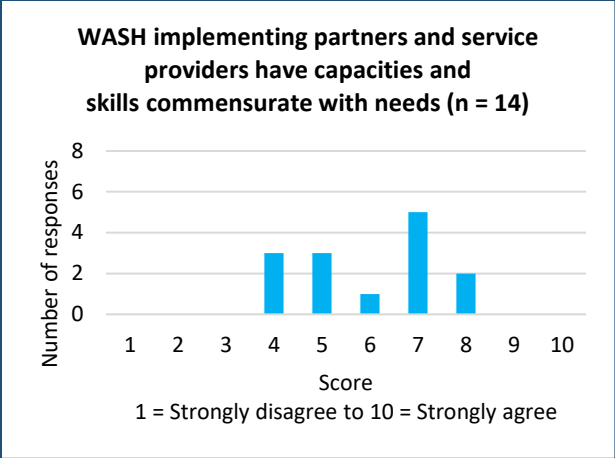
The results bear a largely similar distribution of mostly positive results, but the overall response rate was low (14 out of 52 responses).

Partnerships

This section looks at UNICEF's approach to partnerships, in reference to SEQ4.2.

Please tell us the extent to which you agree with the following statements that describe UNICEF's partnerships in WASH in protracted crises UNICEF





UNICEF staff agreed strongly with the statement that UNICEF has been able to reshape the mix of implementation partnerships. Half of respondents gave a score of 7/10 in agreement with the statement that UNICEF’s WASH implementing partners meet programming needs, with similarly positive scores given for UNICEF supports the development of WASH implementing partners’ capacities and WASH implementing partners meet programming needs. Overall, the strength of the data for this question is limited by the low response rate (12-14 out of 52) to this particular question.

Do the current partnership arrangements in your country context bring any challenges? UNICEF

Response	# mentioned
Type of challenges	Total
Political challenges	2
Short duration of partnership agreements	1

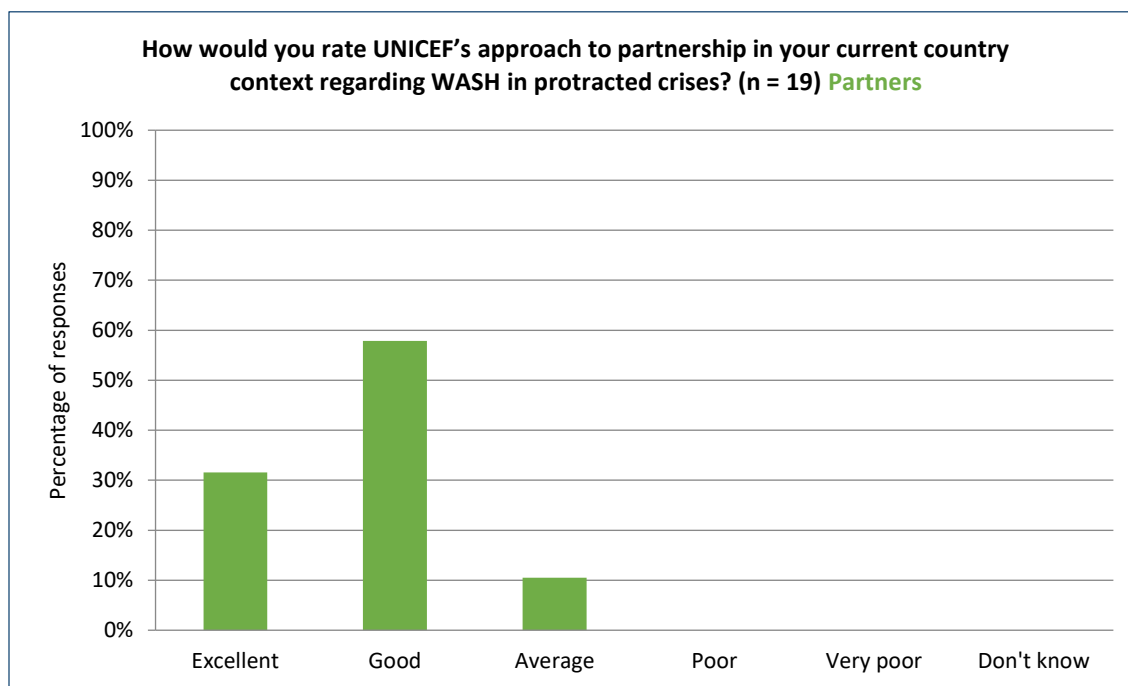
Difficulty accessing specific skillsets	1
LTAs underused	1

The examples of challenges include partner capacity / skill sets, administrative and political obstacles.

In your opinion, how could UNICEF’s approach to partnership be improved in your current country context?

Response	# mentioned		
	UNICEF	Partners	Total
LTAs	2	2	4
Capacity building of partners	1	2	3
Flexibility in partnership arrangements	1	1	2
Training to partners	0	2	2
Preapproval assessment of partners	1	0	1
Information sharing	0	1	1

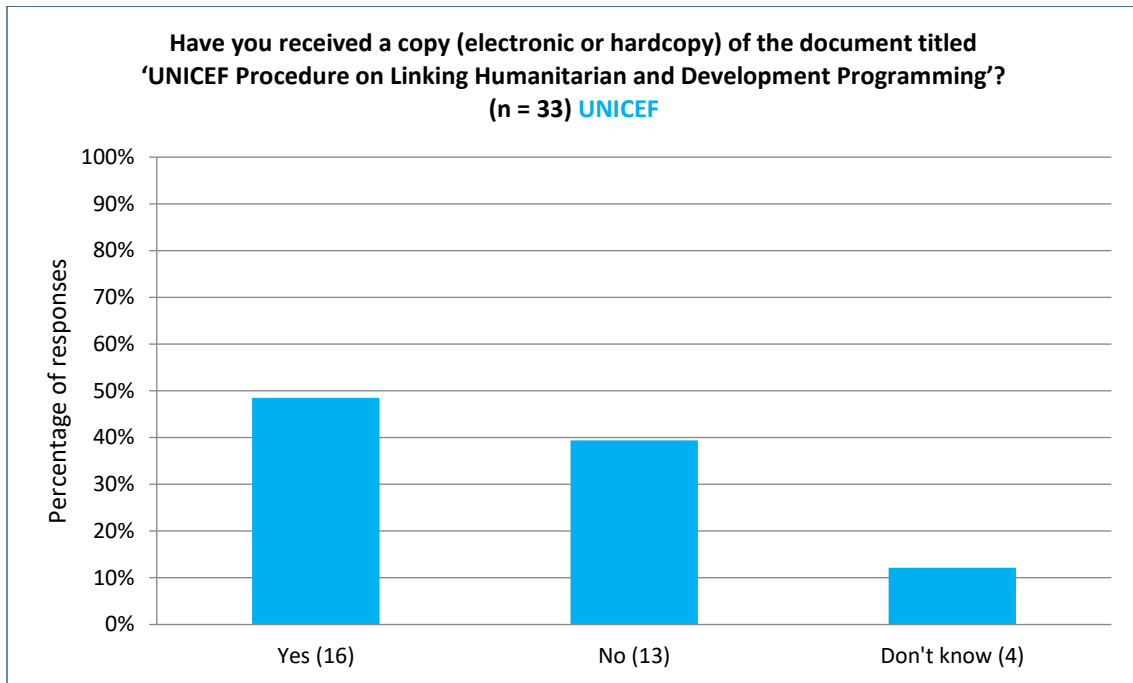
Comments from both UNICEF staff and Partners on how UNICEF’s approach to partnership could be improved in their country context cover improved capacity building of partners and greater use of LTAs.



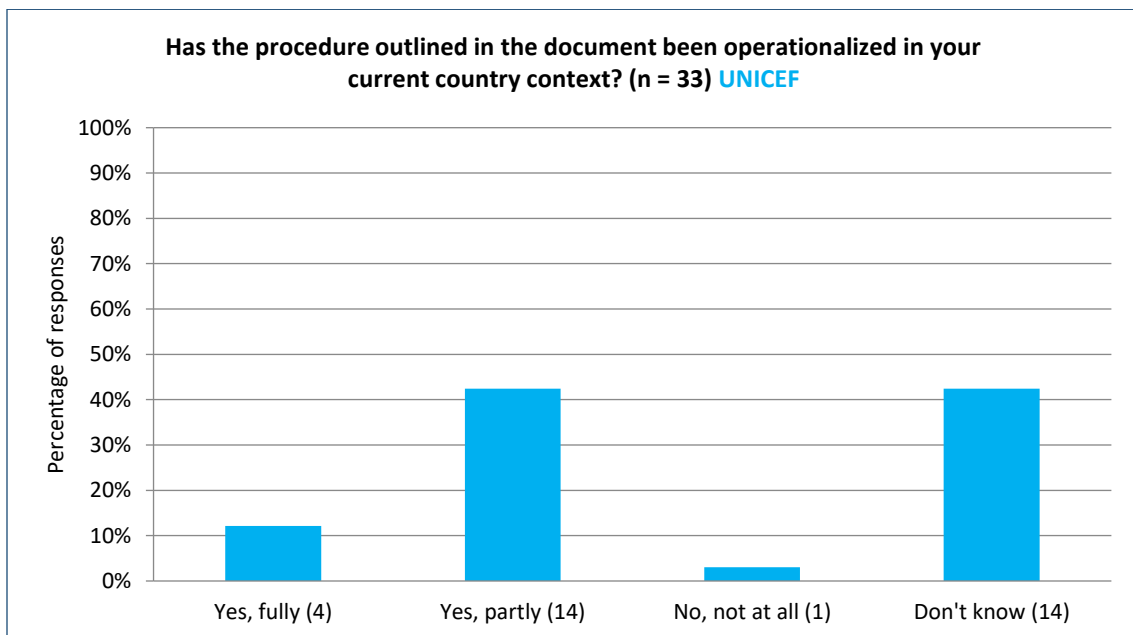
Partners rated UNICEF’s approach to partnership in their country contexts as positive, with only two respondents rating it as average – the lowest rating given.

Linkages with development

This section looks at linkages with development, in reference to EQ5.

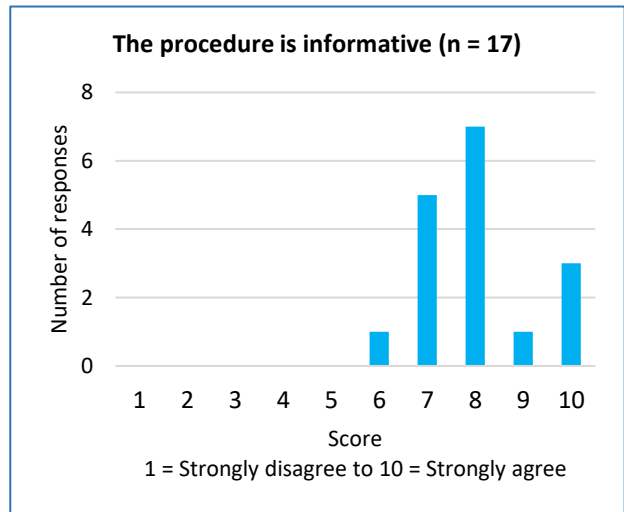
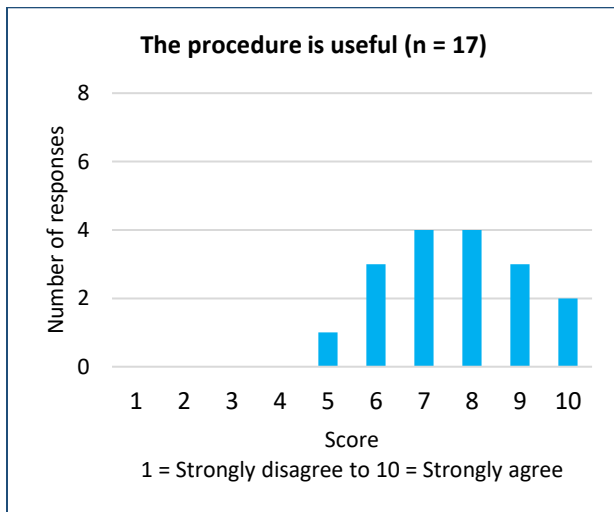
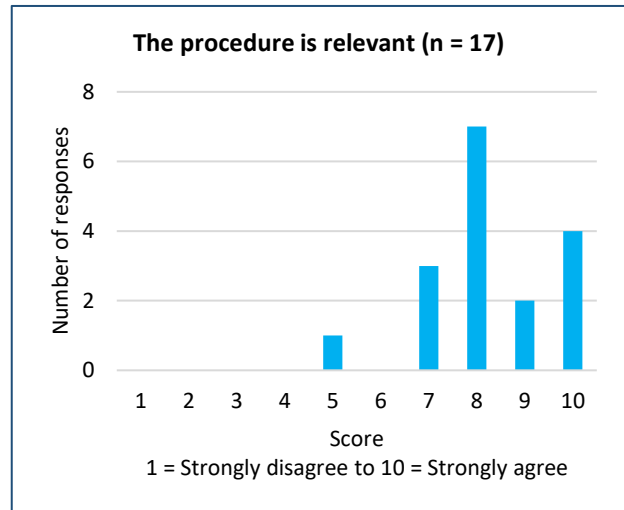
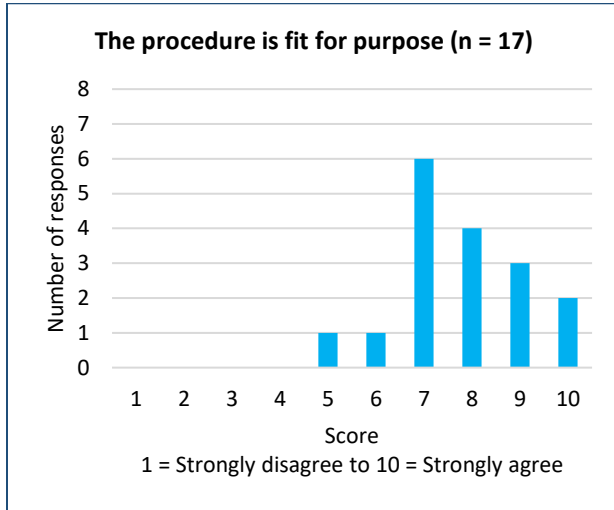


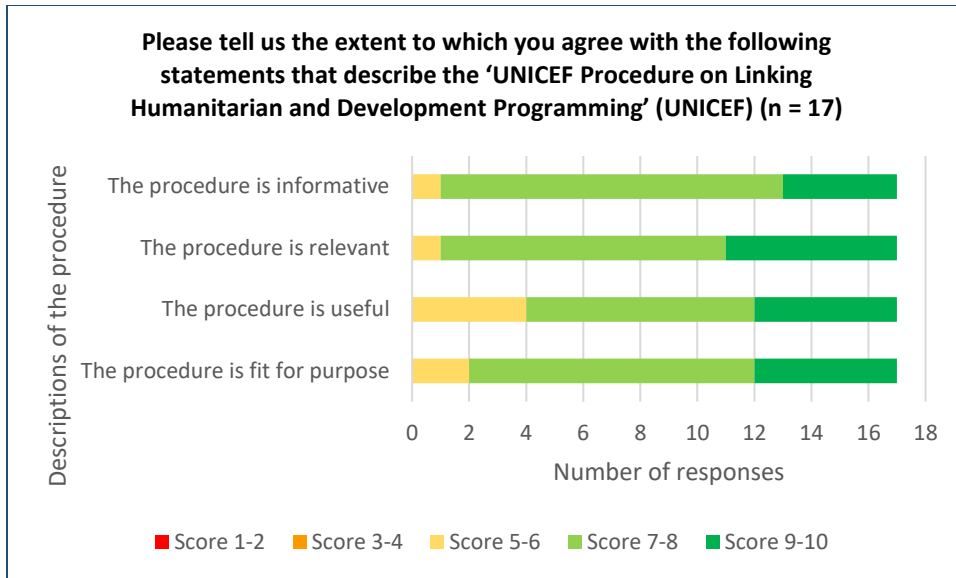
Just short of half of UNICEF staff have received a copy of the document, whilst 13 had not and 4 do not know if they have or not.



Just over 10% (four) UNICEF staff respondents state the procedure has been fully operationalized, whilst 42% (14) state it has been partly operationalized. Another 42% (14) did not know where it had or not in their country context.

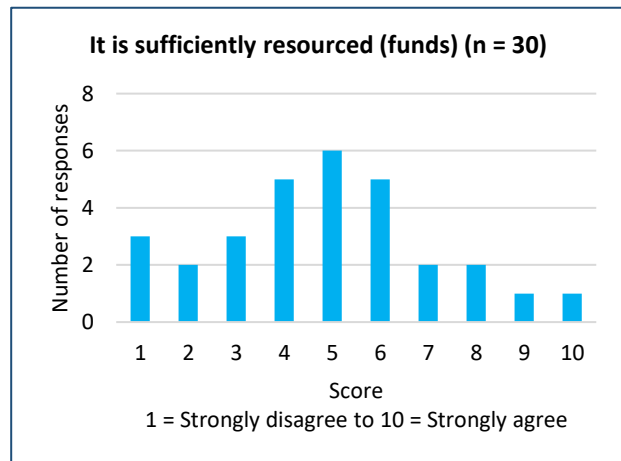
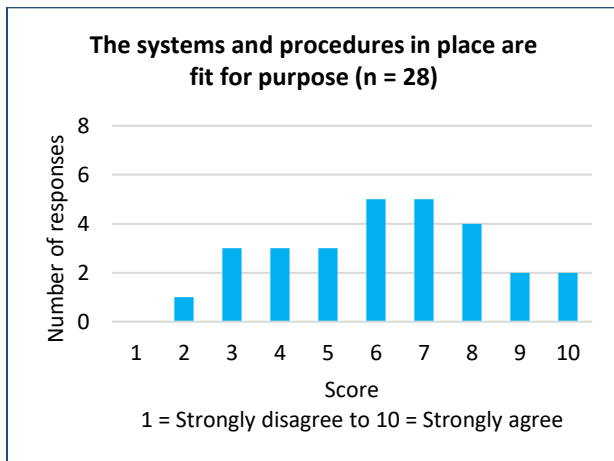
Please tell us the extent to which you agree with the following statements that describe the 'UNICEF Procedure on Linking Humanitarian and Development Programming' UNICEF

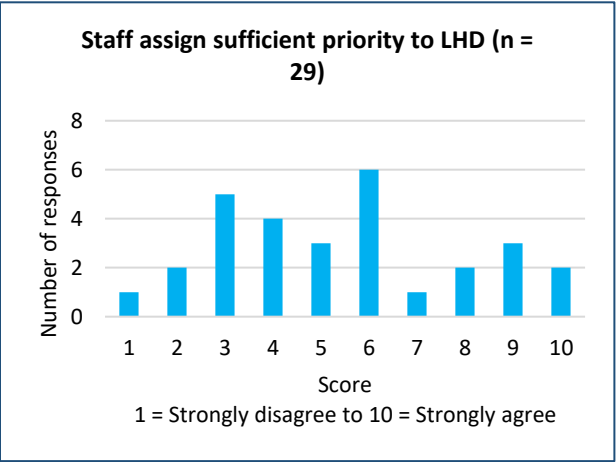
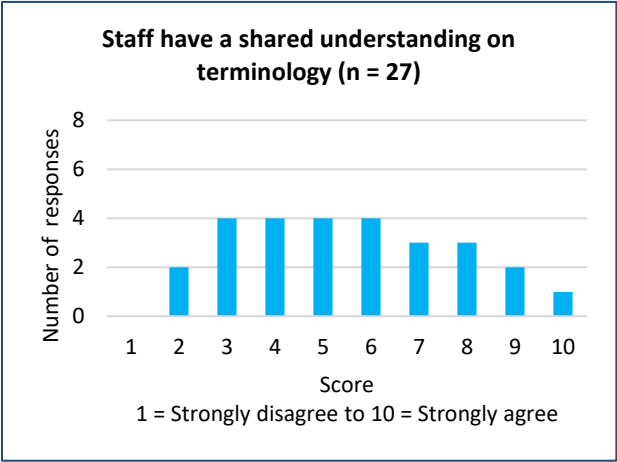
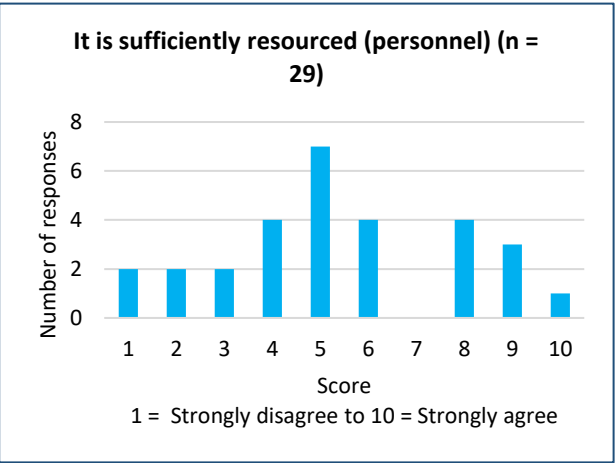
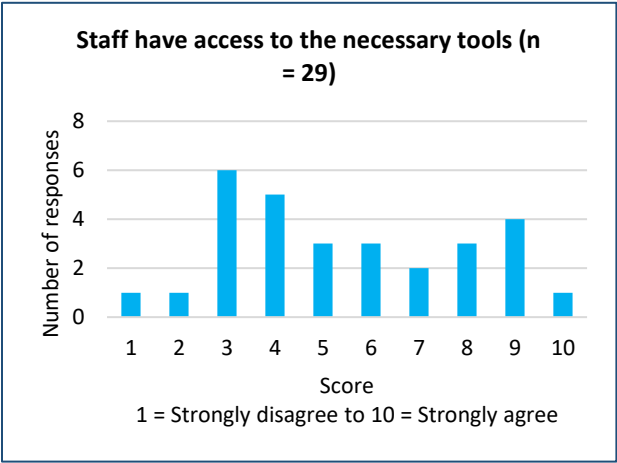


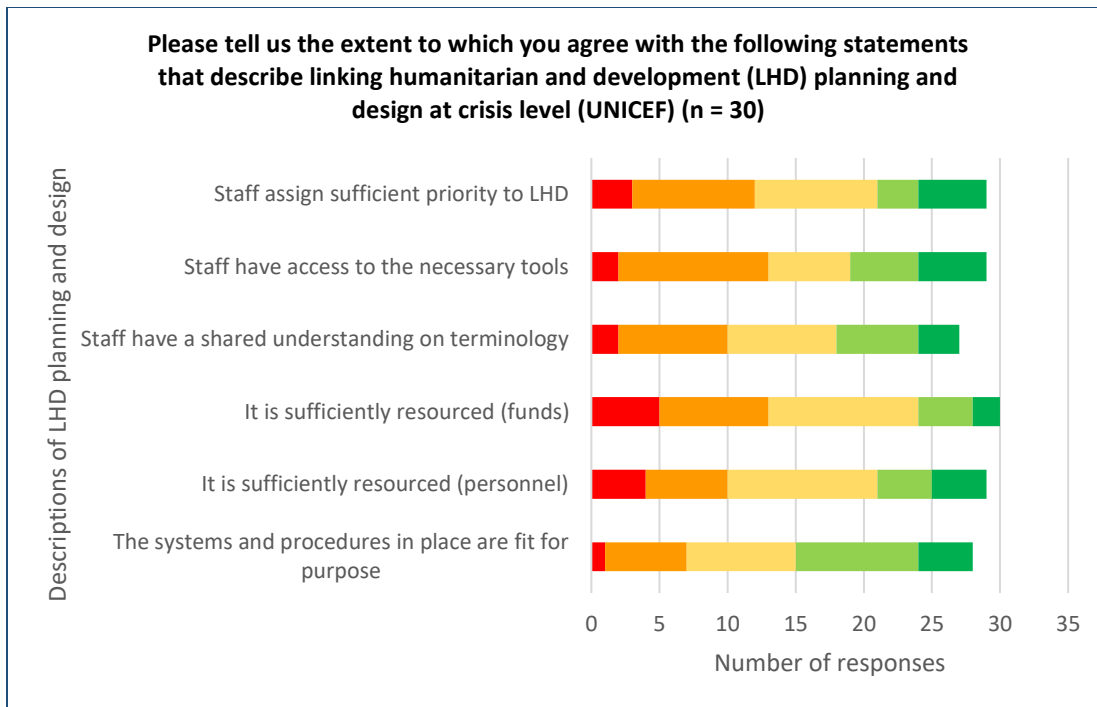


UNICEF staff gave a largely similar distribution of scoring in their assessment of the procedure with regards to how fit for purpose it is, its relevance, usefulness and how informative it is.

Please tell us the extent to which you agree with the following statements that describe linking humanitarian and development (LHD) planning and design at crisis level UNICEF



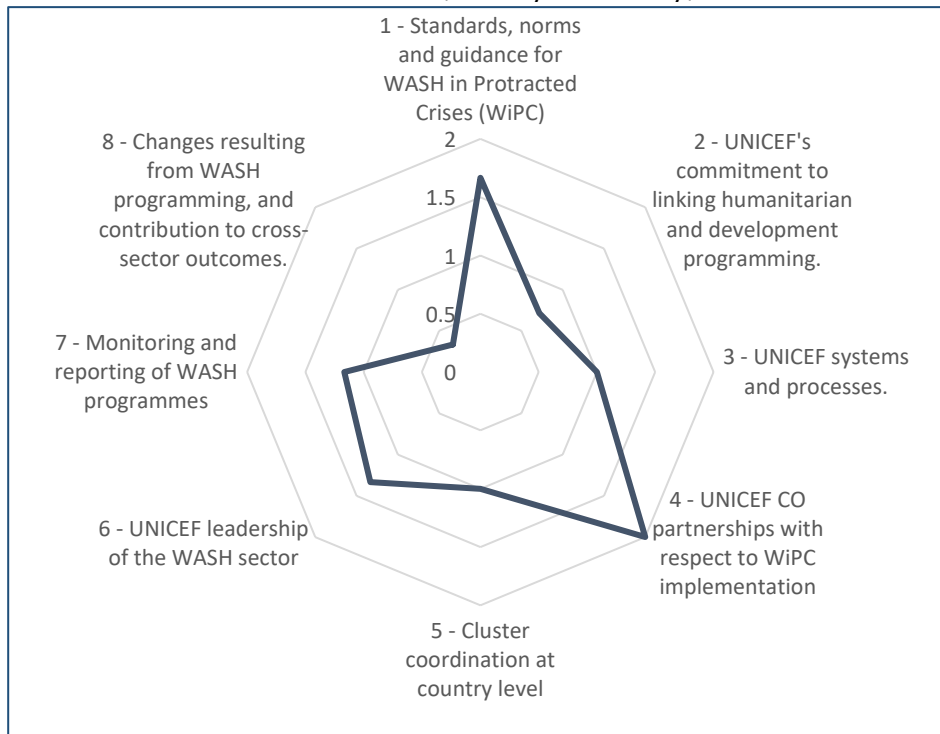




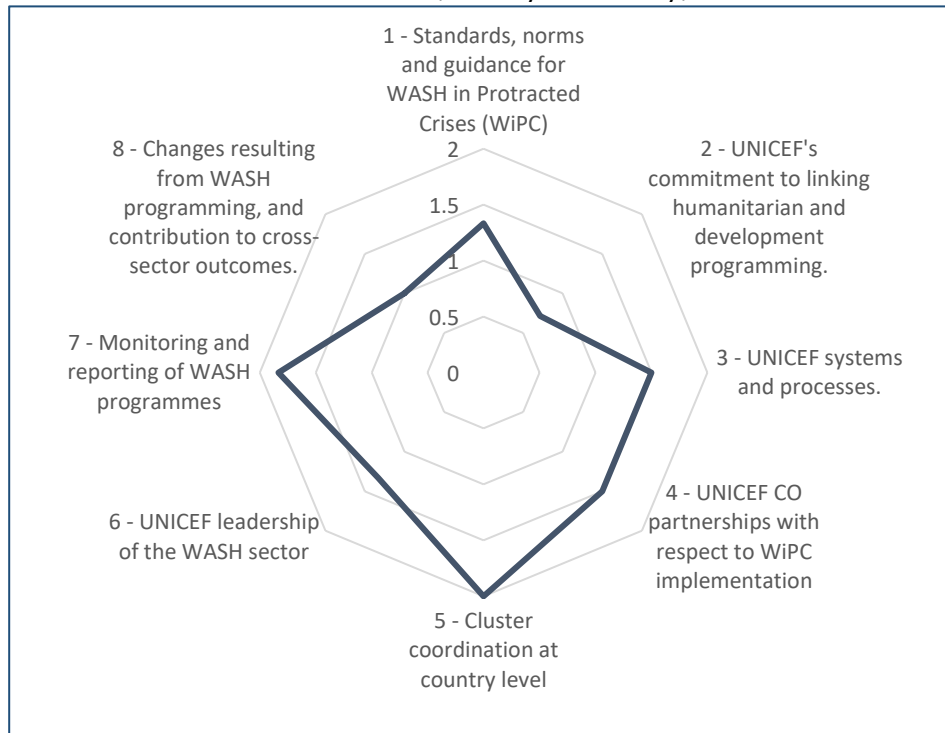
The responses to the six statements describing linking humanitarian and development (LHD) planning and design at crisis level give contrasting opinions across the board.

Annex 8. Self-assessments

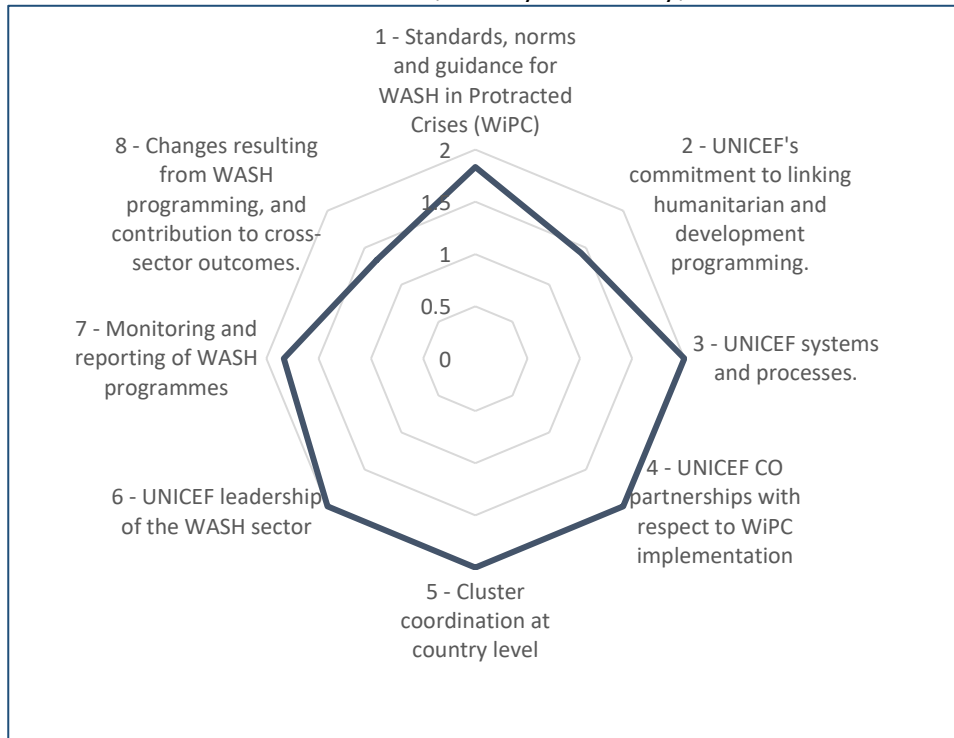
Cameroon (country case study)



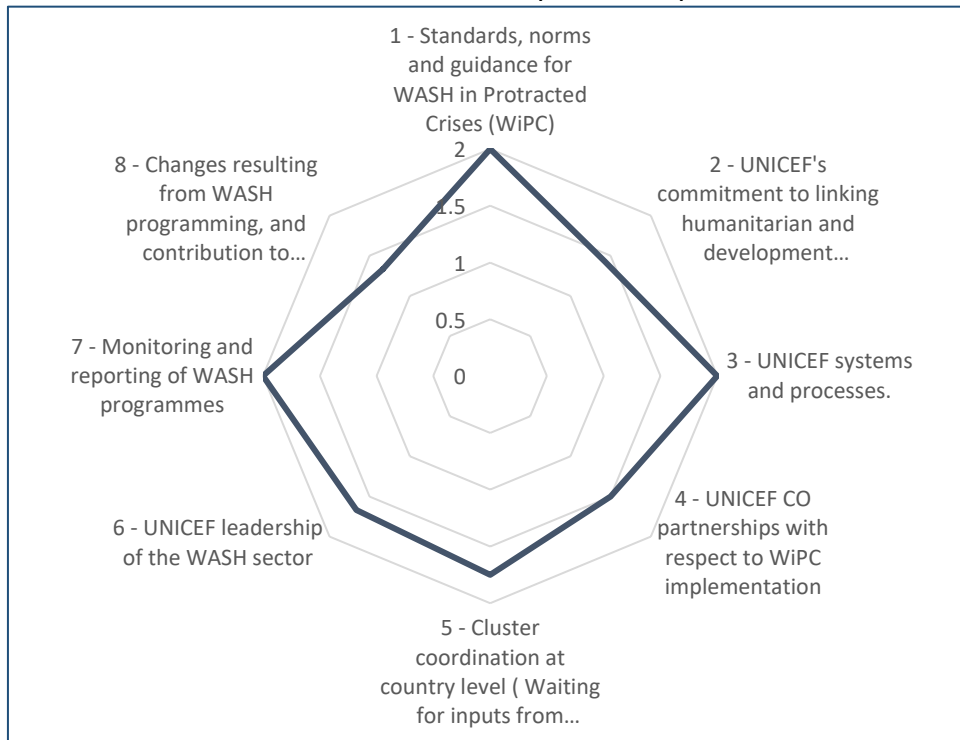
Lebanon (country case study)



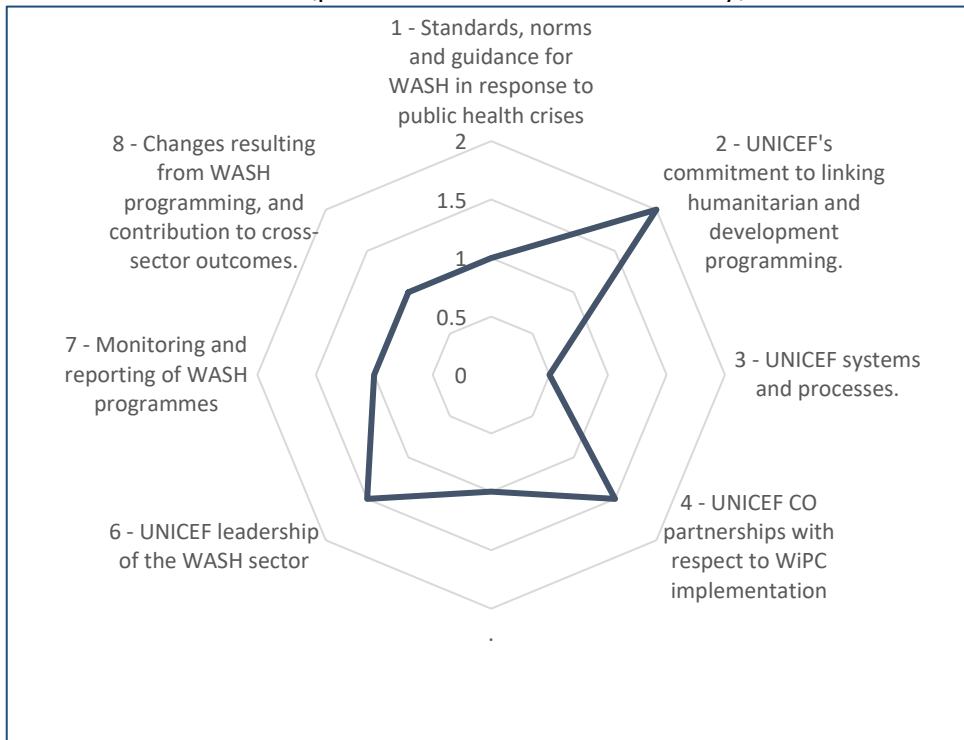
Somaliland (country case study)



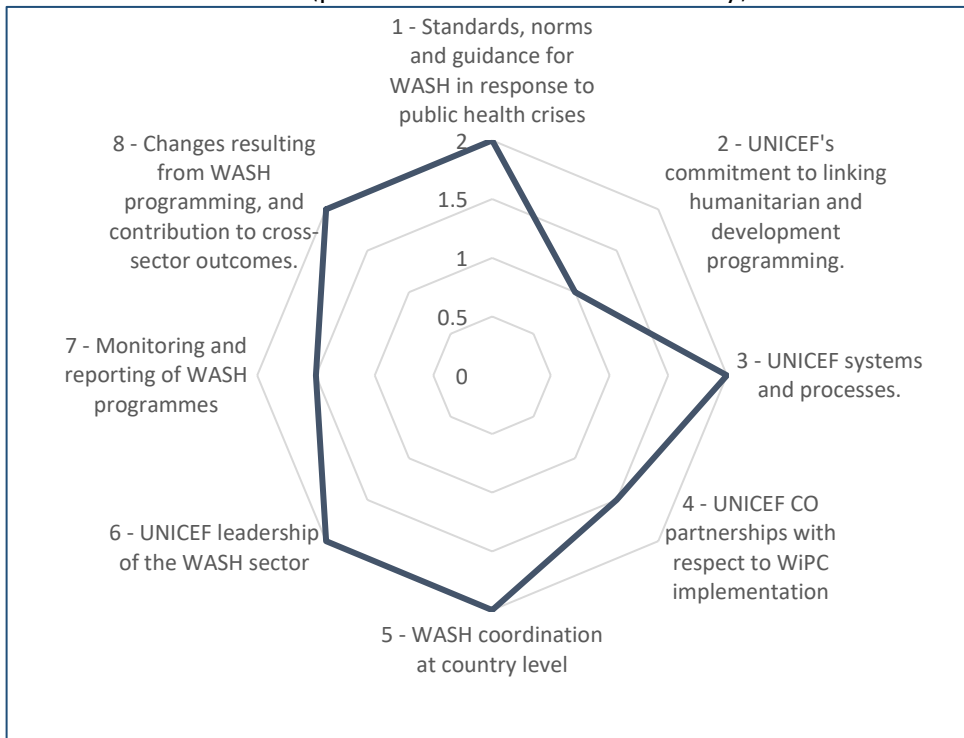
South Sudan (country case study)



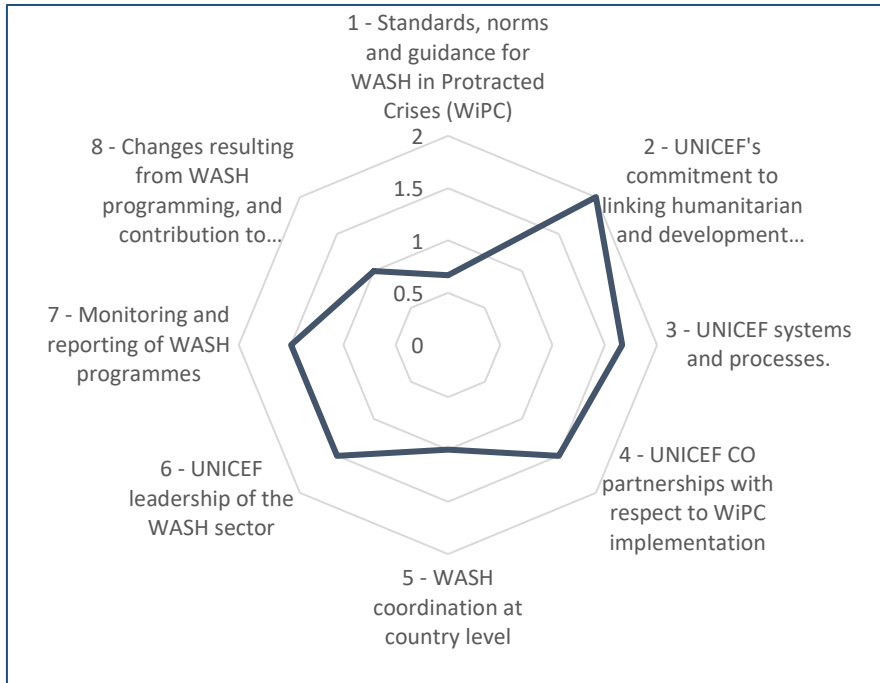
DRC (public health thematic case study)



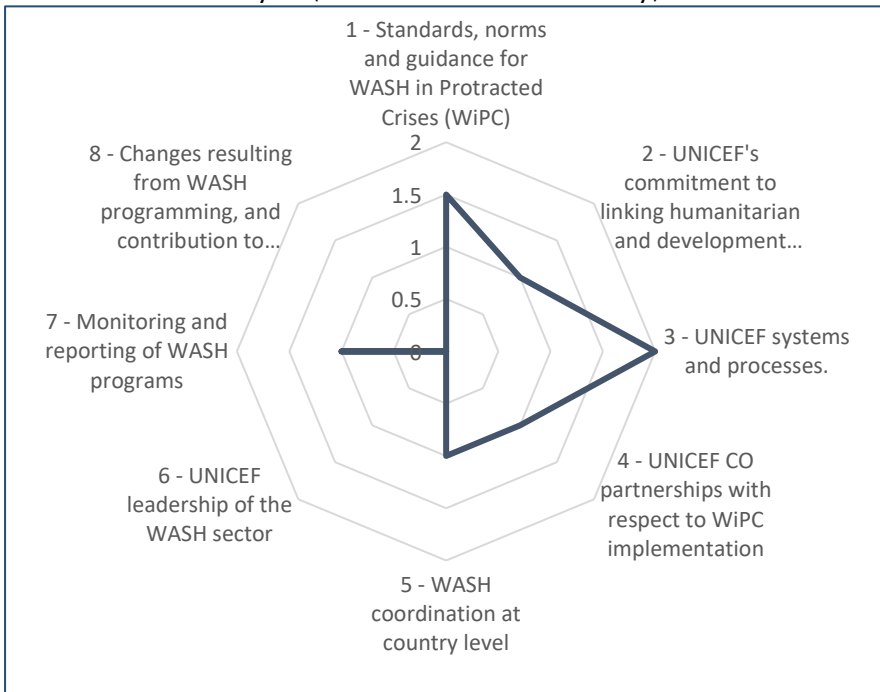
Haiti (public health thematic case study)



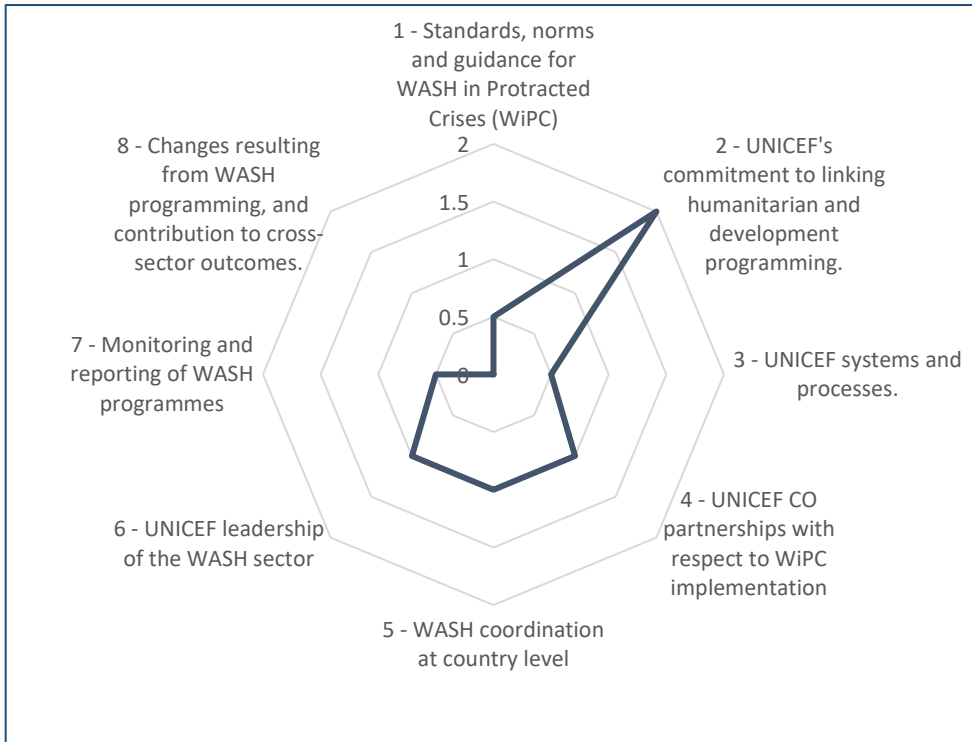
Yemen (public health thematic case study)



Syria (urban thematic case study)



Yemen (urban thematic case study)



Annex 9. Protocol for ethical conduct of evaluation data collection activities

1. Overview of Itad's approach and background to this document

Itad's approach to evaluation ethics was outlined in the inception report for this project. This document will i) explain how Itad will apply its ethical approach given the agreed purpose, agreed intended key informants, and agreed timeline of the evaluation process and ii) provide information on the practical steps the evaluation team will take to ensure that the ethical approach agreed is complied with at every step.

This document should be read in conjunction with the relevant sections of the inception report which explains the background and purpose for the evaluation, and the rationale for the data collection methods chosen.

The purpose of this evaluation means that the majority of the interaction will be with UNICEF staff and partners in the sector. There will be comparatively little engagement with end users. Despite this, the main ethical issue that we anticipate in this evaluation relate to the stakeholders we will interview and engage with, particularly affected communities where a Do No Harm approach will be applied. At inception stage it was agreed that end users' engagement would be limited to observation and transect walks. There are (currently) no focus groups, formal or semi-structured interviews with community representatives, camp committees, or civil society groups planned. However, Itad is aware that such interactions may be demanded or requested when the team arrives on site. Therefore, Itad is prepared with verbal and written descriptions of the evaluation purpose in order to be able to fully explain our presence and purpose and ensure that informed consent is obtained to any interaction at field level. Permission will be obtained before any quotes are recorded or photographs are taken. Details about individual end users will be anonymised.

In the case of this evaluation, where key informants will also be nominated by UNICEF, ensuring the anonymity and confidentiality of UNICEF staff and representatives of key partners is also critical. For this reason, mechanisms to ensure confidentiality, data protection, protecting vulnerable respondents, and ensuring that the evaluation team avoids causing harm will be adopted throughout and the Team Leader and Project Manager will be vigilant in ensuring that all team members are conscious and aware.

The evaluation process that was agreed with UNICEF during the inception process determined that the first Country Visit (scheduled to be Lebanon in early July) would act as a test case. It was agreed that many of the tools to be used by the ET would only be drafted or finalised after this first Country Visit. For example, the intended online survey is only due to be conducted during September and will be informed by both the first Country Visit and the thematic studies. This poses a challenge for this ethical review as tools such as the survey cannot be submitted. This note is intended to set out Itad's intentions and process with regard to ethical considerations and substitute for a full submission of tools.

2. Ensuring subjects safety and dignity

2.1 Avoiding harm to vulnerable participants

Itad evaluators will ensure that the basic human rights of individuals and groups with whom they interact are protected. This is particularly important with regard to vulnerable people and children. No children will be included in data collection for this evaluation, and only the transect walks will involve data collection from a vulnerable group (persons in a humanitarian context).

Both the key informants and community members involved in the transect walks are likely to be members of vulnerable groups. The following risks have been considered and steps taken to reduce them.

- Breach of confidentiality

This could occur if Personally Identifiable Information (PII) related to participants in the transect walks were to be made accessible to anyone beyond the evaluation team. We will address this risk in the following ways:

- Transect walks will collect information on the general water, sanitation and hygiene situation in the community rather than seek to report on the condition of individuals/households.
- Any PII collected on participants will be limited, and stored separately from the evidence collected during the transect work (see below for more details on data protection).
- GPS data, if collected, will only map the start point of the transect walk, not the entire route, to avoid any possibility of identifying households visited during the transect walk.

- Conflicts arising from unequal access to services.

There is a risk that, where there are existing tensions between groups (e.g. between host and refugee communities, or between different ethnic groups) over access to services, the evaluation activities may exacerbate such tensions and act as a trigger for conflict, by encouraging people to discuss the underlying issues for the tensions. We will address this in the following ways:

- Will not collect data directly from the affected population in areas where this is a current and serious (e.g. active conflict) issue. This will be identified in advance through discussion with the CO.
- Where there are tensions, we will seek to collect information from all sides in an impartial and non-judgmental manner.
- We anticipate that where this a specific concern, UNICEF programming may be working to address tension through WASH programming approaches.

- Risk to participants' personal dignity.

There is a risk to the personal dignity of participants (particularly if from marginalised groups) if they are living in poor sanitary conditions. This could manifest itself in a sense of shame from discussion their condition with outsiders, or from a breach of privacy by being depicted in such conditions more widely. We will address this risk in the following ways:

- The ET will conduct themselves appropriately and be respectful at all times. Through working with the UNICEF CO and local consultants we will make sure we are aware of local

cultural sensitivities which may increase the risk to participants' dignity from evaluation activities;

- Will ensure that evaluation team takes time for participants to detail situation from their perspective, allowing ownership of information collected.
- There will also be at least one woman in any field team allowing any sensitive discussions to be led by the woman if this seems appropriate or is requested by UNICEF staff, UNICEF partners, or end users. There will be one female member of the core evaluation team on each field trip and, where possible, we will engage a female local consultant to undertake field data collection.
- Will not identify individuals/households in data collection or reporting.
- No photos to be taken of individuals in poor sanitary environment. Any photos of poor conditions will have no individuals included and where individuals are photographed this will comply with Itad's photo policy (available upon request)⁴.

2.2 Ensuring safety for other participants

UNICEF staff and partners taking part in this evaluation are not considered to be vulnerable, and the risks to this group are minimal. The primary risks to this group could arise from a breach of confidentiality. Procedures for managing this are covered under data protection and anonymity. Key informant interviewees will be asked to give verbal informed consent at the start of the interview. The steps for achieving this are as follows:

- Interviewees will be provided with a ToR (either for the specific evaluation component, e.g. case study, or overall evaluation). This is considered an appropriate means of explaining the purpose and background to the evaluation for these participants;
- At the start of the interview the evaluation team will explain that they are employed by Itad, who have been contracted by the Evaluation Office to undertake the evaluation, and that both Itad and the Evaluation Office are independent of other UNICEF offices;
- The provisions for anonymity of interviewees will be explained;
- Interviewees will be informed that participation is voluntary, and offered the right to withdraw. This right exists even where UNICEF staff have been directed to participate in the evaluation. Where an interviewee declines to participate no information will be recorded or reported on the reasons for non-participation.
- Interviewees will be provided with written contact details for the evaluation team (project manager and team leader) and both Itad as the contractor for this evaluation (including the name and phone number of the Itad project director for this evaluation) and the evaluation office as this responsible UNICEF office. This will allow follow up by interviewees if they have any anxiety about the interview and want to clarify or correct any information provided but will also allow them to complain to Itad or the UNICEF Evaluation Office if they feel that they were in any way misrepresented or misled during the course of the interview.

UNICEF staff responsible for completing the self-assessment tool are responding on behalf of the country office in a corporate capacity rather than an individual capacity so the requirement for informed consent is not considered relevant.

⁴ Itad's photography policy also covers photographs taken for marketing purposes. This will not apply to this evaluation – any photos taken of individuals from the affected population will be used for reporting purposes only.

2.3 Potential benefits to participants

There are no individual benefits for any individual arising from taking part (fully or partially) in this evaluation, and no compensation or inducement will be provided for participation.

2.4 Safeguarding

Beyond managing immediate risks to participants identified above, Itad considers safeguarding as term which describes how we protect children and adults from abuse or neglect in the broadest possible meanings. Itad has a detailed safeguarding policy (available upon request) which sets the standards to which all Itad staff, consultants and partners are expected to comply. All Itad staff undergo safeguarding training to ensure that ensure policies, responsibilities and required behaviours are fully understood

3. Data protection

Itad is registered with the Information Commissioner’s Office (ICO) under the General Data Protection Regulation (GDPR) and has a data protection policy (including procedures on data retention and confidentiality) which ensures compliance with GDPR. As an EU entity, data collected and processed by Itad is subject to GDPR regardless of where it is collected in the world.

Itad undertakes a data review for all projects which collect personally identifiable information (PII) to ensure that this is collected and stored only when necessary and is managed in an appropriate, secure and time-limited manner. These requirements apply equally to Itad staff and external consultants.

For this project the following sources of PII have been identified in the table below. This will not include the collection of any sensitive data which requires the completion of a data protection impact assessment (DPIA)⁵.

Description of PII	Usage
Details of KII interviewees (name, designation, office, organization) and participants. <i>This applies to KIIs undertaken as part of:</i> Country case studies (field-based); Thematic case studies (desk-based); KIIs at HQ and RO level.	A full list of KIIs and participants in meetings may be included in reporting for information only. This will not be cross-referenced to any other content (analysis or findings) in reports. In the case of this evaluation most of the KII interviewees will be recommended by UNICEF (the client) who will expect Itad to record in an annex that these interviews have taken place. Unless UNICEF is willing to waive this requirement, complete anonymity is not possible Evaluation analysis and findings may make reference to some aspects of KII – e.g. an individual’s designation – but will never do this in combination with other information – e.g. office, or a reference to a specific programme – which would make it possible to identify an

⁵ Data which requires a DPIA includes personal information concerning a data subject's racial or ethnic origin, political opinions, religious beliefs, trade union activities, physical or mental health, sexual life, or details of criminal offences.

	individual. In an exceptional case (such as a Country case study where it became more challenging to ensure this) Itad may request written permission from individuals to anonymously quote them. Were the evaluation team to attribute evidence to an individual this will only be done where there is explicit consent.
Details of key informants taking part in transect walks (first name, sex, age, position in community (if relevant))	This information will only be reported at a summary level to provide transparency on demographics of participants in the transect walks. First name is collected to facilitate communication between evaluation team and key informants, but will not be reported or used in analysis in any way.
Details of individuals responsible for completing CO self-assessment	This information will only be used for following up any queries relating to self-assessment responses. These responses are on a country-office, not personal level and will not be associated with the individuals responsible for completing them.
Details of individuals responding to the online survey (details to be confirmed at time of design)	Data will be analysed by type of stakeholder/respondent category but not by country/crisis. PII will not be used in analysis or reporting.

3.1 Data Storage

In all cases where PII is collected this will be stored on a team Dropbox accessible only to evaluation team members (not including the UNICEF Evaluation Office). Where PII is originally collected in paper form, this will be destroyed after the data has been transcribed and uploaded.

After transcription, and before analysis, all PII will be removed from the relevant piece of evidence and stored in a separate file on the Dropbox. At this point the PII will be referenced to the evidence source through a unique identifier, but this reference will only be available to the evaluation team.

Except where PII is included in reporting (see above for details) the default position is that all PII will be securely deleted at the conclusion of the contract for this evaluation. Where data is required to be transferred to the UNICEF Evaluation Office all PII detailed above will be redacted, except in cases where the Evaluation Office is able to demonstrate that this data will be handled in accordance with the requirements of the GDPR.

3.2 Anonymity

The identity of participants in this evaluation will be ensured through the steps detailed above for collection, use and storage of PII. The only exceptions to this will be where there is explicit consent from participants to be identified in evaluation reports. This consent can be at the participants request or (for key informant interviewees only) in response to a request from the evaluation team, and will be recorded in writing by the evaluation team.

4. Primary Data collection tools

4.1 KII guiding questions

The evaluation team will develop guiding questions ahead of KIIs. A single set of guiding questions will be developed in alignment with the agreed evaluation questions, and the evaluation team will make a judgement as to which participants are best placed to provide responses to specific questions. This is outlined in the evaluation matrix included in the inception report. The guiding questions will address aspects of UNICEF's performance rather than individual performance. Whilst the questions are open ended, the evaluation team will not set out to collect PII as part of the responses.

KIIs will typically be documented in writing. Where only one evaluation team member is present, they may be recorded, and permission will be sought from the interviewee before recording commences, and confirmed verbally at the start of the recording. Where the KII is conducted remotely (via Skype or similar) the evaluation team will seek permission before recording commences.

4.2 Country office self-assessment tool

The evaluation has designed a self-assessment tool to be completed by country offices covered by case studies. This tool is comprised of open-ended questions which ask the country-office to assess the capacity of UNICEF in respect of multiple aspects of work on WASH in Protracted Crises. Although the self-assessment may be completed by a specific individual, it is a response on behalf of the country office (or section of country office) in a corporate capacity.

The self-assessment tool is provided separately.

4.3 Transect walks

The evaluation will collect primary data from the affected population through the use of transect walks. These transect walks are designed to capture information on the general situation with regards to water, sanitation and hygiene in an area rather than to provide representative data, or information about specific individuals and/or households condition, behaviours or practices. The protocol for the transect walks is provided separately.

4.4 Online survey for UNICEF staff and partners

The evaluation will use an online survey to capture information from a wider group of stakeholders than can be reached using global and country-level interviews and visits. The survey will be sent to individuals in all countries with WiPC programmes not included in the country case studies, to all UNICEF WASH staff in protracted crises contexts and all WASH clusters/sector coordinators in countries in protracted crisis – with an invitation to forward the survey to their cluster/sector group members. The invitation will make clear that participation in the survey is voluntary, and that no information on the identities of participants will be made available to UNICEF.

The survey is intended to complement the other evidence sources used by the evaluation, so it has been agreed with the evaluation office that this will only be designed and agreed once initial data collection (from document review and case studies) has taken place. This means it is not possible

to provide the survey tool at this point. However, it is anticipated that the survey will include questions about the familiarity and use of quality norms/standards, the effectiveness of national-level coordination mechanisms, progress in capacity development in WASH.

Data will be analysed globally and by type of stakeholder/respondent category but not by country/crisis. By not analysing or reporting the data at a country level it will not be possible to identify the responses of individuals, helping to ensure confidentiality.

SurveyMonkey will be used as the survey tool. At the close of the survey the data will be downloaded and stored in accordance with protocol above, and the survey will be deleted from SurveyMonkey.

Annex 10. Terms of Reference

Global Evaluation of UNICEF's WASH Humanitarian Action in Protracted Crises, 2014-2019

This annex contains the terms of reference (ToR) for the global evaluation of UNICEF's water, sanitation and hygiene (WASH) humanitarian action in protracted crises over the period 2014-2019, which is commissioned and managed by the UNICEF Evaluation Office. A global evaluation of UNICEF's Education humanitarian action will be conducted concurrently to this WASH evaluation, for which there are separate terms of reference. Coordination, coherence/synergies/complementarities and cross-learning between the two evaluations will be sought.

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Background for the evaluation

Global setting

The [Millennium Development Goals](#) (MDGs) goal 7, to ensure environmental sustainability, included a target that challenged the global community to halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation, using the year 1990 as a baseline. According to the [2015 report of the WHO/UNICEF Joint Monitoring Program for Water Supply and Sanitation](#), the target for drinking water was globally met in 2010, ahead of the MDG deadline, while the world has fallen short on the sanitation target. In September 2015, the UN Member States adopted the [Sustainable Development Goals](#) (SDGs) and targets for the new period 2015-2030. Goal 6 is to “ensure availability and sustainable management of water and sanitation for all”, with target 1 being “achieve universal and equitable access to safe and affordable drinking water for all” and target 2 being “achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations”. This goal involves for Member States and development partners to scale up efforts, ensure the quality and sustainability of water, sanitation and hygiene (WASH) services, and adopt a stronger equity-lens in order to leave no one behind.

Progress towards these goals has been slower in countries affected by conflicts, humanitarian crises, weak governance, and economic and social fragilities. If current trends continue, WASH deprivations and extreme poverty will increasingly be concentrated in these countries. The growing number of fragile and conflict-affected countries and the increasing duration of humanitarian situations are critical risks for the global attainment of the SDGs, as evident from Figure 1 below depicting the humanitarian crises for which UNICEF activated the level 2 (L2) and level 3 (L3) corporate emergency procedures since 2010.⁶ In the early 2010s (first three years of the decade), UNICEF activated the procedures for two to three emergencies annually, which typically lasted a few months to a year. Since 2016, in addition to L1 situations, UNICEF responded to 10 L2 and L3 emergencies every year with an average duration of the emergency procedure of more than 3 years.⁷ The large majority of them are driven by armed conflicts. WASH was a major component in every emergency response.

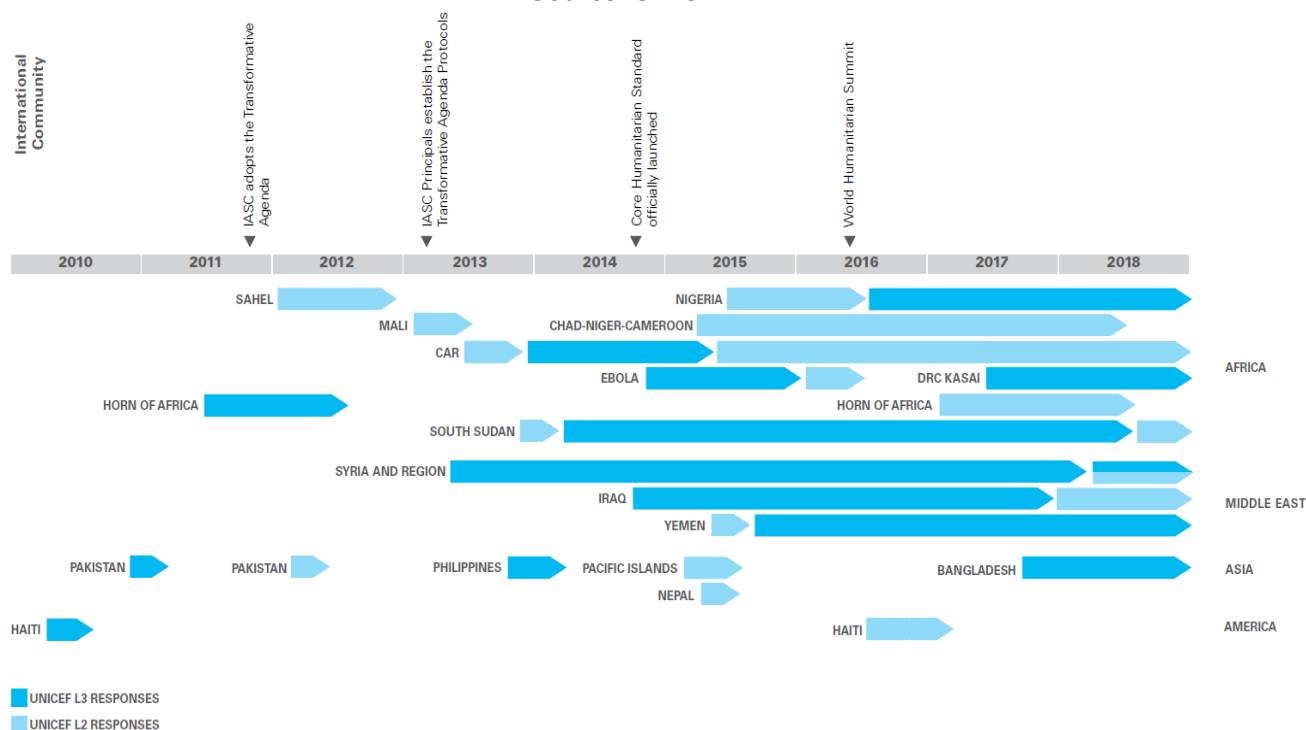
According to the World Bank, the number of people living in fragile and conflict-affected situations is projected to increase to 46% of the global population by 2030. The increasing number and scale of protracted, complex crises across the world has stretched the capacity of both countries and the humanitarian and development community to respond effectively while maintaining efforts towards the SDGs. This dilemma gives new urgency to the long-standing discussion around higher quality of humanitarian response and better connectivity between humanitarian and development efforts, including in WASH. The response to humanitarian situations needs to save lives and effectively restore the conditions for the stabilization of the affected areas, but also to pave the way for and possibly contribute to longer term objectives. In that sense, humanitarian WASH actors share the responsibility for the implementation and achievement of SDG 6. In turn, WASH development programmes guided by SDG 6 need to contribute to mitigating drivers of conflicts and reducing needs, vulnerabilities and risks.

⁶ IASC and UNICEF define an L1 emergency as a situation to which a Country Office can respond using its own staff, funding, supplies and other resources, and the usual Regional Office and Headquarters support; an L2 emergency as a situation where the magnitude of the crisis is such that a Country Office needs additional and prioritized support from other parts of the organization to respond, and where the Regional Office must provide dedicated leadership and support; an L3 emergency as a “system wide” high priority emergency, which are activated in the most complex and challenging humanitarian events, when the highest level of mobilization is required.

⁷ UNICEF HQ does not keep track of L1 emergencies.

The quality of humanitarian action, including in WASH, and the linkages with development have been the focus of the major international events, agreements and commitments situated on the above timeline, in particular the [Inter-Agency Steering Committee Transformative Agenda](#) (agreed by the IASC Principals in 2011) and related Protocols including the [Accountability to Affected Populations Operational Framework](#) (2013); the [Core Humanitarian Standards on Quality and Accountability](#) (2014); and the [World Humanitarian Summit](#) (2016) that resulted in a set of [Core Commitments](#) as well as a number of initiatives such as the [New Way of Working](#) and the [Grand Bargain](#) to which all major humanitarian actors have subscribed, including the United Nations system and UNICEF.

Figure 1: L2 and L3 corporate emergency procedures activated by UNICEF since 2010.
Source: UNICEF



UNICEF strategy and action in humanitarian WASH

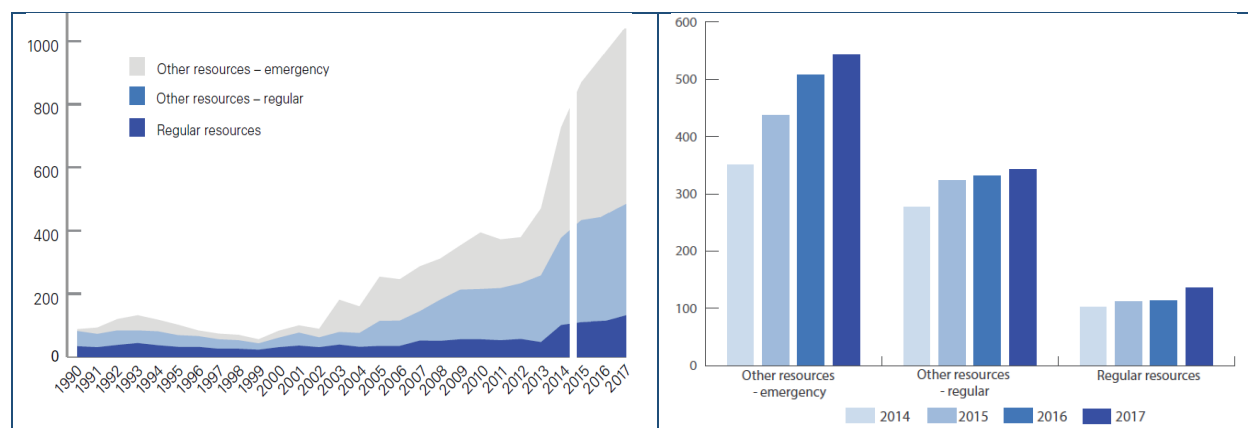
UNICEF is a global humanitarian actor, responding to all major emergencies across Africa, Asia and Latin America for decades, and playing a significant advocacy and coordination role. In 2017, the organization responded to 337 humanitarian situations in 102 countries. UNICEF humanitarian response and coordination work in emergencies is guided by the humanitarian principles and other internationally agreed norms, standards and commitments, as well as by its own corporate [Core Commitments for Children](#) (CCCs) in Humanitarian Action. The CCCs provide an overall framework as well as sector-specific activities and targets/benchmarks, not only in the humanitarian response, but also for emergency preparedness, coordination and recovery.

UNICEF's Strategic Plans for the period [2014-2017](#) and [2018-2021](#) both recognized the need for the organization to continue its involvement in humanitarian action, anticipate the increase in the frequency, scale, severity, duration and complexity of humanitarian crises, and mainstream its above mentioned international commitments in all aspects of its work. They emphasized that

UNICEF must strengthen all components of its humanitarian preparedness and response investments, and further improve the coherence and complementarity of its humanitarian and development programming – including in WASH. With its dual mandate, UNICEF is particularly concerned by the global pledge to more effectively combine humanitarian and development programming, and has the ability to do so.

In the WASH sector more specifically, UNICEF has an internationally recognized position. Since the 1960s, when the organization supported mainly water supply in emergencies, the focus has gradually widened to include sanitation and hygiene education. More recently, as a result of the unprecedented evolution in the frequency and character of emergencies from disasters to more complex and protracted conflict-related crises, the scale of UNICEF WASH humanitarian action dramatically expanded both geographically and financially. UNICEF WASH responded to all L2 and L3 emergencies listed on the above timeline and to many of the L1 emergencies. In its latest [Annual Result Report for WASH](#), UNICEF reports having engaged in WASH humanitarian action in 70 countries in 2017, making a total of 94 countries over the 2014-2017 Strategic Plan period. UNICEF reports having reached more people through its humanitarian response programmes in 2017 than ever before. The figures include 32.7 million people provided with drinking water, 9.0 million with sanitation and 28.1 million with hygiene promotion. Since the early 2000s, emergencies represent approximately half of UNICEF’s total WASH expenditure, and the increase in emergency funding has been particularly strong since 2013/14, reaching 530 million USD in 2017 as shown in the graphs below (Figure 2).

Figure 2: UNICEF WASH expenditure by type of funding, in million USD. Source: UNICEF



UNICEF’s WASH humanitarian response has expanded over these past years mainly driven by the large-scale emergencies in the conflict-affected countries in the Middle East (Iraq, the Syrian Arab Republic and neighboring countries), by conflict-related population displacements in Bangladesh, South Sudan, the DRC and elsewhere, a worsening global cholera pandemic (Yemen, Haiti, the DRC etc.), and climate change-related drought in Eastern and Southern Africa.

In addition to its response to WASH emergencies in the field, the organization holds the unique mandate of leading the global WASH cluster since its creation in 2005, and acting as the lead agency when the WASH cluster is activated in a country. UNICEF reports having played a humanitarian coordination role in 69 countries in 2017. UNICEF’s actions, both as a financial and

technical support agency and as cluster lead for WASH, affect a large network of humanitarian actors in the sector.

The successive UNICEF Global WASH Strategies for [2006-2015](#) and [2016-2030](#) explicitly refer to the WASH related CCCs for effective emergency preparedness, response, coordination and recovery. They also stress that UNICEF emergency interventions build on existing programmes and partnerships, working within the objectives of the global development community and nationally defined development priorities, and informed by the same programming principles and approaches as those for development programming. For example, emergency WASH programmes must not only meet the immediate needs of affected children and their families but also empower communities, build resilience, reinforce national systems and sector capacity, and reduce future risks. This is noted as especially important in large-scale and long-term emergency response programmes and in programmes to support the transition from emergency response to development programming. For these objectives to be achieved, the successive Global WASH Strategies identify a number of priorities including expanding internal capacities and external partnerships, evidence-based programming and monitoring, and strengthening accountability at all levels.

More information on UNICEF's WASH humanitarian action can be found at the [UNICEF WASH public webpage](#).

Purpose, objectives and target audience of the evaluation

Evaluation purpose and expected use

This evaluation of UNICEF WASH humanitarian action is commissioned by the UNICEF Evaluation Office. Humanitarian WASH has been selected as a priority topic for UNICEF's global evaluation plan for 2018-2021 with the aim to:

- Fill knowledge gaps and contribute to learning within UNICEF and in the WASH and humanitarian sectors more broadly. The evaluation will make available to UNICEF and other organizations and people involved/interested in humanitarian WASH and other related topics the evidence about quality programming and recent advances and innovations that will emerge from the evaluative analysis. In the sector, beyond UNICEF, challenges/weaknesses in WASH emergency response and knowledge gaps are widely recognized. More evidence is particularly needed in relation to the recent trends in the humanitarian (WASH) policy and programming context: quality of the humanitarian action in complex protracted emergencies, and the humanitarian-development nexus.
- Enable evidence-based decision-making. By identifying the recent developments, strengths and weaknesses in UNICEF's humanitarian WASH action, the evaluation will help determine any changes needed to make UNICEF and its partners more capable to deliver on their objectives and commitments, and will inform policy and programme management decisions about the way forward at Headquarters (HQ), regional and country office levels. The need for evidence-based decisions and programming has been highlighted in the above listed corporate documents. At the corporate, policy level in particular, the evaluation will be timely for informing the update of the current UNICEF Global WASH Strategy (planned for 2020/21) and the mid-term review of the current UNICEF Strategic Plan or the development of the next one.
- Support advocacy efforts: UNICEF and other concerned stakeholders will be able to make use of the evidence generated by this evaluation in order to advocate internally and externally for the necessary/recommended changes in corporate and global policies, systems, procedures

and practices, and improve the ability of UNICEF and others to respond to future large-scale complex emergencies in countries throughout the world.

- Advance UNICEF's accountability objectives: This area of UNICEF programming has been under-evaluated: only 18% of UNICEF WASH evaluations since 2000 focused on emergencies (while emergencies represent around half of UNICEF's WASH expenditure for that same period). The evaluation will assure internal and external stakeholders of the relevance, performance and quality of the work they have supported.

As such, the evaluation will be both formative and summative.

Specific objectives

Its specific objectives are as follows:

1. Evaluate whether UNICEF's WASH humanitarian action – strategies and programming – at the global, regional and country level has been context appropriate and of the required level of quality against humanitarian principles, norms, standards, commitments and good practices;
2. Examine the extent to which UNICEF's WASH humanitarian action has been (increasingly) linked with its development objectives and programming, including for risk reduction and resilience;
3. Assess whether UNICEF WASH has developed appropriate procedures and human capacities to continuously measure, learn on and maintain/improve the appropriateness and quality of its humanitarian action;
4. Determine if and how UNICEF can replicate or scale up some innovations or good practices;
5. Make recommendations that will help UNICEF optimize its contribution to the global humanitarian agenda.

Target audience

The primary target audience for the evaluation is the following:

- The UNICEF professionals at every level responsible for all strategic, design, implementation, coordination, and monitoring-evaluation-learning aspects of WASH humanitarian action;
- The UNICEF Executive Board and the UN Member States more generally;

The secondary audience for the evaluation is the following:

- The members and Strategic Advisory Group of the Global WASH Cluster, and the Inter-Agency Steering Committee;
- Other UNICEF divisions, sections and stakeholders interested in or are impacted by WASH programming, such as: Programme Division, Emergency Operations, Health, Nutrition, Education, Communication for Development, Gender, Social Inclusion, Knowledge Exchange, etc.;
- Donor agencies that have technically and financially supported UNICEF's WASH in emergencies programmes, and strategic and implementing partners of UNICEF at HQ, regional and country levels, whose efforts have been technically or financially supported by UNICEF;
- Right holders, primarily beneficiaries in communities and institutions where UNICEF has intervened and might intervene in the future;
- The broader technical humanitarian and WASH community.

Other related evidence generation initiatives

This evaluative undertaking will contribute to strengthening and updating the knowledge and evidence base on UNICEF's emergency WASH programming together with other global evidence generation initiatives planned, on-going or recently completed by the organization. In addition, several recent, on-going or planned external evidence generation initiatives are relevant to UNICEF and to this evaluation, either directly or indirectly. These internal and external initiatives are listed in Annex C by chronological order. The scope of the evaluation as well as the evaluation questions and specific areas of inquiry presented in the next sections have been defined with the view to reinforce these various initiatives, seek synergies and complementarities, and avoid duplication.

Scope

The evaluation will focus on UNICEF WASH humanitarian action in protracted emergencies. WASH humanitarian action will be approached with a broad lens: including the emergency-related work of UNICEF before and after the crises, its strategies, and its coordination work. Protracted emergencies are defined as major humanitarian situations in which a large proportion of a population in a country is vulnerable to death, disease or disruption of their livelihood over a significant period of time.⁸ This evaluation will mainly consider emergencies that have been classified by UNICEF as L2 or L3 for a duration of at least 1.5 years as of September 2018 ('universe' of the evaluation). It may also include some protracted emergencies that have been classified as L1 during this period of time.

Protracted crises are typically due to an armed conflict, endemic or other types of threat to people's survival and livelihood, e.g. lasting drought and malnutrition situations. In these contexts, UNICEF often maintain some development type of WASH interventions concurrently to its emergency response and coordination work – although the line between humanitarian and development work becomes increasingly blur, especially in protracted crises. In such countries, the evaluation will not evaluate UNICEF's development programming⁹ but will examine the linkages/interaction between the two programme components.

The evaluation will cover the timeframe 2014-2019 (6 years). This period starts with the previous UNICEF Strategic Plan 2014-2017 and covers its entire duration plus the first half of the current one 2018-2021. The year 2014 corresponds to the adoption and dissemination of the first Transformative Agenda Protocols, the launch of the Core Humanitarian Standard on Quality and Accountability, and the rapid increase in major (L2 and L3) protracted emergencies in which UNICEF WASH was involved. Within UNICEF, a number of initiatives were launched as part of or immediately after the Transformative Agenda Protocols with a focus on the quality of UNICEF's humanitarian action and bridging the divide between humanitarian and development programming. Moreover, the proposed timeframe takes into account the potential evaluability constraints posed by rapid staff turnover and potentially limited institutional memory in emergency settings. The evaluation will include the year 2019 in order to capture the latest developments, reforms, trends and innovations, generate findings and provide recommendations that are relevant, timely and useful for the concerned stakeholders.

⁸ Adapted from: Christina Bennett, [The development agency of the future: Fit for protracted crises?](#), Discussion paper, Overseas Development Institute (2015)

⁹ The UNICEF Evaluation Office recently completed several evaluations and evaluation syntheses on UNICEF's WASH development programming, including on [Community approaches to total sanitation](#), [WASH in schools](#), [equity, scalability and sustainability in UNICEF WASH programming](#), and drinking water supply (upcoming).

The protracted crises declared by UNICEF as L2 and L3 emergencies since 2014 are the following: Nigeria and Lake Chad basin (Chad, Cameroon, Niger), the Central African Republic, the Ebola virus epidemic in West Africa (Liberia, Guinea and Sierra Leone), the DRC (Kasai province), the Horn of Africa (Kenya, Somalia and Ethiopia), South Sudan, Syria and the neighbouring countries (Turkey, Jordan, Lebanon and Egypt), Iraq and Yemen. This list comprises 20 countries including the neighbouring countries affected by the consequences of the crisis, i.e. hosting refugees. Note that not all of these countries will be covered as case studies (see the section on Evaluation design and methodology below).

The scope of the evaluation is presented in more detail in Table 1.

Table 1: Evaluation scope

Dimension	Included	Excluded
Time boundaries	2014–2019	Years before 2014
Type of emergencies / countries	Protracted crises for which UNICEF activated the L2 or L3 corporate emergency procedure for at least 1.5 years; possibly a few additional protracted crises classified as L1 emergencies Due to an armed conflict, a disease outbreak or other types of threat to people’s survival and livelihood, e.g. lasting drought and malnutrition situations	Short-term emergencies Natural disasters
Geographic scope	Sub-Saharan Africa (UNICEF Western and Central Africa region and East and Southern Africa region) and the Middle East (UNICEF Middle East and North Africa region)	Asia, Latin America, Europe and Central Asia
Universe / scope of the analysis	UNICEF’s strategies, action and coordination at the global, regional, cross-border, country and field office / local levels All stakeholders who contributed to the design, implementation and monitoring/learning of UNICEF’s strategies and actions (global/regional/country levels) All donors and funding for the interventions listed below	Strategies and programming of UNICEF partners and WASH cluster members when not technically and financially supported by UNICEF
Type of programming in-country	Humanitarian response and mixed programming, i.e. that is characterized by a mix or continuum of development and humanitarian work	Purely development programming
Phase of the humanitarian cycle	Before the crisis: risk informed programming, risk reduction, emergency preparedness During the crisis: emergency response (supply and service provision, reconstruction and rehabilitation) Recovery: post-reconstruction, resilience	

Dimension	Included	Excluded
Type of WASH action	All typical components of an emergency WASH response in the field (downstream): drinking water supply; sanitation; hygiene promotion; WASH in schools, health care facilities, internally displaced people, refugee camps, and host communities Upstream work: policy advocacy, capacity building / system strengthening, knowledge management and WASH sector enabling environment Coordination role, at the country and global level	Water resource management at local and basin level Solid waste management in community settings
In-country settings	Rural and urban areas	
Implementation modalities	All modalities, including direct implementation and implementation through government partners, NGOs and civil society organizations	

Evaluation focus, criteria, questions, and areas of inquiry

The overarching theme of this evaluation is the quality of UNICEF WASH humanitarian action in protracted crises.

The evaluation will approach this theme through the lens of and using two of the criteria generally used for evaluating humanitarian assistance: effectiveness and connectedness.¹⁰ Their definition is provided in table 2 below, together with the key related questions that the evaluation will aim to answer and the more specific areas of focus/inquiry.

Bidders (referred to as “proposers” in this document) are invited to comment on the key evaluation questions and areas of inquiry, rephrase or specify them as they feel appropriate. However, they shall not replace them or add more key evaluation questions, as such changes would modify the scope of the evaluation and jeopardize its feasibility within the given budget and timeframe. Final decisions regarding the key questions, areas of inquiry, and potential detailed sub-questions, will be taken in the inception phase, based on the following principles:

- **Importance and demand/priority:** the information should be of a high level of importance for the various intended audiences of the evaluation;
- **Usefulness and timeliness:** the answer to the questions should not be already known or obvious, additional evidence is needed to inform decisions, notably in relation to the review and update of UNICEF’s Strategic Plan, Global WASH Strategy and other strategic documents and guidance for humanitarian WASH;
- **Evaluability:** all the questions can be answered using available resources (budget, personnel) and within the given timeframe; data and key informants are likely to be available and accessible, and performance standards or benchmarks exist to answer the questions and formulate an evaluative judgment;
- **Actionability:** the questions will provide information which can lead to recommendations that be acted upon.

The evaluation will not attempt to quantify the impacts of UNICEF’s WASH humanitarian action attributable to the organization (e.g. on health) due to the following constraints: the multi-country /

¹⁰ In humanitarian evaluations, the connectedness criterion (recommended by ALNAP) replaces the sustainability criterion used in development evaluations (recommended by the OECD-DAC).

global scope of the analysis; the methodological complexity of robust impact evaluations; the probably lack of baseline data; the multiple humanitarian actors typically involved in protracted crises and multiple factors affecting impacts; and the limited budget and timeline of this evaluation. However, the second evaluation question under the effectiveness criterion touches to some extent on the impact issue.

The efficiency criterion has not been included due to limited evaluability and usefulness: challenges accessing data, analysing them in a meaningful manner and finding an appropriate benchmark. The coherence criterion has also been excluded because it was not considered as a priority area of concern for the WASH humanitarian action of UNICEF during the evaluation scoping exercise, while the coverage criterion has been or is being covered through some of the other initiatives listed in Annex C. The evaluation criteria related to appropriateness and coordination will be examined through the lens of effectiveness.

Table 2: Evaluation criteria, key questions and specific areas of inquiry

Criteria definition	Key evaluation questions	Specific areas of inquiry
Effectiveness		
Extent to which a strategy or action achieved its purpose and objectives, or whether this can be expected to (have) happen(ed) on the basis of the appropriateness of the strategy/action and of the achievement of lower level results/outputs	<i>Intrinsic effectiveness and quality of UNICEF WASH humanitarian action:</i>	
	Has UNICEF effectively complied with / implemented the normative frameworks and agency and sectoral standards in its WASH humanitarian action, including in emergency coordination?	<p><u>Normative frameworks:</u> Transformative Agenda Protocols and Core humanitarian standards directly relevant for and implementable within WASH humanitarian action, in particular: Protection, safeguarding, gender Equity / most vulnerable and hard-to-reach populations (incl. people living with disability) Accountability to affected populations</p> <p><u>Sectoral standards:</u> WASH-specific humanitarian standards endorsed by UNICEF, including: WASH minimum commitments for safety and dignity Minimum requirements for national humanitarian WASH coordination platforms</p> <p><u>Corporate standards:</u> WASH CCCs Other UNICEF protocols and guidance related to public health emergencies such as cholera, Ebola and malnutrition</p>
	To what extent did UNICEF's WASH humanitarian action translate into changes in the lives of affected populations, and how would UNICEF know it?	<p><u>Evidence of and/or likelihood of:</u> UNICEF's contribution to meeting WASH humanitarian needs (coverage) Positive outcomes Sustainability of WASH outputs and outcomes User perceptions and satisfaction regarding UNICEF's supported action</p>

Criteria definition	Key evaluation questions	Specific areas of inquiry
	Are the appropriate means in place to ensure adequacy and quality in UNICEF WASH humanitarian action, including coordination?	<u>Relevance/usefulness and effectiveness of:</u> Efforts to ensure adequate human capacity: HR management, capacity building, surge capacity, standby partners, etc. Technical guidance Quality assurance mechanisms Result monitoring, feedback mechanisms, and learning processes and practices
Connectedness		
Extent to which activities of an emergency nature have been carried out in a context and with an approach that takes longer-term objectives and interconnected problems into account	<i>Humanitarian-development nexus:</i>	
	To what extent has UNICEF ensured linkages, coherence and mutual reinforcement of its WASH humanitarian action with longer-term, development objectives?	<u>Before, during and after the emergency:</u> Needs and risks analysis; risk reduction and preparedness/planning Programming: phasing/progression of response objectives, minimum standards and implementation, programmatic adaptability/adjustments to the changing context and needs, capacity building and system strengthening Coordination arrangements: localization and institutionalization / strengthening Resilience

Design and methodology

Overall approach

The evaluation will be a non-experimental, mixed methods evaluation that will collect and analyse evidence at global, national, country and local levels to generate global level findings and recommendations. It will be mainly based on normative and analytical frameworks that were applicable during the evaluation period, and make best use of existing/recommended evaluation approaches and tools for (WASH) humanitarian action (see Annex D for a preliminary list organized by evaluation question and area of interest). Evidence will primarily come from the documents and data already available in UNICEF including previous evaluations, from desk-based country case studies and field visits, and from interviews and online surveys with key informants.

UNICEF's performance will be assessed against relevant benchmarks, which can be humanitarian norms and standards, targets, protocols and guidelines defined by UNICEF, documented sector good practices, or the situation at the beginning of the evaluation period. Whenever possible and realistic, a comparative and external perspective is to be factored into the evaluation, identifying potential variations across (types of) emergencies, differences between UNICEF and other humanitarian actors, and with other sectors. The Evaluation Office will conduct an evaluation of UNICEF's Education humanitarian action concurrently to this WASH humanitarian evaluation, which will provide opportunities for comparisons between the two sectors.

The evaluation will occur in three phases, which are further described below: 1) inception, 2) desk-based document review, 3) in-depth data collection and analysis, and 4) reporting and communication phase. The following offers guidance on the evaluation process and UNICEF's expectations and thinking. It should be commented on, further developed and improved by the

proposers in their respective proposals. Alternative approaches can also be proposed. Final decisions will be made during the inception phase.

Phase 1: Inception

- Convene an inception meeting between the selected evaluation team and UNICEF in New York HQ. The meeting will bring together the relevant divisions within UNICEF, including the Evaluation Office, WASH section, Emergency operations (EMOPS), Humanitarian and Transition Interface Support section (HATIS), and Education section. It is expected to last about 5 days. It will review the contractual provisions and the technical and budget requirements, familiarize the evaluation team with UNICEF's standards, processes, and tools related to global and WASH evaluations, clarify UNICEF's expectations, identify potential areas of coordination/synergies with the evaluation of UNICEF Education humanitarian action that will run concurrently to this WASH evaluation, provide the evaluation team with the available resource and information, and refine the work plan for the next steps. The main stakeholders for the evaluation will be met, and key information and documents gathered by the evaluation team.
- Collect other necessary information and carry out a preliminary, targeted review of relevant UNICEF documents and academic and grey literature with the aim to develop 1) an in-depth understanding of the evaluated thematic and of UNICEF's programming in this area, and 2) the inception report, particularly the content related to the evaluation matrix, methodology and tools. An evaluation scoping report and a Dropbox repository of key relevant UNICEF and non-UNICEF documents have been produced during the evaluation scoping phase and will be made available to the evaluation team, to be completed as appropriate (notably with documents listed in Annex C and D but not yet available). However, proposers should demonstrate their familiarity with the available literature as part of their proposal.
- Finalise and submit all elements needed for the inception report (see details on the inception report in the 'Deliverable' section further below). Not all data collection tools need to be developed/finalized as part of the inception report: at this stage, the approach for the next phase will be the priority. At subsequent stages, the evaluation will be adaptive and agile, building on the data and findings from the previous stage and developing or updating the data collection tools accordingly. With regard to the case studies, the inception report should provide the list of countries and the methodology for the case studies carried out through desk review and through field visit. The process and criteria for selecting the two groups of countries will follow a purposive and opportunistic rather than randomized approach. Synergies with the Education evaluation will be sought. Duplication with recent, on-going and planned evaluations will be avoided. Proposers are invited to suggest an approach as well as the objectives, organization, evaluative method and duration for case studies as part of their technical proposal. See below for additional guidance on case studies (phase 3).
- Meet with UNICEF and the Evaluation Advisory Group (EAG, see details further below) in New York HQ (NYHQ), finalize and receive approval for the inception report before commencing phase 2.

Phase 2: Desk-based document review

- A significant amount of data are readily available from existing UNICEF and non-UNICEF documents, websites and databases and must be exploited before any further direct engagement with the relevant key informants. The detailed desk-based document review and analysis will aim at collecting this information and using it to 1) map and analyse stakeholders' role in and contribution to / influence on UNICEF WASH humanitarian action; 2) pre-populate

the evaluation matrix, 3) determine the methodology and data collection and analysis tools for phase 3, and 4) orient and inform the country case studies.

- The relevant documentation includes: policies, strategies, guidance, toolkits, position papers, presentations and internal notes, training materials, studies and evaluations of UNICEF, of the Global WASH Cluster and of IASC; WASH contingency planning and emergency preparedness documents; country office situation reports (SitRep); needs assessments; surveys and statistics; CAP/CERF funding appeals and reports; donor proposals and reports; emergency planning and programming documents; UNICEF, partners and third party field monitoring visits reports; operational result and financial data; country, regional and global WASH and humanitarian annual reports; communication materials; inter-agency or cluster documents, data and reports; cluster coordination performance monitoring reports and database; internal and external studies, reviews and evaluations; other documents from the academic and grey literature relevant to UNICEF WASH humanitarian action. Some of these documents are listed in Annex C and D.
- Draft and submit a document review synthesis report, and the methodology and data collection and analysis tools for phase 3.

Phase 3: Data collection and analysis

- It is expected that the sequencing, process and content of this phase will be as follows, however proposers are invited to suggest alternatives and innovative approaches. Coherence and synergies will be sought at all stages with the parallel evaluation of UNICEF Education action in emergencies.
- Desk-based case studies: They will cover a sample of 3 to 5 protracted crises among those listed above (number to be determined during the inception phase). The evaluation team will gather from the concerned county offices and their partners the required documentation not already reviewed as part of phase 2. They will also organize a self-assessment by the country office WASH humanitarian teams (using/adapting existing self-assessment tools for humanitarian evaluations) as well as remote interviews with relevant informants from current and previous UNICEF and cluster staff members, partners and donors. Other data collection methods should be envisaged such as surveys, teleconferences and discussion platforms. Desk-based case studies shall not start before the phase 2 is completed, in order to be able to narrow down the scope of data collection and limit the time needed for phase 3, and minimize the interactions with / burden for the concerned country offices.
- Field visits: Three additional case studies will be informed through a field visit. Again, field visits shall not start before the phase 2 is completed. It is required that the evaluators start their work in country already well informed of the humanitarian WASH context and programming, and with a well-targeted data collection approach. Preliminary country self-assessments approaches can be used. The visit duration is not expected to exceed 12 days (at least for evaluation team members coming from abroad). Field observations and interviews/surveys are encouraged in order to get a direct exposure to UNICEF's interventions, collect beneficiaries' and partners' feedback and gather the evidence needed to respond to some evaluation questions, however statistically representativeness of collected data will not be sought. It is recommended to pilot the methodology and data collection tools during the first field visit before proceeding with the other ones. Before leaving the countries, participants from the evaluation team will organise a meeting to present the raw data collected during their visit, if possible their preliminary findings, identify/correct the gaps and agree on the way forward with all relevant stakeholders.
- In depth interviews with other key informants outside case study countries: Institutional memory is lodged with individuals who can be reached for in-person interviews, focus groups, teleconferences and other methods. UNICEF and the Evaluation Advisory Group (EAG) can

provide a list covering a large range of key informants and institutions, including UNICEF staff members, consultants, international NGO partners, cluster members/partners, donors, researchers/consultancies and other independents subject matter experts.

- Online survey: Survey design, implementation and data analysis can be very time consuming. This data collection method will only be considered and the survey questionnaire designed once the above listed methods have been used, and will be designed with the view to complement them.
- General guidance for data collection and analysis: methods should be used based on international standards and best practice for (humanitarian) evaluations. The evaluation team will identify and mitigate data limitations and potential bias involved in each data collection method. Accuracy, triangulation and disaggregation of data will be of crucial importance for the comprehensiveness, usefulness and credibility of the evaluation findings. As part of data collection and analysis, the evaluation will seek to identify contextual and structural/systemic factors explaining the evaluation findings – supporting or impeding UNICEF's performance. Some of the bottlenecks may relate to corporate characteristics, system-wide processes and cross-sectoral issues that lie beyond WASH. These needs to be listed but not examined in great depth, as such analysis is better conducted as part of a wider, cross-sectoral evaluation of UNICEF's humanitarian action.
- This phase will end with the drafting and submission of the interim report (see details in the 'Deliverable' section further below) and a meeting with UNICEF HQ and the EAG.

Phase 4: Reporting and communication of results

- Draft the global evaluation report, PowerPoint presentation and evaluation summary or 'brief' (see details in the 'Deliverable' section further below). These deliverables should be drafted based on feedback received on earlier deliverables. A collaborative approach should be taken including inputs from all team members and all evaluation stakeholders including the EAG. The evaluation team should expect to receive and integrate 2 to 3 rounds of comments on the draft evaluation reports before the final report is approved and finalized by the UNICEF Evaluation Office.
- 2 meetings will be held in NYHQ during this phase: 1 meeting during the report review process with the aim to improve the quality of the report and discuss the preliminary findings and recommendations; and another meeting/event after the approval of the final report, with a larger participation of UNICEF and an global online broadcast in order to disseminate and encourage the utilization of the evaluation findings.
- Short reports will be drafted for each case study, intended for the concerned UNICEF offices. It is suggested that they come after the global evaluation report due to the tight deadline for this global report.
- The team leader may also be invited to participate in other dissemination activities to maximize uptake, such as a workshop, internal or external webinar, international conference, blog, and newsletter or journal article – to be determined during the inception phase and confirmed at evaluation completion.

Deliverables

Key deliverables are:

1. Inception report, with the following indicative contents:
 - Detailed, final evaluation question
 - Analytical framework and evaluation matrix, including analytical framework, data sources and benchmarks for each evaluation question and specific area of inquiry

- Data collection methodology for the remainder of the assignment, including the selection process and result for the countries to be covered through desk review and field visit
 - Additional data to be collected during phase 2 and corresponding data collection tools
 - Updated evaluation work plan
 - Tentative, detailed outline of the document review synthesis report and of the final evaluation report
 - Description of the team organization and quality assurance arrangements
 - Analysis of and measures taken to address risks and ethical issues
 - Communication and dissemination plan
2. Document review synthesis report, and updated methodology and data collection and analysis tools for phase 3 based on the outcomes of the in-depth document review
 3. Short interim report and PowerPoint presentation, with the following indicative contents:
 - Evaluation matrix filled in, with a brief description of the evidence base and key preliminary findings for each evaluation question
 - Comment on the comprehensiveness and quality of the evidence base
 - Overall and cross-cutting findings and emerging conclusions, in bullet point form
 - Updated, detailed outline for the final evaluation report
 4. Draft evaluation report, expected to be around 80 pages excluding the executive summary and the annexes (on the number of review cycles, refer to the management and quality assurance arrangements described further below)
 5. Final evaluation report and a PowerPoint presentation summarising the content of the report
 6. Four to 8 page evaluation summary/brief, distinct from the executive summary in the evaluation report, and intended for a broader, non-WASH and non-UNICEF audience
 7. Mini case study reports for the countries that will have been visited, in the form of PowerPoint presentations or short reports (not more than 20 pages each), and all following a similar structure
 8. Additional dissemination activities.

Other interim products are the presentation materials and minutes of the key meetings in UNICEF NYHQ and with the EAG.

All minutes and reports will be in Microsoft Office Word format, while all presentations will be in Microsoft Office PowerPoint. No PDF or hard copy will be submitted by the evaluation team. The use of reader-friendly techniques such as bullet points, tables, graphs, photos, videos embedded in presentations and reports, and other visualization methods is encouraged. All data collected, documentation gathered, and photos/videos taken and analyses produced for the purpose of the evaluation are to be made available to UNICEF in the appropriate format. Graphs and maps must be in editable format for layout purposes. The use of annexes is required for the evaluation tools, for all secondary information that is not directly related to the evaluation findings, as well as for any long technical documentation intended to a specific audience. PowerPoint presentations must include notes below each slide to make them easy to understand for people who could not attend the meeting.

All documentation must be in professional level standard English and in compliance with [UNICEF Style Book 2015](#) and [UNICEF Brand Toolkit 2012](#). All key deliverables (including draft versions submitted to UNICEF) must be language-edited by a native speaker and good writer. All key deliverables will be made available on the UNICEF public website and widely disseminated to all target audiences. The final evaluation report will be copy-edited by a professional service provider contracted by the Evaluation Office. See further below for more information on quality assurance requirements and processes for evaluation in UNICEF.

Indicative work plan and timeline

An indicative work plan is provided in table 3 below. The timeline starts from the contract signature. Some activities can be conducted partly concurrently, which is reflected in this tentative timeline. Proposers can suggest a different work plan and adjust the budget template provided in Annex K accordingly. The evaluation is expected to start during the month of January 2019 and be completed by November 2019 for submission to the UNICEF Executive Board in 2020 as per UNICEF’s global evaluation plan 2018-2021. Earlier delivery while maintaining quality standards will be favourably considered.

Table 3: Indicative evaluation work plan and timeline

Activity	Timeline
Phase 1: Inception	
Activity 1: Preparation and inception meeting in UNICEF New York HQ	Weeks 1-2 <u>January 2019</u>
Activity 2: Data collection and drafting and submission of the inception report	Weeks 3-6
Activity 3: Meeting with UNICEF and EAG in NY, finalization of the inception report	Weeks 7-8
Phase 2: Desk-based document review	
Activity 4: Document review and drafting of the document review synthesis report including the updated methodology and data collection and analysis tools for phase 3	Weeks 9-13
Activity 5: Finalization of the report	Weeks 14-15
Phase 3: Data collection and analysis	
Activity 6: Desk-based case studies	Weeks 14-21
Activity 7: Preparation and country visits	Weeks 19-26
Activity 8: In depth interviews with key informants outside case studies	Weeks 26-28
Activity 9: Preparation and online survey	Weeks 27-30
Activity 10: Data analysis, and drafting and submission of the interim report	Weeks 28-32
Activity 11: Meeting with UNICEF and EAG in NY	Weeks 33-34
Phase 4: Reporting and communication of results	
Activity 12: Drafting and submission of the global evaluation report	Weeks 35-40
Activity 13: Meeting with UNICEF and EAG in NY, finalization of the global evaluation report, drafting of the evaluation summary PowerPoint and brief	Weeks 40-43: <u>End November 2019</u>
Activity 14: Mini case study reports	Weeks 44-46
Activity 15: Dissemination event in NYHQ and other dissemination activities	TBD

Management arrangements and quality assurance

Role of the evaluation team and team leader

The evaluation team will be responsible for conducting the evaluation as described in these terms of reference and in their proposal. The evaluation team leader, more specifically, will be in charge of the following:

- Oversight and management of team members,
- Managing communications with UNICEF,
- Ensuring adequate workspace, work equipment, accommodation, international and in-country travel, food, security and insurance arrangement to all evaluation team members and other relevant service providers or sub-contractors,
- Orienting and training of team members, and local consultants where applicable,
- Meeting deadlines,
- Ensuring the comprehensiveness and quality of all data collected and deliverables before submission to the UNICEF Evaluation Office, by reviewing and harmonizing their format and content, and mobilizing a dedicated quality assurance person or team (senior evaluation subject matter expert not involved in data collection and report drafting) for an additional quality review. A detailed comment matrix will accompany all versions of the key deliverables, describing whether and how earlier comments received have been incorporated, and when they have not been fully included, providing an appropriate justification.
- Co-leading the authorship of the deliverables. The team leader will work closely with the UNICEF Evaluation Office's evaluation manager responsible for reviewing and finalizing the evaluation report for publication. The team leader will source and work with a "details oriented" editor able to deliver on UNICEF's standards, e.g. a fully proof-read draft report with no evidence of duplication, gaps or disharmony. This should not be a duplicate role for an existing team member.
- Designing and facilitating of the final workshop.

Role of the UNICEF Evaluation Office and evaluation manager

The evaluation will be managed by the Evaluation Office (EO), UNICEF New York HQ. The EO is responsible for the quality of the evaluation, and ensure its independence. The evaluation manager will:

- Manage all contractual aspects and approve all payments based on the completion of the work and UNICEF's satisfaction with its quality;
- Organise and facilitate conference calls with the evaluation team every two weeks or less frequently, as needed;
- Facilitate access to data as well as communications and meetings between the evaluation team, the various stakeholders in HQ as well as in the regional and country offices, and the EAG;
- Provide technical support to the evaluation team, provide inputs and take final decisions regarding the scope, design, methodology, and content of the evaluation, including the conclusions and recommendations;
- Provide a first quality review of all evaluation tools and deliverables presented by the evaluation team before they are submitted to the EAG; one to two rounds of comments are to be expected from the evaluation manager and the EAG, depending on the quality of the first draft;
- Produce the final version before copy-editing and layout, and co-lead the authorship of the final deliverables.

The evaluation team is not independent from the EO but external. The EO guarantees independence from the rest of the organization whose strategies and actions will be evaluated.

Role and composition of the Evaluation Advisory Group (EAG)

The EAG will be constituted to ensure that the evaluation benefits from the highest level of technical knowledge and of a diversity of viewpoints. The members of the EAG will:

- Provide comments in the draft evaluation terms of reference;
- Support the selection process of the evaluation team;
- Participate in the key meetings (remotely or in-person) with the evaluation team during the inception phase and as the evaluation nears completion;
- Facilitate the communication and coordination between their respective section/division/areas of influence and the evaluation team, including gathering inputs from them to the deliverables submitted to them, facilitate links with others undertaking similar work or engaged in strategic thinking in the WASH sector at this time, and assist the evaluation team in accessing relevant UNICEF and non-UNICEF (peer-reviewed and grey) literature and documentation;
- Ideally, participate in a country mission as both a learning opportunity and quality assurance mechanism;
- Review all key deliverables (incl. draft inception and final reports) and provide advice;
- Advise on and support the implementation of the communication and dissemination plan for the evaluation, incl. by suggesting/supporting relevant dissemination events;
- Advise on the management response to the evaluation, and ensure that it fully takes on board the findings and recommendations.

The EAG will be composed of: a chair, the evaluation manager, several UNICEF WASH, humanitarian and evaluation advisers/specialists, a representative from the Global WASH Cluster, and a few external (non-UNICEF) subject matter experts.

Role of other concerned stakeholders at HQ, regional and country office level

The role of the WASH and Evaluation Advisors at HQ and Regional Office level will be the following:

- Provide the evaluation team with all information, resource documents and contacts necessary for the evaluation;
- Facilitate the communication and coordination between the evaluation team and the UNICEF country offices that will be contacted or visited by the evaluation team;
- Provide comments on the key deliverables, on request;
- Co-develop the management response to the evaluation.

The role of the WASH chiefs supported by the Monitoring and Evaluation specialists at country office level, especially in those countries that will be visited by the evaluation team, will be the following:

- Designate a focal point for supporting the evaluation;
- Provide the evaluation team with all information, resource documents and contacts necessary for the evaluation in a timely manner;

- Facilitate the communication and coordination between the evaluation team and UNICEF's implementing partners in-country;
- Whenever possible, organise / facilitate logistics/transportation, security, meetings and workshops and support the related cost;
- Provide comments on the key deliverables to minimize omissions and factual errors.

UNICEF quality assurance standards and processes for evaluations

The Evaluation Office, the EAG, and the other stakeholders at HQ, regional and country office levels will provide quality assurance on all evaluation tools and documents based on the [UNEG's](#) and [UNICEF's](#) norms, standards, processes and tools and as well as on other best practices related to WASH programme evaluations. The evaluation team will be familiarised with these and is expected to observe them during the entire evaluation process.

Once approved, the final evaluation report will be submitted to the UNICEF's global evaluation reports oversight system ([GEROS](#)) for an independent quality review. The report and the review will be made available on the UNICEF Internet website, in compliance with the commitment for transparency of evaluation findings.

Risks and ethical issues

It is impossible to predict all the challenges and risks that might arise. Those that are considered most likely to appear based on previous global evaluation experiences and on the scoping exercise that was carried out for this particular evaluation are the following.

Evaluability

One of the typical challenges in evaluations that have a relatively large timeframe is the availability of data and institutional memory. These issues are particularly likely to occur in emergency settings characterized by quick and sometimes undocumented strategies and decision-making, simplified reporting requirements, and rapid turn-over of international staff. In cases where UNICEF data are not readily available for review, the evaluation team is invited to generate new evidence through interviews and field observations, make best use of the broader knowledge base outside UNICEF, and make credible, substantiated estimations/inferences when necessary.

Availability of staff and partners in the evaluation, perceived utility and buy-in might be limited due to their heavy workload as well as their involvement in other recent or on-going evaluations and audits – particularly in the emergency countries targeted by this evaluation. The perception that the evaluation is an audit- or inspection-like compliance check might also limit staff engagement and engender resistance, especially among staff those having been in a decision making position for a significant part of the period under review. This is a risk in terms of evaluability but also uptake of the evaluation findings and recommendations. A determined effort will be made from the outset to adequately communicate the evaluation's objectives, purpose and scope, and to underline the necessity of everyone's contributing to organizational commitment to learning and accountability. In addition, the evaluation will need to draw as much as possible from documented information available in existing repositories, and only use country/field visits, interviews and surveys to triangulate information and fill knowledge gaps. For countries that will be visited, the evaluation team will collect and analyse available data remotely before travelling to the field in order to narrow down the scope of field data collection and limit the burden on staff members and other key informants. This approach will need to be clearly communicated to the

concerned country offices from the start. The process for selecting these countries will also need to take their interest and availability into consideration.

Protracted crises challenge response as they are often constrained by significant security and logistical limitations and characterised by violations in international humanitarian and human rights law by all parties to the conflict, including the targeting of civilians and direct violence against humanitarian actors. These challenges might affect the evaluation exercise itself. Access to the case study countries to be visited might be limited or delayed by issues with obtaining the required visa and travel authorization. Access and security within countries will also likely be an issue. The suggested methodology includes the use of remote and self-assessment approaches which take these issues into account. Other techniques can be proposed. In addition, it is recommended that evaluation team include members of nationality generally accepted by the concerned governments' policy, and possibly national consultants.

The scoping exercise for this evaluation found that the topic that is the most likely to be methodologically challenging to assess is the so-called humanitarian-development nexus, due to the lack of globally accepted definition, analytical frameworks and benchmarks and, consequently, the possibly limited amount of data and reports related to this dimension of programming, including for WASH. Furthermore, while this dimension has been subject to discussions, studies and papers outside and within UNICEF for a long time, and the timeframe of this evaluation has been set taking into account the time it became a global and corporate priority, associated documents and guidance on what can be done and how came later. Lastly, the timeframe for this evaluation might constrain the analysis of UNICEF's related strategies and action in the phases before and after the protracted crises. The evaluation team will dedicate part of the inception phase to defining and unpacking this concept and how it can be evaluated, e.g. what is a "good" approach to the nexus for each phase? Which methodologies and tools will the evaluation be able to build on and adapt? What will be the relevant data sources and data collection methods?

Proposers are invited to further analyse aspects of organisational and methodological complexity that might affect the evaluation in general and make it difficult to answer some of the questions in particular, and to explain how they will address them.

Quality and timeliness of the evaluation products

The complexity of the protracted emergency contexts and of the interventions to be evaluated and the high level of technical and operational knowledge from UNICEF will require an adequate level of effort and expertise on the part of the evaluation team. UNICEF itself is a complex and ever evolving organization. Evaluating its strategies, processes and actions involves a good understanding of its structure, functioning and dynamics, of the UN system as a whole, and of the specificities (strengths and constraints) of large organizations more generally.

Another challenge may arise from the expectation to draw robust and global level findings from a potentially limited evidence base and from a limited number of case studies that the timeframe and budget for this evaluation allow (issue of generalizability of findings). Furthermore, the global evaluation report is scheduled to be completed by the end of 2019, on time for timely submission to the UNICEF Executive Board. The deadline is tight. These expectations will require an adequate methodology and time-efficient work plan from the evaluation team, and quick support and feedback from UNICEF and the other evaluation stakeholders, including the EAG. The evaluation team is requested to rely as much as possible on data collection and analysis methods and tools that have already been tested and validated by experience. Some are listed in Annex D. The evaluation team will also need to engage in intense communication with the Evaluation Office and

other evaluation stakeholders throughout the evaluation process. It will also set up robust internal quality assurance processes with an adequate team organization and possibly dedicated human resources in order to deliver an evaluation evidence and report that will meet UNICEF's requirements.

Ethics

The evaluation will not require an independent ethical review. However, proposers are invited to identify anticipated ethical issues throughout the evaluation project as well as the measures and methods adopted to mitigate them. A particular attention shall be paid to the avoidance of harm and stress to evaluation participants, especially children and other vulnerable populations met in the field; obtaining informed consent / verbal assent from them (except from UNICEF staff, who will be directed to participate if needed); absence of benefit or compensation offered to them; protection of their privacy; confidentiality and anonymity of data collected; security matters and protection protocols both for evaluation team members and key informants; and on training of local consultants in ethical issues and on methodological and communication skills. Relevant guidance from the United Nations Evaluation Group (UNEG) and UNICEF are available online: [UNEG Ethical guidelines for evaluations](#), [UNEG Code of conduct for Evaluation in the UN System](#), [UNICEF Procedure for Ethical Standards](#). Evaluation team members will also be asked to sign a number of individual statements/commitments on ethical standards for evaluations and on protection and sexual exploitation and abuse.

Evaluation team

The evaluation will be carried out by a company or an institution. Various institutional arrangements are encouraged to apply: proposers might be academic institutions, research centres, consultancy firms. Consortiums are not encouraged. The expected number of evaluation team members is 5 to 6 maximum. Points will be given to evaluation teams who have previous experience working together on similar assignments. The team may be composed of both international and national consultants. The number and profile of the evaluation team members will be proposed by the proposers in order that the team size, experience, qualifications, references, mix and complementarity of expertise, availability and level of effort is convincing that the proposed work plan can be met. The following is suggested as a guidance:

Team leader:

Required:

- Strong expertise in evaluation in a variety of contexts, ideally an evaluator by education/profession
- Significant experience with evaluations of humanitarian action and familiarity with existing humanitarian evaluation methods and tools;
- Previous experience in conducting a multi-country assignment (evaluation, monitoring, study or research), particularly in sub-Saharan Africa and the Middle-East;
- Previous experience as leader of a multi-member team, with strong communication and team building skills;
- Readiness to travel to and within the concerned countries;
- Excellent level of English (oral communication, reading documents, writing complex reports).

Considered an advantage:

- Familiarity and satisfactory experience with UNICEF;
- Experience in WASH, especially in emergency settings.

Assistant to the team leader, in charge of project management, team coordination and logistics

- Excellent organization, consistency, deadline keeping and follow-up;
- Strong communication / people / team building skills.

Other team members:

In addition to those expected from the team leader specifically, the evaluation team should include the following competencies (experts with multi-skill sets can fill more than one competency):

Required:

- Exceptional technical expertise in high-level and high-quality programme and multi-country evaluations and studies;
- Significant experience with evaluations of humanitarian action and familiarity with existing humanitarian evaluation methods and tools;
- In-depth knowledge of the global humanitarian sector and humanitarian mandates;
- Good knowledge of UNICEF programming strategies, field work, procedures and organizational culture; note: prior involvement of team members with UNICEF should be declared in the technical proposal in order to avoid any possible conflicts of interest;
- Experience in implementing and/or coordinating and/or evaluating humanitarian WASH action, with a distinct advantage for team members that have acquired this experience in the Middle East or sub-Saharan Africa; internationals must have a good knowledge of the local context in the countries affected by protracted crises
- Strong qualifications in statistics and quantitative and qualitative data collection tools and analysis;
- Readiness to travel to and within the concerned countries;
- Fluency in English (oral communication, reading complex documents, writing reports).

Considered an advantage:

- Qualifications in WASH engineering, sanitation and hygiene promotion, development politics/economics, and/or social sciences;
- Knowledge of additional sectors involved in water supply programming (Health, Nutrition, Protection, Communication for Development, Education...);
- Experience in using non-traditional and innovative evaluation methods.

The level of effort of the respective senior and intermediate level team members should be appropriate and ensure a high quality and timely evaluation process. Proposers should consider how inputs and activities will be distributed amongst the team (e.g. among experts of different profiles and between senior and intermediate team members). Proposals may include an organigram of the team structure and of individual and collective responsibilities. A gender balance in the evaluation team is desirable.

Content of the proposers' technical proposal

The technical proposal will be in PDF format and must include at a minimum the following elements:

- A. Table of contents
- B. Request for proposals for services form (page 3 of the RDFS document)

- C. Presentation of the bidding institution or institutions if a consortium, including:
- Name of the institution
 - Date and country of registration/incorporation, and location of offices or agents
 - Summary of corporate structure (detailed organogram), business areas, corporate directions, experience and values
 - Past two years' annual turnover (in US dollars)
 - Past two years' audited financial report (income statement and balance sheet)
 - Number of full-time employees and type (technical experts, administrative and logistics support staff, financial staff, etc.)
- D. Short narrative description of the bidding institution's experience and capacity in the following areas:
- Programme evaluations
 - Multi-country evaluations or studies/research conducted in Africa and the Middle East
 - WASH in emergencies related assignments
 - Capacities, including the ability (if a part of the proposed methodology) to locate and manage local partners in the countries included in the list of protracted crisis.
- E. List of similar/relevant past and on-going assignments carried out by the proposer in the past 7 years (use template provided in Annex E). UNICEF may contact reference persons for feedback on services provided by the proposers.
- F. Full reports or preferably links to full reports listed as examples of relevant past and on-going assignments of the proposer (at least 3), on which the proposed key personnel directly and actively contributed or authored.
- G. Methodology. It should minimize repeating what is stated in the ToR. There is no minimum or maximum length. If in doubt, ensure sufficient detail is provided for UNICEF to be able to judge the technical expertise. Required content is as follows:
- Understanding of and comments on the context and rationale for the evaluation, and on UNICEF's action in the area of humanitarian action and WASH, notably based on proposers' knowledge, experience and familiarity with the available literature
 - Understanding of and comments on the evaluation scope
 - Comments on the evaluation criteria, key evaluation questions, and areas of particular interest.
 - Understanding of, comments on, and in-depth analysis of the aspects of complexity, potential challenges, risks and ethical issues related to this evaluation exercise
 - Proposed evaluation design and methodology, with a sufficient level of detail on each phase and activity of the evaluation process, including on data to be collected to answer the evaluation questions, envisaged data collection and analysis methods, the sampling methodology and criteria to select the final case study countries, as well as the duration of the country visits and the number and profile of evaluation team members participating. A particular attention should be paid to the issues of: management of local partners/consultants; stakeholder availability and participation; access and security constraints; mix of quantitative and qualitative data and methods; data disaggregation, accuracy and triangulation; approaches to data treatment and analysis; and quality assurance.
 - Comments and additional details/suggestions on the deliverables proposed in the ToR, if any

- Comments and suggestions on the management arrangements described in the ToR, if any, and proposed internal management and quality assurance arrangements
- The presence of any local consultants/researchers or others not normally full time members of the bidding institution should be indicated, with a description of how they will be engaged, trained, supported and supervised.

H. Work plan, which will include as a minimum requirement the following:

- General work plan based on the one proposed in the ToR, with comments and proposed adjustments, if any
- Detailed timetable by activity (use template provided in Annex F). It must be consistent with the general work plan and the financial proposal. It must factor in sufficient time for the drafting of deliverables report, their quality assurance by the evaluation team, UNICEF and the EAG, and their finalization. It should also take into account the vacation time of evaluation team members.

I. Evaluation team:

- Summary presentation of proposed experts (use template provided in Annex G)
- Description of support staff if any (number and profile of research and administrative assistants...)
- Level of effort of proposed experts by activity (use template provided in Annex H). It must be consistent with the financial proposal.
- CV of each proposed expert (use template provided in Annex I). For information, senior and intermediate level experts will be asked to sign a statement of exclusivity and availability prior to contract signature (see model in Annex J); however at the stage of the proposal submission, the proposed team is expected to be available for this assignment throughout the year 2019.

Notes:

1. When consulting the referenced annexes, carefully note the accompanying instructions.
2. The Evaluation Office would like to caution potential proposers around issues of underestimated level of effort. The level of work required by such a comprehensive and multi-level and multi-country assignment is substantial, and the level of quality expected by the EO is high.

Content of the financial proposal

The financial proposal must be fully separated from the technical proposal. The financial proposal will be submitted in both PDF and Microsoft Excel format. Costs will be formulated in US dollars and free of all taxes. It will include the following elements as a minimum requirement:

- A. Overall price proposal
- B. Budget by phase, by activity, and by cost category (use template provided in Annex K).

As per UNICEF procurement procedures, the budget for this evaluation assignment is not disclosed.

Reimbursable expenses are: international flights; visas; terminal expenses; hotels; local transportations (taxis, etc.); telecommunications; workshop, translation, editing and printing expenses; other miscellaneous, approved in advance by the EO.

The financial proposal should include an estimate of international travel costs, based on the indicative missions and countries indicated above. However, the final international travel component

will be agreed upon based on the actual locations of case studies determined during the evaluation phases 2 and 3. UNICEF will reimburse travel related expenses based on actual costs or on the budgeted costs (considered as a ceiling) whichever is lower and upon presentation of receipts. Travels and other incidental expenses that were not known ex ante or any additional costs with regard to the travel expenses submitted in the proposal should be justified by the contractor and pre-approved by UNICEF before they are incurred. Such expenses may be paid as reimbursable against actual cost incurred and in these cases necessary documentation shall be submitted with the invoice for reimbursement (e.g. proof of airline ticket purchased and boarding pass). After pre-approval by UNICEF, the contractor will be responsible in administering its own travels.

During travels, costs for accommodation, meals and incidentals shall not exceed applicable daily subsistence allowance (DSA) rates, as promulgated by the International Civil Service Commission (ICSC): <http://icsc.un.org/> (information on all countries and destinations can be found by navigating on the map). Please refer to the Request for Proposals for Services document for more details.



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3 United Nations Plaza
New York, NY 10017 USA
www.unicef.org/evaluation