

**ANNEX B: TERMS OF REFERENCE
RFPS-NYH-2018-502903**

TITLE/PURPOSE	<i>Consultancy Service to Conduct an Evaluation of UNICEF Contribution to Education in Humanitarian Settings</i>
RECRUITING OFFICER	<i>Evaluation Specialist, UNICEF Evaluation Office</i>
CONTRACT MODALITY	<i>Institutional contract</i>
DURATION OF CONTRACT	<i>10 months (January 2019 – October 2019)</i>

I. Introduction

1. The Evaluation Office (EO), in UNICEF (New York) provides global leadership and oversight for the evaluation function. EO is responsible for developing an agenda and work plan to evaluate UNICEF's programmes and processes. We conduct and/or manage independent, corporate evaluations and evaluation syntheses, provide technical assistance and quality assurance for evaluations commissioned at the decentralized level (country and regional offices), as well as other divisions in HQ offices. EO is also responsible for publishing a global evaluation plan that accompanies respective corporate strategies.¹
2. EO seeks to issue an institutional contract to conduct an evaluation of *UNICEF contribution to education in humanitarian settings*. ***This is an invitation to eligible institutions (consulting firms, research institutes universities, or vendors with similar capacities)*** to submit full technical and financial proposals to provide services to conduct the evaluation, based on the terms of reference (ToRs) described in this document. This evaluation is part of UNICEF's global evaluation plan for 2018-2021. The tentative timeline for the execution of the evaluation is January 2019 - October 2019, while submission evaluation report to the UNICEF's Executive Board is planned for June 2020.

II. Global context of education in humanitarian settings

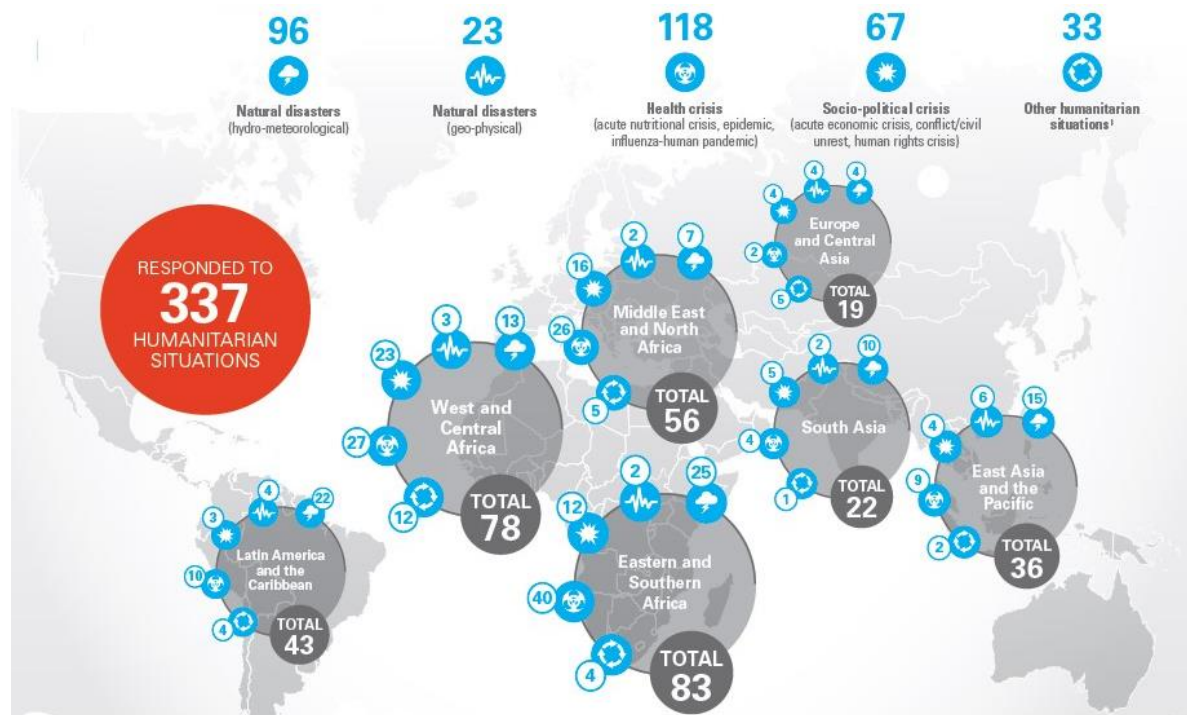
3. The [Millennium Development Goals](#) (MDGs) registered tremendous progress in human development, as it relates to developmental outcomes for children. The global rate for under-five mortality declined by more than half, from 90 to 43 deaths per 1000 births between 1990 and 2015, representing a decline of under-five deaths of newborn children from approximately 12.7 million to 6 million, while the proportion of children under the age of five years who are underweight was cut almost in half in the same period. Gains that are associated with MDG2, *achieving universal primary education*, were equally impressive. The primary school net enrolment rate in developing countries increased from 83 percent in 2000 to 91 per cent in 2015, while the number of out-of-school children of primary school age fell by almost half, from approximately 102 million in 2000 to 57 million in 2015. While almost 100 million adolescents are still not completing primary school in low income and middle-income countries, the proportion of adolescents between 14 and 16 years who had finished primary school increased from 70 per cent in the early 1990s to approximately 84 per cent in 2015.
4. Progress in the MDG years notwithstanding, countries affected by conflicts, humanitarian crises, weak governance, and economic and social fragilities have fallen far behind. For instance, the proportion of out-of-school children increased from 30 per cent in 1999 to 36 per cent in 2012. In 2014, children accounted for half of the global refugee population under the responsibility of the United Nations High Commissioner for Refugees. Also, fragile and conflict-affected countries typically have the highest poverty rates. In fact, no state that is undergoing widespread conflict or fragility has met a single MDG target, according to the UNDP, United Nations Development Programme, (Source). This is an important fact, given an increase in the number of complex conflicts, a growing number of fragile and conflict-affected countries, and an

¹ For more information about the Evaluation Office, visit the following website: <http://www.unicef.org/evaluation>. The Global Evaluation Plan is offered at here: https://www.unicef.org/about/execboard/files/2018-3-Global_Eval-ODS-EN.pdf

increase in the duration of humanitarian emergencies which has resulted in a new category of emergency conditions - protracted crises.²

- According to OCHA (Office for the Coordination of Humanitarian Affairs), 2017 witnessed humanitarian action on a scale larger than ‘in any previous year since the founding of the United Nations’, while more than 134 million people across the world need humanitarian assistance and protection in 2018³. For instance, in 2017 UNICEF country offices, governments, and other humanitarian actors responded to 337 humanitarian situations in 102 countries (67 percent of UNICEF country offices), as indicated in Figure 1.

Figure 1: Number of humanitarian situations in 2017, by region and type of response



Source: UNICEF Annual Results Report, Humanitarian Action, 2017

- The majority were L1⁴ emergencies where country offices were able to deploy in-country resources (staff, funding, pre-positioned supplies and other resources), accompanied by typical regional office and/or headquarters support. Hence a significant number were large, complex crises, in some cases becoming protracted crises that lasted for more than 3 years or more. For these L2 or L3 procedures were activated, in order to enhance the capacity of governments and development actors to respond effectively. A significant number of emergencies were driven by natural disasters, armed conflict, and outbreaks of disease. But as conditions deteriorated in some of the countries, new public health situations ensued, thereby exacerbating the scale and complexity of the emergency and of the response.
- 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 development objectives. Hence the quality of humanitarian action and the linkages with development have been the focus of the major international events, agreements and commitments and related protocols

² Emergency conditions are defined as protracted crises when a significant proportion of the population is vulnerable to death, disease or disruption of their livelihoods over a long time. Such situations are often complicated by violence and/or natural disasters such as flooding and drought, and often combining high levels of malnutrition, mortality and disease alongside high levels of poverty, food insecurity and a lack of economic opportunity. Adapted from: Christina Bennett, [The development agency of the future: Fit for protracted crises?](#), Discussion paper, Overseas Development Institute (2015).

³ OCHA (2018) *Global Humanitarian Overview, 2018*

⁴ IASC and UNICEF L1 classification denotes an emergency to which a country office is able to respond on its own, with the usual regional office and/or headquarters support, while L2 classification is used for cases where the magnitude of the crisis is such that a country office needs additional support, and where the regional office must provide dedicated leadership and support. L3 is reserved for high priority emergencies, for complex and challenging humanitarian events where a “system wide” response is activated, and the highest level of mobilization is required.

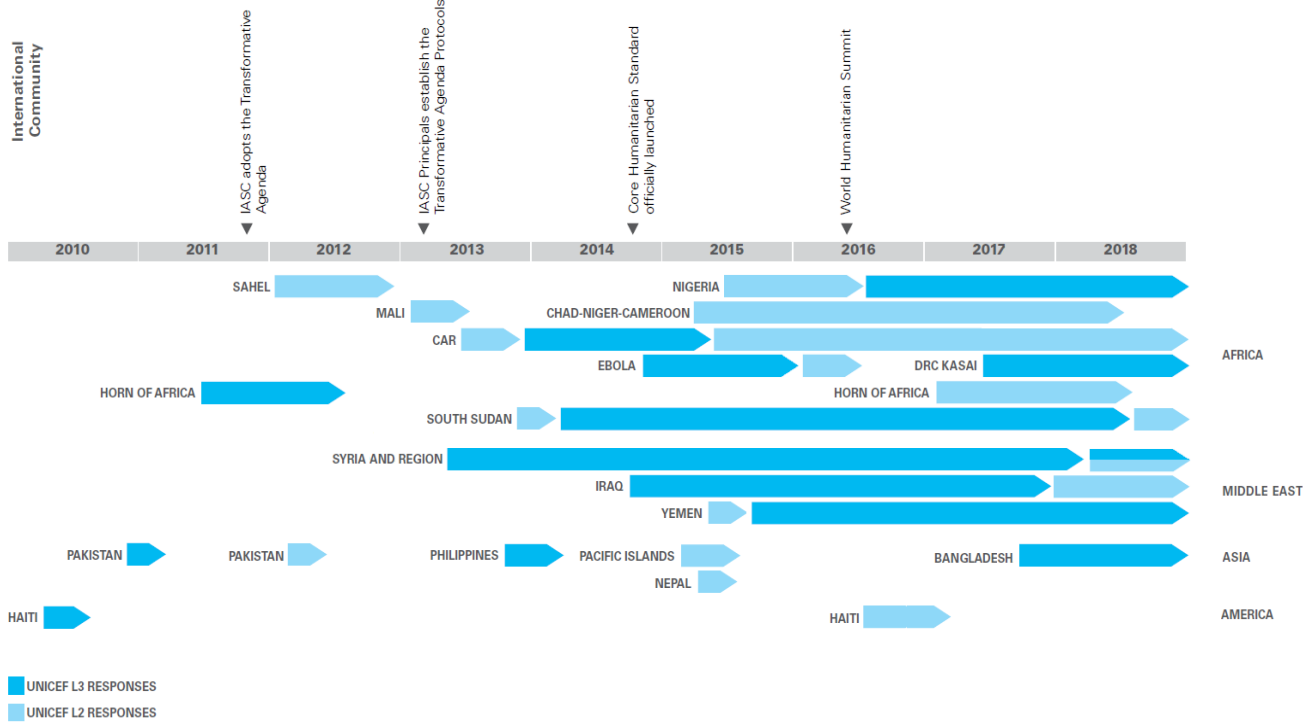
including: the [Inter-Agency Steering Committee Transformative Agenda](#) (agreed by the IASC Principals in 2011); the [Accountability to Affected Populations Operational Framework](#) (2013); the [Core Humanitarian Standards on Quality and Accountability](#) (2014); and, the [World Humanitarian Summit](#) (2016), which resulted in a set of [Core Commitments](#). There are also relatively newer initiatives such as the [New Way of Working](#) and the [Grand Bargain](#), to which the UN, UNICEF, and all major humanitarian actors are subscribed. While this heightened interest at the global level may ultimately drive the desired political commitments and, relatedly, political will, there are still major obstacles to having national authorities in the education sector to assert and/or assume their role as duty bearers.

8. For instance, the lack of early involvement of national/local authorities in initial assessments and planning often results in groups of organizations working outside of emergency response plans, lack of coherence between the various humanitarian actors engaged in delivering education through different coordination structures, as well as dissonance in humanitarian and development coordination mechanisms and planning processes, including donor funding policies that are artificially divided between humanitarian and development streams.
9. Drawing on lessons of the MDGs, there is a new urgency to tailor interventions to the needs of specific groups of children; girls, children belonging to minorities and nomadic communities, children engaged in child labor and children living with disabilities, as well as children living in conflict situations and in urban slums. More importantly, as the world confronts the challenges and promise of the [Sustainable Development Goals](#) (SDGs), it is crucial to reflect on and address the root causes of limited progress in education development of societies in many parts of the world, chief among which is the fragility status of many countries and communities, which manifests itself as lack of safety and the associated loss of opportunity to access the skills they need in the twenty-first century for many children, as well as the resultant underdevelopment.

III. UNICEF strategy and action for education in humanitarian settings

10. UNICEF is a global humanitarian actor since its inception, responding to all emergencies across Africa, Asia and Latin America, and playing a significant advocacy and coordination role. In 2017, the organization responded to 337 humanitarian situations in 102 countries, covering all regions of the world (see Figure 1). 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.
11. Figure 2 below depicts the evolution humanitarian crises for which UNICEF activated Level 2 and Level 3 (L2 and L3) corporate emergency procedures in the recent years. In the period between 2013, L2 and L3 procedures were activated two to three emergencies annually, and typically lasted a few months to a year. However, UNICEF and partners responded to 10 L2 and L3 emergencies every year since 2014.

Figure 2: L2 and L3 corporate emergency procedures activated by UNICEF, 2010 – 2018



12. UNICEF’s Strategic Plans for the period [2014-2017](#) and [2018-2021](#) highlight the need for the organization to anticipate the increase in the frequency, scale, severity, duration and complexity of humanitarian crises, and to mainstream the above-mentioned commitments in all aspects of its work. Further emphasis made on the need to strengthen all components of its humanitarian preparedness and response investments, and to improve the coherence and complementarity of humanitarian and development programming. With its dual mandate, UNICEF has made a global pledge to combine humanitarian and development programming more effectively, and to enhance the organization’s capability to do so. More importantly, with its lead and/or co-lead role in four global clusters (Education, Nutrition and WASH) and the Child Protection Area of Responsibility (CP AoR). UNICEF has a unique place in the global architecture for the Inter-Agency Standing Committee (IASC) Cluster Approach.

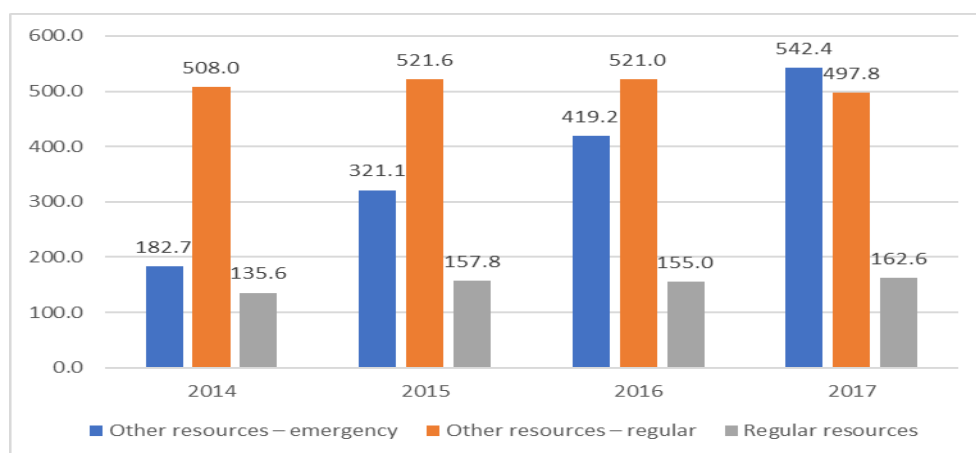
13. As a result of its role as a global education cluster co-lead (alongside Save the Children), UNICEF has assumed an increasingly larger leadership role in education humanitarian response in general, and in the education in emergencies (EiE) sub-sector, in particular. Other pivotal responsibilities include: (i) member of the Board of the Global Partnership for Education (GPE), and grant agent managing funds in a number of fragile and conflict-affected GPE partner countries; (ii) board member and host of Education Cannot Wait (ECW), a global fund to prioritize education in humanitarian action which is becoming a key source of funding for EiE response; (iii) co-founder and steering group member of the International Network for Education in Emergencies (INEE); (iv) co-leading the Humanitarian Education Accelerator with the Office of the United Nations High Commissioner for Refugees (UNHCR) to support cutting-edge education innovations to go to scale in emergencies; (v) 1 of 10 co-convening agencies and partners for the SDG4-Education 2030 (the others being GPE, ILO (International Labour Organization), OECD (Organization, UNDP, UNESCO (United Nations Educational, Scientific and Cultural Organization), UNFPA (United Nations Population Fund), UNHCR (United Nations High Commissioner for Refugees), UN-Women and the World Bank); (vi) global lead for a network of more than 80 partners to advocate for equitable access to WASH in Schools as part of the Sustainable Development Goal 6 agenda, and in support of Goal 4 targets; and, (vii) a co-founder and steering group member of the Global Coalition to Protect Education from Attack.

14. In 2017, 535 million children from 48 countries were affected by conflict, natural disaster or displacement (Annual Results Report for education, UNICEF, 2018). UNICEF’s education humanitarian response has expanded over these past years, driven mainly 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. Education made up the largest part of UNICEF’s Humanitarian Action for Children appeals, reaching US\$370 million for education in emergencies.

15. UNICEF on education in humanitarian situations and related activities continued to increase in 2017, reaching a total of US\$454 million, up from US\$426 million in 2016. Approximately 90 per cent of the spending (US\$398 million) was focused on direct emergency responses, with a further US\$29 million spent on cluster coordination and strengthening in humanitarian action. UNICEF continued to invest heavily in education systems that are risk-informed and better prepared for emergencies and that actively contribute to stable, peaceful societies. UNICEF spent US\$26 million in 2017 to support countries to carry out risk assessments, enhance emergency preparedness and develop peacebuilding education.⁵

Figure 3: UNICEF education expenditure in million USD, by type of funding and year



16. In terms of results at the end of the Strategic Plan 2014 -2017, UNICEF supported 8.8 million children (73 percent of the target set in 2014) to access quality formal and non-formal education services in 48 countries and all 7 regions affected by natural and man-made, while 95 percent of the countries in humanitarian action had education cluster coordination mechanism that met CCC standards, up from 73 percent in 2014. Also, 45 per cent of countries had an education sector plan that included an up-to-date risk assessment and risk management strategies, up from 19 per cent of countries in 2013. These terms of reference set out the parameters for evaluation of UNICEF contribution to education in humanitarian settings, commissioned by the UNICEF Evaluation Office.

IV. Purpose and objectives of the evaluation, its rationale, and use

17. The **purpose of the evaluation** is to determine if UNICEF has made the necessary adjustments to increase its efficiency and effectiveness as an organization with a growing footprint in humanitarian programming. The valuation will also advance the organization’s accountability objectives by interrogating and/or verifying achievement of results for the education in emergencies response and programming. Evidence from the evaluation will be used to facilitate evidence-based decision-making, evidence-based advocacy, and resource mobilization and to contribute to learning within UNICEF humanitarian sector, and in the education in emergencies sub-sector.

18. The **objectives** of the evaluation are as follows:

- a. Evaluate whether UNICEF education humanitarian action – strategies and programming – at the global, regional and country levels is context appropriate, and upholds humanitarian principles, norms, standards, commitments, and good practices;

⁵ Ibid. page 56

- b. Examine the extent to which education humanitarian action is linked with education development objectives, including for risk reduction and resilience;
 - c. Assess whether UNICEF has developed appropriate human capacities to deliver an effective education emergency response, and procedures for continuous improvement and learning;
 - d. Distil lessons and make recommendations to enable UNICEF to optimize its contribution to education in humanitarian settings.
19. **Rationale:** UNICEF humanitarian portfolio has grown exponentially in the last decade, in terms of both the number of emergencies that the organization has handled (from 230 in 2007, to 337 emergencies in 2017) and in terms of the expenditure in humanitarian response and programming (a threefold increase, from 529 million in 2007, to 1.97 billion in 2017). In education in emergencies the expenditure grew from 182 million in 2014, to 542 million in 2017. With this kind of growth, the organization needs to re-examine if it is still fit-for-purpose, hence the need to determine, through an evaluation, whether UNICEF has made the necessary adjustments to increase its efficiency and effectiveness as an organization with a growing footprint in humanitarian programming. To date this area of UNICEF programming has been under-evaluated, only 4 of 29 global evaluations were dedicated to the education in emergencies sub-sector between 2010 and 2016. This evaluation will assess the influence and leadership of UNICEF in the global EiE architecture and the relevance and effectiveness of the programmes solutions and implementation strategies and examine the efficiencies in terms of capacities and funding.
20. **Rationale:** The need for evidence-based decisions and programming has been highlighted in the above listed corporate documents. By identifying the recent developments, strengths and weaknesses in UNICEF programming in a number of countries with humanitarian programming and support provided by the global and regional teams, 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 the corporate policy level, the evaluation may be positioned to inform the development of a new global education strategy (planned for 2018/2019), as well as the mid-term review of the current UNICEF Strategic Plan (2018-2021).
21. **Rationale:** The evaluation aims to much needed distil lessons on the quality of EiE programming, to begin to address the charge the very little learning is taking place for children in humanitarian situations, both for UNICEF-supported learning spaces, and learning facilities that are managed by partners. Also, lessons will be brought forward on recent advances, innovations, and solutions for complex protracted emergencies, the potential of scalability of such solutions, as well as post-response systems strengthening that will enable countries to transition from development programmes in an efficient and timely manner. This evaluation aims to make a significant contribution to learning within UNICEF and in the education in emergencies sub-sector, and a public good for the education development community.
22. **Use and users:** The *primary target audiences* include the following; (i) UNICEF professionals at every level responsible for all strategic, design, implementation, coordination, and monitoring-evaluation-learning aspects of education in emergencies programming; (ii) other Programme Division (PD) sections who collaborate and/or coordinate with education programme teams, as well as the Office of Emergency Programmes (EMOPS) and the Division of Communications (DOC); (iii) members and Strategic Advisory Group of the Global Education Cluster, Save the Children in their role as the education cluster co-lead, and the Inter-Agency Steering Committee; and, (iv) right holders and beneficiaries in communities that interact with UNICEF in its role as a humanitarian actor and leader in education and emergencies programming. *Secondary audiences* include: (i) the UNICEF Executive Board and interested UN Member States; (ii) donor agencies that supported education emergencies programmes with technical and financial resources at all levels; and, (iii) strategic education sector partners, such as Global Partnership for Education (GPE), Inter-agency Network for Education in Emergencies (INEE), Education Cannot Wait (ECW) and key implementing partners at the regional and country levels.

V. Scope for the evaluation

23. The evaluation will focus on UNICEF education humanitarian programming during the period of the previous Strategic Plan (2014 – 2017), and in 2018, the first year of Strategic Plan 2018 – 2021 in order to capture the latest developments, reforms, trends and innovations, generate findings and provide recommendations that are relevant, timely and useful for evaluation audiences.
24. This was a period of L2 and L3 emergencies. With a few exceptions (e.g., earthquakes in Nepal and Haiti), many of these became protracted emergencies⁶ as indicated in Figure 1. From this universe coverage of about 20 countries, the evaluation will sample countries that will provide the opportunity to examine UNICEF education emergency programming before the on-set of the emergency, during the emergency, and after the crises, its strategies, and its coordination work. UNICEF typically maintains some development programming concurrently with emergency response and coordination work in these contexts (even though the line between humanitarian and development work becomes increasingly blurred). In such countries, the evaluation will examine the linkages/interaction between the two programme components. Table 1 presents other important details on the scope of the evaluation, and the justification for excluding certain elements that make the context for education action in humanitarian settings.

Table 1: Evaluation scope

Dimension	Included	Exclusions and/or justification for exclusion
Time boundaries	<ul style="list-style-type: none"> Strategic Plan period 2014–2017 and 2018 (first year of Strategic Plan 2018 – 2021) 	<ul style="list-style-type: none"> Need to examine continuity from previous strategic plan; humanitarian development nexus included in the newer strategic plan
Type of emergencies/ countries	<ul style="list-style-type: none"> The focus will be L2 and L3 emergencies, but L1 emergencies will be accommodated. Case study sample which represents different types of emergencies (conflict, natural disaster, public health emergency, etc.). 	<ul style="list-style-type: none"> This is a ‘global’ evaluation, hence the focus on L2 and L3 emergencies. However, L1 emergencies, will not be completely excluded. Rather 1 of 4 on of the theme-based case studies will feature an L1 context. Also, there is some on-going research studies from which lessons will be drawn.
Geographic scope	<ul style="list-style-type: none"> East Asia and the Pacific Region (EAPR), Eastern and Southern Africa Region (ESAR), Middle East and North Africa Region (MENA), South Asia Region (ROSA), West and Central Africa Region (WCAR), and Latin America and the Caribbean Region (LACR) 	<ul style="list-style-type: none"> Europe and Central Asia (ECAR), due to the low number of humanitarian events and or responses
Universe/ scope of the analysis	<ul style="list-style-type: none"> 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 All implementing partners 	<ul style="list-style-type: none"> Strategies and programming of other actors who do not have a direct relationship with the UNICEF-supported response or programme Work that is not supported by UNICEF technical or financial resources
Type of programming in-country	<ul style="list-style-type: none"> Humanitarian response and EiE programming, i.e. that is characterized by a mix or continuum of development and humanitarian work 	<ul style="list-style-type: none"> Purely development programming
Phase of the humanitarian cycle	<ul style="list-style-type: none"> 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 	

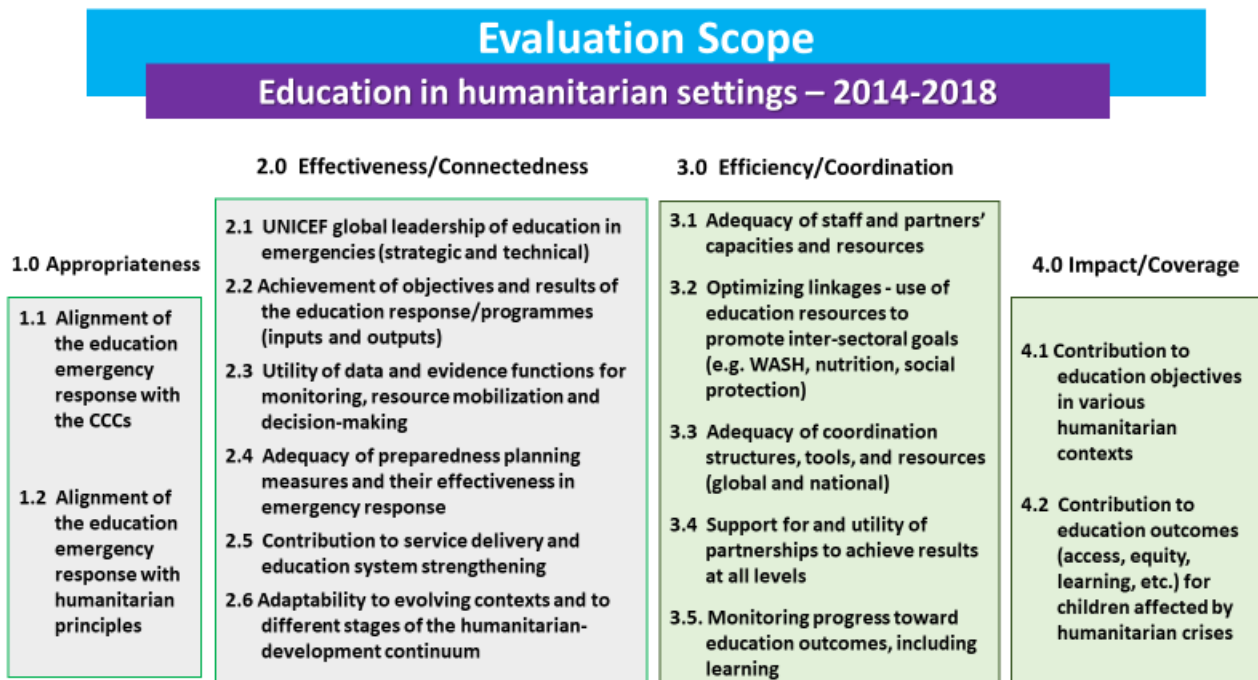
⁶ Adapted from: Christina Bennett, [The development agency of the future: Fit for protracted crises?](#), Discussion paper, Overseas Development Institute (2015)

Dimension	Included	Exclusions and/or justification for exclusion
Type of education action and/or response	<ul style="list-style-type: none"> All components of the education emergency response (i.e., establishing safe learning spaces; providing psycho-social support; selecting and/or sourcing curriculum and teaching and learning materials; sourcing and preparation the teaching force; classroom/learning practice, etc.) in line with the CCCs Upstream work: policy advocacy, capacity building, education system strengthening, knowledge management, creating an enabling environment and education in emergencies sub-sector Coordination role, at the country and global level\ Preparedness planning, etc. 	
Implementation modalities	<ul style="list-style-type: none"> All modalities, including direct implementation and implementation through government partners, NGOs (Non-Governmental Organizations) and civil society organizations 	
In-country settings	<ul style="list-style-type: none"> Rural and urban areas 	

VI. Evaluation objectives, criteria and questions

25. The overarching question is meant to address *impact level results*⁷ that is implied in the title of the evaluation, namely: **What is UNICEF contribution to education emergency response and programming, and to education outcomes for various groups of children that are susceptible to different humanitarian crises?** The scope of the evaluation, delimited by evaluation criteria and topics of enquiry, is presented in Figure 4.

Figure 4: Proposed evaluation scope



26. Three broad themes will be covered in the evaluation, namely: (i) **organizational leadership and performance**, to examine UNICEF leadership in education in emergencies and to determine if UNICEF has made the necessary adjustments to increase its efficiency and effectiveness as an organization with a growing footprint in humanitarian programming; (ii) to address the organization's **oversight and accountability objectives**, by interrogating and/or verifying achievement of results for the education in

⁷ The results framework of the Strategic Plan (2014 – 2017) specified three levels of results, outputs, outcomes, and impacts. **Outputs** reflect UNICEF contributions most directly; **outcomes** are products of shared action; **impacts** reflect collective action from a variety of partners, typically the State, with the support of development partners, UNICEF included.

emergencies response and programming; and, (iii) to address UNICEF commitment to work collaboratively with government and partner organizations to build resilience of education systems, and to advance long-term development education objectives and outcomes, the work that is otherwise known as **bridging the humanitarian - development divide**.

27. Evaluation questions are intended to contribute cumulatively to the overall impact level question, and will be refined and/or adapted at two levels. First, while many of the questions may be confirmed by the evaluation team, this set of questions is only indicative. It is neither exhaustive nor finalized. During the inception phase, evaluators will use their expertise, knowledge of the education in humanitarian contexts sub-sector, and insights from the preliminary review of UNICEF documents and to propose a “definitive set” of questions, as well as to confirm the scope of the evaluation. Second, the evaluation methodology indicates that theme-based evaluative case studies will be undertaken (see para.33.c), hence evaluation questions will be customized to the theme of each case study, thereby delimiting the scope of each evaluative case study. Table 2 presents evaluation topics, evaluation criteria⁸ and associated evaluation questions.

Table 2: Evaluation topics, criteria and indicative questions

Evaluation criteria	Topic	Evaluation questions (indicative)
Appropriateness: The extent to which humanitarian activities are tailored to local needs, increasing ownership, accountability and cost effectiveness accordingly	1.1 Alignment of the education emergency response with the CCCs	1.1.1 To what extent were UNICEF programmes for delivering the education emergency response aligned with the Core Commitments for Children (CCCs)?
	1.2 Alignment of the education emergency response with humanitarian principles	1.2.1 To what extent was UNICEF programmes for delivering the education in emergency response aligned with humanitarian principles? 1.2.2 Does UNICEF leadership proactively advocate for adherence to humanitarian principles in education in emergencies, and to what effect?
Effectiveness: The extent to which a programme or activity achieves its purpose, or whether this can be expected to happen on the basis of outputs. Connectedness: The extent to which activities of a short-term nature are carried out in a context that takes longer-term and interconnected problems into account	2.1 UNICEF global leadership of education in emergencies (strategic and technical)	2.1.1 What was UNICEF’s role in establishing, coordinating and/or supporting key education-sector partnerships for education in emergencies at the global and regional levels, and how strategic were choices for investing time, resources, etc. in these partnerships? 2.2.2 How effective was UNICEF’s technical leadership in education-sector partnerships for education in emergencies?
	2.2 Achievement of objectives and results of the education emergency response/ programmes (inputs and outputs)	2.2.1 To what extent has UNICEF-led efforts in education in emergencies invested in the right solutions? 2.2.2 To what extent were education interventions effective in achieving planned results? (i.e., results stipulated ARRs (2014-2017) and in humanitarian emergency response plans)
	2.3 Utility of data and evidence functions for monitoring, resource mobilization and decision-making	2.3.1 How effective are UNICEF data and evidence functions (e.g., research, monitoring and evaluation), and what was their utility for decision making and resources mobilization in education emergency response and programming?
	2.4 Adequacy of preparedness planning measures and their effectiveness in emergency response	2.4.1 How adequate were education sector emergency preparedness scenarios, and what was their effectiveness in education emergency response? 2.4.2 To what extent are emergency preparedness planning efforts adaptable to different profiles of countries across the development-humanitarian spectrum?
	2.5 Contribution to service delivery and education system strengthening	2.5.1 To what extent has emergency preparedness planning contributed to the resilience of education structures and service delivery systems (e.g. EIE, programme)? 2.5.2 How effectively were inputs and outputs in the emergency response deployed, and how much did they contribute to service delivery and systems strengthening?
	2.6 Adaptability to the evolving context and different stages of the humanitarian-development continuum	2.6.1 How responsive and/or adaptable was the education emergency response to the evolving humanitarian context, and to what effect? 2.6.2 To what extent is emergency preparedness planning a prominent feature of the education sector strategy and plans, and what is the commitment of education stakeholders in executing the plans?
Efficiency: The extent to which qualitative and quantitative outputs were achieved as a result of inputs	3.1 Adequacy of staff and partners’ capacities and resources	3.1.1 Has UNICEF managed to deploy adequate human and material capacities and resources in education emergency response, and were these capacities used efficiently to reach the most vulnerable children?
	3.2 Optimizing linkages - use of education resources to promote inter-sectoral goals	3.2.1 How efficient was inter-sectoral collaboration in utilizing education emergency response as a means to promote WASH and social protection, among others?
Coordination: The extent to	3.3 Adequacy of coordination structures, tools, and	3.3.1 How effectively and efficiently were resources dedicated to education coordination globally, regionally and nationally used?

⁸ The definitions for evaluation criteria were derived from the [ALNAP Evaluation of humanitarian action guide](#) (2016)

which the interventions of different actors are harmonized with each other, promote synergy, avoid gaps, duplication, and resource conflicts	resources (global and national)	
	3.4 Support for and utility of partnerships to achieve results at all levels	3.4.1 To what extent were UNICEF education-sector partnerships for emergency preparedness, humanitarian emergency response and programming strategic, systematic, and efficient?
	3.5 Monitoring progress toward education outcomes, including learning	2.3.1 How efficient has UNICEF been in monitoring progress on education outcomes for children affected by humanitarian crises? (e.g. equity, learning, etc.)
Impact: Wider programme effects (social, economic, technical and environmental) on individuals, groups, communities and institutions. Coverage: The extent to which groups facing life-threatening suffering were reached by humanitarian action	4.1 Contribution to education objectives in various humanitarian contexts	4.1.1 Has UNICEF invested in good practice and/or innovative ways of achieving education outcomes in their work in humanitarian contexts, and to what effect?
	4.2 Contribution to education outcomes for children affected by humanitarian crises	4.2.1 How significant is UNICEF performance in education emergency response in terms of reaching the majority of children affected by humanitarian crises? 4.2.2 What is the evidence, if any, of UNICEF contribution to education outcomes (i.e., access, equity and learning) for various groups of children that are susceptible to different humanitarian crises?

28. 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:

- a. Importance and demand/priority: the information should be of a high level of importance for the various intended audiences of the evaluation;
- b. 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;
- c. 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;
- d. Actionability: the questions will provide information which can lead to recommendations that be acted upon.

29. **Related evidence generation initiatives:** The Global Education Cluster (GEC), Inter-Agency Network for Education in Emergencies (INEE) and the United Nations Refugee Agency (UNHCR) are partnering in an initiative to strengthening planning, response and coordination for education in emergencies in crisis-affected contexts. The initiative aims to build an evidence base and knowledge platform and tools to improve EiE interventions by examining joint emergency preparedness planning, and emergency response practices across a wide-range of emergencies to determine what works and distill good practice. Easily accessible tools and guidance are necessary to support humanitarian and development actors’ in joint planning and response, to strengthen the coordination capacity of humanitarian and development actors at the global, regional and country level. This GEC-managed knowledge generation initiative addresses coordination in humanitarian crises and there overlaps with the coordination issues described in these terms of reference, hence the evaluation effort aims to capitalize on synergies and complementarities, and avoid duplication.

VII. Methodology

30. **Design and methods:** This will be a non-experimental, mixed methods evaluation, featuring a **desk-based review and analysis** of evidence from UNICEF documents and data collected from the global, regional and country levels; **online surveys** that are administered to informants global, regional and country levels, country level field visits featuring key informant interviews with UNICEF staff, partners other global and regional humanitarian actors. Evaluative judgements will be based on evidence triangulated from all these sources.

31. **Phases of the evaluation:** The evaluation will occur in four phases (i) inception; (ii) desk-based document review and analysis; (iii) field-based data collection; and, (iv) data analysis, reporting and communication of evaluation results. Data collection and analysis methods should adhere to highest technical standards and best practice for (humanitarian) evaluations. This section offers a proposal for evaluation approach, methodology, and evaluation process. *Proposers are invited to interrogate the evaluation approach, refine it and/or proffer an alternative approach, anticipate threats to the validity of findings and to proffer mitigation strategies.* Also, synergies will be sought, where feasible, between this evaluation and the evaluation of WASH humanitarian action which will run parallel to this effort.

32. **Phase 1-Inception:** The inception phase will feature five activities, as described below:

- a. Convene a 3-day inception visit: The evaluation team will undertake a mission that will enable face-to-face interactions with relevant stakeholders at UNICEF HQ in New York. These will include the evaluation manager and humanitarian evaluation team (Evaluation Office); education in emergencies team and Humanitarian and Transition Interface Support team (Programme Division); Emergency operations team (EMOPS), as well as Education Cannot wait (ECW). The focus of the visit will be to review the technical elements of the evaluation and produce a second draft of the evaluation questions. The inception visit will also be used to familiarize the evaluation team with UNICEF standards, processes, and tools that will impact the evaluation, to clarify UNICEF's expectations and contractual provisions, and to refine the work plan for the rest of the inception phase.
- b. Search, compile and conduct a preliminary review of UNICEF documents and academic and grey literature: This activity is meant to deepen the understanding of the context of UNICEF programming in education in emergencies, and to develop a succinct synthesis of the global context and UNICEF role in education in emergencies.
- c. Conduct a systematic stakeholder analysis: Concurrent with compilation of documents, key groups of stakeholders will be identified (i.e., UNICEF staff members, consultants, international NGO partners, cluster members/partners, donors, researchers/consultancies and other independents subject matter experts, etc.), and a stakeholder analysis will be conducted to determine stakeholder's roles and inputs in education in emergencies portfolio, and in the evaluation process. Groups of stakeholders will be judged on three parameters: (i) interest and involvement in education in emergencies work; (ii) influence/power that they exercise in major decisions about UNICEF education in emergencies work; and, (iii) involvement of the stakeholder in the evaluation and expected impact of their involvement. Based on the stakeholder analysis, the evaluation team will articulate an approach for engagement and management of the different stakeholder groups, that will be used by the evaluation manager and the evaluation team.
- d. Compilation of all elements of the inception report and submission: Based the outline provided in Paragraph 56 of these terms of reference, the evaluation team will develop the evaluation matrix/framework, expand on the methodology, and develop draft evaluation tools for piloting and subsequent review. The inception report should also provide a sample of 15 countries to be included in the desk-based review, selected from a population of approximately 102 UNICEF country offices which experience humanitarian response in 2017⁹. The inception report should also propose themes for country case studies. Synergies with the WASH in emergencies evaluation will be sought, while duplication of efforts with on-going and planned evaluations and/or research studies will be avoided. The draft inception report will be submitted to the evaluation manager for quality review.
- e. Evaluation Advisory Group meeting, and revision of the inception report: The final activity of the inception phase will be to submit and present the inception report to a technical advisory group.

⁹ 20 UNICEF country offices for which L2 and L3 procedures were activated, based on well justified sampling criteria and processes.

The evaluation team will produce a revised inception report, after consideration of the advice of the reference group, to be approved by the evaluation manager.

33. **Phase 2-Desk-based document review:** This phase will be data collection from secondary sources, featuring three activities:
- a. Comprehensive search and compilation of documents: The evaluation team will gather relevant UNICEF documentation. From the global and regional levels, the team will collect corporate policies, strategies, programme guidance, position papers, inter-agency and global education cluster documents, studies, reviews and evaluations from UNICEF and other organizations. From the 15 country offices which will be a focus of the desk-based review, the team will collect emergency preparedness and planning and programming documents; situation reports (SitRep); needs assessments; surveys and statistics; CAP/CERF funding appeals and reports; donor proposals and reports; field monitoring reports from UNICEF and partners; country audits and financial data; data and reports. A significant amount of data are readily available from existing UNICEF and non-UNICEF databases. These must also be reviewed before any requests for data can be made to country office staff, government counterparts, or any other key informants.
 - b. Conduct a detailed desk-based document review and analysis: The focus of this activity is to review and analyse secondary data and documentary evidence from global platforms, and from a selection of countries. Task for this activity are: (i) to pre-populate the evaluation matrix; (ii) execute self-assessments by the country office education teams (using/adapting existing self-assessment tools for humanitarian evaluations; (iii) to refine the methodology for the theme-based evaluative case studies, data collection and data analysis tools for Phase 3; and, (iv) to orient and inform countries that will participate in theme-based evaluative case studies.
 - c. Drafting and submission of the document review synthesis report: To be reviewed only by the evaluation manager, the desk review report should present an updated chapter of the global context and UNICEF role in education in emergencies, with an updated methodology section, and a 3-page summary on the context of each of the 15 countries featured in the desk-based review and the subset selected for *theme-based evaluative case studies* (differentiated from the desk-based review countries in that they will include in-country primary data collection). The format for this report is discussed in Paragraph 56 of these terms of reference.
34. **Phase 3: Primary data collection and analysis:** The activities proposed for this phase are presented below, to be executed in the suggested sequence. *However, proposers are free to augment these approaches, or to propose alternatives and innovative data collection and analysis approaches.*
- a. In depth interviews with key informants at the global and regional level: Using the stakeholder analysis generated in Phase 1, a list of key informants will be updated by the evaluation team, in conjunction with the evaluation manager, UNICEF staff, and members of the Evaluation Advisory Group (EAG). Primary data will then be collected through key informant interviews, in part to answer a subset of questions which for which these informants will be the primary sources, and also to triangulate/corroborate some of the data from the desk-based review.
 - b. In-country visits: Field visits will be undertaken in a subset of countries that were designated for theme-based evaluative case studies (3 or 4 of the 15 countries, depending on the budget), also for the purpose of collecting primary data. The duration for each visit will be 10 week-days for external consultants, and 20 week-days for national consultants. Each field visit will commence with a briefing meeting with UNICEF country office education teams, where the 3-page summary about the country context can be shared, and subjected for review by the country office. Field-based data collection methods will include validation of the self-assessment, a country level stakeholder analysis, field observations, key informant interviews for UNICEF staff and implementing partners, as well as interviews and/or focus groups for beneficiaries. It is recommended to pilot the methodology and data collection tools during the first field visit before proceeding with the other ones. Two debriefing meetings will be conducted, one with the UNICEF country office, and another with interested

evaluation participants to present key observations from the field missions, and where feasible, preliminary findings. The debriefing meeting will also be used as an opportunity to fill data gaps, and/or correct the record on factual information, where necessary.

- c. 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.

35. **Phase 4 - Data analysis and reporting**: The activities proposed for this phase are presented below. *However, proposers are free to augment these approaches, or to propose alternatives and innovative data analysis and reporting approaches.*

- a. Updating the data analysis plan: Accuracy, triangulation and disaggregation of data will be of crucial importance for the comprehensiveness, usefulness and credibility of the evaluation findings. Hence data analysis and interpretation methods proffered in the evaluation will be vetted accordingly. Also, 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 the education sector. 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.
- b. Drafting and submission interim report: The data phase will conclude with the submission of an interim report as described in Paragraph 57 of these terms of reference. The interim report will be mock-up and extended outline of the final report, and if possible, a collection insights and/or preliminary findings from the field visits, which will be subjected to more systematic and comprehensive analysis.

VIII. Risk management and ethical issues

36. **Limited evaluability**: One of the typical challenges in evaluations that span a relatively wide timeframe is the availability of data and institutional memory. Evaluability issues are particularly likely to occur in emergency settings that are characterized by quick and sometimes undocumented strategies and decision-making, simplified reporting requirements, and rapid turn-over of 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.

37. Related to the point above, availability of staff and partners and lack of readiness to participate in the evaluation should be anticipated, due to heavy workloads, as well involvement in other evaluations and audits – particularly in the emergency countries targeted by this evaluation. A determined effort will be made to conduct a systematic stakeholder analysis and develop a stakeholder management strategy, which includes communicating evaluation objectives, purpose, scope and evaluation processes adequately. Part of the effort in management stakeholder perceptions is adequate preparation of evaluation team members, and a demonstration of adequate knowledge of the context and the issues that are important to evaluation informants.

38. **Safety and security**: Emergency response settings are often characterised by significant security and logistical limitations, due partly to violations of international humanitarian and human rights law by parties to the conflict. In some cases violence is targeted direct at civilians and humanitarian actors. Hence, access to the case study countries to be visited might be prohibited or limited. Where access is granted, there may be delays in obtaining the visa and/or travel authorizations. The suggested methodology includes the use of remote and self-assessment approaches which take these issues into account. However, proposers are invited to further analyse aspects of the evaluation approach and methodological as they relate to safety of evaluators, and proffer mitigating solutions.

39. **Generalizability of findings and conclusions:** As is the case with most global level evaluations, it will not be advisable to draw far-reaching conclusions from a limited evidence base, and non-representative sample of countries. However, the evaluation team is expected to rely, to the extent possible, on data collection and analysis methods and tools that have already been tested and validated by experience, and to provide forethoughts on profiles of countries and/or emergencies that each of the case studies may garner lessons for.
40. **Ethical concerns:** The evaluation will not require an independent ethical review. However, 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. Also, **proposers are invited to identify anticipated ethical issues** throughout the evaluation project as well as the measures and methods adopted to mitigate them.
41. Adherence to the *“do no harm”* principle is required when evaluators interact with all groups of informants. Special attention should be paid when interacting with children and young people. Also, standard protocols of obtaining informed consent and assent and/or other relevant protections should be followed, and recorded in the final evaluation report. 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](#).

IX. Composition of the evaluation team

42. The evaluation will be carried out by a firm, company, or institution with relevant expertise and capacities to manage a global evaluation effort. To be proposed by the proposers, the team should have the experience, qualifications, mix and complementarity of expertise. The team may be composed of both international and national consultants. To the extent possible composition of the team should follow the guidance below, with proper justification for departing from the guidance.
43. **Team leader:** Attributes listed in **a** through **f**, are **required** for team leader role, while **g** and **h** will be considered an added advantage.
- Strong skills and expertise in evaluation theory and conceptual frameworks;
 - Comprehensive evaluation experience as team leader in an evaluation of humanitarian action, manifested in familiarity with existing humanitarian evaluation methods and tools;
 - Previous experience in conducting evaluation and/or research a multi-country assignment, particularly in sub-Saharan Africa and the Middle-East;
 - Readiness to travel to and within the concerned countries;
 - Excellent level of English (oral communication, reading documents, writing complex reports).
 - Functional proficiency in Arabic, French, and/or Spanish;
 - Familiarity and satisfactory experience executing a contract with UNICEF evaluation (at any level) is an added advantage; and,
 - Experience in evaluation humanitarian response in other sectors (Health, Nutrition, Child Protection and WASH) is an added advantage.
44. **Assistant to the team leader**, in charge of project management, team coordination and logistics
- Excellent organization, consistency, deadline keeping and follow-up; and,
 - Strong communication / people / team building skills.
45. **Other team members:** In addition to the skills and proficiencies expected from the team leader, other members of the evaluation team should, cumulatively, demonstrate the following competencies (experts with multi-skill sets can fill more than one competency):
- 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;

- c. In-depth knowledge of the education in emergencies sub-sector;
- d. Good knowledge of UNICEF programming strategies, field work, procedures and organizational culture (prior UNICEF employment experience should be declared to enable assessment of possible conflicts of interest);
- e. Experience in implementing and/or coordinating and/or evaluating education in emergencies, 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 different types of emergencies.
- f. Strong qualifications in statistics and quantitative and qualitative data collection tools and analysis;
- g. Readiness to travel to and within the concerned countries;
- h. Fluency in English (oral communication, reading complex documents, writing reports).
- i. Experience in evaluation humanitarian response in other sectors (Health, Nutrition, Child Protection and WASH) is an added advantage.
- j. Gender and cultural balance.

46. Former UNICEF staff or consultants that have worked on education programming may be members of the evaluation team if they meet the technical qualifications for skills. However, any prior involvement with UNICEF should be declared during the bidding/contracting stages so that prospective team can be cleared of possible conflicts of interest.

47. The duration for the evaluation team is estimated at 10 months, from January to October 2019. Proposers should provide the total level of effort to be divided between team members depending on the responsibilities, indicating each member's accountabilities and effort (in person days).

X. Roles of the evaluation team, management and governance arrangements

48. **The evaluation team:** The evaluation will be executed by a team of evaluation professionals/practitioners with extensive experience in planning, monitoring and evaluating international development programmes. The team profile should collectively offer the skills and experiences as indicated in Section IX, para. 42-47.

49. **Responsibilities of the evaluation team:** 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, in particular, will be expected to discharge of the following responsibilities:

- a. In conjunction with the evaluation manager, develop a realistic work plan for the evaluation and meet all deadlines;
- b. Execute the evaluation to respond to the questions stipulated in the terms of reference (or subsequent revisions of the evaluation questions);
- c. Provide technical oversight of the evaluation team, including orienting and training of team members, and local consultants where necessary;
- d. Quality assurance, including ensuring the comprehensiveness of all data collected and deliverables before submission to the UNICEF Evaluation Office, 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.
- e. Provide written responses to comments from the reference group, and update report accordingly. 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.
- f. 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.

- g. Designing and facilitating of the final workshop.
- h. Provide regular progress reports to the Evaluation Specialist in the Evaluation Office and manage communications with UNICEF.

50. The evaluation team will be external to the Evaluation Office, but not independent from the EO since all deliverable will be issued under the seal of the Evaluation Office. However, the EO guarantees the evaluation team's autonomy in formulation finding and conclusions, as well as independence from the rest of the organization whose strategies and actions will be evaluated.

51. **Evaluation management:** The evaluation will be managed from the UNICEF's Evaluation Office, by an Evaluation Specialist. The Evaluation Specialist will *provide conceptual inputs into all aspects of the evaluation (approach and methodology)*. She will also have responsibility to:

- a. Co-ordinate and manage all activities of the evaluation and its execution;
- b. Be the liaison between the evaluation team and the Education Section (Senior Advisor, EiE), and provide periodical updates on the execution of the evaluation;
- c. Provide oversight and guidance to the evaluation team on UNICEF requirements and standards for evaluative work; and,
- d. Organise and facilitate conference calls with the evaluation team every two weeks or less frequently, as needed;
- e. 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;
- f. 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;
- g. 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;
- h. Approve all deliverables.
- i. Produce the final version before copy-editing and layout, and co-lead the authorship of the final deliverables.
- j. Prepare publishing-ready versions of the reports for issuing by the Director, Evaluation Office.

52. **The Evaluation Advisory Group (EAG):** For proper governance of the evaluation, a 15-member the Evaluation Advisory Group will be appointed by the Director (Evaluation Office), to provide expert advice during the evaluation. The Evaluation Advisory Group will be constituted as follows:

- a. Chairperson, to be provided by the Evaluation Office
- b. Five UNICEF staff from UNICEF, HQ (2 from the EiE team, one from HATIS, one from EMOPS)
- c. The Global Education Coordinator, or her appointee
- d. Five UNICEF staff, from the regional and country levels.
- e. Two participants that are external to UNICEF; one individuals from partner organizations (e.g., GPE, INEE, ECW), and another with notable academic and/or professional practice in education in emergencies;
- f. The evaluation manager, serving as the secretariat for the group.

53. **Responsibilities of the Evaluation Advisory Group** will be as follows:

- a. Participate in the key meetings (remotely or in-person) with the evaluation team during the inception phase and as the evaluation nears completion;
- b. 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;
- c. Review all key deliverables (incl. draft inception and final reports) and provide advice;

- d. Advise on and support the implementation of the communication and dissemination plan for the evaluation, incl. by suggesting/supporting relevant dissemination events;
- e. Advise on the management response to the evaluation, and ensure that it fully takes on board the findings and recommendations.

XI. Evaluation products and deliverables

54. The evaluation will yield several products: (i) an inception report; (ii) document review synthesis; (iii) field mission report; (iv) desk-based case study reports; (v) final report for the evaluation report; and (vi) a PowerPoint presentation for the final report (vii) live data and diagrams to be used for publication; Outlines and descriptions of each evaluation products proffered in this section are meant to be indicative¹⁰. The proposed timeframe and expected products will be discussed with the evaluation team and refined in the inception report.
55. Inception report: The inception report will be instrumental in confirming a common understanding of what is to be evaluated, including additional insights into executing the evaluation. At this stage evaluators will refine and confirm evaluation questions, confirm the scope of the evaluation, further improve on the methodology proposed in this terms of reference and their own evaluation proposal to improve its rigor, as well as develop and validate evaluation instruments. The report will include, *inter alia*,
- a. Brief summary of the global and UNICEF education in emergencies context;
 - b. Evaluation purpose and scope – confirmation of objectives and topics/areas of inquiry;
 - c. Evaluation criteria and questions – final set of evaluation questions, and evaluation criteria for assessing performance;
 - d. Evaluation methodology – stakeholder analysis; a description of data collection methods and data sources; draft data collection instruments; an evaluation matrix that identifies criteria for evaluating evidence; data sources for each evaluation question; the estimated sample size; data collection methods; data analysis and data display approach (graph tables, etc); a discussion on how to enhance the reliability and validity of evaluation conclusions; the field visit approach, a description of the quality review process¹¹; and, a discussion on the limitations of the methodology;
 - e. Structure for the desk review report;
 - f. Evaluation work plan and timeline – a revised work and travel plan;
 - g. Resources requirements – detailed budget allocations, tied to evaluation activities, work plan, deliverables; and,
 - h. Annexes (analytical framework for evaluation questions, data collection toolkit, data analysis framework).

The inception report will be 15 - 20 pages in length (excluding annexes), and will be presented at a formal meeting of the reference group.

56. Report for the document-review phase: Most elements of this report will be presented in a PowerPoint slides. Some narrative, presented as annexes, will be required for other elements. The report will be packages as follows:
- a. **PowerPoint presentation only**: For the 11 desk review countries that will not receive a field visit, the PowerPoint presentation will highlight (i) the humanitarian context for each of countries; (ii) the education response; and, (iii) summary of findings of the self-assessments carried by each country.
 - b. Annex 1: Updated chapter of the global context and UNICEF role in education in emergencies, backed by some evidence from the secondary data analysis;

¹⁰ While proposers are welcome to modify the structure of each deliverable to enhance their coverage and clarity. However, products are expected to conform to the stipulated number of pages, where that applies.

¹¹ UNICEF has instituted the Global Evaluation Report Oversight System (GEROS), a system where final evaluation reports are quality-assessed by an external independent company against UNICEF/UNEG standards for evaluation reports. The evaluation team is expected to reflect on and conform to these standards as they write their report. The team may choose to share a self-assessment based on the GEROS with the evaluation manager.

- c. Annex 2: Populated evaluation matrix that indicates data sources for each evaluation question, the sample size, data collection methods, data analysis and data display approach (graph tables, etc);
- d. Annex 3: For the 4 desk review countries that are also **designated for theme-based case studies**; (i) a narrative on the humanitarian context for each country; (ii) the case-study approach, describing the rationale for studying the context, the purpose, and questions for the case study; (iii) data collection methods and data analysis plan; (iii) updated data collection and analysis tools; and, (iv) outline for the theme-based case study reports;
- e. Database and or data files created for the document review phase of the evaluation.

57. Interim report (zero draft of the final report): At the conclusion of all data collection activities, the evaluation team should prepare and submit a zero draft, essentially a mock-up of the final report. The version should present the following:

- a. full version of the first chapter covering the global context and UNICEF humanitarian response;
- b. full version of the approach/methodology chapter;
- c. extended outline for the subsequent 'findings' chapters, indicating tables and figures that will be used;
- d. extended outline of the conclusion and recommendations chapters; and,
- e. annexes.

58. Reports for the theme-based case studies: The case study leader in each country is responsible for developing a complete draft of the case study report. The report will not exceed 25 pages, **excluding** the executive summary and annexes. A complete draft report will include:

- a. description of country context, the humanitarian crises, and education in emergencies sub-sector;
- b. description and assessment of the country level humanitarian coordination structures and emergency preparedness planning efforts;
- c. description and assessment of education emergencies response and programming;
- d. statements of findings, well substantiated by the data and evidence;
- e. evaluation recommendations, and process used to validate the recommendations; and,
- f. annexes (evaluation terms of reference; annotated description of methodology; and, list of people interviewed; list of background materials used).

Final evaluation report: The final version of the report will not exceed 70 pages, **excluding** the executive summary and annexes.

59. A complete draft report will include:

- a. analysis of key issues in the humanitarian programming and the education in emergencies sub-sector (excerpted from the desk review report and desk-based case studies);
- b. Assessment, against agreed evaluation criteria, of UNICEF mandate, strengths and weaknesses relating to education in emergencies sub-sector;
- c. Assessment, against agreed evaluation criteria, of the various contexts of UNICEF education emergency response, education emergency programming; education coordination mechanisms and structures, emergency preparedness;
- d. Assessment of the UNICEF contribution to education objectives and outcomes in various humanitarian contexts;
- e. evaluation findings and conclusions, well substantiated by the data and evidence, cross-referenced against evaluation themes and evaluation criteria;
- f. parsimonious set of actionable recommendations that correspond with evaluation conclusions, and a description of how they were validated; and,
- g. annexes (evaluation terms of reference; annotated description of methodology; data analysis framework, list of people interviewed, bibliography and list of background materials used; etc.).

60. This report will be presented in four drafts (first draft, revised draft penultimate draft and final report). The first draft will be reviewed by the evaluation manager, while the revised draft will be presented to EAG. A penultimate draft will be submitted after incorporating feedback from the EAG.

61. PowerPoint presentation: Initially prepared and used by the evaluation team in their presentation to the reference group, a standalone PowerPoint will be submitted to the Evaluation Office as part of the evaluation deliverables.
62. Data, live data tables and graphics will be submitted to the Evaluation Office as part of the evaluation deliverables.
63. Reports will be prepared in English, according to the UNICEF House Style (to be shared with the winning proposer) and UNICEF standards for evaluation reports as per GEROS¹² guidelines (referenced in Footnote 9). The first draft of the final report will be received by the evaluation manager who will work with the team leader on necessary revisions. The second draft will be sent to the reference group for comments. The evaluation manager will consolidate all comments on a response matrix, and request the evaluation team to indicate actions taken against each comment in the production of the penultimate draft. The UNICEF Evaluation Office reserves the right to ensure the quality of products submitted by the external evaluation team and will request revisions until the product meets the quality standards as expressed by the Evaluation Office.
64. If the Services or Deliverables provided by the contracted proposer does not conform to the requirements of the Contract, e.g. does not comply with the norms and standards of UNEG and UNICEF for quality evaluation, or are delivered late or incomplete, without prejudice to any of its other rights and remedies, UNICEF can, at its option, taken steps as stated under the General Terms and Conditions of Contract (Annex A, paragraph 2.8).

XII. Indicative work plan and deliverables

Table 3: Indicative evaluation work plan and timeline

Activity	Timeline
Phase 1: Inception	
Activity 1: Document search and Preparation for the inception meeting in UNICEF New York HQ	Weeks 1-2 January 2019
Activity 2: Conducting stakeholder analysis, drafting and submission of the inception report	Weeks 3-4
Activity 3: Drafting and submission of the inception report	Weeks 4-5
Activity 4: Meeting with UNICEF and EAG in NY, finalization of the inception report	Weeks 5-6
Phase 2: Desk-based document review	
Activity 5: Review of documentary evidence, secondary data, and populating the evaluation matrix	Weeks 7-11
Activity 6: Adapting self-assessment tools for humanitarian evaluations and facilitating the execution of self-assessments by country office education teams.	Weeks 12-13
Activity 7: Drafting of the document review synthesis report including the updated methodology and data collection and analysis tools for phase 3	Weeks 14-15
Activity 8: Finalizing and submission of desk-based review report and preparation for country visits	Weeks 15-16
Phase 3: Country based data collection	
Activity 9: Execution of country visits	Weeks 17-22

¹² UNICEF has instituted the Global Evaluation Report Oversight System (GEROS), a system where final evaluation reports are quality-assessed by an external independent company against UNICEF/UNEG standards for evaluation reports. The evaluation team is expected to reflect on and conform to these standards as they write their report. The team may choose to share a self-assessment based on the GEROS with the evaluation manager. https://www.unicef.org/evaluation/files/GEROS_Handbook_FINAL_summary.pdf

Activity 10: In depth interviews with key informants; preparing the online survey	Weeks 17-24
Activity 11: Executing the online survey	Weeks 25-26
Phase 4: Data analysis, reporting, and communication of results	
Activity 12: Data analysis and drafting of theme-based case study reports	Weeks 25-28
Activity 13: Data analysis, and drafting and submission of the interim report	Weeks 28-30
Activity 14: Drafting and submission of the global evaluation report	Weeks 31-8
Activity 15: Meeting with UNICEF and EAG in NY, finalization of the global evaluation report, drafting of the evaluation summary PowerPoint and brief	Weeks 39-40: <u>End October 2019</u>
Activity 16: Dissemination event in NYHQ and other dissemination activities	TBD

65. As reflected in the Table 3 above, the evaluation has a timeline of approximately 40 weeks (10 months) from the beginning of the inception period to the submission of the final report. **Adequate effort should be allocated to all evaluation activities to ensure timely submission of all deliverables.**

XIII. Content of the technical proposal

66. **Background Information:** The technical proposal **will be in PDF format** and must include the request for proposals for services form (page 3 of the RPFS document). Proposers are also required provide to background information of the bidding institution or institutions if a consortium, including:

- a. Name of the institution
- b. Date and country of registration/incorporation, and location of offices or agents
- c. Summary of corporate structure (detailed organogram), business areas, corporate directions, experience and values
- d. Past two years' annual turnover (in US dollars)
- e. Past two years' audited financial report (income statement and balance sheet)
- f. Number of full-time employees and type (technical experts, administrative and logistics support staff, financial staff, etc.).

67. Institution's experience and capacity in the following areas:

- a. Programme evaluations
- b. Multi-country evaluations or studies/research conducted
- c. Education in emergencies related assignments
- d. 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

68. A list of similar/relevant past and on-going assignments carried out by the proposer in the past 7 years. UNICEF may contact reference persons for feedback on services provided by the proposers.

69. Two sample reports that exemplify the quality of the proposers' works. Extra credit is given if the sample is used to showcase the writing skills of the proposed Team Leader. We prefer that the sample reports be provided in url links.

70. 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:

- a. Understanding of the context and rationale for the evaluation, and on UNICEF education humanitarian action, notably based on proposers' knowledge, experience and familiarity with the available literature
- b. Understanding of the evaluation scope, and/or a reasoned proposal to alter the scope;
- c. Comments on the evaluation criteria, key evaluation questions, and an indicative framework on how evidence is going to be weighed, based on the evaluative criteria;

- d. Understanding and analysis of the aspects of complexity, potential challenges, risks and ethical issues related to this evaluation exercise
- e. 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.
- f. Comments and additional details/suggestions on the deliverables proposed in the ToR, if any
- g. Comments and suggestions on the management arrangements described in the ToR, if any, and proposed internal management and quality assurance arrangements, including use of national 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. Requirements and/or assurances (e.g. non-use of child labor) must also accompany the submission; and,
- i. A declaration for intended participation of any former UNICEF staff or consultants (see Paragraph 46).

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

- a. General work plan based on the one proposed in the ToR, with comments and proposed adjustments, if any
- b. Detailed timetable by activity, 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 indicate planned vacation, if any, time for evaluation team members.

72. Evaluation team:

- a. Summary presentation of proposed experts
- b. Description of support staff if any (number and profile of research and administrative assistants)
- c. Level of effort of proposed experts by activity. It must be consistent with the financial proposal, albeit without the pricing.
- d. CVs of each proposed expert. For information, senior and intermediate level experts will be asked to sign a statement of availability prior to contract signature. However, the proposed team is expected to be available for this assignment throughout the year 2019, and to make a firm commitment at the stage of the proposal submission.

73. **Assessment of proposals:** While all contents of the technical proposal are important, special attention will be paid to the composition and strength of the proposed evaluation team, and the rigor of the proposed methodology and work plan. These two elements together account for 80 percent of the points awarded for the technical proposal. The proposer's profile and capacity will account for 10 percent, while the remaining 10 percent will go towards **the two** sample reports **that exemplifies the quality work that the company has produced**. While this is not a requirement, it should be noted that proffering a sample reports that is authored by or associated with the proposed team leader, under the banner of the bidding company, will be rewarded favourably. Detail of the proposal evaluation process can be found under Section XV Paragraph 78 - 82 of these terms of reference.

XIV. Content of the financial proposal

74. 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 overall price proposal, budget by phase, by activity, and by cost category

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

76. 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.
77. 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.

XV. Proposal evaluation process and method, and awarding the contract

78. **Assessing the technical proposal:** Following the submission of the proposals, UNICEF will set up a proposal assessment team composed of people with technical skills in evaluation and subject matter specialists. An assessment will be conducted to assess the merits of each proposal. The assessment will be restricted exclusively to the contents of the proposal, references and corporate financial health. Submissions will be evaluated in accordance with the technical assessment criteria and weighting as follows:

Criteria	Weighting
Organizational capacity and expertise of Firm	10%
Team profile (see Section IX of the Terms of Reference)	40%
Proposed methodology (relevance, logic, rigor, practicality, creativity, etc., including the work plan)	40%
Sample reports (coherence, clarity, and relevance; See Paragraph 67 of the Terms of Reference)	10%
TOTAL	100%

79. For the proposal to be considered technically compliant, ***the proposer must achieve a minimum score of 70 percents.*** Proposals not meeting this minimum score will be considered technically non-complaint and will be given no further consideration.

80. Assessing the price proposal

- a. Price Proposals coming from firms whose technical proposals were deemed technically compliant (i.e., attained a score of 70 percent or above) will be opened and assessed as follows:

$$\text{Score for price proposal X} = \frac{\text{Max. Score for price proposal} * \text{Price of lowest priced proposal}}{\text{Price of proposal X}}$$

- b. The maximum number of points will be allotted to the lowest price proposal among those that obtain the threshold points in the evaluation of the technical component. All the price proposals will receive points in inverse proportion to the lowest price, using the formula above.
- c. All prices/rates quoted must be exclusive of all taxes as UNICEF is a tax-exempts organization.

81. Overall score

- a. The overall score for each of the proposals by adding scores from both the technical and financial proposals, based on a weighting of **80 percent for the technical proposal, to 20 percent** for the financial proposal.

82. Awarding the contract: Proposer achieving the highest combined technical and price score will (subject to any negotiations and the various other rights of UNICEF detailed in the RFPS) be awarded the contract.

83. Payment schedule: The expected payment schedule is as follows:

- a. Approved inception report: 20% of the contractual amount
- b. Approved interim report: 40%
- c. Approved final report and final workshop: 40%

The terms of payment are **net 30 days, after receipt of invoice and acceptance of work.**

84. Payment will be made only upon UNICEF's acceptance of the work performed, and in accordance with agreed schedule of payment and/or contract milestones

ANNEX C

RFPS-NYH-2018-502903

TEMPLATE FOR THE BUDGET BY PHASE AND BY COST CATEGORY

Note:

The proposer is required to prepare the price proposal in a document separately from the technical proposal and submit it both in a PDF and Excel format to ease UNICEF in the assessment process. The template below is provided for use as a guide in preparing the price proposal.

UNICEF will bear the cost of the reimbursable expenses based on actual costs or on the budgeted costs (considered as a ceiling) whichever is lower, and upon presentation of receipts. 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.

	Unit	Quantity	Unit cost / rate	Total cost in USD
Activity 1				
Fees: (subtotal)				
<i>International, senior experts</i>				
Expert 1 (name)				
Expert 2 (name)				
Etc.				
<i>International, intermediate experts</i>				
Expert 3 (name)				
Expert 4 (name)				
Etc.				
<i>Local experts</i>				
Expert 5 (name)				
<i>Other personnel</i>				
Personnel 6				
Travels: (subtotal)				
<i>International flights</i>				
<i>Local transportation</i>				
<i>Other travel expenses (visa...)</i>				
<i>Subsistence allowance (DSA)</i>				
Other expenses: (subtotal)				
<i>Telecommunications</i>				
<i>Workshop expenses</i>				
<i>Translations, editing, printing...</i>				
<i>Others (to be described)</i>				
Activity 2				
Fees: (subtotal)				
<i>International, senior experts</i>				
Expert 1 (name)				
Expert 2 (name)				
Etc.				
<i>International, intermediate experts</i>				
Expert 3 (name)				
Expert 4 (name)				
Etc.				

	Unit	Quantity	Unit cost / rate	Total cost in USD
<i>Local experts</i>				
Expert 5 (name)				
<i>Other personnel</i>				
Personnel 6				
Travels: (subtotal)				
<i>International flights</i>				
<i>Local transportation</i>				
<i>Other travel expenses (visa...)</i>				
<i>Subsistence allowance (DSA)</i>				
Other expenses: (subtotal)				
<i>Telecommunications</i>				
<i>Workshop expenses</i>				
<i>Translations, editing, printing...</i>				
<i>Others (to be described)</i>				
Activity 3				
<i>(see above)</i>				
Activity ...				
<i>(see above)</i>				
Activity 15				
<i>(see above)</i>				
Activity 16				
Fees: (subtotal)				
<i>International, senior experts</i>				
Expert 1 (name)				
Expert 2 (name)				
Etc.				
<i>International, intermediate experts</i>				
Expert 3 (name)				
Expert 4 (name)				
Etc.				
<i>Local experts</i>				
Expert 5 (name)				
<i>Other personnel</i>				
Personnel 6				
Travels: (subtotal)				
<i>International flights</i>				
<i>Local transportation</i>				
<i>Other travel expenses (visa...)</i>				
<i>Subsistence allowance (DSA)</i>				
Other expenses: (subtotal)				
<i>Telecommunications</i>				
<i>Workshop expenses</i>				
<i>Translations, editing, printing...</i>				
<i>Others (to be described)</i>				
Overhead (indirect, administrative costs)				
Grand Total				