

Inception Report for Evaluation of UNICEF Sudan Country Office's Emergency Preparedness and Response System

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Commissioning Organisation	UNICEF Sudan
Period Covered by the Evaluation	2020 -2021
Intended Users	<ul style="list-style-type: none">• UNICEF Sudan Country Office (SCO), Regional Office (RO) and Head Quarters (HQ);• Government of Sudan (GOS); other UN agencies and• UNICEF SCO's implementing partners.
Prepared by	Farai Magombedze (Email Address: fjmagombedze@gmail.com mobile number: +263 772 749 214)

'Our research ... indicates that on average every \$1 spent on preparing is worth more than \$2 in the emergency response, and that preparedness saves responders over a week of operational time – doubling the impact of donors' and taxpayers' contributions.'

... Afshan Khan, Director – Office of Emergency Programmes, UNICEF.

Abbreviations

AMP	Annual Management Plan
AoR	Area of Responsibility
AWD	Acute Watery Diarrhoea
AWP	Annual Work Plan
CCC	Core Commitments for Children in Humanitarian Action
CDA	Civil Defence Act
COVID-19	Corona Virus Disease of 2019
EMOPS	Emergency Operations Office
EPP	Emergency Preparedness Platform
EPR	Emergency Preparedness and Response
FGD	Focus Group Discussion
FO	Field Office
GOS	Government of Sudan
HAC	Humanitarian Action for Children
HDI	Human Development Index
HQ	Head Quarters
Ips	Implementing Partners
KII	Key Informant Interviews
MENARO	Middle East and North Africa Regional Office
NCCD	National Council for Civil Defence
OECD-DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee
RIP	Risk Informed Programming
RO	Regional Office
RVF	Rift Valley Fever
SCO	Sudan Country Office
SitAn	Situation Analysis
TOR	Terms of Reference
UNEG	United Nations Evaluation Group
UNICEF	United Nations Emergency Fund for Children

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1.0 Introduction

1.1 Overview

1. For nearly seventy years¹, UNICEF has been implementing humanitarian and development programmes for children and mothers in Sudan, saving lives and contributing to fulfilment of the rights of girls and boys. Throughout this protracted presence, cyclical recurrence of predictable emergencies remained a constant, threatening lives and livelihoods, rendering the need for emergency preparedness and response crucial. Accordingly, establishment, maintenance and continuous improvement of Emergency Preparedness and Response Systems have been key priorities for UNICEF Sudan Country Office, to which massive investments have been made. Similarly, with emergencies repeatedly threatening to result – or actually culminating – in reversal of socio-economic gains made over decades, the need to build resilience of people in vulnerable situations and reduce their exposure and vulnerability to disasters has continually increased, more so in line with Sustainable Development Goal 1².
2. With massive investments being made in emergency preparedness at country and global levels, the need for accountability has been heightened. Further, with emergency preparedness and response system being a multi-sectoral, interdisciplinary endeavour – one which naturally requires an ecosystem as opposed to a silo approach – there is an increased need to document lessons learned with regards to what works and what does not in effectively preparing for and delivering responses while coordinating internally and externally to avoid gaps or duplication. In this light, evaluation of emergency preparedness and response systems has increasingly gained importance.
3. It is against this background that UNICEF Sudan Country Office (SCO) commissioned an independent evaluation of its emergency preparedness and response system in order to assess the system's appropriateness, efficiency, effectiveness, coordination, coherence, coverage and connectedness.
4. This document is a draft inception report for evaluation of UNICEF Sudan Country Office's (SCO) Emergency Preparedness and Response System. Its purpose is to articulate the overall approach, methodology, data collection strategy and timeline for the evaluation.
5. The report is organised in six sections. The first section is an introduction. It outlines the purpose of the inception report and gives a brief description of the pre-inception activities already completed. In the second section, an analysis of the context in Sudan is given with a focus on the extent to which it has a bearing on the occurrence of shocks and stresses, the exposure and vulnerability of girls, boys, women and men to these hazards as well the emergency preparedness and response capacities of the Government of Sudan (GOS), UNICEF Sudan Country Office and other key stakeholders. An outline of Emergency Preparedness and Response Systems is then given. The third section provides the purpose, scope and objectives of the evaluation, refining the provisions of the Terms of Reference (TOR) (Annex 2). The fourth section

¹ UNICEF started operating in Sudan in 1952.

² SDG 1, target 1.5 focuses on resilience building.

details the methodology for the evaluation while the fifth provides a work plan for the evaluation. The final section provides annexes to the report.

6. Several activities have been done prior to compilation of this report. An online kick-off meeting was held on 1st December 2021. Thereafter, UNICEF shared a repository of documents for the initial informal review³. The consultant, in turn, has done initial review of the documents shared, inception interviews with selected key informants (see list in annex 4), stakeholder analysis (see annex 6 for a list of stakeholders) construction of a rudimentary Logic Model for the UNICEF Sudan Country Office Emergency Preparedness System as well as development of an evaluation matrix, data collection tools and a work plan for the evaluation.
7. The inception interviews provided inputs to the scope of this evaluation. Key issues that emerged during the scoping process are highlighted in this report.

1.2 Emerging Issues

8. The inception interviews (mentioned in paragraph 6 above) elicited UNICEF SCO's views with regards to whether scope and/ or objectives of the evaluation had changed considering that the kick-off meeting and evaluation inception were done two months after the initial intended time for commissioning of the evaluation⁴. Key adjustments suggested included:
 - i. Increased geographical scope: White Nile State and Sennar were added to the three states (Blue Nile, Kassala and North Darfur) that were initially listed as the target geographical locations for inclusion in the evaluation;
 - ii. Changed temporal scope: Instead of a temporal scope covering 2019 and 2020, the temporal scope was changed to 2020 and 2021 considering that response to the 2020-2021 floods provided an ample opportunity to capture strengths and weaknesses in emergency preparedness and response with less recall bias as memories are still fresh in the respondents' minds;
 - iii. A major development in the political context of Sudan, which took place after the TOR for this evaluation had been finalised, was the military takeover of government which occurred on the 25th October 2021. The takeover dashed hopes of progress towards civilian-led democratic governance and dented donor and UN trust of government structures, especially as it relates to channelling humanitarian and development funds through government structures. With trust in government structures now dented, UN and other agencies have begun an exploration in consideration of alternative implementation modalities. Consequently, UNICEF used the TOR clarification process to highlight a need for the evaluation to carefully consider implementation modalities that would suit the new, rather evolving context; and
 - iv. Broadened assessment of Connectedness criteria: the evaluation should go beyond assessing the extent to which preparedness contributed to development

³ Key documents in the repository included -among others – Evaluation TOR, Emergency Preparedness Plan for Sudan Country Office, Humanitarian Action for Children (HAC) Plans and the UNICEF evaluation Policy (E/ICEF/2018/14).

⁴ The evaluation was supposed to start in October 2021. However, it could not kick-off until December 2021 as processes were briefly interrupted by the declaration of a State of Emergency in Sudan on the 25th October 2021 and the subsequent protracted popular displeasure and unrest.

- and peace building outcomes. Instead, the evaluation should assess the contribution of preparedness to Risk-Informed Programming. Also, the need to include an assessment of the extent to which UNICEF SCO Emergency Preparedness and Response System had contributed to building Resilience of vulnerable children and their households was added as a point for consideration.
- v. Keeping the bigger picture in mind: The SCO emergency preparedness and response system evaluation should (in particular) focus on preparedness and response to flooding emergencies while – as much as possible – still being able to inform SCO's preparedness and response to epidemic, armed conflict and other emergencies (in general).
 - vi. Effect of inter-agency coordination on rapidity of response: The evaluation should closely examine issues of inter-agency coordination mechanisms currently existing in Sudan to determine if they enable or hinder timely response to flooding emergencies with a view to considering alternative mechanisms in the event that the current inter-agency coordination mechanisms are deemed ineffective. This has been reflected in sharpening of the evaluation question under coordination.
 - vii. Importance of beneficiary perspectives: The secondary documents available reflect grassroots participation in emergency preparedness and response activities. However, they do not adequately cover beneficiary perspectives with regards to the processes and results of UNICEF Sudan's emergency preparedness and response system. As such, UNICEF Field Offices will be conducting discussions with beneficiaries to gather feedback on for example, the timeliness of flood response, level of needs met, etc., in parallel with this evaluation as part of their accountability to affected populations (AAP). The consultant will use data gathered from UNICEF's AAP activity to reflect beneficiary perspectives in the evaluation.
9. The net effect of the emerging issues was to widen and deepen the scope of the evaluation. The increase in the number of states from three to five implies the need for a higher level of effort than previously anticipated: more documents now have to be reviewed and more stakeholders have to be interviewed. The volume of (qualitative) data to be analysed by the consultant has increased. In addition, the depth of analysis for selected evaluation criteria has been increased through specification of some areas of interest to SCO which had gone unspecified in the TOR (please refer to paragraphs 8iv through 8vi above).
 10. The widening and deepening of the scope of the evaluation implies increased level of work and time to accomplish the evaluation mission. Thirteen additional working days will be needed to get the work done. In this regard, a cost extension of the consultancy contract is requested.

2.0: Context

2.1 Sudan Country Context

11. There is a complex crisis in Sudan. The crisis has generated food insecurity, malnutrition, and a lack of access to basic services. Out of a total estimated population of 46.4 million in 2021, 13.4 million people are in need and 4.836 are displaced⁵. The proportion of people in need of assistance in Sudan increased by 44%, from 9.3 million in 2020 to 13.4 million in 2021 and is projected to further increase to 14.3 million in 2022 (57% women, 55% children and 15% people with disabilities)⁶. The direct effects of this crisis on women and children include injuries, illness and death while indirect effects include disruption of livelihoods, reversal of socio-economic gains and entrenchment of poverty.
12. Sudan is a fragile state, ranked eighth on the 2021 Fragile States Index.⁷ It is riddled with conflict, conflict induced irregular migration, and an ever-escalating refugee crisis. After independence, the country has frequently experienced internal conflicts. It had a Human Development Index (HDI) of 0.51 in 2020 and more than half (52.3%) of its population living in multidimensional poverty.⁸ On the 2021 Global Peace Index, Sudan sits on number 153 out of 163, the lowest such ranking it has ever had since 2014.⁹ The secession of South Sudan in 2011 induced a raft of socio-economic shocks with a domino effect in Sudan: loss of oil revenue, reduced economic growth, double digit inflation rate, increased prices of fuel and violent protests.
13. The country has repeatedly experienced emergencies. Floods, droughts, diseases, economic deterioration as well as ethnic conflict and violence have repeatedly affected people's lives. COVID-19 and - more recently - civil unrest following a military takeover of government on the 25th October 2021 have worsened the situation. Against a backdrop of weak capacity and worsening poverty levels, interaction of exposure and vulnerability to hazards has frequently led to high numbers of deaths, injuries, illnesses and disabilities. Consequently, Sudan has over the years been rated as a high-risk country (with a 2021 risk index of 6.4 out of 10)¹⁰ on the INFORM Global Risk Index (GRI). With high disaster risk and multiple vulnerabilities being typical of Sudan, the country has consistently been rated a high-risk country and currently is ranked the 15th high disaster risk country in the world.
14. In 2020 alone, the Sudanese authorities declared a state of emergency three times. In March, COVID-19 health emergency was declared; in September, the authorities declared emergency in one state due to floods; and in another in view of economic challenges. There is a clear indication of high frequency and quick succession – and in some cases, concurrent occurrence – of emergencies, rendering the Sudanese emergency landscape a complex crisis.

⁵ <https://www.acaps.org/country/sudan/crisis/complex-crisis>

⁶ HNO 2022 https://reliefweb.int/sites/reliefweb.int/files/resources/Sudan_2022_HNO_En.pdf

⁷ https://en.wikipedia.org/wiki/List_of_countries_by_Fragile_States_Index

⁸ <http://hdr.undp.org/en/countries/profiles/SDN>

⁹ https://en.wikipedia.org/wiki/Global_Peace_Index

¹⁰ European Union (EU) Disaster Risk Knowledge Management Centre (DRKMC). 2021. *DRMKC – INFORM Country Profile* (<https://drmkc.jrc.ec.europa.eu/inform-index/INFORM-Risk/Country-Profile>) accessed on 17.10.2021.

15. Nile River and flash floods remain a threat. From 1990 to 2014, river floods comprised 73% of all disasters Sudan experienced.¹¹ In 2020, Sudan experienced the worst flooding in 100 years.¹² The magnitude and impacts of the floods were unprecedented: they affected nearly 900,000 people and left 140 dead. Children were not spared as nearly 60% of those affected were children. Ninety-four thousand homes were destroyed, 83,000 homes were damaged, and 2.2 million hectares of agricultural land were flooded¹³. Flood-related damages amounted to over 3.34 billion.¹⁴ The flooding exacerbated the already fragile situation as the country faced the COVID-19 pandemic. Due to poor drainage systems, flood waters formed stagnant pools in various places. These pools became breeding grounds for waterborne and vector borne diseases such as Chikungunya, Cholera, Dengue fever, and rift valley fever. While Sudan was yet to fully recover from the impact of the 2020 flooding, it was hit by 2021 floods. By the 29th September 2021, the 2021 flooding had affected 314,547 people, destroyed 15,541 homes and damaged 46,546 others. Thus, floods remain a recurrent hazard in Sudan.
16. There is high risk of communicable diseases in Sudan. Cholera, Acute Watery Diarrhoea (AWD), measles, Rift Valley Fever (RVF), dengue fever and Chikungunya often threaten the well-being – and indeed lives – of vulnerable people. More than 30,000 cases of AWD were reported in 2017. Reported cases of measles increased from 589 in 2017 to 2,076. Since 2018 WHO/GOS reported 48,193 cases of Chikungunya across the country while in 2019, 340 cases of cholera were reported. Currently COVID-19 has exacerbated the situation.
17. The Government of Sudan (GoS) has shown commitment to establishing institutional structures and mechanisms for disaster management. Its Civil Defence Act (CDA) of 2005 provides for establishment of the National Council for Civil Defence (NCCD) as the highest organ for disaster management. The NCCD is headed by the Minister of Interior and every line ministry has a representation therein. The NCCD is the main decision-making body during emergencies and adopts the disaster management policies for the Country.
18. Humanitarian response is coordinated by the Humanitarian Action Commission. The Humanitarian Action Commission is a government entity with structures extending from national to state levels. All non-state agencies providing assistance in Sudan have to sign an agreement with and commit to abide by the conditions set by the Humanitarian Action Commission.

¹¹ World Bank Climate Change Knowledge Portal

(<https://climateknowledgeportal.worldbank.org/country/sudan/vulnerability>) accessed on 17.10.2021

¹² OCHA Services, Reliefweb. September 2021. Sudan Situation Report, 29 Sep 2021

(<https://reliefweb.int/report/sudan/sudan-situation-report-29-sep-2021>). Accessed on 17.10.2021

¹³ Ibid

¹⁴ Government of Sudan, March 2021. *Sudan Rapid Post Disaster Needs and Recovery Needs Assessment (Rapid PDNRA)*. Khartoum, Government of Sudan.

19. Despite the commitment to disaster management, a recent study¹⁵ found that Sudan has significant weakness in policy and legislative architecture, vis-a-vis coordination among multiple public organisations and departments that play a critical role in disaster management and a risk of bureaucracy and duplication that could hamper coordinated response.
20. It is in this context that the United Nations International Emergency Fund for Children (UNICEF) Sudan Country Office (SCO) established an Emergency Preparedness System to enable delivery on its Core Commitments for Children in Humanitarian Action (CCC) in a timely and effective manner. In view of the high frequency of emergencies due to intra-state conflict, climate change and pandemics that are likely in the foreseeable future, with potentially higher impact on children, it is crucial that UNICEF be optimally prepared so as to minimize loss of life, reduce human suffering, and realize children's rights when emergencies occur.

2.2 UNICEF Country Office (CO) Emergency Preparedness Systems

21. UNICEF country office preparedness systems are based on provisions of the UNICEF Procedure on Preparedness for Emergency Response, 2016 Guidance Note on Preparedness for Emergency Response in UNICEF, and Core Commitments for Children in Humanitarian Action (CCC). Putting normative preparedness procedures into action enables UNICEF to deliver on the CCCs.
22. According to the UNICEF Procedure on Emergency Preparedness document, emergency preparedness comprises the *'mechanisms and systems put in place in advance to enable an effective and timely emergency response to humanitarian crises, based on the analysis of risks in a particular context, taking into account national and regional capacities and UNICEF's comparative advantage.'*¹⁶
23. Preparedness is regarded as focusing on strengthening UNICEF, Government and Partners' capacities, mechanisms and systems for timely and effective response and considered a cog in the machinery of Risk Informed Programming (RIP). Where RIP includes development approaches to address children's vulnerabilities, reduce their exposure to hazards and strengthen systems and infrastructure, short-term emergency preparedness comprises activities to get ready to support authorities and civil society in responding to a crisis.
24. UNICEF, however, recognises and uses two approaches to emergency preparedness: the long-term and the short-term. Long-term emergency preparedness involves carrying out a risk analysis as part of the Situation Analysis (SitAn) every five years, focusing on the capacities of state and federal government structures and systems, national partners, humanitarian agencies and communities in addition to analysing children and women's exposure and vulnerability to determine residual risk which the country faces and to which UNICEF should be prepared to respond. On the other

¹⁵ International Federation of the Red Cross and Red Crescent Societies, 2019. **International Disaster Response Law in Sudan**. Geneva, Switzerland. (https://disasterlaw.ifrc.org/sites/default/files/media/disaster_law/2020-09/IDRL_SUDAN_ONLINE.pdf). Accessed on 13.12.2021

¹⁶ What 'preparedness' entails is contentious. There is no unanimously agreed definition of what constitutes preparedness among scholars. This evaluation evades academic discussion around the term 'preparedness' but instead adopts this definition from UNICEF's corporate procedure document 'as is'.

hand, the short-term emergency preparedness approach entails UNICEF offices following an annual four-step emergency preparedness planning process to prepare to respond to priority risks in their context and then taking appropriate actions on the basis of the planning outputs.

25. Aspects of a CO's emergency preparedness and response system that are of interest to this evaluation include country-level Annual Emergency Preparedness Planning (a four-step process which includes risk analysis, scenario definition, key elements of UNICEF Response, and preparedness actions), contingency planning, resource mobilisation and allocation (human, material and financial, including pre-positioning of supplies, pre-signing of LTAs, etc.), creating partnerships for emergency preparedness and response, self-assessment against the Minimum Preparedness Standards (MPS) and identifying preparedness actions. Developing Humanitarian Action for Children (HAC) appeals, technical assistance to improve GOS's and partners' capacity, participation in inter-agency response activities as well as UNICEF's leadership and coordination of its areas of responsibility (AoR) during both cluster-level preparedness planning and actual emergency response are also key aspects of the preparedness system that will be examined during this evaluation.
26. Central to UNICEF's emergency preparedness system is the use of its emergency preparedness platform (EPP). The EPP is a collection of documents, narratives and templates which all countries are obligated to draft, review and update. These perform three functions 1) the process of developing them guides thought around preparedness itself and what preparedness activities an office should take before an emergency, 2) they allow us to evaluate the office's preparedness so that gaps can be addressed before an emergency hits, and 3) they provide quick references in the case of an emergency so that as much work as possible is already completed when an emergency hits.
27. The EPP platform is a depository for many templates. It also includes guidance and explanations of key processes. The EPP is comprised of two streams: 1) understanding the scenarios, risks and how we are likely to address them in a narrative form; and 2) Minimum Preparedness Standards (MPS), which is divided into 7 categories: 1) Emergency Management, 2) Coordination, 3) Staff, 4) Supply and Logistics, 5) Cash, 6) Partners, and 7) Advocacy, Communication and Resource Mobilization.
28. Over time, it has become clear that state level preparedness plans are needed and more useful compared to national preparedness plans, mostly due to the types of emergencies that either persist or emerge and the variety and distance between states. The Sudan Country Office now has decentralized EPP to all Field Offices (FO). Each FO is expected to review their risks and scenarios and go through the process of filling in as many of the MPS templates as possible to ensure preparedness is captured and is reviewable.
29. To support visualisation of the key components of SCO's emergency preparedness system, a schematic representation (logic model) of the system was developed based on the review of UNICEF Procedure on Preparedness for Emergency Response, findings of emergency preparedness evaluation reports for other organisations and (more importantly), findings of the 2013 global evaluation of the UNICEF's Emergency

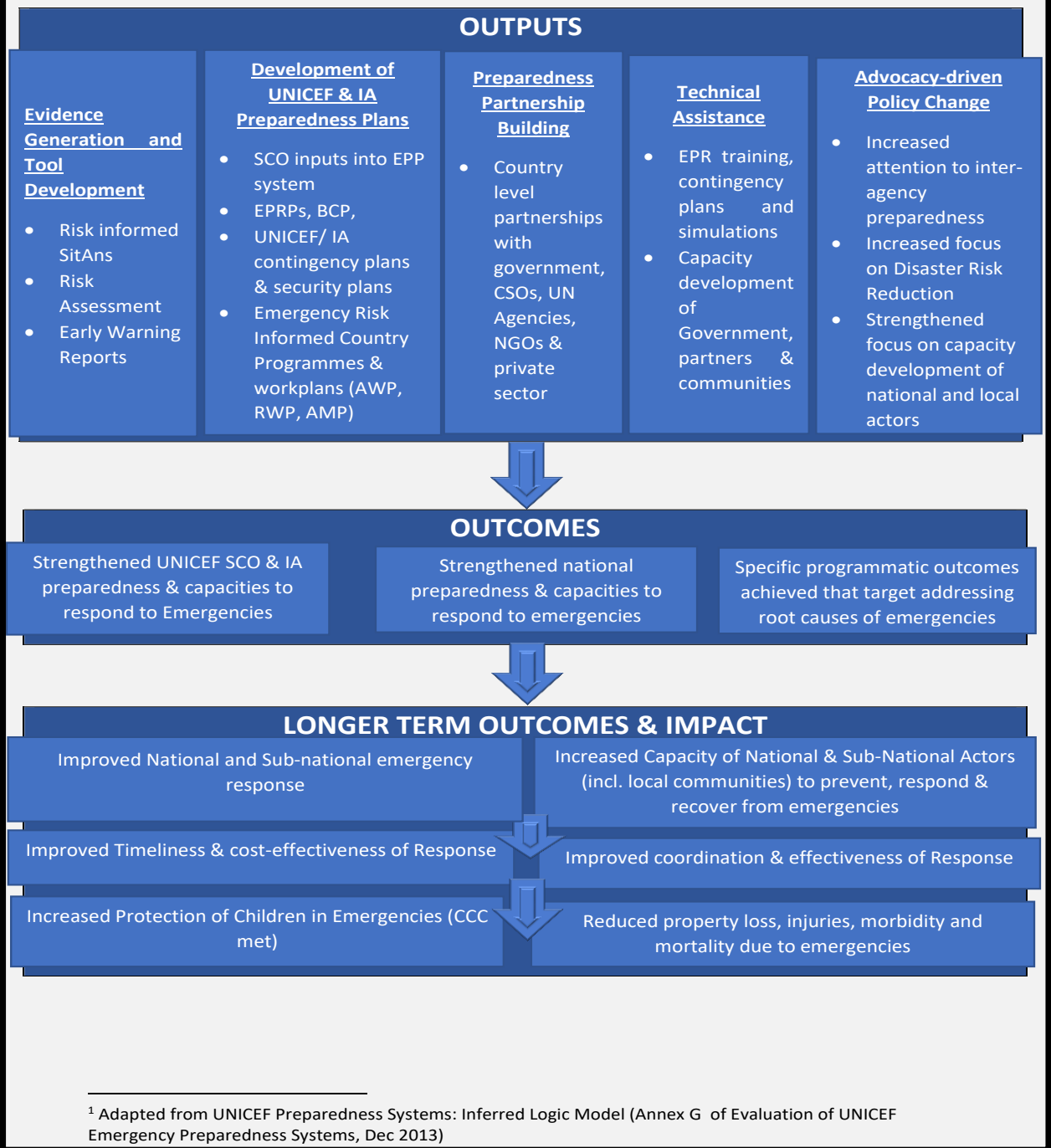
Preparedness systems (fig 1¹⁷). The logic model illustrates how emergency preparedness outputs are expected to translate into higher likelihood of delivering on Core Commitments for Children in Humanitarian action. This rudimentary logic model will be used to inform the assessment of SCO's preparedness system, and improved with UNICEF input during the evaluation.

30. The basic assumption implicit in all efforts to improve emergency preparedness is that heightened preparedness improves timeliness, cost-effectiveness, strength and quality of response when emergencies occur. Further, when emergencies occur and the threshold for response¹⁸ is reached, actors do revert to look at the elements of their preparedness system and perform the actual response on the basis of pre-determined preparedness elements. This is the basic premise for developing and maintaining preparedness systems (although the assumptions do not always hold to be true).

¹⁷ Adapted from UNICEF Preparedness Systems: Inferred Logic Model (Annex G of Evaluation of UNICEF Emergency Preparedness Systems, Dec 2013)

¹⁸ In Sudan, any emergency that affects less than 2000 households (or 10 000 people) in a particular location is regarded within government capacity to respond. The threshold for UNICEF and other partners to intervene is at least 2000 households (10 000 people) affected with a given location.

LOGIC MODEL FOR UNICEF SUDAN COUNTRY OFFICE'S (SCO) EMERGENCY PREPAREDNESS AND RESPONSE SYSTEM¹



The model considers *increased protection of children in emergencies* alongside *reduced property loss, injuries, morbidity and mortality due to emergencies* as the highest-level results to be attained when SCO's preparedness systems are improved. These are premised on *improved timeliness and cost-effectiveness of response* and *improved coordination and effectiveness of response*. *Increased capacity of national and sub-national actors (including local communities) to prevent, respond and recover from emergencies* will be required in order to buttress these other longer-term outcomes and impact. At the level

of outcomes, three critical results should be attained as pre-conditions for attainment of the longer-term outcomes and impact. These include (i) *Strengthened UNICEF SCO and interagency (IA) preparedness and capacity to respond to emergencies*, (ii) *strengthened national preparedness and capacities to respond to emergencies* and (iii) *specific programmatic outcomes achieved that target root causes of emergencies*. For these outcomes to occur (courtesy of SCO's preparedness), the preparedness system should have delivered outputs in five categories namely: (i) *Evidence generation and tool development*; (ii) *development of UNICEF and interagency preparedness plans*; (iii) *preparedness partnership building*; (iv) *Technical Assistance* and (v) *advocacy driven policy change*.

3.0 Understanding of the Terms of Reference: Evaluation of SCO Emergency Preparedness and Response System

31. In December 2021, the United Nations International Children's Emergency Fund (UNICEF) formally commissioned an independent evaluation of the Sudan Country Office (SCO)'s emergency preparedness and response system. Initially intended to begin in September/ October 2021, the evaluation was delayed due to the political disturbances and popular unrest that affected Sudan in the wake of a declaration of a state of emergency on the 25th October 2021.

3.1 Purpose of the Evaluation

32. The purpose of this evaluation is to assess the extent to which UNICEF SCO is well equipped and prepared to respond to sudden onset emergencies and provide recommendations for improving country level emergency preparedness, response and planning for recovery after sudden onset emergencies for UNICEF in Sudan and similar contexts.

33. The evaluation is being done for accountability and learning. It will serve as a tool for accountability primarily to UNICEF SCO itself but also to other stakeholders including - *inter alia* – the Government of Sudan (GOS), funding partners, other United Nations Agencies, Implementing Partners (IPs) and vulnerable communities affected by emergencies in Sudan. It will identify lessons which – it is hoped – will help inform strengthening of SCO preparedness systems.

3.2 Objectives of the Evaluation

34. The general evaluation objective is to examine, as systematically and objectively as possible, the appropriateness, efficiency, coordination, coherence, coverage, effectiveness and connectedness of UNICEF Sudan Country Office's emergency preparedness system. Its two specific objectives are to:

- i. Assess the appropriateness, efficiency, coordination, coherence, coverage, effectiveness and connectedness of UNICEF SCO's emergency preparedness system; and
- ii. Identify and document lessons to strengthen the future preparedness levels of UNICEF Sudan Country Office.

3.3 Users of the Evaluation

35. The intended primary users of this evaluation are:

- i. UNICEF Sudan Country Office (SCO), Regional Office (RO) and Head Quarters (HQ);
- ii. Government of Sudan (GOS); other UN agencies and
- iii. UNICEF SCO's implementing partners.

36. UNICEF Sudan Country Office will use the evaluation process as an opportunity for reflection on the strengths and weaknesses of their Emergency Preparedness System. Such reflection will in turn help SCO leverage on the current strengths of its preparedness system. Identification of lessons learnt and good practices developed that will be done during this evaluation will contribute to SCO's learning and knowledge management agenda. Also, the evaluation findings, lessons learnt and recommendations will help SCO and partners to sharpen their preparedness systems.
37. RO and HQ will benefit from an objective identification of where their support to SCO may need to be strengthened. For instance, the evaluation will make gaps that need to be filled clear to RO and HQ and hence – in a sense - serve as a support needs assessment. As such, the findings are expected to help strengthen RO and HQ's oversight and support to SCO's preparedness and response system.
38. The Government of Sudan will use the evaluation as a confidential process for providing feedback to UNICEF with regards to its emergency preparedness and emergency response activities as well as to learn lessons.

3.4 Scope of the Evaluation

39. The evaluation will primarily focus on UNICEF SCO's preparedness and how this has affected the implementation of flooding responses. It is clear that Sudan's emergency landscape is complex, and the spectrum of emergencies that may happen is wide. The focus on evaluating how UNICEF SCO's preparedness has affected flooding response was chosen as a way of pinning down the evaluation to a scope that can be achieved given the available time and budget for the evaluation. Also, flooding response appeared evaluable considering the availability of a substantial number of flooding response assessment reports that can be reviewed during this evaluation. After this evaluation, subsequent similar evaluation missions may then look at other emergencies, taking findings and lessons that will be identified during this evaluation into consideration.
40. The analysis will take into consideration gender and equity issues. The scope includes UNICEF's leadership of the clusters, their coordination with other actors, coherence with other sectors and implementation. While realising that UNICEF SCO does not work alone but delivers in an ecosystem, the evaluation is mainly inward looking having its main thrust on the CO's preparedness system. This is because UNICEF's primary accountability is to itself. Although a dotted 'accountability ceiling' may cover partners and stakeholders, the solid 'accountability' ceiling for UNICEF's emergency preparedness covers aspects that largely lie within UNICEF's control.

3.4.1 Geographical Scope

41. The evaluation will focus on five states: (i) Blue Nile; (ii) White Nile; (iii) Kassala; (iv) North Darfur; and Sennar. These states have experienced flooding through flash floods or Nile floods over the period 2020 to 2021 and, hence, offer ample opportunities to study how preparedness affected flooding response. For example, during the 2020 floods – which have been dubbed the worst in a century – North Darfur and Sennar were two among the three states in which a third of all the people affected were. Further, Blue Nile, Sennar and Kassala were three of the four states that were most affected in terms of damage to planted area.

42. Besides the high magnitude of the 2020 floods in Sennar state, Sennar is also of interest to this study considering the effects of access-related challenges on response efforts and how increased preparedness could mitigate the effects of these challenges.

3.4.2 Temporal Scope

43. The evaluation focuses on SCO’s emergency preparedness in general but effectiveness of the preparedness system will be assessed through UNICEF’s response to rapid onset emergencies – particularly floods – in Sudan over the period 2020 -2021. This narrow temporal scope, casted in the recent past and current time is expected to minimise recall bias. Sudan experienced flooding emergencies of varying magnitude over these three consecutive years and reports of response to these emergencies are available.

3.5 Evaluation Criteria and Questions

44. The evaluation is based on OECD-DAC criteria. The OECD-DAC criteria chosen for this evaluation are appropriateness, efficiency, coordination, coherence, coverage, effectiveness and connectedness. These have been chosen considering the scope for strengthening SCO Emergency preparedness and response that is expected to occur based on the findings of assessing each of these. Table 1 below provides this evaluation’s operational definitions of these criteria.

45. The evaluation does not focus on impact as this would not be feasible given the time and resource constrains within which the evaluation has to be accomplished. Also, there are always challenges with assessing attribution/ contribution of long-term effects of preparedness systems which would better be tackled by a team of evaluators as opposed to a single evaluator considering the higher risk of bias associated with each evaluator’s (or evaluation team member)’s frame of reference. Instead, this evaluation has summative and formative intentions: the summative evaluation intention is to take stock of how preparedness informed response to floods over the period 2020 to 2021 while formative dimension seeks to identify lessons learnt and proffer recommendations for improving the SCO emergency response system.

46. Similarly, the evaluation does not focus on sustainability as would generally be expected for humanitarian interventions. Instead, concerns related to sustainability will captured under the *connectedness* criterion as briefly outlined in table 1 below.

Table 1: Operational Definition of Evaluation Criteria

Criteria	Operational Definition
Appropriateness	Degree of fit between SCO emergency preparedness system to the context at state and federal levels as well as extent of its adequacy for the depth and breadth of its purpose.
Efficiency	Assessment of the extent to which time, information, material, financial and human resources are economically used in SCO’s Emergency Preparedness and Response Systems and consideration of whether there are more cost-effective alternatives that could be adopted.

Effectiveness	The extent to which UNICEF SCO's establishment, operationalisation and strengthening of emergency preparedness systems has contributed to stronger, timelier responses to flooding emergencies and, in turn, minimized human sufferings and loss of lives and livelihoods and in general improved results for children – in line with CCC - in selected states ¹⁹ of Sudan.
Connectedness ²⁰	The extent to which (<i>the humanitarian</i>) SCO emergency preparedness activities link to long-term development, resilience building, peace building and UNICEF's <i>Risk Informed Programming</i> (RIP) in general.
Coordination	The extent to which UNICEF's hierarchical echelons contributed to, or militated against, SCO preparedness at country and state levels, the extent to which SCO's leadership in its areas of responsibility contributed to/ hindered inter-agency preparedness as well as inter-agency coordination structures contributed to SCO preparedness
Coherence	The extent to which preparedness planning aligns with other country strategies, programmes and plans as well as the degree of fit and leverage among UNICEF SCO's, inter-agency and implementing partners' emergency preparedness systems and activities.
Coverage	The extent to which SCO's preparedness system has supported equitable emergency response and enabled that the rights of hardest to reach, the most disadvantaged and least powerful segments of target populations are considered during preparedness planning and actual emergency response.

47. Table 2 below shows the questions that will be addressed under each criterion (as given in the terms of reference and modified through discussions during TOR clarification processes at inception phase).

Table 2: Evaluation Criteria and Questions for the UNICEF SCO Emergency Preparedness Evaluation

CRITERIA	QUESTIONS
Appropriateness	<ol style="list-style-type: none"> 1. <ol style="list-style-type: none"> i. How “fit for purpose” is UNICEF SCO preparedness system for capturing key contextual factors that influence the likely impact of emergencies? ii. How well informed are the preparedness (and response) processes by solid hazard analysis²¹? 2. <ol style="list-style-type: none"> i. To what extent does SCO's preparedness plan constitute a necessary and sufficient set of activities that need to be undertaken in order for UNICEF (and its partners) to be as prepared as possible for an emergency? ii. What, if anything, is missing? What if anything is redundant?
Efficiency	<ol style="list-style-type: none"> 3. To what extent has UNICEF SCO utilized (i) human and (ii) financial resources in the response in the most economical manner to achieve its objectives?

¹⁹ Selected states here refers to those within the geographical scope of this evaluation. These are Blue Nile, White Nile, North Darfur, Kassala and Sennar

²⁰ Usually considered from a triple (humanitarian-peace-development) nexus perspective.

²¹These include, most prominently, such preparedness exercises as SitAns, regular EW updates in EPP, Vulnerability and Capacity Assessments, Comparative Risk Assessment, and so on.

	<p>4. How effectively has the starting point for preparedness – information and knowledge- been harnessed for maximum preparedness?</p> <p>5. i. What, if any, of UNICEF SCO’s preparedness outputs and activities are particularly high value-for-money in light of response time and cost savings? ii. Which are potentially low value-for-money? what cost-effective alternatives should be considered?</p>
Effectiveness	<p>6. To what extent has the preparedness process informed the response?</p> <p>7. What, if any, evidence is there that heightened preparedness resulted in a timelier response?</p> <p>8. What, if any, evidence is there that heightened preparedness resulted in a strengthened response and / or lowered risk and vulnerability to the impact of hazards, and helped minimize loss of life and human suffering?</p> <p>9. What, if any, evidence is there of preparedness contributing to UNICEF meeting quality standards as specified in the CCCs?</p> <p>10. How well understood and applied are the various aspects of preparedness by key partners (e.g pre-positioning of supplies, ensuring procedures or fast-tracking staff deployment, training and simulation etc)?</p> <p>11. How have beneficiaries been affected by preparedness action?</p>
Connectedness	<p>12. i. How well does UNICEF SCO preparedness contribute to and relate to Risk Informed Programming Outcomes? ii. To what extent has UNICEF SCO applied a ‘nexus approach’ in emergency preparedness and response activities.</p> <p>13. To what extent have UNICEF’s SCO preparedness interventions supported its commitment under the CCCs to strengthen national capacity?</p>
Coordination	<p>14. How do the different layers of UNICEF offices contribute to preparedness for responses in Sudan?</p> <p>15. To what extent has UNICEF SCO’s preparedness contributed to inter-agency coordination structures (e.g clusters) and response approaches/ mechanisms? Conversely, to what extent have inter-agency coordination structures and response approaches/mechanisms contributed to UNICEF SCO’s preparedness?</p>
Coherence	<p>16. What has been UNICEF’s added value to and from inter-agency and implementing partners’ preparedness efforts?</p> <p>17. To what extent was preparedness connected to broader programming and plans?</p>
Coverage	<p>18. How explicitly has UNICEF sought to identify the likely impact of various emergency scenarios on the most vulnerable, children’s and women’s rights?</p> <p>19. How much forethought has UNICEF given to identifying where pockets of the hardest-to-reach in emergencies will be and preparing to reach these in the event of an emergency and advocating for equity in its preparedness efforts as part of its national capacity development and upstream activities?</p>

4.0 Overarching Approach and Methodology

4.1 Overarching approach

48. Evaluation of SCO emergency preparedness system will be based on UNEG Norms and Standards for evaluation and guided by relevant UNEG²² and UNICEF evaluation guidance materials²³. **Methodological rigour** will be applied to ensure that the most appropriate sources for answering questions in table 1 are used in an appropriate manner. The evaluation will employ a **consultative approach** to ensure participation of a wide spectrum of stakeholders and capture a diversity of perspectives which will be triangulated to obtain credible findings. Broad-based stakeholder involvement is expected to contribute to ownership, relevance, credibility and use of the findings. Constant consultation with the evaluation managers and the steering committee will also help ensure that evidence collected and analyses made are factually accurate. However, utmost **independence** will be maintained throughout the evaluation to ensure that the evaluation stands solely on the basis of solid and impartial analysis of evidence without undue influence of any key stakeholder group. Buttressing the evaluation on **methodological rigour, a consultative approach** and **independence** is expected to naturally culminate in **credibility** of evaluation findings, conclusions and recommendations which – it is hoped – will in turn lead to confidence of UNICEF SCO, RO and HQ in **utilisation** of the evaluation findings, conclusions and recommendations.
49. In general, the evaluation will compare UNICEF emergency preparedness for Sudan to its response to flooding emergencies in Sudan since *'the value of preparedness can only be tested against the quality of response.'*²⁴

4.2 Methodology

50. In line with a human rights and gender equality mainstreaming approach, mixed methods approach will be adopted with the most appropriate quantitative and qualitative methods being triangulated and the most appropriate documentary and perceptual evidence being gathered, analysed and synthesized to obtain credible answers to the evaluation questions in table 1 above. Quantitative methods will help to assess the extent of preparedness effectiveness (e.g. number of girls, women, boys and men reached by a flooding response within the first 3 – 7 days) while qualitative methods will help to explain how and why outcomes were (or were not) achieved (e.g. how and why certain population sub-groups may have benefited from the response better than others).
51. To avoid creating 'data graveyards',²⁵ only data that will help to answer the questions in table 2 and within the scope of the evaluation defined in section 3.4 above will be collected and analysed as objectively and systematically as possible and with as much rigour as may be attained in the available time for the evaluation. For instance, for assessment of effectiveness, the temporal inclusion criterion will be applied for the selection of emergency preparedness plans and flood response reports (i.e. 2020-

²² United Nations Evaluation Group (2016). *Norms and Standards for Evaluation*. New York: UNEG

²³ Such guidance materials include United Nations Evaluation Group Checklist for Evaluation Terms of Reference and Inception Report, United Nations Evaluation Group Checklist for Evaluation Reports and UNEG Guidance on integrating Human Rights and Gender Equality in Evaluation, among others

²⁴ This approach is adapted from the approach used during the Evaluation of UNICEF Emergency Preparedness and Early Response for Iraq (September 2001 – 2003)

²⁵ Huge quantities of data collected but not analysed or used in the evaluation value chain (beyond its mere collection)

2021), while the spatial inclusion criterion will be the geographical scope of the evaluation (namely Blue and White Nile, North Darfur, Kassala and Sennar states of Sudan) without necessarily excluding country level documents as they provide a necessary overview and shed light on SCO system-wide issues and the overall context.

52. Evaluation criteria will be the key building blocks of this methodology. The evaluation matrix (annex 5) provides further clarification of the methodology in line with the guidance in paragraph 64 of the UNEG standards.

4.3 Data Collection Strategy

53. The evaluation will be done remotely. Mobile communication and Virtual meeting technologies will be used for primary data collection. Secondary information sources will be accessed via internet (through a restricted access repository on UNICEF SharePoint, restricted access to EPP as well as document sharing via email).
54. Primary data collection for the UNICEF Sudan Country Office will target adults **only**, that is people who are **above 18 years** of age. Bluntly put, no direct interaction with children will be done during primary data collection for this evaluation.
55. For triangulation purposes, data will be collected using four methods: (i) desk review; (ii) UNICEF staff survey; (iii) key informant interviews and focus group discussions.

4.3.1 Desk Review

56. Data collection for this evaluation will be anchored in secondary literature review. Collation of data from secondary sources through the desk review process will enable the evaluation to benefit from information that is already available with subsequent primary data then being used to fill the gaps. A desk review guide (annex 6) has been developed for this evaluation. A two-tier desk review process will be done:
- i. **Informal Desk review** to understand UNICEF corporate guidance with regards to emergency preparedness.
 - ii. **Formal Desk Review** of documents within and outside UNICEF (including the UNICEF corporate guidance mentioned above) to collate and thematically analyse text to the extent that it serves to answer evaluation questions.
57. Key sources from which (secondary) data will be collated include UNICEF documents (e.g.EMOPS Preparedness Guidance Note, Emergency Preparedness Plans, Humanitarian Action for Children Documents), implementing partner programme documents and reports, joint assessment reports and inter-agency response plans as well as relevant GOS emergency preparedness policy documents and plans.

4.3.2 Key Informant Interviews (KII)

58. Online, Semi-structured KII (of about 60 minutes each) will be done with key stakeholders of this evaluation. The interviews will be used as an avenue for stakeholder engagement. Selected stakeholders from UNICEF RO, SCO and FO; other UN agencies, Implementing Partners, the Government of Sudan (GOS) and the Private Sector (e.g contractors) will be consulted through these KIIs. A list of key informants will be annexed to the evaluation report.
59. KII will be used for data collection during this evaluation considering their suitability for eliciting rich qualitative data such as stakeholder impressions and perceptions with regards to the performance of SCO's emergency preparedness system. Interviews also have the advantage of their suitability of drawing out information about cultural issues in target communities that could affect effectiveness of response positively or negatively. However, the downside of interviews is the possibility of some interviewees providing socially desirable answers (answers that they think align with the evaluator's

expectations) and also some interviewees' concerns over whether anonymity will be upheld). To minimise bias arising due to these factors, the KII will be used (not in isolation) but alongside desk review, UNICEF staff survey and FGDs for triangulation purposes. Also, ethical guidelines will be enacted and used throughout the evaluation in line with evaluation norms and standards.

4.3.3 UNICEF Staff Survey

60. A web-based UNICEF staff survey with regards to the appropriateness, efficiency, effectiveness, connectedness, coordination, and coverage of the SCO emergency preparedness system. A surveyCTO²⁶ based questionnaire will be sent to UNICEF RO, SCO and FO staff by (bulk) email. The respondents will fill and return the questionnaires to the consultant. The questionnaire will have both pre-coded quantitative questions and also qualitative questions. The questionnaire will be anonymous. However, respondent's position (e.g Emergency Specialist) and level of office (FO, SCO and RO) will be captured for analysis purposes. Confidentiality will be ensured.
61. In light of the amount of information that has to be collected and the time constraints within which this evaluation has to be done, this staff survey was chosen as it comes with such advantages as rapidity of data collection, ease of use by respondents as it will be self-administered, wide area coverage with respondents simultaneously providing data, uniformity of questions and high amenability to electronic analysis. Lack of depth, the main short-coming of pre-coded questions will be mitigated by including some open-ended questions on the same questionnaire but also through triangulating survey data with data from other sources.

4.3.4. Focus Group Discussions (FGD)

62. Six FGDs of about 90 minutes each will be done, one at SCO level and one for each of the five states that will participate in the evaluation. Each FGD will have six people. The six people will be divided into two sub-groups. Discussion templates will be sent to each sub-group at least seven days in advance. The sub-groups will work on their tasks in advance at their own time. For each sub-group, the consultant will identify a discussion leader to serve as convener and facilitator of the sub-group discussions, a note-taker (secretary) and the third sub-group member becomes the sub-group presenter who will make a presentation of the sub-groups' responses in plenary. Members of the sub-groups will be free to communicate with each other and switch roles as they see fit. On an appointed date, the consultant will convene an online plenary session. During plenary, each sub-group presents its responses to questions provided to them through the FGD templates. After each presentation additions and 'opposing views' are invited from the floor. After the plenary session for the first sub-group is completed, the second group will make its presentation and the process proceeds to invitation of 'additions and opposing views' as above. The sub-groups that submit the completed templates to the consultant by email.
63. Adopting the above variation to the traditional FGD approach has the following advantages:
 - i. It gives participants time to look at questions, think through them and discuss prior to the date of the plenary session. Before the date of the plenary session, some responses will already be available.

²⁶ SurveyCTO is an online data collection platform. Thus, the survey will be done online.

- ii. Sub-group members have time to re-consider their responses and improve on them in the event that they recall some relevant ideas after completing the task.
- iii. During plenary, information is refined through robust discussion around issues for which a starting point for discussion will already have been given. This also solves the challenge of getting discussions started which sometimes occurs when - during an FGD - participants look at each other, hoping someone will speak first.
- iv. Written sub-group inputs, which will be submitted to the consultant after plenary discussion, are a rich source of qualitative evidence for the evaluation.

64. While this approach yields rich qualitative data, it depends on the cooperation of the discussants. As such, experience in using this method, shows that some groups produce rich qualitative data while others produce very little, if anything at all. Sending tasks to sub-groups at least seven days prior to the date of plenary and encouraging and following up every three days helps mitigate the challenge. Also, on the day of the plenary discussion, even the unprepared sub-group members will be given time to share their views on the questions of the template first before the discussion becomes open to the floor. This makes them 'cobble up' something to save face and in so-doing end up participating with a degree of investment of thought.

4.3.5 Emergency Preparedness Resource Utilisation Form Administration

- 65. At UNICEF SCO and also at the level of the five FOs selected for this evaluation, an Emergency Resource Utilisation Form will be administered (that is, one form per office). The Emergency Coordinator/ focal person will oversee the completion of the form, be it at country or field office level and – working with other members of the EMT at the office – verify the accuracy of the information that will be given on the form.
- 66. The human resources section of the form will be completed by the head of human resources at the office, the financial resources section will be completed by the head of finance at the office, the material supplies section will be completed by the head of supplies and logistics while the section on information will be completed by the person in charge of IT at the office. These sectional heads may work with their subordinates in ensuring accuracy of data provided while overall the Emergency coordinator oversees the completion of the form and its return to the consultant.

4.4 Sampling

- 67. Purposive sampling of documents for the desk review will be used. Only documents that are likely to yield information relevant to the scope and questions for this evaluation will be reviewed. Three criteria will be used for selection of documents for review:
 - i. Global Normative Guidance: Global Emergency Preparedness Guidance notes and procedure documents within UNICEF inform what emergency preparedness systems should look like within UNICEF as they provide a basis for comparison– providing scope for comparison of '*what is*' to '*what should be*' in terms SCO emergency preparedness;
 - ii. Geographical Scope: The desk review will include documents that provide a national perspective of SCO emergency preparedness and response and those from the five²⁷ states selected for this evaluation. In this regard, some of the

²⁷ For avoidance of doubt, these are Blue Nile, White Nile, Kassala, and Sennar.

relevant texts will be accessed from UNICEF’s global Emergency Preparedness Platform (EPP).

- iii. Emergency Focus: Document review, especially for the effectiveness, will be limited to flooding response as required by the TOR.
68. Purposive sampling will be used to identify key informants and focus group discussion participants. The KII and FGDs will be used as tools for stakeholder consultation during this evaluation and – as such – the stakeholders and users of this evaluation will also serve as its key informants. Notably, the stakeholders, by virtue of their professional stations in life, stand on vantage ground to provide relevant input to this evaluation and hence their inclusion is expected to enhance not only ownership of the evaluation process and deliverables but also enrich the findings of the study.
69. For the UNICEF staff survey, 46 UNICEF staff members at FO, SCO, RO and HQ level in programmatic and operational sections relevant to this evaluation constitute the target respondents. The identification of these respondents has been done with support from the SCO and MENARO²⁸. A survey questionnaire will be sent to all of them (no sampling is going to be done in this regard) with the expectation of responses from all who will voluntarily participate in the survey. The UNICEF staff survey is, thus, by design a census – not sample – survey. Giving all relevant staff an opportunity to participate in the survey enables widest coverage of the client group and is expected to maximise the extent to which the study findings represent the perceptions of staff with regards to the performance of SCO’s emergency preparedness system.
70. The stakeholder list provided by SCO will be used as the sampling frame. The sampling frame has four categories of respondents. These are 46 UNICEF staff members, 41 Government Stakeholders, 51 representatives of UN agencies, and 169 NGOs. From this sampling frame a sample size of 96 subjects has been drawn out (table 3).

Table 3: Sample Size for Evaluation of UNICEF SCO Emergency Preparedness System

Respondent Category	Data Collection Method			Total
	Survey	KII	FGD	
UNICEF Staff	46	20	36	46 ²⁹
Government Stakeholders		15		15
Other UN Agencies		15		15
NGOs		20		20
Total	46	50		96

4.5 Peer review, Pilot Testing and Finalisation of Tools

- 71. Data collection tools will be reviewed by the evaluation manager, the steering committee and the backstopping team in MENARO. Any improvements to the tools that may be suggested by these reviewers will be used to improve tool quality.
- 72. To pilot test key informant interview guides, one Key informant interview with a selected person at UNICEF SCO and one key informant interview with a selected person at one of the five selected FOs will be done. Using a similar approach, two staff

²⁸ SCO has shared a list of stakeholders. On the list 46 UNICEF staff members who may be included in the sample have been identified.

²⁹ The 20 UNICEF KII and 36 UNICEF FGD participants are subsets of the 46 UNICEF staff members who will participate in the staff survey. In estimating the sample size for this evaluation, double counting has been avoided (the number of evaluation subjects within UNICEF is 46)

survey questionnaires will be administered. Upon completion of the interviews the consultant will note the time taken and consider the difficulties encountered. Observations made after the pilot test will be used to re-phrase questions, re-organise sections, remove some redundant questions and produce a final version of tools that will be used during the field work.

4.6 Evaluation Management and Quality Control

73. The evaluation will have a two-tier management and quality control system. At country level, the independent evaluator will report to, and be directly supervised and supported by, Mona Lee, Evaluation Specialist. The Evaluation Specialist will review draft deliverables submitted by the consultant, suggest improvements before the deliverables are submitted to the steering committee and will thus constitute the first tier of quality control measures. At the second level, UNICEF Middle East and North Africa Regional Office will provide technical backstopping on quality assurance.
74. All deliverables, starting from the inception report shall be reviewed by the steering committee. The steering committee -upon review of each deliverable – will provide comments to the evaluator (through the evaluation manager). The evaluator shall revise the deliverables in line with the feedback provided and/ or provide written explanation why some suggested revisions may be disagreed upon.
75. UNICEF SCO will provide a supportive role to this evaluation. The office will assist the consultant in identifying key stakeholder for the evaluation as well as connecting the consultant to the key stakeholders. Further UNICEF SCO will also help the consultant identify and gather documents for the secondary review.

4.7 Ethical Considerations

76. The evaluation will be done in an ethical manner. The consultant will uphold and put into practice such ethical principles of evaluation as intentionality, independence, impartiality, credibility, honesty, integrity and accountability. The consultant will engage professionally and respectfully with respondents, upholding the principles of dignity and diversity, human rights and avoidance of harm. The evaluator shall endeavour to ensure that evaluation processes and products are accurate, complete, reliable, transparent, fair and balanced (including acknowledgement of different perspectives in reporting). In line with UNICEF Procedure on ethics in Evidence Generation, the evaluation will uphold **Respect, Beneficence and non-maleficence and justice** principles of ethical evidence generation. A proactive approach will be used. Measures to ensure ethical compliance will be embedded in the design and implementation of this evaluation. The following will be upheld:
 - i. **Informed Consent:** Participation in this evaluation shall be voluntary. Respondents shall be individuals 18 years³⁰ and above who have legal capacity to consent and have ability to exercise free power of choice. The evaluation shall ensure that no undue inducement or coercion to participate in the study is exercised. Prospective respondents will be made fully aware of the purpose of the evaluation. Sufficient knowledge of the nature and purpose of the evaluation shall be provided to key informants before they are asked whether they will be willing to participate in the

³⁰ The evaluation does not include direct engagement with children.

evaluation or not. Further details on informed consent are provided in annex 2 (consent form).

- ii. **Privacy:** Respondents' privacy will be respected. The evaluator will make the respondents aware of their right to restrict access to aspects of person (such as thoughts and personal identification)
- iii. **Confidentiality:** The evaluation will protect respondents' privacy. Information that individuals will have shared in trust will be analysed and shared without directly associating it with any respondent. This is not only ethical but is important for the safety of respondents (in line with the Do no Harm approach).

77. Table 4 below shows some ethical issues that may arise during this evaluation and how these have been/ will be mitigated.

Table 4: Ethical Issues and ways for their mitigation

Ethical Issue	Mitigation
Consultant ignorantly breaches ethical principles	Mandatory training in ethics for evidence generation was provided prior to starting the evaluation mission
Most of the data collection for this evaluation will be through virtual communication technologies which have a 'recording function.' Respect likely to be breached if the consultant records conversation without consent of the respondent	Evaluator goes through the informed consent procedure (using <i>Annex 2 below: Consent form</i>) and after respondent gives consent to participating in the study, the evaluator introduces his intention to record the ensuing discussion for purposes of storage and further analysis later (without sharing the clips with anyone) and asks for consent. Note: recording will only be done if the respondent agrees
Informed Consent procedure likely to be skipped on the self-administered UNICEF staff survey questionnaire	An informed consent module will be included as the first section of the questionnaire. Electronic questionnaire will be set in such a way that the question on informed consent cannot be skipped and also one cannot proceed to survey question unless the click 'yes' as an answer to the question at the end of the informed consent statement
A recorded stakeholder interview audio clip with sensitive remarks made by stakeholder leaks to the public domain and the stakeholder who made the remarks is positively identified by voice, name or another identifier. The stakeholder faces repercussions from concerned parties	Using passwords to protect all audios recorded. Destroying all audio, word, excel or other files immediately after completion of analysis
Respondent gives responses that s/he thinks are the sort of answers that the evaluator desires, creating bias, threatening accuracy of the data and findings	Triangulation: cross-checking perceptions of one stakeholder with the perceptions of other

Evaluator records names, positions and organisations represented on the notes that he writes during data collection and shares personalised data with the client

Only the evaluation consultant will have access to any data with PII. The consultant will use passwords to protect all files and folders with PII. All primary data collected will be de-identified before being shared with anyone. No data/ information will be shared in a manner that directly associates it with the person who is its source. A list of key informants will be shared separate from the analysed information. All data with PII will immediately be deleted (destroyed) after analysis. Evaluation findings will be shared in a consolidated manner with no direct indication of the provider of any perceptions.

4.8 Evaluation Limitations

78. This evaluation is being led/ done by an individual consultant and not a team of consultants. A typical limitation of all evaluation studies done by individual consultants is that the consultant's frame of reference acts - to a large extent - as a limit to the depth and breadth of analysis and in that regard may induce bias, especially in qualitative analysis. This contrasts with a situation where frames of reference for two or more consultants are brought together to bear on the task at hand. To mitigate this limitation, the consultant will invest time in thorough review of the relevant documents as well as thorough analysis of the data, including cross-checking and triangulating data from various sources.
79. Time and timing of evaluation are key constraints. The evaluation has to be done and completed within three months. In a sense it is a rapid assessment. There is high likelihood of a trade-off between timely submission of deliverables and depth of analysis. Also, the evaluation is being done during the festive season (December 2021 - February 2022). Some respondents may be difficult to get due to family commitments during this season, affecting data collection. To mitigate the effect of limited time and the timing of the evaluation which coincides with the festive season, care will be taken in developing a work plan that takes these issues into consideration. The consultant will also have to forego holiday activities in order to meet the time targets.
80. COVID-19 transmission prevention and control measures - in particular, social gathering restrictions resulting in in-person interviews and FGDs being discouraged - as well as the current political and security situation render in-country data collection risky. As a result, data collection will be 100% home based. The consultant will not be able to conduct site visits. Direct data collection from direct 'beneficiaries' of UNICEF's emergency preparedness system will not be done, yet these are critical stakeholders. To mitigate this gap, the consultant will infer (to the extent possible), from the desk review and the interviews of implementing partners, the perceptions of direct beneficiaries of the strengths and gaps in SCO's preparedness and response system.
81. Specific to the approach to FGDs articulated in section 4.4.4 above, there is likely to be variation in quality and depth of contributions from sub-groups. Some sub-groups may not even make the required contributions while others will make top class

contributions. There is likely to be challenges with completeness of data from FGD. This challenge is not easy to bridge considering that even when the usual approach to FGDs is used, the quality and depth of data tends to vary from one group to the other (depending on the 'quality of participants', the value they attach to the data collection exercise and the commitment they bring to the discussions). However, to mitigate the risk of minimal or non-participation, tasks will be distributed to sub-groups with at least seven days for them to do the activity. The consultant will make a follow-up on the third day and – if no responses are obtained by the end of the fifth day, the evaluation manager will be requested to make a follow-up on the fifth day after the assignments will have been given to sub-groups. The idea is to use recognised authority structures within SCO to get the sub-group activities done (It is envisaged that this will positively influence the level of importance that sub-group members attach to these activities and get the work done).

5.0 Workplan

82. The evaluation will be done within the period December 2021 to March 2022. While initially the evaluation was supposed to be done from December 2021 to February 2022, the expansion of the geographical scope of the evaluation and the specification of some aspects of interest to SCO that need to be examined during this evaluation have necessitated an extension of the time within which the evaluation is to be accomplished.

83. Table 5 below provides the tentative workplan for the evaluation

Table 5: Tentative Work Plan for the Evaluation

Date/ Period	Activity	Responsible
01.12.2021	Kick-off Meeting	Evaluation Manager(s)
02 -15.15.2021	Inception Interviews, Informal desk review	Consultant
16 – 30.12.2021	Preparation of inception Report, Evaluation Matrix & Data collection Tools and Protocols	Consultant
31.12.2021	Submission of draft Inception Report	Consultant
01 – 06.01.2022	Review of draft inception report, compilation of comments	UNICEF
06.01.2022	Return of draft inception report (with comments) to the consultant	UNICEF
06- 07.01.2022	Consultant prepares final inception report, incorporating comments from UNICEF	Consultant
11.01.2022	Submission of final inception report	Consultant
12.01 – 10.02.2022	Data Collection – Formal Desk Review, KII and FGDs and preliminary analysis	Consultant
26.01.2022	FGD – Plenary for SCO - @ 0930hrs -Khartoum time ³¹	Consultant
26.01.2022	FGD – Plenary for North Darfur FO - @ 1200hrs	Consultant
26.01.2022	FGD – Plenary for Kassala FO - @ 1500hrs	Consultant
26.01.2022	FGD – Plenary for Blue Nile FO - @ 0930hrs	Consultant
26.01.2022	FGD – Plenary for White Nile FO @ 1200 hrs	Consultant
26.01.2022	FGD – Plenary for Sennar FO @ 1500hrs	Consultant

³¹ All planned appointment times on this work plan are on 'Khartoum Time' basis

28.02.2022	Presentation of preliminary findings – 0930hrs, receiving comments from UNICEF	Consultant
01.03. – 14.03	Developing First Draft report	Consultant
15.03.2022	Submission of first draft report	Consultant
15.03 – 16.03	Quality assurance review	Evaluation Manager
16.03 - 22.03.2022	UNICEF review and comments on the draft	UNICEF
23.03 - 27.03.2022	Preparation of the final draft, responding to comments	Consultant
28.03.2022	Submission of final draft	Consultant

6.0 Annexes

Annex 1: Terms of Reference



Microsoft Word Document

Annex 2: Informed Consent Form for (i) Individual Interviewees (ii) FGD Subjects



Microsoft Word Document



Microsoft Word Document

Annex 3: Logic Model for UNICEF SCO Emergency Preparedness and Response System



Microsoft Word Document

Annex 4: List of Inception Interview Key Informants



Microsoft Word Document

Annex 5: Evaluation Matrix







Microsoft Word Document

Annex 6: Stakeholder Analysis



Microsoft Word Document

Annex 7: Data Collection Tools

<p>Key Informant Interview Guides</p>  <p>Microsoft Word Document</p>	<p>UNICEF Staff Survey Questionnaire</p>  <p>Microsoft Word Document</p>	<p>Focus Group Discussion Guides</p>  <p>Microsoft Word Document</p>	<p>EP Resource Utilisation Assessment Form</p>  <p>Microsoft Word 97 - 2003 Document</p>
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