



Inception Report

**EVALUATION OF UNICEF'S COVERAGE AND
QUALITY IN COMPLEX HUMANITARIAN
EMERGENCIES: FOLLOW-ON PHASE**

February 2020

Evaluation of UNICEF's coverage and quality in complex humanitarian situations: Follow-on phase

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Acronyms

AAP	Accountability to Affected Populations	IASC	Inter-Agency Standing Committee
ALNAP	Active Learning Network on Accountability and Performance	INEE	Inter-Agency Network for Education in Emergencies
AOR	Area of Responsibility	KII	Key informant interviews
CAR	Central African Republic	MRM	Monitoring and Reporting Mechanism
CCC	Core Commitments to Children	NGO	Non-Governmental Organisation
CEAP	Corporate Emergency Activation Procedures	NSE	Non-State Entities
CHS	Core Humanitarian Standard	NWoW	New Way of Working
CLA	Cluster Lead Agency	OECD/DAC	Organisation for Economic Cooperation and Development/Development Assistance Committee
CO	Country Office		
CRC	Convention on the Rights of the Child	QA	Quality Assurance
DRC	Democratic Republic of Congo	RC	Resident Coordinator
EMOPS	Office of Emergency Programmes	RO	Regional Office
EO	Evaluation Office	SHA	Strengthening Humanitarian Action
EPP	Emergency Preparedness Platform	SSOP	Simplified Standard Operating Procedures
EQ	Evaluation Questions	ToR	Terms of Reference
FGD	Focus Group Discussions	UN	United Nations
GEROS	Global Evaluation Reports Oversight System	UNICEF	United Nations Children's Emergency Fund
HC	Humanitarian Coordinator		
HCT	Humanitarian Country Team	WASH	Water, Sanitation, Hygiene promotion
HQ	Headquarters		
HR	Human Resources	WHS	World Humanitarian Summit

Glossary of terms

Acceptance approach	Actively building and cultivating good relations and consent as part of a security management strategy with local communities, parties to the conflict, and other relevant stakeholders and obtaining their acceptance and consent for the humanitarian organisation's presence and its work. ¹
Accountability to affected populations	The ability of all vulnerable, at-risk and crisis-affected girls, women and men supported through UNICEF's humanitarian actions to hold UNICEF as an organisation to account for promoting and protecting their rights and generating effective results for them, taking into account their needs, concerns and preferences, and working in ways that enhance their dignity, capacities and resilience. ²
Access culture	For the purposes of the evaluation, the term ' <i>access culture</i> ' refers to a deep organisational understanding and commitment to humanitarian principles and the delivery of assistance to those in greatest need of assistance.
Complex humanitarian emergency	A humanitarian crisis in a country, region, or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires an international response that goes beyond the mandate or capacity of any single and/or ongoing UN country programme. ³
Corporate emergency activation procedure	An Executive Directive issued by UNICEF in order to strengthen its capacity to respond immediately and effectively to a Level 3 (i.e. large scale) emergency. It outlines the chain of command and operating procedures to be activated in the event of an L3 emergency.
Core Commitments to Children	A global framework for humanitarian action for children undertaken by UNICEF and its partners. This framework is guided by international human rights law, in particular the Convention on the Rights of the Child (CRC) and, in the case of complex emergencies, also by International Humanitarian Law (IHL). On an operational level, the Core Commitments for Children (CCC) are based on global standards and norms for humanitarian action. ⁴
Coverage	UNICEF defines coverage as ' <i>the extent to which major population groups facing life-threatening suffering are being (or were) reached by humanitarian action</i> '. ⁵ Guidance provided by World Food Programme (WFP) expands this definition to include the provision of ' <i>impartial assistance and protection proportionate to need</i> ' ⁶ which addresses the concern raised in the Scoping Report about the breadth of assistance and also the periodicity which should be consistent with the need.
UNICEF's equity-based approach in humanitarian action	UNICEF is committed to an equity-based approach in humanitarian action. Equity means all children have an opportunity to survive, develop, and reach their full potential, without discrimination, bias, or favouritism. It means identifying risks and underlying vulnerabilities, targeting humanitarian action to and prioritising the needs of those most vulnerable and disadvantaged. ⁷
Hard-to-reach or access-constrained	For the purpose of this report, ' <i>hard-to-reach</i> ' or access-constrained areas are locations which are remote or insecure which make them difficult for members of the humanitarian community to reach.
Humanitarian access	Humanitarian access concerns humanitarian actors' ability to reach populations affected by crisis, as well as an affected population's ability to access humanitarian assistance and services. ⁸

¹ Egeland, J., Harmer, A. and Stoddard, A (2011) *To stay and deliver: Good practice for humanitarians in complex security environments*, OCHA Policy Development and Studies branch.

² UNICEF (2017) *Putting people at the centre of humanitarian action: integrating accountability to affected people*, draft, June 2017.

³ IASC Working Group XVIth Meeting, 30 November 1994, Definition of Complex Emergencies.

⁴ UNICEF (2010) *Core commitments for children in humanitarian action*.

⁵ This definition of Coverage was used in the Scoping report and is taken from the Evaluation of Humanitarian Action Guide, ALNAP/ODI, 2016, p114.

⁶ WFP (2016) *Technical Note, evaluation criteria and questions*. WFP Office of Evaluation, April 2016, p3.

⁷ UNICEF (2017) *UNICEF Reference Document for Emergency Preparedness and Response*, September 2017.

⁸ OCHA (2010) *OCHA on message: humanitarian access, version 1*, April 2010.

Humanitarian action	Humanitarian action comprises assistance, protection and advocacy in response to humanitarian needs resulting from natural hazards, armed conflict or other causes, or emergency response preparedness. ⁹
Humanitarian principles	Underlining all humanitarian action are the principles of humanity, impartiality, neutrality and independence. These principles, derived from international humanitarian law, have been taken up by the United Nations in General Assembly Resolutions 46/182 and 58/114. Their global recognition and relevance are furthermore underscored by the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations in Disaster Relief and the Core Humanitarian Standard on Quality and Accountability. The CCCs are grounded in humanitarian principles and UNICEF is committed to applying humanitarian principles in its humanitarian action. ¹⁰
Levels of emergency response	<u>Level 1:</u> The scale of an emergency is such that a Country Office can respond using its own staff, funding, supplies and other resources, and the usual Regional Office (RO)/HQ support. <u>Level 2:</u> The scale of an emergency is such that a Country Office needs additional support from other parts of the organisation (HQ, RO and COs) to respond and that the RO must provide leadership and support. <u>Level 3:</u> The scale of the emergency requires organisation-wide mobilisation.
Non-state entities	Non-state entities include armed or unarmed groups and, depending on the context, could include militias, armed opposition groups, guerrillas, pandillas (e.g. gangs) and paramilitary groups; or state-like groups (e.g. a self-declared state which is not recognised, or only partially recognised, by the international community); or 'de facto authorities,' which have effective control of territory and self-governing administration but do not seek independence or secession. ¹¹
Programme criticality	An approach that involves determining which programmes are the most critical in a given part of a country (in terms of saving lives or requiring immediate delivery) and therefore warrant accepting a greater level of risk or a greater allocation of resources to mitigate these risks. ¹²
Programme integration	The intentional combining of one or more sector interventions by UNICEF to achieve improved humanitarian outcomes. ¹³
Quality	The extent to which UNICEF is adhering to the benchmarks of its CCCs, plus its supplementary commitments to 1) the Core Humanitarian Standard (including related Commitments to Accountability to Affected Populations), 2) technical standards for humanitarian programming (primarily Sphere, INEE, and the Child Protection Minimum Standards), and 3) the high level common themes of the World Humanitarian Summit and accompanying Grand Bargain commitments, as reflected in the new UNICEF Strategic Plan 2018–2021.
Remote programming	Remote programming is defined by UNICEF as programming without the presence of staff due to unacceptable security risks or denial of access by authorities. ¹⁴
Risk-informed programming	An approach to programming that aims to reduce the risk of hazards, shocks and stresses on children's well-being, their communities and systems, contributing to resilient development. ¹⁵
UN Security risk management	A UN Security Management System tool to identify, analyse and manage safety and security risks to United Nations personnel, assets and operations. It is risk-based, not threat-based. While threats are assessed as part of the process, decisions are taken based on the assessment of risk. ¹⁶

⁹ IASC (2015) *Introduction to Humanitarian Action: A Brief Guide for Resident Coordinators*, October 2015.

¹⁰ UNICEF (2010) *Core commitments for children in humanitarian action*.

¹¹ UNICEF (2018) *Engaging with non-state entities (NSEs): programme guidance note, Draft*, forthcoming.

¹² Egeland, J., Harmer, A. and Stoddard, A (2011) *To stay and deliver: Good practice for humanitarian in complex security environments*, OCHA Policy Development and Studies branch.

¹³ UNICEF (2014) *Study on integrated programming in UNICEF humanitarian action*. Final report, February 2014.

¹⁴ UNICEF (2012) *Remote programming in humanitarian action: programme guidance*, EMOPS 2012.

¹⁵ UNICEF (2017) *UNICEF reference document for emergency preparedness and response*, September 2017.

¹⁶ <https://www.un.org/undss/content/risk-management>.

1. Introduction and evaluation background

This inception report describes how the evaluation team will fulfil the Terms of Reference (ToR) for the follow-on phase of the evaluation of UNICEF's coverage and quality in complex humanitarian emergencies. It provides a foundation for this by linking the first and second phases of the evaluation and outlines information about Itad's proposed approach including tools, methods and timelines.

- **Section 1** of the report provides an introduction and background to the original evaluation undertaken.
- **Section 2** of the report outlines the context in which the follow-on phase is being undertaken and takes stock of actions taken by UNICEF since the evaluation was published including policy, guidance and practice.
- **Section 3** of the report outlines the team's approach to the case study updates including an overview of the evaluation methodology.
- **Section 4** of the report describes the methodology and tools which will be used in the second phase of the evaluation.
- **Section 5** of the report highlights the evaluation process and work plan. It provides details of the different phases of the evaluation.

1.1 Coverage and quality evaluation purpose, objectives and scope

In 2018, the Evaluation Office commissioned a thematic evaluation of UNICEF's coverage and quality in complex humanitarian situations. Eleven countries, covering five geographical regions were included in this evaluation: Nigeria, CAR, Philippines, Somalia and Afghanistan (in-country missions), and Pakistan, Ukraine, Syria, Mali, Burundi State of Palestine (desk reviews/remote interviews). Three additional countries were included for in-depth interviews (South Sudan, Yemen and Iraq). The purpose of the evaluation was to generate, through robust and systematic analysis across a range of country contexts, practical solutions that could inform how UNICEF improves the coverage and quality of its humanitarian response.

The evaluation had three objectives:

- To assess UNICEF performance in achieving coverage and quality in complex humanitarian situations based on a sample of countries, including identifying internal and external enabling factors and challenges to UNICEF's performance;
- To identify internal and external enabling factors and challenges to UNICEF fulfilling its protection mandate and role in complex humanitarian situations, including its designated role in the Monitoring and Reporting Mechanism resulting from UN Security Council resolutions on Children Affected by Armed Conflict;
- To capture good practice and innovations that were improving humanitarian action and analyse their potential for more general application by UNICEF.

Details of the scope of the evaluation are provided in the table below (figure 1).

Figure 1: Scope of the Coverage and Quality evaluation

Evaluation scope	Description
Temporal scope	The evaluation focused on UNICEF's response in complex humanitarian situations from January 2015 to 2018 and drew on existing evaluative work and monitoring data for humanitarian responses prior to this period.
Geographic scope	The global evaluation drew on a synthesis of findings, lessons and good practice across a total of 12 country case studies (seven desk and five field) covering four to five geographical regions.
Thematic scope	The evaluation did not focus on any particular sector but instead explored the two focal areas of coverage and quality of humanitarian action across all UNICEF's sectors (albeit not comprehensively).

A synthesis report was prepared drawing on the findings, lessons and good practice across all case studies. This report was presented to the UNICEF Executive Board in June 2019 and was very well received. EMOPS was responsible for coordinating the management response from the evaluation, and many programmatic and operational decisions have already been made as a result of the evaluation.

During the design of the global evaluation, a decision had been made that all the case study reports would be internal documents, and not considered '*fully-fledged*' evaluation reports – i.e. these would not go through the formal EO quality assurance process and would not be uploaded to the evaluation database (thus would not be shared externally with partners, donors, etc.), and management response on the recommendations would not be sought. The evaluations would also not '*count*' towards reporting on the number of evaluations undertaken for a particular country. Given that no formal management response was being requested, the COs were to determine how to use the recommendations to enhance their programming. The evidence from the reports was also used for the purpose of synthesizing the evidence from across the evaluation and for the preparation of the synthesis report.

1.2 Follow-on phase: Case study update

Countries where in-country missions took place have subsequently been given the opportunity to expand/update their evaluations to make them '*fully-fledged*' evaluation reports. Four COs opted in to have the case study reports updated in this way. The countries to be covered by the follow-on phase are;

- Afghanistan
- Central African Republic (CAR)
- Nigeria
- Somalia

The purpose of enhancing these case studies is to build confidence that the evidence and analysis is robust, and that the reports meet UNICEF's quality assurance criteria¹⁷, and reporting standards¹⁸ for evaluation reports. Once finalized, these reports will go through the GEROS review, and COs will be expected to implement the recommendations and submit a management response. Other than utility within UNICEF, these reports will also serve an accountability element, as they will be shared widely with donors and other partners. The reports will also be available in the UNICEF external evaluation sites.

The **purpose of the evaluation** remains the same as the main evaluation – it is to generate practical solutions for the improvement of the coverage and quality of UNICEF response to humanitarian crises in complex humanitarian emergencies. In this case, it will focus on the four countries included in this new phase.

The **objectives of the evaluation** will remain unchanged (see 1.1, above).

The detailed evaluation questions are included in the original ToR. The technical scope of the evaluation will remain the same as for the first phase of the evaluation, and the original evaluation framework will be used to primarily gauge questions requiring additional evidence and analysis.

¹⁷ See UNICEF Global Evaluation Report Oversight System (GEROS):
https://www.unicef.org/evaluation/files/GEROS_Handbook_FINAL_full_document.pdf

¹⁸ See UNICEF UNICEF-Adapted UNEG Evaluation Reports Standards:
https://www.unicef.org/evaluation/files/UNICEF_adapted_reporting_standards_updated_June_2017_FINAL%282%29.pdf

2. Evaluation context

This section outlines the context in which the follow-on phase is being undertaken including key findings and recommendations from the evaluation and how UNICEF has adapted its approach, policies and practices as a consequence of the evaluation.

2.1 The rationale for the evaluation

In its Second Executive Board meeting in September 2017,¹⁹ UNICEF outlined the challenges that it faces in delivering humanitarian assistance to the growing number of children – estimated to be 535 million – who live in countries affected by crises. The report lists four key aspects of its work which are preventing it from meeting reaching those in greatest need:

- Constrained humanitarian access was the most significant challenge (with Syrian Arab Republic, Iraq, Nigeria, South Sudan, Somalia and Yemen all listed as particularly problematic in this regard). In response, UNICEF has strengthened risk management and access negotiations, developed local community dialogue as an acceptance strategy and has sought to strengthen the capacity of its staff in aspects of alternative implementation modalities, conducting humanitarian negotiations, enhancing presence through partnership and determining programme criticality.
- Security and logistical constraints that stem from armed conflict, civil unrest, high-threat environments and targeting of humanitarian workers. To address this, UNICEF has invested in its security functions through staff training and hiring of security experts and procurement of essential security equipment. It has recruited additional security advisors and deployed security staff to crisis-affected countries such as Afghanistan, Cameroon, Chad, the Central African Republic, Iraq, Mali, Nigeria, Somalia, South Sudan, the Syrian Arab Republic, Ukraine and Yemen.
- The growing number and complexity of humanitarian situations, including increasingly protracted crises, is stretching the organisation's ability for timely and effective response. While UNICEF's Emergency Response Team, Immediate Response Team, standby partnerships and regional emergency rosters have gone some way to addressing this challenge,²⁰ attracting and building the capacity of personnel to work in emergencies continues to be an important focus.
- UNICEF has continued to face challenges in raising thematic funding for humanitarian situations. In some cases, resources are not moving towards greater flexibility but rather towards greater conditionality, making it difficult to reach those most in need. In response, UNICEF is exploring the use of multi-year funding with key donor partners and at the other end of the spectrum, is able to kick-start response with its Emergency Programme Fund.

The challenges outlined by the Board are broadly echoed by UNICEF's programme staff. In the survey that was undertaken as part of the learning report for the evaluation, three dominant factors limiting both the coverage and the quality of UNICEF's humanitarian response were highlighted:

- Restricted access to areas and populations in humanitarian need: Poor security makes it hazardous to work in certain areas. Non-State Entities (NSEs) are hard to negotiate with and government may stop UNICEF from attempting to work in areas controlled by NSEs. Staff and partners are exposed to risks of harm at the same time as security restrictions stop some areas being reached.
- Limited capacity, in terms of reach and of skill, of implementing partners, government and UNICEF staff: There are not enough staff in field locations, staff do not always have the skills to operate in the challenging conditions found in complex humanitarian situations, and there are too many temporary

¹⁹ UNICEF Executive Board (2017) *UNICEF Humanitarian Action - Current practice, key challenges and opportunities*, second regular session 2017, UNICEF/2017/EB/13/REV.1.

²⁰ Between January and July 2017, 30 standby partners were mobilized, providing UNICEF with a total of 117 personnel to support the organization's humanitarian action.

contracts, in part because of limited funding. There are vitally important gaps in the capacity of partners and of government counterparts.

- **Inadequate Funding:** Almost all COs report under-funding which is sometimes chronic. They want more action from Regional Offices and HQ to advocate for more funds.

A summary from recent evaluations of how these challenges impact on humanitarian quality and coverage is outlined in figure 2 below.²¹

Figure 2: Challenges to UNICEF's coverage and quality identified in recent evaluations of its humanitarian responses

Coverage	Quality
Humanitarian Access to affected populations is a key constraint for humanitarian responses in conflict environments. It can be a constraint on its own, or be affected by issues related to accountability or the relationship with the national government in a country	Timeliness of response , including the efficiency of Level 2 or Level 3 activation, directly affects the quality of the response in terms of people reached, especially when needs are acute
Accountability to affected people , a key IASC commitment, can determine the level of access to geographical areas and/or communities	Integrated Programming between sectors is a well-documented positive factor for programming quality in humanitarian assistance
Relationship with national government , in countries where the national government is a party to a conflict, can significantly affect access to areas both inside and outside of government control	Accountability to affected people is also a factor in the quality of the response. It is well documented that active inclusion of affected populations in determining the contents and the scope of a response is a key factor in its success.
Risk Management , or the level of risk that a country office can manage sustainably, determines if and how opportunities for humanitarian access can be utilized.	Linking Development and Humanitarian Programming is crucial both at the start and at the end of an emergency response. The strength of these links directly affects preparedness and resilience, i.e. reducing the impact of an emergency from the start, while it equally affects the level of sustainability of any gains made during the emergency response.

These challenges are not specific to UNICEF but affect most organisations working in humanitarian crises. However, it is the clarity with which they emerge from the field and the consistency of concern throughout the agency which makes them important. In seeking to either address or accommodate these challenges, UNICEF COs face a number of dilemmas – which provides an important frame of reference:

- Expanding programme coverage while at the same time meeting programme quality standards;
- Holding to the humanitarian principles and accepting political influence over where UNICEF operates;
- Ensuring staff and partner safety versus reaching those in greatest need of humanitarian assistance;
- Finding ways to deliver development and humanitarian programmes in a way that is coherent and that strengthens coverage and quality;
- Having sufficient staff presence to adequately monitor programmes to evidence programme quality, versus accepting that achieving coverage means having no UNICEF 'eyes' on the ground.

2.1.1 Actions taken by UNICEF to strengthen coverage and quality prior to the evaluation

In order to address the challenges that it faces in delivering its humanitarian response, UNICEF embarked on a number of corporate initiatives which have the potential to strengthen guidance and improve humanitarian practice, both in terms of expanding coverage and improving programme quality. Some of the most significant of these are summarised below (see figure 3).

²¹ The document was prepared as part of the scoping study for the evaluation (no author (no date) Coverage/Quality of UNICEF Humanitarian Response in Complex/High-Threat Environments - *Issues identified in recent evaluations*).

Figure 3: Corporate initiatives taken by UNICEF to strengthen coverage and quality, 2014 - 2017

Initiative	Description
Strengthening humanitarian action	From 2014, UNICEF has undertaken a major review of its approach to humanitarian action, called ' <i>Strengthening Humanitarian Action</i> ' (SHA). The SHA generated a series of papers which provide guidance to UNICEF staff on key issues related to working in complex humanitarian situations.
Enhancing UNICEF support to fragile contexts	During the period May 2016–April 2017, UNICEF undertook a consultative review of its work to identify opportunities for enhancing programme and operational support in fragile contexts, covering good practices and lessons learned by UNICEF and its partners, and recent policy shifts. The analyses were synthesized and presented in a report called ' <i>Enhanced Programme and Operational Support in Fragile Contexts</i> '. ²² Based on the analytical work, UNICEF has developed, a 'Programme Framework for Fragile Contexts' to assist COs.
Humanitarian – development nexus	The long-term, protracted nature of most complex emergencies makes it crucial that UNICEF makes the connection between its humanitarian and development programming. In recognition of this, UNICEF Programme Division's ' <i>Study on Linking Development and Humanitarian Action</i> ' ²³ 2016 captured and codified good practice examples on the humanitarian-development nexus, including countries with complex emergencies in Burundi, CAR, Colombia, Ethiopia, Mali, Myanmar, Somalia, and others.
New UNICEF strategic plan	A new UNICEF Strategic Plan for 2018-2021 has been submitted for approval by the Executive Board in September 2017. The plan highlights the delivery of faster, more effective and at-scale humanitarian response, including adaptations to different types of emergencies including protracted crises. It emphasizes the importance of increasing the reach and quality of humanitarian assistance and outlines a number of strategies to contribute to this.
Human resources and surge	While the Scoping Report for this evaluation found ' <i>no specifically humanitarian/ emergency element to the current corporate HR reforms</i> ', ²⁴ UNICEF continues to invest in strategies to strengthen surge response which can play a key role in strengthening coverage and quality.
Corporate simplification agenda	Under the new Strategic Plan and supporting Office Management Plan of EMOPS, there is a specific focus on revisiting and updating policies and procedures (including the Simplified Standard Operating Procedures (SSOPs) to ensure timely and effective response across the range of humanitarian situations, which is anticipated to include consideration of protracted crisis and complex humanitarian situations.
Access for Results Framework	To more effectively address access constraints and to achieve the humanitarian results of the Strategic Plan, EMOPS' 2018-21 Office Management Plan has prioritized the development of an Institutional Access for Results Framework (or Access for Results Framework) to equip and support UNICEF to gain and sustain principled access. This framework is currently under development.

It is these challenges of working in complex humanitarian situations and the importance of reflecting on the initiatives that UNICEF has taken to address them that provide the rationale for the evaluation and make it a strategic priority for UNICEF. It is anticipated that by gaining a deeper, more systematic and objective analysis across country contexts, of the extent to which UNICEF is succeeding or failing to reach affected populations with principled and high-quality programming, and how this is attributable to the limits of humanitarian action vis-a-vis political spheres and the conflict dimension, this should enable UNICEF to innovate and introduce alternative approaches and mitigation measures that will improve the coverage and quality of UNICEF action in such challenging contexts.

2.2 Summary of conclusions from the evaluation

The evaluation concluded that UNICEF has shown courage and tenacity in providing assistance to those affected by complex humanitarian emergencies, often at significant risk to its own staff and partners. Across

²² UNICEF (2016) *Enhanced Programme and Operational Support in Fragile Contexts*, Report prepared by Programme Division (HATIS) in collaboration with EMOPS, November 21st, 2016.

²³ UNICEF (2016) *Study on linking development and humanitarian action*, January 2016.

²⁴ Lawry White, S. & Huls, V. (2017) *Evaluation of coverage and quality of UNICEF humanitarian response in complex high threat environments, scoping report*, p.13.

all of the country case studies, UNICEF was among the largest, and most important provider of humanitarian assistance and protection and often worked in some of the most challenging areas. However, it considered that there was more that it could do to reach those that are in *greatest need of assistance* and that are *least accessible* and it considered that there was scope for UNICEF to ensure that it more routinely has the data, analysis, staff, partners and programme approaches that will facilitate the provision of effective assistance and protection in complex humanitarian emergencies. Detailed conclusions and key messages from the evaluation are provided below.²⁵

The evaluation question is important, but it cannot easily be answered. Between 2015 and 2018, UNICEF has shown organisational courage and tenacity in sustaining its work in complex humanitarian emergencies despite significant challenges. However, while the central question posed in this evaluation – to determine the coverage and quality of UNICEF's assistance in complex humanitarian emergencies – is of great importance to UNICEF, its partners and those they seek to assist, it is not easily answered. While the findings of the evaluation show that humanitarian services have been extended to many of those in greatest need, one of the most important messages from the evaluation is that the data does not permit a detailed examination of what proportion of needs were met or whether the greatest needs were met.

The lack of adequate data collection, disaggregation and reporting means that UNICEF cannot calculate its coverage in relation to need. Neither can it determine whether it is targeting those whose needs are the greatest. UNICEF (and the broader humanitarian system) lack measures to adequately determine coverage. Estimates of people in need lack accuracy and they mostly fail to differentiate between different levels of vulnerability. The imbalance between humanitarian demand and supply, donor priorities and cost-effectiveness measures all reinforce an approach which prioritises coverage over equity and quality. From an institutional perspective, UNICEF's focus on targets rather than people in need, variability in the capacity of its staffing, and an institutional pressure (and Cluster Lead Agency [CLA] responsibility) to deliver at scale tends to reinforce this focus.

While UNICEF routinely uses quality standards to guide its work, the delivery of these are affected by a range of internal and external factors that tend to push UNICEF towards prioritising the most visible and accessible needs in complex humanitarian emergencies – albeit at large-scale. In complex humanitarian emergencies, coverage and quality are only made possible through access to those in need of assistance and protection, and in these contexts, those most in need are almost always the least accessible and the most costly to reach. UNICEF often struggles to reach these places. There are a number of reasons for this, which includes a range of external factors that may be difficult to overcome. However, there are also a number of internal factors which influence access which UNICEF can address. These include inconsistencies in the knowledge and understanding of staff about humanitarian principles, the limited capacity that exists for humanitarian negotiation and for finding solutions to ethical dilemmas, and weaknesses in engaging with communities affected by crises. Addressing these capacity gaps, particularly among front-line staff, will provide an important frame of reference and set of competencies for UNICEF to more consistently gain and maintain principled access. This will be further strengthened if UNICEF uses its profile and networks to routinely advocate for principled access.

The system that the UN has in place to assist UNICEF to 'stay and deliver' often fails to fulfil its function, and UNICEF's association with UN structures often serves to further complicate its efforts to gain access. External to UNICEF, Integrated UN Presences and broader engagement with the military can influence how UNICEF is perceived, and this can be a significant constraint in conflict contexts. Across the case studies, the impact of the UN Security Management System on UNICEF's coverage was extremely variable and in some contexts was a considerable constraint. Examples of constructive ways of working, innovative approaches to facilitating access, and scope for negotiation for UNICEF to 'stay and deliver' that were observed in some countries, suggest a lack of consistency in how procedures are interpreted and applied. It is important that blockages are

²⁵ The evaluation recommendations are reproduced in full in annex 6.

systematically documented, raised and addressed. Overcoming these challenges will also require ongoing investment from UNICEF in ensuring that it has adequate internal capacity and that wherever possible, it collaborates with other UN agencies.

However, it is the access of UNICEF's partners that is of greatest importance since they are tasked with delivering its humanitarian assistance and protection and it can do more to support them in this. Given the constraints that UNICEF faces in accessing affected people in volatile environments, its partners play an essential role in filling UNICEF's 'access' gap by virtue of the role they play (government), their proximity to communities (local/national NGOs), or their institutional capacity or mandate (INGOs). However, the access that partners have is still highly context-dependent. There is potential for UNICEF to strengthen partner access through its advocacy, by taking a greater interest in how its partners understand and utilise humanitarian principles, and by engaging more strategically in capacity development. Strengthening operational context analysis will best-position UNICEF to identify and exploit access opportunities as they arise, as well as improving understanding of which partners are best placed to gain principled access.

At CO-level UNICEF has a wealth of good practice in accessing those in greatest need which are either transferrable or which can be taken to scale. The case studies provided some good examples of how UNICEF has expanded coverage that have the potential to be used more broadly or to be taken to scale; integrated programming, the use of cash assistance, and RRM all have an important influence on coverage or quality, but they also suffer from internal challenges which may restrict their wider use. Evidence of the contribution that each of these approaches can make to coverage and quality already exists and is known to UNICEF. Risk-informed programming, preparedness and resilience are all areas of growing competence for UNICEF and they have the potential to play an important role in strengthening the speed of response and bridging the humanitarian-development divide. The only cautionary note is that UNICEF must ensure that a principled approach is consistently adopted as a foundation for its nexus-related programming.

UNICEF's systems and procedures are consistent with its access aspirations but there is scope to apply them more widely, or adapt them to better suit this objective. UNICEF's internal resources, systems and procedures have an important influence on coverage and quality in complex humanitarian emergencies. UNICEF's decentralised internal architecture is appropriate for decision-making on access and Regional Office (RO) plays an important role in providing support and in ensuring that CO strategies are in line with corporate aspirations. However, recruitment and retention of high-performing teams is a persistent challenge. 'Curating' national staff teams which have the diversity, capacities and networks that can facilitate access can also be difficult, and is an area that requires particular attention. Quality and quantity of funding is a consistent challenge for COs, although the evidence suggests that UNICEF has had some measure of success in navigating donor conditions – where it has struggled, though, there is scope to clarify the conditions under which funding should be refused – with a focus on using a principled lens to drive decision-making. While there are some specific procedures which appeared to be consistently problematic, there was general support by COs for the routine use of simplified procedures in contexts outside of L2/L3 emergencies.

2.3 Changes in UNICEF's approach, policies and practices

2.3.1 Management response to the evaluation and actions taken subsequent to the evaluation

The final evaluation report and recommendations were reviewed by the Executive Board in its June Annual Session.²⁶

The Board acknowledged the challenge posed by the evaluation to UNICEF to adapt the quality and depth of its humanitarian response to tackle complex humanitarian emergencies, which have increasingly come to absorb the larger share of humanitarian expenditure which requires a rethinking on business processes and

²⁶ UNICEF (2019) *Executive Board Annual Session 2019. Management response to the evaluation report: Evaluation of the coverage and quality of the UNICEF humanitarian response in complex humanitarian emergencies*, 11-13 June, 2019.

capacities in the institution to fully meet its commitments. It was also considered to require ensuring that the complexities of the context and required response are managed through light processes that help the country offices to be agile and responsive to shifting humanitarian needs and priorities.

The Board noted that the evaluation points to challenging requirements for change that will require a multi-year effort to achieve and identify issues requiring further assessment to indicate a clear way forward and which are likely to have resource implications including: (a) addressing the implications for UNICEF global capacity of more ambitious commitments on coverage, quality and equity; (b) determining a more comprehensive approach to localization; and (c) strengthening a light but multidimensional analysis bringing together the dimensions of vulnerability, access constraints, partnerships and modalities for operational presence, to better guide advocacy and operational programme strategy.

Importantly, the Board recognised that the evaluation raises significant issues and challenges that are shared across the humanitarian system as a whole. It acknowledged that making change in these would also require a shift in inter-agency practices towards a stronger, more principled and needs-based approach to humanitarian planning, monitoring and reporting; a more systematically principled approach to humanitarian negotiations with non-State actors and host Governments; and efforts to extend access to the most vulnerable. It considered UNICEF had an important role to advocate for these changes as a member of the Inter-Agency Standing Committee and humanitarian country team as well as in its cluster lead agency role. However, successful change will still depend upon parallel action by other bodies and agencies.

The Board identified a number of findings and recommendations that were already embraced in the Strategic Plan, 2018–2021 and its ongoing implementation plans but acknowledged the value of the evidence to update the current baseline analysis and inform key strategies of change. It considered that several recommendations point to reinforcing measures newly embedded in corporate commitments and reporting. UNICEF acknowledges that the ongoing revision of the Core Commitments for Children in Humanitarian Action offers an opportunity to define more-robust policy, programme and operational commitments that are most relevant to principled humanitarian response in complex humanitarian emergencies.

In its deliberations, the Executive Board either agreed or partially agreed with all of the evaluation recommendations and agreed 32 management actions with responsibility spread across many parts of the agency, albeit with a focus on EMOPS. A summary of the management response to the evaluation recommendations is provided in Annex 7.²⁷

2.3.2 Actions taken by UNICEF to strengthen coverage and quality during and after the evaluation

A number of corporate initiatives were initiated to strengthen coverage and quality while the evaluation was underway. These have subsequently been complemented by additional actions proposed in the management response to the evaluation, some of which are now being implemented. These are summarised below (figure 4) and relevant documents have been submitted to the evaluation team by UNICEF's EO.

Figure 4: Corporate initiatives taken by UNICEF to strengthen coverage and quality, 2018 - 2019

Theme	Description
AAP	Development of an AAP handbook for UNICEF staff and partners as part of its commitment to scaling-up and systematizing its AAP efforts. ²⁸ UNICEF's C4D team have also prepared a set of minimum quality standards for community engagement ²⁹ which describes core minimum standards developed in line with the principles of human-rights and community-based approaches, and it seeks the meaningful integration of community engagement standards and activities in all aspects of UNICEF's practice.

²⁷ See https://www.unicef.org/evaldatabase/index_103536.html for actions agreed by the Executive Board in support of the detailed recommendations.

²⁸ UNICEF (2019) *AAP: A Handbook for UNICEF and partners*, November 2019 (pilot version).

²⁹ UNICEF C4D (nd) *DRAFT Minimum quality standards and indicators for community engagement*.

Access	UNICEF's Access Field Manual ³⁰ was under development while the evaluation was being conducted as were the accompanying case studies which document good practice. The Framework seeks to address these gaps and challenges that exist by equipping staff and partners with the resources and support to help strengthen their efforts to gain and maintain principled humanitarian access to vulnerable children and adults.
Cash	UNICEF has published guidance for humanitarian cash transfers ³¹ to provide assistance to COs that are designing and implementing humanitarian cash transfer programmes. This has been accompanied by a summary overview which details UNICEF's use of humanitarian cash transfers.
Conflict Analysis	UNICEF has a range of tools for conflict analysis and sensitivity which date back to 2016. ³² These include a summary of its commitments and a 'Quick Guide' to conflict analysis. ³³ These resources pre-date the coverage and quality evaluation but knowledge and use of them by COs should be examined during the follow-up visits.
EMOPS procedures and guidance	In 2019, EMOPS has revised UNICEF's procedures on corporate emergency activation for L2 and L2 emergencies (with implications for use of the procedures for L1 emergencies also). ³⁴
Nexus	The evaluation noted the breadth of resources and guidance which UNICEF have to support COs in implementing nexus and resilience programming in fragile states and protracted crises. Corporate prioritisation of this aspect of UNICEF's programming has been underlined by the Executive Board in their February 2019 session. ³⁵ Subsequent to this, a briefing note on linking humanitarian and development programming ³⁶ which includes a series of examples, was published. This was partnered with a new procedure which requires UNICEF to a) build and strengthen local capacity from the outset of humanitarian action, b) improve immediate responses through preparedness programming, c) continue to improve the quality of humanitarian programmes, particularly L2 and L3 responses, d) implement risk-informed programming, and e) commit to work in partnership. ³⁷ A detailed programme framework has been prepared which provides guidance on implementation. ³⁸
Preparedness	In March 2018, the procedure for emergency preparedness was revised. ³⁹ This required COs, Regional Offices and Headquarters to complete the migration from the Early Warning Early Action to the Emergency Preparedness Platform (EPP) and to meet the Minimum Preparedness Standards.
Targeting	As outlined earlier in this section, targeting received particular attention from the evaluation and on the basis of this, a set of changes were proposed by the Executive Board. To this end, a guide and set of briefing notes have been prepared on various aspects of targeting to support change both in UNICEF and as advocacy tools for the wider humanitarian system. ⁴⁰

2.4 Implications of the evaluation findings and UNICEF's management response for the follow-on phase of the evaluation

The challenge that the evaluation posed to UNICEF was how to move from words into action and how to make a corporate shift from one that tends to reward scale to one that better identifies, analyses and responds to the greatest needs. While some of the changes that were proposed reflected UNICEF's strategic priorities, the

³⁰ UNICEF (2018) *DRAFT Access Field Manual*, 22 August 2018.

³¹ UNICEF (2018) *UNICEF Humanitarian Cash Transfers Programmatic Guide*, EMOPS.

³² UNICEF (2016) *Guide to conflict analysis*, November 2016 and UNICEF (2016) *Conflict sensitivity and peacebuilding*, November 2016.

³³ UNICEF (2016) *Quick Guide to: Conflict analysis*.

³⁴ UNICEF (2019) *UNICEF procedure on Corporate Emergency Activation for Level 3 Emergencies*, June 2019, UNICEF (2019) *UNICEF procedure on Corporate Emergency Activation for Level 2 Emergencies*, June 2019.

³⁵ UNICEF Executive Board (2019) *Update on UNICEF humanitarian action with a focus on linking humanitarian and development programming*, First regular session, February 2019.

³⁶ UNICEF (2019) Briefing note: Implementation of the UNICEF Procedure on Linking Humanitarian and Development Programming, October 2019.

³⁷ UNICEF (2019) *Memorandum: UNICEF procedure on linking humanitarian and development programming*, 03 May 2019.

³⁸ UNICEF (2019) *Integrating humanitarian response and development: Programme framework for fragile contexts*, April 2019.

³⁹ UNICEF (2018) *UNICEF procedure on preparedness for emergency response*, 30 March 2018.

⁴⁰ Briefing notes have been prepared on issues of costing humanitarian plans, calculating affected population and people in need, humanitarian response target levels, and selecting HAC targets and indicators.

evidence gathered during the evaluation suggested time would be required for change to happen, and so even 12-months after the evaluation, there should be modest expectations about what will have been achieved.

While the preparation of new resources and guidance shows organisational intent there should be modest expectations that it will have been disseminated, understood and practiced at a field level. Linked to this, it is important to note that the breadth of the literature made available by UNICEF to guide its programming received praise in the evaluation, but it was knowledge of the guidance by field staff, and its practical use where concern was raised in the Synthesis report. In the 'Systems and Procedures' section of the report, the evaluation found that *'while UNICEF benefits from a wealth of global guidance across all aspects of policy and practice in complex humanitarian emergencies, which are available in a range of media, the case studies suggested these are not consistently referred to or used by over-burdened and time-poor field staff.'* This suggests the importance of focusing greater attention on the limits of CO staff knowledge of the resources that are available in addition to their practical use. Linked to this, the evaluation found that there was a fundamental challenge in the time that field staff had available to read and digest these materials which suggests that without addressing this challenge, new or additional guidance may have limited impact on programme coverage and quality. The management actions agreed by the Executive Board acknowledge this and steps already taken by UNICEF to restructure headquarters support mechanisms by bringing together humanitarian evidence, knowledge management and learning functions in EMOPS into one strengthened section, the Humanitarian Evidence and Learning Section may, in time, assist in finding solutions to this challenge.

While it would be prudent to have limited expectations about the adoption of new policies into practice (particularly given that some of the documents outlined above are still in draft), there is potential for some changes to have occurred, particularly in COs which may be piloting specific programme approaches or ways of working. The areas that Itad team members should take particular note of include the following:

2.4.1 Access

UNICEF's Field Access Manual which was being prepared during the early phases of the evaluation, has benefitted from broad engagement from COs during its drafting. It is possible that several of the case study countries may have adopted aspects of it and it certainly offers the Itad team an important set of good practice references to benchmark CO performance against. A short list of priority questions is proposed below (figure 5).

Figure 5: Supplementary questions on access

- Has the CO implemented approaches or tools outlined in the Access Field Manual including humanitarian negotiation?
- Which of these has it tried and how has this changed the access that it has to affected people in greatest need?
- What have been the key internal and external challenges or blockages and what has the CO done to seek to overcome these?

2.4.2 Nexus

During the evaluation, the nexus was an aspect of UNICEF's practice which garnered significant interest and the evaluation team was challenged about the extent to which the final report did justice to it. The challenge was that COs tended to lack clarity about how to operationalise nexus programming in a way that benefitted principled coverage and quality and the nature of CO interest was more about *'how to do'* the nexus rather than how nexus concepts and approaches have benefitted affected people, which is the focus of the evaluation. The new raft of tools and good practice examples outlined in figure 4 were only published in 2019 but the case studies should seek to understand in detail the specific approach of the CO in dovetailing humanitarian, development and peacebuilding – albeit in practical terms – and seek to identify how, if at all, this has strengthened UNICEF's reach or strengthened its access to resources to meet the needs of affected people (figure 6).

Figure 6: Supplementary questions on the nexus

- What has been the approach of the CO to understanding issues and implementing programmes linked to the nexus (and working in fragile contexts)? Has the new guidance assisted this? What changes has a nexus lens made to UNICEF's programme?
- In what practical ways has the adoption of a nexus framework expanded either principled coverage or quality of UNICEF's programme?
- What have been the key internal and external challenges or blockages and what has the CO done to seek to overcome these?

2.4.3 AAP

UNICEF's Draft AAP framework was in circulation during the evaluation and this has now been accompanied by a handbook, albeit relatively recently. Despite being a corporate priority, the evaluation found this to be a weakness, both in terms of UNICEF's systems, but also in terms of how it manages and moderates its partnerships. This is despite the potential that community participation and feedback has for identifying those in greatest need and strengthening the quality and relevance of programming which are all important issues for the evaluation. The follow-on phase should seek to understand how COs have been seeking to strengthen their own AAP practice in addition to understanding how partners are held accountable for promoting participation and collecting, but also responding to feedback (figure 7).

Figure 7: Supplementary questions on AAP

- What is the approach of the CO to incorporating the basic tenets of UNICEF's AAP framework (or broader approaches to provide information, facilitate participation, and elicit and respond to feedback) throughout the different aspects of the project cycle?
- And to what extent do COs monitor AAP implementation by their NGO and government partners?
- What evidence exists of how this has contributed to strengthening coverage with equity (i.e. identifying and responding to those in greatest need)? And quality (using participation and feedback to strengthen the relevance and effectiveness of programmes)?
- What have been the key internal and external challenges or blockages and what has the CO done to seek to overcome these?

2.4.4 Coverage – identifying and targeting people in greatest need of assistance

As outlined in the 'key messages' of the synthesis report, UNICEF's approach to coverage was considered to be a challenge as the starting point was frequently articulated in terms of targets rather than an assessment of people in need. Furthermore, the basis for the selection of target groups was not always clear. Linked to this, the evaluation found that institutional incentives tended to prioritise coverage over quantity. The challenge that these findings present is that those with the greatest needs, are often also the most difficult (and hence costly) to assist. The Itad evaluation teams should seek to examine the data that has been used to inform UNICEF's targeting in order to determine the extent to which UNICEF has been able to identify and access those in greatest need.

Figure 8: Supplementary questions on targeting and institutional incentives to promote coverage with equity

- What evidence has been used by UNICEF (and clusters) to assess and respond to priority needs at sector/section level. To what extent does this include an understanding of the differential needs of affected people?
- How has this informed UNICEF's targeting and to what extent do programme staff consider they are targeting those with greatest needs?
- For those people in greatest need, but to whom the humanitarian community have least access, what is UNICEF doing to reach them (through advocacy, innovative partnerships, humanitarian negotiation, use of access approaches etc.)?
- What evidence exists to show that need has been prioritised over numbers (or an approach that balances these different factors has been taken)?

2.4.5 Partnership

The evaluation raised questions about the extent to which UNICEF engages strategically with its government and non-governmental partners in order to maximise programme coverage and quality. It flagged the potential for UNICEF to strengthen partner access through its advocacy, be more engaged in how its partners

understand and utilise humanitarian principles, and to focus more attention on partner capacity development (figure 9).

Figure 9: Supplementary questions on partnership and localization

- How has UNICEF used its different partners to maximise access, increase coverage and ensure delivery of quality programmes?
- To what extent does UNICEF monitor the delivery of approaches to strengthen coverage and quality (e.g. AAP, principled humanitarian access) by its partners?
- To what extent and in what ways is UNICEF engaging in strategic or operational capacity strengthening of its partners to promote access to those in greatest need?
- In instances when access has been denied, to what extent and in what ways has UNICEF used the leverage it has with governments, HCT members and Non-state groups in support of its partners' access?

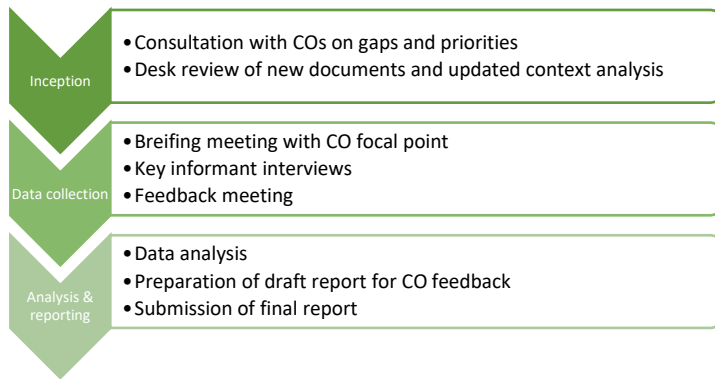
While the areas listed above should form an important focus for the follow-on case studies, it will be important to discuss and identify significant changes during the inception phase prior to each visit so the questionnaires and tools can be revised to ensure that they take account of changes in these important ways of working that may have contributed to shifts in coverage or quality.

3. Case study update approach

This section outlines the team's approach to updating the case studies including how this will link to the initial evaluation and analytical framework. It will outline the different phases of the evaluation and will identify limitations and mitigation measures.

3.1 Proposed approach for the case studies

Figure 10: Case study process



Itad will tailor its approach to each of the case study updates as some contexts may have changed more significantly than others, the strategic questions for further analysis may vary between COs, and some case studies may require more work than others to make them full evaluation reports. To this end, each of the case studies will entail an inception, data collection and analysis and reporting phase. Figure 10 presents the approach to the field-based country case studies:

As noted above, the main evaluation ToR will continue to be the backbone for this evaluation. In addressing requests to expand the case study reports to make them fully-fledged evaluation reports through undertaking additional data collection and analysis, the Evaluation team will seek to answer the following questions:

- Consider the changes in context since the case studies were undertaken – what more do we know now, and what has changed in regard to the country context, institutional context and operational context?
- Review all evaluation questions and the analysis made in the case study reports, consider how robust this was, and make judgement on areas where the evidence-base was weak/narrow, including questions that were not sufficiently responded to, given constraints of time, documentation, key staff/partners not available, etc. Consider gaps highlighted by the country offices as part of the feedback provided on the reports, as well as the Teams' experiences in undertaking the 11 case studies.
- Consider the change in strategies/guidance/vision/capacities (e.g. revised CCCs, the new L2/L3 triggering procedures, guidance on AAP, Access, targeting, new Humanitarian-Development nexus procedure and board paper, changes in resources (staffing, funds, skills training, etc), since the evaluation field work, and how these elements have impacted on coverage, quality and equity of humanitarian response.
- Consider any evidence stream available since the evaluation (e.g. new documentation, evaluations/research/studies; annual reports, updated data, good practice/innovative ideas, etc.) that could be used to expand the analysis.
- Consider a few (and strategic) areas for further enquiry proposed by the COs related to coverage, quality and equity of their humanitarian response.
- Consider specific actions taken by the COs in response to the recommendations that were made in the phase 1 evaluation reports.

These questions will form the central pillar for the three phases of the update, details for which are provided below:

3.1.1 Inception phase

A short inception phase will be undertaken for each of the case studies during which the following issues will be discussed and agreed:

- Identify perceptions about what is missing from the case studies and to agree priority areas to make these full evaluation reports;

- Identify any gaps in the evidence collected against the original evaluation questions, and to determine jointly what is possible to achieve in the time allocated for the case study against the original evaluation questions. Agree on the additional areas of enquiry that the COs would like the team to explore in relation to coverage, quality and equity of their humanitarian response;⁴¹
- Provide any new or additional literature, both internal and external including assessment reports, sitreps, context analysis, CO studies, research and evaluations, Humanitarian Needs Overviews and Humanitarian Response Plans, cluster reports.
- Determine if in-country travel at the sub-national level is required and what requirements this places on UNICEF/Itad in terms of time and resources.⁴²
- Agree a draft schedule, including internal/external key informant interviews to ensure that the time the evaluators spend in country can be used as effectively and efficiently as possible.

At the end of the inception phase, each evaluation team will produce a short inception note setting-out the scope and parameters for the case study update, the precise level of effort required for the country visit, details of interviews to be conducted in-country, and whether or not travel to the sub-national level will be required.

3.1.2 Data collection phase

For the follow-on phase, it has been agreed that field visits will be conducted by two-person teams for approximately 7-8 days. Each visit will start in country with a brief kick-off meeting with UNICEF focal point to discuss the context, the evaluation approach and priorities for the follow-on visit. This will be followed by a meeting with a broader selection of staff for the purpose of supporting the CO to reflect on key findings lessons and good practice from the evaluation process including from the Synthesis report as part of the data collection phase.

A series of semi-structured interviews will follow with key in-country informants based on discussions during the inception phase. At the end of each country visit, a feedback workshop will be held with the CO. The purpose of this will be to co-create draft recommendations from emerging findings and also to reflect on key findings, lessons and good practice from the synthesis report.

3.1.3 Analysis and reporting phases

The evaluation team will use the existing case study reports as a basis for the update to evaluation reports. As part of the internal team kick-off, the team will discuss how best to support utilisation of the evaluation reports and ensure that the updated content is accessible and engaging. The evaluation report will meet UNICEF's reporting requirements and quality standards.

3.2 Analytical framework, evaluation matrix and questions

It will be important to ensure a close link between the initial evaluation that was undertaken and the follow-on phase and for this reason, the original analytical framework, evaluation matrix and questions that guided the evaluation will be used to guide the case studies. These tools are summarised below.

3.2.1 Analytical framework

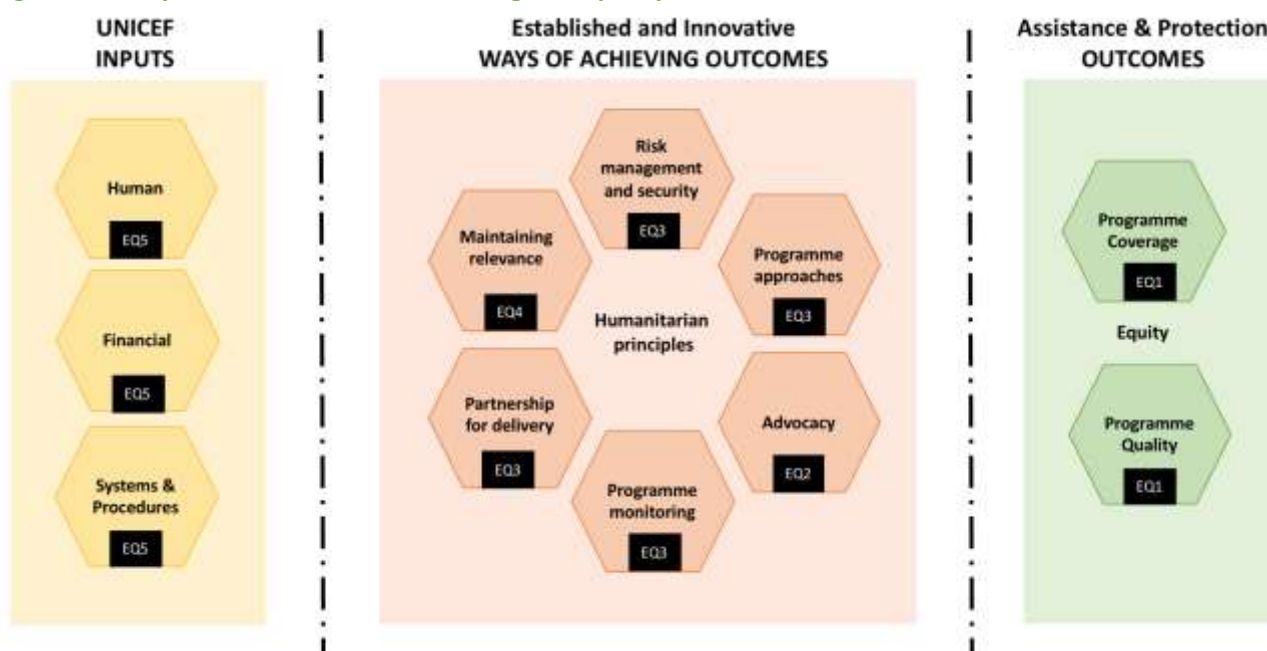
The analytical framework articulated the critical building blocks and enablers of success for UNICEF to achieve coverage and quality in its humanitarian response. It was used as part of an inductive approach to exploring which of these building blocks were present in particular case study contexts, the extent to which these have

⁴¹ Please note that the follow-up, or additional work, will need to be feasible within the timeframe for the visits (i.e. one week).

⁴² Given the limited time available for the field visits, engagement with sub-national staff may be most efficiently undertaken via Skype during the case study visits.

enabled or hindered success, and as a means of identifying where good practice and innovation existed that could be applied elsewhere (see figure 11).

Figure 11: Analytical framework for the coverage and quality evaluation



The framework explored coverage and quality through three lenses: the **outcomes or results** of UNICEF’s humanitarian response with regard to coverage and quality, as well as fulfilling its protection mandate; the **ways of achieving results** and approaches that are applied across a range of field contexts, as well as at a global level to support its operations in complex humanitarian situations. This includes the ways in which UNICEF delivers its programmes, works in partnership, advocates and uses other approaches to strengthen coverage and quality; and the **inputs** that UNICEF provides – specifically systems, procedures and tools – which enable or hinder the ways of working. Each of these lenses are outlined below, presenting the headline evaluation questions that will be addressed under each lens.

3.2.2 Evaluation matrix and questions

Based on the analytical framework, an evaluation matrix was developed which consisted of five headline evaluation questions and a series of sub-questions, to explore how good practice and innovations at the field level were contributing to coverage and quality outcomes. The evaluation team linked each of the key evaluation criteria as stated in the original ToR (relevance, coherence, connectedness, coverage, effectiveness, efficiency) to each of the evaluation questions and sub-questions. The table below (figure 12) makes the linkage clear.

Figure 12: Mapping the OECD-DAC criteria against the evaluation questions

Evaluation question	Link to OECD/DAC criteria as outlined in the ToR for the evaluation
EQ1: To what extent is UNICEF achieving coverage and quality in its humanitarian action, in an equitable way; and what good practice, lessons and practical solutions can be identified to inform improvements across UNICEF’s response?	This evaluation question will focus on the <i>effectiveness</i> of UNICEF’s programme coverage and quality in complex humanitarian situations. Where possible, analysis will include each of the sectors of UNICEF’s response. Implicit in this question is an assessment of how successful UNICEF has been in maintaining <i>coverage</i> .
EQ2: In what ways and how effectively has UNICEF influenced others to strengthen protection and to increase the	This question will examine the <i>effectiveness</i> of UNICEF’s advocacy related to UNICEF’s specific mandate on Children and Armed Conflict and the

quality and coverage of humanitarian action?	Protection of Civilians. It will also determine the effectiveness of UNICEF's advocacy to increase access to people in need of assistance and protection.
EQ3: What programme approaches and partnership strategies have UNICEF employed at the field level to gain principled access and improve coverage and quality, and with what success?	<p>This question covers a broad range of criteria:</p> <ul style="list-style-type: none"> ▪ The relevance and effectiveness of UNICEF's programme strategies, partnership approaches and monitoring modalities to prove and improve quality will be evaluated and an assessment will be made of how these have contributed to an understanding of coverage and how to strengthen it. ▪ The contribution made by the UN's Security Management System, the UN's Programme Criticality Framework and the implementation of the inter-agency 'Stay and Deliver' Strategy to enabling or inhibiting coverage will be assessed. ▪ Connectedness will be reviewed through an assessment of how UNICEF has sought to strengthen local and national partner capacity to build resilience to crises. ▪ The coherence criterion will be explored through an assessment of how the presence of UN Missions or the actions/inactions of government, HCT and partners and UNICEF's engagement with parties to the conflict have affected (positively or negatively) UNICEF's ability to adopt a principled response.
EQ4: To what extent is UNICEF's humanitarian response designed to be relevant and is adapted to ensure its ongoing relevance evolving needs and priorities?	<p>This question covers several evaluation criteria:</p> <ul style="list-style-type: none"> ▪ This evaluation question will assess the relevance/appropriateness criterion. An assessment of how UNICEF's context analysis and engagement with communities will contribute to this. ▪ An assessment of humanitarian-development linkages in complex humanitarian situations will contribute to the analysis of connectedness. This criterion will also be explored through an assessment of UNICEF's preparedness for new humanitarian crises.
EQ5: To what extent do UNICEF's management, systems and procedures support an effective response in complex humanitarian situations?	As outlined in the ToR, this evaluation question will examine the efficiency criterion by assessing the extent to which UNICEF's revised humanitarian systems have improved its response in complex humanitarian situations and how well UNICEF is managing its financial risks associated with its humanitarian programming.

The evaluation matrix is reproduced in annex 1, and includes key evaluation questions and sub-questions, indicators, methods and tools for data collection and analysis. A sheet outlining core evaluation questions is reproduced in annex 3.

Supplementary questions outlined in section 2.2.3 which link to the recommendations of the evaluation report and the subsequent management response on issues which are material to the promotion of coverage and quality have been added as a focus for this second phase of the evaluation. While the questions outlined in the evaluation matrix and the question sheet are still relevant and should be reviewed, the supplementary questions provide a focus for the field work and should be discussed during the inception phase to gauge their relevance. These have been added to the questions in annex 3.

4. Update methodology and tools

This section provides an overview of the evaluation methodology including the data collection and analysis tools that will be employed.

4.1 Data collection methods and sources

A mixed-methods approach will be used for data collection and analysis. The evaluation will ensure methodological rigour by building on the initial case study report with a view to i) validating existing evidence, (ii) supplementing this with additional or new evidence which has a bearing on coverage and quality, (iii) verifying changes that have been made by triangulating different data sources.

The main methods for identifying gaps and priorities for the follow-on visits and for supporting data collection and analysis includes the following:

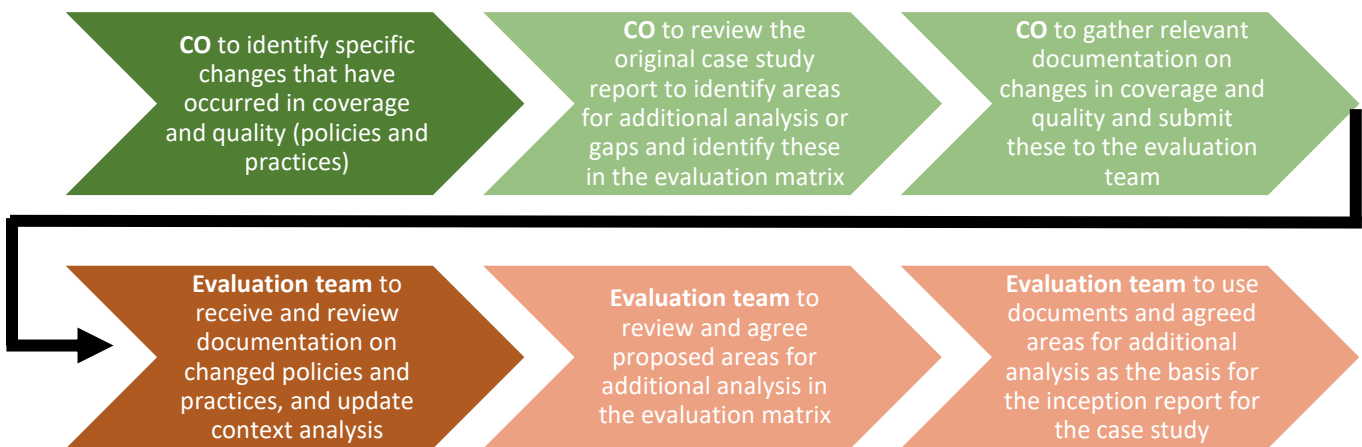
- Analytical framework/evaluation matrix prioritisation process;
- Document and literature review;
- Updated context analysis to identify how the internal and external context has changed and the influence this has on UNICEF's coverage and quality;
- Semi-structured key informant interviews.

4.1.1 Analysis of recent changes in coverage and quality and identification of issues for prioritisation in the analytical Framework/evaluation question prioritisation process (case study inception phase)

As outlined in section 3.1 above, an essential part of the follow-on process will be a review of the existing country visit report in an addition to an identification of gaps and areas for focus. As these will be bounded by the ToR, the process should draw from a review of the following key documents (see also figure 13):

- Specific changes that have occurred that are linked to coverage and quality should be identified by the CO in advance of the case study visit, and relevant literature should be gathered and shared with the evaluation team during the inception phase.
- Areas requiring further analysis should be identified from a review of the case study report by the CO. These should be summarised and shared with the evaluation team during the inception phase ((i.e. changes in country/institutional/operational context).
- The analytical framework and evaluation questions/sub-questions should then be examined to pinpoint the key areas of focus/follow-up for the evaluation team.

Figure 13: Process to identify gaps and areas for further research during the follow-on evaluation



4.1.2 Document and literature review

The evaluation team conducted an extensive review of documentation to inform the case study report which included country-level and global documentation relating to the coverage and quality of humanitarian assistance in advance of each of the country case studies. During the follow-on phase, the evaluation team will build on the work already conducted with a view to analysing additional documentation provided by the UNICEF CO that either responds to gaps identified in the case study report or new evidence linked to UNICEF's coverage and quality in the country.

4.1.3 Updated context analysis

The evaluation team will conduct a rapid country-level context analyses in each of the case studies to identify and analyse recent contextual factors that have impacted on the coverage and quality humanitarian assistance. This will be based on a review of literature provided to the evaluation team by the UNICEF CO.

4.1.4 Semi-structured key informant interviews

Semi-structured key informant interviews will be conducted in each of the countries. These will be informed during discussions with the UNICEF CO and will engage a range of stakeholders which may include UNICEF CO staff, Resident Coordinators/Humanitarian Coordinators, UN agencies, local government authorities, Non-governmental Organisations (NGOs) and donors. Because the focus of the follow-on case studies is on changes made within UNICEF since the evaluation took place, in addition to filling gaps in the analysis, it is anticipated that the majority of KIIs will be internal, with external participation for the purpose of context analysis and triangulation. The KIIs will use existing interview tools and templates that were developed during the evaluation in addition to a list of supplementary questions based on the findings of the evaluation Synthesis Report and associated management actions. These are listed in annex 3.

4.1.5 Evaluation reports

The evaluation team will use the existing case study reports as a basis for the update to evaluation reports (see annex 5 for the structure of the reports).

An important issue for this phase of the evaluation will be the need to address sensitive content contained in the reports in order to allow them to be published. In the previous phase of the evaluation, it was agreed that reports would not be altered as they were a contribution to the final synthesis report which drew on the detailed evidence they contained. There was also insufficient time to produce a 'sanitised' report linked to concerns about the risk of diluting the findings and key messages. With the synthesis report having been finalised, there is now greater scope to navigate these sensitivities with a view to generating a report that can be published. This will require that content is either summarised, anonymised, or removed from the reports.

The evaluation team will agree with the CO the most appropriate action to take, with an agreement that – where changes have been made to allow the report to be published – the revisions should not influence the conclusions and recommendations.

4.2 Tools from the evaluation which are less relevant to the follow-on phase

During the initial case studies for the evaluation, a range of tools were used which included some that will not be employed during the follow-on phase. These are listed below for the sake of clarity.

4.2.1 Humanitarian quality and coverage analysis tool

This tool was used as a means of seeking to determine the coverage that UNICEF sectors achieved. While the tool was successful in identifying issues linked to UNICEF's coverage, the lack of rigorous and accessible sector-level data about the total number of affected people; their differential needs and an indication of those in greatest need, and; an analysis of decision-making about which communities were subsequently targeted for assistance, meant that the primary purpose of the tools – to determine sector-level coverage – was not possible to determine. Because of the challenge that this presented, and the limited utility of the findings, the use of this tool in phase two of the evaluation is not recommended. Because of the limitations of the data that

was available, it is not recommended that the data that was collected during the evaluation is presented in the country evaluation reports.

4.2.2 Community engagement tool

Engagement with affected people in complex humanitarian emergencies provided an important stakeholder group and was used to triangulate secondary evidence on coverage and quality. Due to the short-timeframe of the follow-on case study visits, and the resources required to facilitate these visits, it is not unlikely that the visits will include additional community engagement. Data from the first phase of the evaluation should continue to be used to inform the revised reports. This may be supplemented by additional community information obtained from UNICEF monitoring reports, perceptions studies and feedback mechanisms. This approach should be agreed during the inception phase for each of the visits to ensure expectations are clear.

management response has been published, there is greater scope to deal with sensitive material in a way that is consistent with publishing the report.

Mitigation measures and support required: The evaluation team should liaise closely with the CO to find ways to address potential sensitivities. This may require that specific aspects of the report are referred to obliquely or that some of the details are removed. Where this is done, it is important that the overall conclusions and recommendations are not affected.

- Limitation: The evaluation was completed a year ago and in the time since it finished, there has been significant staff turnover. There has been similar turnover within the Itad evaluation team. Successful delivery of the follow-on phase will be predicated on strong coordination between Itad and the participating UNICEF COs.

Mitigation measures and support required: This inception report outlines a strategy to facilitate engagement between Itad and UNICEF COs. It also outlines a process through which priorities for the follow-on phase can be agreed. It will be important that the approach that has been outlined is followed in order to facilitate successful delivery of the evaluation outputs. Where possible, Itad staffing should draw on experience from the first phase, albeit recognising the benefits of engaging additional consultants who have relevant experience and different perspectives to offer.

- Limitation: While the evaluation was well-received by UNICEF and the Executive Board has proposed significant action to be taken in response to the recommendations, change will understandably take time to embed across the agency and so while policies and procedures may have been revised or new ones prepared, there is likely to be a lag in CO uptake. Linked to this, one of the key challenges highlighted in the evaluation were the limitations in the scope that CO staff (and particularly field staff) had to read new guidance which pointed to a need for change in knowledge management and training.

Mitigation measures and support required: Evaluation team members will review the actions agreed by the Executive Board alongside new or revised guidance, policies and procedures in order to ensure familiarity. These will offer important context to the team for their discussions with respective COs and will be referred to where they are linked to areas proposed by the CO for prioritisation during the follow-on phase.

5.2.2 Country/operational-level

- Limitation: The evaluation team will have a number of practical support needs in advance of each field mission; early engagement with administrative staff at the CO may be required in order to prepare and submit visa applications; Itad has a rigorous security policy which will necessitate the need for discussions between its security officer in the UK and the relevant UNICEF staff member at country-level

Mitigation measures and support required: Itad will seek to work with the CO in advance of field missions to ensure that there is clarity about how the team will work and conduct the evaluation in each of the participating countries.

- Limitation: Travel to field offices can be challenging for reasons of logistics and security.

Mitigation measures and support required: The need for members of the evaluation team to travel to field missions will be agreed on a case-by-case basis during the inception phase for the CO, however, given the limited time available for travel, and the fact that sub-national travel occurred for all the previous case study visits, it is suggested that engagement with field staff may be best undertaken remotely from the national-level UNICEF office which may permit broader engagement (albeit lower quality). For countries where travel to the field is felt to be necessary, the evaluation team will need to rely to a great extent on UNICEF's facilitation, particularly for travel and accommodation. For security issues, Itad's focal point will engage directly with the CO Security Officer.

The evaluation team will seek to make contact with UNICEF COs well in advance of its arrival in order to determine what support will be necessary and in what ways UNICEF may be able to facilitate the work of the team.

5.3 Ethical considerations

Consideration of ethical standards is fundamental to any research or evaluation conducted in humanitarian and emergency settings. It is essential that those engaged in and informed by the evaluation are treated appropriately, and decisions about their treatment will influence the evaluation's design. The main ethical issues that are anticipated in this evaluation relate to the stakeholders that the evaluation team engage with, particularly affected communities – however, since this is unlikely to be a feature of the follow-on phase, concerns arising from contact are significantly reduced.

Itad has developed a comprehensive document, *'Itad's Ethical Principles for Evaluations'*, which sets a standard to which all Itad staff, consultants and partners adhere when working on Itad managed evaluations (see annex 3). Itad evaluators operate in accordance with international human rights conventions and covenants to which the United Kingdom is a signatory, regardless of local country standards.

The evaluation team is familiar with UNICEF's procedures, guidelines and tools to ensure the human dignity of children is honoured and that their rights and well-being are respected in all research, irrespective of context. These include the International Charter for ethical research involving children, the Ethical Research Involving Children compendium, UNICEF's Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis, and the working paper on ethical research involving children in humanitarian settings.⁴³ In the event that interviews are undertaken with affected people, focus groups and other data collection and sharing will be conducted in accordance with these guidelines and principles.

Itad takes responsibility for identifying the need for and securing any necessary ethics approval for the study they are undertaking. This may be from national or local ethics committees in countries in which the study will be undertaken, or other stakeholder institutions with formal ethics approval systems.

5.4 Quality assurance

5.4.1 Itad's quality assurance approach

Itad's approach to quality assurance (QA) is informed by the system of academic peer-reviewing and by established standards for evaluation quality. It promotes the highest standards for conduct of evaluations, and will ensure that the follow-on evaluation is conducted according to the relevant professional standards. Itad will strive to meet OECD-DAC standards for usefulness, cost-effectiveness, accuracy, credibility, and equity.

QA will assure that the evaluation adheres to the Quality Standards for Development Evaluation, which state that they, *'aim to improve quality and ultimately to reinforce the contribution of evaluation to improving development outcomes'*. The standards cover overarching evaluation issues, the purpose, planning and design of evaluations, conducting evaluations and reporting on them, and follow-up, use and learning from evaluations.

Itad will also ensure that the evaluation is conducted in line with the ALNAP guidance on conducting humanitarian evaluations and the UK Evaluation Society Good Practice Guidelines; and that the evaluation team can demonstrate the International Development Evaluation Association's Competencies for International Development Evaluators (Itad's quality assurance process is outlined in annex 4).

5.4.2 UNICEF's role in quality assurance

The evaluation will be managed by the Evaluation Manager from UNICEF's EO, who will play a key in ensuring quality. Responsibilities will include the following:

⁴³ International Charter for Ethical Research Involving Children <http://childethics.com/charter>; Ethical Research Involving Children, Innocenti Publications, UNICEF Office of Research - Innocenti, Florence, 2013 <https://www.unicef-irc.org/publications/706/>; UNICEF's Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis, 2015 https://www.unicef.org/supply/files/ATTACHMENT_IV-UNICEF_Procedure_for_Ethical_Standards.PDF; What We Know about Ethical Research Involving Children in Humanitarian Settings: An overview of principles, the literature and case studies, Innocenti Working Papers no. 2016_18, UNICEF Office of Research - Innocenti, Florence, 2016 <https://www.unicef-irc.org/publications/849/>

- Coordination and supervision of all activities of the evaluation team, and decision-making;
- Technical management of the evaluation, according to the terms of reference and stipulations of the inception report;
- Consulting and liaising with evaluation focal points for each of the case study COs, and collation and rationalisation of written comments on evaluation products;
- Facilitating internal and external review and quality assurance processes;
- Approving all deliverables, based on consultation with the EO Director;
- Preparing publishing-ready versions of the reports for issuing by the Director, Evaluation Office; and
- Providing overall guidance to the evaluation team on UNICEF requirements and standards for evaluative work.

Of key importance to the execution of the evaluation and responsible for the quality of the process will be the designated evaluation focal points. For all case studies, the UNICEF CO will designate a focal point for the evaluation, whose role will be to facilitate communication between the evaluation team and the staff of the CO, and to provide the necessary assessments, plans, reports and other background documentation. In the case of country visits, the focal point will assist with the planning of the evaluation team's itinerary and appointments and other logistical support, as required.

The CO focal point will also play a quality assurance role through the provision of advice to the evaluation team. The focal point will review the inception report, the draft evaluation report, and the draft and final draft reports. The focal point will coordinate and collate written comments on key evaluation products to the evaluation team through the Evaluation Manager. S/he will contribute to the consultation processes, management response, action plan and dissemination strategy post-evaluation.

Annex 1: Evaluation Matrix

Presented overleaf is the evaluation framework, consisting of evaluation questions, sub-questions, indicators, data sources and analytical methods. The matrix will guide the follow-on phase of the evaluation.

Evaluation Questions/Sub-questions	Indicators	Data collection methods & sources	Analytical methods
OUTCOMES			
EQ1: To what extent is UNICEF achieving coverage and quality in humanitarian action in an equitable way and what good practice, lessons and practical solutions can be identified to inform improvements across UNICEF's response in complex humanitarian situations?			
<p>1.1 How successful has UNICEF been in achieving and maintaining coverage (geographic and demographic) in its humanitarian assistance and protection response?</p> <ul style="list-style-type: none"> Which factors have enabled or constrained coverage? To what extent has UNICEF been able to overcome the constraints? What good practice, lessons and practical solutions could be applied in other contexts? 	<ul style="list-style-type: none"> Evidence of overall humanitarian needs and coverage as outlined in the Humanitarian Needs Overview, Humanitarian Response Plan and RC/HC annual report Evidence of the coverage achieved by UNICEF against its targets and the total population in need for nutrition, health, WASH, education, HIV and AIDS and child protection Evidence of disaggregated data on UNICEF's coverage targets and results (age, gender, disability) and of vulnerability analysis based on disaggregated data or localised analysis on vulnerability patterns Evidence of use of disaggregated data and analysis of disaggregation to reach the hardest-to-reach, most marginalised, and most vulnerable Evidence of factors that have influenced coverage and approaches that have been taken to improve coverage 	<ul style="list-style-type: none"> Document and literature review including Humanitarian Needs Overview, UNICEF country reporting documents and sectoral programme reports, good practice case studies and evaluations Interviews and focus groups at field level, including with UNICEF staff, UN agencies, INGOs, donors, and affected communities and populations 	<ul style="list-style-type: none"> Humanitarian coverage and quality analysis tool Cross-country case study analysis
<p>1.2 To what extent is UNICEF aware of, and meeting, its CCC and other commitments and international humanitarian programme standards?</p> <ul style="list-style-type: none"> To what extent is UNICEF contributing to the programming results outlined in the CCC results in a way that is relevant to the context? Which other humanitarian programme quality standards are applied in practice by Country Offices? Which factors have enabled or constrained quality? To what extent has UNICEF been able to overcome the constraints? What good practice, lessons and practical solutions could be applied in other contexts? 	<ul style="list-style-type: none"> Evidence of the knowledge, use of and results from the implementation of the <u>CCC</u> for each of UNICEF's programme sectors Evidence of the knowledge and use of other quality standards (<u>Sphere</u>, <u>Core Humanitarian Standard</u>, <u>INEE Minimum standards</u>, <u>Child Protection Minimum Standards</u>, <u>Harmonised Approach to Cash Transfers</u>) Evidence of factors that have influenced quality and approaches that have been taken to improve it 	<ul style="list-style-type: none"> Document and literature review including UNICEF country reporting documents and sectoral programme reports Interviews and focus groups at field level, including with UNICEF staff, UN agencies, INGOs and affected communities and populations 	<ul style="list-style-type: none"> Humanitarian coverage and quality analysis tool Cross-country case study analysis
<p>1.3 How does UNICEF balance coverage and quality in complex humanitarian situations where it is hard to maintain high quality across hard to access areas?</p>	<ul style="list-style-type: none"> Evidence of a systematic analysis of coverage (against a disaggregated vulnerability assessment) and assessment of quality standards. Evidence of a decision-making process 	<ul style="list-style-type: none"> Document review, including UNICEF country reporting documents and sectoral programme 	<ul style="list-style-type: none"> Humanitarian coverage and quality analysis tool Cross-

<ul style="list-style-type: none"> Does UNICEF have a systematic way of assessing the level of quality that can be achieved against coverage (geographic and demographic) that needs to be achieved? What are challenges, lessons, good practice, and practical solutions that could be applied in other contexts? 	<p>weighing up trade-offs.</p> <ul style="list-style-type: none"> Evidence of routine re-assessment of trade-offs 	<p>reports</p> <ul style="list-style-type: none"> Interviews with UNICEF staff, implementing partners, cluster members 	<p>country case study analysis</p>
<p>WAYS OF ACHIEVING OUTCOMES</p>			
<p>EQ2: In what ways and how effectively has UNICEF influenced others to strengthen protection and to increase the quality and coverage of humanitarian action?</p>			
<p>2.1 How actively is UNICEF speaking out against grave violations against children in situations of armed conflict, conflict-related sexual violence against children and women, and advocating for the protection of civilians and compliance with international humanitarian law?</p> <ul style="list-style-type: none"> What lessons do successful examples of humanitarian advocacy provide for the organisation? 	<ul style="list-style-type: none"> Evidence of the knowledge and use of <u>child protection monitoring & reporting mechanism (MRM)</u> Evidence of the effect of the MRM on the lives of children Evidence of where and how UNICEF has successfully advocated and influenced decision-making on issues relating to protection of civilians and compliance with IHL. 	<ul style="list-style-type: none"> Document and literature review including previous reviews/evaluations Interviews and focus groups at field level, including with UNICEF staff, UN agencies, INGOs, donors, RC/HC, government officials 	<ul style="list-style-type: none"> Context analysis Cross-country case study analysis
<p>2.2 In what ways, to what extent and with what success has UNICEF been able to influence the government, implementing partners, the HCT and Integrated Missions at country-level to improve principled humanitarian access?</p>	<ul style="list-style-type: none"> Relevance of UNICEF's guidance on <u>Advocacy in Emergencies</u> Evidence that UNICEF has used advocacy to improve access in complex humanitarian situations at the agency or inter-agency level (HCT) 	<ul style="list-style-type: none"> Interviews with UNICEF HQ, RO, CO staff Interviews with HCT members, RC/HC, UN Mission staff, government officials Document and literature review 	<ul style="list-style-type: none"> Cross-country case study analysis
<p>EQ3: What programme approaches and partnership strategies have UNICEF employed at the field level to gain principled access and improve coverage and quality, and with what success?</p>			
<p>3.1 To what extent has UNICEF's engagement in complex humanitarian situations been guided by the humanitarian principles of humanity, impartiality, neutrality and independence, and what effect have these had on coverage and quality?</p> <ul style="list-style-type: none"> How successfully has UNICEF been able to manage constraints imposed by the application of the principles, as well as any trade-offs between the principles? 	<ul style="list-style-type: none"> Evidence that staff have an understanding of humanitarian principles (<u>UNICEF's humanitarian principles</u>) Evidence that a principled approach has guided decision-making to support improvements in coverage and quality Evidence that application of principles has had positive impact on coverage and quality 	<ul style="list-style-type: none"> Document and literature review Interviews with UNICEF HQ, RO, CO staff; RC/HC, cluster members, donors, implementing partners Identification, review and documentation of case studies 	<ul style="list-style-type: none"> Cross-country case study analysis Analysis of decision-making criteria around application of approaches to improve access
<p>3.2 What partnership strategies has UNICEF adopted to deliver assistance in complex humanitarian situations, and to what extent have they strengthened the coverage and quality of humanitarian action?</p> <ul style="list-style-type: none"> To what extent, and to what effect, is UNICEF building national and local systems and capacities for humanitarian coordination and rapid 	<ul style="list-style-type: none"> Evidence of initiatives to engage and support national and local first responders (<u>2018-21 strategy, WHS</u>) Evidence of partnership approaches that have improved coverage and quality in UNICEF's humanitarian action Evidence that UNICEF is strengthening the capacity of its local/national partners that are delivering humanitarian assistance 	<ul style="list-style-type: none"> Document and literature review Interviews with UNICEF HQ, RO, CO staff; RC/HC, cluster members, donors, implementing partners, government officials, integrated mission 	<ul style="list-style-type: none"> Cross-country case study analysis

<p>scale-up or maintenance of life-saving services and protection?</p> <ul style="list-style-type: none"> How well is UNICEF managing the transfer of risk to its implementing partners? 	<ul style="list-style-type: none"> Evidence that UNICEF is routinely engaging with its partners to assess and manage risk Evidence of the use of relevant guidance from the <u>Enhanced Programme and Operational Support for Fragile Contexts initiative</u> 	<p>staff</p> <ul style="list-style-type: none"> Identification, review and documentation of case studies 	
<p>3.3 To what extent has UNICEF successfully employed relevant approaches to strengthening programme coverage and quality in complex humanitarian situations?</p> <ul style="list-style-type: none"> Application of remote programming, or alternative programming approaches Integrated sector programming The use of Rapid Response Modalities in selected countries Access negotiations and engagement with parties to the conflict on issues of humanitarian assistance and protection Implementation of the inter-agency 'Stay and Deliver' strategy The use of other innovative approaches for programming 	<ul style="list-style-type: none"> Relevance and use of UNICEF and inter-agency guidance on programming in complex humanitarian situations (<u>inc. EMOPS Guidance on Civil-military Coordination, Programming Guidance on Engagement with Non-State Actors, Engaging Effectively with UN Integrated Presences, UNICEF Guidance on Remote Programming, UNICEF Integrated Programming in Humanitarian Action, IASC Stay and Deliver strategy</u>) Evidence of the effect that different approaches have on the quality and coverage of UNICEF's humanitarian action Evidence of new and innovative approaches being taken by UNICEF to improve the quality and coverage of humanitarian action (<u>UNICEF's approach to humanitarian innovation</u>) 	<ul style="list-style-type: none"> Document and literature review Identification, review and documentation of case studies Interviews with UNICEF staff at HQ, RO and CO level, UN agencies, NGOs, implementing partners and other donors, government ministries and officials Interviews and focus groups at field level, particularly with communities and affected populations 	<ul style="list-style-type: none"> Cross-country case study analysis Analysis of decision-making criteria around application of approaches to improve access
<p>3.4 To what extent do risk management and security systems and approaches enable or constrain UNICEF's humanitarian coverage and access in complex humanitarian situations?</p> <ul style="list-style-type: none"> What internal UNICEF capacity exists to analyse risk and manage security for access? How well is UNICEF managing the financial risks associated with its humanitarian programming? To what extent is UNICEF using multi-dimensional risk mitigation approaches, including mitigating risks and increasing access by building 'acceptance' within communities/through acceptance-based approaches? What role has the UN's security management system played in enabling or hindering access? 	<ul style="list-style-type: none"> Evidence that UNICEF at a CO level routinely analyses and manages risks and receives high quality and timely managerial support for this Evidence that UNICEF has a risk tolerance that permits it to work effectively in complex humanitarian situations Evidence of the use and relevance of UNICEF's financial systems and procurement/logistics procedures in complex humanitarian situations Evidence that financial and logistics procedures incorporate effective risk management and anti-corruption measures Evidence that UNICEF proactively adopts a range of strategies to reduce risk which includes acceptance through community engagement Evidence of the relevance and use of the <u>UN Programme Criticality Framework</u> Evidence of the relevance and use of UNICEF's <u>risk management guidance</u> (including Risk-Informed Programming, <u>2018-21 strategy</u>) 	<ul style="list-style-type: none"> Review of financial risk and other documentation, financial data and UN security management systems Identification, review and documentation of case studies Interviews with UNICEF staff at HQ, RO and CO level (including finance staff) Interviews with UN agencies, NGOs, implementing partners and donors 	<ul style="list-style-type: none"> Cross-country case study analysis Context analysis Analysis of decision-making criteria around application of approaches to improve access
<p>3.5 How well is UNICEF using programme monitoring to identify and address gaps in coverage and quality?</p> <ul style="list-style-type: none"> What challenges do complex humanitarian situations present to programme monitoring and how is 	<ul style="list-style-type: none"> Evidence of the relevance and use of UNICEF's <u>humanitarian performance monitoring approach</u> and information management (IM) approaches Use of AAP approaches and community engagement to strengthen programme 	<ul style="list-style-type: none"> Review of programme monitoring data and systems Review of information 	<ul style="list-style-type: none"> Analysis of M&E and reporting mechanisms Cross-country case

<p>UNICEF seeking to address these?</p> <ul style="list-style-type: none"> What are the trade-offs in strengthening this monitoring? 	<p>monitoring</p> <ul style="list-style-type: none"> Evidence of challenges in implementing robust monitoring in complex humanitarian situations Availability of documented good practice and case studies for monitoring 	<p>management mechanisms</p> <ul style="list-style-type: none"> Interviews with UNICEF staff at HQ, RO, CO level Field level interviews with community members 	<p>study analysis</p>
<p>EQ4: To what extent is UNICEF's humanitarian response designed to be relevant and is adapted to ensure its ongoing relevance evolving needs and priorities?</p>			
<p>4.1 How well does UNICEF's context, conflict and political economy analysis (PEA) underpin the relevance of its humanitarian response strategy and its programme design, and to what extent does UNICEF adjust these as situations evolve?</p> <ul style="list-style-type: none"> How well prepared is UNICEF at HQ, RO and CO levels for new humanitarian crises in situations at risk of becoming complex high-threat? 	<ul style="list-style-type: none"> Evidence of ongoing context analysis in complex humanitarian situations Availability of updated context, conflict and political economy analyses, and evidence that these are linked to programme strategies Existence of actionable preparedness plans at Country Office level (and relevance of the UNICEF Preparedness Guidance Note) Evidence of the effective use of UNICEF's Corporate emergency activation procedure Evidence of the effectiveness of humanitarian surge in case study countries 	<ul style="list-style-type: none"> Review of needs assessments and conflict and PEA analysis Programme and strategy document review Review of recent evaluations of UNICEF humanitarian action Interviews with UNICEF staff at HQ, RO, CO level 	<ul style="list-style-type: none"> Cross-country case study analysis Analysis of UNICEF policies and strategies
<p>4.2 How well has UNICEF engaged with communities to ensure that programmes are designed and adjusted to meet communities' own perceptions of their humanitarian needs and priorities?</p>	<ul style="list-style-type: none"> Evidence that UNICEF has adopted AAP and community engagement strategies in complex humanitarian contexts that routinely elicit input and feedback on its programmes (2018-21 strategy, AAP Checklist for the CCCs) Evidence of the relevance and use by UNICEF of the IASC AAP Operational Framework 	<ul style="list-style-type: none"> Focus groups with affected communities Review of accountability mechanisms Interviews with UNICEF staff at HQ, RO, CO level 	<ul style="list-style-type: none"> Cross-country case study analysis
<p>4.3 To what extent is UNICEF's humanitarian programming coherent with or link to longer-term development programmes and strategies?</p>	<ul style="list-style-type: none"> Evidence of coherent programme planning in humanitarian contexts Evidence that UNICEF's programmes are consistent with UNICEF's emerging guidance (Draft Humanitarian-Development Nexus paper) Evidence that programme linkages have strengthened the quality and coverage of UNICEF's assistance in complex humanitarian situations (Study on Linking Development and Humanitarian Programming) 	<ul style="list-style-type: none"> Programme and strategy document review Identification, review and documentation of case studies Interviews with UNICEF staff at HQ, RO, CO level 	<ul style="list-style-type: none"> Analysis of UNICEF policies and strategies Cross-country case study analysis
<p>INPUTS</p>			
<p>EQ5: To what extent do UNICEF's human and financial resource management, and systems and procedures support an effective response in complex humanitarian situations?</p>			
<p>5.1 How appropriately are UNICEF Country Offices staffed by technical experts and senior management for delivering humanitarian coverage and quality?</p> <ul style="list-style-type: none"> How well have Country Offices been supported by senior management and technical specialists from 	<ul style="list-style-type: none"> Evidence that UNICEF is able to recruit people with the right skills and competencies for complex humanitarian responses and fill staff positions Evidence that UNICEF is meeting CCC commitments on HR for rapid deployment (commitment 1) and well-being (commitment 2) 	<ul style="list-style-type: none"> Interviews with UNICEF staff at HQ, RO, CO level Identification, review and documentation of case studies 	<ul style="list-style-type: none"> Cross-country case study analysis

Regional Offices and headquarters in improving coverage and quality?	<ul style="list-style-type: none"> ▪ Evidence that high quality and relevant managerial and technical support is available to UNICEF Representatives and programme staff in complex humanitarian situations 		
<p>5.2 How successful has UNICEF been in mobilising flexible resources and other innovative financing modalities for complex humanitarian situations?</p> <ul style="list-style-type: none"> • To what extent has UNICEF succeeded in advocating with donors to address funding shortfalls affecting humanitarian action? • To what extent does UNICEF apply programme criticality or other criteria to prioritise limited financial resources for complex humanitarian contexts? 	<ul style="list-style-type: none"> ▪ Evidence of donor engagement by UNICEF at HQ, RO, CO level to leverage funding for complex humanitarian situations ▪ Evidence of UNICEF adopting innovative financing modalities for complex humanitarian situations ▪ Evidence of UNICEF ensuring flexibility of funding ▪ Evidence of a decision-making process to prioritise funding allocations 	<ul style="list-style-type: none"> ▪ Review of presentations, speaking notes and other documents prepared for donors ▪ Interviews with UNICEF staff at HQ, RO and CO level, and UN agencies and other donors in country 	<ul style="list-style-type: none"> ▪ Cross-country case study analysis ▪ Analysis of decision-making criteria
<p>5.3 To what extent have UNICEF's systems and procedures improved its response in complex humanitarian situations, and could these be further adapted to improve performance?</p>	<ul style="list-style-type: none"> ▪ Evidence of the relevance and use of UNICEF's systems and procedures including; <ul style="list-style-type: none"> ○ <u>Enhanced Programme and operational support for fragile contexts</u> ○ UNICEF <u>simplified standard operating procedures</u> ○ Supply Division's <u>'no regrets' policy</u> 	<ul style="list-style-type: none"> ▪ Review of procedures and systems ▪ Interviews with UNICEF staff at HQ, RO, CO level 	<ul style="list-style-type: none"> ▪ Analysis of resource allocation and management ▪ Cross-country case study analysis

Annex 2: Interview questions

The template below was designed by the evaluation team to address the questions and sub-questions presented in the evaluation matrix. These were adapted to meet the purposes of specific evaluation participants. They will form the basis for the interviews during the follow-on phase, albeit tempered by the priorities that are outlined in the inception phase. Included in the list are supplementary questions on specific areas which respond to key findings of the synthesis report, but also link to areas of UNICEF's practice where new approaches or tools have been developed.

1. To what extent is UNICEF achieving coverage and quality in an equitable way and what good practice, lessons and practical solutions can be identified to inform improvements across UNICEF's humanitarian response?

- [Analyse the responses from the quality & coverage analysis tool for quantitative data & self-assessment]
- Context: What is the nature of the humanitarian crisis and how has it developed in the period under evaluation (external context)? How has UNICEF's programme focus/scale of response developed during the period under evaluation (internal context)?
- Coverage: What proportion of those in need has UNICEF targeted and how many has it reached? To what extent has UNICEF been able to achieve equity in its coverage through an approach that disaggregates data (by whatever means is most relevant/viable) and identifies and targets those in greatest need? What have been the key external/contextual factors that have influenced coverage? And what have been the key internal factors that have influenced coverage? What approaches has UNICEF used to expand its coverage – what has worked well, and not so well?

Supplementary questions on targeting and institutional incentives to promote coverage with equity

- What evidence has been used by UNICEF (and clusters) to assess and respond to priority needs at sector/section level. To what extent does this include an understanding of the differential needs of affected people?
 - How has this informed UNICEF's targeting and to what extent do programme staff consider they are targeting those with greatest needs?
 - For those people in greatest need, but to whom the humanitarian community have least access, what is UNICEF doing to reach them (through advocacy, innovative partnerships, humanitarian negotiation, use of access approaches etc.)?
 - What evidence exists to show that need has been prioritised over numbers (or an approach that balances these different factors has been taken)?
- Quality: What quality standards does UNICEF use and report against (CCC, Sphere, other)? In its areas of operation, to what extent has UNICEF been able to consistently meet contextually-relevant quality benchmarks? What have been the key challenges in achieving this and how has UNICEF sought to overcome them? What approaches has UNICEF used to improve quality – what has worked well, and not so well?
 - Trade-offs: How does UNICEF balance coverage against quality in high-threat environments where it is hard to maintain high quality across hard to access areas? Does the CO have a systematic way of assessing the level of quality that can be achieved against levels of coverage (geographic and demographic)?

2. In what ways and how effectively has UNICEF influenced others to strengthen protection and to increase the quality and coverage of humanitarian action?

- [Analyse the child protection responses from the coverage & quality tool for details of MRM reports]
- Advocacy actions: How actively is UNICEF advocating on access and protection issues at the CO level (with donor's, HCT, government, integrated missions) and fulfilling its MRM reporting obligations?
- Advocacy results: What evidence exists that these actions have led to a) increased access and b) led to improved protection outcomes for women, children and adolescents? what lessons have been learnt about successful approaches to advocating on access and protection issues?

3. What programme approaches and partnership strategies has UNICEF used at the field level to gain principled access and improve coverage and quality and with what success?

- **Humanitarian principles:** How knowledgeable are UNICEF's staff on the humanitarian principles? What evidence exists to show that they are routinely used as an operational tool to guide decision-making on humanitarian coverage and quality. How have trade-offs between principles been managed? How effective has this framework been in improving coverage and quality? What lessons have been learnt?
- **Partnership:** What partnership strategies has UNICEF adopted in its humanitarian action and how has UNICEF worked with partners to strengthen coverage and quality (how relevant is the guidance contained in the Enhanced Programme & Operational Support for Fragile Contexts)? To what extent and in what ways have UNICEF COs sought to strengthen the capacity of local/national responders in humanitarian response? And how has UNICEF sought to assess and manage risk transfer in its partnerships?

Supplementary questions on partnership and localization

- How has UNICEF used its different partners to maximise access, increase coverage and ensure delivery of quality programmes?
 - To what extent does UNICEF monitor the delivery of approaches to strengthen coverage and quality (e.g. AAP, principled humanitarian access) by its partners?
 - To what extent and in what ways is UNICEF engaging in strategic or operational capacity strengthening of its partners to promote access to those in greatest need?
 - In instances when access has been denied, to what extent and in what ways has UNICEF used the leverage it has with governments, HCT members and Non-state groups in support of its partners' access?
- **Guidance & programme approaches:** How effective have different programme approaches been in strengthening coverage and quality and how relevant has the guidance provided by UNICEF been?
 - **Remote management:** What approaches have been used (remote control, remote management, remote support, remote partnership – see UNICEF literature review for typology and Global Health Cluster remote management task team for best practice)? What have been the key successes and challenges in the approach? To what extent has it strengthened coverage and quality? How operationally relevant is EMOPS guidance on remote programming?
 - **Integrated sector programming:** To what extent and in what contexts is the CO practising integrated sector programming? What are the benefits and challenges of the approach in strengthening coverage and quality in complex humanitarian situations? How operationally relevant is UNICEF's guidance on Integrated Programming in Humanitarian Action?
 - **RRM:** Does the country have a RRM? If so, what role does UNICEF play in it? What have been the key successes and challenges in supporting/leading the RRM? How effective has it been in strengthening coverage and quality?
 - **Access negotiations and engagement with NSEs:** To what extent, in what capacity and for what purpose has the UNICEF CO engaged with non-state entities (e.g. for itself/its partners, to build acceptance/to negotiate access)? Is it clear among UNICEF's staff who and on what basis the agency will engage with NSEs? Do those who engage have specific training? What are the challenges/risks associated with negotiations and engagement and how are these managed? How effective has this been in strengthening coverage and quality?
 - **Implementation of the inter-agency 'Stay and Deliver' strategy:** Is the CO aware of the strategy? Is it being actively pursued in the country? If so, in what capacity is UNICEF participating? To what extent has it strengthened coverage and quality?
 - **Engagement with UN Integrated Missions:** Is there a UN Mission in the country? If so, what is its mandate and how does UNICEF engage with it? What effect has the Mission had on UNICEF's ability to access those in need of assistance? How has the Mission affected perceptions of UNICEF as a principled humanitarian agency? How has UNICEF sought to address any negative perceptions? To what extent has UNICEF's guidance on UN Integrated Presence been relevant?
 - **Other:** What other innovative approaches have been used to strengthen coverage and quality?
 - **Risk & security management:** How do COs routinely analyse and manage risk (staff, asset and beneficiary security, procurement, fiduciary etc. through UNICEF's Enterprise Risk Management)? How relevant and effective is UNICEF's guidance on risk management? Has UNICEF's risk tolerance increased or decreased?

How does risk assessment inform UNICEF's approach to working in humanitarian contexts (including through an assessment of programme criticality and use of UNICEF's risk-informed programming module)? What strategies does UNICEF use to try to reduce risk (avoidance, deterrence, acceptance etc.) and how effective have these been?

- **Programme Monitoring:** Using which approaches and with what success has UNICEF monitored its humanitarian programmes (is UNICEF's Humanitarian Performance Monitoring Approach used)? What have been the key challenges and how has UNICEF sought to overcome them? What innovative practices have been used and can be shared?
- **General on UNICEF Guidance:** To what extent have COs utilised/learnt from UNICEF's initiatives to strengthen humanitarian practice – a) Strengthening Humanitarian Action Initiative, 2013-15, b) UNICEF Enhanced Programme & Operational Support in fragile contexts, 2016, c) UNICEF Integrated Programming Study, 2014-5, d) UNICEF study on linking Development and Humanitarian Programming, 2016

Supplementary questions on access/use of the Access Field Manual

- Has the CO implemented approaches or tools outlined in the Access Field Manual including humanitarian negotiation?
- Which of these has it tried and how has this changed the access that it has to affected people in greatest need?
- What have been the key internal and external challenges or blockages and what has the CO done to seek to overcome these?

4. To what extent is UNICEF's humanitarian response designed to be relevant, and remain relevant, to evolving needs and priorities?

- **Context analysis:** Using what methods and how frequently do UNICEF COs working in complex humanitarian situations refresh their contextual analysis by undertaking political economy analysis, conflict mapping and analysis? Is this process formal/informal? How does UNICEF's analysis inform its programming approach?
- **Preparedness planning:** What reference points do COs use to inform their preparedness planning (is the UNICEF Preparedness Guidance note used)? How frequently are plans updated? What lessons exist from preparedness plans that have been operationalised?
- **Scale-up:** When crises have occurred or humanitarian needs have increased in scale, how effective has UNICEF's Corporate Emergency Activation Procedure been in guiding CO scale-up and response? What areas of guidance are most/least relevant? What lessons have been learnt from experience during the period under evaluation?
- **Community engagement:** How does UNICEF engage with communities in its humanitarian response and for what purposes (to strengthen monitoring, to ensure programme relevance, as part of an acceptance strategy, other)? To what extent and in what ways are community members able to communicate their priorities to UNICEF, ask questions, raise complaints and seek redress (are the IASC AAP Operational Guidelines known/used)? What specific approaches are used by COs and what evidence exists to determine their effectiveness (are feedback and complaints logged and is there evidence of action being taken to address concerns)?

Supplementary questions on AAP

- What is the approach of the CO to incorporating the basic tenets of UNICEF's AAP framework (or broader approaches to provide information, facilitate participation, and elicit and respond to feedback) throughout the different aspects of the project cycle?
 - And to what extent do COs monitor AAP implementation by their NGO and government partners?
 - What evidence exists of how this has contributed to strengthening coverage with equity (i.e. identifying and responding to those in greatest need)? And quality (using participation and feedback to strengthen the relevance and effectiveness of programmes)?
 - What have been the key internal and external challenges or blockages and what has the CO done to seek to overcome these?
- **Humanitarian-development nexus:** To what extent and in what ways is UNICEF seeking to link its short-term and long-term programme planning and implementation? Has the analysis undertaken by UNICEF assisted

in building support for this (UNICEF's study on linking dev-hum programmes)? What evidence exists that this has strengthened programme quality and coverage?

Supplementary questions on the nexus

- What has been the approach of the CO to understanding issues and implementing programmes linked to the nexus (and working in fragile contexts)? Has the new guidance assisted this? What changes has a nexus lens made to UNICEF's programme?
- In what practical ways has the adoption of a nexus framework expanded either principled coverage or quality of UNICEF's programme?
- What have been the key internal and external challenges or blockages and what has the CO done to seek to overcome these?

5. To what extent do UNICEF's management, systems and procedures support effective humanitarian response?

- Human resource management: [for each CO, obtain HR data on staffing disaggregated by function/sector/type /seniority analysed by posts filled/posts vacant, date posts requested/date posts filled, average time in post]. To what extent has UNICEF been able to fill positions in a timely way? And with staff with the requisite skills and experience? What HR strategies have been used to expand the pool of candidates for deployment to complex humanitarian situations? What internal/external modalities does UNICEF have to support surge (internal teams/external rosters)? What evidence exists that these are meeting needs/filling gaps [obtain deployment data and interview COs & surge staff, HR CCC Commitment 1]? How has UNICEF sought to support the well-being of staff working in complex humanitarian situations [HR CCC Commitment 2]?
- Management support and technical advice: In what ways do HQ and ROs provide managerial, programme support and technical support to COs in complex humanitarian situations? To what extent does this support meet the specific needs of CO staff in humanitarian response (managerial - decision-making on risk management, programme criticality, staff security; technical support - advice on 'good enough' approaches to programme delivery and monitoring; programme support – advice on 'good enough' approaches to financial management and procurement)?
- Resource mobilisation: How successful has UNICEF been in mobilising resources for complex humanitarian situations [obtain funding data for each CO visited/reviewed by year/sector/funding source/funding modality and cross-reference against CO, requirements, Res mob. CCC commitment 1: Quality, flexible resources are mobilised in a timely way...]? Has funding been sufficiently flexible to meet the dynamic context of humanitarian response? What innovative approaches have been used by UNICEF to strengthen resource mobilisation for these contexts?
- Systems and procedures (see above for HR procedures): What have been the experiences (negative or positive) of COs in complex humanitarian situations in implementing the SSOPs? Which SSOPs have been most effective in increasing coverage and quality and which have proved less so? What additional procedures have been put in place to support COs? To what extent have the recommendations to expand and adapt procedures and operational support that are made in the Enhanced Programme and Operational Support in Fragile Contexts a) relevant, and b) operationalised? To what extent are these consistent with the SSOPs?

Annex 3: Itad's ethical principles for evaluation

Reproduced below is Itad's approach to evaluation ethics.

Itad takes responsibility for identifying the need for and securing any necessary ethics approval for the study they are undertaking. This may be from national or local ethics committees in countries in which the study will be undertaken, or other stakeholder institutions with formal ethics approval systems.

The conduct of all those working on Itad managed evaluations is characterised by a set of general principles and values, which will be applied throughout this evaluation.

Principle 1: Independence and impartiality of the researchers

Itad evaluators are independent and impartial. Any conflicts of interest or partiality will be made explicit at proposal stage. We confirm for this evaluation that no team member possesses a conflict of interest.

Principle 2: Avoiding Harm

Itad evaluators will ensure that the basic human rights of individuals and groups with whom they interact are protected. This is particularly important with regard to vulnerable people and children. Ethical approaches to data collection will be discussed during the evaluation inception phase and inform the development of evaluation tools. The evaluation team will avoid causing harm throughout the evaluation and will ensure that all risks – for example, risks of discussing access with particular actors at the field level, e.g. Government – are discussed with UNICEF at the inception phase and that mitigation plans are drawn up prior to any field-level engagement.

Principle 3: Child protection

Itad follows the code of conduct established by Save the Children (2003) which covers awareness of child abuse, minimising risks to children, reporting and responding where concerns arise about possible abuse. Itad evaluators will obtain informed consent from parents or caregivers and from children themselves. Children will not be required to participate even if their parents provide consent.

Principle 4: Treatment of participants

Itad evaluators are aware of differences in culture, local customs, religious beliefs and practices, personal interaction and gender roles, disability, age and ethnicity, and will be mindful of the potential implications of these differences when planning, carrying out and reporting on evaluations. This particular principle informs the approach to the community-level FGDs in this evaluation.

Principle 5: Voluntary participation

Participation in research and evaluation should be voluntary and free from external pressure. Information should not be withheld from prospective participants that might affect their willingness to participate. All participants have a right to withdraw from research/ evaluation and withdraw any data concerning them at any point without fear of penalty.

Principle 6: Informed consent

Itad evaluators will inform participants how information and data obtained will be used, processed, shared, disposed of, prior to obtaining consent. First, informed consent of stakeholders will always be sought. Stakeholders will be informed of why we are collecting data and how we intend to use it, and will be offered the opportunity to withdraw from the process at any time. Second, all data will be collected under the guarantee of confidentiality. If it is decided that we want to attribute evidence to a particular stakeholder, we will seek their consent first. Both these considerations will be integrated into the research protocols for the data collection tools.

Principle 7: Ensuring confidentiality

Itad evaluators will respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. They will also inform participants about the scope and limits of

confidentiality. We will discuss with EO in inception phase the limits of confidentiality and the extent to which reports will be shared and key informants will be anonymised.

We are clear that confidentiality and data protection are critical, and therefore will ensure that this remains a priority throughout the evaluation process – for example, respondents will be asked for permission prior to recording, only evaluation team members will have access to recordings and transcripts, and respondents will not be individually identified at any point.

Principle 8: Data security

Itad is registered under the UK Data Protection Act 1998 and has a Data Protection Policy which includes procedures on data retention and confidentiality. Itad evaluators will guard confidential material and personal information by the proper use of passwords and other security measures. Itad evaluators have an obligation to protect data and systems by following up-to-date recommendations to avoid damage from viruses and other malicious programs. Plus, there is a duty to state how data will be stored, backed-up, shared, archived and (if necessary) disposed.

Principle 9: Sharing of findings

Itad evaluators are responsible for the clear, accurate and fair written and/ or oral presentation of study limitations, findings and recommendations.

Annex 4: Overview of Itad's approach to quality assurance

The table below provides an overview of Itad's approach to quality assurance.

	What?	How?	Who?
Stage 1: Establishing quality ex ante	Select the right team	When preparing a bid, we put a lot of effort in carefully selecting team members on the basis of their evaluation competencies, skills & sector (matching the ToR) as well as their interpersonal and managerial skills. We also strive to make sure that the competencies and experience of different team members are complementary to each other and that all the requirements of the ToR are exhausted by the presented team	Business Development and Bid lead/Project Director
	Set the preconditions for successful delivery	All team members will be assigned clear technical roles and responsibilities based on their respective areas of expertise	Project Director, Team Leader
Stage 2: Quality of the evaluation process	Ensure the best evaluation design, within resource constraints	When preparing the bid and again during the inception phase our QAs provide advice on how to best tailor the evaluation design to the budget and time resources available	QA and Bid lead Project Director
	Selection of the most appropriate and robust methodology and tools	During the inception phase, the evaluation team will refine together the methodology under the TL's direction. Our QA will then review them and assure their quality	Team Leader, QA
	Realistic planning	The Project Director, together with the Project Officer, will periodically review the evaluation budget and work plan making sure that delivery is within budget and planning for next phases realistic	Project Director, Project Officer
	Timely delivery	The evaluation design (KIs sample size, survey sample size, depth of analysis etc.) will be tailored to ensure delivery within deadlines. The Project Director, together with the TL, will periodically review the evaluation work plan making sure that delivery is on track and planning for next phases realistic.	Project Director, Team Leader
	Adherence with UNEG Ethical Guidelines for Evaluation and Code of Conduct for Evaluation in the UN System	Our team members are highly experienced evaluators with several years of expertise in this field. They uphold the UNEG Ethical Guidelines for Evaluation and Code of Conduct for Evaluation and are fully committed to respect them. In particular, they will: <ul style="list-style-type: none"> ▪ be independent, express their opinion in a free manner and avoid conflict of interest. ▪ protect the anonymity and confidentiality of individual informants. We will provide maximum notice, minimise demands on time, and respect people's right not to engage. We will respect respondents' right to pull out of interviews at any time. We will respect people's right to provide information in confidence and ensure that sensitive information cannot be traced to its source (through data management, analysis, reporting and dissemination). ▪ be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders 	All team members, TL, QA
Stage 3: Quality of the end product	Challenging the deliverables	This is a key QA function. The QA will review each deliverable using UNICEF Evaluation Quality Assessment check list (see table 8 below)	QA
	Making sure they are written in clear language and contain no typos or grammar mistakes	One of our professional proof-readers will be proofreading all the deliverables	Proof-reader
	Making sure that deliverables are properly edited	The proof-reader will also carefully edit deliverables that will be shared with external stakeholders to ensure that they are in the right format and properly formatted	Proof-reader
Stage 4: Improving quality ex- post	Securing feedback on quality of the project and the team from Client	Throughout the project, the team will be seeking feedback from UNICEF on quality of delivery. Upon project completion, the Project Director will be seeking feedback on how to improve our services	Project Director, Client
	Closing the feedback loop – acting on feedback	Upon completion, the project will undergo an internal Project Review and findings will be translated in concrete actions and lessons learnt for the future	Itad SMT

Annex 5: Evaluation report format

The format below was used as a guide to structure the original case study reports. As the aim of the follow-on phase is to update these reports, the same structure will be used. Any additional analysis will be added to the relevant sections of the report.

- Introduction and background, purpose and objectives of the evaluation
- Overview of the methodology
- Country context

Section 1: Coverage and quality outcomes

- A brief overview of coverage for each sector
- A summary assessment of quality for each sector
- Approaches to addressing coverage/quality dilemmas

Section 2 How do UNICEF's ways of achieving outcomes enable or constrain programme coverage and quality

- Advocacy
- Programme approaches
- Risk management and security
- Partnership for delivery
- Programme monitoring
- Maintaining relevance

Section 3: How do UNICEF's inputs enable or constrain programme coverage and quality

- Human resources
- Resource mobilisation
- Policies and procedures

Section 4: Conclusions and recommendations

- Conclusions
- Limited and prioritised actionable recommendations

Text boxes will be used throughout the report to highlight lessons, innovative and promising practice

Annexes

- Evaluation terms of reference; bibliography and list of background materials used; annotated description of methodology; list of people interviewed.

Additional notes

- The evaluation reports developed after the completion of the follow-on case study visits will be based on the existing case study report.

Annex 6: Recommendations from the evaluation

The recommendations contained in the Global Synthesis report are reproduced in full below.

UNICEF has shown courage and tenacity in providing assistance to those affected by complex humanitarian emergencies, often at significant risk to its own staff and partners. Across all of the case studies, UNICEF was among the largest, and most important provider of humanitarian assistance and protection and often worked in some of the most challenging areas. However, there is more that it can do to reach those that are in *greatest need of assistance* and that are *least accessible* and there is scope for UNICEF to ensure that it more routinely has the data, analysis, staff, partners and programme approaches that will facilitate the provision of effective assistance and protection in complex humanitarian emergencies. To address these challenges five clusters of recommendations are proposed:

1. Evidence: The generation and use of evidence to determine coverage and quality
2. Ethics: Ethical decision-making to strengthen humanitarian access
3. Accountability: Improving accountability to promote partnerships and community acceptance
4. Architecture: Influencing the external humanitarian architecture
5. Approach: Adapting internal approaches and systems to maximise coverage and quality

1. The generation and use of evidence to determine coverage and quality	
Assessing and reporting coverage (section 3.1)	
Recommendation	1.1 UNICEF, and the clusters it leads should calculate targets based on an assessment of People in Need (PiN). Changes in targets should be consistently and transparently reported. This will provide the strongest evidence base for advocating for adequate resources for humanitarian response.
Detailed recommendations	<ol style="list-style-type: none"> a) UNICEF should seek to achieve greater consistency in estimating and reporting its humanitarian coverage by routinely using PiN as a denominator. b) UNICEF should use its role as CLA to advocate to the IASC for a consistent approach to be adopted across clusters to measure coverage as a proportion of total PiN. c) Acknowledging that UNICEF's targets will change as a consequence of internal and external constraints (e.g. access, capacity, funding, security), it should be more transparent in documenting and reporting the basis on which initial targets have been calculated and how these change throughout the year.
Responsible	1a and 1c - Field Results Group and EMOPS, 1b – UNICEF Cluster Coordinators
Prioritising coverage with equity (section 3.2)	
Recommendation	1.2 UNICEF should clarify its corporate expectations for the delivery of coverage with equity in complex humanitarian emergencies. This should explicitly address the dilemma highlighted in the evaluation of whether COs should prioritise reaching the greatest number of people, or reaching those with greatest needs.
Detailed recommendations	<ol style="list-style-type: none"> a) UNICEF should resolve the dilemma of how to balance coverage and equity in complex humanitarian emergencies with a view to clarifying its approach. b) In their response strategies, programme sections should include a vulnerability analysis which identifies those people that are most in need and provides a justification for those that UNICEF are targeting (and those that will not be targeted). c) In L3 and humanitarian evaluations, UNICEF should routinely include an examination of coverage with equity in order to build an evidence base to assess its performance.
Responsible	1.2a EMOPS, 1.2b Country Offices, 1.2c Evaluation Office
Structured decision-making to balance the trade-offs between quality and equity (section 3.4)	
Recommendation	1.3 In complex humanitarian emergencies, UNICEF should seek to support its partners to deliver quality programmes through sustained presence wherever possible.
Detailed recommendations	<ol style="list-style-type: none"> a) Section Chiefs should maintain an overview of the programme approaches that are being used to deliver assistance in access-constrained environments. b) Programme approaches that have been adopted should be reviewed on a regular basis to determine whether they are relevant to the context and what scope exists to adapt them in order to strengthen quality and equity (link to recommendation on context analysis below).

	c) ROs should monitor and support COs in this task, and trigger periodic strategy reviews and shifts if required.
Responsible	1.3a, 1.3b – Country Offices, 1.3c – Regional Offices
The use of 'light' context and conflict analysis to inform operations (section 7.1)	
Recommendation	1.4 UNICEF COs in complex humanitarian emergencies should undertake regular analysis to inform programme approaches and partnership strategies.
Detailed recommendations	<p>a) UNICEF should more routinely seek to develop light, operational analysis to strengthen its access (at a minimum this should include mapping out the interests of local actors and understanding how they perceive aid and may seek to use it to further their aims).</p> <p>b) UNICEF's analysis should be reviewed regularly during Emergency Management Team meetings to ensure that the programme strategies and partnership choices are relevant to maximising coverage and quality.</p>
Responsible	1.4a, 1.4b – Country Offices

2. Ethical decision-making to strengthen humanitarian access

Supporting principled humanitarian decision-making (section 4.2, 5.1, 6.2, 8.1)

Recommendation	2.1 There is a need to strengthen the understanding and capacity of all UNICEF's staff and partners about the practical use of humanitarian principles to make structured, ethical decisions on programme access, coverage and quality.
Detailed recommendations	<p>a) UNICEF must ensure that its frontline staff understand and can use humanitarian principles to make operational decisions. Any knowledge gaps that exist should be identified and addressed through training.</p> <p>b) UNICEF should clearly designate a staff member to lead on access at the CO- and FO-level to provide specialist support and maintain an overview of UNICEF's approach (including partnership, community engagement etc). Staff selection for these roles should prioritise understanding of context, conflict and power dynamics, as well as personal networks and integrity.</p> <p>c) UNICEF should also be aware of potential biases as a consequence of its own staffing, its use of third party service providers, contractors and other local actors, and should routinely address these.</p> <p>d) UNICEF should foster an organisational culture that recognises, discusses and documents significant ethical dilemmas and decisions in order to build knowledge, promote transparency, and permit consistency in decision-making.</p> <p>e) Linked to the recommendation above, EMOPS should produce a short guidance note which outlines the dilemmas inherent in UNICEF's mandate and provide a decision-making framework to assist in ensuring the prioritisation of principled assistance in complex humanitarian emergencies.</p> <p>f) UNICEF should strengthen the mapping and reporting of its access so that it can clearly differentiate between the quality of access that it has and of its partners in complex humanitarian emergencies.</p> <p>g) UNICEF must strengthen its engagement with partners on issues of gaining and maintaining principled access. Commitments to humanitarian principles should be routinely referred to in PCA/PDs, training should be provided if required, UNICEF should advocate for partner access where this is requested, and, to the extent possible, it should monitor the approaches partners use to achieve access.</p> <p>h) UNICEF should be more consistent in using its HCT membership and broader networks with government to advocate for principled access where it is required.</p> <p>i) UNICEF and its partners should also more deliberately and more consistently communicate the use of principles with communities as a means of strengthening acceptance.</p> <p>j) Acknowledging that decision-making will be context-specific, it is recommended that a framework to guide principled decision-making on donor conditions is developed by UNICEF's Public Partnership Division.</p>
	2.1a, 2.1b, 2.1c, 2.1d, 2.1f, 2.1g, 2.1h, 2.1i - Country Offices, 2.1e - EMOPS 2.1j - Public Partnership Division
Strengthening competence in humanitarian negotiation (section 5.2)	
Recommendation	2.2 UNICEF must take a more structured approach to identifying, equipping and supporting staff that engage in humanitarian negotiations.

Detailed recommendations	<p>a) UNICEF's revised guidance on 'Engaging with NSEs' provides an enhanced framework for decision-making and includes an accountability and decision-making tree. It is recommended that this is widely disseminated among staff working in complex humanitarian emergencies.</p> <p>b) In complex humanitarian emergencies, UNICEF should clearly designate staff members to lead on negotiations; these staff should be selected/recruited with profiles that contribute to achieving negotiated access.</p> <p>c) UNICEF should take a more structured approach to training and supporting staff that are tasked with negotiating access – both at the operational and strategic-level - and should engage with staff in advance of, during, and after negotiations in order to assess risk and to provide support.</p>
Responsible	2.2a – EMOPS, 2.2b, 2.2c – Country Offices, Regional Offices and EMOPS
Resolving ethical dilemmas in development – humanitarian linkages (section 7.3)	
Problem	UNICEF's multi-mandate may lead to ethical dilemmas, particularly linked to engaging with the state on issues of humanitarian needs, principled and access.
Recommendation	2.3 In fragile and conflict-prone countries, UNICEF must ensure that its engagement with the government is consistent with humanitarian principles and International Humanitarian Law (IHL). This is particularly important in situations when the government is party to the conflict, is not meeting its responsibilities under IHL or is otherwise contradicting humanitarian principles.⁴⁴
Detailed recommendations	<p>a) UNICEF should communicate the importance and value of humanitarian principles and IHL as part of its engagement with the state on systems strengthening for preparedness and response.</p> <p>b) In countries where the state is a party to the conflict, UNICEF must ensure that it tempers its engagement with it to preserve its adherence to principles. This might include identifying specific ministries or departments that have greater community acceptance.</p> <p>c) Where the state makes demands of UNICEF and the wider humanitarian community which undermine humanitarian principles, UNICEF should collaborate with others in the UNCT or HCT to defend principled assistance and advocate for the state to meet its responsibilities as outlined in IHL.</p> <p>d) As part of its context analysis in complex humanitarian emergencies, UNICEF should routinely elicit and monitor community and partner perceptions about its engagement with the state and the impact this has on how it is perceived in conflict-affected areas.</p>
Responsible	2.3a, 2.3b, 2.3c, 2.3d – Country Offices
Security management and risk transfer: Ethical decision-making in unsafe environments (section 5.3)	
Recommendation	2.4 UNICEF has a moral obligation to provide support to those it works with (NGO partners, third party service providers and contractors) to ensure that they adopt and implement appropriate risk management practices in in volatile environments.
Detailed recommendations	<p>a) As part of partnership discussions, UNICEF Section staff should determine the level of risks faced by each of these entities and understand the mitigation measures that have been put in place to manage these.</p> <p>b) In particularly volatile contexts, UNICEF should engage more deeply in strengthening security management systems as part of its broader engagement which should also include discussions on the application of humanitarian principles.</p> <p>c) While UNICEF's engagement with third party service providers is governed by the LTAs that it has in place, as part of its due diligence, UNICEF should assess the risk management systems that are in place and explicitly include this as part of its selection criteria.</p>
Responsible	2.4a, 2.4b, 2.4c – Country Offices

3. Improving accountability to promote partnerships and community acceptance

Engaging with communities to strengthen accountability and quality (section 7.2)

Recommendation	3.1 UNICEF staff in humanitarian crises need to better understand their accountability commitments to people receiving its assistance⁴⁵ and ensure that these are being routinely met.
Detailed recommendations	<p>a) UNICEF must ensure that its staff are familiar with how it defines its accountability to vulnerable communities and the responsibilities that this entails.</p>

⁴⁴ This recommendation is consistent with UNICEF's 2016 study on linking development and humanitarian programming. See UNICEF (2016) *Study on linking development and humanitarian action*, January 2016.

⁴⁵ As defined in UNICEF (2017) *Putting people at the centre of humanitarian action: integrating accountability to affected people*, draft, June 2017.

	<ul style="list-style-type: none"> b) Linked to the recommendation above, it is important that UNICEF clarifies the practical steps that are required for it to meet these obligations in the context of working in partnership. c) UNICEF has used innovative approaches to strengthen the ability of affected people to provide feedback or complain about the UNICEF-funded assistance they have received, and there would be value in determining whether these are scalable in crises.⁴⁶ d) The purpose of eliciting feedback should be to gauge satisfaction with the appropriateness and effectiveness of assistance and so at a CO-level, UNICEF has a responsibility to collect, analyse and use this information to address concerns that are raised. e) Linked to the recommendation above, UNICEF must ensure that there is latitude within its programmes to make course corrections to address communities' concerns about coverage and quality.
Responsible	3.1a, 3.1b, 3.1c – Programme Division and EMOPS, 3.1d, 3.1e – Country Offices
Strengthening localisation and investing in partnerships (section 6.2)	
Recommendation	3.2 UNICEF should provide greater, and more sustained support to local and national NGO partners, in complex humanitarian emergencies, particularly in contexts where these organisations are best-placed to strengthen coverage and quality.
Detailed recommendations	<ul style="list-style-type: none"> a) In line with its 2018-21 Strategic Plan, UNICEF should ensure that there is clarity among its staff about its commitment to localisation – as a strategic engagement with local and national partners - and the implications this has for how UNICEF seeks to support and strengthen its partners. b) In access-constrained environments, UNICEF's Partner Review Committees should assign priority to partners which have the profile, contacts and networks to gain access to communities in greatest need of assistance, even when this means that UNICEF will need to address capacity weaknesses. c) With a view to strengthening coverage and quality, UNICEF should routinely undertake capacity assessments of its NGO partners in complex humanitarian emergencies as a means of identifying priorities for institutional capacity strengthening. d) As outlined in the recommendation on humanitarian principles above, UNICEF should (i) strengthen its engagement with partners on issues of gaining and maintaining principled access, and (ii) be more proactive in using its network of interlocutors to advocate for partner access where assistance is requested and required, and (iii) strengthen the provision of support to partners for managing risk.
Responsible	3.2a – Programme Division and EMOPS, 3.2b, 3.2c, 3.2d – Country Offices

4. Influencing external humanitarian architecture

Supporting the UN SMS to assist UNICEF to stay and deliver (section 5.3)

Recommendation	4.1 UNICEF should bring to the attention of the Inter-Agency Security Management Network (IASMN) the evidence from this evaluation, the recent WFP access evaluation and the 'Presence and proximity'⁴⁷ study in order to promote greater consistency in how UNDSS applies its policies. Concurrently with this, UNICEF should continue to recruit and deploy high capacity security officers to complex humanitarian emergencies to strengthen its access.
Detailed recommendations	<ul style="list-style-type: none"> a) UNICEF should seek allies in the IASMN with which to promote positive change in the UN SMS. b) Until change occurs, it will be important for UNICEF to continue to select high calibre, senior security officers to liaise with the HCT, UNDSS and support COs in their role of engaging with the DO to find relevant and principled approaches for humanitarian access. c) If the use of the Programme Criticality Framework and the decisions of the DO are considered to be overly restrictive, UNICEF should consistently document instances where access requests are rejected in order to have evidence to escalate concerns and to support its advocacy on expanding access. d) There is scope for Representatives to provide clearer guidance to staff about expectations for field travel in complex humanitarian situations and to more routinely monitor this with a view to ensuring that FOs and programmes receive high quality support.

⁴⁶ It is important to note that because the examples of innovative approaches were linked to mobile phones, it will only be in specific contexts that these will be relevant.

⁴⁷ Jackson, A., & Zyck, S. (2017) *Presence & Proximity: To Stay and Deliver, Five Years On*. UN OCHA, June 22.

	e) The use of low profile missions are considered good practice in volatile environments and have played a key role in permitting UNICEF to support and monitor its programmes, but their use is limited to a small number of countries. UNICEF should seek to distil and share practice in order to promote this approach more widely.
Responsible	4.1a - EMOPS, 4.1b - Country Offices and EMOPS, 4.1c, 4.1d – Country Offices, 4.1e - EMOPS
Partnership with WFP to strengthen the continuity of care (section 6.4)	
Recommendation	4.2 UNICEF should coordinate with WFP and WHO to strengthen the institutional basis for, and to provide technical direction on the continuum of care for acute malnutrition cases (i.e. integration of SAM and MAM treatment).
Detailed recommendations	<p>a) UNICEF and WFP should share evidence and lessons from the integrated approach adopted in Somalia in order to strengthen the evidence-base for joint action.</p> <p>b) These should be reviewed alongside similar practices elsewhere to provide a benchmark for the adoption of integrated SAM/MAM programmes in contexts which are characterised by poor continuity of care.</p> <p>c) In order to provide a foundation for the promotion of integrated programming, the MOU between UNICEF and WFP should be revised in order to strengthen institutional support for the approach.</p>
Responsible	4.2a, 4.2b, 4.2c – Programme Division and EMOPS

5. Adapting internal approaches and systems to strengthen coverage and quality

Clarifying the use of Simplified Standard Operating Procedures (section 8.4)

Recommendation	5.1. A light review should be conducted to determine the use by UNICEF of the SSOPs in countries with an L2/L3 response with a view to determining the reasons for not applying the simplifications. Linked to this, the evaluation endorses the use of specific simplifications to support humanitarian response outside of L2/L3 emergencies.
Detailed recommendations	<p>a) Given the SSOPs strengthen UNICEF's humanitarian effectiveness, the variability in their uptake is a concern which UNICEF should examine through a light review of practice.</p> <p>b) Given the broader use of the SSOPs outside of L2/L3 emergencies, it is recommended that UNICEF strengthens the transparency and consistency of its decision-making by outlining a broader humanitarian criteria under which they may be applied. Included in this should be a requirement to document the reasons why COs choose not to adopt the simplifications.</p> <p>c) Linked to the recommendation above, it is suggested that UNICEF should define a light approval process for L1 emergencies which provides the CO with simplified fast-track HR procedures and gives the Representative the option to activate, with a well-documented justification approved to the RD, full access to any L2/L3 simplifications pertaining to the CO-level that are deemed critical for the coverage and quality of the humanitarian response.</p> <p>d) The slow pace of PD submission and approval led to significant delays in humanitarian responses across all of the case study countries; although the simplifications offer time reductions, they are not consistently applied. While it is possible that the roll-out of the UN Partner Portal (piloted in Somalia) may lead to time savings, it is now urgent that UNICEF addresses this lack of timeliness. It is recommended that UNICEF reviews the PCA/PD processes with a view to exploring the potential for streamlining that is likely to be adopted by country offices.</p>
Responsible	5.1a, 5.1b, 5.1c, 5.1d – Field Results Group

Strengthen learning and knowledge management (section 8.4)

Recommendation	5.2 UNICEF should develop a more coherent, modular humanitarian learning and knowledge management strategy to ensure that staff working in complex humanitarian emergencies have adequate knowledge, skills and capacities to address the challenges that UNICEF experiences in achieving coverage and quality.
Detailed recommendation	<ul style="list-style-type: none"> ▪ Based on the findings of the evaluation, key areas of focus should include the following: <ul style="list-style-type: none"> ⇒ Understanding and operationalising humanitarian principles and IHL in complex humanitarian situations; ⇒ Engagement with states and NSEs in contexts of conflict and state fragility; ⇒ The challenges of leadership in humanitarian action. ▪ Strategies that are adopted must take into consideration the specific challenges faced by COs in these contexts which includes high-turnover, the need for onboarding of staff with modest prior humanitarian experience and the significant responsibilities held by national staff. Prioritisation for learning should be placed on:

	<ul style="list-style-type: none"> ⇒ Minimum levels of individual skills/knowledge differentiated to function (with the potential to have links to individual testing); ⇒ Minimum capacities/functions at the level of the CO team (with links to CO self-diagnosis and RO quality assurance, triggering team-based learning on challenging skills application); ⇒ Systematic strategy of building adequate leadership competencies.
Responsible	5.2 – EMOPS and Division of Human Resources
The need to promote integrated programming within UNICEF (section 5.5)	
Recommendation	5.3 The case for strengthening programme integration in complex humanitarian emergencies has been made in previous studies and evaluations. It is now urgent that UNICEF create a policy and practice environment that enables progress to be made in achieving integration where it will strengthen humanitarian outcomes.
Detailed recommendations	<ul style="list-style-type: none"> a) UNICEF should update key texts to reflect the expectation that the integrated approach will be applied where it has potential to strengthen humanitarian outcomes and can be achieved in a timely way. b) UNICEF should document the sets of humanitarian interventions that would typically be 'packaged' together to address humanitarian situations such as conflict-induced displacement. c) UNICEF's guidance on partnerships should be updated to reflect the promotion of cross-sectoral collaboration in complex humanitarian situations. d) COs in complex humanitarian emergencies should routinely examine opportunities for programme integration as part of their preparedness planning and where these exist lay, the foundations for integrated assessments.
Responsible	5.3a, 5.3b, 5.3c – Programme Division and EMOPS, 5.3d – Country offices

Annex 7: Summary of management response to the evaluation recommendations

A summary table of the management response to the evaluation recommendations is provided below. The complete list of actions agreed by the Executive Board in support of the detailed recommendations can be found at the following link: https://www.unicef.org/evaldatabase/index_103536.html.

#	Recommendation/management action
0.	<p>Over-arching recommendations: The overarching recommendation of this evaluation is for UNICEF to articulate a strategic vision for accessing those who are in greatest need of assistance in a timely and principled manner, particularly in contexts where there is limited funding. This should address the dilemmas associated with meeting the UNICEF mandate in complex humanitarian emergencies that are outlined in the recommendations below.</p>
	<p>AGREE: UNICEF recognizes the need for clarity of commitments in relation to coverage, quality and equity in the face of inadequate funding, in general, as well as in the face of access constraints in complex humanitarian emergencies. Strengthening this requires clarification at a policy level as well as support for more-consistent positioning and capacity in UNICEF engagement at the country level within the humanitarian country teams and with humanitarian and national counterparts, as applicable to all humanitarian emergency contexts, including complex emergencies. While UNICEF commits to advocate for greater consistency and transparency in balancing coverage, quality and equity in principled humanitarian action, change will also depend upon a corresponding shift in inter-agency guidance and practice. Such a shift entails a challenge for the wider humanitarian community.</p>
1	<p>Recommendation 1: Strengthen the generation of evidence by UNICEF and its evidence-based decision-making in complex humanitarian emergencies, to determine coverage and quality</p>
	<p>AGREE: However, the detailed recommendations that follow (recommendations 1.1, 1.2, 1.3) do not address the major underlying challenge: the assessment and monitoring of humanitarian needs, beyond initial approximate rapid assessments, and finding manageable solutions to track shifts in humanitarian needs and outcomes, including disaggregation for most vulnerable populations. This requires a collaborative approach across humanitarian actors as well as connections to data investments in the development sector and innovative adaptations of existing methodologies and technologies for data collection and information management. As noted in the UNICEF Strategic Plan, 2018–2021, this focus on outcome-level data is planned as an evolving area of work under the UNICEF data strategy for children. The following actions are planned as next steps to build collaboration with humanitarian partners to address this; progress in this area is, again, a challenge that must be taken up throughout the wider humanitarian system.</p>
1.1	<p>Recommendation 1.1: UNICEF and the clusters it leads should calculate targets based on an assessment of people in need. Changes in targets should be consistently monitored and transparently reported. This will provide the strongest evidence base for advocating for adequate resources for humanitarian response.</p>
	<p>Agree: The recommendations are aligned with a range of ongoing UNICEF efforts to strengthen UNICEF-led cluster and country-office inputs to the humanitarian needs overview and humanitarian response planning processes and are also aligned with UNICEF-specific Humanitarian Action for Children appeal processes and internal response planning, tracking and reporting processes, both initiated in 2018. Ongoing efforts address major challenges, including: quality needs assessment, including the stronger identification of the most-vulnerable populations; the calculation and use of population-in-need estimates, including some of the sector-specific challenges in projections of need; humanitarian response strategy development; equity and needs-based target-setting for appeals and related costing methods; the setting and tracking of adjusted operational targets based on funding received; and more-transparent and systematic reporting of results in relation to figures on populations in need, initial targets and adjusted targets, as relevant. Across all these detailed technical shifts, UNICEF is also balancing an overarching concern to keep processes light and effective for country office management.</p>
1.2	<p>Recommendation 1.2: UNICEF should clarify its corporate expectations for the delivery of coverage with equity in complex humanitarian emergencies. This should explicitly address the concern highlighted in the evaluation of how country offices should balance reaching the greatest number of people with reaching those in greatest need.</p>
	<p>Agree: See also actions planned in response to the overarching recommendation and recommendations 1.1 and 2.1.</p>

1.3	<p>Recommendation 1.3: UNICEF should undertake regular analysis to adapt programme approaches and partnerships to maximize their relevance and their potential to reach those in greatest need. Underpinning this should be an approach that consistently prioritizes agency presence and ensures the greatest proximity to affected people.</p>
	<p>Agree: UNICEF considers that the underlying challenge to this recommendation is to strengthen light , agile and multidimensional analysis at the country level, simplifying and bringing together different analysis lenses and professional specializations within the country office and regional/headquarters support functions.</p>
2	<p>Recommendation 2: Strengthen the capacity of UNICEF to deliver principled humanitarian action and resolve ethical dilemmas in complex humanitarian emergencies to strengthen humanitarian access.</p>
	<p>Partially agree: UNICEF highlights that the challenges are as much ethical as operational and emphasizes the need to develop capacity at multiple levels of the organization to fully operationalize humanitarian principles. See caveats in response to recommendation 2.1.</p>
2.1	<p>Recommendation 2.1: There is a need to strengthen the understanding and capacity of all UNICEF staff (at both the headquarters and country-office levels) and partners about the practical use of humanitarian principles to make structured, ethical decisions on programme access, coverage and quality.</p>
	<p>Partially agree: Management agrees with the general recommendation to take a more systematic and principled approach to humanitarian access, however, the institutional modalities to do so may differ according to context and would engage several staff members in different capacities. Developing staff capacity and providing support not only at the country-office level but also at the regional-office and headquarters levels would also be relevant in most circumstances. As noted in the evaluation, the impact of donor conditions varies from context to context and , therefore, a standard operating procedure, rather than a framework, will be introduced to allow for context-specific analysis and approaches.</p>
2.2	<p>Recommendation 2.2: UNICEF should take a more structured approach to identifying, equipping and supporting staff at the country level who engage in humanitarian negotiations with non-State entities and host Governments.</p>
	<p>Partially Agree: Management agrees with the general recommendation to take a more structured approach to UNICEF engagement with non-State entities and host Governments for humanitarian action. However, the institutional modalities to do so may differ according to the purpose of the engagement and would engage several staff members in different capacities. Developing staff capacity and providing support not only at the country-office level but also at the regional-office and headquarters levels would also be relevant in most circumstances. In addition, the recommendations do not adequately reflect that humanitarian negotiations require inter -agency coordination and that, in many cases, UNICEF is not alone or in the lead in undertaking humanitarian negotiations with non -State entities and host Governments.</p>
2.3	<p>Recommendation 2.3: In fragile and conflict-prone countries, UNICEF must ensure that its engagement with the Government is consistent with humanitarian principles and international humanitarian law. This is particularly important in situations in which the Government is party to the conflict, is not meeting its responsibilities under international humanitarian law or is otherwise contradicting humanitarian principles.</p>
	<p>Agree: See also actions planned in relation to recommendation 3 , which will also address strengthening routine engagement with communities and partners to monitor perceptions of UNICEF humanitarian action.</p>
2.4	<p>Recommendation 2.4: UNICEF has a moral obligation to ensure that its partners, including non-governmental organization (NGO) partners, third-party service providers and contractors, have measures in place to ensure duty of care for their staff in complex humanitarian emergencies.</p>
	<p>Partially agree: The legal obligation is well defined for third -party service providers in UNICEF contracts and covers assurance of duty of care of their staff. UNICEF cannot “ensure” that partners have measures in place but can establish their responsibility to do so through the UNICEF General Terms and Conditions, which is annexed to and forms an integral part of every UNICEF contract. These provisions are the same for third-party providers whether through long-term agreements or stand-alone contracts. At the same time, UNICEF can and does propose to push further on both communicating these responsibilities to service providers and partners and strengthening country office capacity to carry out due diligence with regard to these provisions in the context of complex emergencies.</p>
3	<p>Recommendation 3: Strengthen the accountability of UNICEF to key rights-holders in complex humanitarian emergencies .</p>
3.1	<p>Recommendation 3.1: UNICEF staff in humanitarian crises need to better understand and act on their accountability commitments to people receiving their assistance and ensure that these are being routinely met.</p>
	<p>Agree: Recommendation 3.1 is in line with a broader UNICEF business case and plan of action for scaling up accountability to affected populations (AAP). This will also include attention to strengthening routine engagement with communities and partners in complex emergencies to monitor perceptions of UNICEF engagement with State</p>

	and non-State actors. See also actions planned in response to recommendation 1.3.1, which addresses processes to support flexibility in shifting programme strategy.
3.2	<p>Recommendation 3.2: UNICEF should provide greater and more sustained support to local and national NGO partners in complex humanitarian emergencies, particularly in contexts in which these organizations are best placed to strengthen coverage and quality.</p> <p>Agree: This recommendation requires taking a comprehensive approach to address systematically the different dimensions of localization, such as partnerships, coordination, capacity development and risk management. The UNICEF approach to localization encompasses engagement with both national and subnational Government and civil society partners. The actions detailed below provide the first steps in outlining a systematic way forward.</p>
4	Influence inter-agency humanitarian architecture to improve coverage and quality.
4.1	<p>Recommendation 4.1: UNICEF should bring to the attention of the Inter-Agency Security Management Network (IASMN) the evidence from the present evaluation, the recent WFP access evaluation and the Presence and Proximity study to promote greater consistency in how the Department of Safety and Security applies its policies. Concurrently, UNICEF should continue to recruit and deploy high-capacity security officers to complex humanitarian emergencies to strengthen its access.</p> <p>Agree: See also actions planned in relation to 1.1 and 5.1.</p>
4.2	<p>Recommendation 4.2: UNICEF should coordinate with WFP and the World Health Organization (WHO) to strengthen the institutional basis for and to provide technical direction on the continuum of care for acute malnutrition cases (i.e., the integration of severe acute malnutrition (SAM) and moderate acute malnutrition (MAM) treatment).</p> <p>Partially agree: The scope of collaboration between UNICEF and other United Nations agencies should incorporate both the prevention and the treatment of malnutrition, not just treatment for children with SAM or MAM. In early 2017, UNICEF and WFP launched an initiative to improve the partnership in nutrition, with a focus on strengthening the nutrition response in humanitarian contexts in the areas of treatment of acute malnutrition; nutrition situation analysis and data ; infant and young child feeding; leveraging health; water, sanitation and hygiene; and food security. A collaboration framework has been developed. It does not replace the current memorandum of understanding nor the respective agency commitments to nutrition in humanitarian contexts. The mandates, roles and responsibilities of UNICEF and WFP remain the same. The framework instead includes practical recommendations for the operationalization of the memorandum of understanding between the two agencies' country offices at the country, regional and headquarter levels to better support national nutrition policies, plans and actors. The collaboration framework will be released in 2019. In addition, UNICEF, WFP and WHO are collaborating on the policy and evidence levels to optimize and improve current models for the identification and treatment of acute malnutrition.</p>
5	Recommendation 5: UNICEF to adapt its internal approaches and systems to improve coverage and quality
5.1	<p>Recommendation 5.1: As part of the revision of the simplified standard operating procedures (SSOPs), UNICEF should seek to determine the reasons for not applying the simplifications. It should also consider the use of specific simplifications to support humanitarian response outside of Level 2/Level 3 emergencies.</p> <p>Agree: The recommendations are aligned to the procedural simplifications already under way.</p>
5.2	<p>Recommendation 5.2: UNICEF should develop more coherent, modular humanitarian learning and knowledge management mechanisms to ensure that staff working in complex humanitarian emergencies have adequate knowledge, skills and capacities to address the challenges that UNICEF experiences in achieving coverage and quality.</p> <p>Agree: The response to this recommendation is also supported by a restructuring change in UNICEF headquarters support mechanisms by which humanitarian evidence, knowledge management and learning functions in EMOPS have been brought together in one strengthened section, the Humanitarian Evidence and Learning Section.</p>
5.3	<p>Recommendation 5.3: The case for strengthening UNICEF programme integration in complex humanitarian emergencies has been made in previous studies and evaluations. It is now urgent that UNICEF create a policy and practice environment that enables progress to be made in achieving integration where it will strengthen humanitarian outcomes.</p> <p>Agree: [No text].</p>