

# MULTI-COUNTRY EVALUATION OF UNICEF'S RESPONSE TO HURRICANES ETA & IOTA IN CENTRAL AMERICA

Commissioned by UNICEF LACRO (emergency and evaluation sections) and Nicaragua Country Office

Inception Report v5 [FINAL] May 2022

Groupe URD

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# ACRONYMS

AAP	Accountability to Affected Populations
C4D	Communication for Development
CCCs	Core Commitments for Children
CERF	UN Central Emergency Response Fund
CHS	Core Humanitarian Standard
CO	UNICEF Country Office
CONRED	Guatemala's national disaster reduction coordination agency <sup>1</sup>
COPECO	Honduras' national disaster management agency <sup>2</sup>
CPD	Country Programme Document
CPE	Country Programme Evaluation
ECHO	Humanitarian Aid department of the European Commission
ECLAC	Economic Commission for Latin America and the Caribbean
FGD	Focus Group Discussion
GBV	Gender Based Violence
GDP	Gross Domestic Product
HAC	UNICEF's Humanitarian Action for Children appeal
HCT	Humanitarian Country Team
HDI	Human Development Index
HNO	Humanitarian Needs Overview
HPD	Humanitarian Programme Document
HRP	Humanitarian Response Plan
KII	Key Informant Interview
LAC	Latin America and the Caribbean
LACRO	UNICEF Latin America and the Caribbean Regional Office
LHD	Linking Humanitarian and Development programming
MHM	Menstrual Hygiene Management
NDMA	National Disaster Management Authority
OCHA	UN Office for the Coordination of Humanitarian Affairs
OECD-DAC	The Organisation for Economic Co-operation and Development - Development Assistance Committee
PSEA	Prevention of Sexual Exploitation and Abuse
SICA	Central American Integration System <sup>3</sup>
SINAPRED	Nicaragua's national disaster prevention, mitigation & management agency <sup>4</sup>
UNDAC	United Nations Disaster Assessment and Coordination
WB	World Bank
WASH	Water, sanitation and hygiene

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<sup>1</sup> *Coordinadora Nacional para la Reducción de Desastres*

<sup>2</sup> *Comisión Permanente de Contingencias Honduras*

<sup>3</sup> *Sistema de la Integración CentroAmericana*

<sup>4</sup> *Sistema Nacional para la Prevención, Mitigación y Atención de Desastres*

# 1. INTRODUCTION

This evaluation inception report has been developed against the Terms of Reference (annex 1) following an initial document review (annex 2) and 16 inception interviews (annex 3) conducted with key UNICEF informants from the Guatemala, Honduras and Nicaragua country offices and the regional office. These interviews were designed to understand the main stakeholders' expectations of the evaluation and the key issues they want explored through the evaluation process. The document review and inception interviews have informed the development of the methodology and evaluation questions.

The report outlines the key purpose, objectives and scope of the evaluation, the methodology and approach the evaluation team will use to deliver against the terms of reference, highlighting what adaptations have been made to the suggested questions and the anticipated limitations and constraints, together with mitigation actions. Included within the annexes is the draft evaluation framework and the data collection and analysis tools the team proposes to use in the evaluation.

## 2. BACKGROUND AND CONTEXT

### 2.1. The background of the hurricanes

Hurricanes Eta and Iota hit Central America in November 2020 within two weeks of each other. Both made landfall on the east coast of Nicaragua but then followed slightly differing trajectories with differing levels of wind speed and rainfall, crossing Nicaragua and then moved up to impact different parts of Honduras, Guatemala and other countries in the region.

Eta, the 28<sup>th</sup> storm of the season, was initially categorised by US National Hurricane Center as category 4 storm on the Saffir-Simpson wind scale, with estimated rainfall of 635mm and wind speeds of 275 km/h. The storm moved slowly across Nicaragua, Honduras and Guatemala over the following days, progressively being downgraded to first a tropical storm and then to a tropical depression, although it continued to drench much of Honduras and caused rising river levels, flooding and landslides across the affected countries.

Less than two weeks after being battered by Tropical Storm Eta, Central America was hit by Hurricane Iota. The category 5 hurricane made landfall on the Caribbean coast of Nicaragua, causing flooding and landslides as it moved up towards the northern part of Honduras, but also impacted all countries in Central America, as well as parts of Mexico and Colombia. An estimated 9.2 million people (including 3.5 million children<sup>5</sup>) across the region were affected by heavy rainfall, flash flooding and landslides caused by Hurricanes

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<sup>5</sup><https://www.unicef.org/appeals/hurricanes-eta-and-iota>

Eta and Iota with over 160,000 people displaced to shelters, including 64,000 children<sup>6</sup>. The UN estimated<sup>7</sup> that at least 3.4 million people needed urgent support due to losing homes and livelihoods, including 1.3 million children in the most affected communities in Belize, Guatemala, Honduras, and Nicaragua, with needs identified as including protection, food, health, nutrition, education, water, sanitation and basic services. See annex 4 for a developing timeline of key events and humanitarian responses.

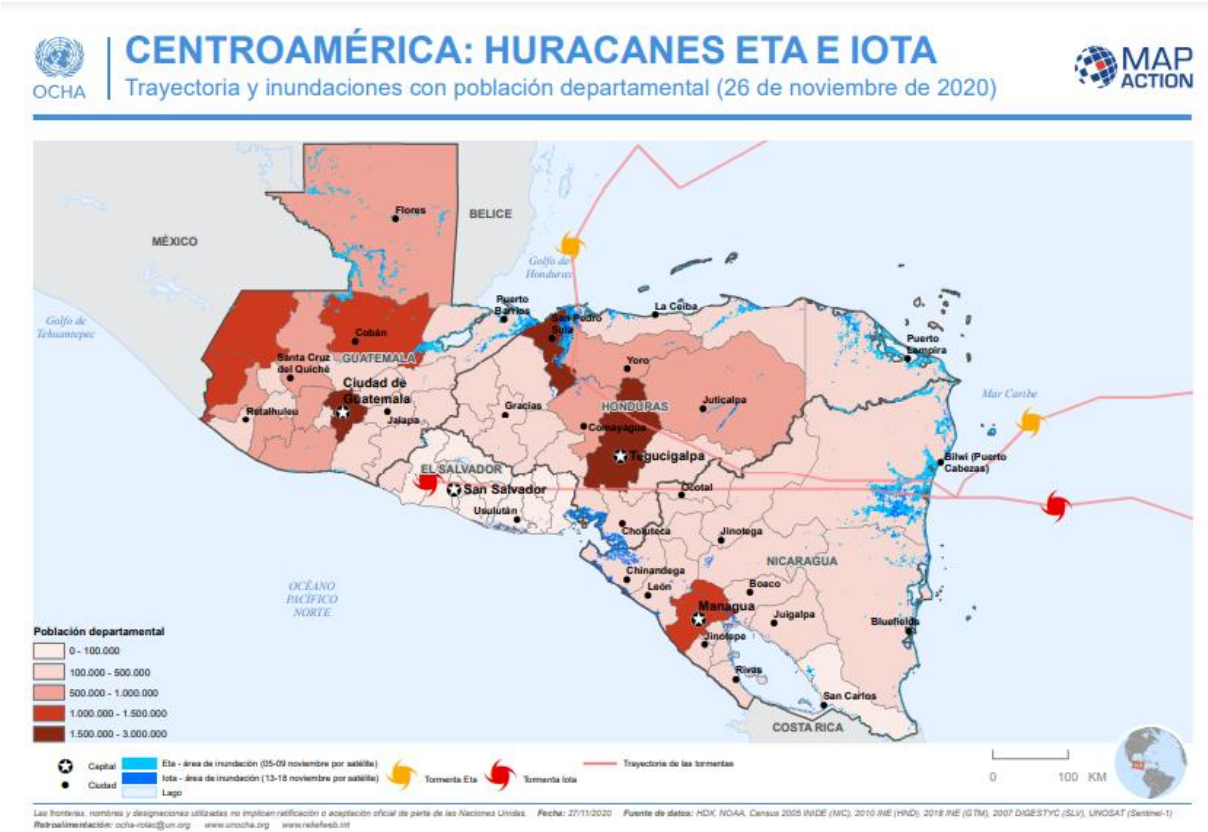


Figure 1: Map showing affected regions and trajectories of hurricanes Eta & Iota

## 2.2. The context prior to the hurricanes

Although **Guatemala** is ranked as an economically stable upper-middle-income country by the World Bank<sup>8</sup> (WB), this has not translated into a significant reduction in poverty and inequality. The UNICEF country programme document presented to the Executive Board in September 2021<sup>9</sup> makes the point that the situation for Guatemalan children has improved only slightly over the past two decades, due to very low public investment, continuing governance challenges and recurrent exposure to natural and man-made hazards. Gender disparities remain a critical issue in Guatemala, with most social and economic indicators significantly worse for girls and women than for boys and men and children and adolescents making up 38% of the country's 17.1 million inhabitants

<sup>6</sup>Ibid

<sup>7</sup>Ibid

<sup>8</sup><https://www.worldbank.org/en/country/guatemala/overview#1>

<sup>9</sup><https://www.unicef.org/executiveboard/media/8886/file/2022-PL10-Honduras-CPD-EN-ODS.pdf>

(according to the 2021 census<sup>10</sup>), there are 1.9 million children under age 5. With 44% of the population being indigenous peoples and persons of African descent, it is notable that indigenous children face substantially worse indicators than their peers. The WB observes that Guatemala trails behind the rest of Latin America and the Caribbean (LAC) in terms of development progress and there is a high level of disparity between the richest and poorest<sup>11</sup>. Guatemala has the fourth highest rate of chronic malnutrition in the world and the highest in LAC, with Indigenous and rural populations disproportionately affected (nearly half of the population are rurally located, often in high and inaccessible locations. Guatemala is considered to be the Latin American country that is most vulnerable to climate hazards, and among the top 10 most-vulnerable countries in the world. Approximately 40% of the population is vulnerable to three or more types of natural hazards<sup>12</sup>.

The INFORM risk ranking<sup>13</sup> considers Guatemala to be at high risk (34th in the risk ranking), tied with **Honduras** which is ranked as a lower middle-income country. The WB<sup>14</sup> notes that while Honduras registered the second highest economic growth rates in Central America between 2017-2019, the country was facing high levels of poverty and inequality before the double impact of the COVID-19 pandemic and hurricanes Eta and Iota, with WB estimating that 14.8% of the population are living on less than US\$1.90 per day and almost half of the population (4.8 million people) living on less than US\$5.50 per day, the second highest poverty rate in LAC after Haiti. Another third of the population was near-poor and vulnerable to falling back into poverty, while the size of Honduras' middle class (18%) was among the smallest in the region (compared to an average middle class of 41%). As the 2022 UNICEF country programme document noted<sup>15</sup>, multidimensional child poverty affects nearly 80% of all children and adolescents, High rates of violence add to the challenges experienced. Adding to this is the perceived high level of public sector corruption, one of the highest in the world (157/180)<sup>16</sup>, although this has been slightly reducing in the last years.

**Nicaragua** is also ranked as a lower-middle-income country, one of Latin America's least developed countries, where large numbers of people continue to have limited access to basic services, worsened by the onset of the socio-political crisis in April 2018 and the COVID-19 pandemic, which led to real Gross Domestic Product (GDP) contracting 8.8% cumulatively between 2017 and 2020, resulting in almost half of households reporting lower incomes and a worsening of food insecurity. The political environment of Nicaragua has proved challenging, with a number of civil society organisations (including highly experienced and long-standing UNICEF partners) having their legal status

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<sup>10</sup>ibid

<sup>11</sup>See The World Population Review's [Wealth Inequality ranking 2022](#), which ranks all three countries as in the top 25 countries experiencing greatest wealth inequality

<sup>12</sup> <https://www.unicef.org/executiveboard/media/8886/file/2022-PL10-Honduras-CPD-EN-ODS.pdf>

<sup>13</sup><https://drmkc.jrc.ec.europa.eu/inform-index>

<sup>14</sup><https://www.worldbank.org/en/country/honduras/overview#1>

<sup>15</sup><https://www.unicef.org/executiveboard/media/8886/file/2022-PL10-Honduras-CPD-EN-ODS.pdf>

<sup>16</sup><https://www.transparency.org/en/cpi/2021/index/hnd>

cancelled by the Nicaraguan government<sup>17</sup>. Nicaragua is categorised as at medium risk on the INFORM ranking. The fact that most of the population living in the areas affected by the hurricanes are either indigenous or afro-descendants should be considered as a factor that increases their vulnerability, together with the isolation and long-term limited investment in response capacity of this autonomous Atlantic coastal region.

	Guatemala	Honduras	Nicaragua
Human Development Index 2020/2021 <sup>18</sup>	0.663	0.634	0.660
Poverty figures 2021 (ECLAC <sup>19</sup> )	50.5%	52.3%	46.3%
Extreme poverty figures 2021 (ECLAC) <sup>20</sup>	15.4%	20.0%	18.3%
Gender Inequality Index ranking <sup>21</sup> (out of 189)	126	126	132
Access to water (SICA) <sup>22</sup>	78%	87.8%	80.6%
Access to electricity services	85.5%	89.4%	81.7
Access to sewage services	47.3%	50.3%	27.1%
Internet access	65.0%	31.7%	27.9%
GDP per capita	\$4,295.68	\$2,560.93	\$1,913.53
Public debt to GDP ratio	31.26%	54.86%	65.73%
Household remittances as a share of GDP	14.6%	24.0%	14.7%
Carbon dioxide emissions (million tonnes CO2 equivalents)	25.1	37.6	5.7
Neonatal mortality rate	12.2	9.2	10.2
Persons in the phase of food security crisis or more (in millions) November 2020 to March 2021	3.73	2.9	n.d.
Prevalence of malnutrition (%) average 2018-2020 <sup>23</sup>	16.8	13.5	19.3

<sup>17</sup><https://www.ohchr.org/en/statements/2022/03/annual-report-united-nations-high-commissioner-human-rights-situation-human>

<sup>18</sup> [https://hdr.undp.org/en/content/human-development-index-hdi#:~:text=The%20Human%20Development%20Index%20\(HDI,each%20of%20the%20three%20dimension.](https://hdr.undp.org/en/content/human-development-index-hdi#:~:text=The%20Human%20Development%20Index%20(HDI,each%20of%20the%20three%20dimension.)

<sup>19</sup> [ECLAC. Anuario Estadístico de América Latina y el Caribe, 2021](#) (ECLAC uses different sources to WB to estimate poverty/extreme poverty figures)

<sup>20</sup> Ibid

<sup>21</sup> <http://data.un.org/DocumentData.aspx?id=415>

<sup>22</sup> SICA, *La región de Centroamérica y República Dominicana en cifras, Mayo 2021* (and following statistics unless otherwise indicated)

<sup>23</sup> FAO, FIDA, OPS, WFP y UNICEF 2021 *América Latina y el Caribe - Panorama regional de la seguridad alimentaria y nutricional 2021: Estadísticas y tendencias. Santiago de Chile, FAO*

	Guatemala	Honduras	Nicaragua
Prevalence of moderate and acute food insecurity (%) average 2018-2020 <sup>24</sup>	49.7	45.6	26.1
Prevalence of stunting in children under 5 (%) 2020 <sup>25</sup>	9.0	19.9	14.1
Intentional homicide rates (per 100,000) <sup>26</sup>	23	39	7

Figure 2: Basic statistics taken from SICA unless footnotes indicate other source

### 2.3. The impact of the hurricanes

The impact of these hurricanes in Guatemala, Honduras and Nicaragua was extensive and exacerbated by recent events, coming on top of a number of other pre-existing humanitarian needs affecting large numbers of people living precarious lives in already vulnerable communities. Not only had the COVID-19 pandemic negatively impacted the region with the socio-economic fallout of school closures, loss of jobs, declining migrant remittances, rising violence against children and women, and disruptions in access to water and sanitation and to key health services, including vaccinations for young children but prior to COVID-19, as identified by the Humanitarian Needs Overview (HNO<sup>27</sup>) of July 2021, at least 5.2 million people in El Salvador, Guatemala and Honduras were already facing significant humanitarian needs related to migration flows (flows that increased as a result of the impact of the hurricanes), violence, internal displacement, food insecurity and poverty. Affected areas across the countries included remote and hard-to-reach indigenous communities which presented extensive access and logistics challenges.

		Guatemala	Honduras	Nicaragua
<b>Hurricane Eta</b>	Fatalities	53	74	2
	Missing	96	8	0
<b>Hurricane Iota</b>	Fatalities	2	13	39
	Missing	2	1	29
Economic damage estimates for Eta and Iota		780 million USD (GoG)	1,900 million USD (ECLAC) <sup>28</sup>	617 million USD (GoN) <sup>29</sup>

<sup>24</sup>bid

<sup>25</sup>bid

<sup>26</sup> UN Office on Drugs and Crime's International Homicide Statistics database

<sup>27</sup><https://reliefweb.int/sites/reliefweb.int/files/resources/HNO%20CENTROAMERICA%202021%20ING.pdf>

<sup>28</sup>The ECLAC estimate for Honduras is significantly lower than the 10,000 million USD mentioned by the GoH

<sup>29</sup>The Nicaraguan government additionally reported 121 million USD of economic damage

People affected by Eta and Iota (in millions) <sup>30</sup>	2.40	4.00	2.48
People evacuated by Eta and Iota <sup>31</sup>	308,834	562,274	655,000
People in shelters by Eta and Iota <sup>32</sup>	30,602	95,500	120,651

Figure 3: Official estimated impact of Eta and Iota<sup>33</sup>

## 2.4. The international response

Following government requests for assistance, OCHA deployed staff members from the region to Guatemala and Honduras as part of UNDAC Disaster Assessment and Coordination (UNDAC) teams and as surge support, working both in situ and remotely due to the COVID-19 situation at the time. In all three countries locally based organisations (NGOs (national and international), civil society and community-based organisations as well as the national Red Cross Societies also responded, led by the national disaster management authorities of each country.

Population affected by the impacts of Hurricanes Eta and Iota			
Impact	Guatemala	Honduras	Nicaragua
No. of people affected*	2,435,448	4,663,244	1,800,000
No. of children affected**	925,47	1,772,033	720
No. of deaths*	61	99	21
No. of missing persons*	99	11	
No. of people in shelters*	5,083	93,293	59,964
No. of children in shelters**	1,932	35,451	23,986

\* According to official sources at the time of drafting this report. The number of people in shelter fluctuates daily as some families start returning home

\*\*Estimated by UNICEF, according to population distribution in country

Figure 4: UNICEF estimation of affected people (December 2020)<sup>34</sup>

In Honduras, OCHA set up a hub in San Pedro Sula and local coordination teams were created in the most affected departments in both Guatemala and Honduras to support coordination between the UN response, national and international NGOs, civil society and grassroots organisations that directly responded and OCHA worked with local partners. Initial daily regional coordination meetings were led by OCHA's regional office, with representatives of the UN, international NGOs and donors participating. On 19 November

<sup>30</sup>[IOM, Displacement tracking matrix, REGIONAL OVERVIEW Countries Impacted by Hurricanes Eta and Iota in Latin America and the Caribbean, December 2020](#)

<sup>31</sup>Ibid

<sup>32</sup>Ibid

<sup>33</sup> Data taken from respective Governments, except where noted otherwise

<sup>34</sup>Taken from <https://www.unicef.org/media/89546/file/2020-HAC-Response-to-Hurricanes-Eta-and-Iota.pdf> (note that statistics differ due to different reporting dates)

2020 the Humanitarian Country Team (HCT) in Honduras issued a joint Flash Appeal for USD 90 million requesting international support for families affected by the storms. By the end of March 2021 the appeal was 34% covered<sup>35</sup>, with the five leading donors being the USA, Germany, the UN’s Central Emergency Response Fund (CERF), Switzerland and the Humanitarian Aid department of the European Commission (ECHO).

In early February 2021, OCHA launched the Nicaragua Plan of Action for the humanitarian response in support of the impacted population. Later in the year, a Humanitarian Needs Overview (HNO) and corresponding national Humanitarian Response Plans (HRPs) were updated and prepared in support of the Governments of El Salvador, Guatemala, and Honduras to assist the highly vulnerable population.

**2.5. UNICEF in Central America**

Prior to the hurricanes, UNICEF had been present in all three countries implementing primarily development programmes centred around core long term UNICEF themes focused on children and young people. In the months leading up to the hurricanes, UNICEF offices had also been implementing some emergency activities in response to the impact of COVID-19.

In **Guatemala** the programme focused on health (including vaccinations) and nutrition for under-fives, adolescent health and education, protection and emergency response. UNICEF in **Honduras** had programme activities in nine of the 18 departments of the country across four programmatic components: early childhood, education including WASH in schools, child protection and social inclusion. The UNICEF **Nicaragua** programme focused on nutrition and child development at home, education and child/adolescent protection against violence, abuse and exploitation, WASH and vaccination.

Sector <sup>15</sup>	2020 requirements (US\$)
Nutrition	2,711,209
Health	1,388,523
Water Sanitation and Hygiene <sup>16</sup>	30,854,673
Child Protection, GBViE and PSEA	3,572,200
Education / ECD	2,296,800
Social Protection	1,263,000
Regional Office Technical Capacity	500,000
<b>Total</b>	<b>42,586,405</b>

*Figure 5: UNICEF sectoral budget breakdown (taken from HAC as before)*

**2.6. UNICEF’s response to hurricanes Eta and Iota**

Following the hurricanes, UNICEF initially prioritised its action in the four most affected countries in Central America: Nicaragua, Guatemala, Honduras and Belize<sup>36</sup>. UNICEF

<sup>35</sup> <https://reliefweb.int/report/honduras/honduras-eta-iota-flash-appeal-monitoring-29-march-2021>

<sup>36</sup>The decision was later taken not to continue in Belize as the impact was less than initially assessed

appealed for US\$42.6 million to respond to humanitarian priorities between mid-November 2020 and mid-May 2021; the table below<sup>37</sup> shows the budget distribution between the different sectors.

The UNICEF response strategy, as described in the HAC, focused on ensuring that children and families in shelters and affected communities had access to basic services including child protection, nutrition, water, sanitation and hygiene (WASH) services (including Menstrual Hygiene Management [MHM]), health, education and early childhood development within a safe and protective environment, supporting the prevention, mitigation and response to gender-based violence (GBV) as well as the Prevention of Sexual Exploitation and Abuse (PSEA). See figure 6 below for more details of the various activities planned in each country as per the Emergency Response Plans.

Sector	Activities	Guatemala	Honduras	Nicaragua
<b>Nutrition</b>	Cluster coordination	x	x	
	Support monitoring and information systems	x	x	x
	Nutrition counselling & distribution of micronutrients (under 5/pregnant)	x	x	x
	Capacity strengthening of health workers	x	x	x
	SAM screening treatment and training	x	x	x
	Advocacy			x
<b>Child protection</b>	Cluster coordination	x	x	
	Mapping resources	x		x
	Activities to reinforce resilience	x		
	Capacity building of health workers	x	x	x
	Provision of safe spaces		x	x
	Provision of mental health and psychosocial support		x	x
<b>Education</b>	Cluster coordination	x	x	
	Distribution of materials	x	x	x
	Rehabilitation and WASH	x	x	
	Identification/referral of vulnerable children	x	x	x
	Teacher training (ICT, psychosocial support)	x	x (only ICT)	x
	Awareness-raising and prevention of GBV	x		
<b>WASH</b>	Cluster coordination	x	x	
	Rehabilitation	x	x	x
	Distribution of household water treatment solutions	x	x	x
	Installation of handwashing stations	x	x	x
	Hygiene promotion	x	x	x
<b>Social protection</b>	Technical assistance for cash transfer	x	x	
	Support and advocacy for cash transfer		x	
<b>Gender</b>	Recruit a specialist		x	
<b>Health</b>	Vaccination support		x	
	Health centre support (supplies)		x	x
	Obstetrics/neonatal supplies and training			x
	Capacity building			x

Figure 6: Key activities in Guatemala, Honduras and Nicaragua, taken from the Emergency Response Plans

The HAC narrative suggests that it aimed to address urgent humanitarian needs of the most affected populations, while also contributing to building more resilient and shock-responsive systems. The HAC focuses on country level needs (consolidated), with a regional funding requirement to cover technical support, coordination, monitoring and

<sup>37</sup>Taken from <https://www.unicef.org/media/89546/file/2020-HAC-Response-to-Hurricanes-Eta-and-Iota.pdf>

evaluation provided by the regional office. As of December 2020<sup>38</sup> UNICEF had received US\$5.3 million against the US\$42.6 million appealed for (which was subsequently increased to US\$6,533,415<sup>39</sup>).

During the first year of response to Eta and Iota emergency response, UNICEF’s results included:

Activity	Reach
# caregivers of children under 2 receiving nutritional counselling	250,000
# children under 5 receiving nutritional screening & referral as required	50,000
# children provided with minimum set of childhood vaccinations	6,200
# health workers provided with personal protective equipment	300,000
# people reached by WASH supplies (including hygiene items) and services	75,000
# people provided with access to sufficient and safe water	15,000
# children with access to improved WASH services in learning spaces & safe spaces	4,500
# children and caregivers had access to mental health and psychosocial support	25,000
# women/adolescents reached with GBV prevention/mitigation/response interventions	35,000
# unaccompanied/ separated children accessing family-based care or alternative	2,600
# children referred to specialised (health, social welfare, or justice) services	15,000
# children given access to formal or non-formal education (including early education)	1.8M
# children received individual learning materials	165,000
# schools in Guatemala that were supported to implement safe school protocols for Covid-19 infection prevention and control	3,500

Figure 7: Results from UNICEF’s first year of Eta/Iota response<sup>40</sup>

As a long-standing humanitarian and development partner in the affected countries, UNICEF worked together with local and national governments as well as existing partners, identifying new partnerships where needed. It also played a role in facilitating coordination efforts among clusters/AoR and sectoral groups/subgroups, particularly in WASH, education, nutrition and child protection and was part of interagency mechanisms.

<sup>38</sup><https://reliefweb.int/sites/reliefweb.int/files/resources/UNICEF%20Central%20America%20Humanitarian%20Situation%20Report%20No.6%20%28Hurricanes%20Eta%20and%20Iota%29%20-%2010-21%20December%202020.pdf>

<sup>39</sup> According to a UNICEF source

<sup>40</sup>From ToR (2021)

## 3. PURPOSE AND OBJECTIVES OF THE EVALUATION

### 3.1. Purpose of the evaluation

As defined in the ToR, the dual aims of the evaluation are accountability (to host governments<sup>41</sup>, donors, partners, supporters and internally between the various UNICEF structures at country and regional levels), together with institutional learning (both for UNICEF but also for other key stakeholders active in emergency response – government, civil society, UN agencies, etc). The evaluation will gather good practices and lessons learned and will generate practical and actionable recommendations which will:

- Feed into UNICEF's future responses to hydrometeorological events in the Caribbean basin;
- Inform future strategies and plans, including the formulation of a new UNICEF regional preparedness strategy;
- Make recommendations that will be drawn on during the design and implementation of the new Nicaragua Country Programme Document CPD, and
- Contribute to strengthening the “shock responsiveness” of national and local level systems.

The evaluation is framed by the OECD-DAC evaluation criteria<sup>42</sup> and the Core Humanitarian Standards, with the Core Commitments for Children<sup>43</sup> (CCC) informing the assessment approach. The proposed evaluation questions proposed in the ToR were further developed as a result of the research undertaken during the initial inception period, to ensure that the evaluation responds to the needs and expectations of the Country Offices and LACRO (see section 5 below). Following the production and circulation of a first draft of this inception report, the report will be adjusted to the feedback from key country and regional office staff and an inception workshop will be held to ensure that all key UNICEF stakeholders' suggestions are heard and responded to where possible.

At the end of the data collection phase of this evaluation, a feedback and validation process will be put in place (date and approach to be determined) to ensure that there is a space for the evaluation team to share their emerging findings, test conclusions and recommendations and for unresolved issues to be discussed, initial feedback and observations to be shared by UNICEF staff and additional issues and adjustments to be highlighted.

Three stand-alone country evaluation reports focusing on relevance, coherence, effectiveness and connectedness of UNICEF's response to Eta/Iota hurricanes in Guatemala, Honduras and Nicaragua will be produced, together with a regional synthesis.

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<sup>41</sup>By extension, the results of the evaluation may also provide useful insights that can inform UNICEF's commitment to be accountable to affected populations

<sup>42</sup><https://www.oecd.org/dac/evaluation/revised-evaluation-criteria-dec-2019.pdf>

<sup>43</sup><https://www.unicef.org/emergencies/core-commitments-children>

### 3.2. Timing of the evaluation

Along with the publication of a new version of the CCCs (in October 2020) and the 2018 evaluation policy, LACRO has been building its capacity to support the development of a culture of evaluation and learning in Latin America and the Caribbean in recent years. With the recruitment of a cadre of experienced evaluation staff to accompany technical departments in the evaluation process from start to finish, the evaluation section, together with the emergency section judged it would be timely for UNICEF in Central America to consider its level of preparedness and capacity to respond to sudden-onset recurring emergencies in a region that has relatively limited and largely development-focused presence in a number of countries that are regularly battered by the annual hurricane season, as well as being vulnerable to earthquakes, volcanic eruptions, droughts and flooding. Additionally, the timing of this evaluation was influenced by donor conditionality<sup>44</sup> that specified the requirement for an evaluation to be undertaken for accountability purposes before the end of 2022 and will inform the development of the new Country Programme Document (CPD) following the Country Programme Evaluation (CPE) currently being conducted in Nicaragua.

### 3.3. Objectives

As set out in the ToRs, the objectives of the evaluation are to:

- Determine the institutional progress UNICEF has made towards the accomplishment of UNICEF's CCCs in emergencies, including reaching the most vulnerable population and identify the most effective implementation strategies and partnerships for future responses (relevance, coverage, timeliness [as part of the effectiveness criterion], connectedness/sustainability and quality);
- Assess the quality of the response planning in terms of rapid assessment, design and structure of the response, mapping of partners, workflow, financial arrangements, and monitoring system;
- Determine the relevance of existing or developing emergency preparedness and response strategies, ensuring UNICEF positioning as key humanitarian actor in the subregion;
- Determine how UNICEF can better position itself, build on its comparative advantage, and provide specific recommendations to improve its response to future hydrometeorological and other emergencies in Central America; and
- Additionally, the ToR underlines that the evaluation will review the extent to which the regular programme was risk informed. It will explore whether UNICEF was ready to address the necessary programmatic and operational risks, identifying and examining specific internal and external barriers which may have emerged when responding to humanitarian needs of the affected populations.

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<sup>44</sup>USAID in Nicaragua

### 3.4. Expected users and use of the evaluation

The main expected users of this evaluation are:

- The *primary audience* will be management and technical staff within UNICEF (both Country Offices [COs] and LACRO) who will use the results of this evaluation to respond to the lessons learned in order to be better prepared to respond to future emergencies in the region, through better embedded and risk-informed programming in regular country programme documents (specifically Nicaragua at this time) and annual plans and a more coherent consideration of nexus issues. It is expected that the evaluation will generate evidence of emergency preparedness in terms of response effectiveness (ie timeliness, scale and quality), using the CCCs as a framework and the EPP as a platform for improvement, contributing to strengthening the shock responsiveness of both the national and local level to future disasters.
- The *secondary audiences* will include key stakeholders of emergency response such as: interagency coordination actors - OCHA, clusters leads and the Humanitarian Country Teams (HCTs); governments of the three countries (at national and local levels); the broader humanitarian network in each country, and international donors. For this audience, evidence will be used as a basis for accountability reporting on results achieved.

### 3.5. Ownership of the evaluation

The evaluation has been commissioned by the LACRO evaluation and emergency sections, co-funded with the UNICEF Nicaragua Country Office and the ToR developed as a joint collaboration between COs and LACRO, meaning that ownership is shared across these stakeholders. The inception interviews made clear that expectations are quite high related to the findings and outcomes of the evaluation both at country office and LACRO levels, but that there is also a level of concern and anxiety, both in terms of the potential findings and recommendations, but also the impact on offices with limited capacity to support the visit of the evaluation team. The evaluation team's approach is to build an evaluation process that is sensitive to the COs' concerns; we believe that part of our role is to help staff and partners actively participate in reflecting on their lived experience, identifying good practices and lessons learned, drawing conclusions and proposing a range of practical recommendations which will mean that UNICEF is better placed to prepare for and respond to future disaster shocks.

## 4. SCOPE OF THE EVALUATION

As specified in the ToR, the evaluation will cover UNICEF's humanitarian preparedness and response in Guatemala, Honduras and Nicaragua, from October 2020 to June 2022, related to the impacts of hurricanes Eta and Iota, looking at particular phases of that response:

- *Alert pre-emergency phase* (hazards follow-up, communication w/ CO, IPs, national and local authorities, other humanitarian actors, etc.),
- *Standing Capacity* (first two weeks) following the initial hurricane Eta alert): contingency planning, reprogramming of resources, pre-positioning of supplies, personnel, etc);
- *First Response* (two to six weeks): needs assessment, CERF, FA, cluster activation (where relevant);
- *Consolidated Response* (months two to six): consolidation and implementation of the Emergency Response Plan;
- *Exit strategy* (months six to twelve): Linking Humanitarian and Development programming (LHD), connection with CPD.

The evaluation will assess UNICEF's humanitarian action across both urban and rural locations affected by the hurricanes, including areas of displacement (temporary shelters), relocation and resettlement (where relevant) and hard-to-reach areas and affected populations, wherever possible. Primary data collection from key informants will be prioritised in the most affected areas of the countries:

- Nicaragua: Northern Caribbean Coast Autonomous Region (RACCN), and/or departments of Jinotega and Nueva Segovia;
- Honduras: departments of Cortes, Atlántida, and/or Yoro; and
- Guatemala: departments of Izabal and/or Alta Verapaz.

The criteria to identify specific locations can be found in section 7.2 below. The itinerary for field visits can be found in annex 4.

Programmatically, the evaluation will cover UNICEF's multi-sectoral interventions across the CCCs: WASH, health, nutrition, education, community engagement for behaviour and social change, child protection and social protection as well as transversal issues such as gender and GBV, planning, monitoring and evaluation. In each country a case study into one or two sectors may be undertaken, to explore the sectoral approach in reference to the relevant sectoral CCCs and results in more depth. The identification of these sectors would be undertaken in consultation with the COs, with a lens for maximum learning. The evaluation will also assess, from an operational standpoint, the availability and management of supplies, human and financial resources and partnerships, the application of emergency procedures, surge and deployment, procurement and contracting, finance, etc) which fed into the response. Advocacy, communications and fundraising will also be assessed, to the extent to which they were factors that facilitated or hampered the response.

The evaluation will also cover UNICEF's role as cluster/sector lead, as relevant, and provide an analysis of UNICEF's leadership and coordination responsibilities as defined in the CCCs and how well it balanced these responsibilities with a more operational role. Effectiveness of the emergency response will be assessed from the standpoint of achieved synergies with national priorities and other development partners' programmes:

inter/cross-sectorial capacity to integrate the delivery of different services of the response (eg WASH-Nutrition, WASH-Education, Education-Protection/Gender/GBV, Nutrition and Health, etc); inter-agency and institutional coordination with the respective national disaster management agencies, line ministries, local government, etc.

The ToR specifies that the evaluation will not address the efficiency of UNICEF's response (efficiency defined in the ToR as "whether the least costly resources possible were used to achieve results"). Related to Protection from Sexual Exploitation and Abuse (PSEA), the evaluation will only consider to what extent UNICEF has considered PSEA within its programming in the context of the Eta and Iota response but will not assess systematically results of such programming.

Following interviews conducted during the inception phase, a small number of additional issues have been added into the evaluation framework; these are discussed in section 5.6 below.

## 5. EVALUATION APPROACH, DESIGN AND METHODS

### 5.1. Evaluation approach

The two overarching questions in the ToR guiding this evaluation are:

- What are the main lessons learned from this sub-regional rapid onset disasters in terms of emergency preparedness and emergency response in the countries and the specific local places of intervention [*Relevance/Appropriateness*]
- To what extent has UNICEF humanitarian response and recovery efforts achieved their intended results (in terms of timeliness, scale, and quality, considering the HAC, response plans, monitoring and adherence to CCCs) ? [*Effectiveness*]

Given the learning and accountability focus of the evaluation, the methodology developed takes a hybrid formative and summative approach. The formative orientation of the evaluation will ensure that learning is at the heart of the evaluation process and that stakeholders are active participants in reflecting on their role and experience of responding to the impact of the hurricanes, drawing from past experience (both positive and negative) to explore themes and identify key behaviours, approaches and examples of good practice to build on, as well as highlighting areas where lessons need to be learned and changes made. At the same time, a summative dynamic will aim to collect objectively verifiable evidence to assess the relevance/appropriateness, timeliness, effectiveness, coherence and connectedness of UNICEF's response and outcomes. The evaluation will also assess the extent to which the response followed the plans of action developed in November/December 2020 (and to understand why deviations took place

and what can be learned from this).

The evaluation team will make strenuous efforts throughout this evaluation to engender an atmosphere of constructive and participative reflection, rather than fault-finding; the orientation of the questions within the evaluation matrix puts emphasis on this. It will be important for UNICEF management and monitoring and evaluation specialists both at the regional and country levels to also underline the formative nature of this evaluation.

The evaluation will be primarily qualitative, engaging with documentary evidence where this exists and supplemented with a range of stakeholder interviews and focus group discussions, guided by semi-structured interview templates.

As specified by the ToR, the evaluation is non-experimental in approach and explicitly adopts a strong utilisation focus that is built around the priority key issues identified both in the ToR and through inception interviews and document review. Engaging the main users of the evaluation process and report in the reflective lessons learned process and the construction of recommendations will be key.

Mixed data collection methods will be used as far as possible; key informant interviews and focus group discussions with stakeholders from the region and countries will provide direct qualitative evidence, with available quantitative data being drawn from a range of secondary data sources, both internal to UNICEF and external. Where feasible (given that much of the UNICEF activities will have ended by the time of the field visits), observation will also be undertaken.

Primary data collection and analysis will be gender and age-disaggregated, to the extent possible and as the location criteria (section x) makes clear, all efforts will be taken to gather data from a diverse range of stakeholder/social groups affected by the interventions, particularly the most vulnerable (eg people with disabilities; indigenous people; hard-to-reach communities; populations that experienced significant destruction of assets and livelihoods; returnees; resettled communities etc).

Data and information collected will be triangulated from multiple sources and cross-validated which will allow appropriate weighting to be put on different sources of information. The evaluation findings will reflect both on commonalities and shared experiences but also consider exceptions, divergence of views and inconsistencies where appropriate.

## 5.2. Evaluation framework

The evaluation framework has been constructed by:

- Framing the two over-arching questions (learning and accountability) with the appropriate OECD-DAC criteria (Relevance, Appropriateness, Coverage, Connectedness, Coherence) and cross-referencing the with the CHS commitments in order for the evaluation to consistently explore the contribution of and impact on the affected population – see 5.3 below;
- Developing a set of core questions that builds on the questions in the ToR and responds to the additional issues raised during the inception period;
- Linking these questions to relevant issues contained within the CCCs in a meaningful way, and
- Developing a set up supplementary questions that allow for practical exploration of the core questions with key informants through interviews and focus group discussions (FGDs).

## 5.3. OECD-DAC Criteria and Core Humanitarian Standard

Informed by our previous practice of combining OECD-DAC criteria with the Core Humanitarian Standards (CHS) commitments to develop an evaluation matrix, the evaluation team has used the CHS standards and performance indicators to ensure that the focus of the evaluation remains at all times on the situation of the affected populations. The figure below shows how the CHS have been linked to the framing OECD-DAC criteria.

OECD-DAC <sup>45</sup>	Core Humanitarian Standard	CHS Performance Indicators
<p><b>'Relevance</b> is concerned with assessing whether the project is in line with local needs and priorities (as well as donor policy).'</p> <p><b>'Appropriateness</b> is the tailoring of humanitarian activities to local needs, increasing ownership, accountability, and cost-effectiveness accordingly.'</p> <p><b>'Coverage</b> is the need to reach major population groups facing life-threatening risk wherever they are.'</p>	<p><b>1. Communities and people affected by crisis receive assistance appropriate and relevant to their needs.</b></p> <p>Quality criterion: Humanitarian response is appropriate and relevant.</p>	<p>1. Communities and people affected by crisis consider that the response takes account of their specific needs and culture.</p> <p>2. The assistance and protection provided correspond with assessed risks, vulnerabilities and needs.</p> <p>3. The response takes account of the capacities (eg the skills and knowledge) of people requiring assistance and/or protection.</p>

<sup>45</sup>Taken from "[Evaluating Humanitarian Action Using the OECD-DAC Criteria: An ALNAP Guide For Humanitarian Agencies](#)"

<p><b>'Effectiveness</b> measures the extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of the outputs. Implicit within the criterion of effectiveness is timeliness.'</p>	<p><b>2. Communities and people affected by crisis have access to the humanitarian assistance they need at the right time.</b></p> <p>Quality criterion: Humanitarian Response is effective and timely.</p>	<p>1. Communities and people affected by crisis, including the most vulnerable groups, consider that the timing of the assistance and protection they receive is adequate. 2. Communities and people affected by crisis consider that their needs are met by the response. 3. Monitoring and evaluation reports show that the humanitarian response meets its objectives in terms of timing, quality and quantity.</p>
	<p><b>8. Communities and people affected by crisis receive the assistance they require from competent and well-managed staff and volunteers.</b></p> <p>Quality criterion: Staff are supported to do their job effectively and are treated fairly and equitably.</p>	<p>1. Male and female staff feel supported by their organisation to do their work. 2. Staff satisfactorily meet their performance objectives. 3. Communities and people affected by crisis assess staff to be effective (ie in terms of their knowledge, skills, behaviours and attitudes).</p>
	<p><b>9. Communities and people affected by crisis can expect that the organisations assisting them are managing resources effectively, efficiently and ethically.</b></p> <p>Quality criterion: Resources are managed and used responsibly for their intended purpose.</p>	<p>1. Communities and people affected by crisis are aware about community-level budgets, expenditure and results achieved. 2. Communities and people affected by crisis consider that the available resources are being used: a. for what they were intended; and b. without diversion or wastage. 3. The resources obtained for the response are used and monitored according to agreed plans, targets, budgets and timeframes. Humanitarian response is delivered in a way that is cost effective.</p>
<p><b>'Connectedness</b> refers to the need to ensure that activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account.'</p>	<p><b>3. Communities and people affected by crisis are not negatively affected and are more prepared, resilient and less at-risk as a result of humanitarian action.</b></p> <p>Quality criterion: Humanitarian response strengthens local capacities and avoids negative effects.</p>	<p>1. Communities and people affected by crisis consider themselves better able to withstand future shocks and stresses as a result of humanitarian action. 2. Local authorities, leaders and organisations with responsibilities for responding to crises consider that their capacities have been increased. 3. Communities and people affected by crisis (including the most vulnerable) do not identify any negative effects resulting from humanitarian action.</p>

	<p><b>7. Communities and people affected by crisis can expect delivery of improved assistance as organisations learn from experience and reflection.</b></p> <p>Quality criterion: Humanitarian actors continuously learn and improve.</p>	<p>1. Communities and people affected by crisis identify improvements to the assistance and protection they receive over time. 2. Improvements are made to assistance and protection interventions as a result of the learning generated in the current response. 3. The assistance and protection provided reflects learning from other responses.</p>
<p><b>‘Coherence</b> is ‘the need to assess (relevant) ... policies to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human-rights considerations.’</p>	<p><b>4. Communities and people affected by crisis know their rights and entitlements, have access to information and participate in decisions that affect them.</b></p> <p>Quality criterion: Humanitarian response is based on communication, participation and feedback.</p>	<p>1. Communities and people affected by crisis (including the most vulnerable) are aware of their rights and entitlements. 2. Communities and people affected by crisis consider that they have timely access to relevant and clear information. 3. Communities and people affected by crisis are satisfied with the opportunities they have to influence the response.</p>
	<p><b>5. Communities and people affected by crisis have access to safe and responsive mechanisms to handle complaints.</b></p> <p>Quality criterion: Complaints are welcomed and addressed.</p>	<p>1. Communities and people affected by crisis including vulnerable and marginalised groups, are aware of the complaints mechanisms established for their use. 2. Communities and people affected by crisis consider the complaints mechanisms accessible, effective, confidential and safe. 3. Complaints are investigated, resolved and results fed back to the complainant within the stated timeframe.</p>
<p><b>‘Coordination</b> is the systematic use of policy instruments to deliver humanitarian assistance in a cohesive and effective manner. Such instruments include strategic planning, gathering data and managing information, mobilising resources and ensuring accountability, orchestrating a functional division of labour, negotiating and maintaining a serviceable framework with host political authorities and providing leadership.’</p>	<p><b>6. Communities and people affected by crisis receive coordinated, complementary assistance.</b></p> <p>Quality criterion: Humanitarian response is coordinated and complementary.</p>	<p>1. Communities and people affected by crisis do not identify gaps and overlaps in the response. 2. Responding organisations share relevant information through formal and informal coordination mechanisms. 3. Organisations coordinate needs assessments, delivery of humanitarian aid and monitoring of its implementation.</p>

**5.4. UNICEF’s Core Commitments for Children**

The CCCs form the core UNICEF policy and framework for humanitarian action and are mandatory for all UNICEF personnel. Grounded in global humanitarian norms and standards, the CCCs set organisational, programmatic and operational commitments and benchmarks against which UNICEF holds itself accountable for the coverage, quality and equity of its humanitarian action and advocacy. It’s important to note that the new version

of the CCCs was launched in October 2020 (one month before hurricanes Eta and Iota happened).

The evaluation methodology draws principally upon two levels of the CCCs on:

- The *overarching commitments* (preparedness, coordination, PSEA, humanitarian access, supply and logistics, AAP)
- The *sectoral commitments* (needs assessments, planning, monitoring and evaluation, health, nutrition, child protection, education, WASH, social protection/GBV)

Other CCC dimensions will be drawn upon where relevant:

- The *programme approaches* (quality of programmes, integration, equity, linking humanitarian and development, community engagement, cash transfers)
- The *cross-sectoral commitments* (gender equality/empowerment of girls/women, disabilities early childhood development, adolescent development and participation)
- The *operational commitments* (human resources, information technology, communications and advocacy, partnerships with governments and civil society organisations, resource mobilisation, supply and logistics)

It is contemplated to develop several case studies across the different countries to explore the extent to which the UNICEF response was able to plan for and deliver against the sectoral CCCs. As previously mentioned, these will be agreed with relevant CO staff at the start of the data collection period.

## 5.5. Evaluation questions

The main evaluation questions around which this evaluation will be conducted are below. These questions are drawn both from the ToR but also supplemented and adjusted in light of feedback received through the inception interviews and the document review. Each question is broken down into a series of sub-questions. See annex 7 for the full evaluation matrix. This set of evaluation questions is directly related to both the objectives of the evaluation and the criteria against which the response will be assessed. Key informant interview/focus group scripts will group together appropriate questions for particular stakeholder groups.

1. **Assessment:** To what extent were the interventions based on adequate/specific assessments?
2. **Access:** Did the intervention design take into account specific barriers linked to gender and societal expectations, challenges faced by minorities (i.e., indigenous communities), vulnerable groups (e.g., unaccompanied children or children with disabilities, women and pregnant women, etc)?

3. **Achieving objectives** To what extent did the UNICEF response appropriately achieve its objectives ? How did these results impact different groups of affected people?
4. **Preparedness:** What preparedness and contingency measures were in place before November 2020 at the CO and LACRO levels (risk & capacity assessments [UNICEF COs, implementing partners, government, interagency, etc])
5. **Meeting needs:** To what extent has the strategy carried out by UNICEF (in terms of supplies, logistics, communication, implementing partners etc) been effective in meeting the needs of the affected population? To what extent have these been aligned with the CCCs?
6. **Timeliness:** To what extent was there correct usage of the accelerated processes to ensure a timely response: PCA/HPD, Human Resources, Procurement, Finances, etc?
7. **Planning and monitoring:** How effective is UNICEF in terms of planning and monitoring? To what extent are there adequate planning and monitoring tools for emergency response (including monitoring tools used by implementing partners)? To what extent have they been adequately used to allow for appropriate adjustment of strategies?
8. **LACRO and COs - role, responsibilities and relationships:** What were the main roles/responsibilities of COs and LACRO related to Eta/Iota (including leadership and decision-making)? Was the role of LACRO adequate (in terms of support and accompaniment) to respond to the needs of the COs related to Eta/Iota? To what extent has the relationship between LACRO and CO been a two-way relationship? To what extent has it contributed to developing a regional approach?
9. **Human resources:** Were the available human resources adequate for emergency response, both in terms of numbers and specific experience/training?
10. **Links between humanitarian action and development (NEXUS):** To what extent were UNICEF short-term emergency activities carried out in a context that takes longer-term and interconnected problems into account?
11. **Governments, Institutions, Counterparts:** What can UNICEF learn from existing partnerships in the countries which can inform its humanitarian response? How can UNICEF establish stronger partnerships with the private sector, central governments, subnational authorities, civil society organizations, academia, among others, to better prepare for and respond to future emergencies in Central America?
12. **Learning:** What processes has UNICEF put in place to systematically gather good practices and learning? How does this get disseminated and acted upon?
13. **Accountability to affected populations:** To what extent were UNICEF's plans and actions informed by the results of active participation processes where the

affected population had the voice and capacity to impact key decisions? Did UNICEF put in place accessible complaints mechanisms? What efforts were made to ensure that affected people knew about and used these mechanisms?

14. **Coordination:** To what extent has coordination both internally within UNICEF and externally increased effectiveness? To what extent was UNICEF able to achieve an integrated approach?

15. **Clusters:** What was UNICEF's role/impact in coordinating the clusters/sectors?

16. **Inter-Agency:** How has UNICEF coordinated and collaborated with other UN agencies?

## 5.6. Main adjustments made to the evaluation questions

The majority of the changes that were made to the initial set of questions included in the ToR were in order to either:

- Break them down into separate questions (many of the questions were compound sentences containing several sub-questions);
- To re-write them to clarify their meaning, or
- To bring together issues that sit more naturally together.

A limited number of additional questions have been included as a result of issues raised during the inception interviews. These issues are:

- The LACRO-CO relationship and particularly learning lessons related to decision-making and leadership in response to sudden-onset disaster response;
- The range of experience of applying a “no-regrets” approach in the different contexts;
- The communications dimension (particularly as it relates to the time-sensitivity of fundraising efforts) and the communications-advocacy dimension in relation to national disaster management agencies, donors etc was expanded and strengthened as a result of interviews with UNICEF staff working in communications.

See annex 11 for a comparative table of ToR and matrix questions.

## 5.7. Sampling strategy: Identification of data collection sites and key informants

The following criteria were developed to determine which locations the evaluation team will focus on during the data collection phase of the evaluation. Inevitably (given the

limited time and the budget available for this evaluation), only a small number of locations will be visited. The following criteria were shared with the COs to guide their identification of sites. At the time of preparing the first version of the inception report, discussions with COs were on-going related to the itineraries for data collection; this information will be included in the final draft inception report.

#### Primary criteria

- Zones most affected by hurricanes Eta and Iota;
- Zones with a concentration of emergency interventions;
- Access feasibility (taking into account the limited time in terms of number of days available);
- Presence of marginalised groups (eg Miskito/Garifuna/Mayan populations, etc).

#### Secondary criteria

- Zones that benefited from innovative interventions;
- Zones with high representation of vulnerable groups (migrant communities, women heads of households, unaccompanied children, people living with chronic diseases like HIV/AIDS);
- Zones identified as exposed to compound risks (multi-hazards and multi-vulnerabilities simultaneously present).

With these locations identified, COs have been asked to develop a proposed list for each country of all key informants across all stakeholder groups (see annex 6). As itineraries are firmed up, the list of possible stakeholders to be interviewed will be triaged with the amount of time available, ensuring a balance between stakeholders. This will be discussed and agreed with CO emergency and monitoring & evaluation focal points.

### 5.8. Evaluation standards & ethical considerations

The evaluation approach has been constructed guided by international standards to ensure that the evaluation is impartial and independent, conducted through a transparent and consultative process and of high quality following the standards and ethical guidelines identified by UNICEF. The guiding references for the evaluation include:

- United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation in the UN System 2016;<sup>46</sup>
- Ethical Guidelines for UN Evaluations;<sup>47</sup>
- UNICEF Ethical Guidelines and standards for research and evaluation;<sup>48</sup>
- UNEG guidance on integrating human rights and gender equality and UN System-Wide Action Plan (UN-SWAP) on gender equality;<sup>49</sup>

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<sup>46</sup>UNEG Norms and Standards for Evaluation, 2016 : <http://www.unevaluation.org/document/detail/1914>

<sup>47</sup>UNEG Ethical Guidelines, 2008 : <http://www.unevaluation.org/document/detail/102>

<sup>48</sup>UNICEF 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](https://www.unicef.org/supply/files/ATTACHMENT_IV-UNICEF_Procedure_for_Ethical_Standards.PDF)

<sup>49</sup><http://www.unevaluation.org/document/detail/1452>

- ALNAP guidance for evaluation and humanitarian action evaluations of humanitarian action.<sup>50</sup>

Through extensive discussions with LACRO, it was decided that the evaluation will not gather direct data from children and adolescents under the age of 18, given that many child-facing activities have come to an end, the hurricanes took place 18 months ago (meaning that there is considerable possibility of recall bias) and the limited time available for data collection in each country. Focus group discussions will be held with parents/guardians and teachers where appropriate.

### 5.9. Quality assurance to be undertaken by the evaluation team

The quality and rigour of the evaluation process will be a major focus of the evaluation team, supported by the oversight of the management structure put in place by UNICEF (involving evaluation and emergency officers from the regional and country office levels).

- With a gender balanced team made up of experienced national and international consultants, support and supervision will be assured by Groupe URD.
- Appropriate coaching will be provided to team members before deployment to the field for the appropriate use of data collection tools. The team will separate at certain times but the team leader and/or senior evaluator will be present in all locations and there will always be a minimum of two team members working together.
- All key informant interviews and focus group discussions will be fully noted (and recorded where appropriate and permission granted), to ensure that the data consolidation and analysis phase can draw upon accurately recorded data. Informed consent will be sought for each KII, FGD and for observations<sup>51</sup>. This will be supplemented by photographic evidence (again, based on prior permission sought).
- Confidentiality and anonymity of the data will be ensured to the extent possible during the data analysis and report development phase, recognising that, given the theme of the evaluation, certain aspects (e.g. specific technical issues) may be traceable back to probable source.

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<sup>50</sup><https://www.alnap.org/system/files/content/resource/files/main/alnap-evaluation-humanitarian-action-2016.pdf>

<sup>51</sup> See annex 10 for consent form

## 6. THE INCEPTION PHASE

The inception phase consists of the following activities:

<i>Activity</i>	<i>Sub-activity</i>	<i>Dates for completion and references</i>
Preparation and analysis meetings between the Evaluation Team members	<ul style="list-style-type: none"> <li>• Agreeing roles &amp; responsibilities of evaluation team members</li> <li>• Timeline</li> <li>• Workplan</li> </ul>	March 2022
Preliminary desk review of key documentation to identify existing evidence and gaps in data	<ul style="list-style-type: none"> <li>• Review of documents received to identify contents and assess utility for the inception phase (triage due to large number)</li> <li>• First analysis of relevant documents</li> <li>• Requesting additional documentation where required</li> <li>• Mapping the results</li> </ul>	March-April 2022 (annex 2)
Undertaking inception interviews with key informants to understand expectations of evaluation (key issues)	<ul style="list-style-type: none"> <li>• 10 CO interviews completed (Deputy Reps, M&amp;E specialists,, Emergency specialists)</li> <li>• 6 interviews with LACRO staff (including regional director)</li> <li>• 1 non-respondent</li> <li>• 3 women, 13 men</li> </ul>	March-April 2022 (annex 3)
Development and revision of evaluation matrix	<ul style="list-style-type: none"> <li>• Development of framework approach based on ToR proposed questions and in light of findings from document review and inception interviews</li> <li>• Sharing draft evaluation framework with management group, further revision in light of feedback received</li> </ul>	March-April 2022 (annex 7)
Submission of Draft Inception Report	<ul style="list-style-type: none"> <li>• First draft submission of this report</li> <li>• Revision of draft report in light of initial feedback received from management evaluation group</li> <li>• Final version submitted following consolidated feedback on the inception report from COs</li> </ul>	1: April 13 2022 2: April 20 2022 3: April 27 2022 4: May 11 2022 <sup>52</sup> 5: May 18 2022
Inception workshop	<ul style="list-style-type: none"> <li>• Workshop with CO and LACRO staff to discuss and agree approach presented in inception report, focus and details related to the evaluation, solicit input and identify/address concerns and issues</li> </ul>	13 May 2022

<sup>52</sup> The delay between submitting the third and fourth versions of the report was due to a technical circulation issue within UNICEF.

Data collection tools	<ul style="list-style-type: none"> <li>• Final revision of evaluation matrix following feedback</li> <li>• Development of key data collection tools (semi-structured interview/FGD scripts)</li> <li>• Finalisation of inception report</li> </ul>	May 2022  (annex 8)
Development of itineraries for field data collection	<ul style="list-style-type: none"> <li>• Development of sampling strategy and location selection criteria</li> <li>• Discussions with COs to identify appropriate dates and develop data collection itineraries, key informant interviews and FGD composition</li> </ul>	April-May 2022  (annex 5)

## 7. EVALUABILITY, LIMITATIONS AND CONSTRAINTS

### 7.1. Evaluability of documentation

383 documents were uploaded to an online repository and shared with the evaluation team (19 documents related to the Guatemala CO, 255 documents from the Honduras CO, 73 documents from the Nicaragua CO and 36 regional documents). Documents were uploaded at different times over the inception period which made it difficult to keep up with what was being uploaded. See the full bibliography in annex 2.

Many of these documents, while they may be instructive during the main data collection period, are deemed to be of doubtful relevance at this stage of the evaluation (for example notes from speeches, press releases, photos, etc).

In addition to the large number of documents (requiring a time-consuming process to review and prioritise), the evaluability of some of these documents is judged to be low:

<i>Evaluability concerns</i>	<i>Mitigation actions to be taken</i>
A number of the UNICEF documents provided are orientated to fundraising and communications, with relatively few documents with an operational focus (detailing activities, indicators, etc).	The evaluation team will gather additional, operationally-focused documents during the field data collection period.
The LACRO documents present global figures that are not disaggregated by country.	The evaluation team will gather additional documentation from the COs during the field data collection period in order to reconstruct a disaggregated set of data.
Documents from UNICEF partners are generally narrative texts that provide general information, without including indicators.	During meetings with partners, the issue of reporting (norms, capacity, formats) will be explored and additional documentation requested.

<p>Few monitoring reports provided include strong narrative evidence related to progress in meeting indicators (eg the quality of compliance, the methodologies applied, the quality of the objectives or services delivered, the conditions in which they were delivered or the relevance of delivering them).</p>	<p>Elements of the missing information will be sought during the data collection period, together with the exploration of monitoring and reporting issues through interviews with key informants.</p>
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## 7.2. Limitations and constraints

A number of potential limitations and constraints have been identified. These are mentioned below with suggested mitigation strategies.

- Given that most UNICEF Eta/Iota-related activities have finished, there is a risk of recall bias during the data collection period. In light of this, and working with the CO teams, the most appropriate KIIs will be identified, those who were directly and actively implicated in the activities. Attempts will also be made to speak to staff who were directly involved.
- The limited numbers of days allocated within the overall UNICEF budget and distances to be covered to reach affected communities will limit the number of sites to be visited. The number of days to be allocated to field visits has been slightly increased to the maximum within the budget, interviews in capitals will be conducted via video as much as possible, however careful triage (with the COs) of interviews will need to be carried out to ensure that the most relevant informants are interviewed, given the constraints on the number of days available.
- Lack of engagement from stakeholders: The evaluation team will discuss communication and engagement approaches with each CO to ensure that appropriate engagement approaches are adopted.
- Limited capacity of COs to support the data collection process: The evaluation team is aware of the limited capacity (in terms of staff time) and will work closely with the allocated focal points, be clear about the support it requires and take on as much of the logistical arrangements as possible. The team will invest time to adequately communicate the aims and objectives of the evaluation and to hear the views, opinions and concerns of CO staff (eg organising kick-off and follow up meetings with CO staff).
- Security and logistical risks in country visits: The evaluation team will liaise closely with COs and LACRO prior and during travel, take necessary precautions and complete a risk assessment for each country.
- To overcome possible interviewer bias, interview frameworks will be developed to provide consistency of enquiry.

- To minimise possible interviewee bias, the evaluation team will promote attitudes of openness and non-judgementalism to encourage frank feedback from participants and will assure anonymity and confidentiality. The team will stress the learning aim of the evaluation and will balance the number of internal and external interviewees. With external KIIs, the complete independence of the evaluation team from UNICEF will be clearly explained, although the extent of KII understanding of what this means is unclear.

## 8. WORK PLAN AND DELIVERABLES

### 8.1. Work plan

See the work plan below for current timetable and proposed dates for deliverables.

Evaluation of UNICEF's response to Eta & Iota, Central America	February				March				April				May				June				July				August			
	S1	S2	S3	S4	S1	S2	S3	S4	S1	S2	S3	S4	S1	S2	S3	S4	S1	S2	S3	S4	S1	S2	S3	S4	S1	S2	S3	S4
<b>Phase 0: Preparation</b>																												
Identify & recruit national consultants, with UNICEF's validation	█																											
Work plan	█				█																							
Contract consultants	█				█																							
<b>Phase 1: Inception</b>																												
Kick off					█				█																			
introductory interviews					█				█																			
Revise/agree workplan					█				█																			
Detailed methodology					█				█																			
Draft timeline					█				█																			
DELIVERABLE: Inception report (13 April)					█				█																			
DELIVERABLE: Evaluation KII/FGD scripts etc					█				█																			
UNICEF feedback/adjustment to inception report/evaluation tools etc					█				█																			
Inception report validation workshop (13 May)					█				█																			
<b>Phase 2: Field Research</b>																												
Logistics/coordination for field visits					█				█																			
Interview LACRO focal points					█				█																			
Interview KIIs based in capitals (distance)					█				█																			
Interview other orgs re preparedness actions					█				█																			
Data collection through field visits					█				█																			
Debriefing meetings with CO to share emerging findings					█				█																			
<b>Phase 3: Analysis, production of reports, workshop</b>																												
Data analysis and preparation of reports																					█				█			
Validation workshop (date tbc)																					█				█			
DELIVERABLE: country reports (drafts end July, final mid-Aug)																					█				█			
DELIVERABLE: consolidated reports (draft early Aug, final mid-Aug)																					█				█			
DELIVERABLE: Briefings, PPT (draft early Aug, final mid-Aug)																					█				█			

### 8.2. Structure of the reports

The final structure of the country documents and regional synthesis will follow the UNICEF GEROS template and will include :

- Title page
- Table of contents
- List of acronyms
- Executive summary
- Background and context
- Objective, purpose, scope and main stakeholders of the evaluation
- Evaluation framework

- Methodology, limitations and constraints
- Evaluation norms and ethical considerations
- Main findings organised around key issues (question headings in the matrix)
  - Assessment
  - Access
  - Achieving objectives
  - Preparedness
  - Meeting needs
  - Timeliness
  - Planning and Monitoring
  - LACRO and COs (role, responsibilities and relationships)
  - Human resources
  - Links between humanitarian action and development
  - Governments, Institutions, Counterparts
  - Learning
  - Accountability to affected populations
  - Coordination
  - Clusters
  - Inter-Agency
- Conclusions
- Lessons learned
- Recommendations
- Annexes

All deliverables will meet UNICEF standards as described in 7.3 above.

# 9. ANNEXES

## 9.1. Annex 1: Terms of Reference



### TERMS OF REFERENCE

TITLE/PURPOSE	<i>Multi-country evaluation of UNICEF’s response to hurricanes ETA &amp; IOTA in Central America.</i>
RECRUITING OFFICER	<i>Regional Emergency and Evaluation Advisers, UNICEF LACRO</i>
CONTRACT MODALITY	<i>Corporate Contract (consultancy)</i>
LOCATION OF ASSIGNMENT	<i>Home based with travel to Central America Will report to UNICEF LACRO</i>
LANGUAGE(S) REQUIRED	<i>Spanish and English</i>
DURATION OF CONTRACT	<i>Estimated 4 months</i>

### A. Background

#### Impact and damages of major hurricanes ETA & IOTA in Central America (November 2020)

ETA, the 2020 Atlantic hurricane season’s record-tying 28th storm, began affecting northern Honduras as a Category 4 hurricane approaching the north-eastern shores of neighbouring Nicaragua on 3 November, bringing torrential rains that the United States’ National Hurricane Center (NHC) forecast expected to leave as much as 635mm of rain and cause wind speeds as high as 275 km/h.

During its slow three-day journey over Nicaragua, Honduras and Guatemala, ETA downgraded to a tropical storm and then to a tropical depression, drenching much of Honduras and causing rising river levels, flooding, and landslides across the country. These impacts collectively created a host of overlapping humanitarian needs for hundreds of thousands of people in vulnerable communities now facing the grim reality of recovering from Honduras’ worst natural hazard in more than 20 years.

Less than two weeks after being battered by Tropical Storm ETA, Honduras was hit by Hurricane IOTA, a category 5 hurricane on the Saffir-Simpson scale. With a slightly different trajectory than ETA, Hurricane Iota caused flooding and landslides in the northern part of the country, exacerbating an already difficult situation. The two storms have caused severe damage only comparable to Hurricane Mitch in 1998, resulting in humanitarian needs for millions of people in Honduras.

An estimated 9.2 million people (including 3.5 million children) was affected by heavy rainfall, lifethreatening flash flooding and landslides caused by Hurricanes ETA and IOTA in Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama. Other areas in Mexico and Colombia have been also impacted. Over 160,000 people have been displaced and hosted in

shelters, including 64,000 children, and need access to protection, food, health, nutrition, water, sanitation, and basic services. In some affected communities, access to basic services was already limited and is now worsened by the effects of the Hurricanes; restoration of basic services in such places is now urgent.

Thousands of families have lost their homes and livelihoods, many already been impacted by the COVID-19 crisis. At least 3.4 million people need urgent support, including 1.3 million children in the most affected communities in Belize, Guatemala, Honduras, and Nicaragua. Eta and Iota affected children and families already devastated by the socio-economic impacts of the pandemic: school closures, loss of jobs, declining migrant remittances, rising violence against children and women, and disruptions in access to water and sanitation and to key health services, including vaccinations for young children.

Prior to COVID-19, at least 5.2 million people in El Salvador, Guatemala and Honduras were already facing significant humanitarian needs related to migration flows, violence, internal displacement, food insecurity and poverty. Among affected areas, there are remote indigenous communities where access and language barriers challenge relief efforts. A potential surge in population movements, including internal displacement and cross-border migration, could further compound the situation.

### **UNICEF's response**

UNICEF prioritised its action in the four most affected countries in Central America: Nicaragua, Guatemala, Honduras and Belize. UNICEF response strategy was adapted to the needs in country and focused on ensuring that children and families in shelters and affected communities had access to basic services including protection, nutrition, water, sanitation and hygiene (WASH) services – including Menstrual Hygiene Management (MHM) – health, education and early childhood development. UNICEF ensured and reinforced service provision in a safe and protective environment, supporting the prevention of gender-based violence (GBV) as well as the prevention of Sexual Exploitation and Abuse (PSEA) for children and women.

During the first year of ETA & IOTA emergency response, UNICEF achieved that about 250,000 caregivers of children under 2 years, received **nutritional** counselling and some 50,000 children under 5 years directly received nutritional screening and opportune therapeutical referral as required. Similarly, UNICEF ensured that more than 6,200 children received their minimum set of **vaccines** despite a concerning Covid-19 pandemic and the need to ensure personal protective equipment to more than 300,000 health workers.

UNICEF's Water, Sanitation and Hygiene (**WASH**) humanitarian response ensured that some 75,000 people could be reached by critical WASH supplies (including hygiene items) and services, and 15,000 people had access to sufficient and safe water. Moreover, about 4,500 children benefitted from improved wash and hygiene services in learning facilities and safe spaces.

The **Protection** need of children and women were addressed by UNICEF under different perspectives. Thanks to UNICEF intervention, almost 25,000 children and caregivers had access to mental health and psychosocial support; about 35,000 women and adolescents accessed to GBV prevention, mitigation, and response interventions. Similarly, some 2,600 unaccompanied or separated children could access to family-based care or suitable alternative, while almost 15,000 children could be referred to specialized services such as health, social welfare, or justice services.

As a strong component of the UNICE response to ETA & IOTA emergency, access to formal or non-formal **education** (including early education) was ensured to 1.8M of children in the subregion, and about 165,000 children received individual learning materials. In Guatemala,

thanks to the opening of schools, more than 3,500 schools could implement safe school protocols for Covid-19 infection prevention and control (IPC).

UNICEF remains a key humanitarian and development partner in the affected countries, leading and facilitating coordination efforts among clusters and sectoral groups - particularly in WASH, education, nutrition, and Child Protection. UNICEF will link its humanitarian action and development programming to strengthen policies and systems and enhance resilience of affected populations.

UNICEF is part of interagency mechanisms and its response plans are aligned with interagency priorities. UNICEF efforts will complement actions of authorities and other partners working in providing food assistance and overall support in shelters. Few days after the impact of ETA & IOTA in Honduras (19 November 2020), the Humanitarian Country team issued a joint Flash Appeal to request international support to families affected by the storms. On early February 2021, Nicaragua also launched a Plan of Action for the Humanitarian response in support of the impacted population. Later in the year, a Humanitarian Needs Overview (HNO) and corresponding national Humanitarian Response Plans (HRPs) were prepared in support of the Governments of El Salvador, Guatemala, and Honduras to assist highly vulnerable population; UNICEF requirements in the HACs have been aligned with these inter-agency appeals and plans.

UNICEF worked in collaboration and coordination with local and national governments, whose capacities have been surpassed and with its existing partners, developing new partnerships where needed, to deliver urgent support and restore access to basic services for children, women and families in Guatemala, Honduras, Nicaragua and Belize, that have been left in an extremely vulnerable situation after the impact of Hurricanes ETA and IOTA.

## **B. Purpose and Objectives of the Evaluation**

UNICEF's LACRO is proposing a multi-country evaluation of UNICEF's response to ETA & IOTA major hurricanes of late 2020 that affected Guatemala, Honduras, and Nicaragua, to generate opportune feedback and learning key elements of its response. The multi-country evaluation, is expected to generate actionable recommendations on how to formulate the new UNICEF sub-regional preparedness strategy and contribute to strengthen "shock responsiveness" of national and local level NDMA systems, using the CCCs as framework of benchmarks and Emergency Preparedness Platform (EPP) as improvement platform.

### **Purpose**

The purpose of the multi-country evaluation of the UNICEF's ETA & IOTA response is dual, both for learning and accountability. Firstly, it is needed to **account for performance** and results achieved, externally (both to donors and host governments), internally (at the regional office and country office level). Secondly, it is needed to draw **lessons learned** from recent humanitarian response for future responses to hydrometeorological events in the Caribbean basin<sup>53</sup>.

At the end of the process a regional synthesis and country office evaluation reports on relevance, coherence, effectiveness and connectedness of UNICEF's response to Eta/Iota hurricanes in Guatemala, Honduras and Nicaragua will be produced. The reports will feed into the design and implementation of the new Nicaragua CPD and a regional preparedness strategy.

### **Objectives**

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<sup>53</sup>From here on, the Caribbean basin is defined as the geographical area between Central America and the Caribbean islands characterized by the seasonal genesis of extreme hydrometeorological events such as hurricanes.

The objectives of the evaluation are as follows:

- To determine the institutional progress UNICEF made towards the **accomplishment of UNICEF's CCCs** in emergencies, including reaching the most vulnerable population and identify the **most effective** implementation strategies and partnerships for future responses (relevance, coverage, timeliness<sup>54</sup>, connectedness<sup>55</sup> and quality).<sup>56</sup>
- **To assess the quality of the response planning** in terms of rapid assessment, design and structure of the response, mapping of partners, workflow, financial arrangements, and monitoring system.
- To determine the **relevance** of existing or developing **emergency preparedness and response strategies**, ensuring UNICEF positioning as key humanitarian actor in the subregion.
- To determine how UNICEF can better position itself, build on its **comparative advantage**, and provide specific recommendations to improve its response to future hydrometeorological and other emergencies in Central America.

### C. Expected Users and uses

The expected *primary audience* of this multi-country evaluation includes COs (i.e., both management and technical staff) and LACRO (Management, Emergency Unit and Preparedness group).

The evaluation results will be used by this audience to draw **lessons learned for future emergency response** in the region and better embed risk informed programming and nexus in regular country program documents and annual plans. Moreover, the evaluation will generate real-world **evidence on emergency preparedness** in terms of response effectiveness (i.e., timeliness, scale and quality), using the CCCs as framework of benchmarks and EPP as improvement platform, so to contribute to strengthen national and local level shock responsiveness to future disasters.

*Secondary audiences* include key stakeholders of emergency response such as: interagency coordination actors (OCHA, clusters leads); Humanitarian Network in each country (HCT); local governments and international donors (ECHO, USAID, PRM, BHA, among others) For this audience, evidence will be used as a basis for **reporting to account** on results achieved and consolidate partnerships.

### D. Special Considerations

Additionally, the evaluation will review the extent to which the regular program was **risk informed**. In this sense it will specifically look into whether UNICEF was ready to address the the necessary programmatic and operational risks looking into specific internal and external barriers which may have emerged when responding to humanitarian needs of the affected populations.

### E. Evaluation Scope

The multi-country evaluation will cover UNICEF's humanitarian response in Nicaragua, Salvador and Guatemala and Honduras, following the November 2020 ETA and IOTA hurricanes on.

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<sup>54</sup>The timeliness of UNICEF's action will be looked at as part of the 'effectiveness' criterion.

<sup>55</sup>Connectedness can be conceived as the equivalent of the 'sustainability' criterion applied to humanitarian action.

<sup>56</sup>Reference to the OECD-DAC evaluation criteria is made, <https://www.oecd.org/dac/evaluation/revised-evaluation-criteria-dec2019.pdf>

Specifically, the evaluation will consider key elements of the pre-emergency phase associated to the development and impact of both Cat4 hurricane ETA (2-6 Nov.) and Cat5 hurricane IOTA (16-18 Nov.) so to evaluate contingency planning and preparedness capabilities and the extent to which they influenced (enhancing or restraining) UNICEF's response to the emergency.

Additionally, the period reviewed will cover the UNICEF's humanitarian response from November 2020 to December 2021. The multi-country evaluation review the specific **time span of the response**: i) Standing Capacity: 3-4w (contingency planning, reprogramming of resources, pre-positioning of supplies, etc.); ii) First Response: 1-3m (Need assessment, CERF, FA, cluster activation); iii) Consolidated Response: (3-6m) Emergency Response Plan consolidation and operationalization; iv) Exit strategy: 6-12m (LHD, connection with CPD).

The evaluation will assess UNICEF's humanitarian action across urban and rural locations affected by the events, including areas of displacement (temporary shelters), relocation and resettlement, where present, and hard-to-reach areas, wherever possible. Along these lines, primary data collection from key informants will be prioritized in the most affected areas of the countries including, but not limited to the following territories.

- Nicaragua: Northern Caribbean Coast Autonomous Region (RACCN), and Departments of Jinotega and Nueva Segovia.
- Honduras: departments of Cortes, Atlántida, and Yoro.
- Guatemala: departments of Izabal and Alta Verapaz.

Programmatically, the evaluation will cover UNICEF's multi-sectoral interventions across the CCCs, specifically in the areas of: WASH, health, nutrition, education, health, C4D, child protection and social protection as well as the cross-sectorial Monitoring and Evaluation. The evaluation will also assess, from an operational standpoint, the availability and management of supplies, human and financial resources and partnerships, opportune use of the emergency procedures (e.g., HPD, surge & deployment, procurement & contracting, finance) which feed into the response. Advocacy, communications and fundraising will also be assessed to the extent to which they were factors that affected (facilitated/hampered) the response.

The evaluation will cover UNICEF's role as cluster lead, as relevant, and provide an analysis of **UNICEF's coordination/cluster responsibilities** and how well it balanced with a more operational role. Effectiveness of the emergency response will be assessed from the standpoint of achieved **synergies** with national priorities and other development partners' programmes: inter/cross-sectorial capacity to integrate the delivery of different services of the response (e.g., WASH-Nutrition, WASH-education, Education-Protection, Nutrition & Health); inter-agency and institutional coordination (e.g., CONRED, COPECO, SINAPRED and local governments)-

Due to time limitations, the evaluation will *not* address the efficiency of UNICEF's response<sup>57</sup>, which would imply a lengthy costing exercise and comparisons with alternative implementation approaches, yet the timeliness of UNICEF's action will be addressed under the effectiveness criterion. The evaluation will only gauge whether or not UNICEF has taken into consideration the Protection from Sexual Exploitation and Abuse (PSEA) in its programming in the context of the ETA & IOTA response; however, it will not assess systematically the results of such programming, given that this would require additional time and different sets of competencies.

## F. Indicative Evaluation Questions

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<sup>57</sup>Or, in other words whether the least costly resources possible were/are used to achieve results.

In line with the objectives outlined above, the following two tables list a set of general overarching questions and a more specific set of queries/sub-questions, respectively, that will drive the evaluation. They will be fine-tuned, revised and reduced, as deemed appropriate, to ensure relevance and utilization of the exercise once the evaluation team is onboard and the Evaluation Reference Group established.

Overarching Evaluation Questions	Evaluation Criteria
1 What are the main <b>Lessons Learned</b> from this sub-regional rapid onset disasters in terms of emergency preparedness and emergency response in the countries and the specific local places of intervention	<b>Relevance/ Appropriateness</b>
2 To what extent has <b>UNICEF</b> humanitarian response and recovery efforts <b>achieved their intended results</b> (in terms of timeliness, scale, and quality, considering the HAC, response plans, monitoring and adherence to CCCs)?	<b>Effectiveness</b>

Evaluation Sub-questions	Evaluation Criteria
<p>1 To what extent did UNICEF’s regional and country offices <b>humanitarian response objectives</b> (including ERPs, HPDs and required adjustments), strategic approaches, and implementation modalities in the region and COs <b>remain appropriate and relevant</b> to the changing circumstances (including the Covid19 outbreak)? When and where was UNICEF’s <b>COs response most adapted to the local needs</b> of those most vulnerable populations whilst responding to national partners priorities (as per rapid and needs assessments)?</p> <p>2 To what extent were UNICEF’s <b>plans and actions informed by the results of active participation</b> process where the affected population had the voice and capacity to impact key decisions? Did the intervention design take into account specific barriers linked to gender and societal expectations, challenges faced by minorities (i.e., indigenous communities), vulnerable groups (for example unaccompanied children or children with disabilities, women and pregnant women, etc.)?</p>	<b>Relevance/ Appropriateness</b>
<p>4 How effective was UNICEF’s response in terms of planning, needs assessments, mapping of partners, structure of the response, workflow, financial arrangements, coordination, <b>and monitoring</b>. Correct use of the accelerated processes for the response: PCA/HPD, Human Resources, Procurement, Finance etc.</p> <p>5 To what extent did UNICEF response <b>appropriately achieved</b> its objectives, and its results, including any differential results across groups? What are the <b>most and less effective national and subnational strategic approaches</b> at regional and country level for achievement of results?</p> <p>6 What improvements can be made to <b>improve the effectiveness</b> of UNICEFs humanitarian preparedness and response (in terms of Supplies, Logistics, Staff, Surge, Implementing Partners and HCT)To what extent UNICEF was ready to address the necessary programmatic and operational risks looking into specific internal and external barriers which may have emerged when responding to humanitarian needs of the affected populations?</p>	<b>Effectiveness</b>

<p>7 Did the effectiveness of the Emergency Response increase because of achieved internal and external synergies and coordination? Intersectorial (UNICEF) Interagency and Interinstitutional: Integration of the different components of the</p> <p>8</p>	
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<p>response, for an integrated delivery; WASH-Nutrition, WASH-education; education protection; nutrition-health; ...</p>	
<p>9. What is <b>UNICEF's added value</b> in the ETA/IOTA response – particularly in comparison to other UN agencies responding to the crisis?</p> <p>10. What are the major factors which have influenced or led to <b>internal and external coherence</b> of UNICEF's response, or its lack?</p> <p>11. What can UNICEF <b>learn from existing partnerships</b> in the countries? How can UNICEF establish stronger partnerships with private sector, central governments, subnational authorities, civil society organizations, academia, among others, to better prepare for and respond to future emergencies in Central America?</p>	<p><b>Coherence</b></p>
<p>12. To what extent UNICEF short-term emergency activities were carried out in a context that takes longer-term and interconnected problems into account (i.e., <b>nexus</b>)?</p> <p>13. How successfully have <b>recovery considerations</b> been incorporated into planning and relief interventions?</p> <p>14. How the emergency response was managed to link effectively with ongoing and future <b>CPD</b> (partners, geographical areas, sectors of interventions, etc.)?</p>	<p><b>Connectedness</b></p>

## G. Approach and Methods

### Overall design and approach

The methodology described in this section is indicative and participating evaluators are expected to adapt and integrate the approach and propose adjustments needed to undertake the assignment. These can include additions to the evaluation design; approaches to be adopted; appropriate sampling strategy; data collection and analysis methods; and an evaluation framework. The proposals should also refer to methodological limitations and mitigation measures.

The design of the evaluation will be non-experimental and adopt a utilisation focused in assessing the effectiveness of the UNICEF response to Eta and Iota. During the process the

evaluation team will assess regional and country strategies for each intervention component, validate their appropriateness and effectiveness, and help stimulate reflection to inform the next phase of UNICEF's response to this regional crisis throughout the organization.

With a strong focus on utilisation, the approach of the evaluation will concentrate on engaging with the principle users of the evaluation process and report focusing on likely utilization and use of the findings and recommendation by all key stakeholders. UNICEF country and regional offices, key stakeholders and focal points in national government' ministries and departments, representatives at sub-regional and national level as far as possible, and UN partner organisations in Guatemala, Honduras and Nicaragua.

Mixed data collection methods will be used as far as possible. Discussions with stakeholders from regional and countries will largely provide qualitative evidence. The evaluation team will draw from the available quantitative data from recent evaluations, progress reports and other sources, including a desk review of existing secondary data and documentation (e.g. relevant findings from parallel inter-agency evaluations/ reviews; SitReps; HAC; needs assessments; monitoring indicators and reports; funding information; HR data; supply data; COs preparedness and contingency plans reflected in the Emergency Preparedness Platform (EPP); focus group discussions and key informant interviews with a purposive sample of stakeholders (i.e. affected community members and leaders; UNICEF staff at country/regional/HQ levels; Government representatives; implementing partners; development and humanitarian partners and other UN agencies); and observation.

To guarantee inclusion, accuracy and credibility of the evaluation's findings, primary data collection and subsequent analysis will be sex and age-disaggregated, to the extent possible. Data collection should further attempt to gather the views of the diverse universe of stakeholders/social groups affected by the intervention, particularly the most vulnerable (e.g. people with disabilities; hard-to reach communities; populations who have not moved from places of origin despite loss but have encountered significant destruction of assets and livelihoods; unaccompanied/separated children; returnees; resettled communities etc.). Data and information collected will be triangulated to ensure soundness and cross-validated at key points in time, as deemed relevant by the evaluation team, through in-country briefings with stakeholders.

With a strong focus on utilisation, the approach of the evaluation will concentrate on engaging with the principle users of the evaluation process and report – even if totally remote, it should also be as participatory as possible to be able to engage key stakeholders and trigger ownership both at the country, regional and headquarter level. The methodology is expected to be innovative, gender responsive and enable rigorous and systematic data collection and rigorous analysis, to allow for comparisons between countries and possible replications to other countries in the region.

The evaluators will assess the options and describe in detail the suitable methods to meet the purpose, scope and objectives of this evaluation. The methodology will be further refined in the inception phase, based on the findings of the Evaluability Assessment and consideration of constraints posed by the COVID-19 outbreak and measures out in place by Guatemala, Honduras and Nicaragua. Participatory approaches will be adopted as far as possible, but given the potential access constrains, these will be expected to be make use primarily of virtual means

Overall, the evaluation requires an analysis at the national and regional levels. Considering the strategic level focus, it is expected that evidence will be collected primarily through an extensive/comprehensive desk review, complemented by virtual key informant interviews and focus group discussions, online surveys, and other data or information, which deemed to be

necessary to answer evaluation questions, can also be gathered from a review of secondary sources, such as: program documents, annual and quarterly progress reports, or records available with UNICEF/LACRO.

### **Triangulation**

Evaluation findings, conclusions and recommendations are to be used for organizational learning, informed decision-making and accountability, and should be based on triangulated evidence. Multiple sources should be used to ensure that the findings can be generalized to the response and were not the results of bias or the views of a single agency or type of actor. Three types of triangulation methods are envisaged: 1) cross reference of different data sources (interviews and documentation), 2) triangulation through the different M&E regional focal point evaluators, and 3) review by UNICEF Staff and participants through the respondents' validation meeting and consultation with UNICEF and government key respondents during the report drafting process. Triangulation should allow the team to determine how much weight to put on different sources of information. The triangulation efforts will be tested for consistency of results, noting the inconsistencies do not necessarily weaken the credibility of results, but may reflect the sensitivity of different types of data collection methods. This is to ensure validity, establish common threads and trends, and identify divergent views.

### **H. Limitations and anticipated Challenges**

At the time of writing this TOR the main limitation posed to the evaluation of UNICEF's response to hurricanes ETA & IOTA relates to the COVID19, which is affecting the Guatemala, Honduras, and Nicaragua along with the rest of the world. To contain the spread of the virus some of these countries have closed their borders, schools and non-essential businesses, and established restrictions of movements and social distancing measures. Currently it is impossible to predict how the emergency will unfold in the coming months and whether constraints will ease, continue, or become more restrictive. This has an implication for the evaluation methodology and/ or timeframe. Together with the evaluability assessment during the inception phase, participating evaluators should identify methodological limitations in the proposal and how these could be overcome with alternatives. The timeframe proposed in this TOR is indicative and subject to review. Below are evaluation Guidelines, adapting UNICEF's Response Evaluation Planning and Implementation during the Covid-19 pandemic situation.

This evaluation should take into consideration the current methodological challenges that are affecting programmatic evaluation work during the COVID-19 pandemic and their likely impact on evaluation activities. The conduct of the different evaluation activities should be realistic in implementation expectations not only for the short-term but also for the remaining year and should strongly consider the use of remote and virtual methodologies for the implementation of ongoing and future evaluation activities from November 2021 through February 2022 to assess the possibility of implementation considering the current situation in each country, and should take into consideration the following guidance:

- a) Carry-out evaluability assessments for the different supported interventions to support reprioritization, rescheduling and preparing for forthcoming evaluation activities.
- b) Identify and plan for the implementation of data collection methods remotely (virtually) if necessary and possible, depending on the situation in-country, through remote data collection and the remote interviewing of stakeholders. Guidance is provided below.
- c) Implement evaluation activities in consultation with the UNICEF/LACRO evaluation team
- d) Do not place any consultant, stakeholders or beneficiary in harm's way and evaluation methodologies proposed should limit the exposure of stakeholders to the pandemic.

- e) Changes to evaluation plans should follow normal procedures with UNICEF/LACRO being informed of evaluation plan changes.
- f) Changes should be approved by UNICEF/LACRO Regional Evaluation Adviser and each UNICEF country offices and continue to be verified and approved basis by M&E regional focal point.
- g) Ongoing UNICEF response and country offices' evaluation activities should be completed virtually where possible.

Depending on the Covid-19 pandemic situation on the ground, relevant key informants, participants, and field sites may be unavailable/unreachable. In this regard, data collection methodology, sampling framework and approach may be compromised during the process.

Due to the fact that this evaluation may be all, or part carried out virtually, then consideration is given to the availability, capacity or willingness of stakeholders to be interviewed remotely. In addition, access to the internet or to a computer can be a problem as many countries and its government and national interlocutors may work from their homes. These limitations will be reflected in the evaluation progress reports from each country. If data collection / field mission is not possible, then interviews will be done remotely by phone or online (Skype, Zoom, Google Meetings, etc.). UNICEF Staff and partners can work remotely with on-site support from UNICEF/LACRO evaluation team. Safety comes first and no stakeholder, consultant or UNICEF staff can be put at risk.

Furthermore, key limitations may include the typical time constraints similar to those affecting other humanitarian response evaluations, access and availability of data in emergency contexts and the need to balance timeliness with depth of information and well-substantiated findings. Further challenges that can be anticipated relate to UNICEF's humanitarian response in Haiti which does not only focus on the earthquake response.

## I. Norms and Standards

The evaluation needs to follow the UNEG Norms and Standards for Evaluations (2016), as well as, UNICEF Ethical Guidelines. It also needs to respect UNEG Guidance on integrating Human Rights and Gender Equality in Evaluation and the UN-SWAP Evaluation Performance Indicators.

Guidance documents mentioned below are those that the Evaluation Team is expected to comply with:

- United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation in the UN System 2016;<sup>58</sup> (including impartiality, independence, quality, transparency, consultative process);
- Ethical Guidelines for UN Evaluations;<sup>59</sup>
- UNICEF Ethical Guidelines and standards for research and evaluation;<sup>60</sup>
- UNEG guidance on integrating human rights and gender equality and UN System-Wide Action Plan (UN-SWAP) on gender equality;<sup>61</sup>

<sup>58</sup> UNEG Norms and Standards for Evaluation, 2016. Available at: <http://www.unevaluation.org/document/detail/1914>

<sup>59</sup> UNEG Ethical Guidelines, 2008. Available at: <http://www.unevaluation.org/document/detail/102>

<sup>60</sup> UNICEF 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](https://www.unicef.org/supply/files/ATTACHMENT_IV-UNICEF_Procedure_for_Ethical_Standards.PDF)

<sup>61</sup> <http://www.unevaluation.org/document/detail/1452>

- Relevant ALNAP guidance for evaluation and humanitarian action evaluations of humanitarian action;<sup>62</sup>Results Based Management principles

## J Management and governance arrangements

### LAC Regional Office

The Evaluation will be managed by UNICEF's LACRO Regional Evaluation and Emergency Advisors together with the three concerned country offices.

### Evaluation Reference Group

An Evaluation Reference Group will be established to ensure ownership from relevant stakeholder groups of the evaluation process, provide expert advice, inputs and technical support as the evaluation unfolds. The Evaluation Reference Group should include representatives from Regional Office and Country Offices. The reference group will have the following responsibilities:

- Provide inputs in the inception phase to influence the approach of the evaluation, and, where necessary, provide information and institutional knowledge as key informants.
- Support the work of the evaluation team by facilitating connections with key informants and ensuring the team has relevant reference documents.
- Review selected evaluation products (e.g., inception report and draft / final report) and providing written comments to the evaluation team through the evaluation manager; and,
- Where feasible, contribute to the post-evaluation management response, action plan and dissemination strategy.

### Country Offices

The Country Offices will be responsible for hosting the evaluation team and providing a workspace, and providing documentation, data and materials that is not readily available within the Regional Office. The COs will appoint a focal point for this evaluation who, in liaison and strong coordination with the LACRO, will provide logistical support and act as resource staff for the exercise, including helping to arrange for interviews with key stakeholders.

## K. Evaluation Team composition, responsibilities and required qualifications

### Team Composition and responsibilities

The evaluation will be conducted by a 3-person team including 2 international consultants (one team leader, one WASH and one other subject matter expert) and 1 national consultant<sup>63</sup>. One member from UNICEF's LACRO will be 'embedded' in the team and will provide logistical support and assist with data collection and report writing. ***Individual contracts will be issued to each team member.***

The evaluation team is expected to execute the following tasks:

<sup>62</sup><https://www.alnap.org/system/files/content/resource/files/main/alnap-evaluation-humanitarian-action-2016.pdf>

<sup>63</sup>The primary responsibility of analysis and drafting the national reports should not fall under the national consultant.

- a) Develop a realistic work plan for the evaluation.
- b) Execute the evaluation to respond to the questions stipulated in the terms of reference (or subsequent revisions of the evaluation questions);
- c) Generate evaluation products and deliverables as shown in the table below, and in accordance with contractual requirements.
- d) Provide written responses to comments from the reference group, and update report; accordingly, and,
- e) Provide regular updates to the Evaluation Managers.

## **Required Qualifications**

### **Team Leader**

- i) extensive experience in emergency response, preferably with a UN agency
- ii) experience in conducting and managing multi-disciplinary evaluations, including evaluating rapid onset emergencies for UNICEF, other UN agencies or other international partners at the global, regional or country levels.
- iii) knowledge of latest methods and approaches in humanitarian evaluation, especially participatory methods and accountability to affected populations, and RTEs
- iv) familiarity with UNICEF's emergency response, including the Core Commitments to Children preferred
- v) excellent oral and written communication skills (in English)
- vi) knowledge of qualitative and quantitative methods
- vii) experience managing a team
- viii) experience with the ethics of evidence generation; experience collecting data from vulnerable groups; familiarity with ethical safeguards

### **Senior Evaluator**

- i) extensive knowledge of UNICEF's programmes in emergency contexts highly desirable, and of UNICEF's corporate emergency procedures preferred.
- ii) WASH/cholera or other technical expertise relevant to UNICEF's emergency operations
- iii) extensive experience in emergency response, preferably with a UN agency,
- iv) a minimum of five years' experience evaluating humanitarian action
- v) familiarity with UNICEF's emergency response, including the Core Commitments to Children
- vi) knowledge of qualitative and quantitative methods
- vii) experience with the ethics of evidence generation; experience collecting data from vulnerable groups; familiarity with ethical safeguards
- viii) excellent ability to communicate and write in English

### **Three National consultants (one per country).**

- i) experience working on research, studies or evaluations
- ii) experience in primary data collection in affected communities; including leading focus group discussion and participatory methods
- iii) qualitative data analysis skills

- iv) experience in programme monitoring
- v) experience with the ethics of evidence generation; experience collecting data from vulnerable groups; familiarity with ethical safeguards
- vi) good ability to communicate and write in English and French and local languages (Creole for National Consultants)

## L. Timeframe and deliverables

### Tentative timeframe and deliverables

Task/Deliverable	Expected date
Inception report, detailed methodology and working plan	Week 1 upon signature of contract
Evaluation tools (presentation for approval)	Week 2
Data collection and interviews (start)	Week 3
First draft of evaluation report (presentation for approval)	Week 6
Validation workshop	Week 9
Final reports (maximum 40 pages per CO and regional synthesis)	Week 10
Evaluation policy brief	Week 12

#### ***The Evaluation is expected to produce the following outputs:***

1. Brief Inception Report (including detailed methodology, working plan / draft timeline summarizing key events and response)
2. Evaluation tools for data collection (surveys' questionnaires, interviews / observations guidelines);
3. Short interim reports (to be submitted prior to the consolidated report)
4. Concise and fully edited report in English, with country-specific sections and one consolidated section, including detailed timeline summarizing events and response<sup>64</sup>
5. Oral briefings/PPT/workshop for different audiences at different points in time of the evaluation cycle, containing preliminary findings and emerging conclusions/recommendations.

### **M. Workplan**

The final workplan will be determined in the inception phase, this provides an estimate of the envisioned workload (evaluation timeline). A workplan table should be developed by the evaluation team including the details and proposed milestones and dates to conduct the different evaluation activities and planned data collection.

**TOTAL EFFORT EXPECTED 80 WORKING DAYS IN TOTAL FOR ALL THE TEAM**

## N. Assessment and scoring of technical proposals

### Technical Proposal

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<sup>64</sup>The timeline will include both internal (UNICEF) milestones and external events.

Technical proposals will be assessed using the assessment grids maximum of 70; technical proposals scoring less than 50 points will be considered non-responsive; therefore, will be rejected. Content of the bidders' technical proposal to include:

**A. Table of content**

**B. Presentation of the bidding institution or institutions in a consortium including:**

- Name of the institution
- Date and country of registration/incorporation
- Summary of corporate structure (organogram) and business areas
- business areas and experience
- past two years' annual turnover (in USD)
- location of office or agents
- number of full-time employees and type (technical experts, technical, administrative, logistic and support staffs, financial staffs, etc.).
- in case of a consortium, the above listed elements shall be provided for each consortium members in addition to the signed consortium agreement.
- in case of a consortium, one only must be identified as the organization lead in dealing with UNICEF.

C- Narrative description of the bidding institution's experience and capacity in the following areas:

- Humanitarian evaluations
- Multi-country evaluations, studies, and research
- Evaluations done for UNICEF and any other major UN agency

D. List of similar/relevant past and on-going assignments carried out by the bidder in the past 7 years. UNICEF may contact reference persons for feedback on services by the bidders.

E. Fully reports or preferably links to full reports listed as examples of relevant past and ongoing assignments of the bidder (at least 3) on which the proposed key personnel directly and actively contributed or authored.

F. Methodology. It should minimize repeating what is stated in the ToR. There is no minimum length. If in doubt, ensure sufficient detail. Required content is as follows:

- Understanding of and comments on the context and rationale for the evaluation, and on UNICEF's response in Guatemala, Honduras and Nicaragua, on the evaluation scope, criteria, and questions.
- Understanding of, comments on, and in-depth analysis of the aspects of complexity, potential challenges, risks and ethical issues related to this evaluation exercise.
- Proposed evaluation design and methodology, with a sufficient level of detail on each phase and activity of the evaluation process, including on data to be collected to answer the detailed evaluation questions, envisaged data collection and analysis methods, the proposed sampling methodology and criteria to select the areas to be visited or remotely consulted, as well as the duration of the country visits and the number of evaluation team members participating. Attention should be paid to the issue of stakeholder participation; mix of qualitative and quantitative data and methods; data accuracy and triangulation.
- Comments and additional details/suggestions on deliverables and management arrangements described in the ToR, if any

- Internal management and quality assurance procedures
- The presence of any local researchers or others not formally full-time members of the bidding institution should be indicated, with a description of how they will be engaged, trained, supported, and supervised.

G. Workplan, which will include as a minimum requirement the following:

- Detailed work plan based on the one proposed in the ToR, with comments and proposed adjustments, if any. It must be consistent with the general work plan and the financial proposal.

H. Evaluation team:

- Summary presentation of proposed experts
- Description of support staff if any (number and profile of research and administrative assistants • Level of effort of proposed experts by activity. It must be consistent with the financial proposal.
- CV of each expert proposed to carry out the evaluation.

The technical proposal will be assessed with the following criteria:

Maximum Points	Description
5	Company reliability and relevant experience (years of experience undertaking this type of assignment; thematic and geographic relevant previous experience.) If available hyperlinks and references should be provided. The organization profile and capacity (aptitude, availability, previous experience (2-3 samples of work in last 3 years), references, multi-country presence or proposed partnership, administrative and logistic support) will be reviewed.
30	Proposed methodology, evaluation framework, work plan and limitations (with alternatives) for meeting the deliverables in the ToR. Key consideration will be given to the comprehensiveness, clarity, relevance, logic, rigor, realism, practicality creativity and level of effort)
35	Team profile and capacity (experience, qualifications, references, mix and complementarity of expertise, availability, time allocation) Key consideration will be given to the team leader and team members experience: relevance in terms of geographic and thematic experience and experience in conducting evaluations in humanitarian settings and of multi-sector programs for children. CVs should include links to relevant evaluations as well as references (3) for each team member and if available for the company.

### Financial Proposal

The total amount of points allocated for the financial component is **30 points**. The proposal should include a detailed budget:

- Consultant fees and number of days per team member
- Travel costs (as per UN guidelines) with explanation of budget assumptions with regard to planning, team composition, field work, etc.
- Any other expenses (including insurance, etc.)

For the final selection the maximum number of points will be allotted to the lowest price proposal that is opened and compared among those invited firms/institutions which obtain the threshold points in the evaluation of the technical component. All other price proposals will receive points in inverse proportion to the lowest price, e.g.:

Score for price proposal X = (Max. score for price proposal (**100** Points) \* Price of lowest priced proposal) / Price of proposal X Total obtainable Technical (70% of score) and Price score (30%):  
100

The Proposer(s) achieving the highest combined technical and price score will (subject to any negotiations and the various other rights of UNICEF detailed in this LRPS) be awarded the contract(s).

*The Financial Proposal must be organised in such a manner that it reflects the inputs shown in the technical proposal and distinguishes between Fixed Costs and estimate Reimbursable Costs against approved expenses. The following level of detail is requested as per example below:*

*A) Fixed Costs.*

*Provide details and subtotals for each of the following headings:*

- *Professional fees - Course Development. Give number of people, person days and rate.*
- *Professional fees - Course Delivery. Give number of people, person days and rate for all courses.*
- *Professional Fees - Final report and course resource pack. Give number of people, person days and rate.*
- *Others*

*B) Reimbursable costs*

*Provide well defined and itemized details for all estimate costs that the Bidders consider being reimbursable.*

*Add grand sub-total for above reimbursable estimate cost items.*

***Travel, if applicable –***

- *Please note, for travel to countries - it will be decided based on need and mutual agreements with UNICEF country offices.*
- *For capacity building and the regional workshops – please only include estimated cost for consultant, workshop materials and travel. The cost for the participants and venue will be covered by UNICEF regional/country offices.*
- *The selected organization will be responsible for all travel costs - flights, daily subsistence allowance etc. Any travel involved should be budgeted according to UN Travel Standards as a ceiling.*

*The Financial Proposal shall include a cost breakdown for the work phases as per the ToR, detailing the types of roles proposed and person days required, and related expenses and any other cost elements deemed relevant.*

*The proposal shall include a payment schedule linked to clearly defined milestones.*

*All prices/rates quoted must be exclusive of all taxes as UNICEF is a tax-exempt organization.*

The format shown below is suggested for use as a guide in preparing the Financial Proposal. The format includes specific expenditures, which may or may not be required or applicable but are indicated to serve as examples. Travel and per diems will not be noted, as this will later be determined and finalized by UNICEF and the chosen bidder.

Description of Activity/Item	Proposed Person (Job title/ function)	All-inclusive rate (Personnel)	No. of days proposed	Total Cost in US\$
<b>1. Item 1:</b>				
1.1 Personnel				
1.2 Other				
<i>Subtotal Expenses:</i>				
<b>2. Item 2:</b>				
2.1 Personnel				
2.2 Other				
<i>Subtotal Expenses:</i>				
<b>3. Item 3:</b>				
3.1 Personnel				
3.2 Other				
<i>Subtotal Expenses:</i>				
3.3 Reimbursable Travel Cost*				
<i>Subtotal Expenses:</i>				
<i>Subtotal fixed cost:</i>				
<i>Subtotal reimbursable cost:</i>				
<b>Grand Total**</b>				

**\*Travel.** Please note, for travel to countries - it will be decided based on agreements with UNICEF and contractor. For agreed country visits, the contractor will be responsible in administering its own travel. UNICEF will reimburse travel related expenses based on actual costs or on the below criteria whichever is lower and upon presentation of receipts.

Any travel involved should be budgeted according to UN Travel Standards as a ceiling.

-Travel: Please note that all travel will follow UN Circular:

[https://hr.un.org/sites/hr.un.org/files/handbook/AI%202013%20%20%203%20%20%5BOfficial%20Travel%5D\\_1.doc](https://hr.un.org/sites/hr.un.org/files/handbook/AI%202013%20%20%203%20%20%5BOfficial%20Travel%5D_1.doc)

-Accommodation (Daily Subsistence Allowance, DSA): <http://icsc.un.org/> (all countries and destinations can be found by navigating on the map)

Endorsements and Approval			
<b>Prepared by:</b>			
Name:	Michele Messina	Date:	
Title:	Regional Adviser Emergency	Signature:	
<b>Revised by:</b>			
Name:	Riccardo Polastro	Date:	
Title:	Regional Evaluation Adviser	Signature:	
<b>Head of Office Approval</b>			
Name:	Jean Gough	Date:	
Title:	Regional Director	Signature:	

## 9.2. Annex 2: Documents provided during inception phase

### Background documents

- 1-UNICEF, Procedure on linking humanitarian and development programmes, May 2019
- 2-UNICEF, 2015 Position Paper on Resilience, March 2015
- 3-UNICEF, Linking humanitarian, development and peace in UNICEF's approach to resilient development
- 4-UNICEF Executive Board, Paper (Feb. '19) on Linking Humanitarian and Development Programming, Feb-2019
- 5-UNICEF, Procedure on Preparedness for Emergency Response. March 2020
- 6-UNICEF, Guidance-Handbook in L1,L2, L3 Emergencies.
- 7-EMOPS UNICEF, Preparedness Guidance Note\_29\_Dec\_2016\_.pdf Dec 2016
- 8-UNICEF, The Emergency Procedures, Dec 2021
- 9-UNICEF, Core Commitments for Children in Humanitarian Action, October 2020
- 10- M&E Tool – CCCs Monitoring Framework for Operational Commitments, undated
- 11- Masterfile – CCC Indicator Guide – DRAFT, August 2020
- 12- EMOPS – CCCs Indicator Guidance for Programme Benchmarks
- 13; EMOPS – L2 emergencies procedures annex, 2013
- 14- EMOPS – L3 emergencies procedures, 2015

### LACRO

- 1- UNICEF LACRO, Guatemala -TET llamada para la reunión HAC Eta Iota, June 2021
- 2- UNICEF LACRO, Honduras - TET reunión bilateral seguimiento HAC Eta Iota 17, Jun 2021
- 3- UNICEF LACRO, 2021-06-22 Reunión LACRO Eta Iota VF, -Jun 2021
- 4- UNICEF LACRO, UNICEF Central America Humanitarian Situation Report No.7 (Hurricanes ETA and Iota) 22 Dec-15 Jan 2021
- 5- UNICEF LACRO, UNICEF Central America Humanitarian Situation Report No.4 (Hurricanes ETA and Iota), 21 Nov-1 Dec 2020
- 6- UNICEF LACRO, UNICEF Central America Humanitarian Situation Report No. 3 (Hurricanes Eta and Iota), 11 -20 Nov 2020
- 7- UNICEF LACRO, UNICEF - SitRep No.1 Tropical Storm ETA in Central America, 6 Nov 2020
- 8- UNICEF LACRO, SitRepNo.4-Hurricane-ETA-Iota final, 21 Nov- 1 Dec 2020
- 9-ACF, SitRep 01\_Tropical Storm ETA, 9 Nov 2020
- 10- UNICEF LACRO, SitRepNo.2-Hurricane-ETA-201110 7-10 Nov 2020
- 11- UNICEF LACRO, Notas visita RD REA CommAdv HND GTM Eta&Iota,13-21 Jan 2021
- 12- UNICEF LACRO, Eta & Iota Coordination meeting\_210208, 8 Feb 2021
- 13- UNICEF LACRO, Eta & Iota Coordination meeting\_210125, Jan 2021
- 14-OCHA/REDLAC, 20201118 REDLAC reunion Eta minutas, 18 Nov 2020
- 15-OCHA/ REDLAC, 20201103\_REDLAG reunión\_ Eta\_minutas, 3 Nov 2020
- 16-UNICEF HAC, 2020 HAC Response to Hurricanes Eta and Iota.pdf
- 17-ECHO, dfamdash donor statement of account eu (uncertified).pdf, 1 Dec 2020
- 18-UNICEF, Detalle Salarios Contribución UNICEF Grant SM200859 Dic 2020-May 2021
- 19-UNICEF LACRO, UNICEF Ready to Support Hurricane Eta Affected Children Fundraising Proposal
- 20-UNICEF LACRO, LACRO Eta-appeal-doc-201116.pdf, Nov 2020
- 21- UNICEF LACRO, Flash note ETA 201102, Nov 2020
- 22- OCHA/REDLAC, 20210204\_AAR Matrix\_REDLAG ETA IOTA.pdf, Feb 2021
- 23- Presentation, internal review of Eta/Iota HAC with COs, June 2021
- 24- M&E Tool – Emergency Response Plan Template Honduras, Oct 2020
- 25- Eta-Guatemala Response Plan, Oct 2020
- 26- Eta-Nicaragua Response Plan, Oct 2020

## Guatemala

- 1-UNICEF Guatemala, HPM\_HAC\_ETA\_IOTA\_end\_year\_Guatemala, Dic 2021
- 2-Helvetas/EU/Unicef, WASH Avances actividades ETA y IOTA\_2021.06.06, Jul 2021
- 3-UNICEF Guatemala, RQ Palabras CC Entrega de Sistemas de Agua DRAFT 1, Jun 2021
- 4-OCHA, El Salvador, Guatemala y Honduras, Panorama de Necesidades Humanitarias Ciclo del Programa Humanitario 2021, Jul 2021
- 5-UNICEF LACRO, Agenda vista de DR a Guatemala 13012021, Jan 2021
- 6-UNICEF Guatemala, HIS\_Eta and Iota Guatemala
- 7-Asociación de Investigación y Estudios Sociales, GUA 2015 006 Asies Enmienda 1 doc – Prog Emergencia 20, Feb 2020
- 8-Asociación el refugio, GUA-2015-010 E1 ENM 2 Refugio SBS Residencias Emergencia TT ETA IOTA Doc Prog, Dec 2020
- 9-Asociación el refugio, GUA-2015-010 E1 ENM 2 SBS Residencias Emergencia TT ETA IOTA PRESUP, Dec 2020
- 10-ISRA AID, Informe Retorno a la Alegría UNICEF ISRAAID\_30072021, Jul 2021
- 11-Asociación el Refugio, PRC Submission GUA-2015-010 E1 ENMI 2 Refugio sbs Residencias - Emergencia Firmado 7 de diciembre (1), Dec 2020
- 12-World Vision, Informe Final ETA IOTA 2021 Psicosocial,
- 13-Helvetas, signed GUA 2016 002.4.1 HELVETAS ECHO CERF JAPÓN DP Respuesta Humanitaria.pdf, Feb 2021
- 14-Equipo Humanitario País, 20201216 Plan de Acción Guatemala, Dec 2020
- 15-CONRED PENUD, Impacto Humano del Fenomeno Tropical ETA e Iota en Guatemala, Jun 21
- 16-CEPAL, DaLA Guatemala, 2021
- 17- HAC, GUA Caribbean Hurricane 2020\_HAC clean 201207, Dic 20

## Honduras

- 1-UNICEF, Honduras WASH Clúster Eta y IOTA, Mar 2021.
- 2-Save The Children SCH, Informe Mensual Progreso, Oct, 28, 2021.
- 3-CO Nacional, Reporte Enero para Reunión Regional ETA y IOTA, Jan 2021.
- 4-CO Honduras UNICEF, Reporte Resumen para Oficina Regional ETA y IOTA, March, 15, 2021.
- 5- UNICEF Honduras, Seguimiento ETA-IOTA, May 2021.
- 6- UNICEF, Plan Operativo Eta y IOTA, Nov, 18 2020.
- 7-OCHA, UN Honduras, OCHA SitRep No. 10, April, 14, 2021.
- 8- OCHA, UN Honduras, OCHA SitRep No. 7 Honduras, Jan 2021.
- 9 -Carías, Carolina-Goal-Save the Children-ADRA, Informe de Visita de Campo a Valle de Sula, s/f, Nov 2020.
- 10-Consultor Externo, Informe final de Consultoría: "Acompañamiento al Proceso de la Matriz Nacional de Priorización Multidimensional de las comunidades para la respuesta WASH, por daños de ETA e IOTA", feb, 2021.
- 11-Red Humanitaria Honduras, Informe de resultados Flash Appeal Eta y IOTA, May, 2021.
- 12-UN Honduras, Infografía Presencia Operacional, Jan, 21, 2021.
- 13-UNICEF, ETA IOTA Evaluation List of People to interview, S/F
- 14-Oficina País, Estrategia Intersectorial para ETA y IOTA, Mar, 2021.
- 15-UNICEF, Emergency Response Plan, 2020 – 2021.
- 16- UNICEF -Monitoreo y Seguimiento, Dashboard de seguimiento de respuesta a Emergencias HN, Jun, 2021.
- 17-UNICEF-otros miembros del Cluster, Clúster Wash y Educación para reunión de donantes /Feb, 23, 2021.
- 18-Childfund Informe para UNICEF, Childfund Informe Trimestral Progreso, Nov, 11, 2021.
- 19-UN Honduras –Shackelford, Alice, coordinadora del programa, CERF 20 RR HND 45959 Hnd UNICEF WASH final Report/Agost, 2021.
- 20-CEPAL – BID, Evaluación de los efectos e impactos de la tormenta tropical ETA y el huracán IOTA en Honduras, May, 2021.
- 21-Gobierno de Honduras –SANAA/Diagnostico rápido daños en sistemas de agua potable y saneamiento/Dic, 12-2020.
- 22-Gobierno de Honduras -Secretaría de Educación/ SEDUC Daños y albergues en escuelas Eta + Iota/dic-2020.

- 23- CO Honduras, Marco Común de Acciones Corto Plazo HN, Nov, 27, 2020.
- 24-OCHA-Otros, Honduras - Flash Appeal - Tropical Storm Eta, Nov 2020.
- 25-Equipo UNDAC, Misiones de evaluación a Terreno, Dic, 3, 2020.
- 26-OCHA, Propuesta actualizada Coordinación Honduras, Dic, 7, 2020.
- 27-OCHA, Honduras - Flash Appeal - Tropical Storm Eta Addendum, Dic, 20, 2020.
- 28- OCHA, SitRep No.2\_HN (Antes de IOTA), Nov, 8, 2020.
- 29-Gobierno de Honduras, La Gaceta 35417\_PCM 109-2020 Decreto Declaratoria de Emergencia por ETA, Nov, 2, 2020.
- 30-Gobierno de Honduras- Secretaría de Relaciones Exteriores y Cooperación (Cancillería), SRECI Solicitud de apoyo respuesta humanitaria ETA, Nov, 5, 2020.
- 31-Gobierno de Honduras-COPECO, Centro de Operaciones de Emergencia COE (Coordinador Nacional de la Emergencia) Necesidades para funcionamiento de Albergues Temporales, Nov, 9, 2020.
- 32-Desconocido, OCR Informe visita zona afectada por ETA, Nov, 13, 2020.
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## Nicaragua

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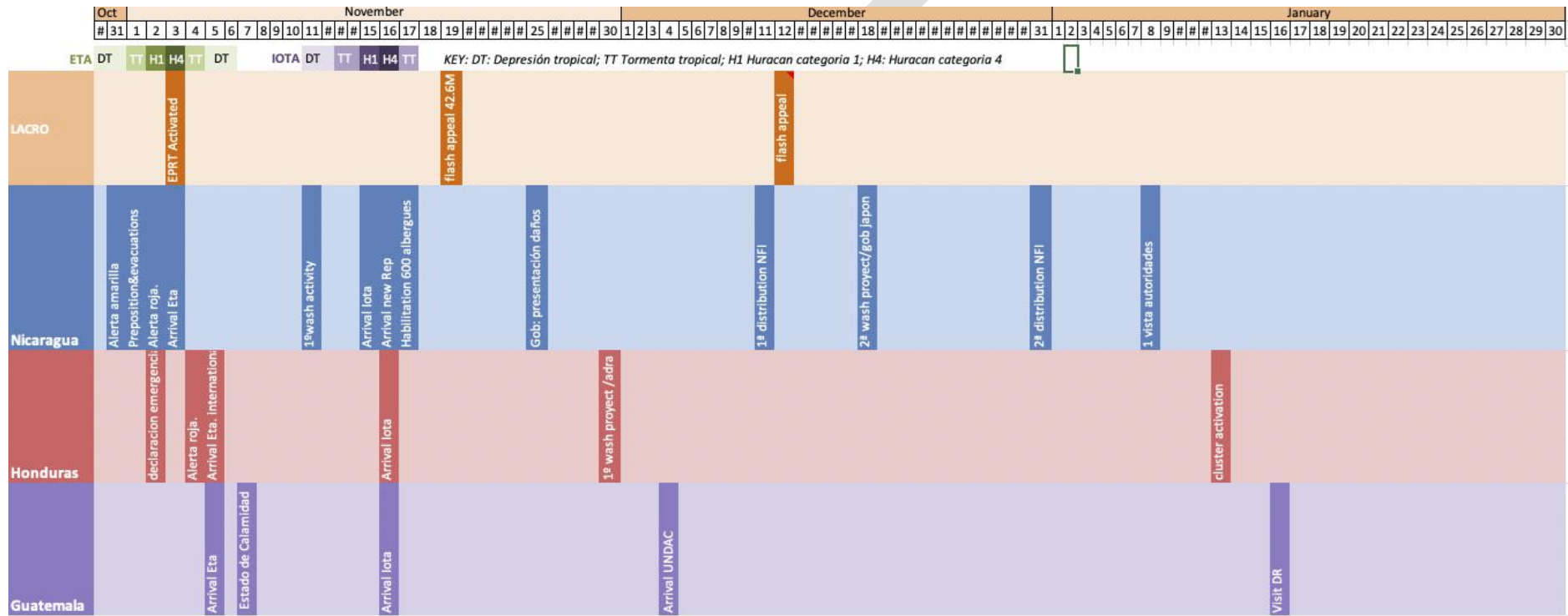
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48. Save the Children, Respuesta inmediata y de recuperación en nutrición para atender las necesidades urgentes de las comunidades afectadas por los huracanes Eta e Iota, en particular las niñas, niños, mujeres embarazadas y madres lactando, March, 22, 2021.
49. Save the Children, Respuesta inmediata y de recuperación en nutrición para atender las necesidades urgentes de las comunidades afectadas por los huracanes Eta e Iota, en particular las niñas, niños, mujeres embarazadas y madres lactando (amendment), June, 4, 2021.
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64. UNICEF, VISITA DE CAMPO A PUERTO CABEZAS DEL REPRESENTANTE ANTERO PINA, no date.
65. UNICEF/ANF, Acuerdo de cooperación para mitigar el impacto de los huracanes Eta e Iota en comunidades más afectadas de los municipios de Jalapa, Santa Maria, Dipilto y Wiwili, Departamento de Nueva Segovia, y en el municipio de Totogalpa, Departamento de Madriz, January, 18, 2021.

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67. Viola, Sabrina, REPORTE DE ACTIVIDADES EN TERRENO, no date.
68. Water Aid, Marco de resultados, no date.
69. Water Aid, Respuesta a emergencia y rehabilitación WASH para los huracanes ETA/IOTA en comunidades costeras desde Wawa Bar, Krukira, Karata y Tuara del Municipio de Puerto Cabezas, Región Autónoma de la Costa Caribe Norte, January, 13, 2021
70. World Vision, Final marco de resultados WV, no date.
71. World Vision, Humanitarian Programme Document EDUCO, December, 20, 2020.
72. World Vision, PART 2: programme progress/final report – to be completed by CSO as part of reporting with FACE, July, 30, 2021.

### 9.3. Annex 3: Inception interviews undertaken

Guatemala	Ruben Dario Jorge Iván Hernández Lone Hvass	Monitoring and Evaluation Specialist Emergency Specialist Deputy Representative
Honduras	José Vélez Christine Guinot Cesar Villar	Monitoring and Evaluation Specialist Emergency Specialist Deputy Representative
Nicaragua	Fernando Jambrina Walter Alexis Bruzzoni Eduardo Gallardo Paul Sassarao	Monitoring and Evaluation Specialist Emergency Specialist Deputy Representative (from March 2021) Deputy Representative (until March 2021)
Regional	Jean Gough Riccardo Polastro Carlos Rodríguez-Ariza Mjrko Rennola Michele Messina Laurent Duveillier Sebastian Carrasco	Regional Director Regional Evaluation Adviser Regional Multi-Country Evaluation Specialist Regional Emergency Specialist Regional Emergency Adviser Regional Communications Adviser Regional Monitoring Specialist
Interviews tbc	Pablo de Pascual	Not replied to date

### 9.4. Annex 4: Timeline (work in progress)



### 9.5. Annex 5: Itinerary of field visits

The full itineraries for the three field visits are currently being finalised and will be added into the inception report. However, the

<b>Week beginning</b>	<b>Where</b>	<b>Details</b>	<b>Who</b>	<b>UNICEF</b>
23 May 2022	Honduras - arriving San Pedro Sula	6 days, San Pedro Sula, La Ceiba, Puerto Cortés, San Manuel, Villanueva	Anna Dobai Paula Farias Marco Burgos	Christine Guinot José Velez
30 May 2022	Guatemala - crossing land border from Honduras	6 days Izabal (Los Amates, Morales, Puerto Barrios) & Altavera Paz (Cobán), Ciudad de Guatemala	AD, PF	Jorge Iván Hernández
6 June 2022	Nicaragua - flight from Guatemala (AD) & El Salvador (LSZ)	7 days, 2 days in Jinotega (Valle Los Garcias, Frank Tijerino, La Brellera, Jiquilite), 5 days in Atlantic Coast (Wawa Bar, Karata, Sisin, Auyaphini, Santa Marta, Bismuna, Wasla, Krukira), Managua	Anna Dobai Luis Sánchez Zimmerman	Sonia Del Carmen Mejia Roa

## 9.6. Annex 6: Proposed list of key informants<sup>65</sup>

### LACRO

Sebastian Carrasco	Planning
Maaike Arts	Survive & Thrive Regional Adviser
Yvette Fautsch	Nutrition
Ana Catalina Fernandez Rojas	Child Protection
Ruth Custode	Education
Alban Nouvellon	WASH specialist
Gerardo Escaroz	Social Protection
Maria Florencia Alejandre	Social Protection
Liza Gonzales	Human Resources
Alfonso Fernandez	Comms and Advocacy
Jose Luis Chung	Partnerships (HACT)
Leon Casares	Operations
Pablo Llopis	S&L (procurement)
Maryvonne Christ	Operations Regional Adviser
Ana Catalina Fernandez Rojas	PSEA
Debla Lopez	Gender & GBV
Yannig Dussart	ECD
Maria Paula Reinbold	ECD
Cynthia Brizuela	Disabilities
Maria Emilia Numer	Adolescents

### Nicaragua

#### UNICEF

Sebastian Carrasco	Especialista Monitoreo LACRO
Pablo De Pascual	Especialista de Emergencia
Iker de Urrutia	Especialista de Emergencia

<sup>65</sup> These lists will be prioritised together with the country office staff.

Ignacio Cristóbal Alcarraz	Especialista en DDR
Xiomara Bello	Oficial de Protección de la emergencia
Carmen María Reyes	Asistencia técnica nutrición de la emergencia
Jorge Gómez	Asistencia técnica nutrición de la emergencia
Indiana Garcia	Asistencia técnica WASH emergencia Eta/lota
Walter Bruzzoni	Coordinador de la Emergencia ETA e IOTA
Eduardo Gallardo	Representante Adjunto
Fernando Jambriña	Especialista en Monitoreo y Evaluación
Olga Moraga	C4D
Jorge Hernandez	Especialista de Educación
Maria Delia Espinoza	Early Childhood Specialist and Nutrition and Health
Delmo Vilela	Especialista WASH
Sonia Mejía	M&E de la emergencia Eta e lota
Antero de Pina	Representante país
Karen González	Oficial de Protección

### Partners

Nelson Moraga	Coordinador WASH socio Acción contra el hambre
Maura Paladino	Coordinadora programa RACCN socio We World GVC
Tizana Rossetti	Representante de País, WE World GVC
Cintya Collado	M&E socio implementador Save The Children
Dixmer Rivera	Coordinador de la emergencia en centro norte, Save the Children
Monica Montalvan	Directora de desarrollo de programa/calidad, Save the Children
Argentina Martínez	Coordinadora del MMI, Save the Children
Shira Miguel Downs	Directora socio implementador Nidia White
Bayron López	Ex gerente de programas de RACCN/M&E Plan Internacional
Javier Barrios	M&E Acción Medica Cristiana
Javier Moncada Sequeira	Director de operaciones, Visión Mundial
Aminta Sanabria Rodríguez	Coordinadora de Calidad de Programas EDUCO
Erich Chavarria	M&E Water Aid
Carlos Castro	Director, Caritas Jinotega
Nelda Pereira	American Nicaraguan Foundation

### Government

Ceferino Wilson	Coordinador GRACCN
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Jorge Canales	M&E GRACCN
Lisbeth Davis	Directora del Policlínico Bilwi
David Patterson	Delegado Regional, MINED
Eddy McDonald	Secretario de Educación GRACCN
Ivania López Calero	Responsable de COREPRED GRACCN
Luz Marina Lozano	Directora Salud Ambiental, MINSA
Mónica Patín	Vicedirectora de Asociación Nacional del Agua
Dra María Luisa Girón	Directora SILAIS Las Minas
Dra Meyling Arellano	Sub Directora SILAIS Bilwi
Norwin Noel Castellón	Director Municipal MINSA Prinzapolka
Dacia Malespín	Delegada Regional MIFAN RACCN
Silva Malespín	Coordinadora Secretaría de la Mujer Niñez y Familia, GRACCN

#### OTHERS (DONORS/UN AGENCIES)

Carlos Rivas	PMA
Rosa Romero	UNFPA
Daniel Atienzar	UNOPS
Adam Bernstein	USAID
Magda Montiel	USAID
Kamakur Takayuki	Japan
Grace Morrison	Japan

#### Honduras

##### UNICEF

Mark Connolly	Representante
Cesar Villar	Representante Adjunto
Christine Guinot	Especialista en Emergencias
Ana Boquín	Asistente de Administración (Adquisiciones)
Carolina Carias	Oficial de WASH
Geraldine Guinot	Consultora en Nutrición
Hector Espinal	Especialista en Comunicación
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9.7. Annex 7: Evaluation matrix

OECD-DAC Criteria	Core Humanitarian Standard	Questions	Exploratory in-depth questions (where required)	Data Collection Methods
<p><b>OVER-ARCHING QUESTION ONE: What are the main lessons learned from this sub-regional rapid onset disaster in terms of emergency preparedness and emergency response in the countries and the specific local places of intervention?</b></p>				
<p><b>OVER-ARCHING QUESTION TWO: To what extent has UNICEF humanitarian response and recovery efforts achieved their intended results (in terms of timeliness, scale, and quality, considering the HAC, response plans, monitoring and adherence to CCCs)?</b></p>				
<p>'<b>Relevance</b> is concerned with assessing whether the project is in line with local needs and priorities (as well as donor policy).'</p> <p>'<b>Appropriateness</b> is the tailoring of humanitarian activities to local needs, increasing ownership, accountability, and cost-effectiveness accordingly.'</p> <p>'Coverage is the need to reach major population groups facing life-threatening risk wherever they are.'</p>	<p><b>1. Communities and people affected by crisis receive assistance appropriate and relevant to their needs.</b></p> <p>Quality criterion: Humanitarian response is appropriate and relevant.</p>	<p><b>1. Assessment</b> To what extent were the interventions based on adequate/specific assessments? Were they appropriate and relevant to changing circumstances?</p>	<p>1.2 Are there specific standardised tools for rapid needs assessment? Were these used either by UNICEF or by partners? Did they capture all the needs?</p>	<p>Document review, stakeholder interview FGD</p>
		<p><b>2. Access</b> Did the intervention design take into account specific barriers linked to gender and societal expectations, challenges faced by minorities (ie indigenous communities), vulnerable groups (eg unaccompanied children or children with disabilities, women and pregnant women, etc)?</p>	<p>2.1 Is there evidence in the EDANs and the planning processes of a focus on identifying the needs of highly vulnerable groups? What specific activities and approaches were developed to respond to these? How appropriate were they?</p>	<p>Document review, stakeholder interview FGD</p>
			<p>2.2 What elements does UNICEF have at its disposal to ensure the inclusion of different groups of beneficiaries, overcoming difficulties of access, minorities and vulnerabilities? Are monitoring tools available and were they used?</p>	<p>Document review, stakeholder interview FGD</p>

<p><b>'Effectiveness</b> measures the extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of the outputs. Implicit within the criterion of effectiveness is timeliness.'</p> <p><b>'Efficiency</b> measures the outputs – qualitative and quantitative – achieved as a result of inputs. This generally requires comparing alternative approaches to achieving an output, to see whether the most efficient approach has been used.'</p>	<p><b>2. Communities and people affected by crisis have access to the humanitarian assistance they need at the right time.</b></p> <p>Quality criterion: Humanitarian Response is effective and timely.</p>	<p><b>3. Achieving objectives</b> To what extent did the UNICEF response appropriately achieve its objectives ? How did these results impact different groups of affected people?</p> <p><b>4. Preparedness</b> What preparedness and contingency measures were in place before November 2020 at the CO and LACRO levels (risk assessments, capacity assessments [UNICEF COs, implementing partners, govt, interagency, etc])</p> <p><b>5. Meeting needs</b> To what extent has the strategy carried out by UNICEF (in terms of supplies, logistics, communication, implementing partners) been effective in meeting the needs of the population? And</p>	<p>2.3 Given the logistical and geographical barriers of certain areas was the coverage adequate?</p>	<p>Document review, stakeholder interview, FGD Observation</p>
			<p>4.1 When did each CO last complete/review its preparedness planning through the Emergency Preparedness Platform (EPP)? What actions were put in place following this exercise?</p>	<p>Document review, stakeholder interview</p>
			<p>4.2. Were the Minimum Preparedness Standards (MPS) for COs/ROs met during the response to hurricanes Eta &amp; Iota?</p>	<p>Document review, stakeholder interview</p>
			<p>4.3 To what extent is preparedness mainstreamed as a priority? To what extent is the need to invest in preparedness clear to donors? What can be done to increase investment in preparedness?</p>	<p>Document review, stakeholder interview</p>
			<p>4.4 Were there stand-by agreements with the implementing partners? What did these cover (including distribution strategies)?</p>	<p>Document review, stakeholder interview</p>
			<p>5.1 Looking at the different supply models,( cash vs different types of in-kind) what have been the strengths/weaknesses of each, what informed each choice and what were</p>	<p>Document review, stakeholder interview FGD</p>

		to what extent have these been aligned with the CCCs?	the repercussions in terms of effectiveness?		
				5.2 What was the role of cash transfer as a supply model? What have been the sustainability implications of using/not using cash transfers?	Document review, stakeholder interview FGD
				5.3 To what extent do the COs have communications-advocacy incorporated as a priority in emergency response? What specific comms actions were taken in each of the COs?	Document review, stakeholder interview
				5.4 What role did the no-regrets approach play in the effectiveness of the response and to what extent was it shared by all offices?	Document review, stakeholder interview FGD
				6. <b>Timeliness</b> To what extent was there correct usage of the accelerated processes to ensure a timely response: PCA/HPD, Human Resources, Procurement, Finances, etc?	6.1 <b>Impact of COVID-19</b> To what extent did the COVID-19 pandemic impact upon UNICEF's abilities to respond in a timely fashion to the needs of the most affected women, girls, boys, men? What modifications had to be made to the MPS?
		7. <b>Planning and monitoring</b> How effective is UNICEF in terms of planning & monitoring? To what extent are there adequate planning and monitoring tools for emergency response (including monitoring tools used by implementing partners)? To what extent have they been adequately used to allow for appropriate adjustment of strategies?	7.1 Do COs and implementing partners have pre-designed tools adapted to data collection in emergencies? How were they used? Are they simple to use, relevant and flexible to the contexts?	Document review, stakeholder interview	
			7.2 Is there a clear approach to data collection for programmatic fine-tuning purposes versus aggregated data for comms/fundraising purposes?	Document review, stakeholder interview	
			7.3 Is disaggregated and regular data collection part of partner agreements?	Document review,	

	<p><b>8. Communities and people affected by crisis receive the assistance they require from competent and well-managed staff and volunteers.</b></p> <p>Quality criterion: Staff are supported to do their job effectively and are treated fairly and equitably.</p>	<p><b>8. LACRO and COs: role, responsibilities and relationships</b> What were the main roles/responsibilities of COs and LACRO related to Eta/Iota (including leadership and decision-making)? Was the role of LACRO adequate (in terms of support and accompaniment) to respond to the needs of the COs related to Eta/Iota? To what extent has the relationship between LACRO and CO been a two-way relationship? To what extent has it contributed to developing a regional approach?</p>		stakeholder interview
	<p><b>9. Communities and people affected by crisis can expect that the organisations assisting them are managing resources effectively, efficiently and ethically.</b></p> <p>Quality criterion: Resources are managed and used responsibly for their intended purpose.</p>	<p><b>9. Human resources</b> Were the available human resources adequate for emergency response, both in terms of numbers and specific experience and training preparedness related to it, including MPS 1,2 and 3 (staff &amp; surge related): ie emergency management team members and responsibilities, existing or additional</p>	<p>8.1 What elements informed the decision regarding the designation (L1-3) of the emergency? What were the operational consequences of this decision?</p>	Document review, stakeholder interview
			<p>8.2 Was LACRO able to adequately play its role related to the definition of response plan? How could this be strengthened?</p>	Document review, stakeholder interview
			<p>8.3 What lessons can be learned regarding decision-making and leadership in relationship to sudden onset disaster response?</p>	Document review, stakeholder interview
			<p>8.4 What is LACRO's position regarding the no-regrets approach? To what extent does it reach the approach of the COs? Is there a common view on this?</p>	Document review, stakeholder interview
			<p>8.5 Taking into account the common problems of the region, is there a platform for COs to share lessons learned from regional interventions or strategies (both from present and past interventions)?</p>	Document review, stakeholder interview
			<p>8.6 To what extent has remote working due to the COVID-19 pandemic affected the LACRO support received by the COs?</p>	Document review, stakeholder interview
			<p>9.1 Have staff received any specific training related to emergency response?</p>	Document review, stakeholder interview
			<p>9.2 Was there any increase in human resources to deal with the emergency? Was it sufficient (in terms of quantity and competences)?</p>	Document review, stakeholder interview

<p><b>'Connectedness</b> refers to the need to ensure that activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account.'</p>	<p><b>3. Communities and people affected by crisis are not negatively affected and are more prepared, resilient and less at-risk as a result of humanitarian action.</b></p> <p>Quality criterion: Humanitarian response strengthens local capacities and avoids negative effects.</p>	<p>HR for coordination, additional or extra HR for sectorial response (at scale)?</p>	<p>9.3 To what extent has remote working due to the COVID-19 pandemic affected UNICEF's ability to respond at the country level?</p>	<p>Document review, stakeholder interview</p>
		<p><b>10. Links between humanitarian action and development (NEXUS)</b> To what extent were UNICEF short-term emergency activities carried out in a context that takes longer-term and interconnected problems into account?</p>	<p>10.1 How successfully have recovery considerations been incorporated into planning and relief interventions?</p>	<p>Document review, stakeholder interview FGD Observation</p>
		<p><b>11. Governments, Institutions, Counterparts</b> What can UNICEF learn from existing partnerships in the countries which can inform its humanitarian response? How can UNICEF establish stronger partnerships with private sector, central governments, subnational authorities, civil society organizations, academia, among others, to better prepare for and respond to future emergencies in Central America?</p>	<p>10.2. Has the emergency response managed to link effectively with ongoing and future CPD (partners, geographical areas, sectors of interventions, etc)?</p>	<p>Document review, stakeholder interview</p>
		<p><b>11.1</b> What role did differences in the political contexts play in the reactivity of the response? To what extent could this have been foreseen and prepared for?</p>	<p>Document review, stakeholder interview</p>	
<p><b>Coherence</b> is 'the need to assess (relevant) ... policies to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human-rights considerations.'</p>	<p><b>7. Communities and people affected by crisis can expect delivery of improved assistance as organisations learn from experience and reflection.</b></p> <p>Quality criterion: Humanitarian actors continuously learn and improve.</p>	<p><b>12. Learning</b> What processes has UNICEF put in place to systematically gather good practices and learning? How does this get disseminated and acted upon?</p>		<p>Document review, stakeholder interview</p>

<p><b>'Coordination</b> is the systematic use of policy instruments to deliver humanitarian assistance in a cohesive and effective manner. Such instruments include strategic planning, gathering data and managing information, mobilising resources and ensuring accountability, orchestrating a functional division of labour, negotiating and maintaining a serviceable</p>	<p><b>4. Communities and people affected by crisis know their rights and entitlements, have access to information and participate in decisions that affect them.</b></p> <p>Quality criterion: Humanitarian response is based on communication, participation and feedback.</p>	<p><b>13. Accountability to affected populations</b> To what extent were UNICEF's plans and actions informed by the results of active participation processes where the affected population had the voice and capacity to impact key decisions? Did UNICEF put in place accessible complaints mechanisms? What efforts were made to ensure that affected people knew about and used these mechanisms?</p>	<p>13.1 How were affected people involved in the development and implementation of UNICEF's response programmes?</p>	<p>Document review, stakeholder interview FGD</p>
	<p><b>5. Communities and people affected by crisis have access to safe and responsive mechanisms to handle complaints.</b></p> <p>Quality criterion: Complaints are welcomed and addressed.</p>		<p>13.2 Were particular participation processes put in place to influence key decisions?</p>	<p>Document review, stakeholder interview FGD</p>
			<p>13.3 What accountability and feedback measures were used? Are there concrete examples where activities were changed as a result of the views and opinions of the affected population?</p>	<p>Document review, stakeholder interview FGD</p>
	<p><b>6. Communities and people affected by crisis receive coordinated, complementary assistance.</b></p> <p>Quality criterion: Humanitarian response is coordinated and complementary.</p>	<p><b>14. Coordination</b> To what extent has coordination both internally within UNICEF (eg between sectors, COs, LACRO etc) and externally increased effectiveness?</p>	<p>14.1 How effectively has UNICEF coordinated its response both internally and externally (including with CSOs, partners, national and local governments)?</p>	<p>Document review, stakeholder interview</p>
		<p><b>15. Clusters/Sectors</b> What was UNICEF's role/impact in coordinating the clusters/sectors?</p>	<p>15.1 Was there adequate coordination between the clusters/sectors and the governmental coordination platforms?</p>	<p>Document review, stakeholder interview</p>
			<p>15.2 Has UNICEF's role related to the coordination of clusters helped build capacity? Has it left behind elements that improve the country's capacity to respond to new disasters?</p>	<p>Document review, stakeholder interview</p>

framework with host political authorities and providing leadership.'

16. **Inter-Agency** How has UNICEF coordinated and collaborated with other UN agencies?

15.3 Were there differences in impact between regionally activated clusters and nationally activated sectors ?	Document review, stakeholder interview
15.4 To what extent was the activation of clusters respond to capacities (capacity driven) or needs (needs driven)?	Document review, stakeholder interview
16.1 Are there examples of synergies and coordination between agencies? To what extent have these contributed to increasing or reducing the effectiveness of the response?	Document review, stakeholder interview
16.2 Given the competition for funds within the UN, to what extent is UNICEF making the most of its added value? What more could be done?	Document review, stakeholder interview

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## 9.8. Annex 8: Guidelines for KIIs and FGDs

The main methodologies to be used during the field data collection are:

- Key informant interviews (KIIs)
- Focus group discussions (FGDs)
- Observation / photography

### Field data collection

Field visits are pivotal to the understanding of the project and hence to the evaluation as a whole. It is therefore important that the evaluators get the most out of these field visits.

Key moments in the field visit will include:

- Programmatic briefing by UNICEF focal points (remote) before the visit;
- Security briefing on arrival in-country;
- Field visits following the itinerary developed, and
- Debrief of field visit with preliminary observations.

### Site selection

Section 5.7 of the inception report describes the criteria used to determine which locations the evaluation team will focus on during the data collection phase of the evaluation. Inevitably (given the limited time and the budget available for this evaluation), only a small number of locations will be visited. The key to a successful choice is to ensure that the difference sites represent different experiences within the response programme, spanning both good practices and achievements realised as well as the challenges faced. A certain variability allows for triangulation of findings in combination with the other methodologies.

### Ethics and Consent

The scripts for all interviews and focus group discussions will start with a clear explanation of the purpose of the meeting, a clarification of how the evaluation report will be used, the confidentiality of the information shared by the interviewee and an opportunity for questions to be asked. Explicit consent will be sought from each interviewee before proceeding. People will have the opportunity to opt out of the interview without further consequence.

### Key informant interview setup

The need to triangulate perspectives and the learning nature of this reevaluation are two main determinants of the sample size. Triangulation requires different levels of UNICEF staff perspectives, as well as those of staff and volunteers working with implementing partners, local/regional/national government, donors and most particularly the affected populations. Including respondents from multiple levels will help manage selection bias and contribute to internal validity.

Additionally, the following aspects should be considered:

- The KII conversation should take place at a location and time that suits the individual being interviewed.
- The location should enable confidentiality; if inside, the meeting should take place in a room that is not shared with others and has a door for privacy, if outside, it should be away from others and in space where the interviewee's comments cannot be overheard.
- If the discussion is to be translated to the evaluators, this should be done preferably by an independent translator who is not a UNICEF or implementing staff member, or at least who is not known as such to the people interviewed.

### Focus group discussion setup

- Focus groups discussion will take place at a location and time that suits the individuals who are being interviewed.
- The usual norms for facilitating focus groups will be observed:
  - The purpose of the discussion is clearly explained to the participants.
  - It is also explained that their participation is not obligatory.
  - Participants are explicitly asked to consent to participate before proceeding.
  - The setting is conducive to making people feel at ease as much as possible, in a comfortable space with some refreshments offered if available.
  - The groups should be no bigger than six to eight individuals.
  - The composition of the groups is more or less homogenous in terms of position, age, gender or other characteristics that are relevant for the issues to be discussed during the focus group. This will be guided by cultural norms.
  - Questions are open questions. The discussion leader asks clarification where needed.
  - Discussions will be held in the language that the participants feel most at ease in.
  - If the discussion is to be translated to the evaluators, this should be done preferably by an independent translator who is not a UNICEF or implementing staff member, or at least who is not known as such to the people interviewed.

### Notes on interview/analysis approach

- Individual key informant interviews will be noted and summarised either on a laptop or on paper; notes will be made from focus group discussion. Should an interviewee decide to make a recording of an interview, this will be for her/his own personal use and will not be shared beyond the evaluation team.
- Notes will be analysed according to pre-defined categories corresponding to evaluation questions; during data analysis, categories may be refined or adapted as necessary.
- Project documents will also be analysed, as much as possible using the same categories in order to triangulate the data.
- Data analysis will be done using regular office software or using freely accessible software tools for qualitative data analysis.
- Recordings of key informant interviews when made will be used to verify quotes. If quotes were not recorded verbatim, this will be mentioned in the report.
- All efforts will be taken to ensure that quotes will not be attributable to individuals (recognising that in certain cases, for example if discussing a specific technical detail in a specific location, a quotation could be traceable back to its source).

### Observation and photography

- As with KIIs and FGDs, permission should always be sought before undertaking observation or taking photographs.
- The purpose and subsequent use of the observation/photography should be clearly explained to the participants.
- It should also be explained that their participation is not obligatory.
- Anybody being photographed should be asked their consent beforehand.

### Debriefing meeting to share emerging findings

At the end of each country visit, the evaluation team will meet (either physically or virtually, depending on the circumstances), to share their observations and emerging findings, check issues that may not be clear, request additional information and documentation and to hear the views and feedback of CO staff. While ideally these meetings should take place immediately after the end of the data collection visit (and before leaving the country), given the full agendas that have been developed and the fact that the evaluation teams will not be spending time in capital cities, it is possible that these meetings will take place once the team have returned home.

## 9.9. Annex 9: Table comparing ToR and matrix questions

Original evaluation question as shown in the ToR	Revised evaluation questions/sub-questions (matrix)	Rationale for revision
1. To what extent did UNICEF's regional and country offices humanitarian response objectives (including ERPs, HPDs and required adjustments), strategic approaches, and implementation modalities in the region and COs remain <b>appropriate and relevant</b> to the changing circumstances (including the Covid19 outbreak)?	1. <b>Assessment</b> To what extent were the interventions based on adequate/specific assessments? Were they appropriate and relevant to changing circumstances?	Question reformulated as two questions.
	6.1 <b>Impact of COVID-19</b> To what extent did the COVID-19 pandemic impact upon UNICEF's abilities to respond in a timely fashion to the needs of the most affected people? What modifications had to be made to the MPS?	
2. When and where was UNICEF's COs response most adapted to the local needs of those most vulnerable populations whilst responding to national partners priorities (as per rapid and needs assessments)?		This question has been omitted as it is reflected in both Q2 (Access) and Q3 (achieving objectives).
3. To what extent were UNICEF's plans and actions informed by the results of active participation process where the affected population had the voice and capacity to impact key decisions?	13. <b>Accountability to affected populations</b> To what extent were UNICEF's plans and actions informed by the results of active participation processes where the affected population had the voice and capacity to impact key decisions? Did UNICEF put in place accessible complaints mechanisms? What efforts were made to ensure that affected people knew about and used these mechanisms?	Question slightly re-phrased for clarity, with sub-questions added in order to focus the interviews.
4. Did the intervention design take into account specific barriers linked to gender and societal expectations, challenges faced by minorities (ie indigenous communities), vulnerable groups (eg unaccompanied children or children with disabilities, women and pregnant women, etc)?	2. <b>Access</b> Did the intervention design take into account specific barriers linked to gender and societal expectations, challenges faced by minorities (ie indigenous communities), vulnerable groups (eg unaccompanied children or children with disabilities, women and pregnant women, etc)?	Same question with sub-questions added in order to focus the interviews
4. How <b>effective</b> was UNICEF's response in terms of planning, needs assessments, mapping of partners, structure of the response, workflow, financial arrangements, coordination, and monitoring. Correct use of the accelerated processes for the response: PCA/HPD, Human Resources, Procurement, Finance etc.		This question re-focused on monitoring and timeliness (see below). The other elements of this question are covered under the appropriate theme - needs assessment (Q1,) coordination and mapping (Q14 and Q15, etc.
	7. <b>Planning and monitoring</b> How effective is UNICEF in terms of planning & monitoring? To what extent are there adequate planning and monitoring tools for emergency response (including monitoring tools used by implementing partners)? To what extent have they been adequately used to allow for appropriate adjustment of strategies?	
	6. <b>Timeliness</b> To what extent was there correct usage of the accelerated processes to ensure a timely response: PCA/HPD, Human Resources, Procurement, Finances, etc?	This question corresponds with the second part of the original question

5. To what extent did UNICEF <b>response appropriately</b> achieved its objectives, and its results, including any differential results across groups?	3. <b>Achieving objectives</b> To what extent did the UNICEF response appropriately achieve its objectives ? How did these results impact different groups of affected people?	Question re-worded for clarity
6. What are the most and less <b>effective</b> national and subnational strategic approaches at regional and country level for achievement of results?		This question omitted as is covered by Q3 (achieving objectives).
7. What improvements can be made to improve the <b>effectiveness</b> of UNICEF's humanitarian <b>preparedness and response</b> (in terms of Supplies, Logistics, Staff, Surge, Implementing Partners and HCT) To what extent UNICEF was ready to address the necessary programmatic and operational risks looking into specific internal and external barriers which may have emerged when responding to humanitarian needs of the affected populations?	<p>4. <b>Preparedness</b> What preparedness and contingency measures were in place before November 2020 at the CO and LACRO levels (risk assessments, capacity assessments [UNICEF COs, implementing partners, govt, interagency, etc])</p> <p>5. <b>Meeting needs</b> To what extent has the strategy carried out by UNICEF (in terms of supplies, logistics, communication, implementing partners) been effective in meeting the needs of the population? And to what extent have these been aligned with the CCCs?</p> <p>9. <b>Human resources</b> Were the available human resources adequate for emergency response, both in terms of numbers and specific experience/training preparedness related to it, including MPS 1,2 and 3 (staff &amp; surge related): ie emergency management team members and responsibilities, existing or additional HR for coordination, additional or extra HR for sectorial response (at scale)?</p>	The question has been disaggregated between preparedness (Q4), achieving objectives (Q3) and meeting needs (Q5). An additional question has been developed on human resources (Q9) due to the extent of this issue being raised during the inception interviews.
8. Did the effectiveness of the Emergency Response increase because of achieved internal and external <b>synergies and coordination</b> ? Intersectorial (UNICEF) Interagency and Interinstitutional: Integration of the different components of the response, for an integrated delivery; WASH-Nutrition, WASH-education; education-protection; nutrition-health; ...	<p>14. <b>Coordination</b> To what extent did coordination - both internally within UNICEF and externally with other organisations - result in increased effectiveness? To what extent was UNICEF able to achieve an integrated approach?</p> <p>15. <b>Clusters/Sectors</b> What was UNICEF's role/impact in coordinating the clusters/sectors?</p> <p>16. <b>Inter-Agency</b> How has UNICEF coordinated and collaborated with other UN agencies?</p>	This question has been broken into three. The first focuses on coordination and integration, the second on UNICEF's role related to clusters/sectors and the third on inter-agency coordination.
9. What is UNICEF's added value in the ETA/IOTA response – particularly in comparison to other UN agencies responding to the crisis?	16.2 Given the competition for funds within the UN, to what extent is UNICEF making the most of its added value? What more could be done?	Same question but re-phrased as it falls under the heading on interagency coordination
10. What are the major factors, which have influenced or led to internal and external <b>coherence</b> of UNICEF's response, or its lack?		This question is believed to be redundant as it is covered by questions on coordination (Q14-16)
11. What can UNICEF' learn from existing partnerships in the countries? How can UNICEF establish stronger partnerships with private sector, central governments, subnational authorities, civil society organizations, and academia, among others, to better prepare for and respond to future emergencies in Central America?	11. <b>Governments, Institutions, Counterparts</b> What can UNICEF' learn from existing partnerships in the countries which can inform its humanitarian response? How can UNICEF establish stronger partnerships with private sector, central governments, subnational authorities, civil society organizations, academia, among others, to better prepare for and respond to future emergencies in Central America?	same question
12. To what extent UNICEF short-term emergency activities were carried out in	10. <b>Links between humanitarian action and development (NEXUS)</b> To what extent were UNICEF	same question

a context that takes longer-term and interconnected problems into account (ie, nexus)?	short-term emergency activities carried out in a context that takes longer-term and interconnected problems into account?	same question
13. How successfully have recovery considerations been incorporated into planning and relief interventions?	10.1 How successfully have recovery considerations been incorporated into planning and relief interventions?	same question
14. How the emergency response was managed to link effectively with ongoing and future CPD (partners, geographical areas, sectors of interventions, etc.)?	10.2. Has the emergency response managed to link effectively with ongoing and future CPD (partners, geographical areas, sectors of interventions, etc.)?	same question
	<p>11. <b>Learning</b> What processes has UNICEF put in place to systematically gather good practices and learning? How does this get disseminated and acted upon?</p> <p>9. <b>LACRO and COs: role, responsibilities and relationships</b> What were the main roles/responsibilities of COs and LACRO related to Eta/lota (including leadership and decision-making)? Was the role of LACRO adequate (in terms of support and accompaniment) to respond to the needs of the COs related to Eta/lota? To what extent has the relationship between LACRO and CO been a two-way relationship? To what extent has it contributed to developing a regional approach?</p>	<p>Responding to the overarching question on learning and CHS commitment 7 (with quality criterion: humanitarian actors continuously learn and improve)</p> <p>Additional question bringing together issues of roles and relationships between country and region in response to inception interviews.</p>

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