

TERMS OF REFERENCE FOR INSTITUTIONAL CONTRACT

JOINT EVALUATION OF IMPROVING ACCESS TO WATER, SANITATION, AND HYGIENE (WASH) IN RURAL FISHING COMMUNITIES PROGRAMME IN SIERRA LEONE (2019-2022)

Duration: 7 months

1. THE PROJECT UNDER EVALUATION: IMPROVING ACCESS TO WATER, SANITATION, AND HYGIENE (WASH) IN RURAL FISHING COMMUNITIES' PROGRAMME IN SIERRA LEONE (2019-2022)

Sierra Leone is steadily improving access to safe water, sanitation, and hygiene (WASH) services, with about 64 per cent of the population using essential drinking water services and 17 per cent accessing basic sanitation services.¹ Yet the country faces significant challenges in meeting the demand for clean water and safe sanitation facilities for peri-urban and rural communities, such as the densely populated fishing communities along the coast. Due to poor access to WASH facilities and ill sanitation and hygiene practices, the high occurrence of WASH-related diseases in underprivileged fishing communities has remained a growing concern. The escalating water demands caused by rapid population growth, increasing water-dependent commercial activities, salination, and contamination of existing freshwater sources due to sea-level rise linked to climate change, poor waste management, and deforestation negatively impact the quantity and quality of the available water resources. In most coastal communities, poor access to WASH facilities at homes, schools, workplaces, markets, and other public places impacts women and girls as they are primarily responsible for hauling water from long distances. Women and girls also have to wait till dark before they can relieve themselves in the open - a situation that exposes them to sexual harassment and other gender-based violence.

Sierra Leone has 8 (eight) fish outstations: Goderich, Tombo, Konacrydee, Bonthe, Gbondapi, Shenge, Sulima and Kambia. A total population of 2,923,815² live in the fishing communities of the Western Rural, Western Urban, Kambia, Port Loko, Bonthe, and Pujehun. Sierra Leone's coastlines form a key economic mainstay for the country. Fishing is the main economic activity contributing to 10 % of the Country's GDP and supplies around 80% of animal protein for household consumption. Other key activities along the coastlines include transport, mangrove harvesting, fish processing, and vending. These activities attract large populations to the numerous landing sites along the coastlines. The fishing sector employs approximately 45,000 fishers and 500,000 other people (mostly women) who depend on fish processing, vending, and other activities on the value chain for their livelihood. As a result, the coastlines' landing sites became key food processing centres and population convergence areas that require adequate WASH facilities. Yet the prevalence of WASH-related diseases in the fishing communities is among major challenges as they have limited access to safe drinking water and adequate sanitation, subsequently limiting their ability to practice hygiene.

¹ WHO/UNICEF Joint Monitoring Programme Report, 2021

² Sierra Leone Integrated Household Survey 2019, (SLIHS 2019)

The water demand continues to increase with rapid population growth and haphazard urbanisation. Climate change and pollution adversely affect the water sources' quantity and quality. The most common challenges are the low groundwater level, indiscriminate disposal of liquid waste to the natural watercourses, and seawater intrusion.

Tombo and Goderich in Western Rural District are among the key fish landing sites in Sierra Leone³, and they also serve as the point of embarkment for passengers. The government selected these landing sites for a development programme due to their population sizes (Tombo – 41,000 and Goderich – 55,000⁴) and the feasibility of incorporating the host community, fishers, vendors, and passengers into an integrated programme. According to assessment findings, the fishing communities in the selected locations did not practice hygienic and sanitary fish processing. For example, their traditional fish landing and processing stations did not meet the required hygiene standards to guarantee a healthy environment for fishers and community residents. Some of the communities' activities cause severe environmental repercussions. For example:

- open burning of firewood to dry the fish, qualified as a fire hazard, is one of the contributing factors to household air pollution (HAP) and fire accidents.
- using mangroves for firewood and degrading fish spawning and breeding grounds.

With limited access to safe sanitation and water, these communities, especially children and women, are at high risk of contracting various diseases related to poor sanitation and hygiene. Furthermore, because they have no reliable drinking water resources, they are forced to collect water from unsafe streams, swamps, lagoons and traditional dug out wells. These sources are also seasonal, and most of them dry up at the peak of the dry seasons, leaving the population in these communities to walk farther distances in search of water.

Most households in these communities do not have toilet facilities. At the same time, a few available latrines in the communities are below basic hygienic standards. There is also no waste management system within communities, schools, and health centres, and usually, plastics are left uncollected and littered everywhere.

To help ameliorate the situation in these fishing communities, UNICEF, with funds from the Government of Iceland and in collaboration with the Government of Sierra Leone through the MFMR, initiated a project titled 'Improving Access to WASH Services in Tombo, Goderich, and Konacrydee'. The MFMR prioritised these locations for improving the health, well-being, and livelihoods of children and their families in the fishing communities by:

- providing the communities with WASH, fish landing, fish processing, and waste management facilities to support improved and hygienic fish processing techniques for value-added fish production.
- improving waste management systems to curb the haphazard disposal of solid waste through recycling plastic waste, which impacts both public health and the environment.

³ Kassam L, Lakoh K, Longley C, Phillips MJ and Siriwardena SN. 2017. Sierra Leone fish value chain with special emphasis on Tonkolili District. Penang, Malaysia: WorldFish. Program Report: 2017-33.

⁴ Rough Estimates from Field assessments in 2019.

In **Tombo**, the project began on 8 February 2019, and at present, UNICEF and partners are in the process of wrapping up the project. With a budget of USD 1,295,082, the project provided access to the improved source (basic level) of water to 40,800 people (19,992 males and 20,808 females) through the construction of Gravity Fed Water Supply Systems (GFS) and construction of public toilets and other sanitation facilities. Six fish landing and sorting platforms were also completed across the wharves in the community, with two fish processing slabs currently in use to enhance hygienic fish processing for exports.

Project Goal: Contribute to reducing the potential waterborne diseases at five wharves in Tombo landing station through WASH services, benefitting 40,000 beneficiaries comprising the host community, fishermen and, traders at the wharves.

Project Outcome: Improved and sustainable use of safe drinking water, sanitation and healthy environment and improved hygiene practices among the deprived fishing communities in Tombo Wharf.

Project Outputs:

Output 1: Communities in five targeted sites in Tombo landing station have access to improved and functional safe drinking water supply with clear management systems;

Output 2: Communities in five targeted sites in the Tombo landing station have access to improved essential sanitation services with clear management systems;

Output 3: Facilities are provided for hygienic fish processing in fishing landing sites;

Output 4: Community engagement, mobilization, hygiene awareness and promotion of hygienic and sanitary environment and food handling and WASH committees established; and

Output 5: Capacities of community structures are strengthened to manage WASH facilities effectively.

An additional component that supplements the project activities in Tombo was piloted for **Waste Refuse and Recycling for Income Generation at the Tombo fish landing station** targeting at least 1,000 youth and women at the Tombo landing site. The activities include the collection of plastic waste, scrap metal, and textile waste from the beaches and delivering it to a recycling plant for sorting, cleaning, and reuse.

In **Goderich and Konacrydee**, the project has been implemented since 24 January 2020 and will end by 31 December 2022. The project for Goderich and Konacrydee communities has a budget of USD 1,400,000.

Project Goal: Contribute to reducing the risk of life-threatening waterborne diseases by providing WASH services in Goderich (Shela Water) and Konacrydee Wharf fishing communities.

Project Outcome: People, including women and children, have access to and use of water, sanitation, and hygiene in communities, schools, and PHUs in the four fishing communities in Goderich and Konacrydee; subsequently, Wharf contribute to improved fish sorting and processing. The following specific results are identified as the main contributors to the overall result and goal of the programme.

Project Outputs:

Output 1: 18,500 people, including children and women in target communities, have access to and use safe drinking water through water supply systems managed by beneficiary communities.

Output 2: Capacity is built at the local level to create demand for sanitation through Community-Led Total Sanitation (CLTS) in target communities. As a result, an estimated 18,500 people, including children, live in an ODF environment.

Output 3: 2,604 school children, including 1,327 girls from 5 Schools in the target communities, have access to WASH facilities and practice proper hygienic behaviours.

Output 4: Communities in the target landing stations have hygienic and sanitary fish processing systems through the construction of fish sorting and cleaning platforms.

Annex I includes the project maps of intervention sites.

The project aims to tackle various WASH issues that directly affect children in the fishing communities. Its different components covering environmental factors, behaviour change, and infrastructural development in the fishing communities are making a positive contribution, as the monitoring reports show⁵⁶. The ToRs' section on the evaluation context summarizes the project results.

To understand the extent to which the project benefitted children and their families in the fishing communities, UNICEF and the Government of Iceland initiated to conduct its comprehensive evaluation. The evaluation will assess the project's implementation strategies and thematic and operational activities to generate in-depth evidence on its performance, generate lessons learned and produce recommendations for scaling up similar interventions in the future.

2. DESCRIPTION OF THE ASSIGNMENT

2.1 Evaluation Purpose

This evaluation has two purposes: accountability and learning.

This evaluation will provide both the donor (vertical accountability) and the expected beneficiaries (horizontal accountability) with solid evidence of how the project attained its envisaged objectives.

⁵ UNICEF Progress Report to the Government of Iceland, 'Improving access to Water, Sanitation and Hygiene in Tombo' March 2022.

⁶ UNICEF Progress Report to the Government of Iceland, 'Improving access to Water, Sanitation and Hygiene in Goderich and Konacrydee' March 2021

For learning, this evaluation will improve the performance of similar projects by generating lessons learned and shedding light on potential corrective actions that may want to be explored further in the future to enhance children's well-being sustainably.

More specifically, this evaluation will generate recommendations that will help the Government of Iceland, UNICEF Sierra Leone and its partners (see Table 1 below) to adapt the implementation of similar interventions to the emerging and country-specific needs in the WASH Sector.

The users of this evaluation include the fishing communities, Government of Sierra Leone, Government of Iceland, UNICEF Sierra Leone, implementing partners, and other stakeholders. The expected users and uses of the evaluation are outlined in Table 1 below.

Table 1: Users and uses of the evaluation

Evaluation Users	Evaluation Uses
Government of Sierra Leone	Insight on how WASH interventions in these coastal fishing communities will help the government to develop/ strengthen sustainable and climate resilient WASH policies and strategies towards improving social services in hard-to-reach areas and enhancing livelihood of fishing communities through value-added fish production.
Government of Iceland	To evaluate the programme for learning purposes and for accountability to Icelandic taxpayers, partners, stakeholders and beneficiaries in Sierra Leone. Evaluation findings might guide future investments and partnerships in Sierra Leone, and the design and implementation of new initiatives.
UNICEF	To guide future investments in climate-resilient WASH programme at the coastlines of the country and amend, if necessary, the WASH programme strategies using the evaluation findings and recommendations. To measure efficient and effective use of funding to maximize results.
UN and other developmental partners	Promote and facilitate rollout of good practices and lessons from the project and share with other development partners and UN agencies and mobilise key actors to mitigate and address threats and weaknesses identified.
NGOs/CBOs	Mainstream (into their day-to-day practices) good practices identified during the evaluation and address weaknesses that emerged during the analysis.
Fishing communities/rights holders	Use evaluation results to learn what works and what does not; apply the evaluation results and lessons learned to strengthen the community engagement and ownership to sustain the programme results; raise awareness of WASH-related issues and mainstream equity and gender equality in community-based WASH activities.

2.2 Evaluation Objectives

The objectives of the evaluation are:

1. To determine the relevance, coherence, efficiency, effectiveness, and sustainability of the project in supporting the Government to reach vulnerable women and children with access to and sustainable use of WASH services, and plastic refuse collection and recycling.
2. To identify lessons learned about what worked and did not work about the project, including unexpected outcomes (positive and negative).
3. Identify good practices (and worth replicating).
4. To formulate recommendations on how to improve both the project planning and implementation processes (operational recommendations) and strengthen the corresponding strategies (strategic recommendations).

2.3 Evaluation Scope

Thematic Scope

The evaluation will focus on all thematic aspects of the project with particular attention devoted to gender equality, equity, human rights, environmental protection and climate resilience. The evaluation will generate evidence on the performance of the project's social and constructional components to unpack the project's contributions to reducing waterborne diseases in fishing communities. In the analysis of the project's results, the evaluation will look into how it achieved a social change to ending OD and how the CLTS strategies coupled with the constructional component reached the most vulnerable and marginalized children and their families, enhanced gender equality and integrated practices to protect the environment and build resilience to climate change. Further, the evaluators are asked to identify how the Covid-19 pandemic and derived consequences had an impact on the project; how challenges were addressed and if any lessons can be learned from the Covid-19 impact.

Chronological Scope

The evaluation will capture the activities implemented between 8 February 2019 to 31 December 2021 in Tombo and from 24 January 2020 to the present in Goderich and Konacrydee Wharf.

Geographical Scope

The evaluation will cover all the project activities in Tombo, Goderich, and Konacrydee. The data collection will concentrate on a representative sample from the project sites.

2.4 Evaluation Context

Throughout the project implementation, community mobilisation and engagement were mainstreamed to ensure that community members, particularly women, play an active role in the systems' design,

performance, and maintenance. The project also entailed orientation and awareness sessions on flush latrines and water supply facilities as part of the hygiene promotion activities.

UNICEF worked with the Western Area Rural District Council to set up a pilot waste recycling plant to facilitate and maintain Tombo as a clean and safe environment. The plant recycles marine and other waste from the beaches into useful by-products, such as energy-saving stoves, bio-charcoal briquettes, pavement blocks using sand and plastic waste, and other household items.

UNICEF also supported the local council in engaging a consultant to facilitate trainings for women and youth in the community with oversight from the Western Area District Council. Thirty-two (32) trainees (17 women and 15 men) received specialised training on waste recycling, including of plastic wastes, scrap metals, textiles, and organic fertilizer production. The plant has not been fully operationalized yet, and UNICEF is supporting the local council to engage a private entrepreneur to run the facility and engage the trained community artisans as part of the workforce at the plant.

The experience gained from the Tombo pilot will provide information for future projects on key considerations like plant location, availability of power, waste supply chain including transportation, plant dimensioning, and potential market for the different products produced. A detailed evaluation of lessons learned will provide a basis for replication and scale up of this pilot and run it sustainably to generate profit and contribute to economic development of the host communities.

The project implementation did not go without challenges, especially in terms of the availability of essential construction materials, accessibility of roads, and poor infrastructural and environmental conditions that required extra planning. To ensure project sustainability, UNICEF supported the Water, Sanitation and Hygiene Committees (WASHCOM) in Tombo in collaboration with the line ministries to develop a sustainability plan to use and manage the completed WASH facilities effectively.

The project in Goderich and Konacrydee Wharf provided 19,507 people with water supply, although the initial target was 18,500 people. The project also completed the building of 80 compartments of gender-segregated public latrines (10 blocks of 8 compartment latrines) and 20 compartments of shower rooms currently being used by the communities. The WASH facilities with safe water supply, gender-segregated latrines with shower rooms and handwashing facilities, laundries, and waste management units (incinerators, sharp and burning pits, etc.) were completed in 3 (three) targeted Periphery Health Units (PHUs) and five schools. The construction of fish landing, sorting, and processing platforms, including drainage work around the platforms, is in progress in Konacrydee. The arrangements for securing land and construction in Goderich are also in progress. Within the community-led total sanitation (CLTS) intervention framework, the project concluded sensitisation activities on ODF, involving 8,472 people in the Konacrydee communities. The households constructed over 100 latrines following the implementation of community-led total sanitation and UNICEF sponsored public toilet facilities to provide

access to households that cannot build their toilets. The communities formed the WASHCOMs and developed community WASH improvement plans.

The project in these locations encountered challenges with the limited availability of construction materials. The Tombo and Goderich are town-oriented villages with haphazard settlements. Obtaining the land for the construction of facilities took time due to the processes required to receive approval from local authorities, subsequently delaying the project implementation. The reticulation of water systems also took longer than planned due to the rocky nature of the sub-surface and the extra effort required to make the trenches. Additionally, various environmental factors negatively affected the construction timeline of household latrines.

The project also entails activities to ensure the involvement of children, adolescents, youth, and women in all activities. The project's behaviour change component, for example, involved equal participation of women and men. UNICEF also worked with WASH stakeholders and communities, including facilitators, to adapt the existing community-led total sanitation (CLTS) manual and guidelines for local implementation.

2.5 Evaluation Criteria

This evaluation will be guided by 5 (five) OECD/DAC criteria: Relevance, Coherence, Effectiveness, Efficiency, and Sustainability⁷; and additional gender equality, equity, human rights and environment criterion.

The evaluation will not cover impact due to the limited feasibility of measuring the project's impact at this time.

2.6 Evaluation Questions

The evaluation team will answer the following questions to achieve the purpose of this evaluation. The questions set forth in this ToR are indicative and interested institutions may adjust the questions in the technical proposal. Evaluation questions will be finalized during inception phase in collaboration with the evaluation commissioning authorities of UNICEF and the Ministry of Foreign Affairs Iceland (MFA-I) and possibly other evaluation stakeholders.

2.6.1 Relevance:

- 2.6.1.1 To what extent does the project respond to the identified needs and priorities of children and their families in the fishing communities of Sierra Leone?
- 2.6.1.2 To what extent is the project aligned with Sierra Leone's national development priorities?
- 2.6.1.3 To what extent is the project aligned with the country programme of UNICEF Sierra Leone?
- 2.6.1.4 To what extent is the project aligned with the mission and role of the Government of Iceland's international development efforts?

⁷ <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

2.6.2 Coherence:

- 2.6.2.1 Did the projects successfully compliment other development efforts in the communities with sufficient coordination and harmonization while avoiding duplication of efforts?
- 2.6.2.2 To what extent was coordination achieved between UNICEF, Iceland Ministry for Foreign Affairs and line ministries at the national level?
- 2.6.2.3 To what extent was collaboration by UNICEF achieved with District Councils and local authorities at the sub-national level?
- 2.6.2.4 To what extent did strategic partners and partnerships contribute to the project results?
- 2.6.2.5 To what extent were women involved on equal terms with men in the management of the project at community level? How were children and adolescents involved?

2.6.3 Effectiveness:

- 2.6.3.1 To what extent did the project achieve its intended results in Tombo fishing communities?
- 2.6.3.2 To what extent has the project made progress in achieving its planned objectives and intended results Goderich and Konacrydee Wharf?
- 2.6.3.3 To what extent did the project activities ensure that the most vulnerable children and women have access to the WASH services in the fishing communities?
- 2.6.3.4 What internal and external factors to UNICEF contributed to achieve or hinder the project from achieving the envisaged project objectives?
- 2.6.3.5 What were the positive and negative outcomes, intended or unintended, produced by the project, and why?

2.6.4 Efficiency:

- 2.6.4.1 To what extent were the project's financial, human resources, and supplies:
 - sufficient (quantity)
 - adequate (quality)
 - distributed/deployed promptly?
- 2.6.4.2 Were there alternative strategies that could have been put in place to achieve the same level of results but at a lesser cost?
- 2.6.4.3 To what extent were efforts to keep down the programme delivery costs successful?

2.6.5 Sustainability:

- 2.6.5.1 To what extent are the benefits from projects likely to last after the completion of this project? And how?
- 2.6.5.2 To what extent were measures put in place to ensure that the project activities are climate resilient, and services can be sustained even in extreme climatic conditions?
- 2.6.5.3 To what extent were measures incorporated for the project activities to be continued without external support in the future?
- 2.6.5.4 To what extent have the fishing communities and institutional partners taken ownership of the project and its achievements?

2.6.6 Gender equality, human rights, equity and the environment

- 2.6.6.1 To what extent were gender equality, human rights, equity and environmental principles duly integrated in the design and delivery of the projects?

2.6.6.2 To what extent did the project identify and tackle the barriers that prevent girls' and women's access to the services made available by the project?

2.7 Evaluation Design and Methods

Evaluation Approach

The evaluation will be **summative** focusing on the results of completed and ongoing project activities in Tombo, Goderich and Konacrydee Wharf. A **formative** approach shall also be taken for ongoing program activities to inform future development initiatives by partners and strive to generate lessons learned to address the local context. The evaluation approach will be **participatory and inclusive**. The technical proposal will need to make a specific reference to **the particular evaluation approach and the theoretical framework** underpinning the selected approach.

With regards to the Convention on the Rights of the Child, the evaluation team will propose adequate engagement of children and adolescents throughout the evaluation process (to this end, the **use of "body mapping", the "H Framework", the "Air balloon"** or similar methodologies is strongly recommended).

The evaluation will be based on mixed methods of collecting and analysing data obtained from the main target groups of the project, including boys/girls/caregivers. The evaluation data shall be disaggregated by gender, age, geographic locations, disability, education, and wealth.

Using multiple methods is required to triangulate data from different sources to formulate the findings and provide the most relevant and credible answers to the evaluation questions. To enhance the rigor of the evaluation, during the inception phase, the evaluation team will develop rubrics for each one of the indicators included in the evaluation matrix, and **evaluation questions must be addressed by triangulation of different sources of data**.

Data Collection Methods

The data collection and analysis shall involve quantitative and qualitative primary and secondary data. The primary data will be collected through:

- Quantitative data collection with the right-holders
- O&M Checklists of WASH facilities
- Focus groups discussions and interviews with children, adolescents, and youth
- Focus group discussions and interviews with women and girls
- Interviews with UNICEF, development partners, services providers, and other stakeholders. The following is the preliminary list of organizations where relevant staff is expected to be interviewed on the project performance:
 - Sierra Leone Ministry of Fisheries and Marine Resources
 - Sierra Leone Ministry of Water Resources
 - Sierra Leone Ministry of Health and Sanitation
 - Sierra Leone Ministry of National Planning and Economic Development
 - Icelandic Ministry for Foreign Affairs staff
 - UNICEF staff
 - Living Water International NGO staff

- CAWeC (NGO) staff
- ADP SL (NGO) staff

Primary data collected in the field will be supplemented by:

- Secondary analysis of routine monitoring data.
- Desk review, including the project documentation, its action plan and annual reviews, progress, and assessment reports.
- Policies and national strategies of Sierra Leone and Iceland.
- UNICEF policies and guidelines on WASH.

Sampling

A representative sample size of all project sites should be drawn up. Surveys, focus group discussions, and interviews with the community children, adolescents, youth and women, and men may entail purposive sampling strategies based on the following criteria:

- Right-holders who participated in the project activities.
- Right-holders belonging to low and lowest-income households and vulnerable groups.
- Right-holders living with disabilities.

The sample of respondents for the evaluation must be representative of:

- 40,000 children, women, and men in 5 Wharves of Tombo.
- 18,500 children, women, and men, including in landing sites, in Goderich and Konacrydee Wharf
- 2,604 school children including 1,327 girls from 5 Schools in the fishing communities Goderich and Konacrydee Wharf.

Representatives of all main service providers and partners involved in this project will be interviewed.

Quality Assurance Requirements

A detailed design of the evaluation, including the proposed methodology for each evaluation question and/or objectives, sample size, sampling methodology, and the tools to be used, will be proposed by bidding evaluation companies in their technical proposal. It is expected that the methods and sampling proposed for assessing the effects of interventions on the project are sufficiently robust to ensure the credibility and internal validity of the evaluation results. The final methodology will be agreed to during the inception phase and approved by the evaluation reference group. **The bidding company is strongly encouraged to propose the use of innovative methods in their technical proposal.**

Existing data and documents will be made available to the evaluation team by UNICEF staff at least one week before the inception phase starts. The consultants will submit an inception report with a detailed methodology, including quantitative and qualitative elements, designed to answer the evaluation questions accurately. The inception report must provide a critical summary of the information contained in the programmatic documents made available to the evaluation team by UNICEF after signing the contract. The inception report will also indicate for each of the evaluation questions the following information: what methods and data collection tools will be used to respond to it, from whom the data in question will be collected (including the respondent sampling strategy), and which analytical methods

will be used to interpret the data, and what measures will be adopted to ensure the quality of the evaluation. This report should also propose specific measures to ensure that the evaluation complies with ethical standards, including confidentiality and respect for the dignity of those involved.

The evaluation will be conducted according to the evaluation norms and standards of the United Nations Evaluation Group (UNEG)⁸/OECD DAC and the UNEG Code of Conduct⁹. Transversal analysis of human rights, gender, and equity aspects shall be conducted in line with the Guidelines on the Integration of Human Rights and Gender Equality in Evaluations¹⁰. Close attention shall be paid to the conformity of different deliverables of this mandate with the GEROS standards¹¹, as UNICEF will not accept deliverables that do not comply with these standards or the aforementioned UNEG guidelines. The GEROS standards, which will be also used to determine the rating of the final report by a UNICEF-independent entity, will be shared by UNICEF with the evaluation team immediately after the signature of the contract.

The main conclusions and recommendations of the evaluation will be disseminated in the form of briefing notes or policy briefs. The evaluation validation workshop will serve as an opportunity to develop, in a participatory manner, the action plan for the implementation of the main recommendations of the evaluation or "management response".

Ethical Principles in Evaluation

The evaluation should be conducted according to the ethical principles and standards defined by the United Nations Evaluation Group:

- **Anonymity and confidentiality:** The evaluation must respect the rights of the people who provide information, guaranteeing their anonymity and confidentiality.
- **Responsibility:** The entire team must confirm the results presented in the report, any disagreements are to be mentioned. The report should inform about any conflicts or differences of opinion that may have arisen between the consultants or between the consultant and the programme managers regarding the conclusions and/or recommendations of the evaluation.
- **Integrity:** The evaluator will need to highlight issues that are not specifically mentioned in the ToR, to carry out a complete analysis of the programme.
- **Independence:** The consultant must ensure that he/she remains independent concerning the programme under review, and he/she should not be involved in its implementation or any other phase.
- **Incidents:** If problems arise during fieldwork, or at any other point of the evaluation, they should be reported immediately to the Evaluation Manager. If this is not done, the existence of such problems can in no way be used to justify the failure to achieve the results expected by UNICEF in these terms of reference.

⁸ <http://www.unevaluation.org/document/detail/1914>

⁹ <http://www.unevaluation.org/document/detail/100>

¹⁰ <http://www.uneval.org/document/detail/980>

¹¹ <http://www.uneval.org/document/detail/607>

- **Validation of information:** The consultants must ensure the accuracy of the information gathered during the preparation of the reports and will be responsible for the information presented in the final report.
- **Intellectual property:** Using the different sources of information, the consultants must respect the intellectual property rights of the institutions and communities involved in the evaluation.

The evaluation should comply with UNICEF's standards and norms for involving children in evidence generation activities. The evaluation team shall consult ['Ethical Research Involving Children' Graham, A., Powell, M., Taylor, N., Anderson, D. & Fitzgerald, R, UNICEF Office of Research-Innocenti \(2013\)](#) in developing the evaluation methods and data collection tools. Annexes II and III provide more details on UNICEF's norms and standards for ethical evidence generation activities, including those involving children and resources for quality assurance.

2.8 Evaluability

The programme does not have baseline data. However, secondary data and monitoring reports are available to support the evaluability of the programme's performance. The programme also does not have a Theory of Change (ToC), but it has a conceptual framework describing the purpose of the programme and the change it envisions achieving. The evaluation team will develop the programme's ToC for the evaluation. The multi-stakeholder dialogue will also serve as an opportunity to reconstruct, the theory of change of the evaluated project.

3 DELIVERABLES

The evaluation team will provide the following products in English electronically (further details and deadlines will be specified during the inception meeting):

- a. **Inception Report**, including a detailed description of the methodology, data collection tools, and suggested work plan. The report (max. 30 pages + appendices) will be structured as follows:
 - 1) Introduction presenting the object of the evaluation, its purpose, scope, and objectives
 - 2) Preliminary results of the documentary review are summarized in the evaluation context section
 - 3) Evaluation criteria and questions refined through the desk review and preliminary interviews
 - 4) Detailed description of the evaluation methodology, including relevant data collection methods that will allow answering evaluation questions and sampling strategy
 - 5) Evaluation matrix presenting for each evaluation criterion and each evaluation question planned data collection methods and data sources
 - 6) Methods of data analysis
 - 7) Limitations of the evaluation and section on ethics and ethical considerations
 - 8) Work Plan
 - 9) Suggested structure of the final report following the UNEG and UNICEF norms and standards

- 10) Annex: List of the main documents reviewed; Proposed data collection tools; Initial list of key informants
- b. **Draft evaluation report** elaborated according to the international evaluation quality standards namely: the UNEG Checklist on Quality of Evaluation Reports¹², the GEROS Quality Assessment Criteria¹³, and the UNEG Guide on the Integration of Gender Equality and Human Rights in Evaluation¹⁴. This report will be the subject of several iterations (series of exchanges) between the evaluation team and UNICEF to ensure respect for these standards. Each finding, conclusion, and recommendation should be numbered and the links between them should be clearly stated in the conclusions and recommendations sections.
 - c. **Power Point presentation** summarizing key preliminary findings and conclusions
 - d. **Evaluation presentation and recommendation validation workshop.** The Team Leader will produce and deliver PowerPoint presentations of the main evaluation findings, conclusions, and recommendations; the presentations will be shared with the ERG members.
 - e. **Final Evaluation report** (max 60 pages with the rest to be placed in annexes and an executive summary of a maximum of 5 pages) incorporating the comments made by UNICEF staff and the Reference Group members
 - f. **Power Point Presentation** which summarizes the Evaluation Report with slide(s) on Key findings and Recommendations
 - g. **Raw data** in an electronic medium, data collection instruments in an electronic medium, transcripts in an electronic medium, completed data sets, etc.
 - h. **Evaluation synthesis** for an external audience (1-2 pages) summarizing the key findings and conclusions
 - i. **Infographic** illustrating key messages of the evaluation.

Textbox 1: Desired structure of the evaluation report

The full final report shall be structured as follows:

- Table of Contents including List of Tables and List of Figures
- Executive Summary (covering all main sections of the report: background, methodology and process, main findings and recommendations, lessons learnt)
- Acknowledgments (all who supported the evaluation and provided strong cooperation and collaboration during the process)
- List of abbreviations and acronyms
- Introduction (object of the evaluation, evaluation purpose, objective, scope, intended uses, and users)
- Evaluation context
- Methodology, including sampling strategy and data analysis methods
- Key findings (by criterion – each question will need to be answered) + Boxes on Preliminary Conclusions scattered throughout this section (given that all findings will be numbered,

¹² <http://www.unevaluation.org/document/detail/607>

¹³ https://www.unicef.org/evaluation/files/GEROS_Methodology_v7.pdf

¹⁴ <http://www.uneval.org/document/detail/980>

- each conclusion will need to indicate these specific findings and corresponding paragraph numbers on which it is based on)
- Conclusions (not a simple summary of preliminary conclusions but rather a more advanced and critical reflection using the preliminary conclusions as a starting point)
 - Lessons learnt
 - Recommendations (strategic and operational, maximum 5 priority recommendations for each type; targeted and with a list of actions of consideration)
 - Annexes (ToRs; List of persons interviewed, and sites visited; List of documents consulted; More details on methodology, such as data collection instruments, including details of their reliability and validity; evaluation matrix; results framework)

4. EVALUATION MANAGEMENT

The evaluation will jointly be managed by the Department of Internal Affairs and Control of the Government of Iceland and the Evaluation Specialist UNICEF Sierra Leone, with UNICEF Research and Evaluation Specialist serving as the lead Evaluation Manager. This will contribute to preserving the independence of the evaluation. The Evaluation Manager must ensure compliance with UNICEF standards and norms as well as compliance with quality standards¹⁵. They will be the focal point of the evaluation team and will be responsible for the validation of evaluation products. They will also ensure that the evaluation reference group is informed of the progress of the evaluation.

An **Evaluation Reference Group (ERG)** comprising the government of Sierra Leone, the government of Iceland, UNICEF, and implementing partners will be set up to provide quality oversight to the evaluation and provide comments on the different deliverables (inception, draft, and final report). The ERG will be presided over by the governments of Sierra Leone and Iceland, and the Evaluation Manager will be its reporter.

The Regional Evaluation Adviser based at the UNICEF Regional Office for West and Central Africa (WCARO) will also provide technical oversight over the entire evaluation process, including all evaluation products.

UNICEF Deputy Representative Programme will authorise payments as per the payment schedule upon confirmation by the Evaluation Manager that deliverables have been approved by ERG, Government of Iceland and UNICEF.

5 LOCATION AND DURATION

The evaluation will be conducted through a combination of remote and on-the-groundwork in Sierra Leone with at least two missions of team leader and members of the evaluation team for seven months. It will consist of three main phases, as described in Table 2 below. The evaluation team is expected to

¹⁵ <http://www.unevaluation.org/document/detail/1914>; <http://www.unevaluation.org/document/detail/607>

propose a detailed work plan indicating the roles and responsibilities of each team member in the technical proposal.

*Table 2: Indicative Work plan**

Main activities and deliverables	Tentative deadlines
I. Inception phase	
Submit first draft inception report and data collection tools to UNICEF and the Government of Iceland.	2 weeks after signature of contract
Present inception report and data collection tools to ERG.	3 weeks after signature of contract
Final inception report and data collection tools incorporating all comments.	6 weeks after signature of contract
Deliverables: <ol style="list-style-type: none"> Inception report with data collection tools and protocols Presentation 	
II. Data collection	
Pilot-testing and validation of data collection tools.	2 months after signature of contract
Primary data collection, including field data collection	4 months after signature of contract
Debriefing and presentation of preliminary findings to UNICEF and the Government of Iceland.	4 months after signature of contract
Deliverables: <ol style="list-style-type: none"> Brief report from piloting Brief field report Presentation of preliminary findings Qualitative and quantitative datasets 	
III. Data analysis and report writing	
Submit the first draft evaluation report to UNICEF and Government of Iceland.	5 months after signature of contract
Present the evaluation report and recommendations to ERG.	6 months after signature of contract
Submit the final evaluation report and PPT incorporating comments.	7 months after signature of contract
Submit the final evaluation brief and infographics.	7 months after signature of contract
Deliverables: <ol style="list-style-type: none"> Evaluation report PPT Evaluation brief Infographics 	

**Interested institutions will need to submit a more detailed work plan as part of their technical proposal, to be finalised during inception phase.*

** The inception and evaluation reports may be revised several times until they meet the required standards. The evaluation team will be requested to revise each deliverable in 5 working days.*

6 QUALIFICATION REQUIREMENTS

The evaluation will be carried out by a team of consultants with extensive experience both at national and international level. The team should have a good knowledge of the country specific context of Sierra Leone as well as of the WASH sector. The team must demonstrate extensive experience in evaluations of humanitarian actions implemented between UN agencies, government and non-governmental organizations, including:

- Strong track record in robust evaluations and research.
- Extensive experience and strong track record in translating evaluation findings into actionable recommendations, as demonstrated by previous work.
- Demonstrated capacity to communicate evaluation findings to diverse audiences.
- Previous work with UNICEF or other development agencies in a similar area is desirable.

The team should be composed of one Team Leader and a sufficient number of team members to ensure the successful implementation of the assignment. The team will work closely together to develop and implement an appropriate methodology and approach to address the evaluation questions and achieve the expected results of the evaluation. Team members proposed in the technical proposal must be available for the duration of their assigned tasks.

Joint teams of national and international consultants integrating women are strongly encouraged. The applying evaluation firm will be responsible for all local recruitments and logistical arrangements for field work, including interpretation.

6.1 Evaluation Team Leader

She/he will coordinate the evaluation team and ensure that the design of the evaluation is duly followed, the management of the evaluation process, the quality assurance, and the delivery of the expected products in close collaboration with the other team members. She/he shall conduct the evaluation applying an approach conducive to the transfer of competencies to the national members of the evaluation team. She/he should have the following profile:

- Advanced university degree in public health, social sciences, WASH, or other relevant areas.
- More than 10 years of experience in programme evaluation and must have completed at least three high-quality programme/project evaluations in that period (a copy of an evaluation report,

in which the Team Leader has been a primary author, will need to be submitted a part of the application).

- Have a perfect command of quantitative and qualitative methods of research and evaluation methods based on equity, human rights and gender.
- Have excellent oral and written communication skills in English as well as skills in facilitation of participatory processes.
- Must be familiar with diverse evaluation approaches in the WASH sector.
- Previous work experience in rural communities of West Africa.
- Good knowledge of UNICEF approaches.
- Previous evaluations on children's access to WASH, public health, and environment-related areas will be an asset.

6.2 Evaluation team members

They will participate in all stages of the evaluation process and will be primarily responsible for collecting and analysing the data to establish the evaluative judgment. They will also contribute to the analysis of the national context and contextualise the evaluation results. Their work will involve secondary data analysis and primary data collection with beneficiary communities and key stakeholders involved in implementing the programmes. The evaluation team's detailed composition is to be proposed by the evaluation firm.

The evaluation team should be a mix of national and international and include youth evaluators to the extent possible. The institution must make provisions for local enumerators to support primary data collection, as well as interpreters. The technical proposal must indicate how the evaluation team will organise and manage the fieldwork.

Overall, the following profiles should be present in the evaluation team:

- **WASH experts** must have advanced university degree in engineering or other relevant fields with emphasis on WASH. Knowledge in cross-sectoral issues affecting WASH such as gender equality, environment and behaviour change is preferable.
- **Team members responsible for analyzing cross-cutting issues** must have master's or bachelor's degree in social science, environmental science, sociology, statistics, or other social science related field.
- **Team members responsible for analyzing cross-cutting issues** must have experience in gender and equity focused programming, and environment.
- **Data analyst** must have at least Bachelor's degree in statistics or related area and must also be responsible for financial data evaluation and have at least 5 years of experience in statistical analysis.
- **Qualitative expert** must have at least 5 years of experience in conducting interviews and focus group discussions, including in qualitative data analysis and visualization.
- Team must be gender balanced.
- Fluency in English is essential.

- Fluency in local languages is essential, hence the team should have both international and national members.

Data enumerators:

- The enumerators must have previous experience with data collection in the communities and have good command of face-to-face interviewing techniques.
- The evaluation firm must ensure adequate training and supervision of the enumerators.
- The technical proposal does not have to include the enumerators' CVs. However, the evaluation firm must ensure a thorough review of the enumerators' technical skills and competencies and describe their quality assurance standards in the proposal.

7 EVALUATION PROCESS AND METHODS

Bidders are expected to submit Technical and Financial proposals separately. The criteria for evaluation are summarized below and will be scored using a ratio between the technical and the commercial criteria of 70:30 (technical/commercial). The sum of technical and commercial will equal 100 points.

Number	Assessment criteria	Sub-criteria	Score	Total score
1	Understanding of ToR	Understanding of ToR (according to the value added of the technical proposal)	10	10
2	Methodology	Methodological reference framework to address evaluation questions (according to the relevance of the methodological framework for answering evaluation questions). Proposed Technologies/innovative approach/solutions that meets/exceeds UNICEF requirements.	10	25
		The quality and robustness of sampling strategy (according to the relevance and consistency of the proposed data collection and sampling methods for answering the evaluation questions)	10	
		Data analysis methods (according to the relevance and consistency of the proposal for answering the evaluation questions).	5	
3	Organizational capacity of the evaluation team to execute the mandate	Evaluation Work Plan (According to the relevance of the proposed timeline for the delivery of expected outputs). Project plan/monitoring, quality assurance mechanisms, identified risks/mitigation measures, assumptions and dependencies	5	10

		Roles and Responsibilities of the Evaluation Team members (according to the appropriateness of the distribution of roles and responsibilities for the achievement of expected results within the required time)	5	
4	Expertise and experience of the Team Leader	Expertise of the Team Leader (according to the conformity with the required profile and the expertise evaluation in general and in equity-focused and gender and human rights-based evaluations)	5	10
		Experience of the Team Leader (According to the quality of the evaluation report submitted as part of the proposal, and the consultant's experience in evaluation in general and in the targeted thematic area and as an evaluation team leader)	5	
5	Expertise and experience of the Evaluation team members	Expertise of the team members (According to the conformity with the required profile, the expertise in the targeted thematic area, knowledge of the national context and evaluation and research methods)	8	15
		Experience of the team members (according to the experience in evaluation in general and in the thematic targeted area)	7	
Total Score attributed to the technical proposal				70 points

7.1 Technical Evaluation Criteria

Technical offers will be scored out of **70 points**. Offers with scores less than 49/70 will be disqualified. A reference check will be conducted on companies meeting the minimum technical requirements.

7.2 Financial Proposal Structure

Financial offers will be scored out of **30 points**. 30 points will be allocated to the lowest offers among the technically acceptable offers. All other price proposals receive scores in inverse proportion according to the following formula:

$$\text{The score for price A} = (30 * \text{Price of the lowest-priced proposal}) / \text{Price of proposal A}$$

7.3 Final recommendation

The contract will be awarded to the best suited service provider which has the highest cumulative score (technical + financial) out of 100.

8 ADMINISTRATIVE ISSUES

The bidder should provide an all-inclusive cost in the financial proposal and factor in all cost implications required for the service.

If travel to Freetown is expected as part of the assignment, the bidder is required to include the estimate of all related travel costs and DSA.

Note:

- i) travel cost shall be calculated based on economy class travel, regardless of the length of travel.
- ii) costs for accommodation, meals and incidentals shall not exceed applicable daily subsistence allowance (DSA) rates, as promulgated by the International Civil Service Commission (ICSC).

9 PAYMENT SCHEDULE

Payment will be made upon satisfactory completion of deliverables as follows:

- 15% upon approval of inception report (deliverable a) outlining the agreed design of the evaluation and work plan for the assignment validated by the ERG and UNICEF.
- 35% upon submission of draft report (deliverable b) confirmed by UNICEF.
- 50% upon approval of final report and all remaining deliverables (deliverables c – i) validated by the ERG and UNICEF.

UNICEF reserves the right to withhold all or a portion of payment if performance is unsatisfactory, if work/outputs is incomplete, not delivered or for failure to meet deadlines.

10 BUDGET: ESTIMATION OF COSTS + WBS + GRANT

The overall budget is USD 130,000.

WBS: 3900/A0/08/885/001/011, grant SC200057 and non-grant

Prepared by (Unit/Section): Sevara Hamzaeva, Multi-country Evaluation Specialist

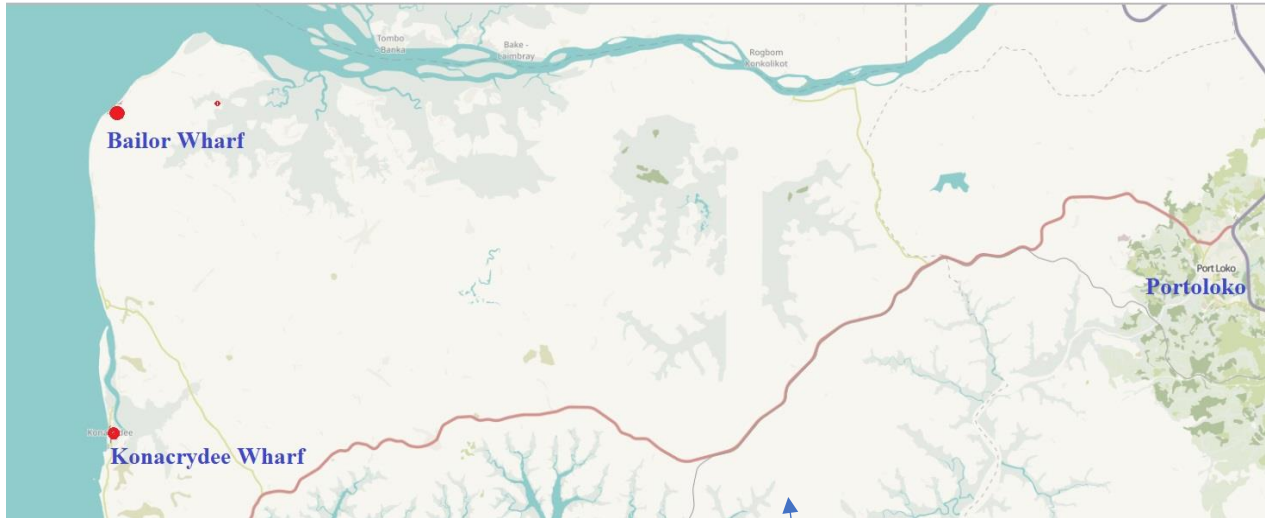
Validated by (Budget Owner/ Section): Bishnu Timilsina, Chief of WASH

Validated by (Budget Owner/ Section): Mona Korsgard, Chief Evidence, Policy and Social Protection

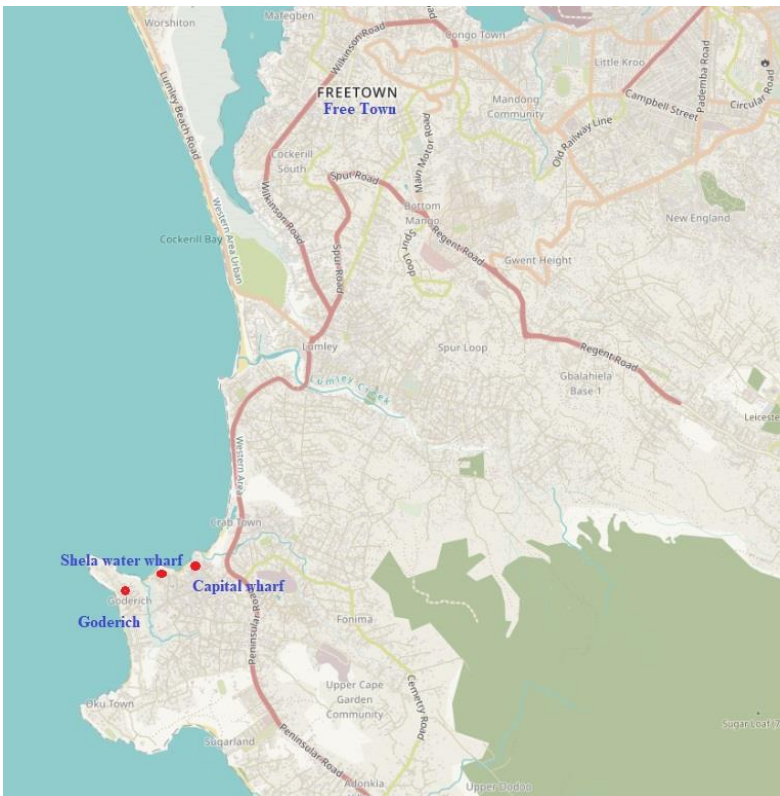
Reviewed by Supply Manager: Bervery Chawaguta

Approved by Dep Rep Programmes: Liv Elin Indreiten

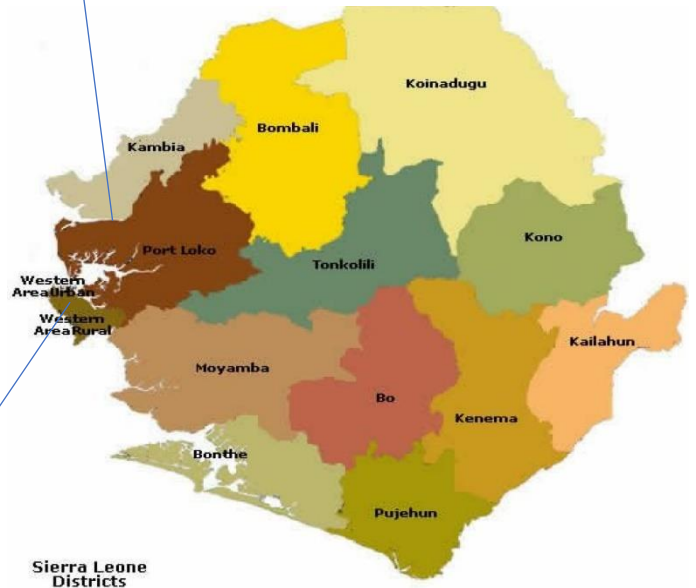
Annex I Project intervention sites



Location of Konacrydee Wharf



Location of Shela water Wharf



Sierra Leone Districts

Map of Sierra Leone

Annex II Ethical Procedures for Evaluations

The following principles¹⁶ guide the ethical procedures for evaluations conducted at UNICEF:

1. **Utility:** evaluations are designed to address and effectively serve the needs of the target groups and decision-making needs of intended users.
2. **Necessity:** evaluations are commissioned where they are necessary, and the effort justified in terms of the benefits likely to accrue from the evaluation exercise.
3. **Independence:** evaluation is free of bias. Evaluators exercise independent judgement and are not influenced by the views or statements of any party.
4. **Impartiality:** evaluations produce a comprehensive presentation of strengths and weaknesses of the policy, program, project or organizational unit being evaluated, taking due account of the views of a diverse cross-section of stakeholders.
5. **Credibility:** evaluations are based on reliable data and illustrate evidence based on verified findings, balanced judgement and lessons learned.
6. **Conflicts of Interest:** evaluators disclose in writing any past experience and their relationships, including of their families and friends to an evaluated subject.
7. **Honesty and integrity:** evaluations are conducted by evaluators who truthfully represent their level of skills, knowledge and present unbiased findings.
8. **Accountability:** responsible UNICEF Staff Members and evaluators are accountable for the completion of evaluations; ensure that evaluation expenditures are properly accounted for.
9. **Obligations to participants:** evaluators are obliged to receive consent from participants and respect their right to provide information in confidence. It is mandatory that evaluators inform participants make participants aware of the scope and limits of confidentiality. Any sensitive information must be ensured that it cannot be found by anyone, and participants are protected from retaliations.
10. **Respect for dignity and diversity:** evaluations are conducted according to UNEG ethics code of conduct, ethics procedures and with respect to different cultures, customs, religious beliefs, gender roles, disability, age and ethnicity.
11. **Human rights, equity and equality:** evaluations illustrate fair representation of vulnerable groups, gender roles and ethnic groups.
12. **Avoidance of harm:** to negative effects of evaluations on participants, evaluators prepare risk management plans to minimise unnecessary harms.

Credible evaluations represent accurate, complete and reliable findings and analysis. It is the responsibility of Programme Staff Members and Evaluation Specialist to ensure:

1. The purposes and content of evaluations are clear and precise.
2. Evaluations are conducted with methods and techniques that meet high standards and are based on validated information.
3. Evaluations present complete and fair assessment of programme's strengths and weaknesses.

¹⁶ UNEG Code of Conduct for Evaluation in the UN System, UNEG, 2008.

4. Findings, conclusions and recommendations are based on the evaluation findings only.
5. Transparent communication with stakeholders on the purpose, methodology and criteria of evaluations, and intended use of findings.
6. Evaluation reports are made accessible to the intended users and participants in relevant languages. Evaluation reports are usually made public and will be withheld from publication for justified reasons.
7. Evaluation findings are presented and discussed with stakeholders before the evaluations are completed.

Ethical considerations for remote data collection in times of COVID-19 pandemic¹⁷

Many UNICEF Country Offices are exploring virtual means to gather evidence about the impacts to and responses of the COVID-19 pandemic, given COVID-19 transmission risks related to direct person-to-person data collection. The 'do no harm' principle is priority when collecting data, as confirmed by the [Technical Note by the UNICEF Evaluation Office](#).

Innovation in using remote data collection methods is encouraged and needed. At the same time, this should not let us lose sight of ethical standards in data collection and analysis, especially in times of increased vulnerability. This note presents some ethical considerations for evidence generation when planning remote data collection. The remote data collection methods considered are surveys via phone, sms, web-based (e.g. U-Report/RapidPro) or interactive voice response (IVR). For more information about the use of these technologies see [here](#) and [here](#).

Two initial considerations:

1. [UNICEF's Procedures for Ethical Standards in Research, Evaluation, Data Collection and Analysis](#) set the standards, regardless of the methods used, when data collection involves human subjects.
2. Ethics is not just about the procedure but about being reflective about possible ethical issues within the local context, taking a step back, discussing, creating mitigation strategies and adjusting plans before heading into data collection.

Other core ethical issues to consider and some suggested practices for remote data collection:

1. Harms and benefits

- A key ethical principle is for there to be clear benefits likely to arise from the evidence generation, and any harm to be avoided for participants, particularly when contacting vulnerable groups. Therefore, at the outset the question needs to be asked whether the remote survey will actually benefit the respondents and their communities. If not, consideration must be given to the modification (considering secondary data sources) or withdrawal of the data collection.

¹⁷ This note is authored by Tom Pellens, Multi-Country Evaluation Specialist at the UNICEF Regional Office Of Sotuh Asia. The support of Gabrielle Berman, UNICEF Senior Advisor, Ethics in Evidence Generation, in its formulation is gratefully acknowledged. It is intended for the use by UNICEF offices engaged in COVID19 related evidence activities. It may be freely shared within UNICEF, with other development agencies, and with our programme partners.

- This becomes even more critical when contacting people using their personal data, like phone numbers, for reasons that have nothing to do with the intended purpose for which these phone numbers were originally provided. For example, if phone numbers of participants in existing programmes are considered as a source of contact information for a remote survey that is unrelated to the programme, the purpose for using it needs to be well justified and consent clearly requested when contacting these persons, respecting any decision not to participate or requests that their numbers not be used for these purposes. Compliance with any legal/privacy conditions related to the use of personal data as stipulated by the terms and conditions of the programme is requisite.
- Every question asked needs to have a clear purpose to contribute to intended benefit and avoid duplication of evidence, particularly given the current stressful situation respondents may be in. Keep surveys short and limit the data collected to what is absolutely necessary.

2. Personal and sensitive information

- Be cautious about asking potentially sensitive personal information or questions without clear purpose of use and benefit, especially since one cannot observe or control privacy conditions when asking questions through remote means, and the COVID-19 response measures may significantly negatively impact privacy.
- Protocols facilitating referral need to be in place when protection issues come up during phone surveys, similar to face-to-face surveys. In the case of sms/online/IVR surveys referral contact details can be mentioned at the end of the survey. Where support services or helplines are not available or unlikely to be reachable given demand, sensitive questions should not be asked.

3. Privacy and confidentiality

- When drawing on lists with contact details of participants in existing programmes, separate, if possible, the phone numbers from other identification data (e.g. names), and sample and conduct the survey based on de-identified data sets.
- If a panel survey would be valuable and more identifiable data is required, explicit consent should then be asked for follow up interviews, with clear indications of the nature, duration and frequency of these.
- Phone/sms/IVR surveys may be based on random selection of phone numbers of publicly available lists (or using a random phone number generator). These will likely be de-identified. Wherever possible and appropriate, avoid collecting personally identifiable information during the data collection process. This also applies for online surveys.¹⁸

4. Informed consent

- In respecting people's rights, informed consent must be sought when using remote means similar to any other data collection among human subjects. Practical tips in case of phone surveys can be

¹⁸ U-report data are anonymous in that the phone numbers are hidden from admin users. See [U-Report Key Principles](#).

found [here](#). When using social media for data collection, the [Innocenti Research Brief on Ethical Considerations in Using Social Media for Evidence Generation](#) includes useful ethical guidance.

- Respondents need to be able to opt out of data collection, skip questions they do not want to answer, and have their name removed from the database for any future survey. This needs to be made explicit when conducting phone interviews. SMS/IVR/Online surveys should also include such options.

5. Other

- Remote surveys can be prone to biases because some groups do not have access to the technology used, restricted sample frames or low response rates. Since accurately presenting findings is core to the integrity of the evidence generation, one should acknowledge that bias may be present and be clear about the potential lack of representativeness of the data and all potential limitations.
- Remote data collection via phones may have a financial cost for the respondents. Compensation therefore needs to be considered (e.g. via phone credit or mobile money).

Do's and Don'ts on Ethical Considerations for Involving Children in Evaluations

Do's

- ✓ **Take into account the potential for limited privacy** only ask questions that would be acceptable in low privacy settings
- ✓ **Think carefully about the sensitivity of the questions** and the potential for retraumatizing children who may not be able to access support services or informal coping mechanisms and strategies (such as hanging out with friends).
- ✓ **Think about ways of framing sensitive questions that don't require children to revisit trauma** or soften any potential negative experience (even this more indirect line of questioning should only be asked if information is absolutely critical for current service delivery or policies). I.e. Using third person language, focusing on the dynamic with the parent rather than actions "have you become closer to your parents, do your parents get frustrated a lot, have you been spending more time with your parents, are you enjoying spending more time with your family?"
- ✓ **Always include local resources** and supports in relation to the subject matter (to ensure that we are not just extracting information but also providing important information). Where local resources are not available find reputable international resources.
- ✓ **See children as resilient** and not just victims and ask questions about their strengths and how they are coping.
- ✓ **Try and encourage children to also reflect on any positive aspects** of the situation and not just the negatives.

- ✓ **Try and end any poll with hopeful or empowering questions** such as “what would you recommend that governments do to help children during times like these?”
- ✓ **Clearly frame questions in child and age-appropriate languages** and references.
- ✓ **Ensure appropriate and robust local supports and referrals** are available and accessible if you are going to ask any sensitive questions or if the poll is likely to raise further questions or concerns. This could involve having an expert available during the poll or referring children to a child helpline or helping a child to get in touch with local support services where they are available or accessible. (Provision of information is not adequate)
- ✓ **Make it clear that answering any particular question is voluntary** and that they can choose to answer all, none or some of the questions that are posed.
- ✓ **Ask children open ended questions**, particularly in relation to priorities, opinions, perspectives and experiences so that they are truly given a voice and not merely responding to our opinions, priorities and beliefs.

Do Not

- × **Use a data collection tool as a diagnostic tool**, there are sites by reputable population health organisations that provide expert advice and appropriate cautions etc. (refer children to these). This is particularly important in populations where persons cannot easily or quickly get access to tests. Being symptomatic or not (particularly for children) is not a conclusive test.
- × **Ask sensitive questions in contexts where privacy is unlikely to be available**
- × **Provide personal identifiable information from data collection tools to third parties** without the explicit permission or on the request of the child and, if not placing the child in harm’s way, and with the permission of a relevant guardian, particularly in contexts where this is legally required.
- × **Ask sensitive questions that may upset or distress a child** and for which a child may have no resources, supports or access to formal or informal coping mechanisms (such as the ability to leave the house and walk around, or to spend time with friends outside of the house or access appropriate medicines)
- × **Ask children about their direct experience of violence or abuse** in contexts for which they cannot (a) be removed or (b) receive psychosocial support or (c) may not have privacy.
- × **Ask children leading questions** about their state of mind, attitudes, experiences and perspectives.
- × **Collect any information that is not critical** or will not directly inform policy or programming. Ensure that each and every question is necessary and will be used to further the rights and wellbeing of children, particularly during this difficult time.

- × **Present evaluation findings as representative of the entire population of children.** Make clear in any report the limitations of the findings, the groups of young people that were not included and the implication in relation to findings for programming and policies of those that have been excluded.

Annex III Resources for inception and evaluation reports

The evaluation will be conducted according to UNEG (United Nations Evaluation Group) Code of Conduct for Evaluation in the UN System ().

Other documents to review before starting the evaluation are:

- UNICEF-Adapted UNEG Evaluation Report Standards. 2017: <https://www.unicef.org/media/54771/file>
- United Nations Children’s Fund. 2015. *UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis*, (<https://unicef.sharepoint.com/teams/OoR/Shared%20Documents/UNICEF%20Procedure%20on%20Ethics%20in%20Evidence%20Generation%20092015.pdf>).
- United Nations Children’s Fund. 2015. *UNICEF Procedure for Quality Assurance in Research*, (<https://unicef.sharepoint.com/teams/OoR/SiteAssets/SitePages/Procedures/UNICEF%20Procedure%20for%20Quality%20Assurance%20in%20Research.pdf>).
- Graham, A., Powell, M., Taylor, N., Anderson, D. & Fitzgerald, R. 2013. *Ethical Research Involving Children*, Florence: UNICEF Office of Research-Innocenti.
- The best UNICEF evaluation reports and good practices: https://www.unicef.org/evaluation/index_60807.html

Other useful documents:

- United Nations Evaluation Group. 2008. *Ethical Guidelines for Evaluation in the UN System*, (<http://www.uneval.org/document/detail/102>).
- United Nations Evaluation Group. 2014. *Integrating Human Rights and Gender Equality in Evaluations*, (<http://www.uneval.org/document/detail/1616>).
- United Nations Evaluation Group. 2005. *Standards for Evaluation in the UN System*, (<http://www.uneval.org/document/detail/22>);
United Nations Evaluation Group. 2005. *Norms for Evaluation in the UN System*, (<http://www.uneval.org/document/detail/21>).