L3/L2 Horn of Africa Drought Response Evaluation

Terms of Reference

(July 2023)

TITLE/PURPOSE	*Terms of Reference for the Evaluation of the UNICEF L3/L2 response to the drought in the Horn of Africa*
RECRUITING OFFICER	*Chief, Humanitarian Evaluation Portfolio, Michele Tarsilla*
CONTRACT MODALITY	*Individual Consultants Recruitment*
LOCATION OF ASSIGNMENT	*Home-based with missions to/in Kenya, Somalia, Ethiopia*
LANGUAGES REQUIRED	*English (and French for L2 desk review/Djibouti)*
DURATION OF ASSIGNMENT	*July 20, 2023 - February 15, 2024*

1) Introduction

The Horn of Africa is one of the driest geographies in the world and, although several droughts hit the region in the past, the drought that occurred in 2022-2023 is considered one of the most acute that Somalia, Ethiopia, Kenya, Eritrea and Djibouti have experienced in the last century.[1] Five consecutive dry seasons have killed livestock and crops and fueled malnutrition, as well as the incidence of disease and negative coping mechanisms of households, further exposing children to the risk of child marriage and child labor.[2]

Increasingly frequent and severe droughts, and their long-term impacts,[3] are only one of many crises affecting the region nowadays: disease outbreaks, economic instability, climatic shocks at large, migration and conflict have taken the toll on the well-being of children, their caregivers and members of entire communities all together. As a result of these concurrent and mutually reinforcing crises, millions of people are experiencing severe food insecurity, malnutrition, and lack of access to basic necessities, such as clean water and healthcare, further heightening protection risks.

To respond to the drought crisis in the Horn of Africa, UNICEF announced the activation of its **Level 3 ('L3') Corporate Emergency Activation Procedure (CEAP)** for the affected regions of Ethiopia, Kenya and Somalia, on 13 September 2022, for a period of 6 months (March 2023). In March 2023, the L3 activation

[1] NASA Earth Observatory. https://earthobservatory.nasa.gov/images/150712/worst-drought-on-record-parches-horn-of-africa#:~:text=As%20the%20end%20of%202022,raise%20livestock%2C%20and%20buy%20food.
[2] UNICEF Regional Call to Action, December 2022.
[3] As attested by the Famine Early Warning Systems Network (FEWSNET) established in 2010 to monitor weather conditions IASC Real Time Evaluation of the Humanitarian Response to the Horn of Africa Drought Crisis. Pp9.

for Ethiopia, Kenya and Somalia was eventually extended for another 6 months. Its status is expected to be reviewed again in September 2023.
The L3 activation was an upgrade from a Level 2 ('L2') UNICEF activation which had been in place for Ethiopia, Kenya and Somalia, as well as for **Djibouti and Eritrea**, since 7 April 2022.[4] The L2 activation for Djibouti and Eritrea lasted 6 months and eventually ended in October 2022.

Against this backdrop, the UNICEF Evaluation Office is launching the evaluation of the UNICEF L3/L2 response to the drought in the Horn of Africa. These Terms of Reference (ToR) provide the thinking around the evaluation that is planned to be conducted between August 2023 and December 2023.

2) Context: drought and concurrent crises

As of July 2023, more than 43M people were reported to be in need of humanitarian assistance across Ethiopia, Kenya and Somalia, 32M of which were acutely food insecure.[5] There is increasing evidence that rangelands are unable to recover from increasing drought cycles and pastoralist livelihoods may no longer be viable in many areas. As a result of the repeated droughts, severe floods have also occurred:[6] the ground soil is so starched that rainfall water, instead or being absorbed by the land, runs straight off into rivers. In Somalia, over 468,000 people have been impacted by flooding, with at least 247,000 people displaced. Ethiopia has also been affected, with more than 355,000 individuals hit by floods, primarily in Somaliland, where people were already struggling to cope with severe and prolonged drought. In Kenya, riverine and flash floods have also affected at least 163,000 people during the long rains (March-April-May 2023). [7]

Widespread floodwaters, damage to water, sanitation and hygiene (WASH) infrastructure and facilities, and large-scale displacement have all increased the risks of water-borne diseases. The sub-region continues to face multiple outbreaks of measles and cholera, which were observed to be the leading causes of children's death during past drought episodes. Across the region, some 29,000 cholera cases have been reported since 2022, according to the WHO. Kenya alone has recorded nearly 11,000 cases, including at least 2,800 cases in Dadaab Camp, as reported by MSF. Somalia and Ethiopia have both reported over 8,000 cholera cases, while Burundi, South Sudan, and Tanzania have also reported cases.[8]

The responses to such public health emergencies have been hindered by the disrupted supply chains and limited access to essential medical supplies and equipment. Affected populations have equally suffered from the effects of the COVID-19 pandemic and climate change, which is caused by drought itself, and has resulted in devastating intermittent floods, and locust outbreaks.

[4] Humanitarian Knowledge Resources - Activation of UNICEF Corporate Emergency Level 2 Scale-up Procedure for the Horn of Africa drought crisis (Somalia, Ethiopia, Kenya, Eritrea, and Djibouti) - from 7 April 2022 to 7 October 2022.pdf - All Documents (sharepoint.com)
[5] "Crisis in the Horn of Africa" (14 July 2023) Found online: https://reliefweb.int/report/ethiopia/crisis-horn-africa
[6] Horn of Africa: Over 7 million children under the age of 5 remain malnourished across Ethiopia, Kenya and Somalia (unicef.org)
[7] Eastern Africa: Regional Flood Snapshot (June 2023) Found online: https://reliefweb.int/report/ethiopia/eastern-africa-regional-flood-snapshot-june-2023.
[8] Eastern Africa: Regional Flood Snapshot (June 2023) Found online: https://reliefweb.int/report/ethiopia/eastern-africa-regional-flood-snapshot-june-2023.

The situation is further worsened by the security situation in the region, which has caused 474,000 people to be displaced in 2023. Decades of conflict have put children at heightened risk of death or being maimed by small arms and unexploded ordnance. Two reports were recently issued revealing that 22 children had lost their lives due to explosions caused by remnants of war.[9] Similarly in Ethiopia, escalating conflict in May 2023, led to the closures of schools, motivated migration from other parts of Ethiopia and Sudan.[10]

Access and security constraints continue to hamper the delivery of humanitarian aid in Somalia and Ethiopia, posing equally serious risks to UNICEF staff and partners.

3) Overview of the UNICEF response to the drought

UNICEF launches a **L3 or L2 CEAP** on the basis of the scale of the crisis, its urgency and complexity, as well as the capacity of affected Regional Offices (ROs) and Country Offices (COs). In a L3 emergency, the UNICEF Executive Director declares an organization-wide mobilization to scale-up and respond and appoints a Global Emergency Coordinator (GEC) who coordinates the L3 secretariat at HQ level. The GEC is the Director of the UNICEF Emergency Operations Division (EMOPS), at least during the initial months of the response. RO support to the CO is enhanced in a L3 response. In a L2 emergency, COs need additional support from other parts of the organization to scale up and respond. In this case the Regional Director (RD) provides leadership and RO support is enhanced.

The UNICEF CEAP complements the **UNICEF Core Commitments for Children (CCCs)** and highlights 'specific simplifications that supersede global policies and procedures that would otherwise apply in non-emergency contexts.' The mandatory Emergency Procedures (EPs) include a 'package of minimum actions and simplifications' which aim to make UNICEF more 'predictable, timely and efficient in its coordination, response and advocacy.' They apply to and have direct implications for a range of UNICEF functions.[11] In December 2021, UNICEF issued a new set of simplified and streamlined procedures that apply to L1, L2 and L3 emergencies.[12]

In February 2022, prior to the L2 activation for Ethiopia, Kenya, Somalia, Eritrea and Djibouti, UNICEF launched a humanitarian appeal ('**Regional Call to Action**'), to provide urgent **life-saving and climate resilient support** to affected people across these five countries. Since then, various iterations of the Call to Action were released, the most recent one in December 2022, when UNICEF appealed for **$759 million** to provide urgent life-saving support to 16.6 million high-risk people, including 12.2 million high-risk children in Ethiopia, Kenya, and Somalia, and an **additional $689.6 million** for climate-sensitive resilience support until 2024. The following figure illustrates the locations that UNICEF is prioritizing in its drought response.

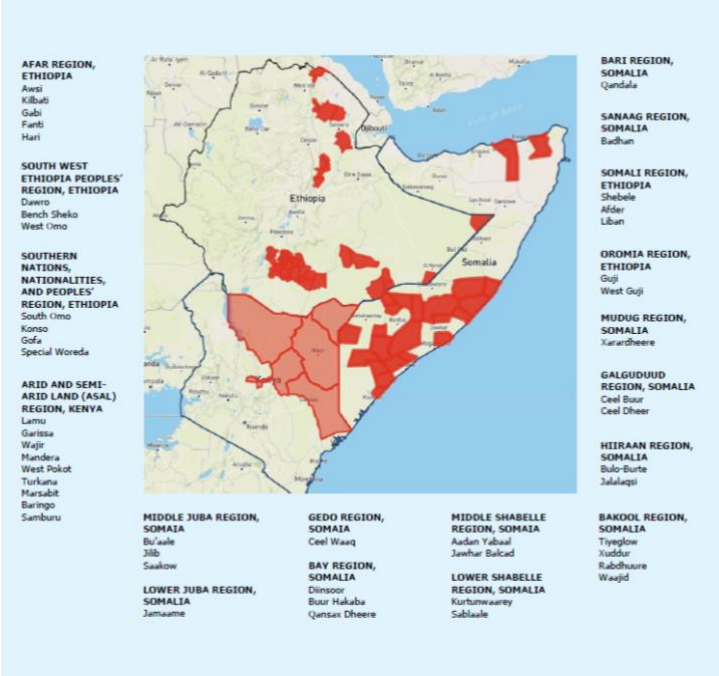
[9] Somalia Sitrep no 5. (May 2023)

[10] May 2023, UNICEF Ethiopia Sitrep.

[11] Including: Emergency Coordination; Humanitarian Risk Management; Humanitarian Assessments, Planning, Monitoring, Reporting and Evaluation; Resource Mobilization (RM); Communications and Humanitarian Advocacy; Humanitarian Access; Accountability to Affected Populations (AAP); Child Safeguarding and Protection from Sexual Exploitation and Abuse (PSEA); Sector/Cluster Coordination; Implementation Modalities: Partnerships; Alternative Implementation Modalities (including Direct Implementation); Humanitarian Cash Transfers (HCT); Human Resources (HR); Supply and Logistics; Operations, Administration and Finance; Information and Communications Technology (ICT); Security Risk Management (SRM).

[12] See Guidance Handbook in L1, L2 and L3 emergencies – Simplified and Streamlined for every emergency L1, L2 and L3 (UNICEF, December 2021).

Figure 1: Priority locations of UNICEF drought response (Regional Call to Action)



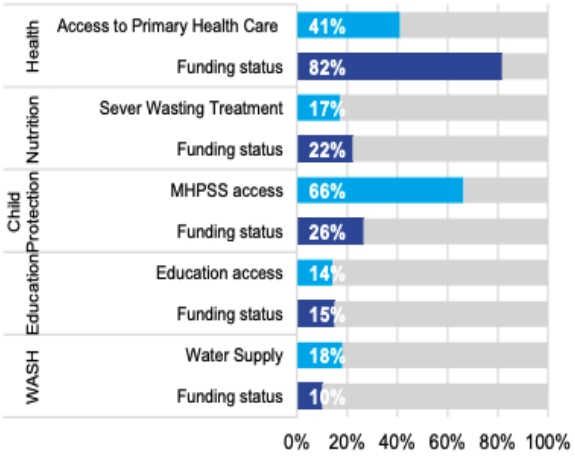
Source: UNICEF Regional Call to Action (December 2022)

In its response to the drought UNICEF reaffirmed its commitment to a '**no-regrets**' approach. The approach "encompasses preparations, anticipatory actions and response interventions that can be justified, whether or not foreseen events eventually take place."[13] On the ground, "this means the organization will err on the side of investing in, securing, pre -positioning and deploying more capacity and mobilizing more resources in support of the response, even if this proves to have been unnecessary after the fact."[14]

As of May 2023, donors had **only funded 17%** of the required amount to respond to the crisis.[15] Most of the funding had been allocated to the purchase of emergency nutrition supplies; other key sectors, such as child protection, education and WASH have struggled to attract resources. Figures 3, 4 and 5 provide a snapshot of the **funding status**, as of May 2023, across the key programmatic areas of the response in Somalia, Ethiopia and Kenya, alongside UNICEF's **progress vis-a'-vis target indicators**. Further details can be found in the following documents: UNICEF Ethiopia SitRep May 2023 ; UNICEF Kenya SitRep May 2023; UNICEF Somalia SitRep May 2023.

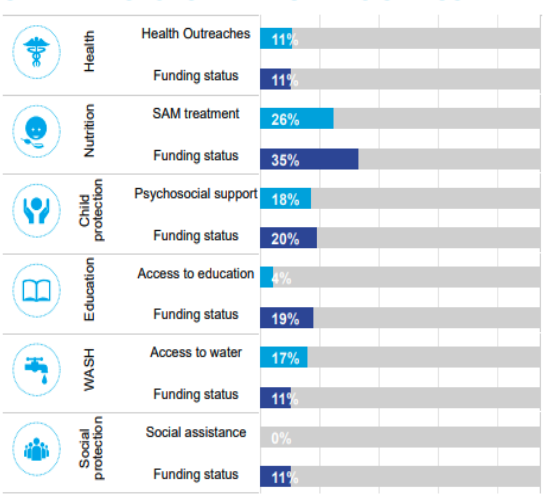
[13] UNICEF Executive Board : Update on Humanitarian action (7-10 February 2023). Found at https://www.unicef.org/executiveboard/media/14446/file/2023-EB3-Humanitarian_Action-EN-2022.12.12.pdf
[14] UNICEF Executive Board : Update on Humanitarian action (8-11 February 2022). Found at https://www.unicef.org/executiveboard/media/8896/file/2022-EB3-Humanitarian_action-EN-2021.12.27.pdf
[15] UNICEF: Horn of Africa Drought Situation and Overview (May 2023). Found at https://www.unicef.org/media/142876/file/ESARO-Horn-of-Africa-Situation-and-Response-Dashboard-(Drought)-May-2023.pdf

Figure 2 – UNICEF response and funding status (Ethiopia)



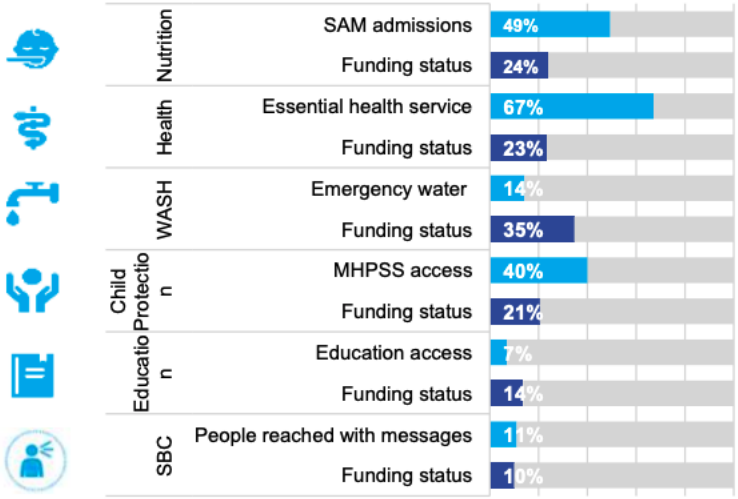
Source: UNICEF Ethiopia Sitrep (May 2023)

Figure 3 – UNICEF response and funding status (Kenya)



Source: UNICEF Kenya Sitrep (May 2023)

Figure 4 - UNICEF response and funding status (Somalia)



Source: UNICEF Somalia Sitrep (May 2023)

4) Evaluation Purpose

The evaluation is intended to serve both accountability and learning purposes. It fulfils the **requirement of the UNICEF Evaluation Policy (2018, and forthcoming 2023 revision)** whereby all L3 emergencies must be evaluated and, as such, is expected to account for the results and resources employed in the course of the response to the UNICEF Executive Board, funding partners and communities - including boys, girls, women, caregivers affected by the drought.

On the learning front, the evaluation is expected to provide the concerned UNICEF Country Offices (Ethiopia, Somalia, Kenya, Djibouti and Eritrea), the East and Africa Regional Office (ESARO) and HQ divisions (as well as actors on the ground) with robust evidence to **support programming strategy and operational planning, while also more directly shaping the on-going drought response in the Horn of Africa**. The evaluation also aims to distill **lessons learned** and generate **actionable recommendations** to inform UNICEF efforts across **future L3 emergencies** (for instance, with respect to UNICEF policies, Emergency Procedures, guidance, and systems). This is all the more relevant given the imminent/forthcoming new appointments in UNICEF leadership (i.e. EMOPS Director and Regional Director for ESARO).

Given the contextual differences of the countries affected by the drought, the evaluation is expected to distil lessons for **each context**, as feasible, while also generating insights that account for the **cross-regional** nature of the response and the **multi-faceted and concurrent crises** that affect the region.

The following table outlines the list of the key evaluation stakeholders (hereby referred as 'evaluation users') and the different ways in which they are expected to use the evaluation's findings, conclusions and recommendations. The table is expected to be refined further during the inception phase. By providing clarity on the expected uses of the evaluation, the table will facilitate the evaluation team in the generation of recommendations that are relevant and useful to UNICEF.

Table 1: Evaluation's Expected Users and Uses

Expected Users	**Expected Uses** *(to what end the different evaluation stakeholders will use the evaluation findings, conclusions and recommendations)*
UNICEF CO/FO	
• UNCEF Country Offices/ Ethiopia, Kenya, Somalia, Eritrea and Djibouti	• Enhance programming decisions, targeting, and prioritization to ensure that the needs of the most vulnerable are being met, and that UNICEF's value proposition is being maximized • Enhance efforts in resource mobilization, advocacy strategy, stakeholder relations and negotiating capacity for access in country • Better monitor and balance risks with the need to implement a "No Regrets" approach, as well as the desire to implement efficiently and effectively. • Make the response 'fit for purpose' given the rapidly evolving context • Enhance the country-level advocacy and resource mobilization strategy
• UNICEF Field Offices in affected countries: Ethiopia, Kenya, Somalia, Eritrea and Djibouti	
UNICEF Regional Office (ESARO)	
• Senior Management and Sections	Overall use: • Prioritize technical support to concerned CO • Enhance RO advocacy and resource mobilization strategy • Adapt RO engagement with regional partners to make the response 'fit for purpose' given the rapidly evolving context

Expected Users	Expected Uses *(to what end the different evaluation stakeholders will use the evaluation findings, conclusions and recommendations)*
	• Mainstream good practices and lessons learned in future programming and technical assistance work
UNICEF HQ	
• UNICEF Office of Emergency Operations (EMOPS) • UNICEF Programme Group (PG) • Data, Analytics, Planning and Monitoring (DAPM) • Private Fundraising and Partnerships (PFP) • Public Partnerships Division (PPD) • Division of Human Resources (DHR) and Supply Division (SD) • Advocacy/Communication • Others, as appropriate	Overall use: • Enhance UNICEF accountability for the effectiveness of a corporate L3 response vis-à-vis the affected populations, donors and the Executive board • Mainstream good practices and lessons learned in future programming and technical assistance work • Improve/adapt policies, procedures and practices (including technical support to RO and CO) in emergency response • Prioritize technical support to concerned CO • Enhance HQ advocacy and resource mobilization strategy
• Host Governments – Ethiopia, Kenya, Somalia	• Learn from the UNICEF experience to better prepare for future emergencies
• Members of the Affected Population	• Learn how well UNICEF delivered on the response and how information provided fed into the findings • Share messages/insights across their networks, apply learning to preparedness activities in the future, inform the next emergency
Other UN agencies, NGOs, and interested Member States	Overall use: • Build on lessons learned and replicate good practices identified during the evaluation to increase the effectiveness and efficiency of the work of UNICEF and other local humanitarian actors
Donors	• Understand the degree to which UNICEF is learning from the response and that the funds provided are directed and used as intended • Recognize the limitations of the response in light of funding gaps and future needs • Inform future orientations and budget allocations of respective Member States
UNICEF Executive Board	• Confirm whether UNICEF chose the right corporate priorities for the L3 • Learn whether the response was aligned with UNICEF's mission and policies; how it can improve in the future

5) Evaluation Objectives

The **objective** of this evaluation is to provide a comprehensive assessment of UNICEF's overall response to the drought-affected areas in the Horn of Africa since the L2 activation in April 2022 (for Ethiopia,

Kenya, Somalia, Djibouti and Eritrea) and the subsequent upgrade to the L3 activation for Ethiopia, Kenya and Somalia in September 2022.

The evaluation, more specifically, aims to gauge the response **against UNICEF's mandate, corporate commitments (CCCs, including quality), stated objectives and humanitarian evaluation criteria,** including: relevance/ appropriateness, effectiveness, efficiency, coherence/ coordination, coverage, and sustainability/connectedness. The evaluation will also attempt to gauge, as feasible, some of the **key outcomes** of the response.

Specific objectives of the evaluation include the following:

1. Assess the extent to which UNICEF adhered, both operationally and programmatically, to the **Core Commitments for Children in Humanitarian Action** (CCCs), and demonstrated its commitment to the **Protection from Sexual Exploitation and Abuse** (PSEA) across its programming and throughout the response;
2. Examine the extent to which the UNICEF response not only attained its envisaged targets but also **effectively and efficiently responded** to the actual humanitarian needs of the most affected populations on the ground in a **timely and integrated manner,** by also identifying gaps and appropriate strategies to improve operational coverage, quality and effectiveness. The evaluation will also aim to understand the extent to which AAP was mainstreamed in to programming and effective mechanisms were put in place to respond to local community concerns;
3. Assess the extent to which **the Emergency Procedures (EPs)** have been applied/implemented and have supported the response. This implies assessing the use of the simplifications and streamlined processes required by the EPs (the removal of locally developed rules, SOP, etc.) and the extent to which the simplifications were effective in supporting a timelier response. The assessment of the level of application of the EPs should also take into consideration the use of UNICEF's "**no regrets**" approach according to operational, programmatic, contextual and institutional risks;
4. Assess the extent to which emergency **preparedness, early warning** systems and organizational readiness have enabled the COs to respond more effectively, including through the incorporation of humanitarian lessons learned, the use and deployment of the Emergency Preparedness Platform (EPP)HR/surge capacities, and the establishment of social protection/shock responsive systems and risk management measures. In gauging preparedness, the evaluation is also expected to assess the extent to which the **previous L2 activation helped the scale up and the L3 response**;
5. Examine the factors (both internal and external to UNICEF) that have either enabled or hindered the response (e.g. the **IASC system-wide scale-up**, **the EPs, the previous L2 CEAP, access/security constraints**, other crises, affecting the regions, concurrent to the drought etc.) ;
6. Assess the extent to which HQ, RO and the concerned COs coordinated with each other vertically (across different levels of the Organization) and horizontally (among their respective division/sections) towards the successful implementation of the response;
7. Examine the extent to which the COs have **systematically and meaningfully integrated gender, equity, disability, the centrality of protection and climate change considerations** during the design, implementation and monitoring of the response. The evaluation should be informative about how the drought and its subsequent effects have affected different categories of people and the extent to which UNICEF has, in turn, incorporated this knowledge in its response.
8. Assess the extent to which UNICEF demonstrated robust **leadership** across its efforts, including vis-à-vis its **cluster lead agency role (CLA)**; and how well it has **coordinated and collaborated** with partners and authorities; and
9. Gauge UNICEF's **advocacy role** and engagement at the **inter-agency level** and broader context.

Based on the above, the evaluation is expected to identify gaps, distil lessons and make recommendations for adjusting and improving **preparedness and response for a timelier, more efficient and equitable** provision of assistance/service delivery which, in turn, will better meet the needs of children, and reduce their vulnerabilities and risks. By identifying areas that require more focus in the near future, the evaluation is expected to have an instrumental role in informing donors' funding of the response.

6) Evaluation Scope

Geographic and Chronological Scope: The evaluation will cover the overall UNICEF response to the L3 emergency in Ethiopia, Kenya and Somalia from the time immediately preceding its activation in September 2022, until the time of data collection. It will also cover the UNICEF L2 response in Eritrea, Djibouti, Ethiopia, Kenya and Somalia over the period 7 April-12 October 2022.

Thematic scope: The evaluation will cover all of UNICEF's key programmatic areas engaged in preparedness and response efforts (WASH, Education, RCCE, Child Protection, Social protection, Nutrition, Health and SBC). It will also assess, from an operational standpoint, the availability and management of supplies, human and financial resources and partnerships 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, as well as its responsibilities to respond to the needs of affected populations in sectors where it has no cluster leadership obligations.

It is worth noting that the depth of the analysis will be contingent on the timing of this exercise. As explained further in the methodological section, the evaluation will entail real-time data analysis with ongoing validation of findings by members of the affected population and key evaluation stakeholders/users.

Geographic Scope: The evaluation will cover the drought affected regions of Ethiopia, Kenya and Somalia (L3 and L2) and Eritrea and Djibouti (L2). Primary data collection in the L3 countries (Ethiopia, Somalia and Kenya) will be undertaken, as feasible, given security/access constraints, in a selected number of sites that will be determined in collaboration with the concerned UNICEF COs. No primary data collection will take place in Eritrea and Djibouti (only a desk review).

7) Evaluation Criteria

In line with its intended purposes and objectives, the evaluation will focus on the following evaluative criteria:

- **Relevance/appropriateness**: the evaluation will reflect on the extent to which the UNICEF programmatic and operational response to the drought in the HoA was aligned with the needs of local populations, as well as the CCC requirements, humanitarian principles and the Emergency Procedures' mandatory actions and simplifications.
- **Efficiency:** the evaluation will gauge the extent to which the quantity, quality and timeliness of the financial, human and physical resources used in the response were justified (especially when compared with other similar interventions) and the extent to which they contributed to the attainment of the response's expected objectives.[16] As part of this analysis, the evaluation will

[16] Evaluation of Protection in Humanitarian Action, ANLAP, (2018).

weigh these considerations against the 'no-regret's approach taken throughout the response. In addition, the evaluation will look at the timeliness of the response and the allocation of specific duties and responsibilities that were put in place, assessing the rationale for delegating tasks to individuals in key areas such as internal and external communication, coordination and collaboration;

- **Effectiveness:** the evaluation will assess the extent to which the response attained its expected objectives /outcomes;[17] and will look at the factors (internal and external to UNICEF) that affected the performance of the overall response;
- **Coherence/coordination:** the evaluation will examine the extent to which UNICEF coordinated effectively internally (including across different levels of the organization), as well with and vis-a'-vis other humanitarian partners/actors. The evaluation will also gauge if and how the response was consistent with the wider goals and frameworks in concerned countries and across the region, including in the context of the response to other concurrent emergencies (e.g. cholera, conflict, displacement etc.);
- **Coverage:** the evaluation will look at how successful UNICEF has been in reaching the most vulnerable groups of the population; and highlight any limitations in delivery; and
- **Connectedness/sustainability:** the evaluation will assess the extent to which the response was carried out in a context that takes longer-term and interconnected problems into (nexus).

8) Evaluation Questions

In line with the evaluation criteria, and the evaluation's expected purpose and objectives outlined above, the evaluation will address the questions outlined in the following table. The questions are indicative and may be further refined during the inception phase.

Criterion	Questions
1. Relevance / Appropriateness	1.1. How well have UNICEF's **preparedness** efforts informed and supported the delivery of the response? • What preparedness measures had the EMOPS/RO and the five UNICEF COs (Ethiopia, Kenya and Somalia; Eritrea and Djibouti) undertaken prior to the L2 activation? To what extent did these measures facilitate the response? • To what extent did early warning systems inform the UNICEF preparedness plans? 1.2 How well has UNICEF identified, managed and mitigated **risks** in its response (including relatively to its 'scale-up' response and the increased level of scrutiny deriving from it) and to the affected populations, children in particular? *[n.b. consider also in light of recent news of aid diversion in Somalia and post-delivery aid diversion in Ethiopia]* 1.3 To what extent was the design of the response and related interventions **aligned with the CCCs**?

[17] Evaluation of Humanitarian Action Guide Sept 2016. Found at: https://www.alnap.org/help-library/evaluation-of-humanitarian-action-eha-guide

Criterion	Questions
	1.4 To what extent was the response planned and adapted over time to meet the **needs of the affected population**? *(consider also in light of El-Nino, growing inflation etc.)?* 1.5 How consistently and accurately have **needs been assessed** at the outset and during the response, including with the participation of the affected populations? • To what extent has programming drawn on a viable base of timely evidence, supported by ongoing monitoring? • To what extent were investments made in gender evidence and analysis? 1.6. To what extent was the design of the response and related interventions compliant **with UNICEF Emergency Procedures (EP)**? • To what extent were the EPs known, used and relevant to the successful implementation of the response? 1.7 **To what extent were issues of gender**, **disability inclusion, equity and protection** systematically and meaningfully integrated in the design, implementation and monitoring of interventions?
2 Efficiency	2.1. To what extent has the response allocated resources (financial; human /including through surge and repurposing of staff; and physical /goods/supplies) that were: a) Sufficient in number b) Adequate in quality and distribution c) Timely in deployment/distribution? 2.2. What could have been done differently to maximize the resources made available for the response? 2.3. In light of evolving needs on the ground, adapting roles, structures and infrastructure may take place. What has been the costs (financial or otherwise) or benefits of making such adjustments? 2.4. To what extent did the different funding mechanisms and conditionalities/allocation modalities influence the timeliness or cost of interventions? 2.5 To what extent was the response timely? 2.6 To what extent was the response cost-effective, while also adhering to the no-regrets approach? 2.7 To what extent did the simplifications, prioritizations and streamlined processes requested by the Emergency Procedures contribute to a timelier and more efficient response?
3. Coverage	3.1 To what extent has UNICEF been able to **reach the most vulnerable** (children in needs, children with disabilities,

Criterion	Questions
	communities in hard-to-reach areas; IDPs; unaccompanied/separated children;, vulnerable populations in hard to reach areas) also in light of security/access constraints and risk mitigation needs?
4. Effectiveness	4.1. To what extent did the response achieve its (intended **targets and) overall objectives**, including to coverage and quality? 4.2. What were the factors (internal and external to UNICEF) that affected the performance of the response? • What role (if any) did the following have in facilitating/hampering the UNICEF scale-up response to the drought: system-wide (IASC) scale up; EPs; L2 CEAP; L3 CEAP; access/security constraints; concurrent crises in the region? 4.3. What were the unexpected outcomes (both positive and negative), if any, of the response? 4.4. What key factors influenced the leadership's effectiveness during the response (both internal and external factors)? 4.5 To what extent was the community (especially women and girls and other vulnerable groups) informed, involved and took part in the different stages of the response? • To what extent did communities have the opportunity to share **feedback and complaints** and was feedback, in turn, acted upon? • How accessible and safe were these mechanisms, (including for PSEA), also in light of the different cultural and security specificities of each context?
5. Coherence/coordination	5.1. To what extent has UNICEF **collaborated and coordinated** with partners (IPs, authorities, other UN agencies) in responding to the emergency? • In the context of collaborating with partners, what were the main strengths and weaknesses exhibited by UNICEF? 5.2. To what extent have **HQ, Regional Office and the concerned Country Offices** coordinated with each other vertically (across different levels of the Organization) as well as horizontally (among their respective division/sections) and towards the successful implementation of the response? 5.3. How well has UNICEF fulfilled its **cluster lead/co-lead agency** role and responsibilities (not only in terms of coordination but also in terms of strategic visioning/leadership?) 5.4 To what extent was the response at country-level consistent with and integrated within the **cross-regional** dimension/framework?

Criterion	Questions
	5.5. To what extent and in what ways was the drought response integrated into/consistent with the broader response to **concurrent emergencies** that are affecting the HoA, including conflict, grave violations, displacement etc.?
6.Connectedness/sustainability	6.1. To what extent is the UNICEF response addressing the immediate humanitarian needs, while also supporting the achievement of **long-term development goals** to reduce the needs, vulnerabilities and risks for children? 6.2. To what degree has UNICEF's response to the Horn of Africa drought contributed to strengthening preparedness, resilience and response efforts among: **a) national governments; b) local organizations; and c) communities**? 6.3. To what extent has the response fostered partnerships with international and local communities? 6.4. To what extent is resilience strengthening built into the system for early recovery?

9) Approach

The evaluation is conceived as one **multi-country evaluation**, with a **primary focus** on the drought-affected areas of the Horn for which the L3 was activated, following the upgrade from the L2 CEAP (Ethiopia, Kenya and Somalia) and a **secondary focus** on Eritrea and Djibouti (L2 CEAP).

The **qualitative data collection** of the evaluation will be grounded in a series of **case studies** which will be conducted at the community level and rooted in a participatory component referred to as "**agile participatory approach.**"

⇒ The '**participatory agile'** approach will entail engaging with and leveraging the expertise of members of the affected population and national authorities with a view to promote, in a consultative manner, close to real-time sensemaking of insights that will be generated through data collection. It is an innovative approach that promotes the localization of evidence generation and accountability to affected populations in ways that other conventional evaluation approaches are unable to do and thus attempts to 'give back' to those same communities as well. Further, while identifying real-time challenges and opportunities for corrective action, the approach has also the potential to generate strategically and operationally- relevant learning as the response to the drought unfolds and evolves.

⇒ A series of **case studies** will be generated across Ethiopia, Kenya and Somalia. The case study data collection will be conducted by pairs of evaluators/researchers (Team 1, Team 2) assigned to different sites. In each of the 3 countries, approximately 4 communities affected by the drought will be selected for data collection, which will be comprised of interviews and focus groups with key individuals. This data will complement other methods employed (for more details, please see below).

While the evaluation may not directly inform the planning of the Somalia CO Mid-Term Review (MTR) process, since the two processes will unfold concurrently, it should nonetheless benefit from the CO's staff disposition to reflect on achievements and areas of improvement of the response.

10) Methodology

The evaluation will use a **mixed methods approach** i.e., will rely on the combined use of qualitative and quantitative approaches to answer the evaluation questions.

Key methods will include the following:

- ⇒ **A desk review** of secondary resources, including relevant administrative data and documents from UNICEF HQ, ROs and COs, as well as the IASC and OCHA. In the case of UNICEF internal resources, these will include the following: UNICEF Humanitarian Action for Children (HAC); Sitreps; Country Office Annual Reports (COARs); Annual Management Plans (AMPs); Country Programme Documents (CPDs); workplans; contingency plans; audit reports; risk assessment reports, sectoral and functional monitoring data (e.g. HR/DPAM/Supply Division etc. from Insight). This method will cover all 5 countries in the Horn of Africa (Somalia, Ethiopia, Kenya, Eritrea, Djibouti)
- ⇒ **Case studies** which will include interviews and focus groups in aprox 4 communities per L3 country (exact numbers and typologies to be outlined in the inception report) [*n.b. Methods employed in the case studies may be subject to adjustment in the inception phase. Child-friendly methods may be used, as feasible and relevant (including, body mapping and community mapping]*
    - Given the aim to keep the data collection highly participatory, the evaluation will gather the views of diverse stakeholders/social groups identified within the affected population. To this end and to the extent possible, special consideration will be placed on gathering inputs from the most vulnerable (e.g., displaced populations; people with disabilities; hard-to reach communities; populations who have remained in their places of origin; unaccompanied/separated children; returnees; resettled communities etc.).
- ⇒ **Key- informant Interviews (KIIs) and Focus Group Discussions (FGDs)** with key individuals involved in the humanitarian response will include:
    - UNICEF representatives at HQ, ROs, COs, FOs;
    - Local governmental authorities;
    - Implementing partners;
    - Other humanitarian stakeholders
    - Local community members (women, youth, children ?)/ leaders
- ⇒ An **online survey** of key staff and implementing partners (this will be especially relevant in those area where field visits will not be possible due to security issues)
- ⇒ **Analyses of external admin** data/secondary datasets (e.g. DHS, satellite data for climate shocks etc.), depending on availability; correlation analyses with UNICEF activities/financial investments could be explored (tbc); and
- ⇒ Analysis of data from existing AAP mechanisms, if present/as feasible.

The feasibility of using complementary data sources (e.g., U-Report, interactive voice recording and geo-spatial data) will be explored. The feasibility of assessing outcomes in a robust way will also be examined during the inception phase of the evaluation.

Primary data collection and subsequent analysis will be **sex and age-disaggregated** to the extent possible, so as to guarantee inclusion, accuracy and credibility of the evaluation's findings.

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 a series of briefings with stakeholders.

Upon completion of the fieldwork in Ethiopia, Kenya and Somalia, an **exit workshop/briefing** will be organized to allow for a participatory validation of some the key preliminary findings. This will support the correction of any factual errors presented by the evaluation team as well as the sharing of additional material and resources that may help the evaluation team in drafting the evaluation report.

11) Norms & Standards

The management and conduct of this evaluation will be consistent with the United Nations Evaluation Group (UNEG) Norms and Standards,[18] the UNEG Ethical Guidelines[19] and UNEG Code of Conduct,[20]the UNICEF Procedure on Ethical Standards in Research, Evaluation and Data Collection and Analysis,[21] the UNICEF guidance on gender integration in evaluation,[22] UNICEF Disability-Inclusive Evaluations guidance,[23]the CCCs, the Sphere standards,[24]the UNEG guidance on integrating human rights and gender equality[25] and UN System-Wide Action Plan (UN-SWAP) on gender equality.[26]In this vein, in addition to adhering to established norms and standards for evaluating programs, the evaluation will be grounded in the following principles:

- **Respect for rights of individuals and institutions**: The evaluation team will accord informants the opportunity to participate voluntarily, while maintaining their anonymity, and to make an independent decision to participate without pressure or fear of penalty (informed consent/assent). Also, interviewers will assure respondents that information would be confidential, and that reports would be written such that responses/ contributions would not be traced back to them. Interview notes and any recordings will be accessible to the team members only.
- **Respect for cultural identities and sensitivities:** Variances in ethnicities, culture, religious beliefs, gender, disability, age will be respected. As a result, evaluation processes will be mindful of cultural settings, developmental status and evolving capacities/ages of children and other stakeholders, and the needs of the respondents and rights-holders that programmes are supposed to serve.
- **Professional responsibilities and obligations of evaluators:** The evaluation team will exercise independent judgement and operate in an impartial and unbiased manner. During data collection, any sensitive issues and concerns will be addressed through the appropriate mechanisms and

[18] http://www.unevaluation.org/document/detail/1914
[19] http://www.unevaluation.org/document/detail/2866
[20] http://www.unevaluation.org/document/detail/100
[21] https://gdc.unicef.org/resource/unicef-procedure-ethical-standards-research-evaluation-data-collection-and-analysis
[22]https://www.unicef.org/evaluation/media/1226/file/UNICEF%20Guidance%20on%20Gender%20(Full%20version).pdf
[23] https://www.unicef.org/evaluation/media/2866/file/Disability-Inclusive%20Evaluations%20in%20UNICEF:%20Guideline%20for%20Achieving%20UNDIS%20Standards.pdf
[24] https://spherestandards.org/
[25] http://www.uneval.org/document/detail/980
[26] https://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability

referral pathways. A protection protocol will be in place for each setting where data collection involves children and community members.

- **"Do no harm"**: Adherence to the "do no harm" principle will be required when interacting with all groups of informants. Special attention should also be paid in situations where the evaluators interact with children and young people.

As per the UNICEF Evaluation Office's standard procedure, the evaluation design and research protocol will undergo **ethical review** during the inception phase. Ethical approval will be sought from the UNICEF Institutional Review Board or designated subsidiary prior to implementation.

12) Team Composition

The evaluation will be conducted by a highly qualified team of external consultants, comprising 5 international and 8 national consultants. The Evaluation Team Leader in this evaluation will be the Chief of the Humanitarian Evaluation Portfolio (HEP)[27] (EO staff member) and will be accompanied by the following:

- 1 senior evaluator with a strong community engagement background;
- 1 senior evaluator with demonstrated experience in analytical review and synthesis of large datasets and programmatic documents;
- 1 senior WASH and climate resilience consultant, who will be responsible for covering the evaluation questions more directly related to environmental issues;
- 1 international consultant Who will take the lead on the desk review in the L2 countries (Eritrea and Djibouti); and
- 2 national consultants in Kenya and Ethiopia and 4 national consultants in Somalia.

The following table summarizes the team composition described above:

1)	International Team Lead Consultant
2)	International Senior Consultant (Humanitarian Evaluation and Community Engagement Expert)
3)	International Senior Consultant (Emergency & Synthesis of Findings Expert)
4)	International Consultant (WASH and Climate Resilience)
5)	International Consultant (L2 Desk Review)
6)	4 National Consultants (Somalia)
7)	2 National Consultants (Ethiopia)
8)	2 National Consultants (Kenya)

Below are the required qualifications and expertise envisaged for each team member.

1) Team Leader (HEP Chief/Evaluation Office Staff)

Required qualifications and expertise of team leader:

[27] Embedding the chief of section (EO) in the evaluation, as the team leader, is a way to contain the costs of the exercise, given existing budget constraints. This arrangement is common practice across other UN Evaluation Offices (e.g. UNDP, OIOS). A different EO staff member (from the HEP team) will be responsible for the management of the evaluation.

- Extensive experience leading multi-disciplinary evaluations with a focus on humanitarian action
- Prior experience in undertaking similar evaluations in the African region will be an asset
- In-depth knowledge of evaluation methodologies and mixed-method approaches
- Knowledge of the UN system, UN programming and UNICEF emergency responses, including of its corporate emergency procedures preferred
- Excellent analytical, communication and drafting writing skills (English a must, other UN languages considered an asset)
- Proven experience managing a team of international and national consultants

2) **<u>International Consultant (Senior Consultant /Humanitarian Evaluation and Community Engagement Expert)</u>**

Required qualifications and expertise of the team members (senior/mid-level experts):

- Previous experience conducting/ contributing to multi-disciplinary humanitarian evaluations and/or research assignments on the topic of drought/ resilience/climate change in Africa
- Knowledge of evaluation methodologies and mixed-method approaches
- Strong track record in supporting processes of evidence generation through innovative participatory approaches and methodologies
- Experience with facilitative approaches for dissemination of findings
- Strong data visualization and communication skills
- Strong ability to rationalize and process quantitative and qualitative data, including through the use of dedicated analytical tools and software
- Knowledge of the UN system, UN programming and UNICEF emergency responses considered a plus
- Solid analytical, communication and drafting writing skills (English a must, other UN languages considered an asset

3) **<u>International Consultant (Senior Consultant/ Synthesis of Findings Expert)</u>**

Required qualifications and expertise of the team members (senior/mid-level experts):

- Experience conducting/ contributing to multi-disciplinary humanitarian evaluations and/or research assignments
- Knowledge of evaluation methodologies and mixed-method approaches
- Strong analytical, synthesis and reporting skills, including the ability to distil trends from secondary evidence and craft key messaging to a variety of audiences
- Knowledge of the UN system, UN programming and UNICEF emergency responses considered a plus
- Solid analytical, communication and drafting writing skills (English a must, other UN languages considered an asset

4) **<u>International consultant (WASH/Climate Resilience)</u>**

Required qualifications and expertise of the team members (senior/mid-level experts):

- Extensive knowledge and skills pertaining to WASH and climate programming and accountability to affected populations including in emergency contexts

- Experience conducting/contributing to multi-disciplinary WASH evaluations and/or other relevant research assignments
- Knowledge of evaluation methodologies and mixed-method approaches
- Strong ability to rationalize and process quantitative and qualitative data, including through the use of dedicated analytical tools and software
- Knowledge of the UN system, UN programming and UNICEF emergency responses considered a plus
- Solid analytical, communication and drafting writing skills (English a must, other UN languages considered an asset

5) 2 National Consultants (Somalia)

Required qualifications and expertise of the national consultants

- At least 5 years of demonstrated experience in research/evaluation of emergency and humanitarian responses
- Ability to collect and synthesize data and compile well-written reports in challenging contexts
- Strong linkages to local communities and ability to facilitate dialogue
- Solid analytical, communication and drafting writing skills (English a must and local languages considered obligatory)
- Experience conducting/ contributing to multi-disciplinary humanitarian evaluations and/or similar research assignments.
- Knowledge of the UN system, UN programming and UNICEF emergency responses considered a plus
- Solid analytical, communication and drafting writing skills (English a must and local languages considered obligatory)

6) 2 National Consultants (Kenya)

Required qualifications and expertise of the team members (mid-level experts):

- At least 5 years of demonstrated experience in research/evaluation of emergency and humanitarian responses
- Ability to collect and synthesize data and compile well-written reports in challenging contexts
- Strong linkages to local communities and ability to facilitate dialogue
- Solid analytical, communication and drafting writing skills (English a must and local languages considered obligatory in each one of the three L3 countries- Ethiopia, Kenya and Somalia)
- Experience conducting/ contributing to multi-disciplinary humanitarian evaluations and/or similar research assignments.
- Knowledge of the UN system, UN programming and UNICEF emergency responses considered a plus
- Solid analytical, communication and drafting writing skills (English a must and local languages considered obligatory)

7) 2 National Consultants (Ethiopia)

Required qualifications and expertise of the team members (mid-level experts):

- At least 5 years of demonstrated experience in research/evaluation of emergency and humanitarian responses
- Ability to collect and synthesize data and compile well-written reports in challenging contexts
- Strong linkages to local communities and ability to facilitate dialogue

- Solid analytical, communication and drafting writing skills (English a must and local languages considered obligatory in each one of the three L3 countries- Ethiopia, Kenya and Somalia)
- Experience conducting/ contributing to multi-disciplinary humanitarian evaluations and/or similar research assignments.
- Knowledge of the UN system, UN programming and UNICEF emergency responses considered a plus
- Solid analytical, communication and drafting writing skills (English a must and local languages considered obligatory)

8) <u>International consultant (L2 Desk Review)</u>

One international consultant will be recruited to undertake the Desk Review for the two countries in the Horn of Africa where the L2 response was activated, i.e. Djibouti and Eritrea).

Required qualifications and expertise of the L2 Desk Review consultant (mid-level expert)

- In-depth knowledge of evaluation methodologies and mixed-method approaches
- Knowledge of emergency and humanitarian response
- Demonstrated experience in conducting literature reviews and background papers within the scope of multi-disciplinary humanitarian evaluations and/or similar research assignments
- Strong ability to analyze, process and synthesize quantitative and qualitative data, including through the use of dedicated analytical tools and software
- Knowledge of the UN system, UN programming and UNICEF emergency responses considered a plus
- Solid analytical, communication and drafting writing skills (English and French a must, other UN languages considered an asset
- Demonstrated experience in conducting remote data collection within the scope of complex evaluation

The team made will work closely with EO staff and will be responsible for fine-tuning the design of the evaluation (through the inception phase/report), undertaking the desk review, data collection and analysis, conducting debriefing sessions and recommendations workshop, and drafting and finalizing the evaluation report.

13) Governance

The evaluation will be managed by the UNICEF Evaluation Office in New York.

The evaluation manager will be a staff member of the Humanitarian Evaluation Portfolio. The evaluation manager is the primary interface between the Evaluation Office and the evaluation team. The manager's role involves day-to-day support to all aspects of the evaluation process, including facilitating access to data, providing input to key methodological and strategic choices, and managing the evaluation budget. The evaluation manager provides a first quality review (i.e., zero draft) of all evaluation tools and deliverables presented by the evaluation team before key deliverables are shared with the Evaluation Reference Group or other stakeholders.

UNICEF's Evaluation Office staff are independent from UNICEF management and operations. As part of their guidance and quality assurance role, the Evaluation Office provide quality assurance on all evaluation tools and documents based on the UNEG's and UNICEF's norms, standards, ethical guidelines, processes and tools. This includes assessment of gender, equity and human rights responsiveness of the evaluation.

The evaluation team will be familiarized with these and is expected to observe them during the entire evaluation process.

An Evaluation Reference Group (RG), comprising a mix of UNICEF staff (senior and mid-level), will be established to ensure buy-in from relevant stakeholder groups, provide expert advice, inputs, access to documents and informants and support to the evaluation as it unfolds. The Reference Group should, at minimum, include representatives from the following UNICEF offices: Regional Office, ESARO; Country Offices [Somalia, Ethiopia, Kenya, Eritrea, Djibouti); Office of Emergency Programmes (EMOPS), Data, Analytics, Planning and Monitoring (DAPM); Programme Group (PG), and Supply Division.

14) Timeline

Launch of the Evaluation/1st RG meeting	18 July 2023
Finalization of Inception Report	September 2023
Field data collection*	Somalia: 8-15 October Kenya: 15-23 October Ethiopia: 31 Otober-8 November
Draft Evaluation Report to circulate for comments	December 15, 2024
Finalization of Evaluation Report (following comments)	February 15, 2024
Dissemination Events	February 2024
* Site visits only in L3 declared countries: Ethiopia, Kenya, Somalia	