Inter-Agency Humanitarian Evaluation Steering Group

INTER-AGENCY HUMANITARIAN EVALUATION OF THE DROUGHT RESPONSE IN ETHIOPIA
TERMS OF REFERENCE

Final version: 5 December 2018

1   SUMMARY

1. In October 2018, the Emergency Relief Coordinator launched an Inter-Agency Humanitarian Evaluation in Ethiopia. The ERC announced this in an email to the Principals of the Inter-Agency Standing Committee on 18 October 2018, The evaluation, to be carried out by the IAHE Steering Group, will focus on the collective humanitarian response of the IASC Humanitarian Country Team to the recurring droughts in Ethiopia, including the El Niño-induced drought in 2015/2016, the response to the Indian Ocean Dipole-induced drought in 2017, and the response to continuing food insecurity-related humanitarian needs in the country since then. This will be the first IAHE of a slow-onset natural disaster, which will provide an opportunity to assess whether resilience has been built, progress in bridging the humanitarian-development divide, and cooperation between the international humanitarian system and the host government. Based on this assessment, the evaluation will identify lessons learned, best practices and generate new ideas to respond to the recurrent droughts in Ethiopia. The evaluation should also inform and improve humanitarian action in response to future climatic natural disasters, which will become more likely due to global climate change.

2   BACKGROUND

2. In 2015 and 2016, Ethiopia suffered from an El Niño-induced drought, with well below-average rainfall especially in the southern and eastern parts of the country leading to severe food insecurity and a public health crisis. In 2016 alone, more than 10 million people needed urgent food relief assistance, with 217,400 severely malnourished children receiving lifesaving medical treatment, and $1.6 billion requested in emergency appeals.[1]

3. In 2017, the Indian Ocean Dipole-induced drought affected southern and south-eastern Ethiopia and the 2017 rainy season was insufficient to alleviate severe drought conditions, exacerbating disease outbreaks, loss of livelihood and displacement. The 2017 Humanitarian Requirements Document (HRD) initially requested $1 billion, which was raised to $1.26 billion during the mid-year review. It was 81% funded with 8.5 million Ethiopians receiving relief food assistance.[2]

4. In addition to natural disasters, people in Ethiopia have been affected by conflict. Since mid-2017, the Oromia-Somali border conflict and the Gedeo-West Guji Crisis have increased the number of displaced people, aggravating the humanitarian situation even further. Many of the 1.1 million conflict-induced IDPs require relief and recovery, as well as resettlement assistance. In 2018, Ethiopia continues to suffer from

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[1] OCHA (2017). *Ethiopia Humanitarian Fund 2016 Annual Report.* p.6. Available at
https://www.humanitarianresponse.info/en/operations/ethiopia/document/ehf-annual-report-2016.
[2] OCHA (2018). *Ethiopia Humanitarian Fund 2017 Annual Report.* p.7. Available at
https://www.humanitarianresponse.info/en/operations/ethiopia/document/ehf-annual-report-2017.

long-term consequences of the two previous droughts with around 25 million food insecure people.[3] The 2018 Humanitarian and Disaster Resilience Plan still appeals for $1.18 billion to support those affected by the humanitarian crisis. As of mid-November, it was 54 per cent funded.[4]

5. Recurrent needs resulting from regular patterns of drought require increased efforts to build resilience. However, there is evidence that development actors mainly focus on highly populated areas to maximize efficiency, whereas humanitarian needs are greatest in less populated areas that receive less attention from development actors. Strengthening cooperation between humanitarian and development actors becomes particularly important considering the increasing number of extreme weather patterns such as El Niño. Ethiopia is an important example for the potential of building resilience and reducing risks and needs in particularly vulnerable areas by strengthening the humanitarian-development nexus.

6. As droughts recur typically every two or three years, it is crucial to enhance resilience and rebuild livelihoods during years without drought. Yet, new ideas are needed to break this cycle of droughts and rebuilding livelihoods.

7. The humanitarian system in Ethiopia is unique in the sense that virtually all humanitarian assistance is delivered with and through government systems. Humanitarian response plans are created in a common effort by the Government of Ethiopia and humanitarian partners, and the government contributes a large share to funding humanitarian requirements.

8. This IAHE is the first to cover a slow-onset natural disaster. Due to climate change, extreme weather patterns such as El Niño are expected to occur increasingly stronger and more often than before. As of September 2018, the World Meteorological Organization foresaw a 70 per cent chance of another El Niño event by the end of the year, although not as strong as the one in 2015-2016, and the IASC Standard Operating Procedures for early action to El Niño episodes were activated.[5] By November, the risk had increased to 86 per cent. Evaluating the El Niño response in Ethiopia will therefore serve as an important exercise to improve assistance in humanitarian crises resulting from climate-related natural disasters and slow-onset crises.

3   PURPOSE, OBJECTIVES, SCOPE AND USE OF THE IAHE

9. Inter-Agency Humanitarian Evaluations (IAHEs) of large-scale system-wide emergencies were introduced by the Transformative Agenda to strengthen learning and promote accountability towards affected people, national governments, donors and the public.

10. The purpose of this IAHE is two-fold. First, it will provide an independent assessment of the extent to which planned collective objectives set out in the Humanitarian Requirements Documents 2016 and 2017 and the Humanitarian and Disaster Resilience Plan 2018 to respond to the needs of people affected by drought and food insecurity have been met. For the 2015/2016 El Niño response, the evaluation will assess the results of this response over time. Second, the evaluation aims to assess the extent to which response mechanisms, including the Humanitarian Programme Cycle (HPC), have successfully supported the response, and recommend improvement-oriented actions. Under this objective, the evaluation will assess what has been learned from the El Niño response for later emergencies and will generate recommendations for future drought responses and how to better prepare for and manage recurrent droughts. Thus, the evaluation will generate new ideas on how to build resilience, how to help people recover in between cyclical droughts, and

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[3] OCHA and Government of Ethiopia (2018). *Ethiopia 2018 Humanitarian and Disaster Resilience Plan.* p.9. Available at: https://www.humanitarianresponse.info/en/operations/ethiopia/document/ethiopia-2018-humanitarian-and-disaster-resilience-plan.
[4] Financial Tracking Service, 19 November 2018. https://fts.unocha.org/appeals/660/summary.
[5] Al Jazeera. 11 September 2018. "Return of El Nino: Experts see 70 percent chance of weather event." https://www.aljazeera.com/news/2018/09/return-el-nino-experts-70-percent-chance-weather-event-180910124725292.html

how to prepare for the next drought. As all these issues are related to the humanitarian-development nexus, it will be important during the evaluation to recognize the limits of the responsibilities of humanitarian actors.

Vision and Purpose

11. IAHEs are guided by a vision of addressing the most urgent needs of people impacted by crises resulting from coordinated and accountable humanitarian action. IAHEs contribute to both accountability and strategic learning across the humanitarian system, and aim to improve aid effectiveness to ultimately better assist affected people. The dual purpose (accountability and learning) is common to all IAHEs; however, their balance in a specific IAHE may vary, based on relevance and utility.

Definition

12. An IAHE is an independent assessment of results of the collective humanitarian response by member organizations of the Inter-Agency Standing Committee (IASC)[6] to a specific crisis or theme. IAHEs evaluate the extent to which planned collective results have been achieved and how humanitarian reform efforts have contributed to that achievement. IAHEs are not an in-depth evaluation of any one sector or of the performance of a specific organization, and, as such, cannot replace any other form of agency-specific humanitarian evaluation, joint or otherwise, which may be undertaken or required.

13. IAHEs follow the United Nations Evaluation Group's (UNEG) norms and standards[7] that emphasize, among others: 1) the independence of the Evaluation Team, 2) the application of evaluation methodology, and 3) the full disclosure of results. IAHEs have a clear scope (defined in these TOR and in the inception report) with regard to the period, geographic areas and target groups to be covered by the evaluation.

Users of IAHE results

14. The IAHE is designed primarily to:

- Provide the **Humanitarian Coordinator (HC) and Humanitarian Country Team (HCT)** with independent and credible evidence of collective progress towards stated goals, objectives and results. This may, where relevant, complement internal review exercises in providing further evidence for decision-making regarding course corrections in an ongoing response, or identify additional areas that need to be addressed to improve the response, especially in chronic emergency situations. Additionally, IAHEs may help inform longer-term recovery plans.

- Contribute to the evidence base for decision-making and judgments about future humanitarian action, policy development and reform by the **IASC Principals, IASC Working Group, Emergency Directors Group** and other stakeholders.

15. In doing so, they will also:

- Provide the **Government of Ethiopia and its disaster management institutions** with evaluative evidence and analysis to inform their national policies and protocols for crises involving international agencies and other actors

- Provide information to **affected people** of the outcomes of the response

- Provide **Member States of international organizations, donors, and learning and evaluation networks** with evaluative evidence of collective response efforts for accountability and learning purposes

- Provide the general public with information about the humanitarian response

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[6] Throughout, the reference to "IASC members" includes standing invitees which, in practice, have the same status as members.
[7] www.unevaluation.org/document/detail/1914

4   METHODOLOGY, EVALUATION QUESTIONS AND CRITERIA

16. The IAHE will be conducted by teams of independent evaluation experts. The gender balance of the team will be ensured to the extent possible. The team will include independent national evaluators.

17. The evaluation will be carried out through analyses of various sources of information including desk reviews, reviews of monitoring data, field visits, interviews with key stakeholders (affected population, UN, NGOs, donors, the Government and others), individually and in focus groups, and through the cross-validation of data. This will ensure that the evaluation is inclusive of the views of diverse stakeholder groups.

18. Many international staff may have moved on from their posts since the start of the evaluation timeframe in 2015. Thus, the evaluation should ensure to also interview national staff of UN agencies and NGOs who may remain in their positions for longer.

19. The evaluation team will conduct a 1.5-week country visit during the inception phase and a 3-week country visit during the evaluation phase, both including travel to affected areas outside of Addis Ababa.

20. The Evaluation Team will ensure that questions and approaches are in line with established norms and standards as described below, and the Humanitarian Principles.[8]

4.1   Special Considerations

21. **Gender:** In line with the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation,[9] the UN System-Wide Action Plan (UN-SWAP) on gender equality[10] and the IASC Gender Equality Policy Statement,[11] the evaluation will apply gender analysis in all phases. To facilitate this analysis, at least one member of the team should have qualifications on gender analysis. In a bid to promote durable solutions and sustainability, the IAHE processes will where possible, seek to understand how underlying issues, barriers and drivers of inequalities are identified and addressed within humanitarian programming.

22. **Inclusiveness:** The evaluation methodology will integrate participatory processes especially at the community level,[12] to adequately engage women, men, boys and girls of different ages and taking into consideration the existence of disadvantaged groups, such as people with disabilities. The evaluation process will aim to assess the extent to which the differential needs, priorities, risks and vulnerabilities of different population groups have been identified and assessed in the response. Further, the evaluation process will seek to understand the processes and methodologies utilized to enhance the equitable and effective inclusion, access and participation of particularly women and girls in the humanitarian activities (both at design and implementation), and in decision-making processes.

23. **Accountability to affected people**: To enhance accountability to affected people, the IAHE will endeavor to gain their perspectives on the quality, usefulness and coverage of the emergency response and to incorporate these views in the evaluation findings. Additionally, it will seek to understand how the various segments of the affected population are consulted especially in the prioritization of needs, decision-making processes and the ways in which limitations to participation and inclusion are addressed. To this end, evaluators will strive to devote an appropriate amount of time during the field visit to consult communities and seek out the views of affected people. In addition, the evaluation will include a survey of affected people. As possible, evaluators will seek to provide feedback on the evaluation findings to affected people.

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[8] https://docs.unocha.org/sites/dms/Documents/OOM_HumPrinciple_English.pdf
[9] www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=1401
[10] www.unsystem.org/content/un-system-wide-action-plan-gender-equality-and-empowerment-women-swap
[11] https://interagencystandingcommittee.org/gender-and-humanitarian-action-0/documents-public/iasc-policy-statement-gender-equality-humanitari-0
[12] Such as: sex-separate focus group discussions, key informant interviews and targeted consultations with organized community groups such as women's associations, youth groups, etc.
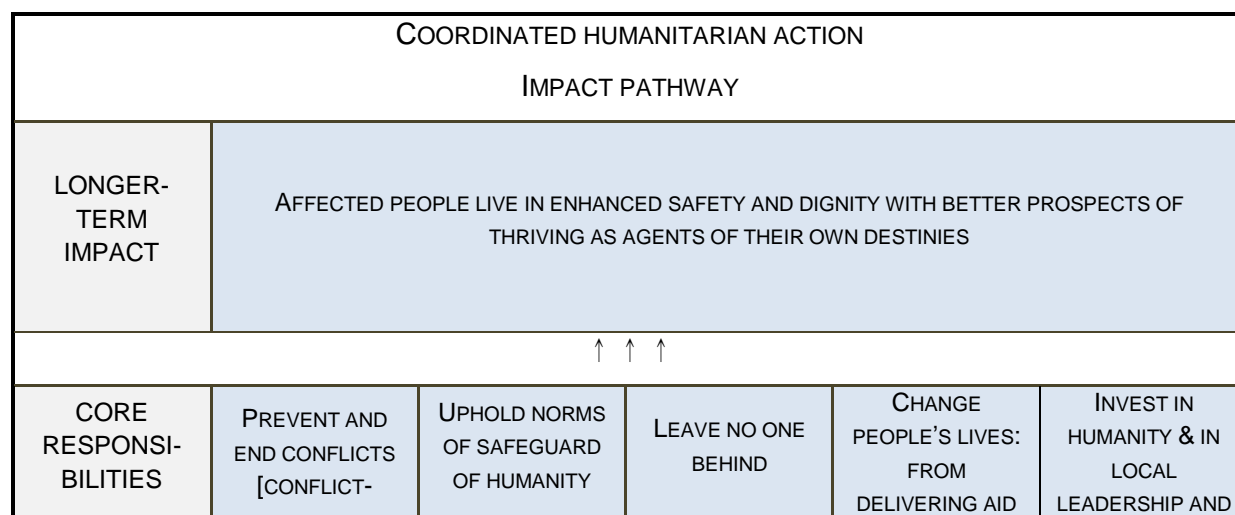
24. **Ethical considerations:** Due diligence will be given to effectively integrating good ethical practices and paying due attention to robust ethical considerations in the conduct of any IAHE as stipulated in the United Nations Evaluation Group (UNEG) Norms and Standards, specifically Norm 6 and standard 3.2.

25. **Relevance to context:** To enhance the Evaluation Team's understanding of the local context and to improve ownership and communication with local communities, where relevant and possible, not only will the evaluation team include national evaluators (as stated above) but the IAHE will also seek to encourage the participation of the national Government throughout the evaluation process, as appropriate and possible. National and sub-national level disaster risk management institutions and local actors will be identified and interviewed. A monitoring and evaluation officer from the national government may, when and if appropriate, be invited to participate in the technical review of evaluation outputs and provide input throughout the evaluation.

26. **Application of internationally established evaluation criteria**: In general, IAHEs draw from the evaluation criteria in the UNEG norms and standards; [13] OECD/DAC criteria for development programmes: [14] i) relevance, ii) efficiency, iii) effectiveness, iv) impact, v) sustainability; and the ALNAP criteria for the evaluation of humanitarian action:[15] a) coherence, b) coverage, c) connectedness. The criteria used for this evaluation are listed below.

4.2   Analytical Framework and Core Evaluation Questions

27. The evaluative analysis of the IAHE will be informed by the following key planning documents and tools:

a) The Impact Pathway (see diagram below) provides the point of reference for all IAHEs. Broadly based on the principles of effective coordination, leadership and accountability of the Transformative Agenda, and the long-term impacts and core responsibilities as defined in the Agenda for Humanity,[16] it portrays crucial characteristics of an 'ideal humanitarian response,' identifying key components widely accepted to lead to the effective and coherent delivery of assistance.

Figure 1 – Coordinated Humanitarian Action: The Ideal Model

| COORDINATED HUMANITARIAN ACTION ||||||
IMPACT PATHWAY					
LONGER-TERM IMPACT	AFFECTED PEOPLE LIVE IN ENHANCED SAFETY AND DIGNITY WITH BETTER PROSPECTS OF THRIVING AS AGENTS OF THEIR OWN DESTINIES				
	↑ ↑ ↑				
CORE RESPONSI-BILITIES	PREVENT AND END CONFLICTS [CONFLICT-	UPHOLD NORMS OF SAFEGUARD OF HUMANITY	LEAVE NO ONE BEHIND	CHANGE PEOPLE'S LIVES: FROM DELIVERING AID	INVEST IN HUMANITY & IN LOCAL LEADERSHIP AND

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[13] See the UNEG website: www.uneval.org
[14] See the OECD/DAC criteria for evaluating development assistance. A factsheet can be found at: http://www.oecd.org/dac/evaluation/49756382.pdf
[15] See the ALNAP guide for humanitarian agencies: Evaluating humanitarian action using the OECD/DAC criteria at www.alnap.org/pool/files/eha_2006.pdf
[16] The UN Secretary General has urged humanitarian actors to use the Agenda for Humanity as a framework of action, change and mutual accountability [Annex to the Report of the SG for the World Humanitarian Summit, A/70/709 of February 2016]

	RELATED CRISES]				TO ENDING NEEDS	OWNERSHIP OF THE RESPONSE
	↑ ↑ ↑					
OUTCOMES	HUMANITARIAN ACCESS SECURED FOR ALL	RELEVANT RESPONSE		CONNECTEDNESS AND COORDINATION BETWEEN HUMANITARIAN STAKEHOLDERS	GOOD COVERAGE	
	↑ ↑ ↑					
OUTPUTS	EFFECTIVE COORDINATION MECHANISMS	ADEQUATE PARTNER-SHIPS	COMMON NEEDS ASSESSMENTS & RESPONSE PLANS	COMMON SERVICES	CONCERTED ADVOCACY FOR ADEQUATE RESPONSE CAPACITY ACROSS SECTORS	ACCOUN-TABILITY (INC. AAP) MECHANISMS
	↑ ↑ ↑					
INPUTS	ENHANCED LEADERSHIP					
	HUMAN RESOURCES, INCLUDING SURGE CAPACITY					
	POOLED AND AGENCY FUNDS					
	GUIDANCE AND PROGRAMMING TOOLS (HPC, MIRA, SPHERE STANDARDS, ETC.)					
	SECTOR/CLUSTER LEADS ACTIVATION AND COMMON SERVICES PROVISION					

b) The IAHE will use the Humanitarian Requirements Document 2016 as the main reference to assess whether the stated objectives have been achieved. The Humanitarian Requirements Document 2017 and the Humanitarian and Disaster Resilience Plan 2018 will also be considered to assess (a) what the results of the El Niño response have been over time, and (b) what was learned from the El Niño response to improve later response efforts. The evaluation will assess the collective humanitarian response of the member organizations of the IASC Humanitarian Country Team, including UN agencies, international and national agencies. The evaluation will not assess the humanitarian response of the Government (although it will assess links between the HCT's response and the response of the Government).

c) It is recognized that an evaluation covering the humanitarian response to needs resulting from conflict may be useful for humanitarian partners in Ethiopia. While assessing the conflict sensitivity of the collective humanitarian response to El Niño, this evaluation will not focus on the response to humanitarian needs resulting from conflict. Doing so would require a larger evaluation team with additional, conflict-specific skills and a longer timeframe.

28. The evaluation's analytical framework will be structured around six evaluation criteria and associated questions[17].

    a. **Relevance** – To what extent have the objectives set out in the Humanitarian Requirements Documents 2016 and 2017 as well as the Humanitarian and Disaster Resilience Plan 2018 been based on identified needs[18] of the most vulnerable groups affected by the crisis?

    b. **Effectiveness** To what extent were the results (in terms of assistance delivery as articulated in the HRDs and HDRP) achieved and to what extent were they effective in meeting the needs of the most vulnerable and leaving no one behind as well as in line with the Humanitarian Principles; What were the positive and negative, intended and unintended effects of the IASC humanitarian system's assistance for people affected by the crisis?

    c. **Sustainability** – To what extent has the assistance built resilience, and connected the humanitarian to the longer term development programming? [19] What were the intended and unintended effects in this regard?

    d. **Partnerships** – To what extent have adequate partnerships been established (with international, national and/or local stakeholders, including the Government) to deliver assistance to affected people?

    e. **Localization** – Have national and local stakeholders, including local institutions, been involved in the response design and have their capacities and systems to respond in the future been strengthened through the response?

    f. **Coordination** –- Was the assistance well-coordinated, successful and, as much as possible, equitable, reaching all affected populations and avoiding duplication (especially with the Government) of assistance and gaps?

29. During the inception phase, the Evaluation Team will further develop the evaluation's analytical framework and context-specific sub-questions.

5   MANAGEMENT ARRANGEMENTS AND STAKEHOLDER PARTICIPATION[20]

5.1 Management Group (IAHE MG)

30. A small Management Group is established for this IAHE from among the IAHE Steering Group membership. The members the MG are mandated by their respective Steering Group representations within all the delegation of authority of the MG to manage IAHE deliverables as per the present guidelines. Good practice is for individual MG members to closely coordinate and consult where relevant with their respective Steering Group representatives to avoid last-minute objections on deliverables. The Evaluation Manager will serve as as the chair of the MG and perform the role and responsibilities as outlined in the IAHE Guidelines[21].

31. The specific roles and responsibilities of the IAHE Management Group are to:

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[17] The standard IAHE questions have been adapted based on the comments received by the Steering Group.

[18] Identified needs should be understood both as needs identified through needs assessments and stated needs from affected populations

[19] The three strategic objectives are identical in the 2016, 2017 and 2018 response plans: (1) Save lives and reduce morbidity due to drought and acute food insecurity, (2) Protect and restore livelihoods, (3) Prepare for and respond to other humanitarian shocks, including natural disasters, conflict and displacement.

[20] For further details on the specific roles and responsibilities of the different IAHE stakeholders, please see "Inter-Agency Humanitarian Evaluations of Large Scale System-Wide Emergencies (IAHEs): Guidelines, developed by the IAHE Steering Group, May 2018.

[21] For further description of the roles and responsibilities of the Evaluation Manager, please see "Inter-Agency Humanitarian Evaluations of Large Scale System-Wide Emergencies (IAHEs): Guidelines, developed by the IAHE Steering Group, May 2018.

- Ensure the independence of the evaluation process and results

- Provide quality control and inputs throughout the entire evaluation to ensure that it meets agreed criteria and standards (including during the development of the TOR, Evaluation Team briefings, review and approval of the inception report, review of the draft report, preparing draft presentations, etc.)

- Support the Evaluation Manager in the preparation of the draft TOR and budget for the evaluation by either providing input before the Evaluation Manager prepares a first draft or by providing comments on documents drafted by the Evaluation Manager

- Support the Evaluation Manager in the collection of key reference documents and coordination mapping, including mapping of data availability and of planned, scheduled and ongoing data collection exercises

- Support the Evaluation Manager to review the proposals from the companies and/or consultants and then approve the selection of the external team to conduct the evaluation

- Review and provide feedback to the inception report and approve the final inception report (unless there are budget implications, in which case the MG would submit to the Steering Group for approval)

- When necessary and agreed upon by the MG, individual members can take part in evaluation missions, accompanying the team of independent consultants (or company), primarily at the inception stage

- Review the evaluation report and clear it for submission to the Steering Group for approval

- Monitor and assess the quality of the evaluation and its processes at all phases of the IAHE, from data collection to analysis and presentation

- Facilitate the Evaluation Team's access to key stakeholders and specific information or expertise needed to perform the evaluation

- Provide guidance and institutional support to the Evaluation Team especially on issues of methodology and other areas as necessary (e.g., navigating the inter-agency system, optimizing independence, etc.)

- Identify lessons learned from the IAHE

Working Modalities

32. Based on IAHE Guidelines and criteria,[22] the Management Group for this IAHE was established on a voluntary basis by member organizations of the Steering Group and is composed of UNFPA, FAO and OCHA, who will serve as chair and evaluation manager.

33. OCHA evaluation staff (and/or other members of the Management Group) may be part of the mission and, if approved by the MG, during the inception phase to develop the inception report, scope the evaluation, brief and prepare HCTs to engage effectively in the IAHE, support the revision and confirmation of the original (TOR) data mapping, as well as to manage expectations.

5.2   IAHE In-country Advisory Group

34. The IAHE Advisory Group represents country-level stakeholders engaged in the emergency response. It plays a key role in advising the Evaluation Team and supporting the evaluation through the planning, implementation and follow-up stages. It serves in an advisory capacity only, without having decision-making authority. The specific roles and responsibilities of the IAHE AG are to:

- Provide the main contact point with Government evaluation and disaster risk management stakeholders.

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[22] For further details on the establishment of the Management Group please see "Inter-Agency Humanitarian Evaluations of Large Scale System-Wide Emergencies (IAHEs): Guidelines, developed by the IAHE Steering Group, May 2018.

- Serve as the main link between the IAHE Evaluation Team and key stakeholder groups involved in the response and/or impacted by the crisis

- Provide advice and support to the IAHE Evaluation Team, identifying priority questions for the evaluation to address and support data gathering

- Review and provide appropriate and timely feedback on draft documents related to the IAHE (e.g., inception report, evaluation report)

- Help promote ownership of respective stakeholder groups of the IAHE process and subsequent use of the report and recommendations and related deliverables

- Support the HCT or another designated IASC group in the preparation of the management response, development of action plans to follow up on recommendations and monitoring of implementation of recommendations

- Assist with developing and implementing a communication strategy to promote the evaluation among the stakeholders, relevant national government counterparts, civil society and partners as appropriate

Working Modalities

35. The membership of the IAHE AG is based on a contextualized mapping of key stakeholders that have been directly involved in a humanitarian response and/or have an interest in the evaluation and/or are active in the area of work covered by the evaluation. These comprise UN agencies, international NGOs, local NGOs, resource partners, governments, think tanks and research institutions. The mapping will be conducted by the OCHA Head of Office and confirmed by the HCT, under the leadership of the HC.

36. The Advisory Groups will comprise of between six and ten members, who are appointed on a pro bono basis and should have contingency lists in case members are unable to participate or have to drop out. The Chair of the Advisory Group is selected by its members; if no other member of the IAHE AG volunteers, the OCHA Head of Office will also convene and chair the Advisory Group.

37. The IAHE AG will typically meet (face-to-face or remotely) during the inception phase, the evaluation phase (including at the beginning and end of the evaluation mission, including participation in the exit brief) and the reporting phase to provide inputs to the draft report.

38. Under the chairmanship, the IAHE AG will meet once the evaluation report has been finalized to discuss and provide inputs to the management response and action plan and subsequent updates as required.

5.3   Steering Group (IAHE SG)

39. As per IAHE Guidelines, the IAHE Steering Group will approve the IAHE Terms of Reference, the final evaluation report, as well as any decisions with budget implications, on the basis of the recommendations provided by the IAHE Management Group

6   DELIVERABLES AND REPORTING REQUIREMENTS

40. The quality of the evaluation report will be assessed according to the UNEG Norms and Standards for Evaluation and the OCHA Quality Assurance System for Evaluations.

41. The inception and draft reports will be produced jointly by the members of the Evaluation Team and reflect their collective understanding of the evaluation. All deliverables listed will be written in good standard English. If in the estimation of the Evaluation Manager the reports do not meet required standards, the Evaluation Team will ensure at their own expense the editing and changes needed to bring it to the required standards.

6.1 Inception Report

42. The Evaluation Team will produce an inception report not to exceed 15,000 words, excluding annexes, setting out:

- The team's understanding of the issues to be evaluated (scope), and their understanding of the context in which the IAHE takes place

- Any suggested deviations from the TORs, including any additional issues raised during the initial consultations

- A comprehensive stakeholders mapping and analysis

- A reconstruction of the theory of change underlying the El Niño response

- A final list of evaluation questions (building upon the initial list provided in the present terms of reference)

- An evaluation matrix showing, for each question, the assumptions to be assessed, the indicators proposed and corresponding sources of information

- A comprehensive methodological approach for the evaluation, including

    a. Details of gender analysis and triangulation strategy

    b. Data collection and analysis tools that will be used to conduct the IAHE (survey instruments, interview guides questions, document with the preparation of field visit and schedule of interviews, and other tools to be employed for the evaluation)

    c. Any limitations of the chosen methods of data collection and analysis and how they will be addressed

    d. How the views of the affected populations as well as protection and gender issues will be addressed during the evaluation

- Detailed fieldwork plan

- Detailed timeline for the evaluation

- Draft dissemination strategy of the evaluation findings (including with the IAHE Management Group and the in-country IAHE Advisory Group)

6.2 Evaluation Report

43. The Evaluation Team will produce a single report of not more than 25,000 words (excluding the executive summary and annexes), written in a clear and concise manner that allows readers to understand the main evaluation findings, conclusions and corresponding recommendations, and their inter-relationship. The report should be comprised of:

- Table of contents

- Executive summary of no more than 2,500 words

- Summary table linking findings, conclusions and recommendations, including where responsibility for follow up should lie

- Analysis of context in which the response was implemented

- Methodology summary – a brief chapter, with a more detailed description provided in an annex

- Main body of the report, including an overall assessment, findings in response to the evaluation questions, conclusions and recommendations. A rating on the achievement of specific HRD and HDRP outcomes will be included.

- Annexes will include: (1) TOR, (2) detailed methodology, (3) list of persons met, (4) details of qualitative and quantitative analysis undertaken, (5) team itinerary, (6) all evaluation tools employed, (7) list of acronyms; and (8) bibliography of documents (including web pages, etc.) relevant to the evaluation, (9) assessment of the usefulness of the IAHE guidelines and process and main recommendations for their improvement

44. For accuracy and credibility, recommendations should follow logically from the evaluation findings and conclusions, and be:

- Categorised as a) Critical, b) Important, or c) Opportunity for learning

- Relevant and useful and reflect the reality of the context

- Specific, clearly stated and not broad or vague

- Realistic and reflect an understanding of the humanitarian system and potential constraints to follow-up

- Suggest where responsibility for follow-up should lie and include a timeframe for follow-up

- Built upon and take fully into consideration previous recommendations, in particular the Action Plan from the STAIT Lessons Learned Review, to avoid any contradictions unless justified by collected evidence

45. The draft report will be reviewed by the IAHE Management Group and the final version cleared by the IAHE Steering Group prior to dissemination.

6.3   Other evaluation products

46. The Evaluation Team will produce presentations, as requested by the Management Group, including presentations to HC/HCT, IASC members, in-country presentations to local communities and affected people, etc. There will be one presentation summarizing the final evaluation report.

47. The evaluation team will produce a 1-page document summarizing the final evaluation report. Additional evaluation products such as briefs, video presentations or précis may be proposed in the inception report.

7   DISSEMINATION AND FOLLOW UP

48. The Evaluation Team will conduct the following presentations:

- At the end of the field visit, the Evaluation Team will conduct an exit brief with the in-country IAHE Advisory Group, HCT, the relevant Government counterparts (evaluation and/or DRM authority) and (remotely) the IAHE Management Group to share first impressions, preliminary findings and possible areas of conclusions and recommendations. The brief will help clarify issues and outline any expected pending actions from any stakeholders, as relevant, as well as discuss next steps.

- Upon completion of the draft evaluation report, the results of the IAHE will be presented by the Evaluation Team Leader (or Evaluation Manager) to the IASC in New York and Geneva.

- Once the evaluation is completed, presentations of the main findings and recommendations will be made available to various fora as decided by OCHA and the IAHE Management and Steering Groups. The Evaluation Team may be requested to assist with these presentations.

49. The IAHE final report will be submitted to the IASC Working Group, the Emergency Directors Group and the Principals.

50. Once the evaluation results are finalized, national evaluators will help feed back results to communities who participated in the evaluation and to affected people and communities.

51. In addition to the Evaluation Report and oral briefings, the evaluation findings and recommendations can be presented through alternative ways of dissemination, such as websites, video, etc. The Evaluation Team will

consider possible ways to present the evaluation and include a dissemination strategy proposal in the inception report.

52. The recommendations of the evaluation will be addressed through a formal Management Response Plan (MRP), as further detailed in the IAHE Guidelines.

8   THE EVALUATION TEAM

53. The Evaluation Team will be recruited through OCHA's systems contracts for evaluative services. The evaluation will require the services of an Evaluation Team of four members – a team leader, a senior evaluator (recruited through international recruitment procedures) and two nationally recruited evaluators – with the following collective experience and skills:

- Extensive evaluation experience of humanitarian strategies and programmes, and other key humanitarian issues, especially humanitarian finance and funding instruments

- Experience with and institutional knowledge of UN and NGO actors, inter-agency mechanisms at headquarters and in the field

- Extensive knowledge of humanitarian law and principles, and experience with using human rights, protection and gender analysis in evaluations (at least one of the team members should have experience in gender analysis)

- Good understanding of cross-cutting issues, such as gender, resilience, transition, conflict analysis etc.

- At least one team member should have extensive skills in data analysis and presentation as well as population surveys

- An appropriate range of field experience

- Experience in facilitating consultative workshops involving a wide range of organizations and participants

- The Team Leader should have excellent writing and communication skills in English. All team members must have working knowledge of English.

- Context-specific knowledge and experience, including on natural disasters, humanitarian aspects of drought and the humanitarian system in Ethiopia

- Knowledge of the humanitarian-development nexus

- Additional skills and experience would be an asset, including on the priority areas in the humanitarian response in Ethiopia such as food assistance, nutrition and health, and slow-onset and climate-related natural disasters

54. The Evaluation Team will include a Team Leader, who is responsible for the overall conduct of the evaluation in accordance with the TOR, including:

- Developing and adjusting the evaluation methodology

- Managing the Evaluation Team, ensuring efficient division of tasks between mission members and taking responsibility for the quality of their work

- Representing the Evaluation Team in meetings

- Ensuring the quality of all outputs

- Submitting all outputs in a timely manner

55. The Team Leader will have no less than 15 years of professional experience in humanitarian action, including experience in management of humanitarian operations. S/he will further have at least 7 years of experience

in conducting evaluations of humanitarian operations and demonstrate strong analytical, communication and writing skills.

56. The two national evaluators will play a key role in disseminating the evaluation results to affected communities.

57. To the extent possible, the Evaluation Team will be gender-balanced.

9   SEQUENCE

58. The following presents a proposed schedule and description of each evaluation phase. Figure 2 gives an overview of the timeline with the tasks and deliverables expected in each phase.

I.   **Preparations and Scoping Phase** (Month 1 – Month 3)

The scoping phase will be conducted by the IAHE management group (MG). The evaluation will focus on the impact of the collective humanitarian response to the El Niño-induced drought and humanitarian crisis, as outlined in successive response plans. During the scoping phase: (1) the evaluation scope will be further refined, taking into account the various crises resulting from El Niño and subsequent droughts, and clearly defining which of these will be included in the scope of the evaluation (2) the evaluation plan will be defined in more detail, (3) data sources will be identified, and (4) security and access issues will be reviewed. The scoping phase will be a desk exercise, there will be no scoping mission. The outcomes of the scoping phase are likely to lead to changes in the evaluation planning and budget, including proposed travel, duration of travel, balance of days between international and national consultants or any other aspects.

Output: Terms of Reference

II.   **Evaluation Team Selection & Recruitment** (Month 4 – Month 5)

Based on the terms of reference, the evaluation team will be recruited. Although this will be confirmed once TORs for the IAHE have been approved, in principle it is envisioned that the team will consist of 4 people, including 2 international consultants (a team leader and one senior evaluator) and 2 national evaluators. At least one international and one national evaluator should have a strong profile in data collection and analysis, and, as agreed by the Steering Group, both the evaluation team and the Management Group would invest time at the beginning of the evaluation process in identifying data sources. The recruitment of the evaluation team can be done through OCHA's systems contract for evaluations. Alternatively, if so is the preference of Steering Group members, through the UN Global Marketplace OCHA can use the systems contracts of any other UN agency to contract the evaluation team.

Output: Task Order signed with evaluation company and evaluation team recruited

III.   **Inception Phase** (Month 5 – Month 7)

The Inception Phase will be conducted by the evaluation team and will include a 10-day mission to Addis Ababa and one or two field locations. The evaluation manager should accompany the evaluation team during the inception phase.

Output: Draft inception report and final inception report

IV.   **Evaluation and Reporting Phase** (Month 7 – Month 10, draft report Month 11, final report by Month 12)

The evaluation phase includes a 3-week evaluation field mission to Ethiopia (final duration will be confirmed once the TORs are approved), including travel to 3-5 places in drought-affected areas across the country.

All members of the evaluation team will participate in the field mission and should be accompanied by the evaluation manager. Before leaving Ethiopia, the evaluation team will conduct a debriefing for the Ethiopia Humanitarian Country Team. Following the mission, the evaluation team will analyze data, information and other material collected, and prepare the evaluation report. The evaluation team may also conduct meetings outside of Ethiopia, e.g., with the IASC Emergency Directors Group. Moreover, a proposed local population survey to assess the views of affected people on the humanitarian assistance they received is included in the evaluation phase.

Output: Draft evaluation report and final evaluation report (including survey results)

V.   **Dissemination of Results** (Month 12 and following)

The Steering Group aims to improve the dissemination of evaluation results, and all group members should support this effort. The evaluation team leader is expected to travel to New York and/or Geneva to debrief IASC members. The budget also includes a line for graphic design, web design, the production of a video or other communications materials. Side events could also be organized at ECOSOC and at the UN General Assembly to further disseminate the findings in line with the Steering Group's Engagement and Communications Strategy.

Output: Information products and presentations

VI.   **Implementation** (Management Response Plan by Month 14, implementation by Month 31)

The Steering Group aims to strengthen its links to the Inter-Agency Standing Committee, to ensure that both the humanitarian country team and, at the global level, the IASC develop timely management responses and fully address all relevant recommendations.

Output: Management Response Plan

Figure 2: Timeline and Phases of the Evaluation

Month	Timeline	Phase	Tasks and Deliverables
1	September – November 2018	Preparation and Scoping	Draft and Final Terms of Reference
2			
3			
4	December 2018	Evaluation Company Selection	Task Order signed with Evaluation Company
5	January 2019	Team Recruitment	Briefing at HQ
6	January – March 2019	Inception Phase	Document Review 1.5-week Inception Mission Draft and Final Inception Report
7			

			Ongoing data collection by two national evaluators and survey conducted by survey company
8	March – June 2019	Evaluation and Reporting Phase	3-week Field Mission, Data Collection Exit Debriefing Analysis
9			
10			
11	June/July 2019		Draft Evaluation Report Comments Process
12	July/August 2019		Final Evaluation Report
13	August- September 2019	Dissemination of Results	Information Products
14	October 2019	IASC/HCT Response to Recommendations and Implementation	Management Response Plan
…	October 2019 – March 2021		
31			