

INTER-AGENCY HUMANITARIAN EVALUATION OF THE RESPONSE TO THE HUMANITARIAN CRISIS IN AFGHANISTAN

TERMS OF REFERENCE



TABLE OF CONTENTS

1	INTRODUCTION	3
2	BACKGROUND	4
3	PURPOSE, SCOPE AND OBJECTIVES	7
4	INTENDED USERS	8
5	EVALUATION QUESTIONS	8
6	EVALUATION APPROACH AND METHODOLOGY	10
7	CROSS-CUTTING THEMES	12
8	MANAGEMENT ARRANGEMENTS AND STAKEHOLDER PARTICIPATION	13
9	QUALITY ASSURANCE	16
10	EVALUATION PLANNING AND DELIVERABLES	16
11	DISSEMINATION AND FOLLOW UP	19
12	MANAGEMENT RESPONSE PLAN	20
	ANNEXES	21
	Annex I: Tentative timeline and phases of the evaluation (subject to funding availability)	21
	Annex II: Coordinated Humanitarian Action: The Ideal Model – Impact Pathway	22
	Annex III: Overview of key requirements	23
	Figure 1 Afghanistan Map	5

1 INTRODUCTION

1. Inter-Agency Humanitarian Evaluations (IAHEs) were introduced to strengthen system-wide learning and promote accountability towards affected people, national governments, donors, and the public, and are guided by a vision of addressing the most urgent needs of people impacted by crises through coordinated and accountable humanitarian action. IAHEs inform humanitarian reforms and help the humanitarian community to improve aid effectiveness to ultimately better assist affected people. IAHEs are not an in-depth evaluation of any one sector or of the performance of a specific organization.
2. As such, IAHEs cannot replace any other form of agency-specific humanitarian evaluation, joint or otherwise, which may be undertaken or required. Since 2008, the Inter-Agency Humanitarian Steering Group (IAHE SG) has conducted dozens of system-wide evaluations of humanitarian action by the United Nations (UN), the Red Cross and Red Crescent Movement and non-governmental organizations (NGOs). IAHEs are triggered by the Emergency Relief Coordinator (ERC) and are the only UN-led activity assessing the system-wide humanitarian response to emergencies.
3. The Scale-Up Activation is an inter-agency mobilization mechanism in response to a sudden onset and/or rapidly deteriorating humanitarian situation in a given country, including at the subnational level, where capacity to lead, coordinate and deliver humanitarian assistance does not match the scale, complexity and urgency of the crisis. It is regulated through the IASC Scale-Up Protocols. They also require that an IAHE be automatically triggered within 9 to 12 months of the Scale-Up declaration.
4. The procedure activates mechanisms and tools to: (a) ensure that the Inter-Agency Standing Committee (IASC) system delivers effectively in support of national authorities and existing capacities and monitors its own performance, (b) ensure that adequate capacities and tools for empowered leadership and coordination of the humanitarian system are in place, and (c) engage IASC member organizations and Global Cluster Lead Agencies to put in place the required systems and to mobilize the required resources to contribute to the response as per their respective mandates.
5. These Terms of Reference (TOR) provide the context for the IAHE of the response to the humanitarian crisis in Afghanistan. It includes its subject and scope, objectives and key areas of inquiry and a proposed methodology with key deliverables of the evaluation. It also describes the intended users of the IAHE as well as its management arrangements. Detailed requirements for a response to this TOR by evaluation companies can be viewed in Annex 3.
6. The IAHE's primary focus is the collective efforts of the IASC member organizations in support of people, and with government and local actors, in meeting the needs and priorities of the most vulnerable people in the context of humanitarian crisis.
7. The evaluation will be carried out under the auspices of the IASC-associated Inter-Agency Evaluation Humanitarian Steering Group (IAHE SG), which is chaired by the Office for the Coordination of Humanitarian Affairs (OCHA) and consists of the Evaluation Directors of the Food and Agriculture Organization (FAO), International Organization for Migration (IOM), United Nations Development Programme (UNDP), United Nations Population Fund (UNFPA), the United Nations High Commissioner for Refugees (UNHCR), United Nations Children's Fund (UNICEF), World Food

Programme (WFP) and World Health Organization (WHO), as well as representatives from the Danish Refugee Council (DRC), International Committee of the Red Cross (ICRC), International Federation of the Red Cross (IFRC), the Steering Committee for Humanitarian Response (SCHR), and the humanitarian learning and accountability network known as ALNAP.

8. The IAHE SG pursues an interest to learn across simultaneously ongoing responses, most notably the response to the humanitarian crisis in Afghanistan and Northern Ethiopia, and other recent Scale-Up Activations. Close cooperation between the respective management groups and exchange between the evaluation teams is expected. This may lead to a capstone piece that can provide valuable learning for the IASC member organizations.

2 BACKGROUND

9. The takeover of Afghanistan and all government functions by the Taliban on 15 August 2021 have led to a rapid deterioration of an already dire humanitarian situation in Afghanistan; the freezing of government assets and the suspending of the implementation of development frameworks by international actors; and a near collapse of the public systems and the economy.
10. The ensuing economic, financial, and banking crises, combined with a serious drought and displacement, resulted in serious food security and malnutrition crisis. The Integrated Food Security Phase Classification (IPC) estimates 22.8 million people to be in phases 3 (crisis) and 4 (emergency) in the first quarter of 2022.¹ A recent World Bank household survey sheds a similar light: The number of households unable to cover basic food and non-food needs has doubled compared to May 2021 and 85% of households report that both quality and quantity of food are insufficient. The number of people looking for employment has increased and those in employment are experiencing a significant decline in their earnings.² The Whole of Afghanistan assessment, conducted at the district level in December 2021 and January 2022, showed that many households continue to be faced with the inability to meet the basic need and a lack of access to enough food, medicines and health care services and markets was reported. This has resulted in a high reliance on debts.³
11. There are a projected 24.4 million people in humanitarian need of which 22.8 million are projected to phase acute food insecurity in 2022⁴, up from 18.4 million people at the start of 2021. There are needs across every province in Afghanistan with extreme needs spread across 29 provinces and severe needs in the remaining five provinces.⁵ Furthermore, there are 2.6 million registered Afghan refugees in the world, of whom 2.2 million are registered in Iran and Pakistan alone. Another 3.5 million people are internally displaced, having fled their homes searching for refuge within the country.⁶

¹ IPC Afghanistan Sep 2021 to March 2022

² World Bank Afghanistan Welfare Survey 2022

³ Reach Initiative 2022 Présentation PowerPoint (impact-repository.org), accessed 7 March 2022

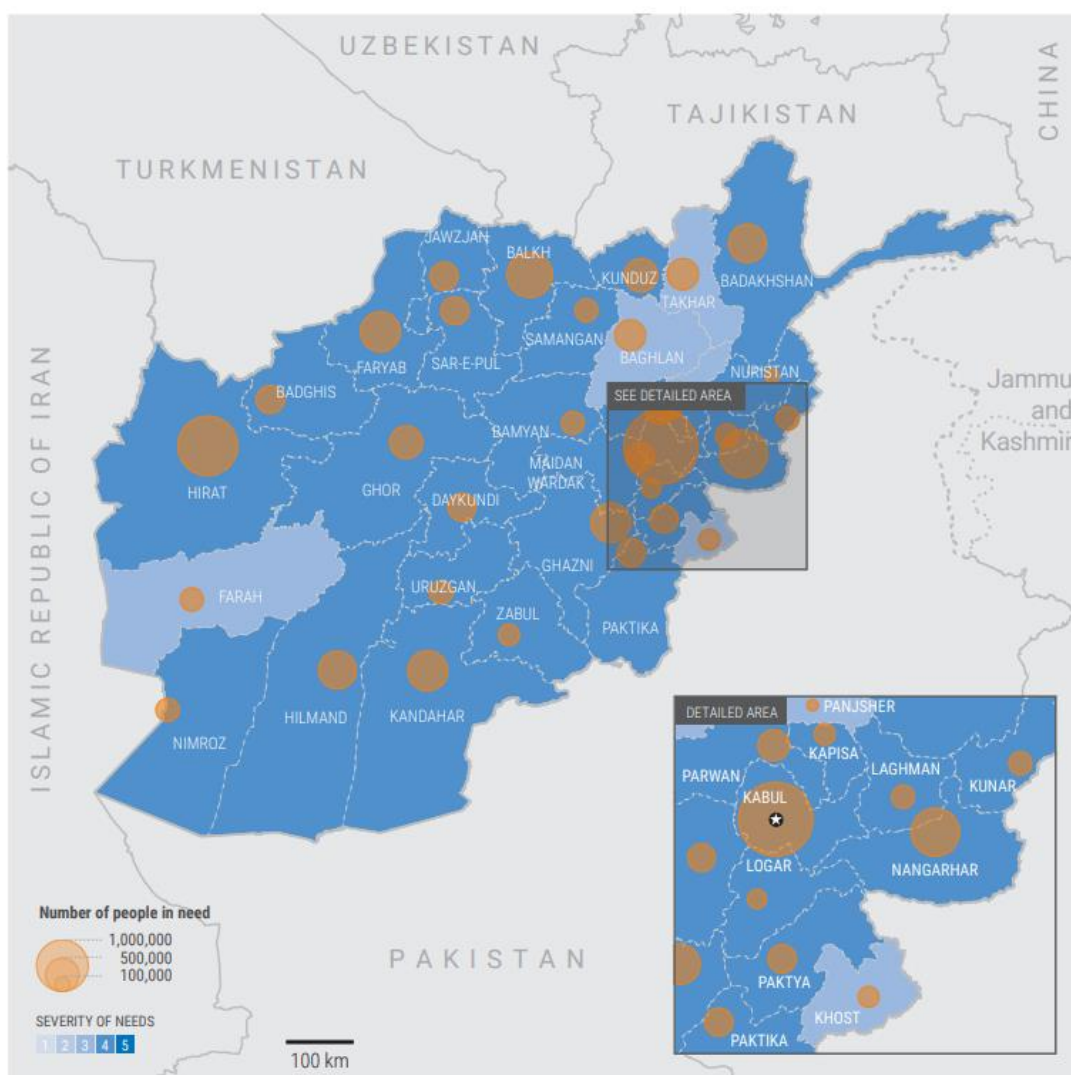
⁴ Afghanistan: Acute Food Insecurity Situation and Projection

⁵ Afghanistan HNO 2022

⁶ Afghanistan Situation Regional Refugee Response Plan

12. Afghanistan has long been ranked the worst place to be a woman or girl⁷ and the situation has worsened more recently following the continued closure of secondary schools for girls⁸ and the closure of women’s shelters⁹, to name just two aspects. The humanitarian community continues to negotiate with the de-facto authorities about the safe participation of women in humanitarian aid as recipients and employees. Significant worries about the realization of the rights of girls and women across all areas of society remain.
13. Humanitarian needs were increasing even prior to August 2021 and humanitarian agencies have been able to increase their assistance to serve 10.3 million people in the first 3 quarters of the year. In late 2021, previously hard-to-reach areas have become more accessible. Currently, the challenges of the financial system are affecting the entire country including all service delivery.¹⁰

Figure 1 Afghanistan Map¹¹



⁷ GIWPS 2021 Women, Peace and Security Index

⁸ The Guardian Taliban ban girls from secondary education-in-Afghanistan

⁹ TNH Protection for women facing violence have vanished

¹⁰ Afghanistan Humanitarian Response Plan 2022

¹¹ Afghanistan HNO 2022

14. [Scale-up Activation](#): The Emergency Relief Coordinator (ERC) and Inter-Agency Standing Committee (IASC) Principals on 11 September 2021 designated a Humanitarian System-Wide Scale-Up (henceforth referred to as 'Scale-Up Activation') for Afghanistan.
15. The current Scale-Up protocols, superseding the previous IASC L3 protocols, are entering their fourth year of implementation. Its activation for Afghanistan in September 2021 is the second in a political conflict setting and is following the still active Scale-up Activation Northern Ethiopia (since April 2021) and preceding the recent activation for Ukraine (since March 2022). The Afghanistan Scale-Up Activation has been extended until 11 June 2022.
16. The Humanitarian Response Plan (HRP) 2021 for Afghanistan required US\$1.3bn to serve 15.7 million people. A flash appeal covered additional needs from August to December 2021 and required US\$193.1m to serve an additional 2 million people. The level of funding has been at 90% for the HRP and at 164% for the Flash Appeal¹². The 2022 HRP for Afghanistan requires US\$ 4.4bn to assist 22.1 million people. This represents the largest ever single country appeal. The HRP covers pillar 1, save lives, of the overarching United Nations Transitional Engagement Framework (TEF) for Afghanistan. The Afghanistan Regional Refugee Response Plan (RRP) is requesting an additional US\$ 623 million to assist 5.7 million Afghan Refugees in the region.
17. The strategic objectives of the HRP are as follows:¹³
 1. Timely, multi-sectoral, live-saving, equitable and safe assistance is provided to crisis-affected people of all genders and diversities to reduce mortality and morbidity.
 2. Protection Risks are mitigated, while protection and human rights needs for people of all genders and diversities are monitored and addressed through integrated and inclusive humanitarian action.
 3. Vulnerable people of all gender and diversities are supported to build their resilience and live their lives in dignity.
18. The Operational Peer Review (OPR), as mandated by the [IASC protocols](#), took place in May. A mission by the Emergency Directors Group (EDG) took place from 20 to 24 February 2022.
19. In line with IASC protocols, an evaluation of Scale-Up responses is required within 9 to 12 months of the declaration of the Scale-Up to meet its formal learning and accountability needs.
20. On 20 May 2022, the Emergency Response Coordinator (ERC) officially launched the Inter Agency Humanitarian Evaluation of the collective response to the crisis in Afghanistan.

¹² [UN Financial Tracking System](#), accessed 15 March 2022

¹³ [Afghanistan Humanitarian Response Plan 2022](#)

3 PURPOSE, SCOPE AND OBJECTIVES

21. The **purpose** of this evaluation is two-fold:

- 1) enable [learning for the humanitarian system](#). The IAHE can provide valuable lessons for future IASC Scale-Up Activations and for the humanitarian responses under conditions similar to those in Afghanistan.
- 2) ensure [accountability](#) of the IASC organizations towards both affected populations and donors. IAHEs are an integral element of the Humanitarian Program Cycle, assessing to which extent the humanitarian response has met the needs of the people affected in Afghanistan.

22. The **scope** of the evaluation is as follows:

- [Substantive scope](#): The subject of this evaluation is the collective action of IASC member organizations to meet the humanitarian needs of people in Afghanistan. Collective action refers to the sum of individual relief efforts aligned with the HRP and all related collective action of the humanitarian community. For the response, the Afghanistan Flash Appeal 2021 and the Afghanistan Humanitarian Response Plan 2022 will provide guidance to assess if the set goals were appropriate and achieved.
- [Temporal scope](#): The evaluation will cover the IASC-led humanitarian response, starting with the start of the Scale-Up Activation in September 2021 and cover the response until the time of data collection. It will also extend its view to a relevant period before the Scale-Up Activation to ensure a comprehensive understanding of the level of preparedness and the humanitarian response in its context.
- [Geographical scope](#): This IAHE will cover the collective response to humanitarian needs in the whole of Afghanistan.

The scope of the evaluation is subject to consultation with the Humanitarian Country Team (HCT) in Afghanistan during the inception phase.

23. The main **objective** of this evaluation is to provide an independent assessment of the collective action of IASC member organizations to meet the humanitarian needs of people affected by the humanitarian crisis in Afghanistan. In more detail, the IAHE will:

- a. Determine the extent to which the IASC member agencies' collective preparedness and response actions were relevant, coherent, and effective to address the humanitarian needs.
- b. Assess the results achieved and outcomes generated by the collective response.
- c. Examine the level of gender-responsive programming and women and girls' participation across the collective response.
- d. Provide learning of the relevance and effectiveness of the Scale-Up Activation for the response in Afghanistan and contribute to learning across different Scale-Up Activations.
- e. Identify good practices, opportunities and lessons learnt that will illustrate how collective response mechanisms might be strengthened or be refigured to contribute to a relevant, coherent, and effective response.

4 INTENDED USERS

24. The IAHE's findings and recommendations are expected to:

- Provide the Humanitarian Coordinator (HC) and Humanitarian Country Team (HCT) in Afghanistan with independent and credible evidence of the collective progress towards objectives and results of the response plan and/or other collectively agreed humanitarian plans and strategies as determined during inception phase. Further, facilitate the development of actionable recommendations with the HCT for improving the ongoing humanitarian response in Afghanistan.
- Provide the IASC Deputies Forum, the Operations, Policy and Advocacy Group (OPAG) and the Emergency Directors Group with independent and credible evidence of the effectiveness of the Scale-Up Activation and the collective response in the context of the conflict in Afghanistan.
- Contribute to the evidence base for decision-making at the global level – improving future humanitarian action, policy development, and reform by the IASC Principals, Operations, Policy and Advocacy Group (OPAG), Emergency Directors Group, and other stakeholders.

25. In doing so, the evaluation will also aim to:

- Provide information to affected people on the outcomes of the response.
- Provide information about external factors enabling or impeding the response
- Provide local actors, international organizations, and learning and evaluation networks with evaluative evidence of collective response efforts for accountability and learning purposes

5 EVALUATION QUESTIONS

26. The matrix provided below contains indicative questions. Together with the Humanitarian Country Team in Afghanistan, they will be further elaborated and/or adapted during the inception phase to produce the final list of key questions and sub-questions that will guide the evaluation.

Evaluation Criteria	Main Evaluation Questions	Proposed Evaluation Sub questions (to be further developed and adapted during inception phase)
Relevance	To what extent did the IASC member agencies' collective preparedness and response efforts prove relevant and adaptive in meeting the demands of the crisis and the humanitarian needs caused by it?	<ul style="list-style-type: none"> • To what extent were IASC member agencies able to anticipate contextual changes and what capacities were in place to respond? • To what extent has the collective response been based on identified needs of and consultation with affected people, including girls, women, men, and boys from different groups and those that belong to the most vulnerable and hardest to reach groups?

		<ul style="list-style-type: none"> • To what extent were the humanitarian principles, accountability to affected populations, PSEA and gender taken into consideration and mainstreamed throughout the humanitarian response plans? • How well has the IASC's collective response been able to react and adapt to major and minor changes in context?
Coherence	To what extent was the IASC members' collective response coherent and well-coordinated?	<ul style="list-style-type: none"> • How has the system wide IASC Scale-up Activation and its protocols and IASC guidance documents contributed to the response? • To what extent were national and local response capacities utilized and integrated at coordination and response level? • How well did IASC member organizations coordinate their efforts in responding to the humanitarian needs and in accordance with IASC policies?
Effectiveness	<p>To what extent were the IASC members' collective efforts able to effectively respond to the humanitarian crisis in Afghanistan?</p> <p>To what extent has the collective response generated significant positive or negative, intended or unintended outcomes?</p>	<ul style="list-style-type: none"> • To what extent were the planned strategic objectives, as formulated by the HCT, achieved? • What are the enabling and inhibiting factors of the response (and how were the latter addressed)? • To what extent has the IASC Scale-Up Activation enhanced the effectiveness and timeliness of the response? • Are feedback mechanisms effective? • For whom, and in what ways did the collective response work? • To what extent did the effects reach all identified target groups and specifically women and girls, minorities and people living with disabilities?
Cross-cutting issue: gender and inclusivity	To what extent can the IASC member agencies' collective response be considered equitable and inclusive?	<ul style="list-style-type: none"> • To what extent has the IASC's members collective response been able to ensure equitable inclusive participation and access to all services, especially for women and girls, people with disabilities, communities in hard-to-reach areas, minorities?

27. Whenever possible and in line with the cross-cutting theme of gender, the evaluation findings will present with disaggregated data across all questions, especially with regards to women and girls.

28. To support answering these questions, the IAHE will also conduct or use an existing, agreed analysis of the political, security, and operational environment that interacts with the humanitarian action in Afghanistan. Wherever required, the evaluation findings will refer to specific contexts of the various locations of implementation.
29. In addition, a range of cross-cutting themes will be included in the evaluation questions during the inception phase. This pertains to themes such as humanitarian principles, inclusivity, protection, gender and accountability to affected people (see section # 7 for cross cutting themes) and how they were taken into consideration throughout the Humanitarian Programme Cycle – from preparedness measures, needs assessments and planning processes for the response itself, as well as the monitoring of it – to ensure that no one, including the most vulnerable, was left behind.

6 EVALUATION APPROACH AND METHODOLOGY

30. The conduct of this evaluation is subject to the availability of funding.
31. The IAHE will be conducted by a team of independent evaluation experts. The gender balance, geographic diversity and language abilities of the team will be ensured to the extent possible.
32. The evaluation is expected to require a work effort of 120 – 140 days for the Team Leader over a period of 9 – 10 months.
33. The evaluation is expected to start in July 2022.
34. This ToR proposes a theory-driven approach to the evaluation. The collective response in Afghanistan currently does not have an explicitly defined Theory of Change. This would need to be developed by the evaluation team at the outset of the evaluation, on the basis of the HRP and consultations with the HCT and other stakeholders, as relevant.
35. Innovative approaches to the evaluation, data collection and analysis or presentation are encouraged.
36. A range of data collection tools are expected to be used to answer the evaluation questions. The evaluation methodology will integrate participatory processes, especially at the community level to adequately engage women, men, boys and girls of different ages and take into consideration the existence of disadvantaged groups, such as people with disabilities. Data is expected to be derived from primary and secondary sources. Data collection methods might include: a desk review of relevant documents, semi-structured key informant interviews, focus group discussions, workshops, and an analysis of existing survey(s), monitoring and financial data. Key informants will include employees from national and international organizations, recipients/non-recipients of aid in affected communities, local and national authorities and inter-locutors of humanitarian organizations. Others might be added throughout the evaluation. In this way, the evaluation will seek to be inclusive of the views of diverse stakeholder groups at all levels.
37. To gather further perspectives from communities, the option to conduct a survey of affected communities across Afghanistan will be explored during the inception phase. The objective is to obtain, as systematically as possible, the experience of the assistance received by people affected by the conflict, and as related to the evaluation questions. The evaluation team shall explore existing household or community level data (for example from REACH-initiative) and will be able to propose alternative approaches, as relevant. The evaluation team will identify suitable data analysis

methods, including the use of software at their disposal. The analytical framework will be refined and finalized during the inception phase.

38. With sufficient planning, the evaluation team is expected to be able to conduct field visits across Afghanistan during the data collection phase. This will allow for direct /in-person exchanges with key informants as well as the direct observation of unfolding humanitarian operations. This will also allow engagement with a broad range of stakeholders. The field visit is expected to last 2 to 4 weeks.
39. Subject to its completion, the current IAHE will be informed by the findings of the OPR and assess its role to support the collective response. Further, the IAHE will harness findings from available IASC members' evaluations, for example the agency-specific L3 evaluations, and link closely with the team leaders of these evaluations. Specific linkages, such as joint missions, shared data sources, focus group discussions or surveys, with the aim of creating synergies, avoiding duplication and reducing the burden on affected communities and frontline responders shall be explored. As mentioned above, existing household-level survey data (for example from Reach Initiative, World Bank, Awaaz Afghanistan etc.), will be considered. The inception report is expected to detail the role such evidence will play for the IAHE.
40. The specific contours of the above proposed evaluation approaches and methodologies will be refined during the inception phase by the evaluation team and in accordance with the Management Group (MG).
41. It is expected that the Team Leader of this evaluation exchanges regularly with the Team Leader of the IAHE Northern Ethiopia to identify learning pertaining to the humanitarian system across responses. Two half-day, online workshops with both Team Leaders, the respective Management Groups and other stakeholders will be conducted to further support these exchanges.
42. The following risks and mitigation strategies have been identified by the Management Group. This table will be revised by the evaluation team during the inception phase.

Evaluation risks and mitigation

Potential risks	Mitigation measures
<p>Inability to collect primary data from women in communities, women's groups and female staff.</p> <p>(High risk: medium likelihood, high impact)</p>	<p>Allow sufficient time for early planning and negotiation. Identify and include gate-keepers in such negotiations on access for the evaluation team across the country and where security allows. Ensure that women participate as evaluators and, in case of surveys, as interviewers/enumerators.</p>
<p>Volatile access and security situation subject to unpredictable dynamics threatens the conduct of the evaluation (security of team, participants and ability to seek perspectives of affected populations).</p>	<p>The scope and implementation of the IAHE will be subject to the evolution of the conflict and depend heavily on the support of all stakeholders.</p> <p>Continuous monitoring of the political and security developments with agile/ adaptive evaluation planning at the outset and flexible planning to allow for last minute adjustments in the implementation of the evaluation.</p>

(Moderate risk: medium likelihood, high impact)	
Excessive burden and workload on humanitarian aid workers in Afghanistan limit their engagement with the evaluation. (Moderate risk: medium likelihood, medium impact)	Evaluation Team to actively identify ways to reduce evaluative burden, including through mapping of and strong coordination with other evaluative exercises. To further reduce the burden, the Team will also seek to collaborate with and harness pre-existing information, in particular stemming from the OPR and other recent evaluations in Afghanistan (L3) as well as survey data (for example Reach Initiative), without replicating efforts already underway/conducted.
Logistical and access challenges with regards to the COVID-19 pandemic. (Low risk: medium likelihood, low impact)	Consider travel requirements including vaccination, testing and eventual quarantines when planning travel to Afghanistan and within Afghanistan and upon return. Assess the predictions for Covid-19 transmission in Afghanistan when planning field missions, as well as national arrangements of tele-working etc
Insufficient ability to collect relevant information remotely, in case in-person visits to the country are not possible (Low risk: low likelihood, medium impact)	This is currently considered to be a low risk, but this could change at short notice at any time in the evaluation process. In reaction to such a situation, the evaluation team and management group will revisit the evaluation plans to reconsider timing and/or the evaluation questions that can be answered

7 CROSS-CUTTING THEMES

43. The evaluation team is expected to consider the following cross-cutting themes throughout the evaluation and demonstrate in the proposal how these themes will be applied to the evaluation questions.
44. **Humanitarian principles:** Humanitarian action is governed by the four humanitarian principles of humanity, impartiality, neutrality and independence.¹⁴ The evaluation shall examine how these principles were considered and applied in the collective humanitarian response in Afghanistan and assess how potential trade-offs between humanitarian principles were managed.
45. **Protection:** In line with the *ALNAP Guide: Evaluating Protection in Humanitarian Action* and the *IAHE Guidelines*, the evaluation shall consider the extent to which the inter-agency humanitarian response has mainstreamed protection issues and considered protection risks, particularly affecting the most vulnerable people. Additionally, the IAHE will determine the extent to which the response covered protection needs and identified and addressed gaps in the capacity of rights holders to claim their rights and of duty bearers to fulfil their obligations. In a bid to promote durable solutions and sustainability, the IAHE processes shall, where possible, seek to understand how underlying issues, barriers and drivers of inequalities are identified and addressed within

¹⁴ Humanitarian action should be motivated by the sole aim of helping other human beings affected by conflicts or disasters (humanity); exclusively based on people's needs and without discrimination (impartiality); without favoring any side in a conflict or engaging in controversies where assistance is deployed (neutrality); and free from any economic, political or military interest at stake (independence).

humanitarian programming. The IAHE shall also consider how the IASC strategy and commitments on protection from sexual exploitation and abuse have been integrated into the collective humanitarian response.

46. **Gender and inclusiveness:** The evaluation process will aim to assess the extent to which the differential needs, priorities, risks and vulnerabilities of women, girls, men and boys are being identified, assessed and integrated in the humanitarian response. In line with the *UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation*,¹⁵ the UN System-Wide Action Plan (UN-SWAP) on gender equality¹⁶ and *the 2017 IASC Policy on Gender Equality and the Empowerment of Women and Girls in Humanitarian Action*¹⁷ the evaluation will apply a gender lens in all phases of the evaluation. The evaluation methodology will integrate participatory processes, especially at the community level, to adequately engage women, men, boys and girls of different ages and take into consideration the existence of disadvantaged groups, such as people with disabilities.
47. **Accountability to affected people:** The IAHE will endeavor to examine how the various segments of the affected population have been consulted and involved in the design of country-level plans, especially regarding the prioritization of needs, decision-making processes, and how limitations to participation and inclusion have been addressed. Additionally, the IAHE shall establish the extent to which existing feedback and complaint mechanisms are sufficiently available and used (and followed up on).

8 MANAGEMENT ARRANGEMENTS AND STAKEHOLDER PARTICIPATION¹⁸

48. The IAHE will be conducted by a team of external independent evaluation experts under the guidance, supervision and support of an IAHE Management Group (MG). The MG is chaired by the OCHA Evaluation Manager.
49. There will be a frequent exchange with the MG for the IAHE of Northern Ethiopia.

The Evaluation Team

50. The Evaluation Team will be recruited by the Management Group, through OCHA's procurement systems.
51. The team will comprise of at least five team members: Team Leader, 1 senior evaluator with relevant thematic expertise, senior research assistant or research assistant and two analysts (local evaluators). The team should collectively bring the following experiences and skills:
 - At least 1 female member, between Team Leader and senior evaluator, with a preference for the TL to be female. 1 female and 1 male analyst (local evaluator).
 - Extensive experience conducting inter-agency or joint evaluations of humanitarian strategies and programs, and other key humanitarian issues

¹⁵ www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=1401

¹⁶ www.unsystem.org/content/un-system-wide-action-plan-gender-equality-and-empowerment-women-swap

¹⁷ <https://interagencystandingcommittee.org/system/files/2020-11/IASC%20Policy%20on%20Gender%20Equality%20and%20the%20Empowerment%20of%20Women%20and%20Girls%20in%20Humanitarian%20Action.pdf>.

¹⁸ For further details on the specific roles and responsibilities of the different IAHE stakeholders, please see "Inter-Agency Process Guidelines", developed by the IAHE Steering Group, May 2018.

- Experience with and institutional knowledge of UN, NGO and civil society organization (CSO) actors, as well as interagency mechanisms at headquarters and in the field is desirable: food security, health/nutrition, WASH, emergency shelter, education, protection.
 - Experience conducting humanitarian evaluations in conflict-affected and access constrained environments.
 - Extensive knowledge of evaluation methodology/approaches, data collection and analysis methods and tools
 - An appropriate range of humanitarian field experience
 - Experience in gender analysis or gender mainstreaming and programming
 - At least one team member should have context-specific knowledge and experience, including on the humanitarian system in Afghanistan
 - At least one team member should have extensive skills in data analysis and visualization
 - Experience in facilitating consultative, participatory workshops involving a wide range of organizations, stakeholders, and participants (in-person and virtual)
 - All evaluation team members should be free from conflict of interest both from their past engagements and for any planned future engagements during and for at least 6 months after their engagement with the IAHE
52. The Team Leader and senior evaluator should have excellent writing and communication skills in English. All team members must have a working knowledge of English. The team must show working knowledge of Pashto and Dari, ideally across several team members.
53. The Team Leader will have at least 15 years of professional experience in humanitarian action, including experience in management of humanitarian operations or coordination. Further, they will have led at least 5 evaluations of humanitarian operations and demonstrate strong analytical, communication and writing skills. They will be 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 team members and taking responsibility for the quality of their work, undertaking the inception field visit, representing the Evaluation Team in meetings, ensuring the quality of all outputs, submitting all outputs in a timely manner.
54. The Senior Evaluator will have at least 10 years of professional experience in humanitarian aid and conducted at least 5 evaluations in the role of the senior evaluator or above.
55. The Analysts (local evaluators) will have more than 2 years of experience in humanitarian aid, be familiar with research methods and have previously worked as evaluators.
56. A senior research assistant/research assistant will have 5+/2-5 years of experience.

Management Group

57. The IAHE will be managed by an Inter-Agency Management Group comprised of senior-level evaluation professionals representing the independent evaluation offices of IAHE Steering Group members, including the following organizations: FAO, IOM, UNICEF, UNHCR, WFP and OCHA (chair).

58. The Management Group will provide sustained support and guidance to the evaluation process, to ensure its alignment with the ToR, independence and transparency, and promote the dissemination and utilization of evaluation findings.
59. The members of the Management Group are mandated by their respective Steering Group representatives within all the delegation of authority of the Management Group to manage IAHE deliverables as per the IAHE guidelines. In accordance with said guidelines, the Management Group members will act as point of contact for the evaluation for their organizations and provide quality control and inputs to the IAHE including with regard to scoping, inception, planning, guidance, oversight, quality control, internal liaison, consultation, support and utilization of the evaluation.
60. The independence of the evaluation process will be safeguarded by, and will reside with, the Management Group. The Team Leader will report to the Management Group through the MG's chair, with all final quality control and process decisions resting with the Management Group in order to ensure the smooth functioning of the evaluation. Wherever necessary, the Management Group will work with the Team Leader to finalize individual evaluation outputs, so as to ensure the maximum quality, credibility and utility of all end products.
61. The Chair of the Management Group will be OCHA's Evaluation Manager. They will be the main point of contact for the evaluation and ensure day-to-day support and consistency throughout the evaluation process, from drafting the TOR to the dissemination of the report.

Advisory group

62. An In-Country Advisory Group might be established during the inception phase. It would represent country-level stakeholders that have been directly involved in the response in Afghanistan. It will play a key role in advising the Evaluation Team and Management Group, and in supporting the evaluation through the planning, implementation and follow-up stages. It serves in an advisory and not in a decision-making capacity. The HCT might fulfil the role of in-country advisory group.
63. The responsibilities of this group will include: to help ensure the relevance, credibility and utility of the evaluation, to facilitate evaluation planning and data collection, to review and provide feedback on draft documents, to participate in a validation workshop, to help promote ownership of stakeholders, to support the HCT in the preparation of the management response plan and to assist with developing and implementing a communication strategy. The in-country advisory group is chaired by the OCHA evaluation manager. Further details on membership and meeting modalities will be outlined in the Terms of Reference of the Advisory Group.

IAHE Steering Group

64. As per IAHE Guidelines, the IAHE Steering Group will approve the TOR, as well as the final evaluation report, based on the recommendations provided by the IAHE Management Group. The Steering Group will also contribute to the development of a communications strategy for the dissemination of the IAHE.

9 QUALITY ASSURANCE

65. The evaluation will be guided by the UNEG Norms and Standards and the UNEG ethical guidance for evaluation to ensure the quality of evaluation process. The evaluation team is expected to consider ethical considerations throughout the entire evaluation process. 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 \(UNEG\) Ethical Guidelines for Evaluation](#) of 2020. Furthermore, it is vital for the evaluation to fully comply with the precautionary measures put in place by the collective agencies and host governments, in order to protect staff, teams and consultants, partners and people. It is of utmost importance that the ‘do no harm’ principle consistently guide evaluation efforts across the board, including as it applies to those involved in the on-going response as well as affected populations.
66. The [UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation](#) shall serve as point of reference to integrate human rights and gender equality concepts, standards, values and principles throughout the evaluation.
67. IAHEs apply internationally established evaluation criteria that draw from the evaluation criteria in the [United Nations Evaluation Group \(UNEG\) norms and standards](#), revised [Development Assistance Committee of the Organization for Economic Co-operation and Development \(OECD/DAC\) criteria for development evaluation](#), and the [ALNAP criteria for the evaluation of humanitarian action](#).
68. All quality assurance, both of a technical and linguistic nature, will be the responsibility of the Evaluation Team under the leadership of the Team Leader. Key deliverables will be reviewed according to the OCHA Quality Assurance System for Evaluations. All final evaluation products will be in IAHE formatting and conform with OCHA’s Style Guide. First level quality assurance is the responsibility of the evaluation firm. Second level quality assurance will be provided by the Management Group. Payment of consulting fees at each stage of the evaluation will be contingent on the Management Group’s satisfaction with the quality of deliverables provided at each milestone. To ensure the quality of the final outputs, the evaluation team should also include a peer review as part of its quality control procedures.

10 EVALUATION PLANNING AND DELIVERABLES

69. The Evaluation Team is responsible for the following deliverables:

Inception phase

70. The inception phase is one of the opportunities for the Management Group and the in-country Advisory Group/HCT to feed into the evaluation process.
71. The inception phase is expected to be carried out remotely and last 3 months.
72. The evaluation team is expected to consider the humanitarian and operational context as well as data availability and accessibility before developing the evaluation framework:
 - Review available documents and data related to the response planning and implementation. An initial set of documentation will be made available by the Management Group and will include, but is not limited to, humanitarian response plans, humanitarian

bulletins or situation reports, (mid-year) reviews of the humanitarian response plan, collective response data (clusters), assessments, the OPR report, available evaluations, survey reports and data, other reports and documentations. This review will be completed during the data collection phase.

73. The objective of the **document review** is to serve as contextual analysis and a review of the operational conditions of the collective humanitarian response. The results of the document review will be reported separately from the inception report and serves to inform the evaluation framework and the adaptation of the evaluation questions.

74. The Evaluation Team will produce an inception report which will outline:

- The Team’s understanding of the issues to be evaluated (objectives), their understanding of the context in which the IAHE takes place and any suggested deviations from the TOR, including any additional issues raised during the initial consultations. This shall not be a repetition of the TOR.
- A **detailed stakeholder analysis** and clear indication of national entities and communities to be consulted, engaged with and involved in the evaluation process, as relevant. Per stakeholder, a plan of action should be proposed, outlining the planned level and scope of engagement in the evaluation.
- The details of the gender analysis approach
- A **comprehensive methodological approach** for the evaluation, including:
 - ⇒ Evaluation approach and design
 - ⇒ A draft Theory of Change (TOC), developed on the basis of the HRP and in consultation with key stakeholders
 - ⇒ An evaluation matrix relating to the TOC, with sub-questions for each of the evaluation questions. This matrix should indicate, for each question, the assumptions to be assessed, the indicators proposed and corresponding sources of information. It should also outline sources of data and methods required to answer those questions (including documents, information, and data asked of all agencies involved in the response, including those not represented on the Management Group or Advisory Group)
 - ⇒ An **assessment of data availability and accessibility** in relation to the evaluation questions at hand, and the identification of challenges/gaps and a plan for mitigating them, resulting in a set of final key evaluation questions.¹⁹
 - ⇒ Approaches and strategies used to identify and reach affected people, and to adequately engage women, men, boys and girls of different ages at various stages through the evaluation process, including methodology development, taking into consideration disadvantaged groups, including people with disabilities.

¹⁹Challenges, even significant challenges, in answering individual questions will not be considered a reason for not answering them; rather, the identification of these challenges should result in a preliminary indication of the level of robustness with which each can be answered in light of the available data – and, where necessary, what the level of effort will be necessary to increase the robustness of the analysis on key questions, wherever appropriate.

- ⇒ Data collection plan and analysis tools that will be used to conduct the IAHE (survey instruments, interview guides, field data collection plan and schedule of interviews, and other tools to be employed for the evaluation).
- ⇒ Any limitations of the chosen methods of data collection and analysis and how they will be addressed. This might include, for example, methodological and management measures to reduce any potential bias in data collection undertaken by the consultants that may arise due to their regional, religious or ethnic identity.
- ⇒ A final list of data sources to be used, including where applicable pre-existing survey data, and a finalized sampling strategy.
- ⇒ A data analysis plan and factors for comparative analysis and validation strategy
- A **detailed workplan/timeline** for the remaining evaluation phases including planning for field mission, and for all deliverables
- A description of team organization and quality assurance arrangements

75. In sum: The deliverables of the inception phase are a (1) findings from document review, a (2) inception report including a (2a) stakeholder analysis, (2b) draft TOC, (2c) assessment of data availability and accessibility and (3) a workplan/timeline.

Evaluation phase

76. The evaluation phase is expected to last up to 6 to 7 months.

77. It is expected that the evaluation team will plan for and collect primary data during a 2 – 4 weeks long **field visit** to Afghanistan.

78. The **evaluation report** should not exceed 25,000 words (excluding executive summary and annexes). It should be written in a clear and concise manner that allows readers and all intended users, especially decision makers, to understand the main evaluation findings, conclusions and corresponding recommendations, and their inter-relationship. The report should be comprised of a(n):

- Executive summary of 2,500 words.
- Summary table linking findings, conclusions and recommendations, including where responsibility for follow-up should lie.
- Analysis of the context in which the response was implemented.
- Methodology summary. This should be a brief chapter in the main report, 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. The report should contain a dedicated section that consolidates all the key lessons learned from the response and any innovations that IASC should be further brought to scale.

79. The final report should present recommendations that are specific, clearly stated and not broad or vague; as well as realistic, reflecting an understanding of the humanitarian system and potential

constraints to follow-up. They should suggest where responsibility for follow-up should lie and include a timeframe for follow-up.

80. Annexes will include: 1) TOR, 2) detailed methodology, 3) list of persons interviewed, 4) details of qualitative and quantitative analysis undertaken, 5) team itinerary, 6) all evaluation tools employed including an evidence matrix, 7) list of acronyms, 8) complete bibliography of references 9) a summary table that links the key findings, conclusions and recommendations of the evaluation.
81. The draft report and its versions will be reviewed by the Management Group. The final report will be cleared by the IAHE Steering Group prior to dissemination. No limited number of drafts is set due to the need to optimize the quality of the evaluation report.
82. Prior to finalization of the evaluation report, the Evaluation Team should conduct a validation workshop to collect views on the findings and emerging recommendations from the in-country advisory group/HCT and other, identified stakeholders (for example, sub-national humanitarian teams).

Other evaluation products or deliverables

- **Two half-day Workshops:** The Evaluation Team Leader is expected to plan, together with the MG, two half-day workshops harnessing learning for the humanitarian system across responses. These are expected to occur around the end of the inception phase and during the reporting phase, respectively. The workshops are for the evaluation team and the management group of the IAHE Northern Ethiopia and the IAHE Afghanistan.
 - **Ranking of strength of evidence:** The Evaluation Team will present a matrix listing evidence available, per evaluation question. This will include an indication of the level of strength of the evidence collected. (Part of annex 6 of evaluation report)
 - **Presentations:** Based on the dissemination plan prepared by the Management Group, the Evaluation Team will produce presentations, including for the Humanitarian Coordinator (HC)/ Humanitarian Country Team (HCT), IASC members, donors, and in-country to national and local actors, including affected populations where possible.
83. **Additional evaluation products** such as briefs, video presentations or similar may be proposed in the inception report for the Management Group's consideration. All deliverables listed will be written in standard UK English, and submitted as Word and PDF documents, using the IAHE template. 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.

11 DISSEMINATION AND FOLLOW UP

84. In consultation with the Evaluation Team and the in-country Advisory Group, the Management Group will prepare a dissemination, communication, and engagement strategy for the IAHE. The strategy will outline how the evaluation's findings, conclusions and recommendations will be disseminated to all relevant audiences, including affected people and public. The strategy will also outline specific communication products, and their most effective and interactive dissemination channels.

85. The Evaluation Team will conduct the following presentations:

- Exit brief with the relevant international humanitarian response teams (UN/HCT), the relevant Government counterparts, and the Management Group share first impressions, preliminary findings and possible areas of conclusions and recommendations at the end of the field visit. The brief will help clarify issues and outline expected or pending actions from any stakeholders as relevant and discuss the next steps.
- Upon completion of the evaluation report, the results of the IAHE will be presented by the Evaluation Team Leader to the.
- Once the evaluation is completed, presentations of the main findings and recommendations will be made available to various fora, as decided by the IAHE Management and Steering Groups. This may include the IASC Operations, Policy and Advocacy Group (OPAG), the IASC Emergency Directors Group (EDG) and the IASC Deputies Forum or other stakeholders as required. The Evaluation Team may be requested to assist with these presentations.

86. Other dissemination channels:

- The IAHE final reports will be submitted to the ERC and shared with the IASC Principals, the Operations, Policy and Advocacy Group and the Emergency Directors Group.
- The inception, evaluation reports and policy briefs will be made available on the websites of the IASC and the IAHE Steering Group member agencies.
- In addition to the evaluation report and oral briefings, the evaluation findings and recommendations can be presented through alternative means of dissemination, such as websites, social media, videos, etc.

12 MANAGEMENT RESPONSE PLAN

87. The global recommendations of the evaluation will be addressed through a formal Management Response Plan (MRP). The preparation of the MRP will be facilitated by the IASC Secretariat and OCHA and approved by the Emergency Relief Coordinator.

ANNEXES

Annex I: Tentative timeline and phases of the evaluation (subject to funding availability)

Phase	Timeline	Main activities
Preparation	March - April	Set up Management Group Finalize Terms of Reference and draft budget Identify and collect relevant documents/ reports
Contracting	May – June	Evaluation company recruitment
Inception	July – September 2022	Inception mission (online) Prepare deliverables of the inception phase Feedback on Inception Report Half day workshop
Data collection	October - November 2022	Field mission Primary data collection
Reporting	December 2022 to February 2023	Data Analysis Prepare draft report Presentation of preliminary findings/Validation Workshop Review and revision Final report
Dissemination	March 2023 onwards	Prepare presentation materials Final presentation
Management Response Plan	March to April 2023	Preparation of MRP by Afghanistan HCT Preparation of MRP by IASC for global recommendations

Annex II: Coordinated Humanitarian Action: The Ideal Model – 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 RESPONSIBILITIES	Prevent and end conflicts [conflict-related crises]	Uphold norms of safeguard of humanity	Leave no one behind	Change people's lives: from delivering aid to ending needs	Invest in humanity & in local leadership and 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 partnerships	Common needs assessments & response plans	Common services	Concerted advocacy for adequate response capacity across sectors	Accountability
↑ ↑ ↑						
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	

Annex III: Overview of key requirements

This annex serves as instructions for the proposal to conduct the IAHE of the response to the humanitarian crisis in Afghanistan. The technical proposal (70%) will be evaluated separately from the financial proposal (30%). The award to conduct this evaluation is subject to winning the competitive secondary bidding process and the availability of funding. For more detailed information please see Annex C – Special Instructions.

Your technical proposal must clearly **illustrate your interpretation of the TOR and how your proposed services will be able to successfully respond to the IAHE's purpose, objectives and evaluation questions**, taking into account the information provided in the TOR. If you are proposing deviations from the TOR, include a justification/rationale.

Your proposal will be evaluated against the following criteria:

Pass/Fail criteria:

- Company has managed at least 3 evaluations of humanitarian responses or programs in the past 5 years
- Company demonstrate ability and systems for quality assurance
- Gantt Chart is provided
- Team Leader has a minimum of 15 years of experience
- Team Leader has led at least 5 humanitarian evaluations

Technical Criteria according to sections indicated below:

- Company profile and experience (100 points)
- Technical Approach (160 points)
- Human Resources (170 points)

In addition to the needs of the evaluation described in the TOR above, please structure your technical proposal according to the following three section including, at minimum, the following elements.

1. **Company experience and resources:** A brief profile of your company, focusing on your experience with evaluations of humanitarian programs in conflict settings in the past 5 years. (max 4 pages)
 - 1.1. List 5 humanitarian evaluations you have conducted recently (Title, client, link to the evaluation report if possible). Please indicate which evaluations where in an insecure region or in a conflict affected zone and which sectors or themes you evaluated. If you have conducted inter-agency or joint evaluations before, please include these in your example.
 - 1.2. Describe your ability to support an evaluation team during field work in Afghanistan including the duty of care arrangements, e.g. security management, staff health and medevac procedures and support to the team during field visit.
 - 1.3. Describe the quality assurance mechanisms or systems within your company that you will use to support this evaluation. Who will be responsible for quality assurance and what processes will you employ to ensure quality?
 - 1.4. Describe the project management arrangements you will make to support this evaluation. What will be the arrangements within your company with regards to human resources and support to the evaluation team and processes?
 - 1.5. Describe your ability to conduct formal surveys among affected communities or other stakeholders if and when required. Include experiences from surveys you conducted in the past about the type of survey, how you sampled respondents, how you reached respondents or any other elements you would like to include.²⁰

²⁰ Please note that the survey will be decided during the inception phase, at which point you would provide a separate, detailed proposal for the survey.

- 1.6. Has your company been previously or is currently involved in an evaluation in Afghanistan? If yes, provide a brief statement about this.

2. Technical Approach (max 8 pages)

- 2.1. The Evaluation Team's understanding of the humanitarian context in Afghanistan
- 2.2. Proposed methodological approach to the evaluation, assuming you will be able to collect primary data across Afghanistan:
 - 2.2.1. Elaborate how your proposed approach will enable you to fulfil the purpose and objectives of the IAHE.
 - 2.2.2. Propose key aspects of a conceptual evaluation framework, demonstrating your understanding of the objectives of the IAHE and your analysis of the evaluation questions.
 - 2.2.3. Indicate how you will address the request towards gender and inclusivity and other cross-cutting themes throughout the evaluation.
 - 2.2.4. Present details about the data collection and analysis methods you plan to use to answer the evaluation questions. Include planning for field data collection. Include how you will use existing data, for example from the Reach Initiative. (Consult section 5 and 6 of the TOR)
- 2.3. Present an analysis of risks to the successful completion of the IAHE and how you will mitigate the risks
- 2.4. Gantt Chart including timeline, expected deliverables, and expected level of effort of team members/evaluation phase. Please consider eventual national holidays that might affect availability of key stakeholders. (Consult especially section 8 and 10)

3. Proposed Team (max 4 pages excluding CVs)

- 3.1. Description how the composed team meets the requirements stipulated under "The Evaluation Team" above.
- 3.2. Background, experience and skills of each team member of the Evaluation Team, including language skills
- 3.3. CV of each team member + 3 recommendation letters each for TL and SE
- 3.4. Background, experience and skills of company staff supporting this evaluation (quality assurance, project or operational management)
- 3.5. Overview of responsibilities and task division between the team members across the different evaluation phases