

Annex 1: Terms of Reference

COUNTRY STRATEGY EVALUATION ZAMBIA

Key information at glance about the evaluation	
Title of the evaluation:	UNHCR Country Strategy Evaluation Zambia
Type of evaluation:	Centralised
Time-frame covered:	2015-2020
Evaluation commissioned by:	UNHCR Evaluation Service
Date of advertising	October 2020

1. INTRODUCTION

UNHCR's country operations around the world aim to work effectively to pursue protection and solutions, to support the inclusion of internally displaced, refugees and stateless people in national and local services, and to contribute to societies and economies, especially in refugee hosting countries. Such efforts require learning lessons from implementation on the ground. These lessons inform UNHCR's strategic thinking, programme design and implementation both at the global and operation level, as well as ensure UNHCR country operations are supported in the application of strategic policy frameworks - such as the Global Compact on Refugees (GCR), UNHCR's Strategic Directions (2017-2021), the Comprehensive Refugee Response Framework (CRRF), and regional/national guiding frameworks - in the pursuit of protection and durable solutions for Persons of Concern (PoC).

To help inform this learning process, UNHCR's Evaluation Service began rolling out Country Strategy Evaluations (CSEs) in 2019.¹ This Terms of Reference lays out the background, objectives, purpose, scope, intended users, and envisioned methodological approach for a CSE in Zambia, that will further guide the design and implementation of this evaluation. Details on the Call for Proposals and team qualifications are included at the end of the ToR.

2. BACKGROUND

There are more than 67 million people of concern to UNHCR around the world—refugees, stateless persons, returnees, and IDPs affected by conflict — a number which has doubled over the past two decades. These historic levels of displacement have highlighted the need to revisit some of the traditional approaches to the provision of protection and assistance as well as the search for solutions.² UNHCR is committed to taking a strategic, evidence-based approach to identifying those areas where UNHCR can

¹ The terminology for these evaluations changed in 2020 from Country Portfolio Evaluations to Country Strategy Evaluations, in order to align them to the MYMP. Completed CSEs include Angola, Afghanistan, Iraq, and Morocco. At the time of writing, CSEs are also planned in Egypt, Uganda, Myanmar and Ukraine.

² UNHCR's Global Appeal 2018 – 2019 available at:

http://reporting.unhcr.org/sites/default/files/ga2018/pdf/Global_Appeal_2018_full_lowres.pdf

have most impact,³ and where we can most effectively leverage others in securing protection and solutions.

The adoption of the New York Declaration in September 2016 ushered UNHCR and partners into a new era of collaboration as States agreed to address and resolve refugee flows through a new model—the Comprehensive Refugee Response Framework (CRRF)—that places the rights, interests and potential of refugees and of their hosts at the heart of a multi-dimensional response extending beyond humanitarian action. Building on lessons learnt through the practical application of the CRRF, the Global Compact on Refugees (GCR) provides a platform through which UNHCR can reinforce existing, and build new partnerships, to improve response to refugee situations. Important developments linked to UN Reform, the Sustainable Development Goals and Agenda 2030 are also fundamentally reshaping the way in which UNHCR works.

In alignment with the five core areas of UNHCR's 2017-2021 Strategic Directions to ensure protection, respond in emergencies, promote inclusion, empower the people UNHCR serves, and expand opportunities for solutions, UNHCR country operations develop multi-year and annual protection and solution strategies, guided by participatory planning exercises (joint assessments of needs and priorities with partner organisations and key stakeholders including governments, donors, and people of concern). The annual planning process further defines country priority actions and allocates resources against these priorities in line with global and regional priorities.

In January 2019, the High Commissioner announced that UNHCR would move its Regional Bureaux to the field, setting in motion a far-reaching and consequential transformation for the organization⁴. The impetus for UNHCR's internal change process was driven, in part, by new developments in a rapidly evolving international context. At the global level, there has been an appetite for new approaches that go beyond traditional humanitarian action, and a realization that forced displacement is not just a humanitarian but also a political and a development challenge. The 2030 Agenda for Sustainable Development, adopted by world leaders at the UN General Assembly in September 2015, and its commitment to 'leave no-one behind' provide a powerful basis for the inclusion of refugees, the internally displaced and stateless people in economic development planning, as well as in all other measures taken by States to achieve the Sustainable Development Goals (SDGs).

By mid-2020, the new decentralised organizational structure and way of working is largely in place. A decentralized UNHCR will:⁵

- Ensure more effective protection to refugees and people of concern in ways that promote the exercise of fundamental rights, facilitates access to opportunities and assistance, and empowers them to seek their own solutions.
- Respond faster and in a more flexible way, especially at the onset of emergencies;
- Align with UN system reform and the presence of sister agencies and partners;
- Better integrate regional dynamics into annual and multi-year strategic planning and work more effectively with regional stakeholders, sister UN agencies and partners, in particular development actors and private sector interlocutors, towards inclusion of refugees and others of concern within host communities;

³ UNHCR Strategic Directions 2017 – 2021 available at: <https://www.unhcr.org/5894558d4.pdf>

⁴ UNHCR has seven Regional Bureaux, which were previously located within Headquarters in Geneva. Bureaux cover the full spectrum of setting regional strategies and priorities, managing performance and compliance, identification and monitoring of emerging issues and risks, and the provision of technical support and guidance to country operations. The Regional Bureau for Southern Africa, which covers Zambia, is based in Pretoria, RSA.

⁵ UNHCR Update on Decentralisation and Regionalisation (2020): <https://www.unhcr.org/5d1b87787.pdf>

- Ensure consistent support to country operations (CO), including the ability to course-correct in light of new challenges and opportunities, translate global priorities into regional and country specific strategies, and foster greater programmatic integrity and value for money.

The new Regional Bureaux are anticipated to become critical hubs for collaboration and strategic engagement, as well as for addressing any cross-cutting operational challenges. Regional Directors have primary accountability for strategic decision-making, regional prioritization, and quality assurance — and enhanced delegated authorities to effectively manage their respective regions. Technical experts, with functional links to the Divisions at HQs, are fully integrated within the regionalized bureau structures and lines of authority. The Regional Bureau for Southern Africa covers the following key areas:

1. Strategic Planning and Management: ensure the region's overall coherence with UNHCR's global objectives and HC's Strategic Directions; set regional bureau-wide priorities, manage and direct all regional resources, assess contextual changes in order to adjust regional operational priorities and provide oversight on key back office functions. It also provides operations with support and guidance in the area of programme management, operational/ technical support, human resources management, supply/ procurement, financial management, administration and Information and Communications Technology (ICT).
2. Protection: elaborate and empower regional approaches to UNHCR's global protection priorities; monitor and support the exercise of UNHCR's core protection mandate at country level and enhance solutions opportunities both at the country and regional levels.
3. External engagement: implement regional strategic communications strategy and oversee daily communications and public information requests, manage relationships with external partners, coordinate reporting and information management and create opportunities and support to engage with developmental partners.

In addition to these transformations, 2020 marks an unusual year in which all operations globally were affected by the COVID-19 pandemic. Beyond the obvious health implications, restrictions on cross-border and internal movements, decline in economic activity, and social distancing associated with the COVID-19 response have not only affected UNHCR's ability to deliver to PoCs, but have also had a profound impact on the lives of refugees and on the communities and Governments that host them.

3. UNHCR OPERATIONAL CONTEXT IN ZAMBIA

Despite being a peaceful lower-middle income country with a population of approximately 18.4 million people⁶; Zambia continues to face equality challenges, particularly in the areas of life expectancy, education skills, and poverty – which are differentiated by gender and geographical location.⁷ Most of the refugee hosting communities are in highly deprived geographical locations, with limited access to education and skills, health services, clean drinking water and sanitation, as well as income generation and livelihood opportunities. In addition, Zambia is at the crossroad between Eastern and Southern Africa and is a destination as well as a transit country for mixed migration flows.

Zambia has a long history of providing international protection and assistance to refugees and is a champion among Southern African countries in providing opportunities for socio-economic integration. This is reflected in the national Refugees Act (2017), which lays out the foundation for refugee domestic law covering protection of asylum seekers in Zambia, as well as socio-economic integration of refugees in the country. The Office of the Commissioner for Refugees (COR) in the Ministry of Home Affairs is UNHCR's main Government interlocutor under the Refugee Act. A Project-Partnership Agreement (PPA)

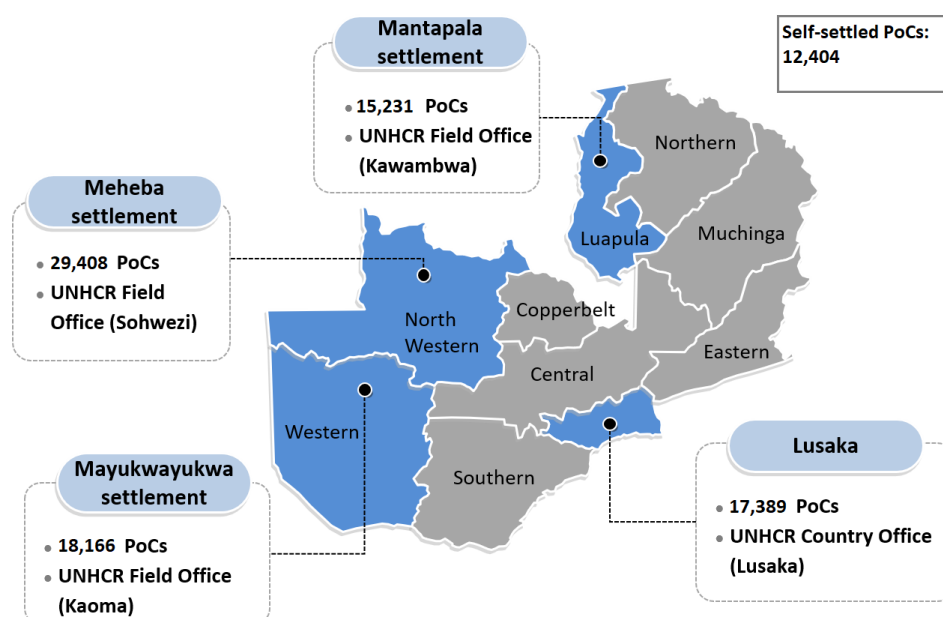
⁶ <https://www.worldometers.info/world-population/zambia-population/>

⁷ UNDP (2016)

signed in 2019 between UNHCR and COR has streamlined the way UNHCR engages with line ministries at the provincial and district level. COR manages all border reception centers, numerous transit centers in field and urban locations, as well as refugee settlements (Meheba and Mayukwayukwa) with support of UNHCR and other operational partners.

As of August 2020, Zambia hosted over 92,598 registered Persons of Concern (PoC), of which approximately 63,739 are refugees, 24,040 are former Angolan and Rwandese refugees awaiting issuance and extension of resident permits, and 4,819 are asylum seekers. The majority of refugees stem from the Democratic Republic of Congo (55,313), followed by Angola (18,885), Burundi (8,092), Rwanda (5,991), and Somalia (3,736).⁸ At the time of writing, UNHCR had one Representative Office in Lusaka, two field offices in Solwezi and Kawambwa, and one field unit in Kaoma. Staff comprise of 51 national, 17 international, and 24 affiliate workforce members. PoCs are relatively evenly spread across four settlements located in North Western Province (Meheba), Lusaka, Western Province (Mayukwayukwa), and Luapula Province (Mantapala).

UNHCR PoC Settlements and Office Locations in Zambia (August 2020)



Source: UNHCR Evaluation Service, based on data from UNHCR Primes dataport

Zambia is characterised by three distinct refugee situations, each one presenting a different set of needs: **Refugees in need of emergency humanitarian support:** Since 2017 the conflict in DRC has led to a steady influx of over 23,000 new arrivals of Congolese refugees requiring emergency humanitarian support.

Refugees in protracted situation in need of humanitarian support: Refugees who arrived in Zambia before 31 December 2013 from DRC, Burundi and Somalia currently have limited prospects and interest for voluntary repatriation due to the volatile security situation in these countries of origin. These refugees also have limited opportunities in terms of local integration, since local integration programmes are currently only available to former Rwandan and Angolan refugees based on the Refugee Convention

⁸ UNHCR Registration data Zambia (31/08/2020)

agreed by the Government. Within this group there are also urban-based self-settled refugees, mainly in Lusaka, who receive very little support due to their status and location. Other vulnerable individuals requiring humanitarian support are children at risk of statelessness due to a lack of documentation.

Refugees in protracted situation in need of development support: Mainly Rwandan and Angolan refugees, who are eligible for local integration programmes and need longer-term support through development partners and the private sector.

UNHCR's operational expenditure in 2015 was US\$9 million and increased annually over the following years to: US\$10 million (2016), US\$12 million (2017), US\$15 million (2018), and US\$14 million in 2019. This increase was mostly attributed to continued volatility in Burundi and the DRC (2015), particularly the latter; following the killing of a local chief by Congolese armed forces in August 2016. The violence that ensued in the greater Kasai region of DRC displaced approximately 1.5 million people in 2017⁹ - prompting UNHCR Zambia to activate a Level 1 emergency on 10 September of the same year. The figures below depict the steady increase in PoC numbers in Zambia following the DRC crisis in 2016 – and subsequent increase in operational expenditure as a result. Figure 2 also shows operational funding shortages which on average was about 59% over the period 2015-2019¹⁰.

Figure 1: Number of PoC (2015-2020)¹¹

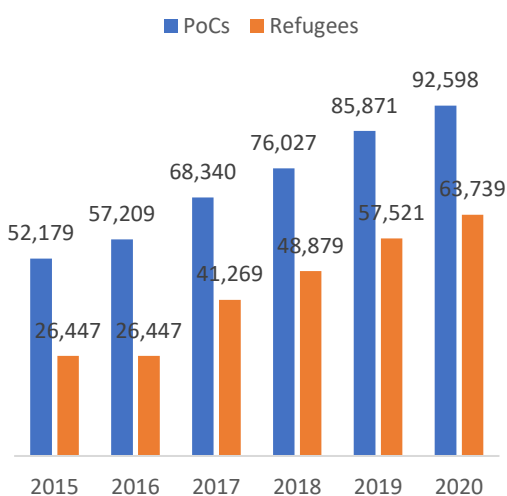
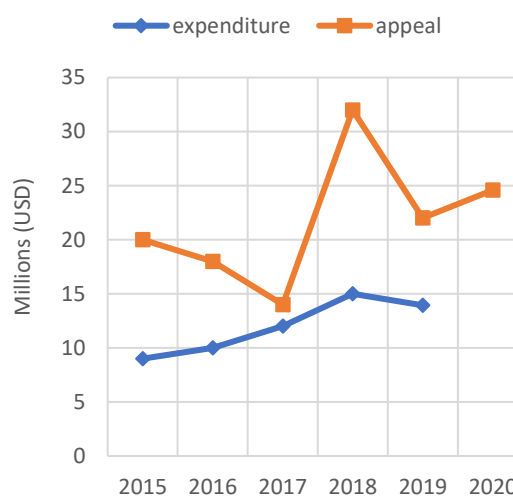


Figure 2: Operational expenditure and appeals (2015-2019)



The Government of the Republic of Zambia (GRZ) initiated the application of the CRRF in 2017, and Zambia became the seventh country to join the CRRF in November of the same year. Within this framework, refugee programmes are aligned to national, provincial and district planning, and funds from the central government meant for service provision in all sectors such as education, health, agriculture, also incorporate refugees. The application of the CRRF in Zambia covers responses for recent arrivals in Luapula Province (Mantapala settlement), the protracted refugee situations and ongoing local integration of former refugees in Western and North-Western Provinces (Maheba and Mayukwayukwa settlements), and urban refugees primarily in Lusaka. The National Roadmap for the Implementation of the CRRF

⁹ <https://www.msf.org/democratic-republic-congo-crisis-update---october-2017>

¹⁰ UNHCR Zambia Year end reports (2016-2019)

¹¹ While refugees make up just over half of this population, other PoC include Asylum Seekers (on average about 6-10%) and former refugees from Angola and Rwanda.

(2019-2021) lays out six areas of focus for the application of government-led, multi-stakeholder comprehensive responses in Zambia:

- (i) admission of rights;
- (ii) emergency response;
- (iii) inclusion;
- (iv) self-reliance;
- (v) solutions and;
- (vi) root causes.

Priority sectors include education, health, energy, environment, livelihoods, water and sanitation, and security.

Decades before the Comprehensive Refugee Response Framework (CRRF) was conceived, Zambia adopted a whole-of-society approach, enabling social and economic inclusion and facilitating local integration of refugees through the Zambia Initiative and the Local Integration Program for former refugees. The response to the 2017 influx of refugees from neighbouring DRC was the first time that a country adopted the CRRF in an emergency context through a settlement approach envisaging a durable solution from the onset of the crisis, inclusion into national services and engaging all in-line ministries in an All-of Government approach.¹²

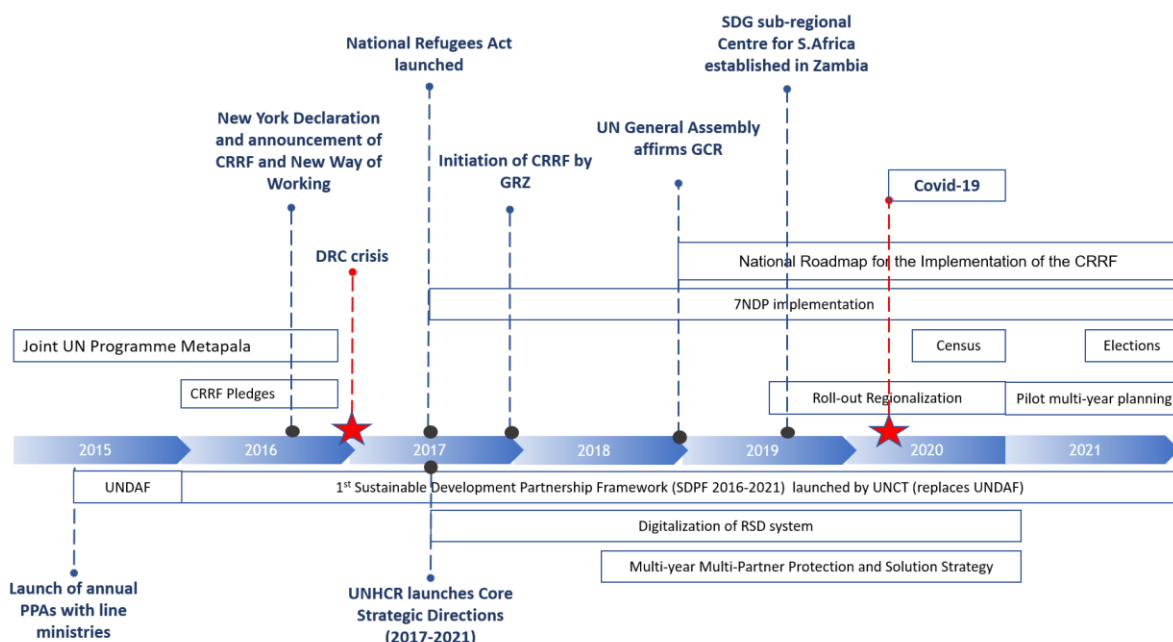
The global objectives of the CRRF are to ease pressure on host countries, increase refugee self-reliance expand access to third country solutions, such as resettlement of complementary pathways, and support conditions in countries of origin. During the Leaders' Summit on Refugees (20 September 2016), the Government of the Republic of Zambia pledged to improve the life of refugees living in the country by:

1. Locally integrating eligible Angolans and Rwandans and extend the local integration program to protracted Congolese refugees;
2. Consider relaxing the encampment policy, allowing for more freedom of movement for refugees by easing the process for acquiring urban residency and permission to leave the refugee settlements;
3. Promote self-reliance and enhance favourable measures for refugees to access work and engage in income generating activities of their choice;
4. Focus on ensuring access to education for refugee children through the provision of education infrastructure in the refugee settlements;
5. Simplify its admission procedures for a fair refugee status determination process;
6. Ensure that refugees have access to civil registration and other legal documents.

The following timeline depicts some of the key events outlined in this ToR that are relevant to UNHCRs country operation in Zambia from 2015-2020.

¹² UNHCR (December 2019): Implementing a Comprehensive Refugee Response: the Zambia Experience.

Figure 1: Timeline of Key events from 2015-2016



4. KEY AREAS OF INTEREST FOR THE COUNTRY STRATEGY EVALUATION

One of the challenges of CSEs is striking the right balance between scope and depth of the evaluation. The following thematic and operational areas have been identified in consultation with the CO as key areas of interest and priority for this evaluation. During the inception period, the evaluation team is expected to determine the evaluability of these areas, as well as explore others that may arise as a result of further consultations with key stakeholders.

4.1 Coordination and Partnerships

In 2016, the United Nations Country Team (UNCT) in Zambia¹³ launched the first Sustainable Development Partnership Framework (SDPF) (2016-2021), a strategic document to address some of the multi-dimensional development challenges faced in Zambia. Under this partnership framework, the UNCT has pledged their commitment to foster cooperation and coordination, and to enhance UN coherence in the spirit of “Delivering As One”¹⁴ - in order to improve performance towards achieving transformational results that are measurable, and to increase the impact of the UN’s joint response to the development priorities of Zambia. This partnership framework replaces the previous UN Development Assistance Framework (UNDAF) when it expired at the end of 2015.

The Zambian Government has adopted a multi-sectoral approach for coordinating humanitarian and development interventions in support of Zambia’s seventh National Development Plan (7NDP) and the achievement of SDGs. To effectively coordinate the implementation of the 7NDP, the GRZ put in place coordination structures at national and sub-national level. These include the National Development Coordinating Committee (NDCC), Cluster Advisory Groups (CAGs), Technical Working Groups (TWGs),

¹³ The UN Country Team comprises: 11 Resident UN Funds, Programmes and Specialised Agencies, 12 Non-Resident Agencies (NRAs) and International Financial Institutions, including the World Bank (WB) and the International Monetary Fund (IMF).

¹⁴ And the associated DOA Management and Accountability Framework

Provincial Development Coordinating Committees (PDCCs), and District Development Coordinating Committees (DDCCs), as well as Ward level development committees.

The UNCT through the Resident Coordinator co-leads on all humanitarian responses in collaboration with the Disaster Management and Mitigation unit (DMMU) within the Office of the Vice-President. Within the partnership framework, the Government chairs each of the seven sub-sector committees with support from one UN agency as co-chair. UNHCR does not co-chair any of the sub-sector committees under this national coordination structure. However, UNHCR is the Chair of the Humanitarian-Development Nexus Thematic Working Group under the SDPF. UNHCR works in partnership with the UNCT, NGOs, and the COR to advocate for refugee inclusion in the provision of services. UNHCR also provides technical and financial assistance to the COR in the development of the Refugee Act/Law and works with line ministries at the sub-national level to promote local integration.

A key area of interest to the Country Operation and subsequently to this evaluation is how UNHCR can further leverage effective inclusion and prioritisation of refugees for the planning cycle of the next SDPF (2022-2026). Closely related to this is the need to understand how refugees are considered and included in inter-agency sectoral coordination and development plans, and what UNHCR can do to improve the lives of refugees and the communities that host them through these coordination mechanisms and partnerships. In order to achieve this, the evaluation is expected to undertake a detailed stakeholder mapping exercise that examines the relationships between key stakeholders and examines opportunities for improved advocacy with existing partners and/or new partners for UNHCR.

4.2 Programme delivery and the enabling & constraining factors to achieving results under the CRRF / GCR, and the Multi-Year Protection and Solution Strategy

UNHCR's Multi-year Multi-Partner Protection and Solutions Strategy (MYMPPSS 2019-2021) in Zambia prioritizes refugee self-reliance interventions, aimed at ensuring community empowerment, education, and building resilience. One of the key longer-term objectives for UNHCR is to transform refugee settlements into integrated settlements, whereby host communities and refugees benefit from services provided by the Government. Within the MYMPPSS, UNHCR continues to prioritize access to international protection for PoCs, strengthening child protection and community mobilization programmes with national authorities, and responding to immediate humanitarian needs regarding access and provision of basic social amenities – all while progressively handing over to relevant governmental line ministries. Engagement with government line ministries (in collaboration with COR) is aimed at ensuring refugee mainstreaming in national development plans and strategic policy documents of the various ministries, in line with the refugee inclusion agenda of the GCR and the CRRF. Multipurpose Cash-Based Interventions (CBIs) will be introduced in 2020 and will replace in kind distribution of Core Relief Items (CRIs) and other services. The focus of advocacy interventions will remain on the implementation of section 42 of the 2017 Refugee Act and the right to self-employment as well as the possible lifting of the reservation to the 1951 Convention on the right to work. Furthermore, the operational strategy will continue to explore durable solutions opportunities in the form of local integration, voluntary returns and third country resettlement. Collaboration with development partners will continue to be nurtured to ensure refugee inclusion in development programmes and interventions. All the above will be done in the spirit of the GCR and guided by the CRRF approach.

A key area of focus for the CSE will be to determine where UNHCR has managed to achieve significant progress towards refugee protection, inclusion and durable solutions under the CRRF. By examining the effectiveness of programme delivery in these thematic areas, the evaluation will also look at key factors enabling or inhibiting the organizations ability to achieve results in these areas. This evidence will be used

to reinforce or course-correct the operations strategy across multiple areas of programme delivery. The overarching protection priorities that should form the framework for this analysis are:

- Refugee domestic legislation vis-à-vis the 2017 Refugee Act, vis-à-vis pending Refugee Policy; including issues pertaining to freedom of movement and encampment;
- Key (Government) reservations to the 1951 Refugee Convention and implications on the ability of refugees to become self-sufficient
- Refugee admission and status determination; including issues pertaining to biometric registration & legal and civil documentation
- Community Based Protection and security from violence: including Sexual and Gender-Based Violence (SGBV), Child Protection (CP), Persons with Specific Needs (PSN), people with disabilities.
- Social protection and the sustainable handover of programmes to development partners
- The MYMPPSS

Furthermore the evaluation will examine the extent to which UNHCR has been able to successfully leverage local integration of refugees in order to improve access to basic services (health and education) provided by the government and the private sector, promote self-reliance and enhance favourable measures for refugee livelihoods, access to work and income generating activities. The evaluation will examine where UNHCR needs to prioritize and deprioritize its investments in order to maximize efforts aimed at improving the lives of refugees. In order to do this, the evaluation will determine whether UNHCR's current approach is aligned to the evolving needs and orientations of PoCs and partners in Zambia.

Additional areas of interest regarding programme delivery are refugee food security, targeted and multi-purpose Cash-Based Assistance, shelter and infrastructure development, camp management and outreach and targeting of self-settled (urban) refugees. These should be reflected on against UNHCRs operational expenditure and budgets in the years 2017-2020.

4.3 Formative Assessment and Recommendations

Evidence from the evaluation should inform the strategic planning process of the operation, by formulating clear recommendations that take into consideration the following aspects¹⁵:

Decentralisation and Strategic Planning Opportunities

As described in chapter two of this ToR (background), the decentralisation of UNHCR's regional bureaux as of 2019 has set about a transformational change that seeks to strengthen the ability of country operations to deliver to PoCs. As a result of this process, the Southern Africa region has received 30 new technical positions which were repositioned or created to strengthen country operations and capacitate the new bureaux structures with the requisite expertise. Twenty of these positions, including much needed development capacities, were placed within country operations.

Although it would be premature to determine the impact of decentralisation on operational performance, the evaluation could identify evidence to inform the Regional Bureau for Southern Africa (RBSA) and CO in Zambia on recommendations for the following dimensions moving forward:

- **Strategic planning:**
 - Striking the right balance between investing in humanitarian and development priorities
 - Integrating regional dynamics into multi-year strategic planning and effective collaboration with national regional stakeholders, sister UN agencies and partners

¹⁵ It should be noted that the focus of the evaluation is the country operation, and that the formative analysis should support future operational planning, rather than an assessment of the effectiveness/impact of decentralisation vis-à-vis support from the Bureau.

- Identifying key areas of the operation that are in need of support, including the ability to course-correct in light of emerging challenges and risks
- **Capacity building and expertise (UNHCR & partners):**
 - Identify technical areas of the operation that need strengthening
 - Identify options for translating global priorities into regional and country specific strategies
- **External engagement and partnerships:**
 - Identify strategies and options for UNHCR to strengthen its approach to partnerships and advocacy
 - Explore opportunities for UNHCR to leverage new partnerships or strengthen/revisit existing ones
 - Identify donor strategic interests to support Zambia and opportunities for local/regional resource mobilisation

Implications of COVID-19

Restrictions associated with COVID -19 have had a profound impact on refugees in settlements whose economic situation prior to the onset of the pandemic was already eroded. Limited mobility and engagement in Income Generating Activities have set back results achieved in the areas of self-reliance – where the 5% of the active refugee populations who achieved sustained levels of self-reliance in Zambia are gradually losing their income due to the economic impact of the pandemic.¹⁶

The evaluation will provide a clear account on how the pandemic has affected UNHCR's ability to serve PoCs in Zambia. UNHCR has been requested to stay and deliver responsibly so that emerging problems can be assessed and reported in a timely manner. UNHCR's strategy is to accelerate and support state preparedness and response in life-saving areas such as public health, water and sanitation. UNHCR continues to provide support to vulnerable groups through information dissemination on prevention measures and communication to persons of concern. UNHCR has actively mobilised community workers in its response to the pandemic – where refugees are being recruited to support in making facial masks, or as public health volunteers. UNHCR will also focus on the social protection sector to ensure that refugee rights are equally protected during the pandemic.

In line with ongoing discussions on the CRRF/GCR dialogue in Zambia, the evaluation will consider how UNHCR can build on existing partnerships under the leadership of its main implementing partner GRZ to further mitigate the negative impacts of the pandemic.

5. PURPOSE AND SCOPE

CSEs are intended to be forward-looking in their orientation. The main purpose of these evaluations is to generate timely evidence to inform UNHCR's future operational planning and strategy in Zambia - leading to more effective and impactful UNHCR partnerships and programming, in pursuit of protection and solutions for UNHCR persons of concern and the communities that host them. The scope of the evaluation covers UNHCR's operations in Zambia from 2015-2020¹⁷.

The CSE will seek to analyse and assess the effectiveness of UNHCR's plans and activities considering the specific country context and reflect on recent results and the evolving needs of the population across the breadth of UNHCR's activities vis-à-vis other humanitarian, development and government actors. In

¹⁶ Consultations with the UNHCR Representative in Zambia.

¹⁷ This time period coincides with decision of the GRZ to facilitate local integration of former refugees from Angola and Rwanda, the introduction of the 7th NDP, the introduction of the *Refugees Act*, and the influx of refugees from neighboring DRC. Consequently during this period Zambia was also the first country to adopt the CRRF approach in an emergency context.

highlighting lessons learnt at the country operation level, recommendations from these evaluations should help inform future UNHCR guidance for regional and country level operational planning, resource mobilisation, and implementation.

The primary audience for this CSE is the UNHCR Country Operation in Zambia, the Regional Bureaux for Southern Africa, and the COR within the Zambian Ministry of Home Affairs. Other UNHCR Bureaux and Divisions, as well as UNHCR partners – including government line ministries and humanitarian and development actors – will serve as a secondary audience.

6. EVALUATION APPROACH

4.4 Key Evaluation Questions

The key areas of interest broadly defined in chapter four are further refined with the help of five Key Evaluation Questions (KEQs). These will be further refined during the evaluation inception phase after the evaluation team has consulted with key stakeholders at the level of the operation, the bureau, and headquarters – and once the team has had a chance to assess the level of evaluability of these questions.

Evaluation criteria pertaining to relevance, sustainability, coherence, effectiveness and impact are of particular interest for this CSE.

1. What key results in the areas of assistance, protection, inclusion and solutions have been achieved by the country operation since 2015?
 - a. What were the most important factors contributing or impeding the achievement of these results?
 - b. What role did the CRRF play in the achievement of these results?
 - c. What practices and lessons could help inform the operations decisions towards strengthening these results in the future?
2. How relevant and sustainable is the existing operational plan and strategy to the current and evolving needs of refugees, other PoCs, and host communities in Zambia – and what major contextual and emerging factors need to be considered in the immediate, intermediate, and longer-term planning for the operation?
3. What were the major implications of the COVID-19 pandemic for PoCs, and what are the enabling and limiting factors in how the organization has responded?
4. To what extent is the country operation plan and strategy aligned to the Global Compact on Refugees (GCR), the Sustainable Development Partnership Framework (SDPF), and the work of other humanitarian/development actors including the government and private sector?
5. How can UNHCR leverage further support for protection, effective inclusion and solutions for refugees within the context of ongoing organizational reforms (decentralization), UN reforms (DOA), and National Development Plans and frameworks (7NDP), as well as the GCR?
6. What lessons can we draw from the evidence gathered through this evaluation to inform UNHCRs next Multi-Year-Multi-Partner planning in Zambia and its contribution to the next UNSDPF?

4.5 Evaluation Approach and Methodology

The Covid-19 pandemic has altered the way in which ES is able to conduct evaluations, severely limiting the ability to access PoCs and visit programme sites. Although the travel restrictions in Zambia and the rest of the world are unsure, we anticipate that this CSE will need to rely quite heavily on remote data interviews and secondary data analysis. Where feasible, the evaluation team is encouraged to make use of innovative data collection methods that incorporate both qualitative and quantitative approaches.

These could include phone-based surveys among PoCs (where feasible), paired-interviews with

operational partners, as well as in-depth interviews with UNCT members, the Resident Coordinator, Donors, UNHCR staff and key national and local government partners.

Data from a wide range of sources and a representative range of stakeholders will need to be triangulated and cross validated so as to ensure the credibility of evaluation findings and conclusions. The Evaluation Team will be expected to refine the methodology and final evaluation questions following the initial desk review, stakeholder analysis, and consultations with the CO, the RBSA, and HQ. Travel restrictions permitting, an in-country inception visit together with the Evaluation Manager will be undertaken during the inception phase. The final inception report will detail the evaluation methodology, and refined focus and scope of the evaluation, including an evaluation matrix that outlines the relationship between KEQs, sub-indicators, and data sources, data collection tools, stakeholder analysis, and an analytical framework. The use of a Theory of Change may also be requested by the Evaluation Manager during the inception phase.

The evaluation methodology is expected to:

- a) Reflect an Age, Gender and Diversity (AGD) perspective in all primary data collection activities carried out as part of the evaluation – particularly with refugees.
- b) Employ a mixed-method approach incorporating qualitative and quantitative data collection and analysis tools including the analysis of monitoring data – as available.
- c) Refer to and make use of relevant internationally agreed evaluation criteria such as those proposed by OECD-DAC and adapted by ALNAP for use in humanitarian evaluations¹⁸
- d) Propose an analytical framework that will guide data analysis and reporting
- e) Be based on an analysis of (i) the strategies, policies, and operational guidelines being evaluated, and (ii) the main actors and stakeholders.
- f) Gather and make use of a wide range of data sources (e.g. monitoring data, mission reports, coordination groups meetings, strategy narrative, budget and indicator reports) in order to demonstrate impartiality of the analysis, minimise bias, and ensure the credibility of evaluation findings and conclusions.
- g) Be explicitly designed to address the key evaluation questions – considering evaluability, budget and timing constraints.
- h) Give special consideration and think of innovative ways to include PoC perspectives, despite travel restrictions due to the COVID pandemic.

The evaluation team is responsible to gather, analyse and triangulate data (e.g. across types, sources and analysis modality) to demonstrate impartiality of the analysis, minimise bias, and ensure the credibility of evaluation findings and conclusions.

7. ORGANISATION AND CONDUCT OF THE EVALUATION

7.1 Evaluation Quality Assurance

The evaluation consultants are required to sign the UNHCR Code of Conduct, complete UNHCR's introductory protection training module, and respect UNHCR's confidentiality requirements.

In line with established standards for evaluation in the UN system, and the UN Ethical Guidelines for evaluations, evaluation in UNHCR is founded on the inter-connected principles of independence, impartiality, credibility and utility, which in practice, call for: protecting sources and data; systematically seeking informed consent; respecting dignity and diversity; minimising risk, harm and burden upon those

¹⁸ See for example: Cosgrave and Buchanan-Smith (2017) Guide de l'Evaluation de l'Action Humanitaire (London: ALNAP) and Beck, T. (2006) Evaluating Humanitarian Action using the OECD-DAC Criteria (London: ALNAP)

who are the subject of, or participating in the evaluation, while at the same time not compromising the integrity of the exercise.

The evaluation is also expected to adhere to pilot 'Evaluation Quality Assurance' (EQA) guidance, which clarifies the quality requirements expected for UNHCR evaluation processes and products.

The Evaluation Manager will share and provide an orientation to the EQA at the start of the evaluation.

Adherence to the EQA will be overseen by the Evaluation Manager with support from the UNHCR Evaluation Service as needed.

7.2 Evaluation Management

The evaluation will be managed by a Senior Evaluation Officer in UNHCR's Evaluation Service and implemented by a team of consultants. The CSE will be financed by the ES annual budget and final deliverables and related payments are cleared by the Head of the Evaluation Service. The Evaluation Manager will be responsible for: (i) managing administrative day to day aspects of the evaluation process (ii) acting as the main interlocutor with the Evaluation Team (iii) facilitating communication with relevant stakeholders to ensure evaluators receive the required data (iv) facilitating communication with relevant stakeholders to ensure technical guidance on content, and (v) reviewing the interim deliverables and final reports to ensure quality – with the support of the relevant UNHCR Country Office and Regional Bureaux. UNHCR's Country Office in Lusaka will designate focal points that will assist the Evaluation Manager and Evaluation Team with logistical arrangements and feedback on evaluation deliverables.

A Reference Group will be established with the participation of the key internal, and possibly external, stakeholders including the COR, and key UNHCR partners. Members of the Reference Group would be asked to:

- Provide suggestions to identify potential materials and resources to be reviewed and key contacts to be considered for key informant interviews.
- Review and comment on the draft inception report.
- Review and comment on the data collection and data analysis instruments that will be developed by the Evaluation Team.
- Review and comment on the draft final reports, validate emerging findings and conclusions.
- Advise on the focus of the evaluation recommendations that will form the basis of the Management Response to the review.

Upon completion, each final evaluation report will be shared for validation with the UNHCR Representative, senior management team in Zambia, RG, and the UNHCR Regional Bureau. The Country Office will be asked to coordinate the formal Management Response, which together with the final evaluation report will be made available in the public domain.

Beyond the primary audience for the Zambia CSE, results are expected to inform several other ongoing evaluations include the evaluation of UNHCRs COVID-19 response, evaluation of the Elimination of Statelessness, evaluation of UNHCRs support for Asylum Capacity Development, ongoing stock-taking of UNHCRs decentralization and good practices and lessons learned with respect to the Global Compact for Refugees.

Activity	Key Deliverable	Indicative Timeline	Payment Schedule
Inception phase including: <ul style="list-style-type: none"> - Initial desk review - Stakeholder mapping - Inception interviews with UNHCR staff - EQA review on the draft inception report - Circulation for comments and finalisation 	Final inception report (30 pages max) – including desk review, methodology, final evaluation questions, evaluation matrix, data collection tools, stakeholder mapping and analytical framework. ToC is optional, to be discussed during inception ¹⁹ .	Week 1-6 (max 6 weeks)	20%
Data collection phase including: <ul style="list-style-type: none"> - Key stakeholder interviews, phone-based surveys (in country and remotely depending on feasibility); document reviews; field visits where feasible. - Workshop on preliminary findings and emerging trends - Stakeholder feedback on preliminary findings 	Workshop on preliminary findings and emerging trends with in-country stakeholders and the Reference Group (where applicable) either in-country or remotely.	Week 7-13 (max 7 weeks)	20%
Data Analysis and Reporting phase including: <ul style="list-style-type: none"> - Analysis and write up - EQA review of draft report, circulation for comments - Stakeholder feedback and validation of evaluation findings, conclusions and proposed recommendations 	<ul style="list-style-type: none"> - Draft 0 Report subject to comments from Evaluation Service - Draft 1 (50 pages max) report subject to comments from RG and UNHCR stakeholders 	Week 14-21 (max 8 weeks)	30%
Dissemination Finalisation of evaluation report	<ul style="list-style-type: none"> - Validation / co-creation workshop with RG, and UNHCR stakeholders on findings, conclusions, and recommendations - Final report including recommendations and stand-alone executive summary 	Week 22-24 (max 3 weeks)	30%

¹⁹ In addition to the quality assurance review by the Evaluation Service, an ethical review of the approach, questions, and tools may be undertaken.

8. EVALUATION TEAM QUALIFICATIONS

The EVALUATION will be undertaken by a team of qualified independent evaluation consultants, comprising of at least a Team Leader and two or maximum three other team members. Although the contracting modality is on an individual basis, bidders are strongly encouraged to apply as a team²⁰. Bidders should propose names/CVs of Team Leaders and Team members in their proposal. Evaluation Teams are expected to demonstrate evaluation expertise as well as expertise in refugee response and humanitarian operations, with excellent understanding of UNHCR's protection mandate and operational platform, and good knowledge of issues pertaining to the humanitarian-development nexus, gender sensitive programming, and Accountability to Affected Populations (AAP). Proposals of teams with demonstrated experience conducting evaluations in Zambia or the Southern Africa region for UN agencies will receive priority. All work and deliverables will be conducted in English. Further required skills and qualifications are outlined below:

Evaluation Team Leader

- A post-graduate or Master's degree in social science, development studies, international relations or economics plus a minimum of 15 years of relevant professional experience in leading evaluations in humanitarian settings and/or development settings, a combination of both is preferred.
- Demonstrated ability in mixed research methodologies, and an excellent understanding of Zambia and or the region, particularly regarding inter-agency coordination, and support to national development plans.
- In-depth knowledge of and proven experience with various data collection and analytical methods and techniques used in evaluation and operational research
- Technical expertise in refugee assistance, basic-needs, and protection work. With an emphasis on durable solutions and local integration, including relevant analytical frameworks and programming approaches and standards.
- Institutional knowledge of UNHCR's protection mandate and operational platform.
- Demonstrated ability to think strategically and guide evaluation team members by composing an analytical framework
- Demonstrated ability to facilitate high-level workshops and demonstrated ability to communicate effectively with a target audience.

Evaluation Team Member(s)

- A post-graduate or Master's degree in social sciences, development studies, international relations, or economics plus a minimum of 7 years of relevant professional experience ideally in humanitarian and/or development settings.
- Minimum of 4 years' experience supporting quantitative and qualitative data collection and analysis for evaluation purposes (preferable) or operational research in humanitarian and development settings.
- Good knowledge of humanitarian response programming, relevant analytical frameworks and programming approaches and standards.
- Candidates based in Zambia and/or demonstrating relevant experience conducting evaluations in Zambia or the region will receive priority.
- In depth knowledge with various data collection and analytical methods and techniques used in evaluation and operational research.
- Proven expertise in facilitating participatory workshops involving different groups and participants.
- Excellent communication and presentation skills.

²⁰ Note that applicants applying individually will be also be considered, and the Evaluation Service has the right to propose the final team composition.

