

TERMS OF REFERENCE

EVALUATION OF UNHCRs L3 RESPONSE TO CYCLONE IDAI

Key information about the evaluation	
Title of the evaluation:	Evaluation of UNHCRs L3 Response to Cyclone Idai in Mozambique, Zimbabwe and Malawi
Proposed Countries:	Mozambique, Zimbabwe and Malawi
Time-frame covered:	March 2019 to December 2019
Type of evaluation:	Centralised evaluation L3 emergency response
Date	February 2020
Evaluation commissioned by:	UNHCR Evaluation Service

SUMMARY

1. In response to tropical cyclone Idai in Mozambique, the UN Emergency Relief Coordinator activated an Inter-Agency Humanitarian System Wide Scale-up on 22 March, 2019. On 28 March, UNHCR subsequently activated its own internal Level 3 emergency procedures for its response in Zimbabwe, Malawi, and Mozambique¹.
2. In Mozambique, UNHCR's response focused on providing shelter and Core Relief Items (CRIs) to some 3,000 families displaced and/or affected by floods, as well as co-leading the Protection Cluster, coordinating appropriate referral and response mechanisms for individual protection cases, and training partners on issues related to child protection and prevention of SGBV. In Zimbabwe, UNHCR's response was focused on providing assistance and protection to some 283,000 people in need (of which an estimated 13,000 were refugees). In Malawi, UNHCR together with partners responded to the needs of some 870,000 people affected by floods, of which 94,090 were internally displaced from their homes, and 173 were sheltered in camps². In Nsanje District, some 4,500 households (out of 13,500 affected HHs) were Mozambicans.
3. In line with UNHCRs emergency³ and evaluation⁴ policies, an internal evaluation of all level-3 emergency operations is to be conducted within 18 months or earlier of the response. The purpose of the proposed evaluation is to assess UNHCRs response to cyclones Idai and in Mozambique, Zimbabwe and Malawi⁵. The evaluation will emphasize both learning and accountability, and will be used to reinforce the organizations global approach to emergency response in settings of natural disasters. The evaluation will identify lessons and build evidence to strengthen UNHCRs future response and preparedness to similar emergencies.
4. The evaluation will provide insights and recommendations for UNHCRs operational role and ability to fulfill its protection mandate in emergencies that simultaneously address internal

¹ UNHCR update June 2019, online available at: <https://data2.unhcr.org/en/documents/download/70197>

² UNHCR Flooding Situation Report No.1 (21 March 2019)

³ UNHCR Policy on Emergency Preparedness and Response, online available at: <https://cms.emergency.unhcr.org/documents/11982/124166/UNHCR+Policy+on+Emergency+Preparedness+and+Response+2017/b897b23c-4d99-45f3-9632-13e2705ec717>

⁴ UNHCR Policy on Evaluation, online available at: <https://www.unhcr.org/research/eval/3d99a0f74/unhcrs-evaluation-policy.html> The Evaluation Policy specifies that an L3 evaluation will be conducted within 9-12 months of the emergency.

⁵ The official L3 scale-up was triggered by Cyclone Idai, however UNHCR continued to provide protection monitoring and counselling support to those affected by Cyclone Kenneth. Although the focus of the evaluation is scaled-up response, the evaluation will also consider UNHCR's response to the second cyclone where relevant.

displacement and refugee populations. Special consideration will be given to UNHCR's role and contribution to national and regional coordination mechanisms, as well as efforts to incorporate gender mainstreaming and a rights-based approach in its response plans, including advocacy for the centrality of protection in relevant coordination fora. The evaluation will examine the extent to which UNHCR's operational response and actions were aligned to relevant policy frameworks (UNHCR) and humanitarian response plans in all three countries. The evaluation will also provide a clearer understanding of UNHCR's role and responsibility vis-à-vis other humanitarian actors, partners, and emergency coordination mechanisms at the national, regional, and local level.

BACKGROUND

5. In March and April 2019, Southern Africa was hit by two subsequent cyclones that affected an estimated 3 million people in Mozambique, Malawi, and Zimbabwe⁶. Tropical cyclone Idai made landfall over Mozambique's city of Beira, Sofala Province on March 15, producing torrential rains and strong winds severely affecting Manica, Sofala, Tete, and Zambezia provinces, where some 1.85 million people were in need of humanitarian assistance. Cyclone Idai continued across land as a tropical storm, causing severe floods in southern Malawi's Chichawa, Phalombe, and Zomba districts, where some 870,000 people were affected, including 87,000 displacements. Some 1,900 people from Mozambique sought refuge in Malawi's Nsanje district. In eastern Zimbabwe, over 270,000 people were affected by flooding in Chimanimani and Chipinge districts, of which approximately 51,000 people were displaced. Approximately 6,000 refugees and asylum-seekers living in Tongogara Refugee Camp were also severely affected as flooding destroyed latrines, boreholes, and shelters⁷. The situation in Zimbabwe was further exacerbated by widespread food insecurity caused by poor crop production (2018-2019) and the country's ongoing economic crisis⁸.
6. As UNHCR was already implementing refugee operations in Mozambique, Malawi and Zimbabwe, the Office was able to join the collective UN system wide response in all the three countries where UNHCR was co-leading the Protection Cluster in Mozambique and Malawi and participating actively in the Protection Sector in Zimbabwe. UNHCR also deployed emergency teams, consisting primarily of protection staff, to the three affected countries to support the response as well as to lead the Protection Clusters that have been activated by the Inter-Agency Standing Committee on 4 April to protect people with specific needs coping with the aftermath of the disaster. UNHCR is particularly concerned about the safety and well-being of women and girls, unaccompanied or separated children, disabled and elderly people living in precarious conditions in multiple makeshift displacement sites. Many female-headed households face heightened risks of exploitation and abuse as their sources of income and livelihood were destroyed by the cyclone.

OPERATIONAL RESPONSE AND CONTEXT

7. By May 2019, UNHCR airlifted some 240 MT of shelter and relief items from global stockpiles to the three countries affected to assist initially some 30,000 most vulnerable cyclone survivors. Approximately 25 staff were deployed on emergency mission shortly after the onset of the emergency⁹. Between July and August, UNHCR distributed CRIs to some 60,000 individuals in Zimbabwe, and had assisted 70,000 individuals in Malawi with CRIs to enable them to return to their homes. In Malawi, emergency clusters were deactivated on 30 June 2020 – this occurred in the context of the Government's launch of the Return and Relocation Strategy, as well as a Post Disaster Needs Assessment – both of which are aimed at supporting timely returns, recovery, and a transition to development programming.
8. While Mozambique was still recovering from Tropical Cyclone Idai, an even stronger Tropical Cyclone Kenneth made landfall in Cabo Delgado Province in April 2019 causing further loss of life and extensive damage to infrastructure and housing, affecting an estimated 199,836 people

⁶ UNOCHA, online available at: <https://www.unocha.org/southern-and-eastern-africa-rosea/cyclones-idai-and-kenneth>

⁷ UNHCR Siutaiton Update, June 2019: <https://reliefweb.int/sites/reliefweb.int/files/resources/70196.pdf>

⁸ USAID, online available at: <https://www.usaid.gov/crisis/cyclone-idai>

⁹ UNHCR Tropical Cyclone Idai (update June 2019): <https://data2.unhcr.org/en/documents/download/70197>

in Mozambique¹⁰. While the Maratane Refugee Camp was not affected, as part of the collective UN system response to Cyclones Idai and Kenneth, UNHCR deployed an Emergency Response Team (ERT) to coordinate the response in collaboration with Government and partner agencies. UNHCR distributed CRIs to some 10,000 people, conducted protection monitoring activities, relocated affected people to temporary settlements, and co-led the Protection Cluster¹¹. The Government of Mozambique officially deactivated the national emergency for cyclone Idai on 14 May 2019 and initiated the reconstruction phase. Mozambique currently hosts approximately 39,000 refugees and asylum seekers, mainly in Maratane Camp in Mapula province. The number of IDPs was estimated at around 93,516 at the end of 2019¹².

9. In Zimbabwe, UNHCR intended to keep temporary camps functional until the end of 2019, however, Camp Coordination and Camp management (CCCM) partner funding was expected to end between July and August 2019¹³. Cluster members prepared a response appeal to cover their respective programming needs from July 2019 to April 2020. This multi-sectoral appeal was focused on food security, early recovery, and post-cyclone humanitarian needs. UNHCR focused on assisting refugees in Tongogara refugee camp, located in Chipinge district, and directed a majority of its resources towards this response. Additional resources were dedicated to IDP responses and cluster coordination elsewhere in the country. UNHCR continued to undertake protection mainstreaming and PSEA training to partner organizations, as well as the construction of latrines and water infrastructure in Tongogara refugee camp in Zimbabwe. UNHCR together with UNICEF prioritized the issuance of civil registration documentation to Zimbabweans to ensure continued access to basic social services for people displaced by floods. In consultation with the office of the Registrar general (RG), UNHCR worked on funding mobile registration facilities in Chimanimani and Chipinge districts. There were concerns about the lack of a sustainable approach to displacements and returns, and UNHCR advocated for clarity on mid to long-term housing plans by the Government, in order to help IDPs make informed decisions about their future. Access to information at the community level was also a concern in cyclone affected districts of Zimbabwe. Community-based protection systems needed to be strengthened to ensure access to information and rights of persons with specific needs were met. The departure of technical (emergency) experts deployed to respond to cyclone Idai left gaps, notably in the WASH, Supply, Shelter and Health sectors. This was exacerbated by low levels of staffing capacity of local partners, which increased the risk of not completing activities started by the emergency response teams. As of January 2020, there were some 7,797 registered refugees, and 10,210 asylum seekers in Zimbabwe. The number of IDPs was estimated at 25,300 by mid-2019¹⁴.
10. In Malawi, UNHCR has conducted post-distribution monitoring which is running concurrently with early recovery assistance. Findings indicated a need for additional relief items, farming tools, and the inclusion in Government recovery projects. UNHCR sent an Emergency Response Team that worked with other UN agencies, INGOs, and local NGOs supporting the Malawi Government. UNHCR co-led the protection Cluster with the Ministry of Gender, Children, Disability and Social Welfare for a 3-month period. As a protection partner, UNHCR works together with UNFPA on SGBV and UNICEF on Child Protection, and has implemented numerous SGBV trainings and child protection awareness campaigns in cyclone affected areas. In June 2019, the Government of Malawi ordered the closure of all IDP camps, which prompted UNHCR and implementing partner Plan International to focus on registration and the distribution of return packages consisting of CRIs. Malawi currently hosts some 44,385 refugees and asylum seekers in Dzakela refugee camp. The number of IDPs was estimated at 53,237 towards the end of 2019¹⁵.

¹⁰ Reliefweb (April 2019) <https://reliefweb.int/disaster/tc-2019-000038-moz>

¹¹ UNHCR Update June 2019:

<http://reporting.unhcr.org/sites/default/files/UNHCR%20Response%20to%20Cyclone%20Idai%20Situation%20-%20June%202019.pdf>

¹² IOM (Dec 2019) <https://dtm.iom.int/mozambique>

¹³ UNHCR TC Idai Response (update 6 August 2019):

<http://reporting.unhcr.org/sites/default/files/UNHCR%20Tropical%20Cyclone%20Idai%20Response%20Situation%20Update%20-%2024JUL-6AUG19.pdf>

¹⁴ IOM (May 2019) <https://dtm.iom.int/zimbabwe>

¹⁵ IOM (2019) <https://dtm.iom.int/malawi>

11. In 2019, UNHCR's total expenditure in response to the two cyclone emergencies was US\$6,900,988. Of which US\$2,174,854 (32%) went towards the response in Mozambique, US\$1,595,671 (23%) in Malawi, and US\$3,130,461 (45%) in Zimbabwe¹⁶.
12. Level-3 emergencies are activated in exceptionally serious situations, where consequences of the crisis exceed the existing response capacity of relevant country operations and relevant regional bureaux. These emergencies often require adaptations in UNHCR programming and are activated for a maximum of six months (September 2019) following the onset of the emergency. After the Level-3 declaration, emergency procedures and central/regional resources (human, financial, material) become available to operations concerned. Level-3 emergencies may be extended up to a maximum period of nine months, after which exceptional capacities and emergency procedures and systems will no longer be active.
13. In 2017, UNHCR introduced a new policy on emergency preparedness and response¹⁷ that replaced the 2015 Policy on Emergency Response Activation, Leadership and Accountabilities. This policy provides the framework for UNHCR's engagement in emergency preparedness and response, and is in line with UNHCR's 2017-2021 Strategic Directions to ensure protection, respond in emergencies, and promote inclusion, and durable solutions to persons of concern¹⁸. The 2017 policy introduced a number of improvements, in particular it reinforces the focus on preparedness, strengthened field orientation, sharpens provisions on leadership and accountability, improves and simplifies access to human, financial and material resources, and enhances partnership and inclusivity. The policy was revised in 2019 to align with the Inter-Agency (IASC) emergency-related protocols, and to ensure consistency with recently updated guidance on emergency preparedness and response, and to reflect on the approach of the Global Compact on Refugees. The policy further lists key principles that should guide emergency preparedness and response activities, where UNHCR staff and partners should:
 - Adopt a 'whole-of-UNHCR' approach and affirm the pivotal role of country operations;
 - Place people at the centre;
 - Respect the overriding duty to 'do no harm' and act on a 'no regrets' basis;
 - Diversify partnerships;
 - Find solutions and link them to development;
 - Prioritize duty of care;
 - Innovate.
14. UNHCR is committed to an inclusive and participatory approach to planning, and adheres to the *refugee coordination model* and *refugee response plans* in emergencies involving refugees¹⁹. For emergencies involving IDPs, UNHCR adheres to procedures and actions laid out in the *Transformative Agenda* and the *Cluster Approach*, which are designed to improve effectiveness of humanitarian responses by focusing on leadership, coordination, and accountability²⁰. UNHCR also published a new policy on engagement in situations of internal displacement in September 2019²¹.
15. In January 2020, UNHCR convened a lessons-learned workshop in Maputo, which brought together staff involved in the response from Zimbabwe, Malawi, Mozambique, the Regional Bureau in Southern Africa, and UNHCR Headquarters in Geneva. The workshop focused on sharing lessons, identifying challenges, and developing recommendations to inform UNHCR policy on engagement in natural disasters. The workshop focused on four key components:
 - Strategic policy directions²²
 - Inter-agency partnerships
 - Agency response and international operation coordination
 - External relations and resource mobilization

¹⁶ UNHCR Global Focus: emergency expenditure in 2019 across the three countries.

¹⁷ UNHCR policy on Emergency Preparedness and Response (2017): <https://emergency.unhcr.org/entry/124201/policy-on-emergency-preparedness-and-response>

¹⁸ UNHCR Strategic Directions: <https://www.unhcr.org/5894558d4.pdf>

¹⁹ UNHCR Refugee Coordination Model: https://emergency.unhcr.org/entry/38270?lang=en_US

²⁰ Transformative Agenda: https://emergency.unhcr.org/entry/41612?lang=en_US

²¹ UNHCR policy on Engagement in situations of internal displacement: <https://www.refworld.org/pdfid/5d83364a4.pdf>

²² In particular the workshop focused on 'predicability', 'scope', 'preparedness plans', 'easy short term wins', and 'disengagement'.

16. In mid 2019 an InterAgency Humanitarian Evaluation (IAHE) of the cyclone response was conducted. The report will soon be published – it deals almost exclusively with coordination issues.

PURPOSE AND SCOPE

17. By building on the findings and recommendations from the workshop and the IAHE, this independent evaluation will focus on generating evidence to inform UNHCR's policy and operational strategy in situations of natural disasters. The evaluation will emphasize both learning and accountability and should provide valuable lessons for future emergency responses involving natural disasters.
18. The evaluation will be formative in nature, providing SMART recommendations for strengthening UNHCR's operational role and ability to fulfill its protection mandate in situations of natural disasters. In particular, the evaluation will focus on strategic policy directions, inter-agency partnerships and coordination, as well as resource mobilization.
19. The primary audience for this evaluation is the Division of Emergency, Security, and Supply (DESS), the UNHCR Regional Bureau in Pretoria, and the country operations in Zimbabwe, Malawi, and Mozambique. Other UNHCR Bureaus and Divisions, as well as UNHCR partners, including government and humanitarian development actors – will serve as a secondary audiences.

EVALUATION APPROACH AND METHODOLOGY

20. The evaluation will be conducted by a team of 3 independent evaluation experts. The gender balance of the team will be ensured to the extent possible, and the use of national evaluators is strongly encouraged.
21. The evaluation will employ mixed-methods approach and information will be drawn from primary and secondary data sources, including a desk review of relevant documents, an analysis of data including financial, monitoring, and planning documents, semi-structured key informant interviews with humanitarian workers, local responders, government staff, and other relevant stakeholders. An in-country validation workshop with relevant stakeholders is expected to take place after data collection.
22. During the inception phase, the evaluation team will propose a detailed methodology to address key questions and sub-questions, further refining the approach, data collection tools and data analysis methods, as well as the approach to quality assurance and triangulation. Given the strategic nature of this evaluation, and its focus on policy recommendations - data collection among affected populations will be minimal.
23. Furthermore, 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) Refer to and make use of relevant (emergency and IDP) policy frameworks and Emergency Response Plans.
 - c) Be based on an analysis of **(i)** the strategy and operational guidelines underpinning UNHCR's operation, and **(ii)** the main actors and stakeholders concerned.
 - d) Gather and make use of a wide range of data sources (e.g. HRPs, Country Operation Plans, Annual Reports, mission reports, country-level monitoring reports, coordination groups meetings, strategy narrative, budget and indicator reports) in order to demonstrate impartiality of the analysis, minimize bias, and ensure the credibility of evaluation findings and conclusions.
 - e) Be explicitly designed to address the key evaluation questions – taking into account evaluability, budget and timing constraints

KEY EVALUATION QUESTIONS

24. The evaluation questions have been structured to incorporate an evaluative (normative) component, and a forward-looking (formative) component. Evidence from the evaluative component will be used to inform UNHCR's future engagement in situations of natural disasters, incorporating recommendations at the policy and operational level²³:

KEQs for the normative inquiry:

- 1) To what extent was UNHCR able to contribute to the goals set out in the HRP and other relevant policy frameworks, and which factors inhibited or facilitated this process?
- 2) To what extent did the scale-up efforts and coordination mechanisms contribute to a clear distribution of roles / complementarity among humanitarian actors?
- 3) What types of partnerships were established with international and local stakeholders (prior to and during the emergency), and how did these contribute to delivering assistance to affected people? How were local capacities supported and developed during the response?
- 4) How well was UNHCR able to fulfil its protection objectives, and was the organizations' role/responsibility towards IDPs clear?

KEQs for the formative inquiry:

- 5) How can UNHCR leverage strengths and mitigate weaknesses in similar situations (natural disaster related) in the future?
 - 6) What are the major threats and opportunities for UNHCR's involvement in situations of natural disasters, and what are the immediate, medium, and long-term gains/risks for the organization?
 - 7) What changes need to take place in order for UNHCR to respond more effectively in situations of natural disasters, and what implications will these changes have on the following:
 - a) strategic policy directions,
 - b) resource mobilization and allocation,
 - c) partnerships and coordination,
 - d) technical support and communication
25. The Evaluation Team will be expected to refine the methodology and final evaluation questions/sub-questions following the initial desk review, and key informant interviews undertaken during the inception phase. The final inception report will specify the evaluation methodology, will include an evaluation matrix, and will refine the focus and scope of the evaluation, including final key evaluation questions, data collection tools and analytical framework.

ORGANISATION AND CONDUCT OF THE EVALUATION

26. An Evaluation Manager will be appointed from the UNHCR Evaluation Service to: (i) manage administrative day to day aspects of the evaluation process (ii) act as the main interlocutor with the Evaluation Team (iii) facilitate communication with relevant stakeholders to ensure evaluators receive the required data (iv) facilitate communication with relevant stakeholders to ensure technical guidance on content, and (v) review the interim deliverables and final reports to ensure quality – with the support of the relevant UNHCR Country Offices, DESS, and Regional Bureau. 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.
27. The Evaluation Team will be 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 fundamental principles of

²³ The KEQs outline in this ToR will be further refined and scoped during inception.

independence, impartiality, credibility and utility. These inter-connected principles subsume a number of specific norms that will guide the commissioning, conducting and supporting the use of the evaluation. This includes protecting sources and data, informed consent, respect for dignity and diversity and the minimisation of risk, harm and burden upon those who are the subject of or participating in the evaluation, while at the same time not compromising the integrity of the evaluation.

28. A Reference Group will be established with the participation of the key internal stakeholders for the evaluation to help guide the process. 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.
29. Upon completion, the evaluation report will be shared with DESS and Senior Management Team, the Regional Bureau and the relevant UNHCR Country Offices with the request to formulate a formal management response, which will also be made available in the public domain.

EXPECTED DELIVERABLES AND TIMELINE

30. The evaluation is expected to last 4-5 months, and is anticipated to start February 2020. The table below outlines the proposed deliverable schedules:

Table 1: Deliverable and Payment Schedule

Activity	Key Deliverable	Indicative Timeline	Payment Schedule
Inception phase including: <ul style="list-style-type: none"> - Initial desk review - Participation in RTR workshop for scoping - Remote key informant interviews - EQA review on the draft inception report - Circulation for comments and finalisation 	Final inception report – including methodology, final evaluation questions and evaluation matrix.	Week 1-4	20%
Data collection phase including: <ul style="list-style-type: none"> - Key stakeholder interviews, FGDs, and survey (in country); document reviews; field visits as required. - Validation workshop on preliminary findings, conclusions and possible recommendations (in country) - Stakeholder feedback on preliminary findings and emerging conclusions 	Validation workshop on preliminary findings, conclusions and possible recommendations at stakeholder workshop in country.	Week 5-9	30%
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 	Draft final report including recommendations (for circulation and comments)	Week 10-14	25%
Finalisation of evaluation report	Final Evaluation Report (including recommendations and standalone executive summary)	Week 15-18	25%