



Ministry of Foreign Affairs

IOB Terms of Reference

Evaluation of Development Approaches to Forced Displacement in the Syria Region

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Lebanon, Jordan, Iraq

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Policy and Operations Evaluation Department
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Abbreviations and acronyms

CAM	Comprehensive Agenda on Migration
CRRF	Comprehensive Refugee Response Framework
DAFD	Development Approaches to Forced Displacement
DAM	North Africa and Middle East Department (MFA)
DDE	Sustainable Economic Development Department (MFA)
DMM	Multilateral Organisations and Human Rights Department (MFA)
DSH	Stabilisation and Humanitarian Aid Department (MFA)
DSH-MO	Stabilisation and Humanitarian Aid Department – Migration and Development (MFA)
DSO	Social Development Department (MFA)
DVB	Security Policy department (MFA)
EU	European Union
FRIT	Facility for Refugees in Turkey
GCR	Global Compact for Refugees
IGG	Inclusive Green Growth department (MFA)
MACS	Multi-Annual Country Plans
MEL	Monitoring, Evaluation and Learning
MFA	Ministry of Foreign Affairs
MTR	Mid-Term Review
NATO	North Atlantic Treaty Organisation
NGO	Non-Governmental Organisation
NWoW	New Way of Working
ODA	Official Development Assistance
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Program
UNHCR	United Nations High Commission for Refugees

WFP World Food Programme

WP Work Package

1 Introduction

1.1 Background

In response to the 2015 refugee crisis caused by the Syrian conflict, the Government of the Netherlands allocated large budgets to support refugees in Syria's neighbouring countries. In this context policymakers found themselves under high political pressure to act quickly, scale up quickly and coordinate with international and local stakeholders. Broad parliamentary support was found for solidarity with Syria's neighbouring countries that already hosted the majority of Syria's refugees, and that were expected to continue to do so. The political support for solidarity with Syria's neighbouring countries was thus two-sided, with arguments that varied from a strong sense of self-interest to prevent the influx of migrants to Europe, to a moral need for burden-sharing and shared responsibility, to a sense of urgency to address growing humanitarian needs at the border of the European Union. Although the underlying arguments varied, political support for assistance to Syria's neighbouring countries has been consistent since 2015.

DAFD (Development Approaches to Forced Displacement) is a key pillar of Dutch migration policy. The subject figures high on the political agenda, and will most likely remain so for the foreseeable future. In the period concerned for this evaluation (2015-2021), large amounts of funding were invested in forced displacement responses in the Syria region. Reflecting the political significance given to the challenges of hosting refugees, the budget for the upcoming years remains substantial. It is important that lessons are drawn for improved practice for the coming years. For the period 2019-2023 €500 million has been committed to the innovative partnership Prospects in the Horn of Africa and the Syria region, that aims to improve the Humanitarian-Development-Nexus approach (see below) in practice. Policymakers are currently reflecting on the prolongation of this partnership. Lebanon, Jordan and Iraq are among the countries where this programme is implemented. This evaluation aims to provide lessons relevant for the further elaboration of this new partnership. Through this partnership the Netherlands wants to be a frontrunner in the field of forced displacement responses. Therefore, a learning agenda is an active component of the partnership.

The 2015 Syrian refugee crisis gave new impetus to ongoing debates about the needs of people living in situations of protracted displacement that exceed beyond the scope of humanitarian assistance and demand a long-term approach that links relief with development. In the years thereafter new international response frameworks were developed, while the EU Compacts with Lebanon and Jordan in 2016 were a milestone to operationalize this paradigm shift. The international community agreed on the principle of trade-offs between refugee hosting and trade benefits for the hosting countries. Dutch DAFD policy emerged against this background. It co-exists with and builds upon humanitarian action, aiming to offer prospects beyond basic needs, in which self-reliance (i.e. the social and economic ability of an individual, a household, or a community to meet its needs in a sustainable manner) and inclusion in host communities (i.e. access to education and labour markets, benefiting from national services while integrating them in national health plans consistent with the pledge to leave no-one behind) are expected to give people the opportunity to rebuild their lives in dignity while being displaced. This so-called Humanitarian-Development-Nexus aims to coherently respond to vulnerable people's needs, and calls for structural changes in the aid-system. The UN and World Bank have jointly launched the New Way of Working (2017) to deliver the Nexus approach.

The ideas and ambitions are not new. Earlier IOB studies have addressed challenges pertaining to the linking of relief and development in protracted (refugee) crises (2013), the challenges of delivering adequate (humanitarian) assistance in the particular case of the Syria conflict (2015), and the dynamics of migration and development (2018). Policy makers have sought to respond to challenges and needs in Syria's neighbouring countries as a consequence of the ongoing conflict in Syria. In 2018, the Court of Auditors of the Netherlands (Algemene Rekenkamer) has conducted a study on DAFD policy implementation in 2016-2017, focusing on accounting of expenses rather than results of policy implementation as it was at the time too early to measure any results. This evaluation will build on the findings of the mentioned studies and will reflect on

how policy has developed to offer support to Syrian refugees, and the communities hosting them. Focusing on the implementation strategy chosen in the context of emerging policy and the release of rapidly increasing budgets, the evaluation aims to provide insight in the results of the DAFD policy in the period 2015-2021.

1.2 Positioning

Parallel to this evaluation, IOB also undertakes other studies that are relevant for this evaluation of DAFD policy. The findings of these studies will be taken into consideration where relevant.

They are:

- The IOB evaluation of Dutch Humanitarian Assistance and Diplomacy, in particular concerning coherence and complementarity of humanitarian- and development assistance, their respective cultures of practice.
- The literature study on localisation in humanitarian response, which will also address development approaches in refugee responses. The study is a sub-study of the abovementioned evaluation of Dutch Humanitarian policy.
- The IOB evaluation on Dutch contributions to stability in fragile states; although the study does not focus on the Syria region directly, questions pertaining to policy coherence in contexts of fragility are highly relevant for DAFD policy.
- Insights from evaluations of EU programmes in support of refugees and host communities, such as the FRIT, EUTF Syria and RDPP are highly relevant as these programmes have pursued objectives similar to Dutch DAFD policy. This study seeks to build upon these, rather than duplicate these findings.

A Mid-term Evaluation of the Prospects partnership focusing on the partnership's internal structures and processes to assess their fitness for purpose of the transforming humanitarian-development cooperation in situations of protracted displacement will take place in 2021-2023. The findings of this evaluation will feed into the MTE and vice versa.

2 Policy

2.1 Policy context

When in 2015 the Syria conflict led to large scale refugee crisis that affected Europe directly, the Netherlands felt that political and humanitarian response was immediately required. The large scale movement of Syrian refugees blended with increasing flows of (irregular) migration from other parts of the world, mainly Africa and Asia. The debate was dominated by sentiments of uncertainty and a sense of being overwhelmed by a growing influx of refugees and migrants in Europe. Since then, migration has figured high on the Dutch political agenda. After parliamentary elections in the spring of 2017 it took an unprecedented period of 208 days to form a new government. Negotiations failed twice because of differences on how to address the large scale movement of migrants and refugees. When a coalition was formed, the new government argued that it had found a careful balance between national interests, international solidarity and the international legal order. It focused on promoting stability in Europe's periphery while working with the EU's neighbouring countries, the EU, NATO and UN to regulate the uncontrolled movement of migrants and refugees to Europe through a humane and effective migration policy. This 'enlightened self-interest' allowed for a stabilization of ODA levels and met broad parliamentary approval.

Forced displacement response has traditionally been the domain of humanitarian assistance. As such, it concentrates on providing forcibly displaced people with basic needs such as food, shelter, and medical care. More recently, there has been a growing concern that such assistance does not enable people to rebuild their lives during often prolonged periods of displacement and may trigger onward migration. Strategic thinking on DAFD in response to the Syria crisis started as early as 2014. In the following years Dutch policy developed much in line with international thinking on long term approaches to refugee hosting and the need to prevent further instability in the region. The Netherlands actively supported and contributed to the international policy debate and development. A comprehensive policy note and Theory of Change saw the light on paper in the course of 2018. The Netherlands is not unique in this experience. Evaluators have called the first few years of the Forced Displacement response in the Syria region a testing ground.

2.2 Policy objectives

However, underlying the wider objective of a humane and effective migration policy were differing expectations, assumptions and desired outcomes. These were translated into three parallel sub goals:

1. Enhanced prospects for refugees and vulnerable host communities in the hosting region;
2. Host countries that can cope with the extra responsibility of hosting these refugees, and;
3. Reduced incentives for onward migration.

The three parallel objectives of DAFD policy are interlinked. They are assumed to mutually reinforce each other.

Figure 1 below represents a tentative reconstruction of Dutch DAFD policy. It is based on policy documents and interviews with policy makers. During this study IOB will make a more elaborate reconstruction of the policy and its development in time to explore underlying assumptions in more detail.

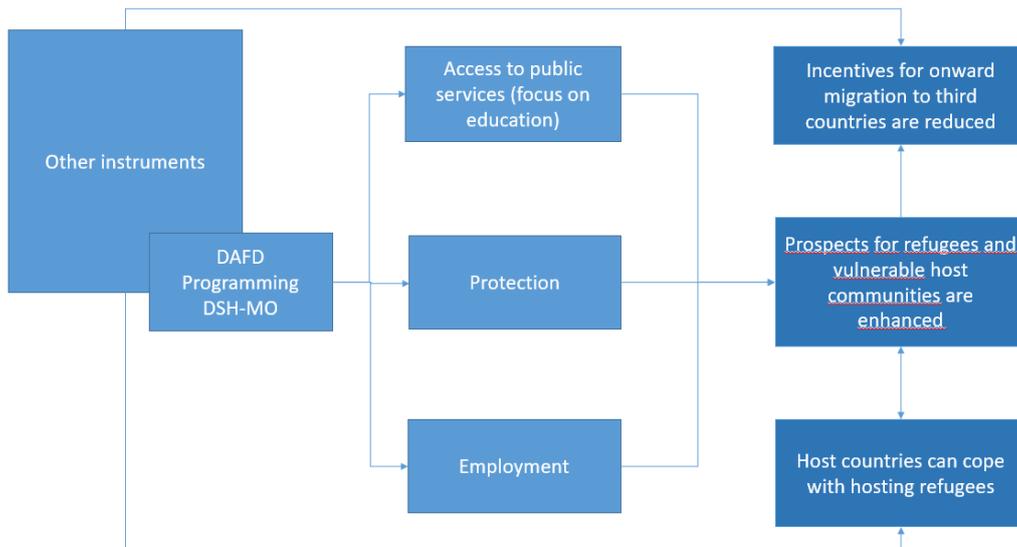


Figure 1. Tentative schematic representation of DAFD policy.

2.2.1 Enhanced prospects for refugees and vulnerable host communities

The underlying assumption of this objective is that through improved education, employment, protection and access to services refugees and vulnerable groups in host communities can become self-reliant and included in host societies. The strategy is based on reports from NGO's and the UN that suggest that back in 2015 the first large scale movements of refugees to European destinations started as a result of cutting back on WFP food rations due to an underfunded humanitarian appeal, against the background of further escalation of the Syrian conflict. Recent studies confirm that refugees need a minimum level of perspective to prevent them from moving onwards. In order of relevance their main priorities are security and protection, livelihoods and access to employment, housing, land and property rights, and the provision of infrastructure and public services, including education. However, other research also demonstrates that refugees' aspirations and ability to migrate to third countries are influenced by a complex combination of multiple factors that is much broader than the themes identified by DFAD policy. Women and girls are seen to be extra vulnerable to (sexual) violence, and because of extra barriers to the labour market.

In the course of the evaluation period, and stimulated by the development of international frameworks such as the Comprehensive Refugee Response Framework (CRRF) and the Global Compact on Refugees (GCR) (see section 2.3.), enhancing prospects for refugees and vulnerable groups in host communities have been defined in terms of three notions: self-reliance, inclusion and social cohesion. For policy makers, donors and practitioners these concepts were novel in this particular context.

2.2.2 Host communities can cope with the extra burden of hosting refugees

The majority of refugees is being hosted by lower- and middle income countries. These countries often have pre-existing challenges of unemployment, informal economies and labour markets, poverty and inadequate public service provision. The presence of large numbers of refugees will only exacerbate these challenges and may destabilize the country. The latter could trigger migration to third countries, and host countries could become countries of transit, if not countries of origin themselves. Equitable and predictable burden- and responsibility sharing with host countries, based on principles of international solidarity and cooperation, should ensure that the international community as a whole responds to the presence of large numbers of refugees. In 2017 the Netherlands has identified Jordan, Lebanon and Iraq as focus countries of its development policy. Subsequently these countries received large amounts of additional funding to address forced displacement as well as wider challenges that go beyond the scope of DAFD policy.

2.2.3 Reducing incentives for onward migration

The decision for people to migrate to third countries is motivated by push-, pull-, stay- and deter-factors, that each have many variables and differ widely across countries and social groups.¹ DAFD policy itself cannot influence all of these factors, but it does invest indirectly in reducing incentives for onward migration.

2.3 DAFD policy development

In the years following 2015 a Dutch DAFD policy was developed, steered by international policy agreements amidst ongoing crises response to the Syria region. The thematic priorities have *de facto* remained the same throughout the period subject to this study, although they have been further developed and fine-tuned for specific contexts.² The Netherlands found itself in the relatively new situation that since 2016 and 2017 there was consistent political support to concentrate large development cooperation budgets on middle income countries in the southern and south-eastern neighbourhood of the EU. As from 2015 it became also more and more evident that the large scale movements of people called for increased cooperation at the European, international and global level. This section is limited to the most significant developments. A detailed reconstruction of policy and its development in the period subject to this evaluation will be made as part of the research itself (see 5.1 Methodology and Annex B Work plan).

Four significant developments have marked Dutch DAFD policy since 2015. First of all, there has been a growing awareness that large scale movements of refugees needed not solely a humanitarian response but long term perspectives. Secondly, three relatively new concepts have been introduced in the international debate to achieve this: self-reliance, inclusion and social cohesion of refugees and vulnerable hosting communities. Thirdly, trying to find an adequate intervention strategy, the Netherlands invested at first in large ongoing multilateral programmes as well as in a wider portfolio of bilateral projects, and created a large scale multi-annual Innovative Partnership by 2018. A fourth significant development has been the increased understanding in the Netherlands that the ambition to reduce incentives for onwards migration required a comprehensive agenda on migration (CAM) at home. These four developments are described in more detail below.

2.3.1 From a solely humanitarian approach towards long term perspectives for refugees

Up to 2015 the Dutch response was financed through humanitarian aid budgets. In 2016 a series of international summits took place in response to the global refugee crisis. Big steps were made towards international consensus on the refugee response, focusing on long-term prospects for refugees and affected host communities, and improved collaboration with host authorities. The objectives and strategies of DAFD no longer complied with Dutch humanitarian policy and its large emphasis on un earmarked flexible funding. Given the importance of working together with national and local authorities it had become difficult to promote strict adherence to humanitarian principles of neutrality, impartiality and independence. The Ministry of Foreign Affairs of the Netherlands decided to create a separate budget for DAFD to be administered by a new unit, the Migration and Development Group of the Stabilisation and Humanitarian Aid policy department (DSH-MO). Pressure was high to find the right implementing partners, modalities and programs.

2.3.2 Self-reliance, inclusion and social cohesion

The 2016 New York Declaration for Refugees and Migrants reaffirmed the basic principles of refugee protection and expressed a commitment to responsibility-sharing for refugees. It called on UNHCR to implement a Comprehensive Refugee Response Framework (CRRF) and to

¹ S. Migali et al (2018), *International Migration Drivers*. Luxembourg: Publications Office of the European Union.

² Ministry of Foreign Affairs (2018), *Investing in Global prospects: For the world, for the Netherlands*, p.44; Ministry of Foreign Affairs (2018), *Theory of Change Migratie en Ontwikkeling*, pp. 2-3.

develop a Global Compact for Refugees in 2018. It also set in motion a process intended to result in a Global Compact for Safe, Regular and Orderly Migration. Enhancing refugee self-reliance is one of the four objectives in the Global Compact of Refugees (GCR) and broadly aims to support refugees to be able to rebuild their lives without being dependent on the aid system. Education, employment and legal protection of refugees are key. Inclusion is 'at the heart of the Comprehensive Refugee Response Framework' and concerns the ambition to enable refugees to fully participate in host societies. Access to public services such as health care and education are key elements. More broadly defined, inclusion itself aims to contribute to social cohesion, or the peaceful cohabitation between host and guest. These notions would find their way in Dutch DAFD policy, although at the time they were novel for policy makers and implementing partners alike.

2.3.3 Multilateral programs, bilateral projects followed by an Innovative Partnership

In May 2016 EUR 260 million for support to refugees in Lebanon, Jordan, Iraq and Turkey was made available by the Dutch government, on top of the annual €50 million already budgeted for Responses to Forced Displacement. In 2018 additional funds were again made available for DAFD.³ A tender was launched for the period 2019-2022 with a budget of €35 million for (alliances of) NGOs, private companies and knowledge institutes. Underlining the distinction with emergency aid, the objectives of these funds were to increase the resilience of people and stability of the region, through investment in employment, education, basic services and infrastructure. While the funding for Turkey and Iraq provided contributions to large scale, ongoing multilateral programs that are managed by the EU and UNDP respectively, in Jordan and Lebanon a portfolio of projects was funded in line with the objectives as outlined in the Lebanon Crisis Response Framework and the Jordan Response Plan, with various partners, including UN agencies and international, local and Dutch NGOs.

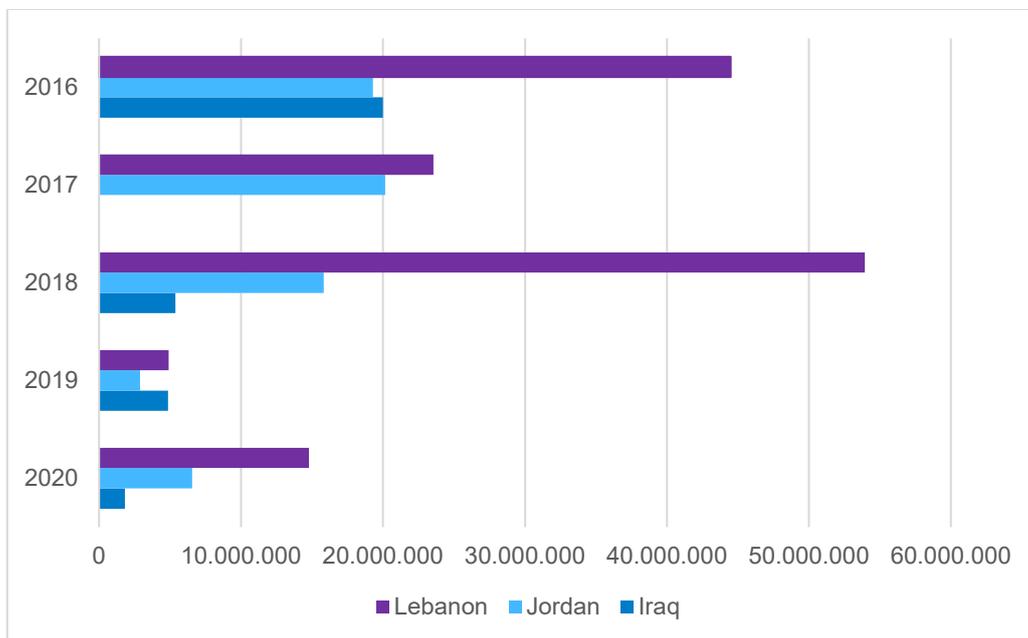


Figure 2. Expenses DSH-MO DAFD Portfolio per country and per year, in euro, excluding PROSPECTS-partnership. Source: MIBZ.

³ Ministry of Foreign Affairs (2018), *Investing in Global prospects: For the world, for the Netherlands*, p. 6., 10 and 13. An additional €290 is made available for emergency aid and hosting refugees in the region.

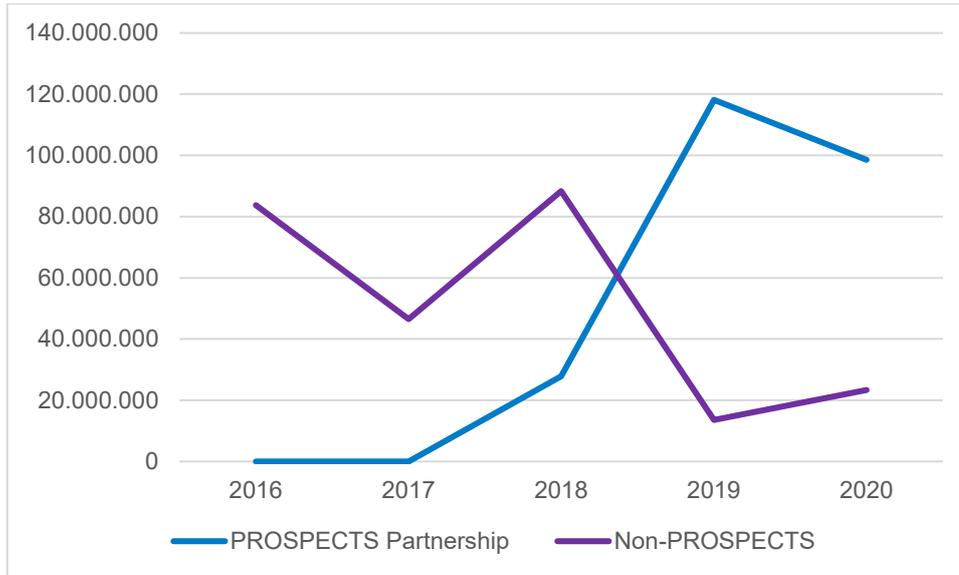


Figure 3. Expenses DSH-MO Portfolio 2016-2020, PROSPECTS-partnership and Non-PROSPECTS projects in Euro per theme. Source: MIBZ.

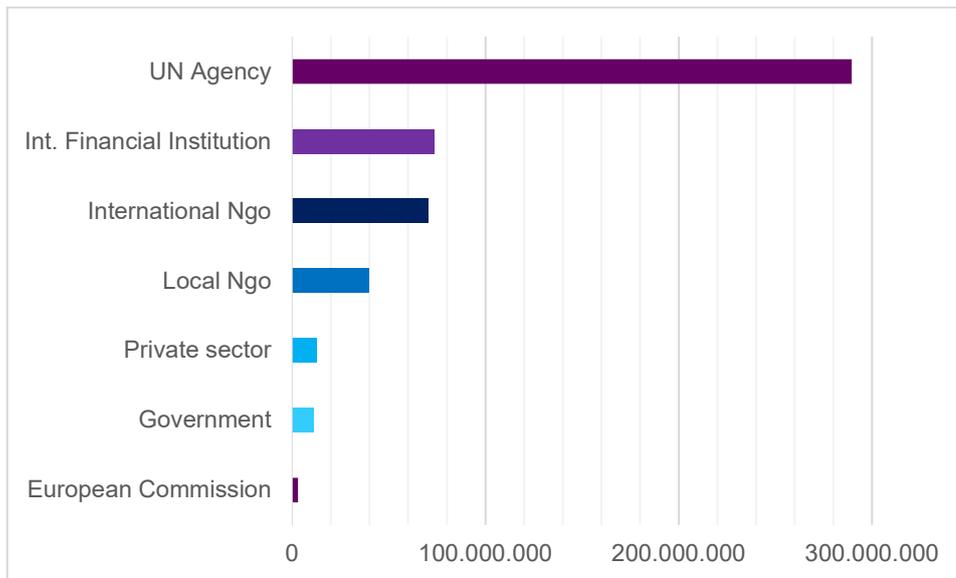


Figure 4. Expenses DSH-MO DAFD Portfolio 2016-2020 in Euro per partner type. Source: MIBZ.

In 2018 DSH-MO developed a plan for an innovative partnership with the specific aim to scale up the response to forced displacement by forging an enhanced collaboration between its partners. The multi-annual partnership Prospects was launched (2018-2023) with five partners (UNCHR, UNICEF, World Bank, ILO, IFC) in eight countries in the Horn of Africa (Uganda, Kenya, South Sudan, Ethiopia, Egypt) and the Syria Region (Lebanon, Jordan, Iraq), with an annual budget of EUR 90 million.⁴ The partnership expected to seize the international momentum, also enabled by the GCR, to offer refugees more opportunities in host countries, while hosting countries were seen to be more open to offering perspectives to refugees in return for broader development aid. Pushing for improved coordination and cooperation amongst the partner organisations, through Prospects the Netherlands also intended to play a leading role in transforming the support to

⁴ In June 2018, EUR 90 million is reserved annually for prospects, with the comment that the exact amount will be based on the country plans to be submitted. Note that Prospects is implemented in, and hence the funding is divided over, 8 countries, among them Lebanon, Jordan and Iraq.

refugees and the countries hosting them from a humanitarian to a development oriented response.⁵

2.3.4 Comprehensive Agenda on Migration Agenda and Investing in Global Prospects

In 2018, the new Dutch government further developed its migration policy as outlined in the Government Coalition Agreement and launched the comprehensive agenda on migration.⁶ It prioritized Development Approaches to Forced Displacement as a key pillar of this agenda. The government acknowledged that its actions in different areas could not be seen in isolation, that it was essential to take action at every point of the migration route, and that all relevant actors should work together. Where the comprehensive agenda on migration focused both on irregular migration, asylum migration as well as options for legal migration, the DAFD pillar of this comprehensive agenda focused primarily on refugees fleeing conflict and political instability.⁷ As in the coalition agreement, the comprehensive agenda on migration stated clearly that the policy was aimed to remove the necessity for further migration. The Policy Note Investing in Global Prospects (2018) further outlined DAFD policy objectives in line with the priorities defined in the CRRF and the Global Compact for Refugees and Migrants (GCR) that would be launched later in the same year.

2.4 Policy assumptions

Based on the policy description above, the 2018 Theory of Change for Migration and Development,⁸ and discussions with the policy department and embassies, IOB has identified the following assumptions that underpin DAFD policy:

1. Improving the reception and protection of refugees and displaced persons in and around conflict regions will reduce the need for further migration to Europe and the Netherlands.
4. Host governments are able and willing to offer inclusive access to public services to refugees and allow them to build self-sufficient lives. If and when this willingness and/or ability is insufficient, host countries can be motivated with development programmes, financial instruments and political incentives.
5. An integrated approach, that targets both refugees and vulnerable groups in host communities, will contribute to social cohesion, prevent destabilization as a consequence of the influx of large numbers of refugees while stimulating local economies.
6. Refugees have the potential to participate in and contribute to the economies of host countries.
7. Supporting national development plans of host countries, that include providing access to work and local services for refugees, improve prospects for refugees and local populations alike.
8. Working in partnership with few large actors will enable the Netherlands to have more impact in a more meaningful way, both in terms of achieving results as well as in terms of forging collaboration at implementation. This assumption emerges from the trajectory aiming to develop an adequate intervention strategy culminating in the launch of the partnership Prospects.

⁵ Internal Memo: Opvang in de Regio, Alliantie met WB, IFC, ILO and UNICEF, 6 June 2018. Nb. UNHCR was added to the four initially proposed partners.

⁶ Ministry of Justice and Security (2018), *Comprehensive agenda on Migration*. The Hague: MJS

⁷ The comprehensive agenda on migration is built on six connected pillars: 1) Preventing irregular migration; 2) Improving reception and protection for refugees and displaced persons in the region; 3) Achieving a robust asylum system, based on solidarity, in the EU and the Netherlands; 4) Combating illegal residence and stepping up returns; 5) Promoting legal migration routes; 6) Encouraging integration and participation.

⁸ Ministry of Foreign Affairs (2018), *Theory of Change Migratie en Ontwikkeling*, p. 4.

The analysis of policy development aims to fine-tune the above-listed assumptions and to identify additional (implicit) assumptions relevant to the intervention strategy (see par. 5). The relation between these assumptions and the evaluation questions is indicated in par. 3.2.

3 Aims of the research and research questions

3.1 Aim and focus of the research

This study aims to draw lessons from Dutch forced displacement response and to formulate recommendations for future Dutch policy development and its implementing strategies, and the Prospects partnership in particular. IOB therefore chooses an approach in which initial findings and conclusions are presented and used for learning-events and reflection workshops with policy makers and other stakeholders. These activities in turn will be integrated in the research process and methodology. In addition (to learning), this evaluation helps the ministry to account for results achieved with the DAFD budget 2015-2021.

The evaluation will focus on the results related to the policy objective of enhancing prospects for refugees and vulnerable host communities. In doing so, it will take into account the relevance of the policy for preventing onward migration towards Europe, building on existing knowledge about onward migration. In addition, it will reflect on the coherence (possible synergies) between the Dutch DAFD programming and other policy instruments employed to help host countries cope with the burden of hosting refugees. As such, the evaluation will address all three identified policy objectives, albeit in different ways. The evaluation will assess the effectiveness of the objective of enhancing the prospects of refugees and not the effectiveness of the objective of broader support to host countries, nor of the objective of preventing onward migration to Europe.

Because Dutch forced displacement policy and its intervention strategies have been under constant development in the period 2015-2020 (responding to a volatile context, political pressure in the Netherlands, and in relation to emerging focus country policy and migration policy) DAFD policy development will form an important focal point in this evaluation. An analysis of the formulation of objectives and strategy, including the underlying assumptions, and key concepts that have entered policy vocabulary, the decision-making process and the cooperation between policy departments and with embassies will provide an interpretative frame for the evaluation of funded activities, as well as lessons about the incremental development of the policy as such.

In order to account for results achieved and to delivering relevant lessons for improved policy making the study will address questions pertaining to:

- the relevance of Dutch interventions to enhance prospects of target groups and to reduce incentives for onward migration;
- the coherence of Dutch interventions, between the different thematic priorities within DAFD policy, with broader Dutch foreign policy towards these countries, with host country priorities, international frameworks and other donor interventions;
- the effectiveness of the underlying intervention strategy aimed at improving prospects for refugees and vulnerable host communities;
- the efficiency of different intervention strategies, including funding modalities, the selection of partners and the division of roles and responsibilities between different stakeholders within the MFA;
- the extent to which aspects of gender were meaningfully integrated in the implementation of Dutch funded interventions.

3.2 Research questions

The main research question is as follows:

What has been the Dutch contribution to enhancing prospects for Syrian refugees and host communities in Lebanon, Jordan and Iraq, and how can this contribution be improved?

The evaluation will answer the following questions. These questions are further operationalised in the Evaluation Matrix (see Annex 1).

3.2.1 On relevance

Relevance refers to the extent to which the interventions' objectives and design respond to beneficiaries' needs, policies and priorities, and continue to do so if circumstances change. The questions on relevance relate to all three policy objectives (see par. 2.2) and to assumptions 1-5 (see par. 2.4).

1. How and why have policy objectives and the implementation strategy developed over time?
2. Were Dutch interventions responding to the actual needs of Syrian refugees and their host communities, including women and girls?
3. Were Dutch interventions sensitive to local realities/contexts, including changes, e.g. the unfolding crisis in Lebanon and the Covid-19 pandemic?
4. To what extent were Dutch interventions geared towards factors that are deemed relevant for the reduction of refugees' incentives to migrate onward to third countries?
5. Did the Netherlands provide balanced support to refugees and their host communities and to what extent and under which circumstances can and does this balanced support avoid tensions between them?

3.2.2 On effectiveness

Effectiveness refers to the extent to which the intervention achieved, or is expected to achieve, its objectives and its results, including any differential results across groups. These questions relate to the policy objective of enhancing prospects for Syrian refugees and their host communities and to assumptions 3-5 (par 2.4).

6. To what extent have Dutch interventions contributed to access to public services, education, protection and building livelihoods by refugees, incl. for women and girls?
7. To what extent has the (integrated) approach of targeting both refugees and host communities contributed to the participation of refugees in host communities?
8. To what extent has the (integrated) approach of targeting both refugees and host communities benefitted host communities economically?

3.2.3 On coherence

Coherence refers to the compatibility of the intervention with other interventions in a country, sector or institution. These questions relate to the policy objective of supporting host countries' abilities to cope with the influx of Syrian refugees and to motivate these countries' to give refugees inclusive access to public services and allow them to build self-sufficient lives (assumption 2, see par. 2.4).

9. To what extent were synergies sought and created between Dutch DAFD interventions and broader Dutch policy interventions in these countries, including, but not limited to, trade policy and diplomatic interventions (whether or not in EU context)?
10. To what extent were Dutch DAFD interventions coordinated and aligned with host country policy?
11. To what extent were Dutch DAFD interventions coordinated with other (bilateral, multilateral) donors' interventions and were synergies created?

3.2.4 On efficiency

Efficiency refers to the extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way. In this evaluation the focus is mainly on the different types of

partnerships between the Ministry of Foreign Affairs of the Netherlands (MFA) and funded partners. This relates to assumption 6 (see par. 2.4).

12. What have been the comparative advantages and disadvantages of the different types of partnerships between the MFA and its partner organizations in forging mutual collaboration and coordination between partners on the different thematic priorities of DAFD policy, and what has been the added value of this collaboration and coordination?
13. What have been the comparative advantages and disadvantages of the different types of partnerships between the MFA and its partner organizations in terms of efficiency of management of funds.
14. To what extent have different types of partnerships forged efficient coordination and collaboration between Dutch Embassies and policy departments within the MFA?
15. To what extent were different types of partnerships flexible and adaptive in response to a volatile context, in particular relating to the Covid-19 pandemic and the crisis in Lebanon?

4 Scope

The scope of this study is defined by the following criteria:

4.1 Time period

The study focuses on the period 2015-2021, from the first interventions in response to the Syrian refugee crisis defined as DAFD, up to and including the programmes launched in 2019-2020 under the latest funding framework.

4.2 Geography

Given the large scale movements of Syrian refugees and the relevance of Dutch expenditure on Syrian refugees within the wider budget for DAFD, IOB chooses to focus this study on the DAFD in the Syria region. The study will focus on Lebanon, Jordan and Iraq only, three countries that host large numbers of Syrian refugees. Turkey is not included in this study, since the Netherlands contributes to support refugees and host communities in Turkey through the EU programme Facility for Refugees in Turkey (FRIT). FRIT has a separate evaluation agenda. Evidently, relevant lessons emerging from that study will be taken board in this evaluation.⁹

4.3 Substantive Scope

The study will focus primarily on DAFD interventions and activities funded by DSH-MO. Multi- and bilateral financial instruments such as soft loans, trade and investments as well as private sector development are only addressed from the perspective of how DSH-MO has sought coherence. Similarly, the study will not assess the impact of broader positioning and diplomacy of the Netherlands in the Syria region. Diplomatic efforts to achieve the necessary support of host governments will be included through questions on coherence as well.

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The study will address all three identified policy objectives, albeit in different ways. The analysis of effectiveness will only focus on the objective of enhancing prospects for refugees and vulnerable host communities. The (more implicit) objective of reducing incentives for onwards migration to third countries is dealt with only from the perspective of relevance, based on existing knowledge to be found in academic literature and evaluative studies. Supporting host countries to cope with the extra burden of hosting refugees, which is an objective primarily pursued through intervention strategies beyond DAFD programming of DSH-MO, will be addressed from the question of coherence.

Because in the period subject to this evaluation DAFD policy has been developed, the process of policy development, the strategic decisions and underlying assumptions are an important element of this evaluation. The cooperation between various policy departments of the Ministry of Foreign Affairs, as well cooperation with the embassies, will be a point of attention in this regard.

4.3.1 The Prospects partnership

In 2018 the Prospects partnership was launched, followed by a period of partnership development that included seed funding and scoping exercises to identify opportunities, as well as the definition of a common Monitoring, Evaluation and Learning (MEL) agenda. In 2020 the first country plans were approved and implemented. The study will not include the implementation of these country plans. The partnership has a distinct evaluation agenda, including a mid-term review (2021-2023) to be conducted by an external evaluator, and a final evaluation by IOB (2023). Activities funded under the Prospects partnership in 2018 and 2019 are, however, considered to be part of the process of the formation of the partnership and therefore included in this evaluation. The submission of country plans in Q1 of 2020 is taken as a

⁹ See [EU Facility for Refugees in Turkey](#). IOB is a member of the reference group for the Mid Term Evaluation.

cut-off date for when the partnership effectively entered the implementation phase. In doing so, this evaluation seeks to complement the final evaluation of the Prospects partnership that will be conducted by IOB in 2023, as well as the MTR that will be undertaken in the period June 2021-December 2023 (by an external party, and managed by DSH-MO).

The MTR of Prospects and this evaluation of DAFD policy 2015-2021 will be undertaken concurrently. The MTR seeks to assess the functioning of the partnership as an innovative intervention strategy, and looks specifically into what extent the partnership has furthered the transformation of the ongoing responses to protracted forced displacement in the countries where it is operational, furthered a new way of working between the partners, and the added value of the partnership. This evaluation, on the other hand, limits itself to the process of the coming about of the partnership and the assumptions, ambitions and strategic considerations that directed this process.

5 Methods and limitations

5.1 Research methods

In order to answer the questions on effectiveness, the evaluation will apply a contribution analysis approach. This approach will enable us to test and refine the complex policy theory of Dutch DAFD policy. It is a structured approach to understand why the observed results have occurred (or not) and to understand the roles played by the intervention and other internal and external factors. The contribution analysis approach will provide a degree of certainty about (1) the contribution of specific policy interventions to reaching particular outcomes and (2) the influence of internal and external factors.

Through this approach we aim to better understand how Dutch interventions have contributed to enhanced prospects for refugees and vulnerable host communities in Lebanon, Jordan and Iraq. The contribution analysis approach is not intended to prove direct causality, but to find evidence on what works to effectively enhance prospects for target groups in host countries and how and why it works. This will inform the assessment of whether the right choices have been made in DAFD policy and its implementation, based on which recommendations can be made.

The contribution analysis approach consists of the following evaluative steps:

1. reconstructing the policy theory and identifying the external factors that can influence reaching the effects;
2. collecting evidence on the various elements of the policy theory, underlying assumptions, internal and external factors;
3. formulating an evidence based attribution narrative that defines the contribution DAFD policy interventions have made to certain particular outcomes;
4. Verifying and testing the contribution with most relevant stakeholders.
5. Revising, and where additional evidence permits, strengthen the contribution narrative.¹⁰

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Throughout these five evaluative steps the research will combine desk study, interviews and field research. This will deliver a diverse set of data from a variety of respondents while enabling triangulation of data. A detailed operationalization of research questions is provided in the annexed Evaluation Matrix (Annex A). In addressing the evaluation questions, the methods described in the following paragraph will be applied.

A gender specific approach will be applied to address RQ 1 (policy development), RQ 2 (relevance), and RQ 6 (effectiveness). This includes the mapping of gender norms, roles and relations in specific context of refugees and host communities in the three countries (context analysis), and specific needs of women and girls (RQ 2), an analysis of how gender aspects are unpacked in DAFD policy and translated into interventions, and the results realised for women and girls as a specific group. In addition, women will be included as a distinct group of respondents in the online surveys and conversations (see below, 5.2.5).¹¹

5.2 Methods

5.2.1 Context analysis

Understanding policy and its implementation in context is key. While context is never static, the team of researchers is conscious of dynamics of the particular context in which DAFD policy has been developed and implemented, and how this affects feasibility, results and the interpretation of findings. Relevant context for this study is multi-faceted and includes (i.a.) a) the historic background of the war in Syria that triggered the displacement of large numbers of Syrians; b) the emergence of new international frameworks on refugee response that frame Dutch policy; c)

¹⁰ Also see https://www.betterevaluation.org/en/plan/approach/contribution_analysis

¹¹ On Gender responsiveness In assessments, see WHO, [Gender Responsive Assessment Scale: criteria for assessing programmes and policies](#). WHO gender analysis tools.

broader intervention strategies in the region, including Turkey and its impact on the Syrian region as a whole; d) country specific contexts in Jordan, Lebanon and Iraq, relating to cultural-, political-, socio-economic- and historic factors, and an understanding of what Dutch formulated policy objectives mean in these specific contexts; e) aspects of gender norms, roles and relations; f) the local meaning of policy objectives and its underlying assumptions, and an understanding of what ideas such as 'negative coping strategies' and 'gender sensitivity' means for beneficiaries themselves.

Evidently, all research questions demand a context sensitive approach, each in their own way. The context analysis will not be published separately, instead the context analysis will be integrated in the analysis of findings. When addressing questions on relevance, coherence, effectiveness and efficiency of Dutch policy context will be a recurring concern in literature analysis and interviews. The reflexions of beneficiaries are considered to be particularly relevant in this respect (see below).

5.2.2 Literature and document analysis

Literature and document analysis will be applied to contribute to each research question, complemented with alternative methods. This includes academic literature, evaluations, surveys and other studies. Furthermore, policy documents, letters to parliament, notes on policy development and project management (proposals, decision making, correspondence, reporting) will be selected and analysed.

5.2.3 Sampling of projects

A reasoned sample of projects will be analysed in view of answering research questions 2-9 and 12, 13, and 15 on relevance, effectiveness, coherence, and efficiency. The sample of projects will be made based on the following (tentative) selection criteria:

- Representative spread countries concerned (Iraq, Lebanon, Jordan);
- Representative spread from different funding modalities applied (2015-2021);
- Type of implementing partner (UN Agency, INGO, local NGO, ...);
- Theme, and projects that explicitly aimed at linking these themes (protection, education, employment);
- Projects that took a Humanitarian-Development nexus approach;
- Projects that potentially included a gender sensitive approach;
- Projects that were implemented in 2020-2021 (with a view to the relevance question on the response to the Covid-19 pandemic and/or Lebanon crisis).

Activities implemented for the setting-up of the Prospects partnership in the period 2018-2019 will be included as well. These are not projects per se, but expenses that are relevant for the analysis of the development of policy and implementation strategies.

5.2.4 Interviews

Semi-structured interviews will be held with staff at DSH-MO and other MFA departments, embassy staff, and partner organisations, and other relevant stakeholders. These serve to fill data gaps in the literature and document analysis, add additional insights to what is gathered through data analysis. Interviews and focus groups will be applied to address all research questions.

5.2.5 Online surveys and conversation

Persistent Covid-19 restrictions make face-to-face interviews with beneficiaries quite possibly unsafe and unfeasible. The inclusion of voices of beneficiaries is key to offer a complete answer to many of the research questions. The IOB team will therefore work with a specialist team that conducts online surveys and conversations using secure social media platforms with a selected panel of respondents. As important stakeholders, representatives of this panel will also be invited to join validation meetings (see below) during which findings based on their contributions is shared and discussed.

5.2.6 Focus groups

Throughout the research focus groups will be organized to collect data and acquire deeper insights. Focus group will address research questions 13, 14 and 15. These questions aim to offer insights in the way DSH-MO has sought to implement overall policy objectives, while simultaneously refining policy priorities and looking for the most adequate partnerships with its partners. Building on initial analysis, it will focus on data collection, sense-making and understanding by bringing together different stakeholders. A second objective is to contribute to continuous learning through reflection on past experiences and exchange of ideas and perspectives in view of current pertinent questions about the implementation of DAFD policy.

5.2.7 Validation of findings

In addition, validation workshops will be organised with stakeholders to reflect on the preliminary results of the overall evaluation and to reflect on recommendations and their follow up. Covid-19 restrictions increases the risk of talking *about* beneficiaries rather than *with* beneficiaries. This is now an even greater risk than under normal circumstances. The research team will therefore invite representatives of local beneficiaries a seat at the table when preliminary findings are discussed for validation.

5.3 Research in times of Covid-19

These ToR are being developed amidst the Covid-19 pandemic, while it remains unclear if, when and under what conditions field research will be possible. The initial phases will consist of desk research only, combining document analysis with online interviews. Research methods that require travel and real-life contact are initially foreseen for Q3 and Q4 of 2021. However, in view of Covid-19 related uncertainties, the research team will make pragmatic choices along the way.

Throughout the research, several learning events and reflection moments with stakeholders are foreseen. This allows for harvesting feedback and input that can be used in the next phases of the research, while enhancing shared ownership over the outcomes and optimizing policy learning by stakeholders. Because these workshops are intended not only to discuss preliminary findings but also to collect new data, they are part and parcel of the methodology.

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5.4 Limitations

The following limitations apply to this evaluation:

- The conclusions about relevance, effectiveness, cohesion and efficiency are related to Dutch DAFD policy in the Syria region only and do not necessarily speak for DAFD interventions elsewhere in the world. In parallel to this study IOB will synthesize the findings of three EU led evaluations of the European DAFD programs in the Horn of Africa and the Syria region, including Turkey.
- DAFD programming is only one instrument that contributes to the three policy objectives. This study will focus on DAFD programming by the policy department DSH and not on the wider regional programming done by other departments of the ministry (DSO, DAM, DMM, DVB, IGG and DDE) nor will it focus on diplomatic efforts to support the Dutch comprehensive agenda on migration. The study will however explore how coherence between the various instruments is ensured by DSH-MO.
- Not only is DAFD programming one of the many instruments that contribute to the three policy objectives, the Netherlands is also not alone in supporting DAFD in the Syria region. Under these circumstances it will be unfeasible to establish a direct link between Dutch funding and certain outcomes. Through the contribution analysis approach we will content ourselves with a degree of certainty about (1) the contribution of specific policy interventions to reaching particular outcomes and (2) the influence of internal and external factors.
- The research team encountered gaps in available project documentation, such as progress reports, monitoring reports and project evaluations. These gaps will be filled by comparison with existing evidence in literature, combined with data collected from interviews with stakeholders concerned. This cannot, however, overcome the data gap fully and will thus impact the extent to which conclusions can be drawn.

- A final limitation relates to the Covid-19 pandemic. The consequences thereof have affected the work of IOB since the spring of 2020. They may also affect the research planned after finalising of these terms of reference, in particular the (real-life) interviews planned and the fieldwork required.

5.5 Ethical considerations

The following ethical considerations apply to this evaluation:

- Respondents may feel uncomfortable or unsafe talking about the politically sensitive topics of refugees. They may be unwilling to participate in the research, or self-censor when responding. This applies to all respondents, but is particularly relevant for representatives of target groups, who are often in an extremely vulnerable position and/or state of mind. Written and oral information will be provided about the evaluation, its nature, possible outcomes, and efforts made to protect the anonymity and confidentiality of those who agree to take part. It will be made clear that refusing or agreeing to take part will not affect the kind of assistance they currently receive, nor provide them with or disentitle them from other benefits. Data provided by respondents will not be shared with third parties without prior consent of the respondent. Working with local researchers, IOB will take extra care of understanding local socio-political contexts, sentiments and their possible impact on responses given, and triangulate data with extra care.
- Persisting Covid-19 measures and –risks, or other security concerns, make field research for the IOB research team impossible. Under the condition that it is safe for local researchers, interviewees and representatives of beneficiary groups, IOB may recruit local researchers to conduct the field research, supervised by IOB from a distance. In all events, strict adherence to sanitary and other measures by researchers and participants is a prerequisite at all times to minimise the risk of exposure to Covid-19 infection. IOB will liaise with Embassies in country to make a risk assessment for IOB researchers and local researchers. How this will affect the planning, see 6.4, Risk analysis.

6 Planning and risk analysis

6.1 Planning

The evaluation foresees the planning as presented in the table below

	Sub-elements evaluation research (work packages)	Deadline
	Approval ToR	June 2021
WP 1	Reconstruction of policy theory and practice in time	September 2021
WP 2	Literature study	December 2021
WP 3	Desk study	December 2021
WP 4	Go/no-go decision on Field research	December 2021
WP 4	Field research (or alternative)	March 2022
WP 5	Online Survey and conversations	Dec 2021
WP 6	Synthesis report (1st draft)	June 2022
	Report to Parliament	August 2022

Table 1. Planning

6.2 Outputs and deliverables

The study will deliver the following output:

- Literature study;
- Report Online Survey and Conversations;
- Final evaluation report;
- Validation workshops.

6.3 Dissemination

The final report will be sent to parliament, accompanied by a policy response.

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The Literature study, the Online Survey and Conversations report and the Final evaluation reports will be published in English on the IOB website.

In addition, IOB aims to organize activities such as seminars and panel discussions to share its findings with policy makers, MFA partners, experts and other stakeholders, and to contribute to policy learning by facilitating discussion between stakeholders. The publication of the literature study and the Survey and Conversations report will be used as opportunities to organise dissemination activities.

Throughout the implementation phase of the research, IOB will regularly discuss preliminary findings with policy makers thereby enabling an ongoing exchange to enhance opportunities for policy learning.

6.4 Risks and mitigation

IOB has identified the following risks and risk mitigating measures:

1. Gaps in available project documentation, such as progress reports, monitoring reports and project evaluations exist.
Risk mitigating measures: IOB will not adjust its sampling criteria to prevent bias. Gaps will be filled by comparison with existing evidence in literature, combined with data collected from interviews with stakeholders concerned. This will minimize the consequences of data gaps to the extent possible. It cannot, however, overcome the data gap fully and will thus impact the extent to which conclusions can be drawn.
2. Projects launched before 2018 do not report on objectives and results of current DAFD policy.

Risk mitigating measures: IOB has taken an approach throughout the research that recognizes that policy and intervention strategies were under construction in the period subject to this evaluation and will map out this development when drawing conclusions.

3. Persisting Covid-19 measures and –risks, or other security concerns, make field research for the IOB research team impossible.

Risk mitigating measures:

- Field research will be postponed until feasible. In the meantime other elements of the research will continue as foreseen. Data collection that can continue remotely will continue as well. Postponing fieldwork will result in delay.
- Under the condition that it is safe for local researchers, IOB recruits a local research team to conduct the fieldwork, supervised by IOB and supported by the Embassies in country.
- In all events, IOB will liaise with Embassies in country to make a risk assessment for IOB researchers and local researchers.

4. Local Covid-19 measures and –risks, or other security concerns, make fieldwork for local researchers unfeasible and unsafe.

Risk mitigating measures:

- IOB postpones field research until this is safe. This will delay the research;
- IOB will conduct research remotely using online means, including telephone interviews and surveys. The research will be minimally delayed, but this will negatively impact on the quality of data collected, and may result in unforeseen data gaps.
- A go/no go decision will be made in December 2021

5. Covid-19 measures persist and prevent the research team from organising the intended ‘live’ focus groups with key MFA stakeholders.

Risk mitigating measures: Alternative online formats will be used. IOB will work with facilitators with expertise on online group work to ensure the quality of the focus groups.

7 Organisation

7.1 Research team

The evaluation will be conducted by IOB. IOB operates independent from policy departments at the MFA and has an independent position within the Ministry. The evaluation will be conducted by Meike de Goede, Bas Limonard, Charlotte van Eijk and Johanneke de Hoogh. Independent consultants will support the team with the implementation of the Literature study (Work package 2), the Online Surveys (work package 5), and the field research (Work package 4, see Annex 2 - Work plan).

7.2 Internal peer review

Internal quality control will be in the hand of a peer review group consisting of IOB researchers. The joint peer review group consists of Rob van Poelje (chair), Meie Kiel and Rens Willems. The peer review group and research team meet every six weeks.

7.3 Reference group

External quality control will be in the hands of a reference group consisting of representatives of the policy departments concerned (DSH-MO) and external experts. The reference group is chaired by Rob van Poelje.

The principal task of the external members of the Reference Group is to advise the project team in assuring the quality and independence of the investigation. The reference group will meet approximately four times, and at least for the discussion of the Terms of Reference and the draft report.

Name	Position/organisation	Role in Reference group
Rob van Poelje	Cluster manager, IOB, MFA	Chair
Warner ten Kate	Director, DSH-MO, MFA	Representative policy department DSH-MO
Noor Cornelissen	Senior policy officer, DSH-MO, MFA	Representative policy department DSH-MO
Ruud van der Helm	Coordinating Strategic advisor, DAM, MFA	Representative policy department DAM
Camilla Veerman	Plv HOS, Dutch Embassy Amman, Jordan, MFA	Representative of Dutch Embassies Amman, Beirut and Baghdad
Prof. Dawn Chatty	Emeritus Prof. of Anthropology and Forced Migration, Refugee Studies Centre, Oxford University, UK	Academic expertise forced displacement
Prof. Ulrike Krause	Professor of Forced Migration and Refugee Studies, Institute for Migration and Intercultural studies, University of Osnabruck	Academic expertise forced displacement
Dr. Katie Kushminder	Assistant Prof. Maastricht School of Governance, Maastricht University	Academic expertise Migration and Migration policy

Table 2. members of the reference group

Annex A Evaluation matrix

	Evaluation questions on Relevance	Criteria	Indicators	Data and sources	Data collection methods
1	How and why have policy objectives and the implementation strategy developed over time?	<ul style="list-style-type: none"> • The policy objectives and implementation strategy have changed in wording and meaning; • These changes were put into practice by means of different interventions; • Changes are attributed to political, policy or contextual considerations; • Lessons learned inform policy development were implemented; • Gender approach adequate for context specific needs 	<ul style="list-style-type: none"> • Variations in formulation of objectives and implementation strategy; • Significant changes pointed out by civil servants involved in policy-making process; • Reasons given for changes. 	<ul style="list-style-type: none"> • Letters to Parliament, policy memorandums, internal (e-mail) correspondence, meeting reports, ToC's • Policy makers' perspectives 	<ul style="list-style-type: none"> • Document analysis; • Interviews; • Focus groups.
2	Were Dutch interventions responding to the actual needs of Syrian refugees and their host communities, including women and girls?	<ul style="list-style-type: none"> • Needs of target groups in different country contexts, including specific needs of women and girls, were identified; • The (thematic) focus of Dutch interventions corresponds with established needs of target groups; • Decision-making criteria were based on identified needs of target groups; • Interventions are designed in line with needs assessment findings of refugees and host communities; • Interventions are aligned with host country priorities; • Particular needs of women and girls in context are identified and included in interventions. 	<ul style="list-style-type: none"> • Needs assessments were used to identify priorities; • CfPs and tenders respond to evidence based insights on needs and priorities of target groups, incl women and girls, and host country priorities; • Funding decisions are made in line with identified needs and priorities of target groups, incl women and girls, and host country priorities; • Evidence of context awareness in identification of priorities; • Target groups' expressed needs and priorities, incl. specific needs and priorities identified by women and girls. 	<ul style="list-style-type: none"> • Needs assessments; • Evidence based insights on needs and priorities of target groups; • Evidence based insights on priorities of women and girls; • Policy notes; • Calls for Proposals, tenders; • Funding criteria and decisions; • Beneficiaries' perspectives 	<ul style="list-style-type: none"> • Document analysis; • Sampling; • Interviews; • Online survey beneficiaries
3	Were Dutch interventions sensitive to local realities/contexts, including changes, e.g. the unfolding crisis in Lebanon and the Covid-19 pandemic?	<ul style="list-style-type: none"> • Demonstrable context sensitivity in identification of priorities and opportunities, as well as feasibility and limitations of proposed projects; • Opportunities, priorities, limitations and aspects of feasibility relating to local context are taken into consideration in 	<ul style="list-style-type: none"> • Evidence of awareness of impact of contextual factors on priorities, opportunities, feasibility and limitations, and acting accordingly; • Funding decisions take contextual factors on board where relevant; • Evidence of an ongoing dialogue with partners and other stakeholders on the ground about the complexities of local context; 	<ul style="list-style-type: none"> • Policy notes; • Context analyses; • Funding criteria and decisions; • CfPs, tenders; • Partners' insights and experiences; • Policy staff, both HQ and Embassies 	<ul style="list-style-type: none"> • Document analysis; • Sampling; • Interviews.

	Evaluation questions on Relevance	Criteria	Indicators	Data and sources	Data collection methods
		<ul style="list-style-type: none"> decision making on funding; An open dialogue with partners and other stakeholders is maintained about local contextual dynamics in relation to policy priorities and intervention strategies; Contextual conditions are faced, and aligned to key goals, strategies and implementing modalities. 	<ul style="list-style-type: none"> Evidence of responsiveness to and flexibility in the face of unforeseen circumstances Aspects of local context and their impact on priorities and ongoing interventions is discussed between donor and partner. 		
4	To what extent were Dutch interventions geared towards factors that are deemed relevant for the reduction of refugees' incentives to migrate onward to third countries?	<ul style="list-style-type: none"> Policy priorities and interventions address factors known to be relevant for reducing incentives for onward migration. 	<ul style="list-style-type: none"> Established factors that contribute to the reduction of incentives for onward migration are policy objectives and listed in CfPs, and tenders; Projects funded have objectives that correspond with these established factors. 	<ul style="list-style-type: none"> Evidence based insights (academic literature and research reports) on reducing incentives for onward migration; Policy documents; Funding decisions; Project proposals; CfPs, tenders; Policy makers' insights 	<ul style="list-style-type: none"> Literature review; Document review; Sampling; Portfolio analysis; Interviews
5	Did the Netherlands provide balanced support to refugees and their host communities and to what extent and under which circumstances can and does this balanced support avoid tensions between them?	<ul style="list-style-type: none"> Refugees and host communities were equally targeted; Refugees and host communities were equally reached; Reduction of tension, and aspects of social cohesion is included in programming; 	<ul style="list-style-type: none"> Evidence based insights in where refugee and host community needs align; Targeting strategies include refugees and host communities; Extent to which Dutch interventions included a social cohesion component; Evidence of reduced tension between host communities and refugee communities; Evidence based insights on success factors for reducing tension between host and refugee communities. 	<ul style="list-style-type: none"> Needs assessments Bemo's; Results reporting; Perspectives of policy makers and representatives of partner organisations; Evidence based insights (academic literature & research reports) on success factors for reducing tensions between host and refugee communities; 	<ul style="list-style-type: none"> Literature review Document analysis; Sampling; Interviews
	Evaluation questions on Effectiveness	Criteria	Indicators	Data and sources	Data collection methods
6	To what extent have Dutch interventions contributed to access to public services, education, protection and building livelihoods by refugees, incl. for women and girls?	<ul style="list-style-type: none"> Dutch interventions have enhanced enrolment, attendance and completion of education programmes of refugee and vulnerable host community children and youth; Dutch interventions have contributed to a better equipped 	<ul style="list-style-type: none"> Increased number of enrolment at primary, secondary and tertiary level (m/f); Increased completion at primary, secondary and tertiary level (m/f); Reduced language barriers to education; Evidence of enhanced transport facilities for education; 	<ul style="list-style-type: none"> Results reporting Project evaluations Staff involved in project management and implementation Beneficiaries and indirect stakeholders Survey reports 	<ul style="list-style-type: none"> Portfolio sampling; Portfolio review; Document analysis; Interviews; Online survey beneficiaries

	Evaluation questions on Relevance	Criteria	Indicators	Data and sources	Data collection methods
		education system, providing safe, inclusive, and accessible education for refugee and host community students. <ul style="list-style-type: none"> • Dutch interventions have contributed to enhanced protection of refugees and vulnerable host communities • Dutch interventions have raised awareness about refugees rights and obligations; • Dutch interventions have contributed to enhanced security at community level; • Dutch interventions have enhanced the ability of target groups to generate their own income; • Dutch interventions have contributed to provide adequate labour conditions; • Women and girls were effectively targeted; • Obstacles to the labour market for women are reduced; • Dutch interventions have contributed to the participation of women on the labour market. 	<ul style="list-style-type: none"> • Evidence of enhanced inclusive education; • Evidence of enhanced psychosocial care at schools (m/f); • Curricula and teaching materials developed for inclusive education; • Increased number of legal status owners (m/f); • Enhanced access to justice (m/f); • Reduction of negative coping strategies such as child labour, child marriages, exploitation, and prostitution; • Increased number of people able to generate own income through wage labour and entrepreneurship (m/f); • Labour conditions are physically safe for men and women; • Specific needs of women and girls (to be identified) being met. • % of females among beneficiaries; • # of females in education programmes; • # of women that have employment; • Interventions successfully addressed obstacles to the labour market for women; • Reduction of negative coping strategies among target groups. 		
7	To what extent has the (integrated) approach of targeting both refugees and host communities contributed to the participation of refugees in host communities?	<ul style="list-style-type: none"> • Dutch interventions have equally targeted refugees and vulnerable host communities; • Dutch interventions contributed to reduced tensions between local communities and refugees; • Dutch interventions enabled access to regular jobs for refugees in the local economy; • Dutch interventions enabled access to local community schools for refugee children; • Dutch interventions have promoted community initiatives. 	<ul style="list-style-type: none"> • Amount of support given to refugees, host communities or both. • Reduced demands for community mediation; • Increase of inclusive community initiatives; • Evidence of increased school participation by refugee children; • Reduced reports of bullying at school. • Evidence of increased employment of refugees in regular jobs; • Evidence of reduced tensions between local communities and refugees; • Evidence of increased community initiatives. 	<ul style="list-style-type: none"> • Results reporting • Project evaluations • Staff involved in project management and implementation • Beneficiaries and indirect stakeholders • Survey reports 	<ul style="list-style-type: none"> • Portfolio sampling; • Portfolio review; • Document analysis; • Interviews; • Online survey beneficiaries
8	To what extent has the (integrated)	<ul style="list-style-type: none"> • Dutch interventions have targeted both Syrian refugees and 	<ul style="list-style-type: none"> • Amount of support given to refugees, host communities or both. 	<ul style="list-style-type: none"> • Results reporting • Project evaluations 	<ul style="list-style-type: none"> • Portfolio sampling;

	Evaluation questions on Relevance	Criteria	Indicators	Data and sources	Data collection methods
	approach of targeting both refugees and host communities benefitted host communities economically?	(vulnerable) host communities; • Dutch interventions have enhanced economic development and growth of host communities.	<ul style="list-style-type: none"> Economic growth in communities/regions with substantial levels of refugees; Enhanced employment opportunities and increased incomes for local population. 	<ul style="list-style-type: none"> Staff involved in project management and implementation Beneficiaries and indirect stakeholders Survey reports; Employment figures; Local, regional and national Economic development figures; Evidence based insights (academic literature & research reports) on economic impact of refugees on local economies. 	<ul style="list-style-type: none"> Portfolio review; Document analysis; Interviews; Online survey beneficiaries
	Evaluations Question on Coherence	Criteria	Indicators	Data and sources	Data collection methods
9	To what extent were synergies sought and created between Dutch DAFD interventions and broader Dutch policy interventions in these countries, including, but not limited to, trade policy and diplomatic interventions (whether or not in EU context)?	<ul style="list-style-type: none"> MFA departments and embassies coordinated DAFD interventions to identify possible synergies, and avoid double effort; DAFD interventions and other policy instruments were mutually reinforcing. 	<ul style="list-style-type: none"> Meetings and correspondence between MFA departments and embassies on DAFD support; Evidence of projects with complementary or mutually reinforcing objectives. Evidence of assistance projects, trade or diplomatic initiatives that contributed positively to achieving project DAFD objectives. 	<ul style="list-style-type: none"> Bemo's Results reporting Staff involved in project management and implementation; Policy makers; Embassy staff, EU and EU member state embassies' staff 	<ul style="list-style-type: none"> Portfolio sampling; Portfolio review; Document analysis; Interviews
10	To what extent were Dutch DAFD interventions coordinated and aligned with host country policy?	<ul style="list-style-type: none"> Interventions were coherent with host country priorities; Active coordination was sought with local governments. 	<ul style="list-style-type: none"> Reference to national policy in bemo's (assessment memorandums); Evidence of pro-active coordination with local governments. 	<ul style="list-style-type: none"> Host country policy documents and development plans; Staff involved in project management and implementation; Host country representatives; Embassy staff. 	<ul style="list-style-type: none"> Document analysis; Interviews.
11	To what extent were Dutch DAFD interventions coordinated with other (bilateral, multilateral) donor's interventions and were synergies created?	<ul style="list-style-type: none"> MFA and Dutch embassies convened with other donors to coordinate their actions in the area of DAFD support. NL and other donors made attempts to complement each other. Interventions by the Netherlands and other donors worked mutually reinforcing. 	<ul style="list-style-type: none"> Meetings or correspondence with other donors aimed at coordinating actions; Evidence of attempts to harmonize interventions; Evidence of mutually reinforcing projects. 	<ul style="list-style-type: none"> Staff involved in project management and implementation; Representatives of bilateral and multilateral donors; Reports of donor coordination meetings; Embassy staff. 	<ul style="list-style-type: none"> Document analysis; Interviews.

	Evaluation questions on Relevance	Criteria	Indicators	Data and sources	Data collection methods
	Evaluation Questions on Efficiency	Criteria	Indicators	Data and sources	Data collection methods
12	What have been the comparative advantages and disadvantages of the different types of partnerships between the MFA and its partner organisations in forging mutual collaboration and coordination between partners on the different thematic priorities of DAFD policy, and what has been the added value of this collaboration and coordination?	<ul style="list-style-type: none"> • Coordination mechanisms between Dutch funded actors are in place; • Dutch funded actors collaborate and coordinate to effectively to pursue a chain approach in which thematic priorities are complementary and mutually reinforcing; • Extent to which facilitation by Netherlands of coordination and collaboration was required; • Increased results because of effective collaboration and coordination. • Bridging humanitarian and development support for target groups was actively pursued through partnership relations. 	<ul style="list-style-type: none"> • Dutch funded actors are well informed about each other's efforts; • Opportunities for added value through synergies are identified, or pro-actively sought, and realised; • Evidence of pursuit of results beyond project level; • Evidence of added value such as avoiding overlap and double work, increased results; • Netherlands as a donor plays an active role in facilitating coordination and collaboration between its partners; • Opportunities for synergies are taken into consideration in decision making process; • Evidence of active pursuit to enhance humanitarian-development nexus. 	<ul style="list-style-type: none"> • Project administration incl. M&E reports; • Funding decisions; • Insights from partners; • Insights from policy makers and Embassy staff; • Communications between donor and partner; • Reports of meetings. 	<ul style="list-style-type: none"> • Sampling; • Document analysis; • Interviews; • Focus groups.
13	What have been the comparative advantages and disadvantages of the different types of partnerships between the MFA and its partner organisations in terms of efficiency of management of funds.	<ul style="list-style-type: none"> • Comparative overhead costs at MFA, including Embassies, for management of funds (in terms of fte); • Comparative overhead costs for partner organisation (in terms of fte); • Efficiency of administrative processes; • Level of fragmentation of funding. 	<ul style="list-style-type: none"> • # fte dedicated to management of funds at MFA, embassies and with partners; • Turn over time reception proposal to transfer of funds; • # of partners funded relative to budget. 	<ul style="list-style-type: none"> • Partner and project portfolio; • Project management documents; • Reports of meetings; • Stakeholders' insights. 	<ul style="list-style-type: none"> • Portfolio sampling; • Portfolio review; • Document analysis; • Interviews • Focus groups
14	To what extent have different types of partnerships forged efficient coordination and collaboration between Dutch Embassies and policy departments within the MFA?	<ul style="list-style-type: none"> • Roles and responsibilities in the management of partnerships between MFA and embassies is based on relative strengths and feasibility; • Clear agreements are made between different stakeholders at MFA on division of tasks, roles and responsibilities; • Ongoing coordination and collaboration between Embassies and Policy departments to manage the funds 	<ul style="list-style-type: none"> • Evidence of efficient division of responsibilities between MFA, embassies and partners and their underlying assumptions; • Evidence of reflection on division of tasks, roles and responsibilities between embassies and MFA when new initiatives are launched; • Evidence of recurrent coordination and collaboration between Embassies and policy directorates at MFA; • Evidence of sufficient capacity and competencies for 	<ul style="list-style-type: none"> • Project management documents (Sophia); • Correspondence; • Reports of meetings; • Stakeholders' insights. 	<ul style="list-style-type: none"> • Document analysis; • Interviews; • Focus groups.

	Evaluation questions on Relevance	Criteria	Indicators	Data and sources	Data collection methods
		efficiently and effectively.	managing partner relations.		
15	To what extent were different types of partnerships flexible and adaptive in response to a volatile context, in particular relating to the Covid-19 pandemic and the crisis in Lebanon?	<ul style="list-style-type: none"> • Extent to which implementation strategies and time frames could be adapted, if and when required, to pursue expected results in a changing context; • Extent to which adaptations were made in a timely and efficient manner; • Extent to which funding was made available for additional needs or to meet additional costs in response to Covid-19 pandemic; • Extent to which challenges faced by partners due to changing context were discussed with MFA. 	<ul style="list-style-type: none"> • Mapping of kind of adaptations required, per country, type of partner, and thematic sector. • Mapping of adaptations sustained and rejected; • Level of decentralisation in decision making on project revisions; • Testimony of ongoing exchange between donor and partner. 	<ul style="list-style-type: none"> • Communications between donor and partner; • Project reporting; • Project evaluations; • Project revisions, incl. NCE; • MFA Covid-19 response policy. 	<ul style="list-style-type: none"> • Document analysis; • Sampling; • Interviews.

Annex B Workplan

WP/RQ	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1	■								■	■	■	■	■	■	■
2				■	■			■							
3		■	■	■	■	■	■	■	■	■	■	■	■	■	■
4		■	■	■	■	■	■	■	■	■	■	■	■	■	■
5		■				■	■	■							
6	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■

Table 3. Overview Research Questions addressed per work package

Work package 1 – Reconstruction of policy theory and practice in time

Because Dutch forced displacement policy and its intervention strategies have been under constant development in the period 2015-2020, (responding to a volatile context, political pressure in the Netherlands, and in relation to emerging focus country policy and migration policy) DAFD policy development will form an important focal point in this evaluation. To be able to understand the development of policy and practice in time, context analyses will be made for the three countries concerned. Particular attention will also be given to how gender sensitivity took shape within policy and practice, and how specific gender related challenges were unpacked and translated into concrete strategies.

An analysis of the formulation of objectives and strategy, including the underlying assumptions, and key concepts that have entered policy vocabulary, the decision-making process and the cooperation between policy departments and with embassies will provide an interpretative frame for the evaluation of funded activities, as well as lessons about the incremental development of the policy as such. A draft policy theory, and its development in time, will be developed by IOB, and discussed with key stakeholders at DSH-MO in focus group(s).

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The development of policy response goes hand in hand with questions concerning assumptions and strategic decisions made regarding coherence (RQ 9-11) and efficiency (RQ 12-15). The insights gained from the reconstruction of policy theory and practice in time will be a foundation for further analysis in work packages 3 and 4. Building on insights gained from interviews and document analysis, we will reflect on these questions in the focus group(s).

Additional interviews will be held to fill gaps and for clarification. The findings will be shared with stakeholders for validation. This sub-study is a key building block for the evaluation. Findings will be included in the final evaluation report and will not be published in a separate report.. This work package will be implemented by the IOB research team. The focus group(s) will be facilitated by a facilitator.

Tentative timeframe: June – September 2021

Work package 2 – Literature study

A literature study will synthesise insights from academic literature, research and evaluations reports on the following themes, each to be approached gender specifically:

- Onward migration and factors relevant for reducing incentives to migrate to third countries;
- Social cohesion in situations of protracted forced displacement, and success factors for reducing tensions between host- and refugee communities;
- Economic impact of refugees on local economies.

These insights will be provide insights relevant for RQ4, RQ5 and RQ8, and will provide a basis for further analysis of the relevance of Dutch interventions (RQ4 and RQ5) and the effectiveness of Dutch interventions (RQ 8).

The report of the Literature study will be published on IOB's website; the findings will also be integrated in the final evaluation report. The study will be executed by a team of external consultants.

Tentative time frame: July – December 2021

Work package 3 – Desk study

Building on the insights from WP 1 (Policy theory and practice) and WP 2 (literature study), RQs 2-15 will be addressed by means of a desk study, complemented with field research (WP4) if deemed feasible and safe (see Par. 6.4 on risks and ethics). A recent IOB literature study on localization in humanitarian action¹² also focused on situations of protracted forced displacement, the conclusions of which feed into this desk study on relevance, coherence and effectiveness. The desk study consists of project sampling and -analysis, document selection and -analysis, combined with interviews and focus groups. For practical purposes the desk study and field research are kept as distinct working packages since opportunities for field research remain insecure because of current Covid-19 restrictions.

Tentative time frame: September – December 2021

Work package 4 – Field research (or alternatives)

The desk study on relevance, coherence, effectiveness and efficiency (WP 3) will be complemented with field research conducted by IOB researchers supported by local consultants. Field research is essential for answering these questions fully. Building on the findings of WP 3, the research will consist primarily of conducting interviews and focus groups with selected partners and other stakeholders, including representatives of beneficiaries.

A go/no go decision moment (December 2021) will decide on the feasibility of field research by IOB and/or local consultants in view of Covid-19 restrictions. If field research is not deemed feasible and/or safe for IOB researchers and/or local consultants, alternative approaches will be developed such as online focus groups with representatives of beneficiary groups, and additional online interviews. The planning (see par. 6) now assumes that field research will be feasible, but will be revised according to the adjusted research strategy in case field research is deemed unfeasible.

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Tentative time frame: January – March 2022

Work Package 5 – Online Survey and Conversations

To include the voices of beneficiaries of Dutch DAFD policy, both refugees and host communities, IOB will work with a specialist team that conducts online surveys and conversations using secure social media platforms with a selected panel of respondents. The data collected from these surveys and conversations will be essential for answering RQ 2, 6, 7 and 8 adequately.

The findings will be included in the final report. However, the survey report will be published separately and used for outreach and dissemination activities.

Tentative time frame: July - December 2021

¹² Barbelet, Veronique et al (2021, forthcoming), *Interrogating the evidence base on humanitarian localisation. A literature study*. HPG and IOB.

Work package 6 – Report writing

The final report will combine the insights gained from work packages 1-5. The report will be written by the IOB research team.

Tentative time frame: April - June 2022 (1st draft).

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