Inception report

Humanitarian evidence systems mapping in East Africa

Inception report for DFID

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Development Initiatives has been commissioned by the UK's Department for International Development (DFID) to conduct a mapping and political economy study on the production and utilisation of humanitarian evidence in Kenya, Uganda and the East African region.

This inception report covers the period from 13 October to 12 December 2014 and outlines the research studies framework of analysis, key research questions, methodological approach and tools, constraints, risk and limitations, the political economy of humanitarian action and research in the region, and a communication plan for dissemination of findings.

We welcome feedback from DFID on ways to refine and improve our research approach.

Contact

Kerry Smith, Team Leader

Development Initiatives

T: +44 (0) 1179 272 505 E: Kerry.Smith@devinit.org www.devinit.org

Acronyms

AERC	African Economic Research Consortium
ACCRA	Africa Climate Change Resilience Alliance
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
ANIE	African Network for Internationalization of Education
ASAL	Arid and semi arid lands (in northern Kenya)
ASARECA	Association for Strengthening Research in East and Central Africa
ASARECA	Association for strengthening Agricultural Research in Eastern and Central Africa
AU	African Union
BBRC	Biotechnology and Biological Sciences Research Council (UK)
CaLP	Cash Learning Partnership
CBO	Community-based organisations
CEO	Chief Executive Officer
CGIAR	Consultative Group on International Agricultural Research
CHRIPS	Centre for Human Rights and Policy Studies
CoP	Community of Practice
CUUL	Consortium of Uganda University Libraries
DFID	Department for International Development
DI	Development Initiatives
DLCI	Drylands Learning and Capacity Building Initiative for Improved Policy and Practice in the Horn of Africa
DRC	Democratic Republic of Congo
DRT	Development, Research and Training
EAC	East African Community
EDE	Ending Drought Emergencies (the title of the current plan 2014–2018 for tackling drought emergencies in 23 of the most drought prone counties in Kenya)
ELHRA	Enhance Learning and Research for Humanitarian Assistance
ESRC	Economic and Social Research Council (UK)
EU	European Union
FAO	Food and Agriculture Organisation
FGDs	Focus Group Discussions
FSNWG	Food Security Nutrition Working Group
FTS	Financial Tracking Service
GHA	Global Humanitarian Assistance
GoK	Government of Kenya
HEA	Household Economy Analysis
HSNP	Hunger Safety Net Programme (Kenya)
IATI	International Aid Transparency Initiative
IAWG	Interagency Working Group on disaster preparedness
ICRC	International Committee of the Red Cross
IDDRSI	IGAD Drought Disaster Resilience and Sustainability Initiative
IDS-UK	Institute for Development Studies, United Kingdom
IFPRI	International Food Policy Research Institute
IFRC	International Federation of the Red Cross and Red Crescent Societies
IGAD	Intergovernmental Authority on Development
ILRI	International Livestock Research Institute
INGO	international non-governmental organisations
IRC	International Rescue Committee

KFSG	Kenya Food Security Group
KFSM	Kenya Food Security Meeting
KFSSG	Kenya Food Security Steering Group
KII	Key informant interviews
KM	Knowledge Management
MEI	Monitoring, evaluation and impact
NDMA	National Drought Management Authority
NECOC	National Emergency Coordination and Operations Centre
NURRU	Network of Uganda Researchers and Research Users
ODA	Official Development Assistance
ODI	Overseas Development Institute
OECD DAC	Organisation for Economic Co-operation and Development, Development Assistance Committee
OSSREA	Organisation for Social Science Research in Eastern and Southern Africa
RAU	Resilience Analysis Unit
UN OCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNDP	United Nations Development Program
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Education Fund
UNISDR	United Nations International Strategy for Disaster Reduction
USAID	United States Agency for International Development

Executive summary

Development Initiatives (DI), in partnership with Development, Research and Training (DRT) in Uganda, has been commissioned by the United Kingdom's Department for International Development (DFID) to conduct a mapping and political economy study on the production and utilisation of humanitarian evidence in Kenya, Uganda and the East Africa region.[1] The aim of the study is to identify the key stakeholders commissioning, conducting and brokering humanitarian research activities and understand how decision makers interpret and use evidence. It will inform DFID's understanding of the humanitarian research and evidence landscape in East Africa and identify potential opportunities for DFID (and other actors) to support the strengthening of research capacity and uptake in the region.

The humanitarian and research landscape in Kenya, Uganda and the East Africa region[2] incorporates multiple stakeholders, literature and thematic areas that are often wide ranging, fragmented and disconnected. The potential scope for this piece of research is complex. We therefore need to identify and focus on key areas of interrogation that will produce tangible results.

Our scope of humanitarian action is based on the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) definition and covers a range of interventions from immediate life-saving response to longer term investments and interventions. It incorporates the unique humanitarian context in East Africa as well as globally agreed definitions, and covers four pillars:, emergency response; reconstruction relief and rehabilitation; disaster prevention, preparedness and disaster risk reduction/management/financing; resilience building including education provision, climate adaptation and mitigation.

The research will be guided by three core questions, linked to the original objectives set out by DFID:

- What factors determine the ways in which the current humanitarian research and evaluation environment operates? (Objective 1)
- What are the socio-political, economic and other factors governing the commissioning, undertaking and uptake of humanitarian research and evaluation in East Africa? (Objective 2)
- What, and where, are the opportunities to support the strengthening of regional and national research and evaluation capacity on both the user (demand) and producer (supply) side? (Objective 3)

Fundamental to answering these overarching questions are further sub-questions, (see table 1), that the research will address through our various methodological tools. We have identified four interlinked components that underpin and frame our research – production, consumption, influencers and capacity. We want to know what the supply and demand is for evidence, the nature of capacity to generate and use evidence, and the power relations and influences on the humanitarian research system. Our framework of analysis will be influenced by the political economy of humanitarian action and research in the region, and will incorporate two cross cutting themes: social inclusion, gender and accountability to affected populations; and research quality, access and use.

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[1] DFID tender document: http://r4d.dfid.gov.uk/Project/61295/

[2] East Africa here refers to the two countries of Kenya and Uganda and to regional bodies, not necessarily to the other individual countries that form East Africa.

Table 1: Overview of four components from our framework of analysis, and guiding questions

	Producers	Consumers	Influencers	Capacity
Definition	The providers/suppliers of humanitarian evidence - based in East Africa or elsewhere	The users of humanitarian evidence	The people and institutions that influence the research and evidence agenda including donors, communicators and brokers of evidence	The ability and skills to produce, consume or influence humanitarian evidence - by organisation type (e.g. academic, NGO/CBO) based in East Africa
Core questions	Who produces which type of evidence, how and why?	Who is consuming which types of evidence, how and why?	Who influences/determines the evidence agenda, how and why? Who controls the finance flows?	What factors affect people's capacity to generate and use evidence?
	How and by whom is demand determined?	What is the demand for and extent of evidence uptake, by whom and how?	What problems is evidence trying to address?	What barriers and enablers exist to strengthen capacity?
	What sectors/themes/ locations dominate evidence, and why?	What are the barriers to access and use, who is excluded, how and why?	Who and what shapes/influences evidence into use?	What barriers and enablers exist to respond to practical findings of humanitarian evidence?

This report highlights tried and tested methodological tools adopted during the inception phase, proposed methods for the implementation phase and constraints, limitations and risks to the research. We will use five tools to gather responses – online survey, key informant interviews, focus group discussions, literature reviews and financing analysis. The range of methods will help triangulate findings to ensure a robust evidence base. We have also mapped out key stakeholders in eleven organisation types which we want to engage with on this research project.

From our initial political economy analysis we have identified some emerging findings:

- Newly established or emerging regional and national government players are envisaged to play a leading role in coordinating humanitarian action in East Africa; however, their engagement with humanitarian evidence is not yet clear.
- The humanitarian research agenda is predominantly driven and funded by international actors – donors, INGOs and academic institutions - who occasionally partner with local institutions in collaborative research.
- National and regional humanitarian information sharing, technical, thematic and coordination groups exists, but none, so far, are focused on research and evidence as an activity per se.
- Consultations so far point to minimal consumption of research due to lack of incentives, absence of concise summaries and a limited time to read.
- No single large scale repository of humanitarian related literature seems to exist in the region.

We want to maximise the chances of an effective response to the study's findings. That means a priority to communicating results and disseminating findings but also developing a sense of ownership among stakeholders. We will promote engagement in the study and utilisation of findings through a participatory approach which is not led and or owned by us. During the inception phase we had preliminary consultations and gathered feedback from key stakeholders; during the implementation phase there will be a continuation of this and dissemination will be done through established global, regional and national mechanisms and forums.

1. Introduction

The study started on 13 October 2014 and will run for a year. This summary inception report covers the key activities (including the initial consultations) from the two-month inception period, running from 13 October to 12 December 2014. It outlines methodological approaches designed and tested to date, and our proposed approach for the implementation stage of the project (February to October 2015). The inception report outlines the following:

- *Purpose, objectives and scope* of the study, which includes our scope of humanitarian action and a *thumbnail sketch of the humanitarian landscape in East Africa.*
- *Research design and analytical framework,* outlining three approaches to guide our research and three tools to frame our research and evidence findings.
- Main *research methodologies and tools* used during the inception and implementation phase.
- *Constraints and limitations* of our methodological approach.
- *Political economy analysis and early findings* from the inception phase.
- A plan to *communicate results and disseminate findings.*

2. Purpose, objectives and scope

The purpose and outcome of the mapping study is to enable DFID and other research actors to identify the key stakeholders that are commissioning, conducting and brokering humanitarian research activities as well as to understand how decision makers interpret and use evidence. It will inform DFID's understanding of the humanitarian research and evidence landscape in East Africa and identify potential opportunities for DFID (and other actors) to support the strengthening of research capacity and uptake in the region.

Findings from the research should directly or indirectly contribute to the wider impact of DFID's work, in which humanitarian research and evaluations in East Africa inform evidence-based decision making for humanitarian action, response, resource allocation and innovation. As a result, the extent to which people are affected by, and vulnerable to, humanitarian crises in the region should be reduced.

The research project will be guided by DFID's three core objectives, as outlined in the tender:

- A mapping exercise that describes and analyses the humanitarian research and evaluation landscape in East Africa.
- An analysis of the political economy of commissioning, undertaking and uptake of humanitarian research and evaluation in East Africa.
- Recommendations on the opportunities to support the strengthening of regional or national research and uptake.

To address these core objectives we have defined the scope of humanitarian action that the project will work within, taking into account the humanitarian context in Kenya, Uganda and regionally and the different organisation types (for example, academic institutions, NGOs/CBOs, media, national and regional government bodies amongst others) who play varying roles in the production and consumption of humanitarian evidence.

Thumbnail sketch of the humanitarian landscape

The East African region is characterised by man-made and natural disasters, ranging from rapid-onset to slow protracted crises. These are caused by conflict (both internal and cross border), climate change and environmental degradation, disease epidemics, recurring droughts and food insecurity. These factors stretch humanitarian action in the region, therefore intervention and response is complex, involving a plethora of actors, multiple financing resources and models, and diverse information sources.

Kenya serves as the regional hub for major humanitarian activity in the Horn of Africa, and is the operational launch pad for programmes in Somalia and South Sudan. It hosts a range of actors with regional offices in Nairobi – donors, international non-governmental organisations (INGOs), private sector players and the UN. Thus, our scoping in Kenya will clearly differentiate between national and regional dimensions of this study and provide insights into the correlations between them. Uganda has a smaller regional humanitarian role, serving as a hub for UN operations into the Democratic Republic of Congo (DRC), and as an alternative route for supplies into South Sudan.

The humanitarian landscape in Kenya and Uganda are characterised in the following ways:

- 80%[3] of Kenya comprises arid and semi arid land (ASAL), with low densities of pastoralist populations facing recurring cycles of drought, environmental degradation, food insecurity and natural resource depletion. This has resulted in longer term resilience programmes.
- Uganda has no arid land as such, but it experiences natural climate-related disasters such as cyclical droughts and heavy rains, as well as viral epidemics such as Marburg and Ebola. Inter-ethnic conflict persists in the northern area of Karamoja.
- In Kenya and Uganda, conflict and competition over access to ownership of land is exacerbated by recent discoveries of oil. Land ownership and entitlement over natural resources is highly contested, resulting in internal displacement, impoverishment and inter-ethnic conflict.
- Both countries are affected by conflict in bordering states, resulting in mass displacement. Kenya houses the world’s largest refugee camp, Dadaab, and has done so for 20 years. The number of registered Somali refugees is currently just under 340,000 people.[4]
- Unlike Kenya to date, Uganda has a high degree of military mobilisation and leadership in its domestic humanitarian response. Both countries have armed forces active in neighbouring countries.
- Kenya is differentiated from Uganda in having a high degree of innovation, especially in response monitoring and cash transfer technologies. This could well be due to significant private sector involvement in major humanitarian activities, for example Equity Bank in Hunger Safety Net Programme (Kenya).

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[3] UNDP Adaptation to Climate Change in Arid and Semi-Arid Lands project concept note December 2011, http://www.ke.undp.org/content/kenya/en/home/operations/projects/environment_and_energy/Adaptation_to_Climate_Change/

[4] UNHCR, Refugees in the Horn of Africa: Somali Displacement Crisis, Information Sharing Portal, accessed 1 December 2014 http://data.unhcr.org/horn-of-africa/region.php?id=3&country=110

Scope of humanitarian action

Defining the scope of humanitarian action provides a framework for the research and should help set clear parameters and boundaries. The scope will influence our choice of research methods and stakeholder selection – we will also ask our key stakeholders how *they* define humanitarian action.

Our definition of humanitarian action considers both the complex and specific humanitarian context in East Africa and common globally recognised definitions from the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC). The OECD DAC defines humanitarian aid as "assistance designed to save lives, alleviate suffering and maintain and protect human dignity during and in the aftermath of emergencies. To be classified as humanitarian, aid should be consistent with the humanitarian principles of humanity, impartiality, neutrality and independence".[5]

As humanitarian intervention covers a range of action from immediate life-saving response to longer term investments and interventions, we propose the following four pillars:

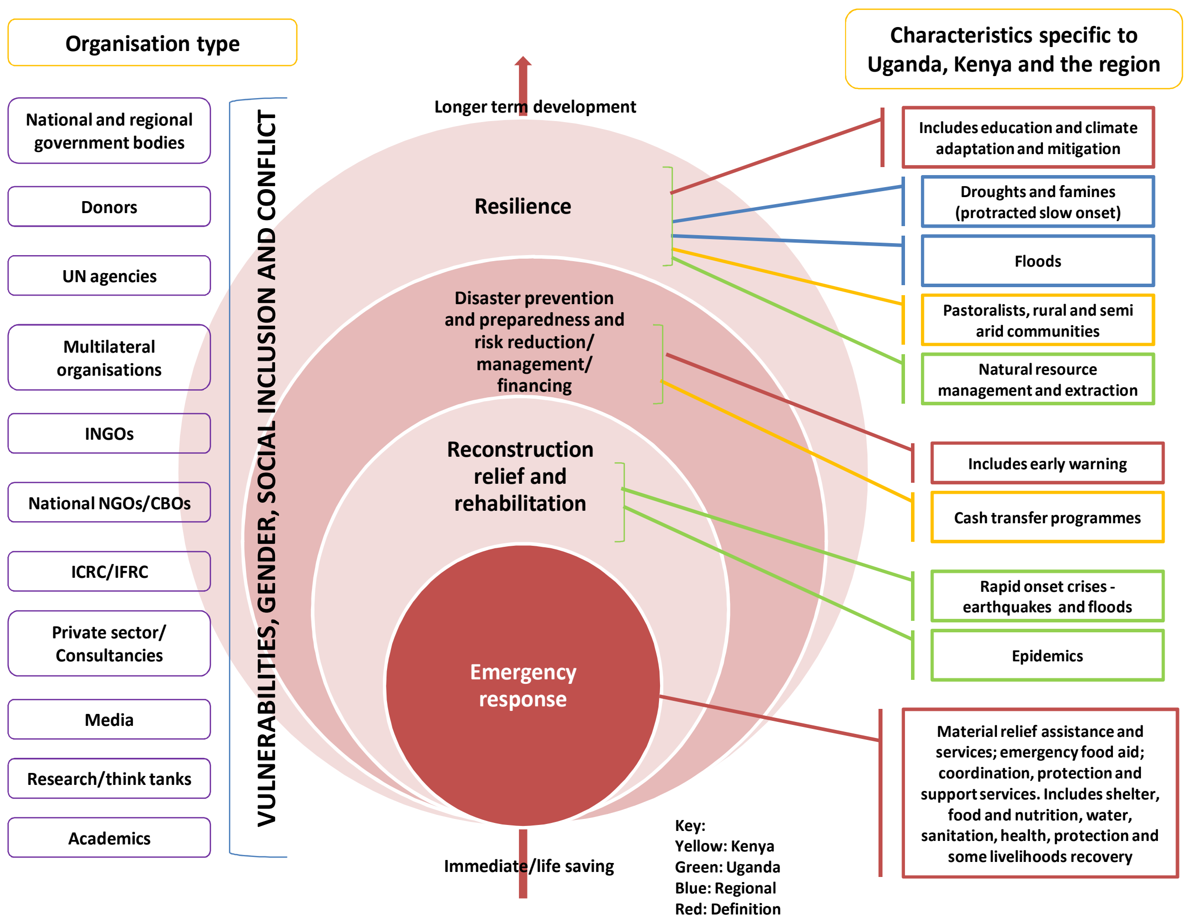
- Emergency response: comprises of material relief assistance and services; emergency food aid and relief co-ordination; protection and support services. This includes shelter, food and nutrition, water, sanitation, health, protection and some livelihoods recovery
- Reconstruction, relief and rehabilitation: activities during and in the aftermath of an emergency situation.
- Disaster prevention and preparedness and disaster risk reduction (DRR)/management/risk financing: includes activities such as developing knowledge, natural risks cartography, legal norms for construction; early warning systems; emergency contingency stocks and contingency planning including preparations for forced displacement.
- Resilience building, including education provision and climate adaptation and mitigation.

For the purposes of this study it was agreed that as conflict and fragility are seen as crosscutting phenomena which all humanitarian players need to navigate. Thus conflict prevention and peace -building approaches per se are not categorised as part of a typical humanitarian approach. It is expected that all humanitarian actors apply humanitarian principles in conflict-affected settings.

Figure 1 represents our construct of humanitarian action based on global definitions, key characteristics specific to East Africa and CoPs working in this context.

[5] OECD DAC glossary http://www.oecd.org/site/dacsmpd11/glossary.htm

Figure 1: Scope of humanitarian action



3. Research design, scope and analytical framework

Our definition of research is broad, encompassing a range of research approaches and purposes, which reflect humanitarian-related enquiry, using fairly simple language which local stakeholders can easily relate to. The term 'research' means different things to different stakeholders, with organisations carrying out research for different purposes, for example to inform advocacy, programme implementation and even for fundraising. Our definition of research is 'performing a systematic, documented investigation into, and study of sources and/or data to test a hypothesis, or to answer a specific question, or to assess the effectiveness of an existing programme, or to find ways of improving a method or approach'.

In the humanitarian sector, there are varied understandings and manifestations of the term 'research', encompassing a wide variety of activities and literature, for different purposes and audiences (academics, practitioners, policy makers and/or funders), in different formats (publicly available, private, hard copy and online) with widely varying degrees of methodological rigour. Given this reality, our definition is intentionally broad and, to some extent, subjective, which allows us to assess quality from a fairly broad but representative sample of 'research'.

We use the OECD definition of Evaluation which is "the systematic and objective assessment of an on-going or completed project, programme, policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability”.[6]

In this study we refer to both research and evaluations as ‘evidence’. In addition to extracting relevant information on research quality through our literature review, we need to ensure that our own research is robust and methodologically sound. We will do this by adopting the following three approaches:

a. Ensure rigour through a robust approach to evidence mapping

One of the most important objectives of the mapping exercise is to generate evidence-based findings and recommendations for how DFID (and possibly other key stakeholders) can take advantage of opportunities to support the strengthening of regional or national research and evaluation capacity on both the user and producer side. Critical to reliable mapping is a robust approach to organising and collecting the data gathered during the research. We have therefore developed three tools that will help ensure robustness and rigour in our research design and implementation.

i. Framework of analysis

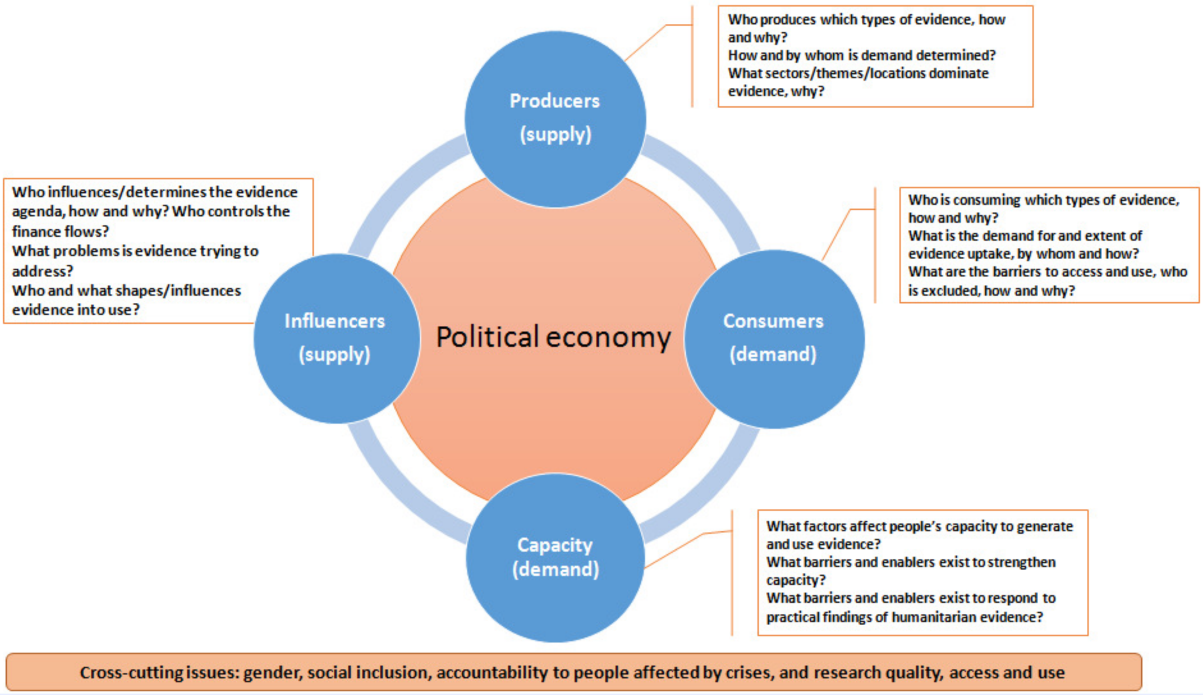
Our framework of analysis (see figure 2) comprises of four behaviour-related components – producers, consumers, influencers and capacity – which enables us to develop a political economy analysis of the supply and demand side of the humanitarian research system in East Africa. These four components and subsequent questions (see table 2) will help to guide the research and ensure that we meet the objectives, and are defined as:

- Producers/production – The providers/suppliers of humanitarian evidence - based in East Africa or elsewhere.
- Consumers/consumption – the users of humanitarian evidence.
- Influencers – The people and institutions that influence the research and evidence agenda including donors, communicators and brokers of (such as think tanks)
- Capacity – The ability and skills to produce, consume or influence humanitarian evidence - by organisation type (academic, NGO/CBO) based in East Africa

Institutions and individuals may well exert more than one behaviour, we will explore this in our study (see Table 2).

[6] OECD Glossary of Key Terms in Evaluation and Results Based Management 2010, pp 21, http://www.oecd.org/development/peer-reviews/2754804.pdf

Figure 2: Framework of analysis



ii. Key questions and sub-questions for the study to answer

Table 2 links the primary objectives of the research (as outlined by DFID) with our framework of analysis so we can map out the guiding questions and sub-questions that are driving our research. These questions will inform the content for our KIIs. From DFID's objectives we have identified three questions that need to be answered, with accompanying sub-questions:

- What factors determine the ways in which the current humanitarian research and evaluation environment operates? (Objective 1)
- What are the socio-political, economic and other factors governing the commissioning, undertaking and uptake of humanitarian research and evaluation in East Africa? (Objective 2)
- What, and where, are the opportunities to support the strengthening of regional and national research and evaluation capacity on both the user (demand) and producer (supply) side? (Objective 3)

Table 2: Questions and sub-questions guiding the research, as per four components of research study

Production	Consumption	Influencers	Capacity
1. What factors determine the ways in which the current humanitarian research and evaluation environment operates? (Objective 1)			
Who produces evidence? Where are they based?	Who are the consumers of evidence?	Who is setting the evidence agenda? Why?	To what extent are governments and policy makers defining their own agenda in country?
Why do they produce evidence?	How do consumers hear about humanitarian evidence?	What and where is the demand for evidence coming from?	Who has the most/least capacity to generate and use evidence, why?
Who is the evidence for?	Where do consumers go to get evidence? (online, hard copy, twitter, media, platforms, other	What questions are influencers trying to answer?	

	colleagues, libraries?)		
What are the dominant methods and types of evidence that is generated?			
What and where is the demand for evidence coming from?			
What questions are producers of evidence trying to answer? Whose problems are they trying to address?			
Who sets the evidence agenda?			
2. What are the socio-political and economic factors governing the commissioning, undertaking and uptake of humanitarian research and evaluation in East Africa? (objective 2)			
How experienced are the people producing evidence? Have they been trained in research/evaluations/further education?	How familiar are people with using evidence? Have they been trained in research/further education?	Who are the major influencers?	What factors affect the capacity to generate and use evidence?
What sectors and thematic areas dominate evidence in the region?			
Are the producers the same as the users?	How do consumers judge the quality of evidence?	Who are the major funders?	To what extent are national partners involved in the production and consumption of evidence?
Is the demand for evidence coming from the international/regional/ national/local level?	Is the demand for evidence coming from the international/regional/ national/local level?		
What share of the budget do local partners get, and are they sub-contracted or lead?	What barriers prevent research uptake?	What share of the budget do local partners get, and are they sub-contracted or lead?	What share of the budget do local partners get, and are they sub-contracted or lead?
Who is the key lead in terms of the relationship between producer and funder?	When was the last time consumers sought out evidence? What were the circumstances, who needed the information and why?	Is funding flexible to allow for producers to develop and respond to local demand for evidence?	
What is the geographical location of the producers?	Why is evidence being used, for what and for whom?		
3. What, and where, are the opportunities to support the strengthening of regional and national research and evaluation capacity on both the user (demand) and producer (supply) side? (Objective 3)			
Is evidence produced collectively as a public good?	Is the evidence easily accessible in one place?	Are lessons learnt, tools and approaches being shared with producers and consumers of evidence in the region? If so how?	What barriers exist that limit the ability of individuals/organisations to generate and use evidence?

Is the evidence publically available?	Is the evidence publically available?		What linkages exist between humanitarian organisation types or communities of practice that could usefully be strengthened?
What platforms exist to share evidence findings and learnings?	What platforms exist to share evidence findings and learnings?		
Are lessons learnt, tools and approaches being shared with producers and consumers of evidence in the region? If so how?	Are lessons learnt, tools and approaches being shared with producers and consumers of evidence in the region? If so how?		

iii. Evidence assessment framework

We are proposing to use an evidence-assessment framework during the implementation stage to provide a systematic way of mapping, collating and analysing our findings to ensure it is robust and rigorous. The framework will facilitate a clear process for gathering, documenting and analysing our findings to ensure consistency when using large amounts of data from different sources (see Annex 1).

b. Ensure ownership and use of findings through participatory approaches

It is clear from the ToR and discussions with DFID that as this research project focuses on the generation and use of humanitarian research, our findings, gaps and recommendations should influence a change in the way research is produced, used and disseminated in East Africa. Integral to our approach is ownership of the research by DFID and our key stakeholders, which should strengthen the results and findings. See *Communicating results* section for more information.

c. Address cross cutting issues

Discussions with DFID and amongst the team have identified two cross cutting themes that are central to the mapping exercise and will be incorporated throughout the research:

i. *Social inclusion, gender and accountability to affected populations*

We know from the political economy analysis of the humanitarian context in the region that women and girls are particularly vulnerable during and after humanitarian crises. During the inception phase we worked with a gender specialist who advised us on incorporating gender and social inclusion elements into our research design and implementation. Whilst the scope of the research does not enable or warrant us to get direct feedback from affected populations, we need to ensure cross cutting themes are incorporated into our research design. For example, part of the assessment criteria for our initial review of literature was whether the research and evaluations referenced or focused on gender, social exclusion and affected populations.

ii. *Research quality, access and use*

Research quality, access and use are also cross cutting issues. Given the varying understandings of the term ‘research’ in the region, the large amount of grey literature available and varying quality of research being produced we want to, as objectively as possible, assess aspects of quality and access. We also want to discern whether and how research quality and access may affect uptake.

4. Research methodology and process

During the inception phase the team employed a number of methods to inform the mapping design and areas of enquiry for the implementation phase. This included conducting a stakeholder mapping exercise, trialling a key informant interview (KII) and doing preliminary analysis on humanitarian research financing.

During the implementation phase we will adopt both quantitative and qualitative methodological approaches using primary and secondary data tools. In addition to the stakeholder map, we are proposing five main data collection tools to gather evidence to inform our findings and recommendations on the production, consumption, use, demand and capacity for humanitarian research and evaluations in East Africa. These include literature sampling and analysis, an online survey, KIIs, focus group discussions and financing analysis. Whilst our research methods and findings will not be a representative sample, this approach will help cross check and triangulate findings, ensuring a robust evidence base, and will not represent the opinion of just a few stakeholders.

Table 3: Overview of methodological tools

Tool	Related project component	Aim	Target number of respondees	Advantages	Limitations and how we will manage this
Literature sampling and analysis	Production, consumption, influence, and capacity	To get distilled knowledge of what relevant research has been undertaken, by whom, for what purpose, and identify any gaps; and if findings allow - what research and evaluations are deemed to be valuable and why	Up to 35 studies in total. Website search of key terms, followed by random sampling of 10 studies published from 1 January 2011 onwards per country and region. Includes 14 country and regional studies already analysed in inception phase. Analysis against our criteria. Additional 5 most popular studies from feedback from online survey, KIIs and FGDs per organisation type (if findings yield this) will also be analysed against our criteria.	Demonstrates awareness of existing research, findings and gaps relevant to the project It enables the project to add to the stock of already existing knowledge	Representivity - wide variety of literature, how to ensure that what we sample is representative of what is produced, especially at country and regional level? Given time and budget constraints, random sampling for 10 studies per country (and region) is a pragmatic way of managing the trade off between breadth and depth in this vast domain.
Online survey	Production and consumption	To inform implementation phase and identify any gaps in research and stakeholders; can route questions	As many as possible, target 50-100. Targeted approach in-country and the region based on our stakeholder mapping exercise as well as	Gain breadth of information for intelligence gathering Understand global and	Poor response rate In built bias towards those who work online and want to participate.

Tool	Related project component	Aim	Target number of respondees	Advantages	Limitations and how we will manage this
		depending on whether respondent is producer or consumer; will cover activity and perceptions	housing on DI/GHA websites and other platforms to gather responses from wider global audience. Offers anonymity or self identification option for respondents.	regional context setting and gap filling A cheap, quick and easy tool to use and analyse	Confusions about terms ‘research’ and ‘evaluation’ even if short definitions are provided with the survey. Limited scope for depth of questions and answers
KIIs	Production, consumption, influence, and capacity	To get in-depth information on any or all of the project components	Up to 15 per country and 3 with global actors (dependent on number of FGDs)	Gain in-depth understanding of the issues and gaps Triangulate information using other tools	Time consuming Bias in answers (may reflect institutional party line or opinion of respondent)
Focus groups discussions	Production, consumption, influence, and capacity	To gather data on views and behaviours of different organisation types, and different communities of practice in producing and consuming evidence; what are the enablers and barriers to production and consumption.	Up to 5 per country covering regularly convened groupings of organisations types or CoPs Up to 15 people per focus group which may be divided into sub-groups.	Gather a range of experiences, challenges and life stories Wide coverage of responses and feedback Fairly quick to conduct Triangulate findings	Crowd control and dominance of certain participants, ensure all people are included and voice opinions
Financing analysis	Influence	To get the picture of funding trends and who funds what	Major humanitarian funders (donors, recipient governments, private sector) globally regionally and nationally Total humanitarian research funding in	To know who is funding what, when and why, and any gaps To give DFID a comprehensive funding	Limited data availability and quality. No global database on financing humanitarian research Data gathering and

Tool	Related project component	Aim	Target number of respondees	Advantages	Limitations and how we will manage this
			each country	analysis To identify the under-funded areas	analysis time consuming

i. Stakeholder mapping

During the inception phase, through consultations and using DFID's national research sector framework, we mapped out key stakeholders within eleven organisation types producing, consuming and influencing humanitarian research globally, regionally and nationally. These include regional and national government bodies, donors, UN agencies, multilateral organisations, INGOs, national NGOs and CBOs, IFRC/ICRC, private sector and consultancies, media, research and think tanks and academic institutions. Within, and sometimes across, each of these we have identified a number of potential stakeholder forums and platforms that we want to engage with; we have set up meetings and provisionally discussed our work with regional groups. This stakeholder analysis will inform who we target during implementation.

As well as selecting individuals and specific organisations from each organisation type, we are interested in identifying to what extent different and diverse organisation types engage with each other to form **'communities of practice'** (CoPs) - working on a common theme; how knowledge flows between them; and how much and by what means different organisation types or communities of practice influence humanitarian evidence production and uptake.

To prioritise and finalise our stakeholder list (see Annex 2), we categorised each stakeholder by organisation type, location, geographical focus, key contact and general information about the individual organisation. We assessed whether they fulfilled the following criteria:

1. Does the organisation cover or operate in one or more of our four pillars of humanitarian action?
2. Are they <u>or ought they/could they be</u> producers/consumers/influencers/commentators of humanitarian research?
3. What is their influence (social, political, and economic)? (Rated high, medium, or low)
4. What is their relevance? (Rated high, medium, or low)

The final selection of stakeholders is based on a mixture of the criteria above and purposive sampling, with a bias for those on the *'margins'* who may not necessarily be known but who have interesting and credible perspectives on the production and consumption of evidence. This could include non-traditional actors, new groups, local or national actors, private sector players and others who may bring innovative approaches and thinking to the marketplace of evidence production and consumption.

As requested by DFID we will try to estimate the **coverage of stakeholders** identified in the study. Using snowball sampling we will try to estimate the saturation point at a country and regional level where new respondents are unable to give new information not already provided by other respondents.

Following a number of internal discussions, DI and DRT will not be included as stakeholders in this project. Whilst DI at the global level, through the Global Humanitarian Assistance (GHA) programme, is seen as a key stakeholder producing and consuming humanitarian research on financing flows, the DI Hub (based in Nairobi) does not work as closely on humanitarian issues. Whilst DRT produces and consumes research more broadly, it last published humanitarian-related research in 2010. By excluding ourselves as stakeholders, we hope to maintain greater objectivity.

ii. Literature sampling and analysis

To inform our political economy analysis, methodological approach, framework of analysis and stakeholder mapping, during the inception phase we reviewed 16 humanitarian national, regional and global research and evaluations. Our literature sampling in the inception phase does not claim to be representative, it was primarily based on known/recommended and web-sourced material that the country and regional teams were aware of, and included international sources on humanitarian research and programming challenges. Sampling was deliberate to the extent that we tried to ensure that the diverse range of humanitarian actions (four pillars) was covered. There was no deliberate attempt at this stage to seek out particular organisation types or CoPs as producers of the material, nor to use other filters/criteria in our sampling at this stage.

The aim of this sampling was to get a sense of key characteristics of methodology and gaps, common themes of study, questions identified for further research, identifying who the common producers of research are, which donors tend to support the research agenda, what are the common topics of enquiry, types of methods, quality of research and evaluation produced. This will help focus our enquiries in the implementation phase. Seeking research and evaluations from January 2011 onwards, so far we have reviewed six research-type reports and evaluations on Uganda, three specifically on Kenya, five regional (covering East Africa and African countries) and two global. We read an additional four papers, which have not yet been reviewed (see Annex 3 for the list of reviewed, read and planned literature). We produced a template to guide and criteria to standardise the literature review process, which was informed by DFID's *Ethics principles for research and evaluation*[7] and *How To Note: Assessing the Strength of Evidence, March 2014*.[8] Our selection criteria included the following (see Annex 4 for literature sampling template):

a. <u>Standard criteria</u> such as title, thematic focus, topic (one or more of our four pillars of humanitarian action). Is a summary made available? How many pages was the report?
b. Criteria that were linked to the <u>four components</u> of our research project – production, consumption, influencers and capacity. Who produced and commissioned the research, and for whom and for what purpose? How was the research intended to be disseminated?
c. Whether the literature covered and included our <u>two cross cutting themes:</u>
    i. Accountability and the role of affected populations: did the research include or target excluded groups – gender and vulnerabilities – and how?

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[7] DFID *Ethics principles for research and evaluation, 2011*
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67483/dfid-ethics-prcpls-rsrch-eval.pdf

[8] *How To Note: Assessing the Strength of Evidence, March 2014*
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/291982/HTN-strength-evidence-march2014.pdf

ii. Research quality, access and use: is it publicly available and accessible? Was the methodology well designed and rigorous? Was a hypothesis or question clearly defined? Did it make reference to other research/findings? Were limitations highlighted?

We primarily sampled grey literature and formally published research literature. This grey literature was commissioned by humanitarian, development, UN and/or research organisation(s), and undertaken by an organised group of professionals. It tends to be presented in a branded report format. Much of this literature is a synthesis or review of practice or findings, usually from one or two organisation types working together - most often INGOs; or INGO's partnering with a foreign academic institutions; or individual consultants or consultancy companies. Standards of research quality vary substantially in grey literature. Formally published research literature tends to be sourced from international research institutions or major donors, have a higher standard of research quality and, in many cases (but not all), has been peer reviewed before publication in an independent journal.

Given time and budget constraints and the necessary trade off between breadth and depth, we propose the following pragmatic search strategy during the implementation stage which allows us to sample and describe

i. What kinds of research is made available, by whom, and why?
ii. What kinds of research is consumed, by whom, and why?

Stage i) we will conduct a websearch (visiting up to 10 global and regional websites including ALNAP, R4D, DLCI, CaLP and some individual donor, NGO and government websites) for freely accessible, research related and evaluation studies by country, to cover each of the 4 pillars of humanitarian action with a publication date of 1 January 2011 onwards. We will use the following search terms; name of country; humanitarian; topic/theme - words included in the four humanitarian pillars we describe; document type - evaluations, good practice, review, research, report, lessons learnt, synthesis. See Annex 5 for the websites we plan to visit.

From these websites we will randomly sample up to 10 studies per country and at regional level, with a preference for the most *recent humanitarian studies available* and do a detailed analysis of the qualitative and methodological features of these studies, using the criteria listed in Annex 4. For reasons of time and budget we will include the 16 reports (national, regional and global) we have already analysed in the inception phase.

Stage ii) we will collate the KII, FGD and online survey data, as well as possible data on website downloads (if available) to seek out what studies are most commonly cited by respondents and why. It is possible that recommended studies may well be different from our random literature review sample, and may not be found on websites - the latter is an interesting finding in itself which we will note. We will again analyse against the criteria in Annex 4, the most popular 5 studies cited by stakeholders based in Uganda, Kenya and the East Africa region, divided into organisation types or CoPs depending on our sample sizes and findings. We will collate feedback on reasons for citing these reports as memorable or significant.

In parallel, analysis of the same online survey data, KII and FGD feedback should identify the most popular evidence sources, common evidence seeking behaviours (website, social media, journals etc) and common enablers and barriers to the consumption of evidence, exerted by organisation type and CoP.

iii. Online survey

We intend to produce a short online survey to gather information on current state of play regarding humanitarian research and evaluation (generation and uptake) in East Africa and more widely. The purpose of the online survey is to get a wide range of responses on both the production and use of humanitarian evidence, gathering information on whether people use evidence, if not why not, where they go to get it, in what format as well what research they want to see more of.

Whilst we are aware that this type of research method often yields low response rates (particularly online surveys in countries such as Kenya and Uganda, as evidence by ANIE's social science research, 2014, in Kenya), the input required, in terms of time, money and capacity, are fairly minimal. It is an easy way to understand the research landscape regionally and globally. The findings will help triangulate data collected during the implementation stage, on the understanding of research terms, common practices in producing and consuming research, and identify popular sources of evidence.

The online survey will go live in early February 2015, after a short trial period to refine the questions so as to ensure clarity and minimise misunderstandings.   The online survey will be a combination of both open and closed questions, as closed questions will help analyse findings more efficiently. It will include questions on research generation/production and use. We will target respondents from our stakeholder mapping exercise working in and on the humanitarian and research sector in East Africa, as well as target those based outside East Africa who focus on global response. It will be housed on DI's GHA website and shared with a range of networks and forums globally.[9] The survey will be online for a number of months, and FGD and KII participants will be asked to complete it before or after discussions. We aim to get between 50 and 100 responses, if not more. We have been in contact with representatives at the Food and Agriculture Organisation (FAO)'s Resilience Analysis Unit (RAU) who produce a quarterly *Resilience* magazine. RAU will ~~also~~ circulate the survey weblink via email to their networks. See Annex 6 for survey questions.

iv. Key informant interviews (KIIs)

During the inception phase we conducted an initial mock up interview with a key stakeholder (a representative of the FAO RAU, IGAD region) to test out our questions, gauge the length of time required to carry out the interview and identify who within the organisation is best placed to participate in the interviews. From this process and several discussions with other key informants[10] we learnt a

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[9] Platforms and networks include ALNAP and the CaLP group, regionally on email circulation lists of the IFRC regional committee, the InterAgency Working Group (IAWG), the Food Security Nutrition Working Group (FSNWG), National Emergency Coordination and Operations Centre (NECOC), Network of Ugandan Researchers and Research Users (NURRU), Uganda Evaluation Association, Africa Climate Change Resilience Alliance (ACCRA), and the Drought Preparedness Consortium

[10] Discussions have taken place with Mary Tangelder, ex International Red Cross (IRC) University of Nairobi partnership on Education in Emergencies, now Finchurch Aid; Eilidh Kennedy, previously Humanitarian Adviser, Save the Children regional office; Joshua Swiss, Director, Integrity Research Consultancy; Vanessa Tilstone, DLCI; Izzy Birch, Technical Adviser, National Drought Management Authority (NDMA), Professor Eric Le Fevre, University of Liverpool

number of lessons on the benefits and limitations of KIIs. Feedback will be incorporated into the design, content and delivery of the interviews during the implementation stage. Learnings from the process:

- Purpose: It is essential to clearly and succinctly explain the purpose of the research upfront and in person; it must not be assumed that introductory emails have been read. The most common question asked is: *what will DFID do with the research?*
- Duration: The interview took at least an hour of face-to-face time (not including logistics, Nairobi travel time and write up). As time advanced, the interview became more valuable in terms of sharing contextual information and insights. The approach is quite labour intensive.
- Flexibility: the interviews enabled us to apply the snowballing technique and not to be bound by a formal question structure. It was a fluid process in which we could exclude some questions (perhaps to return to later), as we allowed the respondent to talk fairly freely.
- Outcome/response: we learnt that who you ask within an organisation is essential, as it will impact the response (in terms of a personal or institutional response). We will probably always receive a mixture of personal and institutional responses and will need to manage this.
- Adaptive: questions will need to be adapted depending on who we are interviewing, their role and that of their organisation in production/consumption of evidence, where this person is based; we will use our core questions and sub-questions as a guide for further questions.

In terms of recording and analysing findings from KIIs, we will design an online template to record the interview responses. This template will follow the same format as the questions, and will be grouped by our four components (producer, consumer, influencer, and capacity). In addition, we will have a section at the end to synthesise findings, record observations made during the interview which will include non-verbal responses as well a section that provides short summary answers in relation to our core questions as outlined in our framework of analysis.

During the implementation phase, KIIs will be conducted with stakeholders identified in the mapping exercise. Overarching questions have been developed from the framework of analysis and will be adapted for each CoP depending on who we interview, the environment where the interview takes places, and whether we are talking producers or consumers of research. See Annex 7 for a sample of proposed interview questions.

The organisational status of our interviewees is important to note, as their status could influence results. For example, it would be interesting to know what types of people in the organisation are producing, using and consuming research. Our initial and primary contact will be the Chief Executive Officer (CEO) of the organisation, to ensure senior-level commitment to our work, giving the research legitimacy within the organisation. We will ask the CEO to direct us to the most appropriate person within the organisation to answer our questions, such as the Head of Research or Head of Monitoring, Evaluation and Impact (MEI), if one exists. In some cases, especially smaller organisations, it could be the Director.

v. Focus group discussions

To capture a wide range of stakeholders and feedback within each relevant organisational grouping or a more mixed CoP, we are proposing focus group discussions (FGDs) as one of our main tools for primary data collection. This approach will be particularly helpful to understand what some of the capacity constraints are, as well as the gaps, enablers and barriers. Limitations identified from the inception phase KII confirm the need to complement this method with FGDs to capture a wider range of responses, which should improve the validity of the information we gather and address some of the methodological constraints.

With permission from the host and participants we plan to record some FGDs with a video recorder. This will enable us to capture all discussions and content, reflect on what worked and did not work as well as share the process with the wider team for learning. As it is a participatory approach, our method for recording and analysing key findings and information will be through the information gathered on flip charts. FGDs will include two people from the team - one to facilitate and one to observe and take notes. A debrief meeting will take place following the session to capture key findings and feedback from the participants collected. Content for KIIs and FGDs will focus on similar questions, linked to our framework of analysis, which will enable us to triangulate findings. Annex 1 shows an example of an evidence assessment framework that we can use to record and triangulate findings.

Our FGDs will use *force-field analysis* tools and techniques to identify the factors and influences that enable (enablers) and prevent (barriers) humanitarian research generation and use in East Africa and draw out competing and conflicting viewpoints on any particular variable. These sessions will be approximately 1.5 hours long, with up to 15 people per FGD to ensure maximum participation. Focus groups could be grouped either by their organisation type (e.g., donors, NGOs or UN agencies) or by thematic areas, in line with our definition of humanitarian action, (e.g. working groups on resilience, cash transfers, conflict or climate adaptation). We propose to conduct the following FGDs with existing groups (some of these are mixed groups, others are comprised of one type of organisation), ideally holding separate, focused consultations;

Table 4: Potential focus groups

Regional level	Kenya	Uganda
IAWG - INGO membership	NDMA EDE Pillar 6 KM sub- group (UN, NGOs, Research, GoK)	Karamoja donor working group;
ASARECA- academic group, a consortium of universities	Pastoral Parliamentary Group parliamentarians (tbc)	Cross-thematic group of 'foot-soldiers' working in Karamoja and INGOs coordinated under Karamoja Drought Early Warning System (DEWS) and Advisory Consortium on Conflict Sensitivity (ACCS);
Global Alliance for Action for Drought Resilience and Growth	DLCI convened CSOs advocacy group	Uganda Parliamentary Forum on Disaster Risk Reduction and The Greater North Parliamentary Forum;
IGAD/EAC- regional body	ASAL donor group (entry point via DFID)	INGOS and NGOs; and private sector (financial and micro finance institutions, supplier groups of emergency and rehabilitation materials , professional groups and construction companies)
	INGO country group of staff	

See Annex 8 for proposed timing and format for force field analysis FGDs.

In Kenya and Uganda, an effort will be made to interview operational actors who deliver humanitarian assistance and work with affected populations (partner community-based organisation (CBOs), 'foot-soldiers' of humanitarian agenda) as well as key local government actors. These stakeholders are vital to include as they operate at the 'frontline' of humanitarian action, but from our initial findings seem to have minimal influence or input to the framing the evidence agenda. This will help us assess the extent to which these actors are involved in setting the research agenda, demanding evidence, participating in research and evaluations, and are given feedback. These interviews will be conducted either through FGDs in selected locations or by telephone.

vi. Financing analysis

In order to understand who *influences* research, we will analyse funding for humanitarian research globally and in the region. Currently, no global database exists that specifically codes funding to humanitarian research. The two major humanitarian global databases that exist are those of the OECD DAC and UN Office for the Coordination of Humanitarian Affairs (OCHA) Financial Tracking Service (FTS) but do not have a marker or code specifically for humanitarian research. We would need to apply manual word search criteria based on specific terms.

We trialled this methodology using UN OCHA FTS data for 2012 to 2014, selecting a range of countries in East Africa using the following search terms 'research', 'evaluation', 'researche(s)' and 'investigación' under project title and description. The results yielded were poor. Using these search criteria, between 2012 and 2014 US$43 million in humanitarian assistance was spent on research and evaluations, although this included funding to MEI programmes, rather than pure humanitarian research/evaluation funding. Analysing humanitarian data using just 'research' words resulted in just US$0.7 million being reported, all for Somalia. Based on these findings we will not use UN OCHA FTS data.

We will apply the same word search criteria to OECD DAC data for 2012 and 2013, as this covers our timeframe and is the most available data. Using OECD DAC will enable us to analyse both official development assistance (ODA) and humanitarian research funding in order to get some top line figures, and answer the following questions:

- How much ODA and humanitarian assistance was spent on research and evaluations globally, and in Kenya and Uganda in 2012 and 2013?
- Who are the top 5–10 donors funding ODA and humanitarian research and evaluations globally and in Kenya and Uganda in 2012 and 2013?

In 2013, the US, EU, UK, Turkey and Japan were the top five humanitarian donors globally.[11] From our preliminary research we know that the US, EU and UK are major donors in the region and fund humanitarian research globally and regionally – these countries have been included as stakeholders. We would like feedback from DFID on whether to include - Turkey as a stakeholder, due to its role and presence in Somalia, although we do not know whether they are funding research in the region – and Japan, particularly with their resilience and DRR agenda more broadly. From discussions with DFID we will approach donor country offices in East Africa for Canada, USAID, EU/ECHO, DFID, Sida, Switzerland and the Netherlands and ask for relevant annual reports and financial information, as they seem to be the major donors of humanitarian research in the region.

We hope to gather this information through the KIIs we conduct with donors and we will ask specific funding questions in the interviews to gather further intelligence on which donors are funding humanitarian research and evaluations in the region. As well as analysing donor's annual reports to help us establish who the most significant donors are and who is funding what kind of research nationally

[11] GHA Report 2014 http://www.globalhumanitarianassistance.org/report/gha-report-2014

and regionally we will check sources of financial information as reported to the International Aid Transparency Initiative (IATI).

5. Constraints, limitations and risks to the study

Managing bias – selectivity versus representativity

As we are scoping research in a broad and complex ‘ecosystem’, involving a variety of stakeholders and a large availability of literature, bias will exist. Given time and budget constraints we have to be selective. Through purposive sampling and snowballing, the trade off may be that we introduce a selection bias as we follow particular leads. Furthermore, our sample of up to 15 key informants per country, across some 11 organisation types and CoPs, may also introduce an element of selectivity. Some of these can be mitigated through triangulation by FGDs and, in some cases, findings from the online survey. We will be explicit about the selective bias risk in representing this study. We have identified the following bias constraints and ways to mitigate against them.

- Selective bias and subjectivity in representing the findings. *Mitigation: The organisational type and CoP model will enable more generalised comments rather than reflecting a specific organisation or individual. Triangulation of methods should help identify key common trends and minimise risk of biases.*
- Consent for participation is not agreed upfront and findings (especially, for example, on pertinent, negative examples of evidence production and consumption) cannot be included. *Mitigation: explain confidentiality/anonymity agreement with participants; get signed consent for participation, and for organisation/name of participant to be listed in final report.*
- Saturation point of information, the point where new information from respondents stops. *Mitigation: Using snowball sampling we will try to estimate the saturation point at a country and regional level where new respondents are unable to give new information not already provided by other respondents.*

Data and stakeholder availability and accessibility

We have identified the following constraints and ways to mitigate against them.

- Limited data availability on cross cutting issues of gender and social inclusion, and research quality. *Mitigation: ensure related questions are asked in interviews, literature survey will seek to assess research quality. If limited information available, this is a finding in itself.*
- Programme evaluations stating lessons learnt are not publicly available. *Mitigation: where possible ask for these confidential documents during KIIs and check organisational policy for making evaluations/studies public. Note response, which is a finding in itself.*
- Limited sampling of core documents/literature, especially purposive sampling bias towards recommended literature that will highlight better quality than poor quality. *Mitigation*: Select a random sample of studies using a web search for more detailed analysis (Annex 5). Alongside this, continue to probe through KIIs and FGDs which research and evaluations are seen to be significant and why.
- Limited availability of data on financial flows. *Mitigation: as data experts, we know the constraints with the data and data sources. We will apply a word search methodology to yield better analysis and results, and highlight the limitations with data upfront.*
- Limited availability, capacity or incorrect identification of stakeholders to take part in interviews and focus groups. *Mitigation: get buy-in and commitment from the CEO of the organisation to signpost us to key participants who have responsibility for evidence production or use; triangulation of research methods and FGDs should ensure more robust evidence base.*

- Our definition and scope of humanitarian action, which, whilst being necessarily broad, may exclude key documents and stakeholders because of omitting key terms such as 'vulnerabilities'. *Mitigation: discuss with DFID if we should search for research that covers a wider spectrum to include terminology such as 'vulnerabilities/disempowerment'.*
- Conducting research in English may exclude key stakeholders and preclude access to some literature and informants; translation of interviews may result in bias and misinformation. *Mitigation: members of our team speak two African languages (Swahili and Luganda) and in some cases will be able to help respondents in translating the survey questions and responses. Use trusted and known translators if necessary.*

External threats

We have identified the following constraints and ways to mitigate against them.

- Risk of a major humanitarian and/or insecurity crisis in the region affect stakeholder availability, capacity and timings for interviews and data collection. *Mitigation: unable to mitigate*
- DFID's role funding the project results in biased responses, and participants might have vested interests to participate in the study. *Mitigation: participants are clear on the purpose and objectives of the study; we explain that the outcomes of the study will be one component informing DFID's work in the region, DFID to advise on answering question; what will DFID do with this study?*
- Security risks conducting research and consultations in conflict-prone areas of northern Uganda and northern Kenya restricted. *Mitigation: DI has a comprehensive risk-assessment strategy in place, and DRT currently has projects active in the region if we were to do field visits. We can arrange to meet stakeholders when in Kampala and Nairobi, do telephone interviews or go through established and respected forums to elicit feedback, for example the NGO Forum, Uganda.*

6. Political economy analysis: early findings and implications for the mapping study

During the inception phase we started to map out the political economy of the humanitarian research landscape and CoPs in East Africa. Based on our initial literature sampling and discussions with six key informants[12] this has led to some early findings. Please note these are just initial observations and do not necessarily form part of our final findings and recommendations.

1. **Newly established or emerging regional and national government players are envisaged to play a leading role in coordinating humanitarian action in East Africa; however, their engagement with humanitarian evidence is not clear.**

- The role of regional players to improve response and address future challenges of increased vulnerabilities accelerated following the 2010/2011 Horn of Africa crisis.
- 'Ending Drought Emergencies' (EDE), a term coined during the Summit of Heads of State and Government, September 2011, signalled a shift from reacting to effects of drought as they arise to actively seeking to reduce vulnerability and risk through longer term developmental approaches.

[12] Academic, think tank, private sector consultancy, UN, Regional INGO and INGO–University partnership

- This has led to increased regional prominence, leadership and strategic direction from IGAD, with substantial donor assistance and UN engagement for IGAD to take on a leadership and coordination role. Significantly the IDDRISI pillar 5 proposes to harmonise policies through research.
- In response to the EDE agenda, Kenya developed what has now become the Common Framework to End Drought Emergencies, enshrined in Vision 2030. In 2011 the Kenyan government established the NDMA to manage drought and climate change risks. The EDE Common Programme Framework of the Government of Kenya includes a 6th pillar on institutional development and knowledge management framework, which has a group co-chaired by NDMA and DLCI.
- Uganda's response to the EDE agenda has been less clear. There are still multiple government institutions responsible for disaster management in Uganda and the government has set up a National Emergency Coordination and Operation Centre (NECOC) [13] to help improve coordination. Uganda has a Ministry for disaster preparedness and refugees and district disaster management committees, which are not well coordinated and are poorly resourced.[14]

Key questions for implementation phase: What role are regional bodies playing in terms of research generation, consumption, influence and capacity building? Are they setting the research agenda? What information do they need to make evidence-based decisions? Given IGAD's increasing role in coordination of humanitarian action, what evidence and research would be useful for them?

2. **The humanitarian research agenda is predominantly driven and funded by international actors – donors, INGOs and academic institutions – who occasionally partner with local institutions in collaborative research.**

- Research production is predominantly donor driven and foreign funded, commonly routed via international consultancies, INGOs and/or foreign academic institutions, occasionally these may then partner with local research institutions.
- INGO evidence agendas are often set at headquarters level, tend to focus on monitoring their global and country programme impacts through a one-size-fits-all methodology. Within the region, during inception phase, we found some productive operational research collaboration by a CoP on, for example, improving early warning action.[15]
- Research activities in humanitarian related sectors, with the exception of zoonotic or human disease research, do not seem to derive long-term resourcing. There are very few instances of longitudinal studies despite national data sets (albeit of varying quality and reliability) being available.
- Large amounts of self-published grey literature exist on 'best practice/learning from experience/how to' guides are mainly produced by the INGO community. These tend to be narrative accounts of existing programmes, sometimes extrapolated to a best practice scenario, the evidence and research quality varies, methodology is usually qualitative - based on a limited number of case studies. The target audience and uptake is not always clear.

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[13] UNDP http://www.ug.undp.org/content/uganda/en/home/presscenter/articles/2014/10/13/uganda-gets-a-national-emergency-coordination-and-operations-centre-for-disaster-preparedness/

[14] Development Research and Training and Global Humanitarian Assistance (2010)

[15] *Early warning; early action - mechanisms for rapid decision making* IFRC, Oxfam, Save the Children, FAO, WFP July 2014

- Host government involvement, at any stage of the humanitarian research cycle, is limited and sporadic after the 2010/11 drought, which mobilised governments to an EDE agenda, there were no research or evaluations involving or led by host governments in the region. However this may change - IDDRSI states an explicit focus on research; and in Kenya the EDE strategy includes an active working group on knowledge management.
- Kenyan academics and researchers cite problems with funding, difficulties in engaging policy makers and weak national research council's who provide little leadership on research agendas.[16] In this context it is not surprising that internationally funded research or academic collaboration may be sought after but seems to be leading to fragmented and piecemeal outcomes which may serve short term donor or academic interests but may leave little of lasting value to embed quality research practice at an institutional level. [17.]

Key questions for implementation phase: What interests and incentives are driving the production of evidence? What questions need answering? Who is it for? What is preventing or limiting, and what could incentivise higher standards of research and evidence in this literature? To what extent are major research interests planned and designed in consultation with previous research and what is the role of donors in this? What incentivises government at different levels (e.g. national to local) to engage with humanitarian evidence? Are national research institutions leading, influencing and setting the research agenda? What are the constraints?

3. **National and regional humanitarian information sharing, knowledge management, technical, thematic and coordination groups exist, but none, so far, are focused on the organisation and governance of humanitarian research and evidence as an activity per se.**

- There is no 'clearing house' for research in the humanitarian sector in East Africa, where plans and outputs are discussed and reviewed for quality, duplication and improved co-ordination purposes.
- A number of information sharing groups focus on related thematic issues (e.g. cash transfers, displacement, resilience), practitioner groups (e.g. IAWG Advocacy group) or country of operation (e.g. Somalia NGO Consortium) including at regional level (FSNWG), and are almost entirely made up of INGO and/or UN and/or donor membership based in Nairobi. Likewise in Uganda all the existing information sharing groups are made up of INGOs and donors such as Karamoja Drought Early Warning System, Advisory Consortium on Conflict Sensitivity, and Africa Climate Change Resilience Alliance, There is also National Emergency Coordination and Operations Centre a UN supported initiative although not operational. Many of these groupings engender a strong degree of trust and co-operation, and a culture of information sharing and learning. Some groupings are more active than others.
- The DLCI is unusual in that it has explicit activities with government <u>and</u> parliamentary policy makers on changing policy and practice, in the drylands focusing initially on Kenya, by using evidence and knowledge management.

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[16] *Capacity Building for Research Leadership,* PASGR, February 2014
[17] *'The Power of Love' Why Capacity Building Initiatives May Fail: Lessons from Kenya,* Save the Children IRIS, June 2014

- Groups who formally engage with the UN and now IGAD IDDRISI structures such as the FSNWG have dwindling representation from the INGO community, and almost non-existent representation from the NGO community.
- IAWG and CaLP seem to be working on a more focused engagement on evidence collection; they have also invited different organisation type's e.g. private sector service providers to present at some of their meetings.

Key questions for implementation phase: What are the co-ordination mechanisms within and across the research, humanitarian and donor communities to co-ordinate research and avoid duplication?

4. **Consultations so far point to minimal consumption of research due to lack of incentives, absence of concise summaries and a limited time to read.**

- Anecdotally and based on informal discussions with key informants, there seems to be an overproduction of under-utilised evidence and research. More seems to be written than read.
- Most informants and discussions to date point to limited incentives and lack of time to consume research and evidence, and a demand for summaries. The IRC is running an interesting internal culture change initiative that encourages staff to consume and then comment on evidence and research, and to offer suggestions for application.
- Available research and evidence does not meet audience needs – several informants said they read different sources in order to triangulate evidence due to lack of trust.
- In limited consultations to date we could not identify common sources of evidence/reports which are routinely used or referred to. So far, none of the consultations[18] have resulted in a significant research or evaluation report being recommended, as requested.

Key questions for implementation phase: To what extent does social media play a role in disseminating research? What are effective strategies of incentivising consumption of evidence? In what forms should evidence be presented to ensure consumption? What other types of consumption beyond reading would spread knowledge more effectively within and between organisations, and within CoPs?

5. **No single large-scale repository of humanitarian related literature seems to exist in the region**

- At the international level several repositories/search locations host literature on East Africa humanitarian affairs, such as ALNAP, Evidence Aid, Relief Web, HPN/ODI as well as key humanitarian research and practitioner organisation websites.
- At the regional level, the Technical Consortium,[19] established in 2011, provides evidence-based programming to IGAD member states on resilience and currently houses 90 publications. As part of our study, we will seek to review who uses this repository.
- The Think Tank Initiative[20] provides funding for research in different social sectors in developing countries, and will be a key stakeholder for our study.
- For Kenya we were made aware of two fairly small and boundaried, but nonetheless useful literature inventories.[21] To date we are not aware of equivalents in Uganda.

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[18] With key informants and group discussions with IAWG and the Saferworld/CHRIPS/IDA forum

[19] The Technical Consortium is part of the Consultative Group on International Agricultural Research housed at ILRI, Nairobi www.technicalconsortium.org

[20] The Think Tank Initiative http://www.idrc.ca/EN/Programs/Social_and_Economic_Policy/Think_Tank_Initiative/Pages/default.aspx

7. Communicating results

The primary purpose for communicating results and disseminating findings from the research is to increase awareness and knowledge of the current humanitarian research landscape in East Africa.

The objectives for our communication and dissemination plan are as follows:

- Build ownership of the research and findings amongst DFID and key stakeholders.
- Disseminated findings to all participants midway through and on completion of the research project. Discussions of results at the interim point should be interactive, allowing space for input and to ensure findings reflect stakeholder feedback.
- Make findings publicly available in a useful format and disseminated to a range of stakeholders.
- Use established and existing relevant platforms and networks to disseminate findings to our CoP globally, regionally and nationally. Hook on to events already taking place, rather than hosting our own dissemination workshops, driven by just our agenda.
- Maintain engagement with DFID and the steering committee on key findings, and discuss opportunities to disseminate findings through regular meetings throughout the project.

We will communicate the following findings to DFID, as outlined in the tender:

- Short monthly written progress reports, detailing project progress, spend and raising any changing risks or issues.
- Mid-point presentation on initial findings, April 2015.
- Final research report, October 2015.

With input and advice from DFID, we propose communicating the research results in the following ways:

Globally

- Disseminate early findings in DI's annual GHA Report 2015; house findings on DI websites.
- Share findings with ALNAP and ask to upload to their evaluation portal.
- Disseminate findings with other global research platforms such as Centre for Human Rights and Policy Studies (ELRHA), Feinstein and Overseas Development Institute (ODI).
- Disseminate findings at the World Humanitarian Summit (WHS) 2016; DI's Executive Director is chairing the humanitarian effectiveness thematic group.
- Ask known and trusted media organisations to cover key findings, e.g. IRIN
- Disseminate findings at the Humanitarian Partnership Conference, October 2015 (tbc).

Regionally

To date, we have given verbal announcements about our intended research and elicited an interested response at the following forums:

- FSNWG meeting (regional mandate) in Nairobi, 16 October 2014.
- IAWG Advocacy and Communications meeting (regional mandate), Nairobi, 20 November 2014 and 2nd December 2014.

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[21] *Mapping the social science landscape in Kenya* African Network for Internationalisation of Education (ANIE) July 2014; *Key reference documents on resilience in the drylands Kenya* August 2014; and 130 or so documents inventorised by subject matter, available from DLCI

The following consultations are planned for during the implementation phase:

- Force field analysis and literature assessment exercise with INGO regional programme staff hosted by IAWG. DFID staff to be present, 29 January 2015.
- IGAD-specific consultation via FSNWG, initiated through the recommended IGAD contacts.
- Invited to be part of research uptake symposium, organised by the Institute for Development Studies (IDS) UK, platform will be used to gather information on research uptake, Feb 2015.
- Possible presentation at ASERECA meetings (tbc)
- Breakfast meetings with key informants at mid point and at end of project (participant's tbc).
- Possible presentation of findings at ELRHA Humanitarian Partnership Conference with University of Nairobi, 2015 (tbc).

Nationally

In Kenya, to date, the research has been 'advertised' at the following forums:

- The University of Nairobi/IDS forums on political economy of food in Kenya, Nairobi, 2 October 2014.
- IDS/Saferworld/CHRIPS seminar on Critical Issues in Peace Building: Oil, Devolution and the Emerging Politics of Security at the Margins, Kenya, Nairobi, 19 November 2014

To disseminate findings to our participants, key stakeholders and audiences, we propose to do the following:

- Host a consultation workshop with the EDE Pillar 6 group on knowledge management, possibly combined with Kenya Food Security Steering Group (KFSSG), to get government perspectives and buy in, date tbc.
- Host a consultation workshop with country M&E staff of INGOs, hosted by IAWG, February 2015.
- Work with DLCI to develop communication plan and dissemination of findings, including co-hosting possible workshop with DLCI, Kenyan consultants, the pastoralist parliamentary group, the DRR parliamentary group and others.
- Produce final report presentation to NDMA knowledge management working group.

To disseminate findings to our Ugandan participants, key stakeholders and audiences we will do the following:

- Present research agenda and get buy-in with the Karamoja Donor Working Group, February 2015.
- Consultation with government agencies involved in humanitarian emergencies, disaster preparedness and resilience to get buy-in, input and eventual uptake, February 2015.
- Meeting with the Uganda Parliamentary Forum on DRR to discuss emerging issues and potential uptake, February 2015.
- Present research and emerging findings to the Annual General Meeting of the members of the Uganda National NGO Forum, Network of Ugandan Researchers and Research Users and the Uganda Evaluation Association. Get input from stakeholders, April 2015.
- Conduct ongoing consultations with the different CoPs to interact around emerging issues, January 2015 onwards.
- Conduct validation meetings to triangulate and refine the findings, June to July 2015.

Annex

Annex 1: Example of an evidence assessment framework

Core mapping questions and sub questions	Data sources				Emerging findings
	Source 1 (e.g. KIIs)	Source 2 (e.g. focus group discussions)	Source 3	Source 4	

Annex 2: Proposed key informants

To be updated throughout the project. Selection of KIIs will exclude those organisation types and participants who are participating in various FGDs

Organisation type	**Kenya**	**Uganda**	**Regional**	**Global**
Governments (national and regional bodies)	GoK - NDMA CEO James Oduor, Ministry rep from the KFSG; one rep from county govt to be identified; Kenya Bureau of Statistics, Hon Mohammed Elmi (former Minister Northern Kenya and ASALs, now MP Tarbaj Wajir), MP Chachu of Marsabit, Hon. Naisula Lesuuda)- was WHS committee member	MFPED, Ministry of Karamoja and National Emergency Coordination and Operations Centre (NECOC) Office of the Prime Minister), Ministry of Disaster	EAC peace and security, IGAD -IDRISSI, ICPAC, ICPALD AU Director of Political and humanitarian affairs	
Donors	ECHO, EU, DFID (esp on HSNP), USAID, SIDA, ASAL donor group, Rockefeller (research urban - check)	DFID, EU, Irish Aid, USAID and GiZ	DFID, ECHO regional director and global policy people, USAID, JICA, World Bank, Global Alliance for Action for Drought Resilience and Growth	DFID and UK research funders such as ESRC
UN agencies	FAO (Luca Alinovi acting regional rep and Kenya co-ord) , UNICEF - surge model, UNDP Drylands Development Centre, UNHCR	WFP. UNICEF, UNHCR, FAO,	WFP, UNDP (EWS, COBRA) OCHA, UNISDR (DRRAP), UNHCR	
INGOs	Mercy Corps, Cordaid, IRC - on partnership w Univ	World Vision, Water Aid, ADRA,	IAWG,World Vision, CaLP,	Save the Children

Organisation type	Kenya	Uganda	Regional	Global
	Nbo., ACTED - leading ECHO research in ASAL		CARE, ADESO, Save the Children, Norwegian Refugee Council (regional head is ex OCHA)	Humanitarian Leadership Academy; IRC head of MEL
National NGOs/CBOs	BOMA, ALDEF, Wajir CSO, Reconcile, Unga representatives	UNNGOF, Caritas Uganda, KRC		
IFRC/ICRC	Kenya Red Cross (inc ICHA)	ICRC, Uganda Red Cross	ICRC, IFRC	
Private sector/Consultancies	Independent Kenyan Consultants, Safaricom, Takaful, KCB Foundation, Equity Bank, Sidai Africa, Integrity Research Consultancy, TANGO International, Kimetrika	International Organisation Development Limited (IOD PARC), Humanitarian Innovation Project and AGUA Consult Ltd,	Aga Khan Development Network, Unilever, solar energy providers	
Media	Inter-media development consultants; Katy Migiro, Thomson Reuters journalist who reports on humanitarian & women's issues; Ann Soi BBC World Service; 2 Kenyan journalists to be identified (through KRC)	Northern Uganda Media Centre and Uganda Journalist Association,	IRIN, The East African newspaper, BBC Media Action	
Research/think tanks	DLCI, Future Agricultures Consortium, IDRC, Red Cross/Crescent Climate Change Research Centre , Tegemeo Institute	IFPRI, MISR, EPRC NURRU, ACCRA, and ACODE	CGIAR, AERC, OSSREA, IFPRI, Think Tank Initiative, ILRI , Rift Valley Institute,	ALNAP, ELHRA, HPG, ODI, CDKN
Academics	Univ of Nairobi Moi University Maseno University Univ Liverpool /ILRI Alex Tasker PhD (on innovation in ASAL communities)	Makerere University School of Public Health	ASERECA, Aga Khan University East African Institute	Peter Walker, Feinstein, Tufts University, IDS Sussex.

Annex 3: Literature review

Status	Research title	Date published
Reviewed	How to build resilience to conflict: the role of food security	Oct-14
Reviewed	Costing Alternative Transfer Modalities	Sep-14
Reviewed	Mapping the social science landscape in Kenya, African Network for Internationalization of Education (ANIE)	Jul-14
Reviewed	Early warning, early action: mechanisms for rapid decision making	Jul-14
Reviewed	Insufficient evidence? The quality and use of evidence in humanitarian action, Paul Knox Clarke and James Darcy	Feb-14
Reviewed	Northern Uganda Conflict Analysis 2013	Sep-13
Reviewed	Evaluation of Child Friendly Spaces; Uganda Field Study Summary Report 2013.	Jul-13
Reviewed	Karamoja Drought Early Warning System (DEWS): An assessment of Data Reliability, End-user Awareness and Early Action.	Jul-13
Reviewed	Shortfalls in the Implementation Processes of Peace, Recovery and Development Plan (PRDP) II in Northern Uganda Unmasked	Jun-13
Reviewed	Enhancing Resilience to Food Security Shocks in Africa	Nov-12
Reviewed	Formative Evaluation of WFP's Livelihoods Programme, Karamoja, Uganda.	Jul-12
Reviewed	The Economics of Early Response and Disaster Resilience: Lessons from Kenya and Ethiopia	Jun-12
Reviewed	Mainstreaming Drought Risk Management- A primer	Feb-11
Reviewed	Evaluation of the Building Sustainable Peace and Development Project in Karamoja	Jul-10
Reviewed	Qualitative research and analyses of the economic impacts of cash transfer programmes in Sub Saharan Africa: Kenya Country Case Study	2014
Reviewed	The Use of Evidence in Humanitarian Decision Making, James Darcy, Heather Stobaugh, Peter Walker, and Dan Maxwell	2013
Read (not reviewed)	How can preventive humanitarian interventions support climate change adaptation? a case study of Siaya Kenya	Dec-14
Read (not reviewed)	Navigating 'wicked' problems in development	Sep-14
Read (not reviewed)	Dadaab Refugees: an uncertain tomorrow	Mar-14
Read (not reviewed)	Evaluation of the Humanitarian Response in North Eastern Kenya	Mar-12
Planned	Uprooted By Conflict; South Sudan's Displacement Crisis	Nov-14
Planned	Uganda Joint Assessment Mission	Oct-14
Planned	South Sudan Crisis: Regional Impact	Sep-14
Planned	Scaling: innovations missing middle	Jul-14
Planned	Humanitarian crises, emergency preparedness and response: the role of business and the private sector	Jan-14
Planned	Using evaluation for change: insights from humanitarian practitioners	Oct-13
Planned	The Impact of Food Price Shocks in Uganda: First-Order versus Long-Run Effects	Aug-13
Planned	Mapping of Public Policy Relevant Research in Pakistan	Mar-13
Planned	Promoting innovation and evidence-based approaches to humanitarian crises	Feb-12
Planned	Demand for and supply of evaluations in selected Sub-Saharan African countries	2013

Planned	ODI: Beneficiary and community perspectives on the Cash Transfer for Orphans and Vulnerable Children in Kenya	2013
Planned	Social Science in India: A Mapping Report	2011
Planned	Mapping of Research Capacity in Afghanistan report	2011
Planned	What Evidence is Available and What is Required, in Humanitarian Assistance?	Dec 2014
Planned	Cash transfers and programming in emergencies	June 2011
Planned	Measuring the State of Disaster Philanthropy 2014: Data to Drive Decisions	Dec 2014

Annex 4: Literature review template

- Research title:
- What humanitarian pillar does the research focus on? Indicate 1 or more of our 4 pillars
    - *Emergency response;*
    - *Reconstruction relief and rehabilitation*;
    - *Disaster prevention, preparedness and EWS DRR/DRM;*
    - *Resilience building Including education, climate adaptation and mitigation;*
- Sector/thematic/geographical focus:

PRODUCTION (using some DFID criteria on evidence quality = conceptual framing, transparency, accessibility, reliability, cogency)

- Who commissioned and funded the research?
- Who undertook the research?
- Date published and is it publicly available (where)?
- Geographical focus:
- Is there a clear summary available?
- Aim - does the study pose a research question or outline a hypothesis?
- Does the study acknowledge existing research?
- Does the study clearly explain the research design and method?
- What methods are used? Describe these briefly - are they qualitative/quantitative?
- What is the sample size of what is being studied?
- Does the study involve beneficiaries? How? (e.g. consulting them as part of the study, are beneficiaries on the advisory board, other ways beneficiaries are explicitly involved in the study)?
- Does the study include an analysis of vulnerabilities? Which ones? (E.g. disability, children, older people, PLWA?)
- Does the study adopt a gender perspective? How?
- Findings - are these clearly stated and respond to the aim of the study?
- To what extent are the *limitations* of the study clearly pointed out by the authors?:

CONSUMPTION OF RESEARCH - GAPS/CAPACITIES

- Are the specific outputs of this study clear? E.g. reports, briefings, series of workshops, an intended target group to read or respond to these findings?
- Is it apparent how the research will be/has been used and disseminated? Has the research been quoted or referenced by other (e.g. govt, other NGOs or media) or indeed any subsequent stakeholders we interview?
- Does the study identify further areas for research/more work?
- What are the remaining gaps/questions? (gaps)

Annex 5: Websites and online repositories for literature search

We plan to visit the following websites and online repositories;

Global level

- the ALNAP, Reliefweb and R4D websites which seems to have the most comprehensive country listings combined with useful and powerful search functions; Reliefweb hosts more news type items than studies but does signpost to studies
- Evidence Aid which is more focused on natural disasters and a medical/health interventions
- CaLP which focuses on cash approaches, with a database which starts in 2011 and which has a helpful low bandwidth download function
- INGOs such as Oxfam, Save the Children

Regional level

- Technical Consortium established in 2011 evidence-based programming to IGAD member states on resilience and currently houses 90 publications
- FSNWG (www.disasterriskreduction.net) - mainly hosts monthly country situation reports and IPC reports, less studies
- DLCI - useful repository of reports and learning on programming in the drylands of the region
- IFPRI- Has a collection of publications and data for the East African region. Has a specific research area of climate change and gender.

Annex 6: Proposed online survey questions

Development Initiatives is an independent research organisation committed to improving the access, analysis and use of information on poverty and resources in order to inform better evidence based decision making.

Working with our DI Africa Hub and partner organisation Development Research and Training (DRT), Uganda, we have been commissioned by DFID to conduct research into the production and utilisation of humanitarian research and evaluations in East Africa focusing on Kenya, Uganda and regional bodies such as IGAD.

This short survey has just 10 questions, and will help us understand key stakeholders generating and using humanitarian research in the region, as well as globally, and any gaps in current research. Your responses will remain anonymous.

Name of organisation:

1. Which type of organisation do you work for?
    - National government
    - Donor government
    - Think tank/research
    - INGO
    - National NGO
    - UN multilateral
    - Other multilateral institutions
    - Academic institute
    - Media
    - Consultant - independent or firm
    - Private sector
    - Other (please specify)

2. In which country/countries do you work/focus on?
    - Kenya
    - Uganda
    - East African region
    - Globally
    - Other, please specify

3. Please name 3 organisations that you think produce quality humanitarian research on East Africa or globally?
4. Please name one good humanitarian research or evaluation, either from East Africa or globally, that you remember in the past couple of years?
5. What was useful or memorable about it?
6. What research in the humanitarian sector would you like to see more of? Why?
7. Which types of organisations are best placed to carry out this research?
8. What research in the humanitarian sector would you like to see less of? Why?
9. Where do you go to hear about and find evaluations or research in humanitarian action? Please name websites or publications or meetings
10. What prevents you from finding out about the latest evaluations or research?
    - Don't know where to look
    - Too much information, don't know how to filter
    - Lack of skills to find research
    - Lack of time
    - Lack of internet access
    - Lack of interesting or relevant articles
    - Wrong language
    - Other please describe

Many thanks for taking the time to complete this survey. Please provide your contact details below if you would like to keep informed about the research project and its findings.

Name (optional):
Email address (optional):

Annex 7: Proposed interview questions

Some questions were trialled on a senior employee at FAO, November 2014. We will revise interview questions, if necessary, after discussions with DFID.

Questions will need to be tailored according to whether we are interviewing producers, consumers or influencers of research. For example if they are commissioners of research, we will ask 'What demand are they responding to?'

Background to the study: DFID has asked us to conduct research into the production and use of humanitarian evidence in East Africa focusing on Kenya, Uganda and regional bodies such as IGAD, in order to see why evidence is produced, who uses it and what needs to be done to improve evidence quality and uptake. By 'humanitarian' we include all responses to, and mitigation of, slow and fast onset crises, including work on conflict, resilience and climate change adaptation.

Interviewee name:
Job title:
Organisation:
Length of service: a. current organisation b. sector
Producer/consumer/influencer of research:
General background information:
Date of interview, start time and finish:
Overall impressions:
Interviewer name:

A. Background

1. How do you/your organisation define humanitarian action?

We will give the respondent an explanation of how we define humanitarian action. This question will need extra time in order for respondent to speak a bit about the work they do and how it relates to research and evaluation

2. What is your organisation's role in humanitarian action in the region, and in Kenya/Uganda?
3. Who are organisation's main funders, in general and for research?

C. Community of practice/knowledge dissemination

4. How is your organisation and other orgs research/evaluations disseminated? Who and how is information disseminated? Is information freely shared within the institution? Is there a national/regional platform for research/evaluation information sharing within the organisation e.g. like DFID's Research 4 Development http://r4d.dfid.gov.uk/Default.aspx
5. What are the forums in this region and at country level where humanitarian issues and learning is regularly discussed? Which one in your opinion is the most widely attended and most useful? Who attends? How regularly? Are there notes generated from these meetings which are shared? Could we see them?
6. Are evaluations on humanitarian action by your organisation been made public? Where? Is there a policy on publicising evaluations?

D. Production, influencers and supply

7. Who and what determines your organisation's humanitarian research/evaluation initiatives? Centrally or regionally? Who funds these? How do donors influence the Research and Evaluation agenda?
8. (To commissioners) What demand for information/evidence are they responding to, from who?
9. Who comes up with the research issues/problems to address? Is the demand local/national or regionally led?
10. Do you tender out research, to whom?
11. What share of research budget do local partners get? Are they subcontracted, or lead? What aspects of the process do they own?
12. Do partners get core funding, which gives them flexibility to respond to local demands for research?
13. Who talks to the funder/commissioner of the research?

E. Consumption and demand

14. When was the last time you read a research or evaluation report?
15. What evaluation and research findings in the humanitarian *sector as a whole have* you consider have been particularly useful in the past 2-3 years? Why? Who is leading this type of research
16. What reports do you have on your desk/do you regularly use?
17. When was the last time you sort out research, under what circumstances?
18. Where do you go to get it? Online, colleagues, word of mouth, trusted advisors?

F. Capacity

15. Do you have any generic comments on the quality of research and evaluations done in the region to date?
16. What capacity gaps exist in the East African and in Kenya/Uganda on producing evidence in for example research and evaluations? And how can these be best dealt with?
17. What capacity gaps exist in the East African region and in Kenya and Uganda on translating research and evaluation findings into changed action going forward? And how can these be best dealt with?
18. How has digital technology and social media changed humanitarian research? What other possibilities do you see for this?
19. Currently, what information gaps exist in hum research/evaluations? What evidence does you organisation need to make better decisions in relation to humanitarian action, funding and response
20. What sort of people in the organisation are using and demanding information?
21. How familiar are they with using research (are they research/MEI specialists?), what training do they have?

G. Quality and standards

22. Does your organisation adhere to standards of research? What are these?
23. Does your organisation involve affected people in aspects of research/evaluations? Is this routine? (get details, especially on key vulnerable groups)
24. Does your organisation include a gender analysis in research/evaluations? Is there a gender specialist in your organisation?
25. What do you think are the major questions/gaps in the humanitarian community's knowledge and practice in the East Africa region which we are still grappling with? (Try to get key questions) *Why* do you think we are still grappling with them?

H. Dissemination and outreach

26. Who else do you recommend we should talk to about the production and consumption of research and evaluation in the HA sector in East Africa?
27. Who else do you recommend we should talk to about the production and consumption of research and evaluation in the HA sector in East Africa?
28. Any suggestions for bringing stakeholders together to discuss/share research, any forums/platforms etc.

Many thanks for your time. Would you be happy to be named as a participant in this study? Would you be happy to be contacted in the future, and kept abreast of developments in this research?

Annex 8: Proposed timeline for FGDs using forced field analysis technique

Force Field Analysis is a powerful consultative method of gaining a comprehensive overview of the different forces acting on a potential organisational change issue, and for assessing their source and strength.[22] It is best carried out in groups of 6-8 people, using flip chart paper so everyone can see what is going on. It should be a very participative exercise and can often be run by participants themselves in their own small groups. Participants will be asked to complete the online survey in advance of the FGD.

Activity	Detail	Duration
Introduction	Purpose of the study, and who we are and anonymity. Group members introduction (circulate participants form to complete) What do we mean by research and evaluations? Discuss meanings and participants to give examples	20 mins
Setting the scene	Explain forced field analysis task, purpose outcomes	10 mins
Forced field analysis	Activity	45 mins
Feedback discussion	If the focus groups has been split into two, come back together and discuss commonalities and differences in group findings	10 mins
Close	Summarise the activity and findings, explain how information will be disseminated and follow up. Participants to complete feedback forms.	5 mins

[22] Tools for Knowledge and Learning A Guide for Development and Humanitarian, Ben Ramalingam, July 2006 http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/188.pdf