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Report

Department for International Development

**EVALUATION OF THE HUMANITARIAN  
INNOVATION AND EVIDENCE PROGRAMME  
(HIEP): FORMATIVE PHASE REPORT**

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Submitted by Itad

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## **List of annexes**

### **1. Methodology – formative phase including detailed overview and tools**

### **2. Case study reports**

2.1 Improving the Application of Risk Modelling for Disaster Management 1-8

2.2 Expanding the use of cash transfers in emergency response

2.3 Research for health in humanitarian crises

2.4 Humanitarian Evidence Synthesis and Communication (HESC)

2.5 Innovation: testing to proof of concept – Humanitarian Innovation Fund (HIF)

2.6 Secure Access in Volatile Environments (SAVE)

2.7 Strategic research into National and Local Capacity Building for Disaster Risk Management

2.8 Resilience Thematic Evaluation

### **3. Theory of change – revised**

### **4. Documents reviewed**

### **5. HIEP Interviewees – categorised**

### **6. List of HIEP projects**

### **7. Terms of reference**

## Annex 1 - Formative Phase Methodology



### Contents

Annex 1.1 Methodology- Formative phase .....	2
Annex 1.2 HIEP Evaluation Matrix - Programme level.....	9
Annex 1.3 Formative Phase Methodology - Planned and actual.....	14
Annex 1.4 Case Study Guidance.....	16
Annex 1.5 Revised case study scoring and analysis .....	26
Annex 1.6 Case Study Tools and Templates .....	37

## Annex 1.1 Methodology - Formative phase

### 1. Evaluation questions

The overall HIEP evaluation addresses four key questions:

1. **Relevance:** How well has HIEP identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?
2. **Efficiency:** Which management and implementation approaches have enabled HIEP to deliver better VfM?
3. **Effectiveness:** Which approaches have been more effective in enabling HIEP to ensure the creation, support and application of high quality and relevant humanitarian evidence?
4. **Impact:** What contributions has HIEP made to building and sustaining evidence-aware policy and practice by humanitarian organisations?

The formative evaluation process was organised around these questions and used an evaluation matrix to organise data and findings (Annex 1.2). The matrix details judgement criteria and indicators for each of the four evaluation questions. It was a basis for the formative phase evaluation but also provided an opportunity to "road-test" the framework for summative phases.

### 2. Case study approach

At the heart of the evaluation is a case study approach. Eight HIEP projects (case studies) are being used to test and refine the HIEP theory of change and to provide an in-depth understanding of how best to support evidence generation and use in specific humanitarian contexts. The case studies are being followed over the course of HIEP and will be evaluated at each of the three phases of the evaluation. The criteria used at the inception phase to select the case studies were as follows:

- Represent major financial investments from HIEP (though not be confined to where the biggest expenditure lies)
- Represent new ways of working for DFID
- Enable focus on some key countries
- Enable focus on some key stakeholders, e.g. key donors and implementing agencies
- Represent a range of starting points in the HIEP timescale with an emphasis on projects which start early in the programme lifecycle
- Enable the evaluation process to examine the contribution of the projects to the overall programme aims/outcomes (i.e. levels of the ToC)
- Represent a range of different research types (primary, secondary, research, evaluation, operational, etc.)
- Represent a range of different models of project structure.

The formative phase provided an opportunity to gather more detail on the case studies and their stage of development. The eight case studies are listed below.

Project	Stage of implementation Jan-Mar 2014	Partner	Budget (UK £ million)	Dates <sup>1</sup>
1. Improving the Application of Risk Modelling for Disaster Management	Implementation	GFDRR	1.6	8/13-8/15
2. Expanding the use of cash transfers in emergency response	Various	Includes CaLP;	5.5	TBC
3. Research for health in humanitarian crises (R2HC)	Implementation	Wellcome Trust	6.5	6/13-12/16
4. Humanitarian Evidence Synthesis and Communication	Being contracted	Oxfam and Tufts	1	6/13-6/16
5. Innovation : testing to proof of concept (Humanitarian Innovation Fund (HIF))	Implementation	ELRHA	7.7	12/12-12/16
6. Secure Access in Volatile Environments (SAVE)	Inception	Humanitarian Outcomes	1.6	9/13-6/16
7. Improving the Evidence Base on How to Work with National and Local Authorities to Improve Disaster Risk Management	Inception/ implementation	IFRC and OPM	1.2	3/14-9/15
8. Resilience Thematic Evaluation	Being contracted	Valid	2	6/14-6/17

### 2.3 Case study process

The key activities in the case studies at this stage were:

- Document review;
- Interviews with key DFID and partner staff;
- Workshop and/or group discussion with DFID and key partner staff regarding intended outcomes, existing networks and pathways for influence;
- Interviews with external stakeholders;
- Analysis against the case study framework judgement criteria;
- Identification of any key learning so far on the four evaluation dimensions;
- Analysis of the project against the HIEP theory of change; and
- Scoring of the case study against the evaluation dimensions, verification and cross-checking in the team of scoring consistency, refinement.

The full case study process is described in the case study guidance (annex 1.4) and case study tools and templates (annex 1.5 and 1.6).

The evaluation team met at the beginning of the formative phase to develop and finalise the case study approach (January 2014). Upon completion of the first draft of all case study reports a further evaluation team meeting (March 2014) reviewed the case studies, their analysis and scoring. This resulted in the development of a revised scoring approach along with further analysis of case studies against the dimensions of change articulated in the HIEP theory of change. All case studies scored projects against the four evaluation dimensions of relevance, efficiency, effectiveness and impact.

<sup>1</sup> Some dates tentative and being finalised in inception processes.

Each case study team revised their scoring in the light of the revised system; this was then reviewed by another case study lead member and any adjustments made and finally quality controlled by the team leader for consistency across case studies. The team meeting was also an opportunity to identify themes, patterns and areas to explore in the programme level evaluation process.

As with any new methodology, the team faced challenges in its application. One of the key issues faced was that HIEP projects are at very different stages of development so not all judgement criteria are relevant to all case studies- two were being contracted during the evaluation; two were in inception phase and four were implementation phase. This was also a challenge to consistent case study scoring. In addition the team had different levels of access to data; in most cases the team did not have access to budget data or proposals submitted by the partner. In addition, in one case study the project team (DFID and GFDRR) was not available for interviews (Case study 1) so the majority of the analysis is based on documentation as well as interviews with external stakeholders.

However, despite these constraints the process was valuable in establishing a baseline of each case studies in relation to the HIEP strategy. The formative evaluation presented a good opportunity for the evaluation team to “road-test” the process. We propose to continue to use this methodology in the summative phases of the evaluation.

**Table 1: Case study scoring system**

In order to provide a systematic way of making judgements across the case studies, supporting comparison between cases and revealing patterns, a scoring methodology was used to assess the strength of current plans and progress at project level in achieving relevance, efficiency, effectiveness and impact.

For each case study the scoring followed the following four-step process:

1. The evidence that had been collected against each of the four evaluation questions was synthesised and conclusions from the data were developed.
2. An assessment was made of the strength of the evidence supporting the conclusion. For example, a reported intention by a project team to develop strategies to address an area scores lower than a project that has a documented and resourced plan to do this. This was done because some data was not available to the evaluation team, e.g. project budgets in certain cases.
3. A performance score was then assigned for each of the evaluation criteria (relevance, efficiency, effectiveness and impact) based on the progress that has been made to date, the depth of the strategies that are in place, and the strength of the supporting evidence. A five-point scoring scale was used:
  - a) High – A detailed strategy exists with strong evidence of progress or potential to achieve strategy;
  - b) Medium – A good strategy exists with some evidence of progress or potential to achieve strategy;
  - c) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy;
  - d) None – No strategy in place;
  - e) There is not enough evidence to make a judgement.
4. Scores were then reviewed by another case study lead member and adjustments made. The team leader then reviewed the scores to ensure consistency across case studies.

## Formative Phase Case Studies- 12-step process for data collection and analysis within cases

**Step 1: Data collection using case study evaluation framework and interview checklists**

Case study teams conduct interviews, document review, workshops, review of financial data



**Step 2: Documenting of evidence using information grids**

Case study teams record evidence at JC level against each indicator and include evidence source



**Step 3: Assessment and rating of evidence at JC level**

Case study lead applies a rating for each JC based on rating scale definitions (SEE TEMPLATE A)



**Step 4: Score the evidence at EQ level based on strength of evidence and progress/strategies**

Case study lead applies a rating for each EQ based on rating scale definitions (SEE TEMPLATE C)



**Step 5: Scoring verification - level 1**

Case study support verifies scoring and case study team agrees on final ratings



**Step 6: Drafting of case study assessment in formative phase report**

Case study lead synthesises emerging findings from information grids at EQ level and presents summary of strengths, weaknesses and preliminary conclusions



**Step 7: Summarise scoring of each EQ in conclusions section of case study report**

Case study lead summarises scores of strength of evidence and progress/strategies for each EQ, including justification based on findings at Judgement Criteria (JC) level (using Template C)



**Step 8: Map the project against the 10 dimensions of change**

Case study lead summarises plans against each dimension of change (Template B)



**Step 9: Summarise key learning points for case study assessment**

Case study lead explains factors enabling and inhibiting achievement, and summarises learning



**Step 10: Scoring verification - level 2**

Each case study team reviews the scoring applied by another team



**Step 11: Quality assurance of scoring**

Team Leader conducts quality check of scoring applied across all case studies



**Step 12: Revision of case study reports and scoring based on verification and QA comments**

Case study lead revised report findings, scoring and justification in light of comments

### 3. Programme level approach

Additional data was gathered and considered at the programme level. Annex 1.2 includes the evaluation matrix which lists sources of data. The programme was considered across six thematic lenses which link to each of the three outcomes, gender and diversity, value for money and management.

Programme level activities included the following:

- Document review (see Annex 4).
- Additional data collection through interviews with the HIEP secretariat, management committee and external stakeholders. A snowball sampling strategy was applied, where initial interviews identified through DFID and the evaluation teams' contacts led to the identification of other relevant stakeholders. External stakeholders were selected to represent a range of types of organisations (operational, academic, policy, donor) and ensure they had knowledge across the three outcome areas. Interviewees included donors, operational agencies, including international organisations, and research/academics (list of interviewees in Annex 5).
- Analysis of case study findings by evaluation dimension and judgement criteria based on the evaluation matrix (relevance, efficiency, effectiveness, impact).
- Analysis of programme and case study data by thematic focus -gender and social inclusion, value for money, management.
- Analysis of case study scores for patterns, distinct elements and learning.
- Analysis of data against the evaluation matrix judgement criteria.

External stakeholders were selected to represent a range of types of organisations, positions in the organisation and knowledge across the three outcome areas. Interviewees included donors, operational agencies including international organisations and research/ academics. Findings for both the case studies and programme level were triangulated by drawing on multiple sources of data including documentation and interviews with DFID and partner staff, also interviews with external stakeholders.

### 4. Theory based approach

The evaluation is based on a theory of change developed by the evaluation team with DFID in the inception phase. The evaluation is both an opportunity to test and refine the theory to build understanding of how change occurs. It also provides some of the indicators and criteria by which to assess the strength of the strategies HIEP has developed to achieve change.

### 5. Contribution analysis

A central analytical method at the case study level is contribution analysis. However, as explained in the inception report, this method will only be applied in the summative phases, once outcome-level changes have started to materialise. To lay the foundation for contribution analysis, this formative evaluation looked at case study alignment with the HIEP theory of change.

## 6. Gender and social inclusion

The evaluation assessed gender and diversity including the extent to which, and how, HIEP and its concomitant projects in the formative phase address gender and social inclusion issues. It does this by assessing the extent to which HIEP projects:

- considered how the gendered interests of all groups, including the marginalised groups, are to be addressed in all aspects and stages of the research;
- ensured the intended research outputs addressed the differentiated interests of men, women and marginalised groups; and,
- were supported by the policies guiding, and systems and processes applied by HIEP.

The methodology comprised three components:

- **Mainstreaming of gender and social inclusion issues** into all aspects of the formative phase evaluation. The gender specialist was involved in the development of the evaluation framework for both the case studies and the programme evaluation. Specific and targeted GASI judgment criteria and indicators were integrated into: the document review template; interview checklists for DFID advisors, programme leads and external stakeholders and the management committee members.
- **Separate literature review by the gender specialist.** Documents reviewed included: all the programme level and case-study documents against the GASI criteria and indicators; the refreshed HIEP strategy; HIEP management meeting minutes and other relevant DFID policy documents<sup>2</sup>.
- **Ground-truthing of findings through tele-interviews with the case study evaluation leads.** A separate tele-interview was also held with the head of HIEP; using the interview checklist to assess current thinking within the secretariat in relation to gender and diversity.

## 7. Constraints

The evaluation experienced some constraints and made some adaptations to the planned process (full detail in Annex 1.3). Constraints included the following:

- Projects were not as far developed as anticipated (two were still being contracted during the case study period CS 4 and 8; two were in inception phase - CS6 and CS 7). It had been anticipated these would be further progressed when scheduling the formative phase.
- Some key data not being available to the team, notably project budgets for commercial reasons.
- Some key programme documents still being under development notably the influencing strategy and populated logframe<sup>3</sup>.

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<sup>2</sup> Relevant DFID policy documents reviewed were: Guidance note on gender mainstreaming and social exclusion in research 2009; Gender and Social inclusion Analysis How to Note. A DIFD practice paper, 2009; A new strategic vision for women and girls: stopping poverty before it starts, 2011 and, IDC evidence memorandum on disability and development 2013.

<sup>3</sup> The cut-off point for data collection was put at 20 April (Revised from earlier dates).

- A survey on evidence use was cancelled because DFID had carried out a similar survey less than 12 months earlier and data for humanitarian advisers was extracted. This aimed to reduce the load on DFID staff time too.
- A survey to the virtual team produced only a limited number of responses (13) which was not sufficient for data collection on perceptions of VfM, time spent on HIEP (necessary to construct the model for costs), data on perceptions of HIEP overall strategy and some management information. The survey had been developed to be short (10-15 minutes maximum), was introduced with the support of the HIEP secretariat at a Virtual Team meeting and followed up by the HIEP secretariat. Timing played a role in low response rate (March-April) with appraisals and other processes underway. The team will review planned surveys for summative phases.
- A focus group discussion was not carried out because of lack of availability of staff time. This change was agreed with HIEP secretariat and DFID evaluation advisor).
- There was more limited use of workshops with project teams because a) some teams were spread across different locations b) some projects were still being contracted so it was premature for some evaluation questions. This limited the intention to draw on principles of outcome mapping described in the inception phase. It will be considered again in the summative phases.

Planned evaluation activities and other changes are detailed more fully in the 1.3 below.

## Annex 1.2 HIEP Evaluation Matrix - Programme level

<b>EQ1: Relevance</b> PROG: How well has HIEP identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation? PROJ: How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?		<b>Theory of change linkage Assumptions, links</b>
Judgement Criteria	Indicators	
JC1.1: Extent to which HIEP has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation	<ul style="list-style-type: none"> <li>• Evidence that the programme addresses all the HIES problems</li> <li>• Evidence that HIEP has the potential to provide new insights e.g. asks new questions or applies them to new contexts</li> <li>• Evidence that MC decision-making criteria take on board HIES-identified (and other) needs and opportunities</li> <li>• Evidence that HIEP has addressed gender and other aspects of social exclusion</li> </ul>	Problems Output 1
JC1.2: Extent to which HIEP design is appropriate to address identified needs and opportunities	<ul style="list-style-type: none"> <li>• Scale and scope of HIEP in relation to the needs identified</li> <li>• Evidence that application and transferability of research findings is planned for</li> <li>• Evidence that potential users involved in HIEP design</li> <li>• Evidence of disaggregation of population and data sets appropriate to address the need</li> <li>• Evidence that potential users have been disaggregated by interest and needs</li> </ul>	Assumption 1 Link 1 Output 1
JC1.3: Extent to which HIEP fits/harmonises with other relevant institutional, sectoral and country-based initiatives and opportunities	<ul style="list-style-type: none"> <li>• Evidence that HIEP links to broader sectoral initiatives within DFID</li> <li>• Evidence that HIEP links to broader sectoral initiatives outside of DFID</li> </ul>	Link 1
JC1.4: Extent to which HIEP responds well to emerging needs and opportunities to invest in humanitarian evidence and innovation.	<ul style="list-style-type: none"> <li>• Evidence of flexibility built into the programme for unplanned opportunities and developments</li> <li>• Evidence that HIEP secretariat/MC/virtual team scan for and take up opportunities.</li> </ul>	Problem 1
<b>Analytical methods:</b>		

Case studies Document review Analysis of resourcing by HIEP problem Synthesis of case studies by scores, learning regarding enabling and inhibiting factors Analysis of case studies and programme level data by outcome and theme (gender and development) and against judgement criteria		
<b>Sources of information:</b> Case studies , MC minutes HIEP quarterly reports Logframe reporting and data behind it HIEP business case and other reports DFID annual report Project annual reviews Interviews with secretariat, MC, Survey with DFID humanitarian and other advisors Interviews with external stakeholders		
<b>EQ2: Efficiency</b> PROG: Which management and implementation approaches have enabled HIEP to deliver better VfM? PROJ: To what extent and how has the project delivered VfM?		
Judgement Criteria	Indicators	
JC 2.1: Extent to which HIEP has optimised use of resources to achieve results	<ul style="list-style-type: none"> <li>• Evidence that HIEP decision-making considers VfM (4E) at project and programme level</li> <li>• Evidence that alternative management and implementation arrangements were considered as part of rationale for choice for HIEP projects</li> <li>• Evidence of effective budgeting and monitoring processes - in relation to their level of detail and timeliness at project and programme level</li> <li>• Evidence of additional funds being leveraged for HIEP and other relevant evidence and innovation programmes and/or donors</li> <li>• Evidence that programme has systems and processes within its management and implementation approaches to address gender equality and other equity issues</li> </ul>	
JC 2.2: Extent to which trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved?	<ul style="list-style-type: none"> <li>• Evidence that trade-offs between short and long-term results considered in resource allocation choices</li> </ul>	
<b>Analytical methods:</b> Document review Initial analysis of financial data Review of documentation Analysis of resourcing by HIEP problem Synthesis of case studies by scores, learning regarding enabling and inhibiting factors		

[illegible]

	<p>disaggregated data e.g. use of logframe</p> <ul style="list-style-type: none"> <li>• Perceptions and experience of virtual team of benefits/problems of management model</li> <li>• Evidence of stakeholder engagement and networking at project and programme levels</li> </ul>	
JC3.4: Extent to which the programme maximises the potential impact of its component parts (coherence)	<ul style="list-style-type: none"> <li>• Evidence that HIEP virtual team sees and acts for potential collective impact</li> <li>• Evidence of shared planning e.g. if common target country/actors</li> </ul>	<ul style="list-style-type: none"> <li>• Link 4</li> <li>• Assumption 4</li> <li>• Link 3</li> </ul>
JC3.5 Extent to which enabling and inhibiting factors were identified and planned for	<ul style="list-style-type: none"> <li>• Evidence that potential internal and external <u>enabling</u> factors were identified and taking into account in planning</li> <li>• Evidence that potential internal and external <u>inhibiting</u> factors were identified and taking into account in planning</li> </ul>	<ul style="list-style-type: none"> <li>• Barriers</li> </ul>
<b>Analytical methods:</b> Document review Synthesis of case studies by scores, learning regarding enabling and inhibiting factors Analysis of case studies and programme level data by outcome and theme (gender and development) and against judgement criteria		
<b>Sources of information:</b> Case studies Logframe reporting Virtual team Group discussion/email survey HIEP quarterly reports to MC Annual reports on HIEP related business cases/other Interviews with HIEP secretariat, MC, humanitarian advisors and selected country offices (survey?) DFID Adviser Stakeholder Engagement Diaries (future evaluation phases) Minutes of virtual team meetings (if available)		
<b>4. Impact</b> <b>PROG:</b> What contribution has HIEP made to building and sustaining evidence-aware policy and practice by humanitarian organisations? <b>PROJ:</b> What contribution will the project make to HIEP aim to build and sustain evidence aware policy and practice by humanitarian organisations?		
<i>Judgement Criteria</i>	<i>Indicators</i>	
4.1 Extent to which HIEP has articulated what change will look like in DFID and key organisations/targets.	<ul style="list-style-type: none"> <li>• Evidence that DFID has analysed what change is needed in:</li> </ul>	Outcomes 1,2,3

	<ul style="list-style-type: none"> <li>○ International donors, including DFID's funding instruments and frameworks for investment into evidence, innovation and its applications (O1)</li> <li>○ Humanitarian actors skills, behaviours, relationships, cultures and systems to promote the regular integration of evidence into humanitarian and DRM interventions (O2)</li> <li>○ Policy and practice actors to invest in social, economic and political innovations that focus on benefits for poor people in humanitarian crises (O3).</li> </ul>	
4.2 Extent to which HIEP plans to build capacity in international humanitarian actors, as well as Southern actors, to be able to access funding for research and also to support, produce and apply evidence and innovation	<ul style="list-style-type: none"> <li>● Evidence that HIEP has identified key targets, and new actors and relationships needed</li> <li>● Evidence that HIEP has plans to access new providers /markets for evidence-informed practice</li> <li>● Evidence including resource allocation of plans in place to build capacity in Southern actors and that takes into account gender differences and diversity</li> </ul>	Assumption 4 Outcome 2
<b>Analytical methods</b> Document review Synthesis of case studies by scores, learning regarding enabling and inhibiting factors Analysis of case studies and programme-level data by outcome and theme (gender and development) and against judgement criteria		
<b>Sources of information:</b> Case studies Logframe reporting HIEP quarterly reports to MC Annual reports on HIEP-related business cases/other Interviews with HIEP secretariat, MC, humanitarian advisors and selected country offices		

## Annex 1.3 Formative Phase Methodology - Planned and actual

Evaluation area	Formative phase methods- planned ( <i>actual</i> )
<b>Relevance:</b> Case study level	<ul style="list-style-type: none"> <li>Map project aims against HIES analysis of problems plus ToC outcomes and resources against HIES identified problems- <i>Yes</i></li> <li>Project team interview - <i>Yes</i></li> <li>Interviews with three to five external stakeholders re perceptions of need for HIEP projects - <i>Yes</i></li> <li>Interviews with DFID country offices (up to three per case study) - <i>Partial - depending on stage of development of project and DFID country involvement.</i></li> </ul>
Programme level	<ul style="list-style-type: none"> <li>Review overall set of projects against HIES identified problems and ToC outcomes <i>Yes - for all case study projects</i></li> <li>Document review - <i>Yes</i></li> <li>Interviews with MC and HIEP secretariat - <i>Yes - two x secretariat and four x MC</i></li> <li>Interviews with external key informant group - <i>Yes</i></li> <li>Gender and diversity review across programme (policies, proposals, ToCs) - <i>Yes</i></li> </ul>
<b>Efficiency</b> Case study level	<ul style="list-style-type: none"> <li>Mapping of budgets and management arrangements- <i>Partial. Evaluation did not have access to budgets of five case studies.</i></li> <li>Analysis of up to five case studies for more detailed study- <i>Yes</i></li> <li>Interviews with DFID project team on value for money questions - adherence to procurement; plans to track VFM with/in partners; how considered in project selection; choices made - <i>Yes</i></li> <li>Desk review of depth of VFM information in proposals to DFID from external partners - <i>Evaluation did not have access to partner proposals</i></li> </ul>
Programme level	<ul style="list-style-type: none"> <li>Analysis of resource allocation -<i>Yes - against HIEP problems.</i></li> <li>Survey to estimation of DFID time on project - survey to HIEP virtual team - <i>Survey tried - but response rate only 13 responses out of potential 45. Data only used to suggest areas for further exploration.</i></li> <li>Development of baseline benchmark - <i>Partial - exploration of potential of counterfactual model (RED ESRC project) carried out. But only partial data available due to limited survey responses which anticipated providing data on staff time on HIEP.</i></li> <li>Perception survey of VfM among HIEP DFID virtual team - <i>Survey sent but low response rate.</i></li> <li>Document review of decision-making (MC minutes, other) - <i>Yes</i></li> <li>Document review of procurement policies used -<i>Yes</i></li> <li>Interviews with HIEP MC and secretariat re VfM factors and decision-making; choices made - <i>Yes</i></li> </ul>
<b>Effectiveness</b> Case study level	<ul style="list-style-type: none"> <li>Workshop with project team to map key sector stakeholders and relationship to date; conditions the project seeks to change; project strategy to engage stakeholders (direct/indirect); means for building capacity of women and marginalised groups; strategy for internal and external validations, brokering, sponsors, reach to decision makers in DFID. <i>Workshop carried out for one project. Not viable in other projects because project team in split locations. Other projects explored the same questions through interviews and group discussions.</i></li> </ul>
Programme level	<ul style="list-style-type: none"> <li>Review DFID baseline for each outcome - <i>No - baseline not available</i></li> <li>Review of DFID influencing strategy and workplan against plans to enable validation, brokering, champions, reach to decision-makers - <i>No- strategy not available</i></li> <li>Survey of humanitarian advisers (others) to identify obstacles and use of humanitarian research - <i>No - used existing DFID survey and secured data extracted for humanitarian advisers.</i></li> <li>Interviews with virtual team/network regarding HIEP strategy and expectations - <i>Partial - As part of case studies</i></li> <li>Review of existing DFID analysis of research use - <i>Yes (HIES)</i></li> </ul>

	<ul style="list-style-type: none"> <li>• Focus Group Discussion with group of humanitarian advisers on obstacles and use of humanitarian research - <i>No -in consultation with DFID HIEP secretariat and evaluation adviser it was decided not carry this out to reduce demands on DFID staff time.</i></li> <li>• Set up external informant group. Interviews with key external organisation representatives regarding each of three outcomes and current trends, obstacles, initiatives - <i>Yes</i></li> <li>• Interviews with MC and secretariat to explore management tools in place and how used; virtual team support processes; experience of cross-departmental working; leveraging approaches - <i>Yes</i></li> <li>• Analysis of case studies for key factors for comparison in later stages - <i>Yes</i></li> <li>• Analysis of whether there are common actors projects seek to influence - <i>Yes- as far as possible with plans developed so far</i></li> <li>• Review of HIEP virtual team minutes - <i>No - not available.</i></li> </ul>
<b>Impact</b>	<ul style="list-style-type: none"> <li>• Map intended change at impact level - <i>Yes</i></li> </ul>
Case study level	<ul style="list-style-type: none"> <li>• Map changes and planned processes against ToC -<i>Yes</i></li> </ul>
Programme level	<ul style="list-style-type: none"> <li>• Analysis of DFID HIEP influencing strategy and workplan - <i>No - not available.</i></li> <li>• Clarify DFID targets for change (internal and external) - <i>Partial- through interviews.</i></li> <li>• Review logframe and baseline - <i>No - not available.</i></li> <li>• Interviews with HIEP secretariat and MC on planned strategy and current baseline -<i>Yes.</i></li> <li>• Interviews with external key informants on current use of evidence, support to innovation, obstacles -<i>Yes.</i></li> </ul>

## Annex 1.4 Case Study Guidance

### HIEP Evaluation - Formative phase 2014

#### Case study process guidance

#### Contents

1. Rationale for case study approach.....	17
2. Evaluation case study aims and outputs in the formative phase .....	17
3. Case study framework .....	18
3.1 Analytical framework.....	18
3.2 Selected cases and evaluation teams .....	21
4. Process for conducting case study analysis at formative phase .....	23
5. Data storage.....	24
6. Key dates - Schedule and deadlines.....	25

## 1. Rationale for case study approach

The case study approach lies at the core of how our evaluation will attempt to measure the extent to which results achieved can be attributed to HIEP interventions. It will also enable us to learn about the ways in which DFID can work internally and externally to maximise its impact and use resources optimally.

The following guidance sets out a process for conducting comparative, mixed-methods case study research, which is both rigorous and systematic, to enable us to learn about where and why research has had intended and unintended outcomes and impacts, and to draw conclusions across the HIEP programme as a whole.

Eight case studies have been selected for research during the formative phase, based on a number of sampling criteria, including financial resource allocation, DFID ways of working, project structure, partnerships, research types and start date.

Our case study approach needs to provide a robust approach to addressing impact, and to address the issue of external validity, i.e. the extent to which we can generalise our findings about what works and why in certain contexts. It also needs to be systematic so that we avoid generating nothing more than a set of interesting anecdotes. The following approach, based on standardised data collection methods and templates, and a set of evaluation questions that apply across all case studies, is designed to achieve this.

## 2. Evaluation case study aims and outputs in the formative phase

### Aims:

- To check feasibility and finalise the case study selection
- To provide data as part of assessing strengths and weaknesses of HIEP design and implementation to date.
- To provide a foundation (baseline data, relationships, agreed DFID information collection) to enable and inform the design and implementation of the summative stages of the evaluation.
- To inform recommendations on HIEP design and facilitate learning in HIEP virtual team

### Outputs:

- Case study report which to be annexed to overall formative phase report for submission to DFID (report A)
- Information grid and data (interview and other notes) for storage by evaluation team.
- Short note with comments and recommendations for summative phase ( Report B)

### 3. Case study framework

The case study framework draws on the work of the inception report. It feeds into the overall evaluation framework. Criteria and indicators have been adapted to suit formative stage aims.

#### 3.1 Analytical framework

<b>EQ1: Relevance</b> PROG: How well has HIEP identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation? PROJ: How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?	
Judgement Criteria	Indicators
JC1.1: Extent to which the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation	<ul style="list-style-type: none"> <li>• Evidence that the project addresses one or more of the four HIES problems</li> <li>• Evidence that the project has the potential to provide new insights e.g. asks new questions or applies them to new contexts</li> <li>• Evidence that project has addressed gender and other aspects of social exclusion, (e.g. by age, status, location, ethnicity, disability), at a level appropriate to its focus, in its response to evolving priority needs and innovation</li> </ul>
JC1.2: Extent to which the project design is appropriate to address identified needs and opportunities	<ul style="list-style-type: none"> <li>• Scale and scope of the research project appropriate to address the need identified</li> <li>• Evidence that application and transferability of research findings is planned for</li> <li>• Evidence of a process to ensure quality of research process and products</li> <li>• Evidence of disaggregation of populations and data sets appropriate to address the need identified (e.g. gender, age, status, location, ethnicity etc.)</li> <li>• Evidence that potential users have been disaggregated by interest and need (e.g. gender, age, technical expertise etc.) and involved in design</li> </ul>
JC1.3: Extent to which the project fits/harmonises with other relevant institutional, sectoral and country-based initiatives and opportunities	<ul style="list-style-type: none"> <li>• Evidence that project links to broader sectoral initiatives within DFID</li> <li>• Evidence that project links to broader sectoral initiatives outside of DFID</li> <li>• Evidence that project links with broader cross-cutting initiatives within humanitarian aid to address gender equality and social inclusion.</li> </ul>
<b>Analytical methods:</b> Document review; Interviews; Group discussion/workshop mapping exercise	
<b>Sources of information:</b> Project proposals to HIEP MC Proposals of contracted partners and MOU DFID annual report Quarterly reports from partners to DFID Scoping documents Interviews with lead advisor and project team, project manager, contract lead, external sectoral experts, research uptake advisor, selected humanitarian advisors	
<b>EQ2: Efficiency</b>	

<p>PROG: Which management and implementation approaches have enabled HIEP to deliver better value for money (VFM)?</p> <p>PROJ: To what extent and how has the project delivered value for money (VFM)?</p>	
Judgement Criteria	Indicators
JC 2.1: Extent to which the project has optimised use of resources to achieve results	<ul style="list-style-type: none"> <li>• Evidence that VFM considerations (4Es) have been taken into account in project procurement, planning and management</li> <li>• Evidence that project has systems and processes within its management and implementation approaches to address gender equality and other equity issues</li> <li>• Evidence that alternative management and implementation arrangements were considered as part of rationale for choice</li> <li>• Additional funds leveraged from other donors</li> <li>• Budget monitoring processes in place that are timely</li> </ul>
JC 2.2: Extent to which trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved?	<ul style="list-style-type: none"> <li>• Evidence that short and long-term results considered in resource allocation choices</li> </ul>
<p><b>Analytical methods:</b> Initial analysis of financial data Analysis of data against judgement framework</p>	
<p><b>Source of information:</b> Breakdown of project inputs by money and time Budgets and annual accounts Interviews with lead advisor, project manager, contract lead</p>	
<p><b>EQ3: Effectiveness</b> PROG: Which approaches have been more effective in enabling HIEP to ensure the creation, support and application of high quality and relevant humanitarian evidence and innovation? PROJ: To what extent and how has the project ensured the creation, support and application of high quality and relevant humanitarian evidence and innovation?</p>	
Judgement Criteria	Indicators
JC3.1: Extent to which project plans to produce HIEP outputs	<ul style="list-style-type: none"> <li>• Evidence that plans are in place to produce HIEP outputs               <ul style="list-style-type: none"> <li>○ Evidence products</li> <li>○ Cross-institutional relationships and partnerships</li> <li>○ Skills built</li> </ul> </li> <li>• Evidence that the project has plans for gender and social exclusion analyses to inform HIEP outputs</li> <li>• Evidence that plans are in place to produce gender/socially sensitive HIEP outputs</li> </ul>
JC3.2: Extent to which socially inclusion /gender sensitive strategies are in place to ensure behavioural changes .	<ul style="list-style-type: none"> <li>• Evidence that project seeks to ensure:               <ul style="list-style-type: none"> <li>○ Champions advocate evidence</li> <li>○ Knowledge brokered</li> <li>○ Operational actors endorse evidence</li> <li>○ DFID funding based on evidence</li> </ul> </li> </ul>
JC3.3: Extent to which project aims contribute to HIEP outcomes and overall aim	<ul style="list-style-type: none"> <li>• Evidence that plans are in place to contribute to:               <ul style="list-style-type: none"> <li>○ New funding instruments</li> <li>○ Changes in actors' skills, behaviour, culture, including sensitivity to gender and social differences</li> <li>○ Actors' investment into innovation</li> </ul> </li> <li>• Evidence of knowledge of links and potential complementarity to other HIEP interventions</li> </ul>

JC3.4: Extent to which management approach enables creation, support and application of evidence and innovation	<ul style="list-style-type: none"> <li>• Evidence that management tools in place to monitor progress towards change, including collection of disaggregated data</li> <li>• Evidence that learning mechanisms in place to support creation and application of evidence and innovation</li> </ul>
<b>Analytical methods:</b> Group discussion/workshop Analysis against judgement criteria	
<b>Sources of information:</b> Project proposals to HIEP MC Proposals of contracted partners and MOU DFID annual report Quarterly reports from partners to DFID Scoping documents Interviews with lead advisor and project team, project manager, contract lead, external sectoral experts, research uptake advisor, selected humanitarian advisors	
<b>4. Impact</b> <b>PROG:</b> What contribution has HIEP made to building and sustaining evidence-aware policy and practice by humanitarian organisations? <b>PROJ:</b> What contribution will the project make to HIEP aim to build and sustain evidence aware policy and practice by humanitarian organisations.	
Judgement Criteria	Indicators
4.1 Extent to which the project has articulated what change will look like in DFID and key organisations/targets.	<ul style="list-style-type: none"> <li>• Evidence that the project has identified key targets and analysed change needed there for success- within DFID and externally</li> </ul>
4.2 Extent to which the project has gender sensitive plans to build capacity in southern actors to be able to access funding for research and also to support, produce and apply evidence and innovation	<ul style="list-style-type: none"> <li>• Evidence including plans and resource allocation to capacity building for Southern actors that takes account of gender differences and diversity.</li> </ul>
<b>Analytical methods:</b> Group discussion/workshop Analysis of data against judgement criteria	
<b>Sources of information:</b> Document review Interviews	

### 3.2 Selected cases and evaluation teams

Project	Evaluation team	Case study team. Case study name in inception report. Rationale in report.
<b>1. Improving the Application of Risk Modelling for Disaster Management</b>	Andy and David	<p>Scaling up innovation in disaster risk assessment support human and financial resilience to natural hazards.</p> <ul style="list-style-type: none"> <li>Budget of £1.45m</li> <li>Partnership with GFDRR</li> <li>Country focus- Pakistan and others to roll out.</li> <li>Development and testing of model.</li> <li>New relationships with insurance industry.</li> <li>Test contribution to outcome and perhaps impact levels, assumption 4 and link 4</li> </ul>
<b>2. Improving understanding of the institutional framework for delivering cash in emergencies at scale and /or preventing acute under nutrition using food and cash-based approaches</b>  (TBC from cash cluster)	Tasneem and Emily-focus TBC from cash cluster of projects)	<p>Scaling up the use of cash transfers in emergency transfers with focus to be decided.</p> <ul style="list-style-type: none"> <li>Over £5 million in total in this area.</li> <li>An area where significant evidence exists already so potential for evaluation to focus on DFID's influencing role</li> <li>Reliance on Cash Learning Partnership (consortium of NGOs) to promote evidence so opportunity to evaluate contribution to overall outcomes level of ToC and focus on key NGO partners.</li> <li>Will produce different research types – primary, operational.</li> <li>Project already underway.</li> <li>Test influencing behaviour changes for uptake level of ToC, including link 3 and assumptions 2 and 3).</li> </ul>
<b>3. Improving the evidence base on public health in emergencies (R2H2)</b>	Anna and Emily	<p>Saving Lives in Crisis.</p> <ul style="list-style-type: none"> <li>Significant budget of £8 million (including £4 million from Wellcome Trust).</li> <li>Interesting management model - co-funding, leveraging funds and management contracted out to ELRHA.</li> <li>Steering committee in place.</li> <li>Potential to focus on some key partners including Wellcome and implementing organisations.</li> <li>Well underway</li> <li>Strong potential to see evidence operationalised in lifetime of HIEP, i.e., to test ToC to impact level, including assumption 6.</li> </ul>

<b>4. Improving access to humanitarian evidence (HESC)</b>	Teresa Emily and	<p>New - replaces evidence on protection which has not started yet.</p> <ul style="list-style-type: none"> <li>Provides set of case studies with extra case focus more on use rather than production of evidence-business case 3. Addresses specific HIES identified problem.</li> </ul>
<b>5. Innovation : testing to proof of concept (Humanitarian Innovation Fund (HIF))</b>	Isabel and David	<ul style="list-style-type: none"> <li>Focus on innovation</li> <li>Potential for some comparison with other innovation focused projects (DIVD)</li> <li>Partnership with another major donor (key stakeholder), enabling testing of contribution to outcome 3 Opportunity to evaluate engagement with private sector, assumption 4 and outcome level of ToC</li> </ul>
<b>6. Improving the Evidence Base of how to Deliver Aid in Highly Insecure Environments</b>	Teresa David and	<p>Delivering aid in highly insecure environments.</p> <ul style="list-style-type: none"> <li>Up to £1.6 million</li> <li>Potential to focus on key countries</li> <li>Direct management by DFID is opportunity to compare with other research management models</li> <li>Call for research out but research not yet underway</li> <li>Has potential to make significant difference in aid delivery if findings are conclusive (i.e., to impact level of ToC and testing assumptions 5 and 6).</li> </ul>
<b>7. Improving the Evidence Base on How to Work with National and Local Authorities to Improve Disaster Risk Management</b>	Andy and Emily	<p>Working with national and local institutions to build resilience and improve disaster response.</p> <ul style="list-style-type: none"> <li>Budget of up to £1.2 million, with Sida and CIDA contributing funding as well so opportunity to focus on key donor stakeholders and contribution to outcome 1 of ToC.</li> <li>IFRC partnership opportunity to focus in key implementing partner stakeholder</li> <li>Key programme contribution to building sustainability in evidence and to building southern capacity, i.e., outcome level of ToC and perhaps specific aim level.</li> </ul>
<b>8. Strengthening the Quality and use of Humanitarian Evaluation</b>	Isabel and David	<p>Building resilience and managing risk in fragile and conflict-affected states: A thematic evaluation of DFID multi-year approaches to humanitarian action.</p> <ul style="list-style-type: none"> <li>£2.5 million budget</li> <li>Focus on key countries</li> <li>Will generate evaluation as evidence</li> <li>Covers a number of key programme topics and could provide evidence of contribution to impact level of ToC and testing of assumptions 5 and 6.</li> </ul>

#### 4. Process for conducting case study analysis at formative phase

Each case study team (composed of two team members) has a total of **6 ½ days** to conduct the formative phase research. As resources are very limited, we suggest the following process and division of labour to ensure rapid and systematic gathering of evidence and production of findings.

Step in process	Case study lead inputs	Case study support inputs
a) Make contact with the lead project advisor	¼ day	
b) Conduct document review	½ day	½ day
c) Prepare/lead project mapping workshop	1 day	½ day
d) Conduct interviews with key stakeholders	1 day	½ day
e) Follow-up interview with lead advisor	¼ day	
f) Draft case study report	1 ½ days	½ day
<b>Total days</b>	<b>4 ½ days</b>	<b>2 days</b>

##### ***a) Make contact with the lead project advisor***

As a first step, the Case Study Lead should hold a telephone conversation with the DFID lead advisor for the project being assessed in order to:

- Introduce the evaluation
- Be briefed on the project – aims, stage of process, stakeholders, who involved in DFID and externally
- Identify additional documents available
- Gather initial data on how the project was identified
- Identify potential participants in the workshop and dates.
- Identify additional members of the project team to be included in interviews (maybe with lead advisor) e.g. M&E person, project manager.

A brief note summarising the key points should be produced and shared with the Case Study Support (see also data storage below).

##### ***b) Conduct document review***

The case study team has ½ day each to review key documents only, including project proposals, scoping papers, reports etc. It is suggested that both team members read the most important documents but that the Case Study Support be responsible for writing up any evidence gathered at this stage in the Information Grid (½ day allocated to this under task f). [See separate Information Grid template].

##### ***c) Prepare/lead project mapping workshop***

Both case study team members should organise and run a workshop with the DFID lead project advisor + partner lead and any other key people. The aim of the workshop should be to map the project against the HIEP Theory of Change and begin to answer some of the questions under the Relevance section of the Evaluation Framework. The Case Study Lead also has ½ day to prepare for this workshop. [Separate guidance -see tools 2.3]. The team should produce a brief write-up of the workshop findings and take photographs of any diagrams produced by the participants.

Where a workshop is not possible please address the same questions through individual or group interviews and discussion. Where possible all interviews should be recorded and stored in line with the advice sent out separately by Itad. Recordings will be for the use of the evaluation team only (not for sharing with DFID).

***d) Conduct interviews with key stakeholders***

Telephone interviews should be conducted by the case study team with key stakeholders which will be identified in the previous steps. They should include a) external; b) DFID e.g. country office humanitarian advisor, CHASE counterpart. Suggest 2 interviews for Case Study Support and 4 interviews for Case Study Lead. A brief summary of the key points from each interview should be prepared and saved appropriately. Where possible interviews should be recorded and stored in line with the advice sent out separately by Itad. Recordings will be for the use of the evaluation team only (not for sharing with DFID). The Case Study Lead is responsible for writing up any evidence gathered at this stage in the information grid.

***e) Follow-up interview with lead advisor***

This is an opportunity to gather any additional data to complete the report both parts A and B and also to agree the data collection by the team in the future. Options for the summative phase evaluations e.g. country visits should be discussed (not all cases will have a country visit). The Case Study Lead should brief the DFID lead advisor on activities conducted and any preliminary findings/lessons.

***f) Draft case study report***

The case study team should work together to produce for each case study:

- Completed information grid
- Case study report- assessment (template - Case study report section A)
- Short note for summative phase of the evaluation (template - Case study report section B)

The Case Study Support has ½ day to complete the information grid with evidence from the document review and interview summaries produced by both case study team members.

The Case Study Lead is responsible for synthesising the findings written up in the information grid to produce a case study report. The report presents emerging findings, strengths, weaknesses and recommendations across each Evaluation Question (EQ), as well as formative phase conclusions and summative phase preparations. [See separate case study report template]

## **5. Data storage**

A folder for each case study has been created on the Dropbox with sub-folders for the formative and summative phases. All background documents, interview summaries, workshop outputs, information grids and reports should be saved to this folder. A back-up will be held on the Itad server. All recorded interviews will be held by Itad and should initially be uploaded to the dedicated Dropbox folder for transfer to Itad hard drive and back up.

HIEP Evaluation 2014-18/Internal Team Documents/HIEP Case study data reports

## 6. Key dates - Schedule and deadlines

- **8th January** - Team meeting to develop and agree case study approach
- **1st March** - Final draft of case study report to drop box and team leader
- **7th March** - case study teams meet to share and validate conclusions.
- **7th March** - finalisation of programme level methodology
- **March** - data collection and analysis at programme and thematic levels - gender and diversity, outcomes, management , VfM.
- **15th April**- thematic reports due
- **23rd April**-thematic leads meet to identify overall conclusions, recommendations and refine methodology for summative phases.

## Annex 1.5 Revised case study scoring and analysis

### **Formative phase- case studies**

#### **Revised guidance for information grids and scoring- 17.3.14**

## 1. Formative Phase Case Studies- 12-step process for data collection and analysis within cases

**Step 1: Data collection using case study evaluation framework and interview checklists**

Case study teams conduct interviews, document review, workshops, review of financial data



**Step 2: Documenting of evidence using information grids**

Case study teams record evidence at JC level against each indicator and include evidence source



**Step 3: Assessment and rating of evidence at JC level**

Case study lead applies a rating for each JC based on rating scale definitions (SEE TEMPLATE A)



**Step 4: Score the evidence at EQ level based on strength of evidence and progress/strategies**

Case study lead applies a rating for each EQ based on rating scale definitions (SEE TEMPLATE C)



**Step 5: Scoring verification - level 1**

Case study support verifies scoring and case study team agrees on final ratings



**Step 6: Drafting of case study assessment in formative phase report**

Case study lead synthesises emerging findings from information grids at EQ level and presents summary of strengths, weaknesses and preliminary conclusions



**Step 7: Summarise scoring of each EQ in conclusions section of case study report**

Case study lead summarises scores of strength of evidence and progress/strategies for each EQ, including justification based on findings at JC level (using Template C)



**Step 8: Map the project against the 10 dimensions of change**

Case study lead summarises plans against each dimension of change (Template B)



**Step 9: Summarise key learning points for case study assessment**

Case study lead explains factors enabling and inhibiting achievement, and summarises learning



**Step 10: Scoring verification - level 2**

Each case study team reviews the scoring applied by another team



**Step 11: Quality assurance of scoring**

Team Leader conducts quality check of scoring applied across all case studies



**Step 12: Revision of case study reports and scoring based on verification and QA comments**

Case study lead revised report findings, scoring and justification in light of comments

**Template A: Revised information grid to include JC-level scoring (attach to case study report)**

<b>EQ1: Relevance</b> PROG: How well has HIEP identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation? PROJ: How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?	
Judgement Criteria	Indicators
JC1.1: Extent to which the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation	<ul style="list-style-type: none"> <li>• Evidence that the project addresses one or more of the four HIES problems</li> <li>• Evidence that the project has the potential to provide new insights e.g. asks new questions or applies them to new contexts</li> <li>• Evidence that project has addressed gender and other aspects of social exclusion, (e.g. by age, status, location, ethnicity, disability), at a level appropriate to its focus, in its response to evolving priority needs and innovation</li> </ul>
<b>Preliminary findings at JC level (synthesis of findings at indicator level)</b>	
<b>Scoring at JC level (delete as applicable)</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	
JC1.2: Extent to which the project design is appropriate to address identified needs and opportunities	<ul style="list-style-type: none"> <li>• Scale and scope of the research project appropriate to address the need identified</li> <li>• Evidence that application and transferability of research findings is planned for</li> <li>• Evidence of a process to ensure quality of research process and products</li> <li>• Evidence of disaggregation of populations and data sets appropriate to address the need identified (e.g. gender, age, status, location, ethnicity etc.)</li> <li>• Evidence that potential users have been disaggregated by interest and need (e.g. gender, age, technical expertise etc.) and involved in design</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	

JC1.3: Extent to which the project fits/harmonises with other relevant institutional, sectoral and country-based initiatives and opportunities	<ul style="list-style-type: none"> <li>• Evidence that project links to broader sectoral initiatives within DFID</li> <li>• Evidence that project links to broader sectoral initiatives outside of DFID</li> <li>• Evidence that project links with broader cross-cutting initiatives within humanitarian aid to address gender equality and social inclusion.</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	
<b>EQ2: Efficiency</b> PROG: Which management and implementation approaches have enabled HIEP to deliver better value for money (VFM)? PROJ: To what extent and how has the project delivered value for money (VFM)?	
Judgement Criteria	Indicators
JC 2.1: Extent to which the project has optimised use of resources to achieve results	<ul style="list-style-type: none"> <li>• Evidence that VFM considerations (4Es) have been taken into account in project procurement, planning and management</li> <li>• Evidence that project has systems and processes within its management and implementation approaches to address gender equality and other equity issues Evidence that alternative management and implementation arrangements were considered as part of rationale for choice</li> <li>• Additional funds leveraged from other donors</li> <li>• Budget monitoring processes in place that are timely</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	
JC 2.2: Extent to which trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved?	<ul style="list-style-type: none"> <li>• Evidence that short and long-term results considered in resource allocation choices.</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence	

b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	
<b>EQ3: Effectiveness</b> PROG: Which approaches have been more effective in enabling HIEP to ensure the creation, support and application of high quality and relevant humanitarian evidence and innovation? PROJ: To what extent and how has the project ensured the creation, support and application of high quality and relevant humanitarian evidence and innovation?	
Judgement Criteria	Indicators
JC3.1: Extent to which project plans to produce HIEP outputs	<ul style="list-style-type: none"> <li>• Evidence that plans are in place to produce HIEP outputs <ul style="list-style-type: none"> <li>○ Evidence products</li> <li>○ Cross-institutional relationships and partnerships</li> <li>○ Skills built</li> </ul> </li> <li>• Evidence that the project has plans for gender and social exclusion analyses to inform HIEP outputs</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	
JC3.2: Extent to which socially inclusion /gender sensitive strategies are in place to ensure behavioural changes	<ul style="list-style-type: none"> <li>• Evidence that project seeks to ensure: <ul style="list-style-type: none"> <li>○ Champions advocate evidence</li> <li>○ Knowledge brokered</li> <li>○ Operational actors endorse evidence</li> <li>○ DFID funding based on evidence</li> </ul> </li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	
JC3.3: Extent to which project aims contribute to HIEP outcomes and overall aim	<ul style="list-style-type: none"> <li>• Evidence that plans are in place to contribute to: <ul style="list-style-type: none"> <li>○ New funding instruments</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ Changes in actors' skills, behaviour, culture, including sensitivity to gender and social differences</li> <li>○ Actors' investment into innovation</li> <li>● Evidence of knowledge of links and potential complementarity to other HIEP interventions</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	
<b>Provide some comments to support the score e.g. indicator scorings or summary of key factors from above.</b>	
JC3.4: Extent to which management approach enables creation, support and application of evidence and innovation	<ul style="list-style-type: none"> <li>● Evidence that management tools in place to monitor progress towards change, including collection of disaggregated data</li> <li>● Evidence that learning mechanisms in place to support creation and application of evidence and innovation</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	
<b>EQ4: Impact</b> <b>PROG:</b> What contribution has HIEP made to building and sustaining evidence-aware policy and practice by humanitarian organisations? <b>PROJ:</b> What contribution will the project make to HIEP aim to build and sustain evidence aware policy and practice by humanitarian organisations.	
Judgement Criteria	Indicators
JC4.1: Extent to which the project has articulated what change will look like in DFID and key organisations/targets.	<ul style="list-style-type: none"> <li>○ Evidence that the project has identified key targets and analysed change needed there for success- within DFID and externally</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence	

c) Low – limited evidence d) None – no evidence e) Not enough evidence	
JC4.2: E Extent to which the project has gender sensitive plans to build capacity in southern actors to be able to access funding for research and also to support, produce and apply evidence and innovation	<ul style="list-style-type: none"> <li>○ Evidence including plans and resource allocation to capacity building for Southern actors that takes account of gender differences and diversity.</li> </ul>
<b>Preliminary findings</b>	
<b>Scoring at JC level</b> a) High – strong evidence b) Medium – some evidence c) Low – limited evidence d) None – no evidence e) Not enough evidence	

**Template B - Dimensions of change- mapping the project to the HIEP theory of change (to be included in case study report Section 7.1 )**

Please complete the table below with details of how the case study addresses each of the dimensions of change detailed in the HIEP theory of change. Summarise the extent to which the project aims to address these and current plans to enable change. It is not anticipated that all projects address all changes but this gives us the first step to map the case studies against the theory of change.

<b>Change areas (Taken from HIEP theory of change)</b>	<b>Summary of the intended changes and the strategy and plans to address this change area.</b>
<b>Output 1. High quality and relevant research and evidence products [LIST PLANNED OUTPUTS]</b> Quality and relevance considers a) scientific rigour b) extent of engagement with stakeholders and c) "reach" of outputs/dissemination	
<b>Output 2: Relationship and partnership formed or strengthened between DFID divisions and with partner agencies</b>	
<b>Output 3: Relevant individuals have skills to design, commission and apply humanitarian research</b>	
<b>Behaviour Change 1: Debate of, and advocacy for, HIEP evidence</b>	
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	
<b>Behaviour Change 4: Funding and operations change</b>	
<b>Outcome 1:</b> International donors, including DFID, develop funding instruments and frameworks for investment into evidence, innovation and its applications	
<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures and systems to promote the regular integration of evidence into humanitarian and DRM interventions	
<b>Outcome 3:</b> Policy and practice actors invest in social, economic and political innovations that focus on benefits for poor people in humanitarian crises.	
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning and delivery of humanitarian policies, programmes and practices to manage risks and deliver rapid, effective responses in emergencies.	

**Template C: Scoring table at EQ level (to be included in case study report 7.2)**

<b>EQ 1: Relevance</b>		
<p><b>Summary of judgement:</b> Summarise the conclusions at JC level in the information grids, e.g.</p> <p>Strong evidence that the project has responded to needs and opportunities Strong evidence that the project design is appropriate to address identified needs and opportunities Limited evidence that the project fits/harmonises with other relevant institutional, sectoral and country-based initiatives and opportunities</p>	<p><b>Strength of evidence:</b> Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this.</p> <ul style="list-style-type: none"> <li>a) Verbal/planned strategy (an intention)</li> <li>b) Documented strategy in DFID proposal; ,</li> <li>c) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>d) documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<p><b>Score and conclusion:</b> Score strength of <u>progress and strategies</u> to ensure relevance/efficiency/effectiveness/ impact as:</p> <ul style="list-style-type: none"> <li>f) High – Detailed strategy with strong evidence of progress or potential to achieve strategy</li> <li>g) Medium – Good strategy with some evidence of progress or potential to achieve strategy</li> <li>h) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy</li> <li>i) None – No strategy in place</li> <li>j) There is not enough evidence to make a judgement</li> </ul>
<b>EQ2: Efficiency</b>		
<p><b>Summary of judgement:</b> Summarise the conclusions at JC level in the information grids</p>	<p><b>Strength of evidence:</b> Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this.</p> <ul style="list-style-type: none"> <li>e) Verbal/planned strategy (an intention)</li> <li>f) Documented strategy in DFID proposal; ,</li> <li>g) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>h) documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<p><b>Score and conclusion:</b> Score strength of <u>progress and strategies</u> to ensure relevance/efficiency/effectiveness/ impact as:</p> <ul style="list-style-type: none"> <li>k) High – Detailed strategy with strong evidence of progress or potential to achieve strategy</li> <li>l) Medium – Good strategy with some evidence of progress or potential to achieve strategy</li> <li>m) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy</li> <li>n) None – No strategy in place</li> <li>o) There is not enough evidence to make a judgement</li> </ul>
<b>EQ3: Effectiveness</b>		

<p><b>Summary of judgement:</b> Summarise the conclusions at JC level in the information grids, e.g.</p>	<p><b>Strength of evidence:</b> Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this.</p> <ul style="list-style-type: none"> <li>i) Verbal/planned strategy (an intention)</li> <li>j) Documented strategy in DFID proposal;</li> <li>k) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>l) documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<p><b>Score and conclusion:</b> Score strength of <u>progress and strategies</u> to ensure relevance/efficiency/effectiveness/ impact as:</p> <ul style="list-style-type: none"> <li>p) High – Detailed strategy with strong evidence of progress or potential to achieve strategy</li> <li>q) Medium – Good strategy with some evidence of progress or potential to achieve strategy</li> <li>r) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy</li> <li>s) None – No strategy in place</li> <li>t) There is not enough evidence to make a judgement</li> </ul>
<p><b>EQ4: Impact</b></p>		
<p><b>Summary of judgement:</b> Summarise the conclusions at JC level in the information grids, e.g.</p>	<p><b>Strength of evidence:</b> Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this.</p> <ul style="list-style-type: none"> <li>m) Verbal/planned strategy (an intention)</li> <li>n) Documented strategy in DFID proposal;</li> <li>o) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>p) documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<p><b>Score and conclusion:</b> Score strength of <u>progress and strategies</u> to ensure relevance/efficiency/effectiveness/ impact as:</p> <ul style="list-style-type: none"> <li>u) High – Detailed strategy with strong evidence of progress or potential to achieve strategy</li> <li>v) Medium – Good strategy with some evidence of progress or potential to achieve strategy</li> <li>w) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy</li> <li>x) None – No strategy in place</li> <li>y) There is not enough evidence to make a judgement</li> </ul>

**Template D - Learning about process and management (section 7.3 of report)**

Complete the table below with details of key learning from the project e.g. in relation to key process, structural or organisational factors which enabled/inhibited achievement. There is no change here from the original guidance.

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement this area?	What learning can be drawn from these for other contexts?
Relevance			
Efficiency			
Effectiveness			
Impact			

## Annex 1.6 Case Study Tools and Templates

### Selected Case study tools

### HIEP evaluation formative phase

### Case study evaluation tools

### Contents

<b>1. Interview and group discussion/workshop checklists .....</b>	<b>38</b>
1.1 DFID Lead advisor/project team (two part interview - before and following the workshop)	38
1.2 External stakeholders (minimum 6) .....	40
1.3 Guidelines for Project Mapping Workshop.....	42
1.4 Stakeholder engagement diaries .....	47

## 1. Interview and group discussion/workshop checklists

NB- the interview checklists are a guide. Some questions may have been answered through other processes so not be needed e.g. in the workshop. Similarly, it may be necessary to add some questions to be able to complete the case study report in the required framework. Please check through particularly before the final interview with the lead advisor in case additional information needed.

### 1.1 DFID Lead advisor/project team (two part interview - before and following the workshop)

Project here is used to mean the case study project. Some projects are made up of more than one component/sub-projects. The lead adviser is the key informant in this process but they may want to bring in additional team members. The project team may include:

- Lead Advisor in DFID (possible more than one in large projects) (likely to be most appropriate for relevance and impact questions)
- M&E person (likely to focus on effectiveness and VfM questions)
- Programme manager (mainly administrative)
- Finance person (VfM questions)

#### 1. Relevance

- 1.1. What type of research are you producing? How are you doing it and where and with what methods?
- 1.2. How was the need for this project identified?
- 1.3. What is new about the questions this project asks or the products it will produce?
- 1.4. Are there other distinctive aspects to the project?
- 1.5. The four problems identified by the Humanitarian Innovation and Evidence strategy are:

**Problem 1:** Decision-makers have inadequate access to reliable and tailored information about risk, especially as it affects the poorest

**Problem 2:** Inadequate synthesis and generation of evidence about which humanitarian interventions work best, and new ways to tackle humanitarian problems

**Problem 3:** Insufficient capture and systematic analysis about how to work with national and local institutions to manage disasters, especially in insecure settings

**Problem 4:** Inadequate systems and incentives to integrate evidence production and use routinely in humanitarian decisions and actions

Which of these problems does the project seek to address? How?

- 1.6. How does the scale of the project relate to the scale of the problem it seeks to address and/or contribute to solving?
- 1.7. How have you planned for the research findings to be relevant to contexts that are not being directly researched?
- 1.8. Who are the potential users of the project findings/products? How have they been involved in the design of the project? Have they been disaggregated by age/sex/other.
- 1.9. How does this project link to other initiatives within DFID?

- 1.10. How does this project link to other initiative within the sector?
- 1.11. How is the project ensuring it is gender sensitive (refer to gender sensitive checklist).

## 2. Value for money

- 2.1 Please give 2-3 examples of how VfM has been part of project planning , procurement, management and decision-making
- 2.2 Were VfM considerations part of partner/sub-project selection? If so, how was VfM assessed?
- 2.3 How do you ensure partners apply VfM considerations in implementation
- 2.4 How does the project address gender equality and other equity issues? What processes and systems are in place to do this?
- 2.5 Were alternative management and implementation arrangements considered for the project e.g. contracting out management v keeping it in-house?
- 2.6 What was the rationale for selecting the current management arrangement
- 2.7 Has the project already leveraged additional funds for research in this area? Please give details.
- 2.8 Please describe the process for monitoring budgets? (level of detail and timeliness)

## 3. Effectiveness (mostly covered in group discussion)

- 3.1 What are the project's aims and intended output?
- 3.2 How are you ensuring quality of research processes and outputs (and other). How do you **define research quality** in your field? What processes are in place to ensure robustness and quality? How many of these are DFID imposed processes and how many are your own?
- 3.3 How is your project considering gender and social differences? If not at all why are these issues not relevant to your programme?
- 3.4 How are you disaggregating data acc to poverty/gender/age in the programme (including in research data, in relation to audiences and capacity building)?
- 3.5 How are your monitoring and VFM frameworks dealing with equity
- 3.6 Are there key countries/actors/contexts being targeted in the project plan?
- 3.7 Are there additional countries/actors/contexts the project outputs will be relevant for?
- 3.8. What are the processes in place to monitor progress towards change?
- 3.9 What the processes in place to enable learning within the group(s) involved in the project including research teams, communication teams, within DFID and externally?
- 3.10 What reports/data will be collected during the project's lifetime to monitor progress?
- 3.11 Do you have the appropriate room /flexibility to be able to adapt the project if needed due to learning or new developments?
- 3.12 To what extent does the project link with other HIEP project interventions e.g. common countries or interest, stakeholders, key actors etc?
- 3.13 What are some of the internal and external enabling factors that support this project? How have they affected the project plan?
- 3.14 What are some of the internal and external inhibiting factors that support this project? How have they affected the project plan?

#### 4. Impact

4.1 How does the project contribute to the HIEP overall aims?

4.2 Does the project aim to Southern actors' capacity to support, produce and apply evidence and innovation? How?

#### 1.2 External stakeholders (minimum 6)

- These should be drawn from academics/ operational people (peers); technical specialists in the field; other humanitarian actors (donors, partners, NGOs, private sector) and practitioners. The mix will vary according to the project.
- Some of these interviews may be with DFID staff considered "external" to the project team e.g. humanitarian advisers, country level staff.
- These interviewees may have little/no knowledge of the project. You will need to provide a brief- ideally something in advance of the project e.g. summary paragraph.
- Lead advisors and the workshop should help identify appropriate interviewees. It is recommended that at least two interviewees be people not identified by DFID.
- One of the aims of the interviews is to validate/triangulate DFID/lead advisor claims so some additional questions may come from this.

#### Relevance

1.1 How have you been involved in the project (if at all)? How much do you know about it.

1.2 The project aims to tackle problem x. Is this a problem you recognise?

1.3 The project is doing XY and Z with methods X,Y and Z. Is this the right response to the problem?

1.4 The project aims to achieve change x y. Are there alternative ways this change might be achieved without this project?

1.5. How does/could this project link to other initiative within the sector? Is anyone else doing this type of work?

1.6 Do you think there is something new or distinctive in what the project is seeking to produce?

1.7 What will need to be taken into account to ensure the relevance of the project/research findings to future/ other contexts?

1.8 What type of products would be most useful to you? What is the best way for these to reach you/be communicated to you?

#### Effectiveness and impact

1.9 What do you think the project's major challenge will be?

1.10 The overall programme this project is part of aims to improve the effectiveness of the humanitarian sector's way of working. How would you ensure the project is relevant to a) the poorest and most vulnerable women and men and b) to humanitarian responses

1.11 What advice do you have for how this project is managed and communicated for it to contribute to that aim? What will be its major challenge? Any suggestions on how to overcome?

## 1.3 Guidelines for Project Mapping Workshop

### 1. Aims

**The Project Mapping Workshop has three aims. To:**

1. Provide an opportunity for key project people to articulate what they hope their project will achieve in terms of –
  - change and the pathways for change – how they see the change happening
  - the actors they will target and engage in their change process and
  - the rationale behind their thinking - What is the quality of their strategic thinking, i.e. do they have strategies, do they have specific actors in mind?
  - the extent to which this type of thinking is shared and internalised between the lead advisor and the project team
2. understand and explore the project's linkage to the 3 HIEP outcome areas in terms of:
  - where the project would locate themselves in relation the 3 HIEP outcome areas and,
  - the coherence between the project's ToC, if in place, and HIEP's theory of change.
3. support the Evaluation team identify external stakeholder for further follow-up discussions

### 2. Workshop Participants

A minimum of 4 participants and a maximum of 8. We recognise that, given timing and schedules it may be difficult to get key project people together. If less than four participants available, abandon the activity. We are looking at the roles people play in projects, not job title as this may differ from project to project. I.E participants need to be people who have an overview of the project, understand what it is trying to achieve or have responsibilities for the strategic approach of the project. Participants should be drawn from the following list.

- Lead Advisor, for strategic and influencing; or key advisor
- Programme manager – for projects and partner performance
- Strategic lead at the Management / implementation manager (contract holder for delivery)
- Representative of a sub-project partner, where appropriate, up to 2 participants 1-2 *Possibles*:
- M&E person from project
- an Evaluation Steering Committee
- member of project's Advisory or steering group, if it has one
- participant from project's Co-funders, if applicable and practical

**3. Timing:**

2-3 hour workshop including a short tea break

**4. Materials**

Hand out of HIEP ToC (sent to participants prior to workshop as part of invitation letter and outline of workshop email), Large (A3 sized simplified version of the HIEP ToC); bold markers, multi-coloured large sized post-its or cards, masking tape, flip charts

#### 4: Workshop Process

Timing	Activity	Process
<b>Workshop Preparation</b>		
	<p>Standardised letter sent to all Key people which:</p> <ul style="list-style-type: none"> <li>• outlines Workshop's relationship to overall assessment and its specific aims;</li> <li>• emphasises that while workshop is an assessment tool will also be useful for project's strategic thinking</li> <li>• identifies main ground rules and our expectations – open discussion – no comments attributed to individuals or reported against names; we will share the raw data from the workshop with them and they will have copies of finalised report.</li> <li>• Agenda and outline of workshop</li> </ul> <p>Workshop participants also sent HIEP ToC diagram and simplified explanation of ToC and asked to familiarise themselves with it prior to workshop.</p>	<p>ITAD to prepare standard letter. Evaluation case study lead work with DIFD TL to agree date and organise the meeting -e.g. meeting room in DFID, send out letter with email invite to relevant partners and participants. Some Itad support (Kelsy) maybe possible to help out if necessary.</p>
<b>Workshop</b>		
10 -15 minutes	<b>Introduction:</b> Names, summary explanation of HIEP evaluation process housekeeping, ground rules, aims and objectives etc.	<b>Process tip:</b> As an ice breaker, ask how far people have travelled to the meeting and get them to stand in order of distance in the middle of the room.
45 -60 mins – <b>Do not over-run</b>	<p><b>Most Significant Change Matrix</b></p> <p>The aim is to produce a grid (see below) which:</p> <p>i) <b>Captures the top three Most Significant Changes</b> That the project hopes to achieve: must be an attitude/behaviour change, practice change, institutional or behavioural change</p> <p>ii) <b>Identifies who is involved in that change?</b> Actors / stakeholders (actors because there are people who don't care but should) – try to get them to be specific about institutions / organisations / departments if they can, whether international / national /sub-national</p> <p><b>and if time</b></p> <p>iii) analyses why they have prioritised these changes and</p> <p>iv) indicates how they are going to do it</p>	<p><b>Process tips:</b></p> <ul style="list-style-type: none"> <li>• Prepare large triple- sized flip chart paper chart before start of workshop and place the matrix grid in the middle of the first 2 segments of the chart.</li> <li>• Divide the group into smaller groups or pairs and get them to brainstorm for 5 minutes, then get them to bring their chairs into a circle around the grid on the wall.</li> <li>• Use prompts – see grid below</li> <li>• Do not expect the group to go neatly from column to column – when identifying significant changes they may also start to think about why they have prioritised these changes and how they'll do it. Be ready to capture their thinking.</li> <li>• Give the team a few minutes at the end of the activity to look over what they have done and make additions or amendments if they want.</li> </ul>
30 mins	<p><b>Linking the Matrix to a Path way analysis</b></p> <p>The aim is to produce a non-linear pathway which picks up on the WHO – i.e., the relationships and networks which will be vital to the project's capacity to generate significant change.</p>	<p><b>Process tips:</b></p> <ul style="list-style-type: none"> <li>• Use prompts to ask: Who is key to achieving this change, e.g. as blocker or enabler? Are there <b>three priority actors</b> you have to engage?</li> </ul>

	<p>i) Use the third segment of the large chart and put large post-its/cards of the three changes in the middle - might work best to overlap the changes as in a venn diagram</p> <p>ii) Then get participants to map actors as to how close they are to that change, put the project team on there.</p> <p>ii) Draw some links – who is the project currently networked with? Who is vital to change, what links does it have with them? Who is vital for change but the project does not have links with? Why</p> <p>iv) If time get participants to Weight current relationships and indicate what changes in relationship, if any, are needed if future?</p> <p>v) As a final question – ask if there are any external actors that the evaluation team should think about contacting as part of this assessment.</p>	<ul style="list-style-type: none"> <li>• Make sure that the project team puts themselves on the map –i.e. sees themselves as an actor and part of the change process</li> <li>• can weight by thickness of line drawn (from dashes indicating little weight to very thick weight).</li> </ul>
30 mins	<p><b>Project location on HIEP ToC</b></p> <p>Aim of activity is to get a collective understanding of where the Project sits in relation to the HIEP ToC.</p> <p>i) Talk participants through the HEIP ToC</p> <p>ii) Standing-up; 5 minutes silent thinking, then standing up/sitting down with post-its facilitate an open-ended discussion which you document with post-its as the discussion progresses</p> <p>iii) Ask :</p> <ul style="list-style-type: none"> <li>• How their significant changes that they foresee link to HIEP changes?</li> <li>• important assumptions for them, maybe some missing</li> <li>• Could the changes they seek occur without the project, what might be the other factors / actors?</li> <li>• How do they see the project benefitting different social groups such as women, disabled, marginalised communities and including the poorest and most vulnerable women and men?</li> <li>• Are there areas for development in the design/implementation of the project?</li> </ul>	<p><b>Process tips:</b></p> <ul style="list-style-type: none"> <li>• Good time to have tea/comfort break and gives you time to photo the matrix/pathway and put up the large A3 HEIP ToC.</li> <li>• Have hand outs of ToC in case they have not brought their own</li> <li>• Use double flip chart paper to make large chart and put the A3 sized ToC in the middle to allow room for post-its, drawings etc.</li> <li>• depending on energy of group might be worth getting them to stand in front of ToC chart, in order to keep energy levels up.</li> <li>• Get participants to use post-its to indicate where around behaviour change and outcomes on the ToC they see themselves</li> </ul>
15 mins	<p><b>Closing Remarks</b></p> <p>Summary of workshop outpoints and feed-back from participants; reminder of next steps for the assessment.</p>	<p><b>Process Tips:</b></p> <ul style="list-style-type: none"> <li>• Ask participants if there are any issues that they think the evaluation team should be address or prioritising.</li> <li>• If running out of time – give participants 2 different colour post-its and ask for feedback on one colour and issue/s that evaluation team need to look at on the other. Give them a few minutes to fill them in.</li> </ul>

## 5. Outline of Most Significant Change Matrix Grid

Significant Change	Who (actors)	Why	How
<ul style="list-style-type: none"> <li>- Attitude/behaviour change: minimum is access; or constituency change – receptiveness -</li> <li>or practice change, or institutional change or operational change?</li> </ul>	<ul style="list-style-type: none"> <li>Importance</li> <li>Relationship to project</li> <li>Level of actor – local, national, regional, international</li> </ul>	<ul style="list-style-type: none"> <li>Why this significant change – what is the strategic thinking behind the choice?</li> </ul>	<ul style="list-style-type: none"> <li>What strategies and actions is the project going to use to achieve these changes?</li> <li>How will it ensure these changes are, where appropriate socially inclusive and gender sensitive</li> </ul>
<ul style="list-style-type: none"> <li>-Prompt: What would success look like for you even if the pilot failed?</li> <li>- In what settings can you see the outputs being used? What difference do you hope it makes to what people do, day-to-day?</li> <li>- What would change if you address the original problem?</li> </ul>	<ul style="list-style-type: none"> <li>Any actor left out of not involved</li> <li>This links to pathway analysis</li> </ul>	<ul style="list-style-type: none"> <li>Does it complement existing work – fill a gap or???</li> </ul>	<ul style="list-style-type: none"> <li>What processes will it use to adjust to new information, changing circumstances etc.?</li> <li>How will it deal with setbacks, failure?</li> <li>How will it involve “unusual suspects” i.e create new networks and alliances?</li> </ul>

## 1.4 Stakeholder engagement diaries

We proposed and DFID have agreed that maintaining stakeholders diaries to track HIEP impact and influence with key stakeholders is a useful data gathering tool for the evaluation. Responsibility for maintaining these will sit with the HIEP project teams for the case study projects and with the HIEP secretariat for programme level activity. The aim is for these to be light tools but ones which we can use in the summative evaluation phases to develop contribution stories.

A task in the formative phase to agree the use of these with the case study DFID lead advisor, adapting the format as appropriate. A skeletal model is below - to apply on excel.

Date	Stakeholder	DFID contact What was the nature of the DFID contact.	Any results of contact (can be added to later)	Evidence e.g. email or other (lack of evidence should not prevent listing)

## Annex 2: Case Studies



### Contents

Case Study 1: Improving the Application of Risk Modelling for Disaster Management.....	2
Case Study 2: Expanding the Use of Cash Transfers in Emergency Response .....	18
Case Study 3: Research for Health in Humanitarian Crises (R2HC) .....	33
Case Study 4: Humanitarian Evidence Synthesis and Communication.....	51
Case Study 5: Humanitarian Innovation Fund .....	65
Case Study 6: Secure Access in Volatile Environments.....	88
Case Study 7: Strategic Research into the National and Local Capacity Building for Disaster Risk Management.....	102
Case Study 8: Resilience Thematic Evaluation.....	118

## Case Study 1: Improving the Application of Risk Modelling for Disaster Management

### 1. Introduction

This project has been designed to help meet the challenge of enabling decision-makers in disaster-affected contexts, with low capacity and expertise to understand the nature of disaster risk, to access and use evidence to reduce risk and the impact of disasters on people's lives and property.<sup>1</sup> The structure of the proposed intervention is summarised in the DFID HIE Proposal below (see Figure 1). It is being implemented in cooperation with the Global Facility for Disaster Reduction and Recovery (GFDRR).

**Figure 1. Structure of the proposed intervention**

A project to scale up innovation in disaster risk assessment to support human and financial resilience to natural hazards

Component A			Component B	
Innovation in action			Taking innovation to scale	
<i>Risk assessment and risk financing activities in Pakistan</i>			<i>Documenting learning and developing future work plans</i>	
A1: Strengthening capacities to access, generate, and use information on disaster risk	A2: Strengthening capacities to incorporate risk management into decision-making	A3: Increasing fiscal resilience to natural hazards	B1: Developing work plans for five additional Countries	B2: Developing guidelines and tools

A ToC has been articulated in the 'Programme Theory of Change and Evaluation Strategy'<sup>2</sup> document. This is based on the logic that if decision-makers are provided with risk information and associated tools to utilise the information, in the medium term these will lead to changes in mindset, awareness, understanding, and approaches. This will result in the development and implementation of mitigation and financial mechanisms that reduce disaster risk over the medium- to long-term. The ToC outlines a series of long-term changes, intermediate-term changes, short-term changes and outputs which map relatively closely to the original DFID project proposal.

The findings of this case study are based on data collection during January -March 2014. The judgement criteria (JC) and indicators relate to those detailed in the evaluation matrix. While a considerable amount of documentation was received in support of the formative phase of the evaluation, very limited verbal input was received from either DFID or GFDRR/WB.

<sup>1</sup> Source: DFID project proposal, p .2.

<sup>2</sup> Source: WB (2013) Scaling up innovation in disaster risk management, Pakistan, theory of change and evaluation strategy, p. 11.

## 2. Relevance

### PROJ: How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?

JC1.1: Extent to which the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation	<ul style="list-style-type: none"> <li>• Evidence that the project addresses one or more of the four HIES problems</li> <li>• Evidence that the project has the potential to provide new insights (e.g. asks new questions or applies them to new contexts)</li> <li>• Evidence that project has addressed gender and other aspects of social exclusion (e.g. by age, status, location, ethnicity, disability), at a level appropriate to its focus, in its response to evolving priority needs and innovation</li> </ul>
JC1.2: Extent to which the project design is appropriate to address identified needs and opportunities	<ul style="list-style-type: none"> <li>• Scale and scope of the research project appropriate to address the need identified</li> <li>• Evidence that application and transferability of research findings is planned for</li> <li>• Evidence of a process to ensure quality of research process and products</li> <li>• Evidence of disaggregation of populations and data sets appropriate to address the need identified (e.g. gender, age, status, location, ethnicity, etc.)</li> <li>• Evidence that potential users have been disaggregated by interest and need (e.g. gender, age, technical expertise, etc.) and involved in design</li> </ul>
JC1.3: Extent to which the project fits/harmonises with other relevant institutional, sectoral, and country-based initiatives and opportunities	<ul style="list-style-type: none"> <li>• Evidence that project links to broader sectoral initiatives within DFID</li> <li>• Evidence that project links to broader sectoral initiatives outside of DFID</li> <li>• Evidence that project links with broader cross-cutting initiatives within humanitarian aid to address gender equality and social inclusion</li> </ul>

### 2.1 Emerging findings

**(JC1.1)** The DFID project proposal states that the project will contribute to addressing all four of the HIES problems.<sup>3</sup> The focus of Output 1 on increasing the capacity and systems of the National Working Group on Risk Assessment to produce and share data on disaster risk responds to Problem 1, and in conjunction with Output 2, which focuses on steps towards the adoption of a national disaster risk financing strategy, also responds to Problem 3. Output 3 focuses on improving the

<sup>3</sup> Source: HIEP Project Proposal, p. 7.

quality of disaster risk analysis and research and using information to implement cost effective ways to reduce risk speaks to Problem 2. The theory of change outlined in the Evaluation Strategy document also sets out the short-term and intermediate changes that need to take place to bring about change in how risk information is translated into policy, which responds to Problem 4.<sup>4</sup>

There is considerable scope for the project to provide new insights, as the approach that GFDRR has taken is a step-change from their standard approach with the most significant evolution being the explicit intention to build the capacity of national institutions.<sup>5</sup> Given GFDRR's mandate and the scope of its work, this offers significant potential for learning.

The project ToC and M&E strategy, the annual report, and quarterly report provide little evidence of gender analysis or that this information will be collected or monitored during the life of the project.

**(JC1.2)** The project seeks to apply global lessons on disaster risk financing to fragile and low-income countries. While most countries have some form of DRM legislation, few have the capacity to establish and enforce zoning law, building codes, or standards for contingency planning – particularly in the developing world. There is also very limited documentation on how investment in better information on risks can support and influence policy, investment, and budgetary and fiscal planning for resilience at different levels. Given this context, it is anticipated that the proposed investment – structured to stimulate and learn from a programmatic approach to risk assessment and the application of the resulting information for building financial and human resilience – will be timely and transformative. Pakistan is considered to be an opportunity to hit the ground running and develop new approaches for innovating in a fragile environment.

The DFID project proposal (pp. 8-9) sets out some of the key areas where this project aims to innovate, e.g. strengthening partnership with the private reinsurance and capital markets to develop sustainable catastrophe risk insurance solutions (p. 9); incorporating risk management into public investment planning and decision-making, particularly through reaching out to private sector actors with a commercial interest in using disaster risk information to build a local disaster risk management industry (p. 8). Interviews with World Bank project staff<sup>6</sup> suggested that the project is more 'evolution' than 'innovation,' and highlighted the coherence between addressing fiscal risk on the one hand and physical risk on the other, which was particularly exciting. Interviews underpinned the assertion in the Evaluation Strategy document that the SI-DRM approach is very different from typical WB approaches to risk assessments in its focus on embedding the risk assessment process within Pakistan, and in so doing significantly strengthening Government capacities to carry out this work.<sup>7</sup> Where the project is less clear is on the gendered aspects of the problem, particularly how it will seek to address these and work towards inclusion more generally. None of the documents or the evaluation strategy provides any indication to how these issues will be dealt with.<sup>8</sup>

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<sup>4</sup> Source: Evaluation Strategy, p. 11.

<sup>5</sup> Source: Interview A43.

<sup>6</sup> Source: Interview A43.

<sup>7</sup> Source: Evaluation Strategy, p. 15.

<sup>8</sup> The word 'gender' appears only once in the ToC and evaluation strategy as part of a proposed set of questions to gather evidence of external factors that may have an influence on the project (table 3 p. 26).

There is an ambition, articulated in the DFID proposal for the project, to contribute to a knowledge base and provide a set of tools which will be used to equip five additional fragile and low-income countries with a work plan to scale up innovation in disaster risk assessment for resilience. Implementation of work plans will be supported by GFDRR, the World Bank, and partners. However, this ambition will be subject to securing funding<sup>9</sup>; interviews with WB project staff highlighted a degree of pessimism that this model would be tenable.<sup>10</sup> It is noteworthy that the applicability of the Pakistan approach to other low-income, fragile countries is flagged under output 4 of the evaluation strategy as an assumption (p. 17). While the strategy makes reference to ‘the replication question’ (p. 21) it does not provide details of how the applicability of the Pakistan case study to other countries will be tested and verified. Rather, the WB is seeking to take opportunities to implement the model elsewhere as they arise. In Sri Lanka, a similar approach is in the process of being adopted, with an envelope of \$105m being split between mitigating physical flood risk (\$90m allocation) and fiscal risk (\$15m).

For Pakistan, the M&E strategy outlines a comprehensive package of processes and tools to capture learning from the project and it is anticipated that these will test the hypothesis.<sup>11</sup> The Annual Review states that lessons have already been learnt in the selection of additional countries for scale up, particularly around the need for strong Government demand to ensure project success. It is unclear the extent to which the Sri Lanka project is in line with what is being implemented in Pakistan and how lessons from each will be consolidated and shared – or even if timeframes will permit this. A number of external interviewees expressed concern over the time needed for successful replication of the model to other contexts, in particular stressing the importance of having a longer-term set of relationships in place to identify and tackle the political economy drivers which make incorporating risk into decisions difficult in that context, as well as recognising that it may take some years to generate real findings from the Pakistan model that can be applied to other contexts. Data management and quality control is addressed in the evaluation strategy, which provides an assurance checklist (p. 30).

There is no evidence of disaggregation of datasets from the project documentation, which reflects the broader approach that primarily focuses on government, institutions, systems, and processes, and provides little indication of how the project will have a direct impact upon people and poverty. The DFID proposal suggests that the Results Based Management System that has been jointly developed by the GFDRR, DFID, and the Consultative Group will ‘eventually’ capture the impacts on communities (p. 12) but this is not evident from the Evaluation strategy (this will require follow-up with the M&E Lead).

**(JC1.3)** Interviews with DFID suggest that the project links closely with a number of other initiatives in the organisation e.g. BRACED programme, which is also working Pakistan and aims to build the countries’ resilience to extreme weather. It also links to the Political Champions Group for Disaster Resilience,<sup>12</sup> jointly chaired by Secretary of State, which was established in 2012 to give greater

<sup>9</sup> Source: HIEP Project Proposal p. 3.

<sup>10</sup> Source: HIEP Annual Review, Scaling up innovation in disaster risk management, p. 8.

<sup>11</sup> The hypothesis states ‘that if decision-makers are provided with risk information and associated tools to utilise the information, in the medium term these will lead to changes in mindset, awareness, understanding and approaches. This will result in the development and implementation of mitigation and financial mechanisms that reduce disaster risk over the medium- to long-term.’

<sup>12</sup> See <https://www.gov.uk/government/news/un-general-assembly-political-champions-commit-to-build-disaster-resilience>

political attention and investment in building resilience, and has a focus on scaling up insurance penetration in low-income countries.<sup>13</sup>

Outside of DFID, the initiative has potential links to the Asian Development Bank as well as to UNDP and interviews suggest that the WB will seek to ensure that these institutions are engaged in the project.<sup>14</sup> This is supported by the ToC, which outlines one of the intermediate changes as being in the policy environment where changes in coordination, collaboration, and mobilisation amongst key stakeholders will support DRR investments.<sup>15</sup>

## 2.2 Strengths

A comprehensive ToC has been developed which is partnered by a sound M&E strategy, which provides a strong foundation for monitoring change during the lifetime of the project.

## 2.3 Areas to develop

There is scope for further clarifying how lessons from the project will inform decision-making about the transferability of the project in other fragile, low-income countries and there would be value in clarifying whether this is an explicit aim of the project.

The project provides little indication of the potential impact that it will have on people's lives and does not provide any information on the approach that will be taken to disaggregating datasets.

## 2.4 Recommendations

- There is need for follow-up with the M&E lead to obtain details of how the M&E strategy will approach issues of data disaggregation.
- There is a lack of clarity about whether and how the project will be transferred to other fragile and low-income countries and it will be important to design a process that is sufficiently adaptable to ensure its relevance in a completely different context. Is the aim to test the hypothesis in a single country or is it to further test this in other countries?

## 3. Efficiency

### PROJ: To what extent and how has the project delivered value for money (VfM)?

JC2.1: Extent to which the project has optimised use of resources to achieve results

- Evidence that VfM considerations (4Es) have been taken into account in project procurement, planning, and management
- Evidence that project has systems and processes within its management and implementation approaches to address gender equality and other equity issues
- Evidence that alternative management and implementation arrangements were considered as part of rationale for choice
- Additional funds leveraged from other donors

<sup>13</sup> Source: Interview A60.

<sup>14</sup> Source: Interview A43.

<sup>15</sup> Source: SI-DRM, Program Theory of Change and M&E Strategy, p. 10.

JC2.2: Extent to which trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved

- Budget monitoring processes in place that are timely
- Evidence that short- and long-term results considered in resource allocation choices

### 3.1 Emerging findings

**(JC2.1)** There is little indication provided in the documentation of how VfM considerations have been taken into account in project procurement, planning, and management. The DFID proposal does not deal with VfM in a systematic manner beyond indicating that ‘the participation of the World Bank’s Vice President for the Sustainable Development Network (of which GFDRR is part) on the UK-UNDP chaired Political Champions Group for Disaster Resilience offers further opportunity for a relatively small investment to leverage much larger scale impact, thus providing significant value for money’ (p. 12). It does, however, propose that monitoring the leveraging impact of the intervention at different levels should be the primary measure used to assess VfM but this is not expanded on in the evaluation strategy.

The DFID proposal quotes the WB procurement guidelines as offering assurances of VfM, processes for which include:

- need for economy and efficiency in the implementation of the project, including the procurement of the goods, works, and non-consulting services involved;
- interest in giving all eligible bidders from developed and developing countries the same information and equal opportunity to compete in providing goods, works, and non-consulting services financed by the Bank;
- interest in encouraging the development of domestic contracting and manufacturing industries in the borrowing country; and
- importance of transparency in the procurement process.

Interviews with WB project staff highlighted a lack of knowledge of the specific approach DFID takes to VfM, but (after an explanation) the approach taken is one that focuses on **effectiveness** and **economy** by obtaining a mix of high quality staff for flood and seismic modelling and a similarly high calibre risk financing team for a comparatively small investment.<sup>16</sup>

No additional funding has been leveraged to date to extend the project into additional countries although the model is being applied elsewhere opportunistically as funding becomes available (e.g. \$105m project which has recently commenced in Sri Lanka).<sup>17</sup>

An initial payment was made to GFDRR of £160,000 to start the project (as per WB accounting rules). The second payment (£465,000) was conditional on GFDRR producing a satisfactory M&E

<sup>16</sup> Source: Interview A43.

<sup>17</sup> Source: Interview A43.

framework, which was accomplished. Payment of the third and final payment (£465,000) is conditional on GFDRR submitting a satisfactory progress report, which is yet to be received.

**(JC2.2)** Nothing to report at this stage.

### 3.2 Strengths

There are no specific strengths to highlight under the efficiency criterion.

### 3.3 Areas to develop

There is no indication of how the WB/DFID will seek to regularly assess and monitor VfM during the research period. There are also no plans in the documentation or revealed during interviews to demonstrate the extent to which VfM objectives are being achieved through the measurement of results.

### 3.4 Recommendations

Given the scale of the contract and (potential) plans for replication in other countries, a regular process of review against VfM 4Es would provide a degree of assurance that costs are being regularly managed and would provide an opportunity to take stock of the research approach with a view to maximising economy, efficiency, effectiveness, and equity.

## 4. Effectiveness

### PROJ: To what extent and how has the project ensured the creation, support, and application of high quality and relevant humanitarian evidence and innovation?

JC3.1: Extent to which project plans to produce HIEP outputs

- Evidence that plans are in place to produce HIEP outputs
  - Evidence products
  - Cross-institutional relationships and partnerships
  - Skills built
- Evidence that the project has plans for gender and social exclusion analyses to inform HIEP outputs
- Evidence that plans are in place to produce gender/socially-sensitive HIEP outputs

JC3.2: Extent to which socially inclusive/gender-sensitive strategies are in place to ensure behavioural changes.

- Evidence that project seeks to ensure:
  - Champions advocate evidence
  - Knowledge brokered
  - Operational actors endorse evidence
  - DFID funding based on evidence

JC3.3: Extent to which project aims contribute to HIEP outcomes and overall aim

- Evidence that plans are in place to contribute to:
  - New funding instruments
  - Changes in actors' skills, behaviour, culture, including sensitivity to gender and social differences
  - Actors' investment into innovation
- Evidence of knowledge of links and potential complementarity to other HIEP interventions

JC3.4: Extent to which management approach enables creation, support, and application of evidence and innovation

- Evidence that management tools are in place to monitor progress towards change, including collection of disaggregated data
- Evidence that learning mechanisms are in place to support creation and application of evidence and innovation

#### 4.1 Emerging findings

**(JC3.1)** While the ToC deviates from that of the HIEP (it is focused on the Pakistan case study rather than the broader process of generating evidence and utilising this to leverage change), there is significant complementarity. The ToC recognises that in order to achieve its goals the SI-DRM needs to do more than produce a high-quality body of evidence it also needs to ensure there is a robust process that can build capacity for risk assessment in government institutions, academic institutions and the private sector. In order to achieve this, a number of cross-institutional working groups have been formed which will be supported to develop tools and deliver the process (HIEP output 2). The focus on learning by doing provides evidence of an approach, which will build skills in targeted institutions (HIEP output 3). The M&E strategy outlines an approach that will not only generate information about what has been achieved but also how those achievements were generated (or not).

The M&E strategy notes the importance of monitoring the process of behavioural and institutional change (p. 21), and in its approach to gathering evidence on results outlines three key areas:

- Changes in the level of knowledge – changes in the understanding of decision-makers of risk
- Changes in behaviour attitudes – changes in coordination, collaboration, and mobilisation amongst different communities
- Changes in the level of commitment – changes in the approaches and practice of policymakers to implement DRM policies and programmes

There is no evidence in the documentation that gender and social exclusion analyses will be used in the project and this should be followed up during the summative phase of the evaluation.

**(JC3.2)** The model of change is one of learning by doing, with the active participation of a National Working Group that includes membership from all relevant line ministries with linkages or responsibilities in DRM. This group will effectively play a ‘championing role’ in addition to supporting ‘knowledge-brokering.’ The project has as a precondition for intermediate-level changes the importance of influencing and active engagement of stakeholders in the areas of science, industry, business, development policy, and practice. It is anticipated that consensus will be necessary amongst these stakeholders to ensure ownership and use of the information (operational actors endorse evidence) (p. 12). These changes offer a good fit with the behavioural changes outlined in the HIEP ToC. One external interviewee suggested that it might be useful to engage universities and recognise their potential role in knowledge brokering, influencing, and instilling confidence in decision-makers and those using the information.

**(JC3.3)** Rather than a set of outcomes, the project ToC offers a set of ‘intermediate changes’ which map on to the project logframe outcomes. These are as follows:

1. Changes in the quality, relevance, and usability of risk information;
2. Changes in the understanding of disaster risk;
3. Changes in the policy environment;
4. Changes in the way risk information is translated into policy action.

Intermediate change 3 could lead to changes in how investments are supported and thereby new funding instruments (HIEP outcome 1) and investment frameworks for DRR/DRM (HIEP outcome 3), although this is not stated explicitly in the ToC. Changes in actors' skills and behaviours (HIEP outcome 2) should be brought about through all four intermediate changes, but particularly change 2, which should engender a shift in mindsets away from disaster preparedness and response to disaster risk reduction, as well as a change in political will and the commitment of decision-makers around DRM issues.<sup>18</sup>

No explicit linkages have been made between this project and other HIEP projects.

**(JC3.4)** A comprehensive M&E strategy is described in the ToC and M&E Report which is well-resourced. The strategy will be coordinated by four people, a team structure and schedule have been developed (pp. 28-29). An approach to data management and quality controls has also been put in place. Collection of disaggregated data is not mentioned in the document.

The approach adopted in the evaluation strategy includes multiple forms of data collection and analysis, involving both quantitative and qualitative data. The Monitoring and Evaluation system for the project will concentrate on gathering evidence on:

- Processes and results: Evidence on the occurrence (or not) of key results
- Testing assumptions: Evidence to understand if the assumptions in the ToC are valid
- Other influencing factors: An examination of other significant factors that may have an influence (including political economy)

No M&E reports were shared with the evaluation team and so it is not possible to assess the extent to which the M&E strategy has been translated into action.

The application of evidence will be guided by a communication and dissemination strategy outlined in the ToC (p. 31), which will include (i) support to technical and scientific communities; (ii) support to processes of knowledge capture and identification of best practice; (iii) support to the capacity building and learning process; and (iv) support to visibility and dissemination activities.

External interviewees expressed a number of views on the kinds of learning that they would wish to see generated by this project, for example: an understanding of the reasons why the project has succeeded or failed in terms of capacities, ownership, incentives, and how this project has been launched within GoP against competing pressures/initiatives; how to build capacity and ownership

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<sup>18</sup> Source: SI-DRM, Program Theory of Change and M&E Strategy, p. 13.

of local stakeholders to use risk information; different toolboxes that take account of the fact that no one size fits all; some details on replication modalities and the challenges to going to scale; and some details on process options. In terms of dissemination channels, interviewees mentioned using peer-to-peer groups and support networks, which are good at getting government and business talking, inter-ministerial conferences, which are good at getting to the specific detail, and regional organisations, which are also good for specific contextual factors.

#### 4.2 Strengths

While the ToC for the project pre-dated that of the HIEP, and as a consequence the structure and terminology has some differences, it appears to be robust and there is significant complementarity in anticipated outputs, behaviour changes, outcomes, and impact. The M&E strategy has also been well formulated and provides confidence that evidence generated by the research will be captured, documented, and disseminated.

#### 4.3 Areas to develop

There is a weakness in gender and inclusion across the ToC and the M&E strategy although there is an ambition to strengthen this in time. Ambitions for engaging an international audience lack clarity (as does the ambition to follow this with a further 5 pilot studies) and it would be helpful to have an indication of the progress that has been made in engaging international interest and the extent to which the Pakistan case study is considered transferable and funding has been secured to permit replication.

#### 4.4 Recommendations

- There is a need to more clearly articulate how the project will measure the differential impact it has on men, women, and other groups.
- The extent to which lessons from the project will be communicated to an international audience has not been clearly outlined in the documentation and the broader aim of embarking on additional pilot studies is also unclear (as opposed to being opportunistic in using funds to superimpose the model in other countries). There would be value in ensuring that ambitions are clear.

### 5. Impact

#### What contribution will the project make to HIEP to aim to build and sustain evidence aware policy and practice by humanitarian organisations?

4.1 Extent to which the project has articulated what change will look like in DFID and key organisations/targets

- Evidence that the project has identified key targets and analysed change needed there for success (within DFID and externally)

4.2 Extent to which the project has gender-sensitive plans to build capacity in Southern actors to be able to access funding for research and also to support, produce, and apply evidence and innovation

- Evidence including plans and resource allocation to capacity building for Southern actors that takes account of gender differences and diversity

### **5.1 Emerging findings**

**(JC4.1)** The project has identified key stakeholders in Pakistan who will benefit from targeted skills development and accompaniment throughout the process. The communication and dissemination strategy contained in the M&E document outlines a variety of means through which national stakeholders will be engaged through briefing notes, publications, newsletters, and social media.<sup>19</sup> There is less clarity on how research findings and evidence will be disseminated internationally and how potential case study countries will be engaged in the process order to build knowledge of the process and demand to be involved in the future. There is no articulation in the documentation or input from the interviews of how DFID will seek to benefit from these changes.

**(JC4.2)** Capacity building of Southern actors, particularly the government and financial institutions, is implicit in the project approach albeit with a focus on strengthening skills for risk assessment rather than on the promotion of research and the application of evidence more broadly. The documentation does not indicate the gender sensitivity of these plans or make any specific statements about how they will seek to document, analyse, or promote gender sensitivity.

### **5.2 Strengths**

The project has identified specific ministries and institutions in Pakistan that it is seeking to influence; a strong emphasis has been placed on skills development of key stakeholders within the country and there is clarity about what change will look like in Pakistan.

### **5.3 Areas to develop**

There is far less information available on how national-level change in Pakistan will be used to promote change elsewhere and there is a lack of clarity about the impact that the project could potentially have on DFID's policies and practice.

### **5.4 Recommendations**

There would be value in DFID more clearly articulating how the project could influence its own investment practices.

## **6. Gender and social diversity**

There is a lack of gender analysis and/or information on the potential impact that the project will have on people affected by disasters in Pakistan. While the DFID proposal speaks of this data becoming available 'in time,' there is little suggestion as to what information will be collected, at what level of analysis, and what the impact of the project could or should be for men, women, and other vulnerable communities.

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<sup>19</sup> Source: SI-DRM, Program Theory of Change and M&E Strategy, p. 31.

## 7. Formative phase conclusions

### 7.1 Dimensions of change

Change areas (Taken from HIEP theory of change)	Summary of the intended changes and the strategy and plans to address this change area
<b>Output 1: <u>High quality and relevant research and evidence products</u></b>  Quality and relevance considers a) scientific rigour; b) extent of engagement with stakeholders; and c) “reach” of outputs/dissemination	The research outputs have a <u>relatively high degree</u> of correlation with those outlined in the HIEP ToC:  Output 1: Increased capacity and systems of National Working Group on risk assessment to produce and share data and information on the risks from natural disasters  Output 2: National financial risk assessment in place that identifies the steps towards the adoption of a national disaster risk financing strategy  Output 3: Innovative research and M&E into how effective the provision of data and information is in the understanding of risk  Output 4: Scaling up of innovative risk management and financing in other countries
<b>Output 2: Relationship and partnership formed or strengthened between DFID divisions and with partner agencies</b>	The project has established links with government institutions, academic institutions, and the private sector and has formed a number of cross-institutional working groups which are being supported to develop tools and deliver the process. The nature of the partnership between GFDRR and DFID is less clear.
<b>Output 3: Relevant individuals have skills to design, commission, and apply humanitarian research</b>	The ToC recognises that in order to achieve its goals the SI-DRM needs to do more than produce a high-quality body of evidence, it also needs to ensure there is a robust process that can build capacity for risk assessment. While the capacity building is targeted specifically at risk assessment, this has the potential to encompass generic research skills.
<b>Behaviour Change 1: Debate of and advocacy for HIEP evidence</b>	The model of change is one of learning by doing, with the active participation of a National Working Group, which includes membership from all relevant line ministries with linkages or responsibilities in DRM. This group will effectively play a ‘championing role’ in addition to supporting ‘knowledge-brokering.’ The project has as a precondition for intermediate-level changes the importance of influencing and active engagement of stakeholders in the areas of science, industry, business, development policy, and practice. It is anticipated that consensus will be necessary amongst these stakeholders to ensure ownership and use of the information (operational actors endorse evidence) (p. 12). These changes offer a good fit with the behavioural changes outlined in the HIEP ToC.
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	
<b>Behaviour Change 4: Funding and operations change</b>	
<b>Outcome 1:</b> International donors, including DFID, develop funding instruments and frameworks for investment into evidence,	Rather than a set of outcomes, the project ToC offers a set of ‘intermediate changes,’ which map on to the project logframe outcomes. These are as follows:

innovation, and its applications	
<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures, and systems to promote the regular integration of evidence into humanitarian and DRM interventions	<p>Changes in the quality, relevance and usability of risk information;</p> <p>Changes in the understanding of disaster risk;</p> <p>Changes in the policy environment;</p> <p>Changes in the way risk information is translated into policy action.</p>
<b>Outcome 3:</b> Policy and practice actors invest in social, economic, and political innovations that focus on benefits for poor people in humanitarian crises	<p>Intermediate change 3 could lead to changes in how investments are supported and thereby new funding instruments (HIEP outcome 1) and investment frameworks for DRR/DRM (HIEP outcome 3), although this is not stated explicitly in the ToC. Changes in actors' skills and behaviours (HIEP outcome 2) should be brought about through all four intermediate changes, but particularly change 2, which should engender a shift in mindsets away from disaster preparedness and response to disaster risk reduction, as well as a change in political will and the commitment of decision-makers around DRM issues.</p>
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning and delivery of humanitarian policies, programmes and practices to manage risks and deliver rapid, effective responses in emergencies	<p>The long-term change anticipated by the SI-DRM project is the integration of risk information into development planning by decision-makers that take informed DRM policy actions and investments to protect human and physical assets, which fits well with the specific aim of the HIEP.</p>

## 7.2 Scoring table at EQ level

Judgement criteria and guidance		
<b>Summary of judgement:</b> Summarise the scoring at JC level in the information grids, e.g.  Strong evidence that the project has responded to needs and opportunities Strong evidence that the project design is appropriate to address identified needs and opportunities Limited evidence that the project fits/harmonises with other relevant institutional, sectoral, and country-based initiatives and opportunities	<b>Strength of evidence:</b> Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans, i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this. a) Verbal/planned strategy (an intention) b) Documented strategy in DFID proposal c) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan) d) Documentation to show being implemented (e.g. annual reviews, reporting, other)	<b>Score and conclusion:</b> Score strength of <u>progress and strategies</u> to ensure relevance/efficiency/effectiveness/impact as: a) High – Detailed strategy with strong evidence of progress or potential to achieve strategy b) Medium – Good strategy with some evidence of progress or potential to achieve strategy c) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy d) None – No strategy in place e) There is not enough evidence to make a judgement
<b>EQ1: Relevance</b>		
<b>Summary of judgement:</b> JC1.1 High – strong evidence that the project has responded to needs and opportunities JC1.2 High – strong evidence that the project design is appropriate to address identified needs and opportunities JC1.3 Medium – some evidence that the project fits/harmonises with other relevant institutional, sectoral, and country-based initiatives and opportunities	<b>Strength of evidence:</b> a – verbal feedback from WB and written feedback from DFID. No input from DFID Lead Advisor, WB/GFDRR in-country project manager, or M&E b – DFID strategy c – documented ToC and M&E strategy d – annual reviews and quarterly report albeit with limited detail on recent progress	<b>Score and conclusion:</b> a) High – detailed strategy with strong evidence of progress
<b>EQ2: Efficiency</b>		
<b>Summary of judgement:</b> JC2.1 – Low – little evidence that the project has	<b>Strength of evidence:</b>	<b>Score and conclusion:</b> c) Low – some evidence exists but it is

optimised use of resources to achieve results JC2.2 – Not enough evidence	a – some feedback from relevant stakeholders which suggest that aspects of VfM have been considered	extremely limited despite the project having been ongoing for some time. There is no evidence of a coherent strategy in place to ensure VfM or regular monitoring
<b>EQ3: Effectiveness</b>		
<b>Summary of judgement:</b> JC3.1 High – strong evidence that project plans to produce HIEP outputs JC3.2 High – strong evidence that strategies are in place to ensure behavioural changes JC3.3 High – strong evidence that project aims contribute to HIEP outcomes and overall aim JC3.4 Medium – some evidence that management approach enables creation, support, and application of evidence and innovation	<b>Strength of evidence:</b> a – verbal feedback from WB and written feedback from DFID. No input from DFID Lead Advisor, GFDRR in-country project manager, or M&E b – DFID strategy c – ToC and M&E strategy d – DFID reports with limited detail provided (no M&E report)	<b>Score and conclusion:</b> a) High – detailed strategy and strong potential to achieve strategy, although there is a lack of tangible monitoring data made available to provide evidence of this
<b>EQ4: Impact</b>		
<b>Summary of judgement:</b> JC4.1 Medium – some evidence that the project has articulated what change will look like in DFID and key organisations/targets JC4.2 High – strong evidence of plans to build capacity in Southern actors to be able to access funding for research and also to support, produce, and apply evidence and innovation	<b>Strength of evidence:</b> a – verbal feedback from WB and written feedback from DFID. No input from DFID Lead Advisor, GFDRR in-country project manager or M&E b – DFID strategy c – ToC and M&E strategy d – DFID reports with limited detail (no M&E report)	<b>Score and conclusion:</b> b) Medium – evidence of capacity development in Pakistan but a lack of detail on transferability and how research evidence will impact on DFID

### 7.3 Learning about process and management

Complete the table below with details of key learning from the project.

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement this area?	What learning can be drawn from these for other contexts?
<b>Relevance</b>	GFDRR's competence and capacity in risk assessment and financing means that it is well placed to distil learning from the past and apply it to the project. DFID's partner selection has played an important role in the encouraging progress made in the project		The importance of a rigorous process of partner identification
<b>Efficiency</b>		The lack of reference to standardised tools for VfM despite many being in existence (and being a prerequisite for DFID funding)	There is scope to agree on a standardised set of definitions and format for all partners to discuss VfM across the project
<b>Effectiveness</b>	Despite the project pre-dating the HIEP, there is a high degree of complementarity in the two ToCs and there is the potential for it to make an important contribution to the programme	The failure of GFDRR to systematically incorporate issues of gender and inclusion into their approach is disappointing given the importance this has to equitable development outcomes	DFID either need to be more explicit about their expectations for gender and inclusion <u>or</u> not accept reports/strategies that fail to meet their standards
<b>Impact</b>	While issues of gender and inclusion are considered to be weak, the capacity building element is more explicit than in other HIEP projects		

## Case Study 2: Expanding the Use of Cash Transfers in Emergency Response

### 1. Introduction

Following a consultation between DFID staff and cash ‘experts’ in January 2013, DFID developed a concept note for the HIEP Management Committee. This identified five problem areas relating to expanding the use of cash transfers:

- Programming cash at scale because the current systems for this have not been tried and tested to the extent that in-kind ones have, are generally slow, cumbersome to set up, and context specific.
- Uptake of evidence. Following the HERR, DFID is committed to considering cash as a relevant modality during emergencies. However, it recognises the need for a combination of guidance and tools for DFID advisers to drive appropriate response analysis and intervention strategies.
- Establishing appropriate institutional frameworks for Cash Transfer Programming.
- Prevention of under-nutrition: the lack of robust evidence demonstrating the impact (causal relationship) of food aid and cash on nutrition outcomes.
- Using longer-term social protection programmes to meet the additional needs that arise in times of crisis through increasing the value of transfers passing through an existing mechanism or increasing the length of time transfers are made.

To address these problem areas, the HIEP is financing the following:

- A systematic review on programming cash at scale. DFID has signed a contract for this but the work has not yet started.
- The Cash Learning Partnership (CaLP) to outline the overall future direction of humanitarian aid and the use of cash within that as well as to develop guidelines and a code of conduct for electronic payments. This had a budget of around £90,000 and is almost complete. DFID proposed and agreed a no-cost extension with CaLP to ensure adequate time to incorporate feedback from the Technical Advisory Group, with an improved final research study agreed by the end of March 2014.
- A research project on whether cash or food aid can prevent acute under-nutrition in emergencies and the role of complementary interventions. This is a three-year project with a budget of around £2 million and will use 3-4 randomised control trials. DFID has contracted a consortium to undertake the work.
- A research project on whether long-term social protection programmes can be used to manage spikes in demand caused by shocks. This is a two-year project with a budget of around £1 million. It will be based on five country case studies. DFID is finalising the Terms of Reference and will be putting it out to tender shortly.

Each of the three research projects financed by the HIEP has a theory of change (in fact, CaLP submitted a separate theory of change for each of the two pieces of work that it was undertaking). However, there is no overarching theory of change for expanding the use of cash in emergencies. Similarly, while a DFID adviser is managing each of the major research projects, there is no lead adviser for the whole of the cash work even though DFID has a policy lead on cash in emergencies, based in the Humanitarian Disaster and Resilience Policy Group in CHASE.

The findings of this case study are based on data collection during January -March 2014. The judgement criteria and indicators draw on those detailed in the evaluation. This included a workshop to discuss the intended changes the projects intended to make: the "most significant change workshop".

## **2. Relevance- How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?**

### **2.1 Emerging findings**

**(JC1.1)** The portfolio of cash transfer work funded by the HIEP sits within business case 2, the greater use of evidence and innovation in humanitarian responses. It mainly addresses the second problem identified by the HIES, i.e., inadequate synthesis and generation of evidence about which humanitarian interventions work best, and new ways to tackle humanitarian problems. While the project on preventing acute under-nutrition focuses specifically on how and when to use food aid, cash, and other assistance to achieve nutrition outcomes, the systematic review will assess and synthesise evidence on the effectiveness and efficiency of cash-based approaches in general. The project on shock-responsive social protection programmes focuses on a new way to address humanitarian problems by examining how to design social protection programmes that can respond to additional humanitarian needs during a crisis. However, the Fit For the Future (FFF) study, financed through CaLP, also addressed problem four of the HIES since part of it focused on the problem of inadequate systems and incentives to use the large body of evidence that already exists on cash transfer programming in humanitarian decisions and responses.

External interviewees (DFID advisers and independent consultants) generally agreed that the HIEP-funded projects are addressing relevant gaps in knowledge. In particular, there is great interest in the idea that existing systems, such as social protection programmes, can be used to deliver humanitarian assistance. One consultant on cash programming described it as a question that is "really on the table." There are studies on the flexibility of social safety net programmes but these have not identified the key design features of such mechanisms. DFID's aim in funding the project is to deepen evidence and make it more robust.

However, the external interviewees believed that the issues being addressed by the HIEP were insufficient on their own to achieve the aim of increasing the use of cash transfers in emergencies. All the external interviewees suggested that the HIEP needed to address practical challenges to undertaking large-scale cash transfer programmes, such as having systems and mechanisms in place to provide cash in a timely way, appropriate decision-making, targeting, and the political economy of the humanitarian system.

The proposal for the nutrition project mentions that it plans to address women's empowerment by targeting assistance programmes at women and then investigating the effects of this. How the social protection project will address gender and social exclusion issues will become clearer during the proposal and inception phases. The FFF study did not address these issues perhaps because it was focused on global-level questions and these issues emerge more naturally at the programmatic level.

**(JC1.2)** The HIEP is investing £5.5 million in the cash research portfolio. The independent consultants interviewed noted that this was a larger-scale investment into research on cash transfers in emergencies than undertaken by other actors, and one commented that the scope of the project is one of the distinctive aspects about it. Within the portfolio, DFID appears to have invested sufficiently in the nutrition and social protection research projects and in the systematic review. Although the study had a technical advisory board, it was designed as a small-scale study with a very

limited budget and timeframe so the team did not have the funding or time to incorporate the feedback that it received. However, the scale of the CaLP study meant that it did not fulfil DFID's expectations though DFID and the Management Committee did express reservations about this.

The social protection and preventing acute under-nutrition projects are putting in place measures to ensure the quality of the research. The social protection project plans two peer review bodies, one internal to DFID and one external. In addition to involving academics in the review of proposals, DFID has required the consortium undertaking the project on preventing acute under-nutrition to establish a steering committee that includes academics so that there is ongoing engagement in research design and a focus on the standard of research. DFID has also included a six-month inception phase at the end of which both parties can stop the project if it becomes clear that it is not feasible.

The cash portfolio as a whole has taken into consideration the applicability of findings across different contexts. The FFF study had a global approach, rather than focusing on specific contexts, so its findings are applicable across a broad range of emergency situations. The nutrition project is focusing mainly on chronic crises (though it will include one rapid-onset emergency), but the aim is to identify common principles for the design of effective food assistance packages to prevent acute under-nutrition. DFID also expects the research consortium to use a common research approach across contexts in order to be able to generalise findings. For the social protection project, DFID is planning for discussions that bring in findings from other relevant work so that there is broader engagement with the findings from the HIEP-funded project.

According to the proposal for the nutrition project, results will be disaggregated by gender and locally relevant risk factors such as socio-economic status, race, religion, and ethnicity. The social protection project is at too early a stage to assess whether data sets will be disaggregated. Although DFID has had some initial discussions with the World Bank and UNICEF as key partners for the social protection project, they have not been involved in the design of the research. The nutrition project also did not involve potential users in research design. CaLP shared an outline of the proposed case studies that were part of the FFF study with the technical advisory board, which included representatives of potential users, such as aid agencies and donors, but was only able to incorporate a limited amount of feedback.

**(JC1.3)** There are several ways in which the HIEP's portfolio of cash projects will link to initiatives and activities within DFID. Since cash will have a prominent position with the policy refresh underway in CHASE, the outcome of the CaLP FFF study should inform this. The policy refresh will be completed after the general elections in 2015 so the early findings from the other projects in the portfolio should also feed into it. DFID has already produced a guidance note for staff members on cash transfer programming, which includes its position on the topic. Findings from the social protection project will help to inform the work of around 15 DFID country offices that are involved in bilateral social protection programmes and the Africa Regional Department's Sahel programme. The nutrition project fits in with a wider research agenda within DFID, undertaken by the nutrition team as well as RED. In addition, DFID is financing research on Value for Money (VfM) metrics for cash transfer programmes and a study on cash and gender and protection through other mechanisms. These studies should complement the HIEP-funded portfolio and help to build up a substantial body of evidence around cash-based programming within DFID.

The nutrition and social protection projects have also planned to link to external initiatives, with US Office of Foreign Disaster Assistance (OFDA) funding the research institute undertaking the nutrition research to conduct a similar but smaller-scale study. The HIEP-funded project should benefit from this study. The social protection project will have close links with the World Bank's Rapid Social

Response Fund and Sahel Resilience Programme, both of which are funded by DFID. DFID also plans to use the project to ensure that the World Bank's tool to assess and benchmark social protection systems across countries addresses the shock-responsiveness of the systems.

DFID CHASE has produced a Humanitarian Guidance note for Humanitarian Advisers to provide a quick technical introduction to cash transfers and as an aid to decision-making.

## **2.2 Strengths**

The main strength of the overall portfolio is that it aims to expand the use of cash transfers in emergencies, which is proving to be a major challenge, despite the existence of a growing body of evidence that cash can be an appropriate response in many contexts. One way in which it is doing this is by strengthening the evidence base so that it is easier to make the case for cash to Ministers and senior decision-makers within DFID. Also, the social protection and preventing acute under-nutrition projects are seeking to ensure that findings are as generalizable as possible, with the social protection programme deliberately shifting away from the examples of Ethiopia and Kenya, which have been used repeatedly by previous research, to focus on the Sahel as well as additional contexts.

## **2.3 Areas to develop**

Although DFID developed an overarching concept note for the cash portfolio financed by the HIEP, there is no lead adviser for this portfolio and there does not seem to be a clear vision for how the separate projects will add up to a coherent whole. In fact, the 'most significant change' workshop was an opportunity for the advisers managing the separate projects to share ideas and information. While external interviewees agreed that the HIEP-funded research projects are relevant and interesting, most argued that evidence should be the first step in a process of moving the humanitarian system from providing sector-based, in-kind assistance to using a multi-sectoral tool like cash. Two external interviewees, including a DFID adviser, argued that there is sufficient evidence around cash-based programming for decision-makers. The challenge with providing cash transfers on a large scale lies with bottlenecks in the humanitarian system and ensuring that systems are in place to provide cash where it is an appropriate response. Therefore, DFID needs to put in place a strategy to use the evidence produced from the research projects to push for major changes within the humanitarian system in order to achieve the overall aim of increasing the use of cash transfers.

## **2.4 Recommendations**

The HIEP could strengthen its work on expanding the use of cash in emergencies by ensuring that:

- It addresses the practical reasons why cash is not used to the extent that it is appropriate, despite a relatively large body of evidence. These include understanding incentives and the political economy around cash programming, changing the systems of delivery organisations, dealing with the sensitivities around the risks associated with cash, and ensuring that aid agencies are sufficiently prepared to provide cash transfers when a crisis occurs.
- Research partners integrate gender and vulnerability considerations into the design of the projects. The social protection project could incorporate research into gender dynamics at household level to better understand the impact of cash transfers through social protection programmes in addressing vulnerability.
- DFID strengthens the capacity of its own advisers to make appropriate decisions on cash programmes and uses its funding to promote cash transfer programming when

appropriate. While the findings from the research projects will help to strengthen DFID's financing of cash for particular types of programmes or through certain types of mechanisms, interviewees felt sufficient evidence already exists for DFID to increase its funding for cash transfer programmes.

- The study on value for money does not fall into the trap of focusing on cash versus a single sector, such as food, but considers the whole range of assistance that recipients can use cash to purchase. Although it is extremely difficult to measure the benefits of dignity and choice that cash offers, these should also be considered in a VfM assessment.

### **3. Efficiency : To what extent and how has the project delivered value for money (VfM)?**

#### **3.1 Emerging findings**

**(JC2.1)** There is evidence that some of the projects in the cash portfolio have taken account of value for money in planning and procurement. The concept notes for the nutrition and social protection projects mention value for money considerations, including the use of an open procurement process. For example, the social protection concept note includes an indicative budget based on the costs of previous research programmes. DFID also expects that a relatively small investment of £1 million will enable it to generate findings that then influence a large amount of funding on social protection programmes.

The nutrition project is based on the assumption that “improving the effectiveness of food assistance packages from a nutrition perspective” will improve the value of DFID's investment in such interventions and reduce the need to fund more expensive programmes to treat acute under-nutrition. The project aims specifically to address the gap in evidence about the value for money of different approaches. During the procurement process, DFID's Procurement Group assessed the commercial component of proposals separately (while technical reviewers assessed the technical component). Each side was able to see the other component only after they had been scored. The commercial part of the proposal for the nutrition project outlines the ways in which the research consortium offers best value for DFID, including economies of scale across the consortium members and a more cost-efficient research process since one or more of the partners have an existing presence in the case study countries.

The social protection project shows the greatest consideration of alternative management and implementation arrangements, outlining four options and presenting a rationale for the choice made. The nutrition project concept note provides a good justification for the choice of a consortium to conduct the research but does not examine alternative management arrangements. By comparison, the section on value for money in CaLP's proposal was weak and the concept note on the systematic review makes no reference to value for money. CaLP's proposal included a justification for how the research would be undertaken but did not discuss alternative management arrangements.

The theory of change outlined in the proposal for the nutrition project outlines potential changes resulting from cash transfers to women, such as an increase in household income and women's income control. The inception report may provide further details of systems and processes to track these potential changes. The social protection project had not been put out to tender so, again, it was too early to tell whether its management and implementation will have systems and processes to address gender equality and other equity issues. Gender and other equity issues were not a major consideration in the CaLP FFF study since this was focused on global questions related to humanitarian trends and the role of cash transfers broadly.

While the social protection project does not envisage leveraging funds from other donors, the nutrition project is doing this to some extent because DFID is not funding the interventions that the two operational members of the consortium will be undertaking (which will then form the basis of the research). It should also benefit from OFDA funding for a similar, smaller-scale project. For the FFF study, CaLP used some of its ongoing funding from ECHO and combined it with the funds from DFID.

For most components of the cash transfer project, it is too early to tell whether budget-monitoring systems are in place although DFID requires quarterly reporting from its partners as standard. In the case of the FFF study, DFID monitored expenditure as part of its overall monitoring that the project was on track to deliver outcomes of a quality that DFID expected. Towards the end of 2013, CaLP requested a no-cost extension, which DFID granted.

**(JC2.2)** From the limited documentation currently available, there is no evidence of the need to consider trade-offs between short- and long-term results.

### **3.2 Strengths**

The two largest components of the HIEP-funded cash portfolio have taken account of value for money considerations, not focusing simply on economy but also on effectiveness (the fact that findings will influence a large amount of social protection spending or improve the value of DFID investments in preventing acute under-nutrition).

### **3.3 Areas to develop**

There is currently no evidence of a focus on equity as part of VfM considerations nor do there appear to be mechanisms to track results systematically against a VfM framework but the two main projects are still at a very early stage.

### **3.4 Recommendations**

Once DFID has selected a research partner for the social protection project, it should ensure that the partner gathers disaggregated data on gender and how the social protection systems under consideration target different types of vulnerable groups.

## **4. Effectiveness: To what extent and how has the project ensured the creation, support, and application of high quality and relevant humanitarian evidence and innovation?**

### **4.1 Emerging findings**

**(JC3.1)** Each of the HIEP-funded activities in the cash portfolio will produce reports describing the evidence generated. The commercial proposal for the nutrition project states that the consortium will produce “modified short research case studies in English, French, and Spanish for improved uptake.” DFID has also commissioned a systematic review of evidence on scaling up cash transfer programming in emergencies.

The social protection project appears to have given most thought to sharing evidence and building or using existing cross-institutional relationships. Internally, the project team can use DFID ‘theme’ sites on social protection and cash transfers to share learning and alert staff members to new documents. Externally, DFID is considering big meetings at which it could present and disseminate findings from the social protection project through humanitarian networks. More broadly, DFID is working to ensure that cash transfer programming is one of the key topics discussed at the World Humanitarian Summit in 2015.

The proposal for the nutrition project outlines a research uptake strategy that includes involving key stakeholders at the global level in a virtual Research Interest Group. The consortium also plans to identify key stakeholders at country level and develop the capacity of these stakeholders to use the research findings, if necessary.

By funding CaLP to undertake research projects, DFID was aiming to tap into its extensive network. However, DFID is still in the process of discussing with CaLP how it will review the FFF study and disseminate it. Members of the technical advisory board, including DFID, may also play a role in promoting the findings from the study but this is likely to depend on the extent to which the study has incorporated the board's feedback and the members feel that the study is a credible one.

DFID plans to engage with other donors to form cross-institutional partnerships to support the greater use of cash in emergencies. It has already had a discussion with ECHO about broader collaboration that included support for cash programming. However, it is waiting for the outcome of the policy refresh before engaging with a broader range of donors. While DFID is planning for the Secretary of State to make an announcement that will support the use of cash in April-May 2014, the revised policy will probably not be in place till after the general elections in 2015. This means that there will be a delay in DFID's engagement with other donors although there is great interest from donors such as Switzerland, which has supported emergency cash transfer programmes for many years. The Swiss Development Cooperation would also be interested in learning how to convince operational decision-makers to make greater use of innovation and evidence.

At present, there is no evidence of plans for gender and social exclusion analyses to inform the outputs from the nutrition or social protection projects. It is not clear whether the systematic review will examine the extent to which evidence on scaling up cash transfer programming is based on analyses of gender and social exclusion. As noted earlier, gender and social exclusion were less relevant for the FFF study.

**(JC3.2)** The DFID advisers who are managing the various components of the cash portfolio as well as the policy lead on cash are clearly champions who will use the evidence generated from the research to advocate for the increased use of cash transfer programming. However, DFID does not appear to have identified external champions for the evidence, perhaps because it is waiting for the conclusion of the policy refresh process.

As noted in section 2.1, DFID intended CaLP to validate the findings from the FFF study and disseminate them through global and regional level learning events, thus playing a knowledge-brokering role. However, DFID was still in discussion with CaLP about plans for dissemination.

When the social protection project has developed early case study findings, DFID is planning to bring together key actors, including those working in countries that are outside the project (such as Indonesia, Kenya, and Ethiopia). This would be a technical discussion about how to take things forward so that they can inform any guidance emerging from the research. This should help to ensure that operational actors endorse the evidence generated. UNICEF and the World Bank are the two key players for the social protection project and have their own communities of practice. So, by working through its partners, DFID is planning to increase its reach, particularly in countries where it is not present.

One DFID adviser noted that there is already sufficient evidence around cash transfers in emergencies available for decision-makers so this should not be a barrier to DFID's funding. Though

there are evidence gaps such as the cost-effectiveness of cash versus in-kind contributions and regarding delivery systems there is significant evidence regarding the effectiveness of cash transfer programming. Therefore, rather than wait for the outcome of the HIEP-funded projects, DFID has already produced a guidance note on financing cash transfer programmes. In addition, the nutrition and social protection projects should result in the development of guidance for designing food assistance packages and shock-responsive social protection programmes and systems. These should help to ensure that DFID's funding is based on evidence.

**(JC3.3)** As noted above, DFID intends to engage with other donors with the aim of increasing funding for cash transfer programming. While this may result in investments in new technology for cash transfers, there is no explicit plan to increase investments in innovation.

External interviewees highlighted that the aim of increasing the use of cash transfers in emergencies will require changes in the skills and systems of aid agencies in order to shift from in-kind to cash-based assistance. However, bringing about these changes is a challenge for DFID. During the 'most significant change' workshop, DFID advisers managing the cash projects believed that the HIEP should promote a change in the roles and responsibilities of aid agencies. However, although DFID has multiple links to key actors such as WFP, the advisers felt that it was very difficult to bring about change within these organisations even though DFID is a powerful donor with substantial funding. Available documentation on the cash portfolio does not demonstrate links to other HIEP-funded projects, nor did DFID advisers managing the components of the portfolio refer to other HIEP projects when outlining links to initiatives within DFID.

**(JC3.4)** While the social protection and nutrition projects have fairly clearly articulated theories of change, there is no evidence that they have planned to put in place systems to measure change (although DFID monitors progress with project implementation through quarterly reports). This may be because the theories of change will be refined during the inception phase of the projects and DFID is relying on its partners to put in place the necessary systems.

DFID has a number of mechanisms in place to promote the sharing of information and internal learning. For example, the social protection team has a community of practice that covers country offices and regional departments. DFID staff members can also organise lunchtime sessions at various points in a research project to enable others to engage with emerging findings.

#### **4.2 Strengths**

DFID has plans to establish cross-institutional partnerships in order to promote the evidence from components of the cash portfolio and to engage with donors to increase funding for cash transfer programmes. The social protection project also plans to involve operational actors at an early stage in endorsing the findings from the project.

#### **4.3 Areas to develop**

Bringing about changes in the skills and systems of key aid agencies to ensure that they shift to the use of cash-based approaches when appropriate is clearly a challenge for DFID, so it will need to develop a strategy, potentially in partnership with other donors, for bringing about this change.

#### **4.4 Recommendations**

External interviewees highlighted the importance of short briefing papers and/or case studies that would help them to apply the findings of the HIEP-funded research projects. One also pointed to workshops as a valuable way to learn and exchange information with others. DFID should take this into consideration when working with research partners on dissemination strategies.

## **5. Impact : What contribution will the project make to HIEP to aim to build and sustain evidence aware policy and practice by humanitarian organisations?**

### **5.1 Emerging findings**

**(JC4.1)** DFID's policy work-stream paper on scaling up the use of cash in emergencies perhaps best articulates what changes need to be brought about within DFID and how DFID can play a leadership role internationally, which are expressed in the form of activities. During the 'most significant change' workshop, DFID identified the reasons why cash is not regarded as a viable response option in most emergencies even though it has gone past the proof of concept stage. It also identified what needs to change, e.g., the response model of humanitarian agencies; systems within aid agencies, which need to adapt and be updated; organisational preparedness to do cash programmes; acceptance of risk by donors and aid agencies. The suggested ways to bring about these changes, such as donors identifying acceptable risk or donors aligning to get implementing partners to review their response model, are not new. The challenge for DFID and other actors seeking to expand the use of cash transfers is that of bringing about systemic change. Perhaps the critical component missing from the analysis is the political economy of the current aid system and whether there are adequate incentives to change.

**(JC4.2)** Perhaps the greatest weakness of the HIEP-funded cash portfolio is that there is limited evidence of engagement with Southern actors and plans to build their capacity. CaLP's FFF study tried to examine the role of national governments in emergency cash transfer programmes but found it very difficult to contact suitable respondents, perhaps because the study was desk-based. While the operational members of the consortium undertaking the nutrition project have local partners, their involvement in the design of the research is likely to be very limited. While DFID could work with the consortium to examine how to bring in other actors such as local academics or local authorities, it expects a minimal impact on Southern actors. The consortium's research uptake strategy does mention that it will work with actors at country level but these will be specified in the inception report. Since the social protection project is not yet underway, it is too early to know the extent to which it will engage with Southern actors.

### **5.2 Strengths**

DFID has articulated the changes that it wants to bring about in relation to the use of cash transfers in emergencies and advisers managing the components of the portfolio have a good understanding of the blockages to achieving the changes.

### **5.3 Areas to develop**

One of the challenges with expanding the use of cash transfer programming is that discussions tend to focus on the "usual suspects" and be amongst international actors. The lack of plans to engage with Southern actors is a weakness of the portfolio at present.

### **5.4 Recommendations**

Since the nutrition and social protection projects are still at an early stage, it would be helpful for DFID to work with its research partners on how best to widen the discussion and engage with Southern actors. Governments will be particularly relevant for the social protection project but it would be useful to identify other relevant actors such as local NGOs and Southern academics.

## **6. Gender and social diversity**

There is very little evidence of gender and social diversity considerations in the cash portfolio at this stage but it will be helpful to revisit this in the later stages of the evaluation.

## 7. Formative phase conclusions

Although there is a substantial body of evidence around cash transfers in emergencies, DFID has identified important and relevant gaps and is addressing these both through the HIEP-funded projects and projects funded outside HIEP. While there does not seem to be a clear vision of how the projects in the cash portfolio complement each other and will work together to increase the use of cash transfers in emergencies, the HIEP-funded activities are linked to other cash-related work within DFID. The nutrition and social protection projects are putting in place measures to ensure the generalizability of findings and to assure the quality of the research. This should enable them to avoid the challenges that DFID faced with Fit For the Future study financed through CaLP, which did not deliver according to DFID's expectations. The social protection project is the most carefully planned one in the portfolio since it has weighed up different management options and considered various ways to disseminate research findings.

DFID is undertaking the cash research at a time when it is preparing to take a strong policy position on cash so there is a potential for the HIEP-funded activities to influence change within DFID and DFID has already produced a guidance note for advisers. A policy refresh is underway and a clear policy position will strengthen DFID's ability to engage with other donors and key partners.

Currently, the cash portfolio has two areas of weakness. The first is that it is not tackling the systemic changes required to deliver cash transfer programmes when they are appropriate or dealing with issues of incentives. The second is engagement with Southern actors, which has not yet been built into the design of the research projects.

### 7.1 Dimensions of change – mapping the project to the HIEP theory of change

The table below includes all the dimensions of change detailed in the HIEP theory of change and summarises the extent to which the project aims to address these and current plans to enable change.

Change areas (Taken from HIEP theory of change)	Summary of the intended changes and the strategy and plans to address this change area
<b>Output 1. High quality and relevant research and evidence products</b>  Quality and relevance considers a) scientific rigour; b) extent of engagement with stakeholders; and c) "reach" of outputs/dissemination	The proposal for the nutrition project outlines plans to use rigorous methods such as cluster RCTs and longitudinal cohorts. The concept notes for the nutrition and the social protection projects state the aim of drawing out common design principles. The concept note for the social protection project details plans for peer review bodies for quality assurance while the nutrition project proposal mentions establishing a Research Interest Group. The concept notes for the social protection project and the nutrition project proposal outline plans to engage with key stakeholders to disseminate findings although there is limited evidence of engagement with Southern actors.
<b>Output 2: Relationship and partnership formed or strengthened between DFID divisions and with partner agencies</b>	The policy work-stream paper lists the stakeholders with which DFID will engage on cash. Interviews with DFID advisers highlighted that it is in discussion with ECHO as well as the World Bank and UNICEF as key

	partners for the social protection project. The HIEP portfolio of projects is bringing together advisers from the social protection team, the nutrition team and CHASE.
<b>Output 3: Relevant individuals have skills to design, commission, and apply humanitarian research</b>	<p>The concept notes show that DFID staff have the skills to design research. The commissioning process for the nutrition project appears to have gone smoothly but there were challenges with the FFF study.</p> <p>Building skills to apply research is an implicit aim of the project but not explicitly articulated or funded at present.</p>
<b>Behaviour Change 1: Debate of and advocacy for HIEP evidence</b>	The social protection project concept note and interview with the project manager demonstrate plans to promote debate of and advocacy for HIEP evidence. The proposal for the nutrition project had a brief outline of a research uptake strategy but this is likely to be detailed further in the inception report. CaLP reports show that it supported debate of the evidence from the FFF study by organising two findings meeting during the study. The study also had a technical advisory group representing potential users.
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	Interview indicated that DFID had hoped to use CaLP's to broker evidence emerging from the FFF study and disseminate it through its network. However, discussions regarding this were ongoing.
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	The social protection project concept note and interview with the project manager demonstrate plans to engage with operational actors as findings emerge to get their endorsement.
<b>Behaviour Change 4: Funding and operations change</b>	DFID has started discussions with ECHO and has plans to engage with other donors to increase funding for cash transfer programming. However, this may be delayed if DFID waits for a revised policy on CHASE. For its own funding, DFID has developed a guidance note for humanitarian advisers on financing cash transfers.
<b>Outcome 1:</b> International donors, including DFID, develop funding instruments and frameworks for investment into evidence, innovation, and its applications	See BC4. There is no explicit reference to increasing investment into evidence and innovation.
<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures, and systems to promote the regular integration of evidence into humanitarian and DRM interventions	The policy work-stream paper outlines the institutions in which DFID expects to see change and how it plans to engage with them. However, the 'most significant change' workshop made it clear that these traditional forms of engagement are insufficient to bring about the desired changes.

	DFID's aim is to "Work with partners to ensure cash based responses are given full consideration and where appropriate become much more widely adopted."
<b>Outcome 3:</b> Policy and practice actors invest in social, economic, and political innovations that focus on benefits for poor people in humanitarian crises	The documentation does not refer to investments but the theories of change for the nutrition and social protection projects have the reduction of the impact of shocks on households as outcomes.
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning, and delivery of humanitarian policies, programmes and practices to manage risks and deliver rapid, effective responses in emergencies	While DFID's aim with the cash portfolio is to increase the use of cash transfers in emergencies by strengthening the evidence base, external interviewees have argued the barrier is not a lack of evidence but a range of other issues around risk, systems for the delivery of cash, and incentives within the humanitarian system.

## 7.2 Project assessment

EQ1: Relevance		
<b>Summary of judgement:</b> JC1.1 Medium – Strong evidence that the project is responding to relevant evidence gaps but this is insufficient on its own to achieve the stated goal JC1.2 Strong evidence that the project is of appropriate scale, that it has planned for transferability of research findings and put in place mechanisms to ensure quality of research process JC1.3 Strong evidence that the project fits/harmonises with initiatives and activities within DFID and externally	<b>Strength of evidence:</b> JC1.1 a) Project concept notes and triangulated interviews JC1.2 a) Project concept notes and interviews b) Proposal for nutrition project JC1.3 a) Concept notes and interviews	<b>Score and conclusion:</b>  Medium – Strong concept notes and proposal for nutrition project but also c) lack of clear plans for bringing about needed changes within humanitarian system
EQ2: Efficiency		
<b>Summary of judgement:</b> JC2.1 Some evidence that economy and efficiency taken into consideration JC2.2 No evidence of need to consider trade-offs between short- and long-term results	<b>Strength of evidence:</b> a) Concept notes for nutrition and social protection projects b) Commercial proposal for nutrition project, including budget	<b>Score and conclusion:</b> At present, there is not enough evidence to make a judgement since only the budget and proposal for the nutrition project were available. The quarterly reports for the CaLP project provide very little information related to VfM.
EQ3: Effectiveness		
<b>Summary of judgement:</b> JC3.1 Strong evidence of evidence products and building cross-institutional relationships and partnerships JC3.2 Some evidence of champions for advocacy and plans for networks to broker knowledge, for operational actors to endorse evidence and for DFID to increase its funding JC3.3 Limited evidence that the project will result in new funding instruments, changes in actors' skills,	<b>Strength of evidence:</b> JC3.1 a) Concept notes for nutrition and social protection projects, policy work-stream paper, interviews b) Proposal for nutrition project d) Reporting on CaLP project JC3.2 a) Interviews, policy work-stream paper, and concept note for social protection project b) Guidance note on cash for DFID humanitarian advisers JC3.3 a) Interviews and 'most significant change' workshop, concept notes	<b>Score and conclusion:</b>  Medium – Some good plans in place and some potential to achieve strategy

behaviour and culture, and investment in innovation JC3.4 Limited evidence of management tools to progress in theories of change and of learning mechanisms	JC3.4 a) Project concept notes and interviews b) Proposal for nutrition project d) Reporting on CaLP project	
<b>EQ4: Impact</b>		
<b>Summary of judgement:</b> JC4.1 Some evidence that the project has analysed key targets and changes needed for success. However, DFID has not set out a clear strategy for achieving the systemic changes required JC4.2 Limited evidence of plans to engage with, and build the capacity of, Southern actors	<b>Strength of evidence:</b> JC4.1 a) Policy work-stream paper, ‘most significant change’ workshop, interviews JC4.2 a) Project concept notes and interviews b) Proposal for nutrition project d) Reporting on CaLP project	<b>Score and conclusion:</b> Low – DFID is aware of the changes that it wants to bring about and the targets for change but has not articulated a clear strategy for achieving systemic change

### 7.3 Learning about process and management

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement in this area?	What learning can be drawn from these for other contexts?
Relevance	DFID consulted internal and external stakeholders before developing the concept note. Two DFID advisers are very knowledgeable about cash transfer programming while the other two have expertise in the technical areas in which they are commissioning research.	The barriers preventing the increased use of cash are systemic or relate to organisational systems and incentives for change, rather than a lack of evidence.	
Efficiency	DFID's Procurement Group specialises in examining the VfM aspect of commercial proposals.	With the exception of the social protection project, the projects do not seem to have considered alternative implementation approaches. This would have been helpful in the case of the CaLP project. DFID does not require partners to put in place systems to address gender equality and other equity issues.	DFID could be more systematic about requiring partners to put in place systems to address gender equality and other equity issues and also to collect disaggregated data.
Effectiveness	Engagement with key partners, particularly in the social protection project.	Lack of a clear vision of how to bring about the required changes within partner organisations and lack of a plan to engage with actors who are not "the usual suspects." Currently, DFID does not seem to know how best to monitor progress towards change, particularly for longer-term outcomes and impact.	When developing theories of change, DFID could focus more on what it needs to do to bring about desired changes and how it can use its influence.
Impact	DFID's paper on the policy work-stream on scaling up the use of cash articulates the activities needed to bring about change within DFID.	No plans to engage with Southern actors. A lack of analysis of the political economy of the humanitarian system, which is geared towards the provision of in-kind assistance.	

## Case Study 3: Research for Health in Humanitarian Crises (R2HC)

### 1. Introduction to case study

This case study is based on a review of R2HC programme documentation including the proposal, papers documenting the process for the first call for grants for example guidelines for grantees, and early outputs such as the crucial R2HC review. Towards the end of the evaluation process we also had access to the list of the first round of grantees. The case study is also based on interviews with internal stakeholders: the two lead DFID advisers, with the lead on R2HC in the Wellcome Trust, the R2HC Programme Manager at ELRHA, and a separate group meeting with the programme manager, the former director of ELRHA, who had been involved in early programme design and is now on maternity leave, and the current director of ELRHA at the ELRHA offices in Cardiff. It was not possible to conduct a workshop due to availability and the location of staff in different cities. We also interviewed the head of the R2HC funding committee, from UNHCR, who we consider to be a partly internal and partly external stakeholder, as well as three additional external stakeholders.

The findings of this case study are based on data collection during mainly January -March 2014. The judgement criteria and indicators draw on those detailed in the evaluation matrix.).

R2HC's declared aim is 'to increase the level and quality of collaborative research on recognised public health challenges in humanitarian crises occurring in low- and middle-income countries, leading to improved health outcomes through cost-effective humanitarian interventions.' R2HC was launched in June 2013. A total of £6.5 million will be available until the end of 2016, with the Wellcome Trust contributing half, and with ELRHA overseeing the programme's execution and management.

The programme provides grants (average size of bids so far £340,000) to partnerships between humanitarian actors and academic researchers. Grants are of two types:

1. **Core grants:** This is the main research fund. The first research call for proposals was announced at a series of town hall meetings in London, New York, Delhi, and Nairobi in June and July with 152 participants from 29 countries. 100 applications were received from 32 different countries. Following an eligibility screening and review, 30 applications were invited to go forward to the second stage of application.
2. **Rapid response grants:** This is an innovation based on a model from earthquake science and from the ESRC's Urgency Grants for social science data collection during urgent unforeseen events, but not practiced by any other funders in humanitarian health. It allows for pre-approval of research teams to deploy to the field at the heart of a humanitarian disaster. The call for proposals for the Rapid Research grants went out in October and the closing date for full proposals was 22 January.

Both had a two-stage process, with an initial short listing, and an offer of seed funding of up to £10,000 for applicants selected to go forward to the subsequent full application stage. Both the calls were open calls, with any areas of health – including communicable diseases, non-communicable diseases, WASH, mental health, nutrition, psychosocial health – and all types of research methods eligible to bid. The results of both calls were decided by the programme's funding committee in March. The list of funded grantees in both categories from the first round was available only at the end of the formative evaluation process, and is summarised below. We have not been able to contact these grantees or conduct a detailed analysis of how the programmes map onto different research types, geographic locations, and types of partnerships, due to the timing of the formative stage. However, R2HC is investing in conducting such analysis itself, so we expect to be able to draw on R2HC's own analysis at the next stage of the evaluation.

**R2HC Grantees from round 1: Core Grants**

<b>Number</b>	<b>Lead and Partner Organisations</b>	<b>Project name</b>
<b>1</b>	<b>Lead:</b> WHO; <b>Partners:</b> Post Graduate Medical Institute, Lady Reading Hospital; University of Liverpool and Human Development Research Foundation; University of New South Wales, Institute of Psychiatry, Rawalpindi Medical College, Vrije Universiteit Amsterdam	Effectiveness and cost-effectiveness of simplified psychological support in conflict-affected Pakistan
<b>2</b>	<b>Lead:</b> Johns Hopkins School of Public Health <b>Partners:</b> Massachusetts Institute of Technology (MIT) and the International Organization for Migration (IOM)	Non-Communicable-Diseases guidelines and health records for refugees in Lebanon
<b>3</b>	<b>Lead:</b> National Foundation for the Centers for Disease Control and Prevention <b>Partners:</b> Oxfam GB and UNHCR	Alternative sanitation in protracted emergencies
<b>4</b>	<b>Lead:</b> Save the Children UK <b>Partners:</b> London School of Hygiene and Tropical Medicine and Laboratoire d'Études et de Recherche sur les Dynamiques Sociales et le Développement Local (LASDEL) in Niger	Effectiveness of an integrated humanitarian response delivery model in Niger
<b>5</b>	<b>Lead:</b> World Vision International <b>Partners:</b> Columbia University	Longer-term mental health, developmental, and systems impact of CFS interventions in humanitarian emergencies
<b>6</b>	<b>Lead:</b> Johns Hopkins Bloomberg School of Public Health <b>Partners:</b> UNHCR, Muhimbili University of Health and Allied Sciences, University of New South Wales, and Tanzania Red Cross	Evaluating an integrated approach to intimate partner violence and psychosocial health in refugees

**R2HC Grantees from round 1: Rapid Response Grants**

<b>Number</b>	<b>Lead and Partner Organisations</b>	<b>Project name</b>
<b>7</b>	<b>Lead:</b> Epicentre/Médecins Sans Frontières <b>Partners:</b> Brown University	Regional anaesthesia for painful injuries after disasters (RAPID) study
<b>8</b>	<b>Lead:</b> Institute of Behavioral Science, Natural Hazards Center, University of Colorado <b>Partners:</b> TPO-Nepal and SLM-Haiti	Enhancing community resilience in the acute aftermath of disaster: evaluation of a disaster mental health intervention

In addition to its grant-making activities, R2HC is involved in reviewing the evidence for humanitarian health interventions and developing ethical guidelines. One evidence review has already been produced that analyses where the existing evidence is concentrated and where the gaps are, and there will be a further forthcoming study to review and analyse the findings from existing research. One review of research ethics in humanitarian research has been produced but requires more work to be used for its original intention – to be actionable by research programmes funded under R2HC.

R2HC has 3.5 FTE staff, spread across five people.

## **EQ1 – Relevance : How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?**

### ***Emerging findings***

#### ***Judgement criterion 1.1: Extent to which the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation.***

(Indicator 1.1.1 **Evidence that the project addresses one or more of the four HIES problems**): R2HC is aimed at problem two identified by HIEP: ‘Inadequate synthesis and generation of evidence about which humanitarian interventions work best, and new ways to tackle humanitarian problems,’ although it also indirectly addresses problem four: ‘Inadequate systems and incentives to integrate evidence production and use routinely in humanitarian decisions and actions.’ As one respondent put it, the programme is responding to an ‘old need’ and an old problem in the humanitarian sector whereby ‘public health intervention in humanitarian crises was also seen as a self-evident good and that even if you did research on ‘what works,’ it wouldn’t matter what you found, you should go ahead with the intervention anyway.’ Now, there is more realisation that any help is not necessarily better than no help and this programme would help to generate evidence to support decision-making with this realisation in mind.<sup>20</sup>

Importantly for JC1.1, R2HC has taken steps to ensure it is responding to an informed analysis of the evidence gaps, having commissioned an evidence review that focussed in the first instance on analysing where the evidence exists in humanitarian health. This review found that:<sup>21</sup>

Interventions for some health topics require further evidence on their actual effectiveness (e.g. GBV and mental and psychosocial health) whereas other topics require evidence on the most effective way of delivering the health intervention (e.g. injury & rehabilitation, WASH, NCD, SRH), while nutrition and communicable disease control tend to require evidence on the effectiveness of some interventions and also evidence on the most effective way of delivering others types of interventions.

(Indicator 1.1.2) Evidence that the project has the potential to provide new insights, e.g. asks new questions or applies them to new contexts): The programme’s activities sit mostly within, and are squarely targeted at, HIEP’s output one: HIEP generates high quality and relevant research and evidence products and to some extent also address output two: Relationships and partnerships formed or strengthened between DFID Divisions and with partner agencies. It represents a significant investment in partnerships between researchers and practitioners that are new in the field of humanitarian health.

**JC1.2: Extent to which the project design is appropriate to address identified needs and opportunities:** The size and scope of the programme cannot address the need for more evidence alone, but is an appropriate and substantial investment in health research in humanitarian crises and was described as such by all our interviewees, both internal and external.

**JC1.3: Extent to which the project fits/harmonises with other relevant institutional, sectoral, and country-based initiatives and opportunities:** There is good evidence that R2HC fits and harmonises with other institutional initiatives; it is managed by ELRHA, which also manages the HIF, and it is co-funded by the Wellcome Trust, which is a major research funding actor in this area. There may be room for more harmonisation with country-based initiatives and with other DFID-supported programmes such as 3ie.

<sup>20</sup> 13/03/2014

<sup>21</sup> Blanchet, Karl & Roberts, Bayard (2013) *An Evidence Review of Research on Health Interventions in Humanitarian Crises*, London School of Hygiene and Tropical Medicine.

As regards indicators 1.1.3 and 1.2.4 (Evidence that project has addressed gender and other aspects of social exclusion, and evidence of disaggregation of populations and data sets appropriate to address the need identified), the full extent to which the first round of grants addresses gender and social exclusion can only be assessed after when successful grantees enter inception – at which point it will be possible to conduct an analysis of how many grantees address these areas either through their research questions and or through appropriately disaggregating data. There was nothing formal in the guidelines for applicants in the first call about disaggregation of data, vulnerable groups or equity, however, this was not demanded by DFID or Wellcome.

### ***Challenges and Areas to Develop***

**JC1.1** (as outlined above: Extent to which the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation): There was some difficulty with sequencing, as the final draft of the evidence review was only available after the call for expressions of interest went out. This is quite common and an early draft was available to inform the call. The review looked only at evidence gaps in the first instance and a second review will look at the research findings. R2HC opted for an open call rather than one that highlighted particular gaps identified in the review. All internal respondents said they thought this was the right decision, emphasising that the review did identify gaps across the board in humanitarian health research. Bearing in mind this sea of evidence gaps with only small islands of evidence, R2HC also wanted to test the ability of the market to respond to the call and learn about the state of the market for future calls. It seems likely that the second call will also be an open call. There is room to consider what effect this may have on the types of applications that are expected and are received, but we understand that these conversations have taken place and are ongoing.

Also in connection with indicator 1.1.1, and as quite openly acknowledged in some internal stakeholder interviews,<sup>22</sup> more work needs to be done, not least by DFID on helping R2HC and other HIEP programmes to understand their collective relevance to the HIEP programme and its overarching objectives, and as well as the areas where they could join up.

## **EQ2 – Efficiency To what extent and how has the project delivered value for money (VfM)?**

### **Emerging findings**

**JC2.1: Extent to which the project has optimised use of resources to achieve results:** Effectiveness and equity are dealt with here under EQ 1, 3, and 4. However, it is worth noting that the R2HC VfM guidelines for applicants in the first call cover VfM along the whole results chain:

- How cost effective is the intervention in question (if relevant)?
- Does the budget appear reasonable for the proposed package of work, and do the costs represent good value for money?
- Given the likely impact of the research relative to the amount of funding requested, to what extent does the proposal represent good value for money overall?

There is evidence that economy and efficiency have been considered in the programme design and in the early stages of programme management. At the grantee level, all money in research grants will be spent on research, and overheads will generally not be funded by R2HC. The R2HC team is extremely, perhaps excessively, lean with 3.5 FTEs. The programme costs are lean compared to other HIEP programmes

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<sup>22</sup> Interview 41, 6/2/2014.

analysed in this evaluation and all internal stakeholders considered that the programme costs were relatively lean.

Indicator 2.1.3 considers the **evidence that alternative management and implementation arrangements were considered as part of rationale for choice**. R2HC is in fact the product of experience and experimentation with alternative management and implementation by DFID and the Wellcome Trust. It comes out of the positive experience DFID and Wellcome have had in their previous collaboration in the Global Health Trials and combines this with the HIF experience of managing through an organisation that brings to the table the experience of brokering and managing academic-practitioner partnerships. It is difficult to calculate whether the model of running the call directly through the Wellcome Trust would be more cost effective, since it is difficult to separate out the unit costs in a comparable Wellcome Trust call. However, the Wellcome Trust does not broker partnerships in the same way as ELRHA.

R2HC has a strong governance structure with two technical specialist health advisers leading in DFID and based between RED and Policy Division (PD). This adviser management straddling the department that has most experience commissioning research and the department (HD Department in PD) that is one of the key target for research uptake and influence is a good example of the cross-departmental working that HIEP aims at and will test the dividends that this type of working is meant to deliver.

The programme is seriously invested in learning from the application and award process and feeding in learning into the next call for proposals. A survey was conducted with all 100 core grant applicants and these will be shared with the evaluation team. Contact details of applicants to be asked for short phone interviews will also be shared, after the selection of successful applicants has been announced in mid-March 2014.

Indicator 2.1.4 considers whether additional funds leveraged from other donors. The programme involves joint funding by DFID and the Wellcome Trust.

2.1.5 Budget monitoring processes are in place, but grantees have not yet been selected.

### ***Challenges and Areas to Develop***

***Sharing templates and processes across HIEP.*** R2HC has been carefully documenting the templates it has developed for launching, managing, and assessing the research calls. Internal stakeholder interviews also revealed that the process of developing these tools had used a lot of programme resources. Since no available existing templates and processes in use by other funders were appropriate for R2HC, the templates developed by R2HC may well be of broader use for projects commissioning operationally relevant research.<sup>23</sup> It seems like a very good idea to share learning about these templates and processes with other HIEP programmes.

***Spending cycles and VfM decisions in research.*** There have been delays in getting R2HC off the ground, including a delay in seed funding for core grant applicants and an underspend on the DFID budget for the financial year to March 2014.<sup>24</sup> Internal stakeholders reported that the lead advisers at DFID have a very supportive and 'collegiate' approach and R2HC had repeatedly been told they should make funding decisions based on research quality and likely impact, whether this meant underspending or overspending the budget.

**EQ3 Effectiveness : To what extent and how has the project ensured the creation, support, and application of high quality and relevant humanitarian evidence and innovation?**

<sup>23</sup> Interview 40, 22/1/2014.

<sup>24</sup> Davies, Daniel (2013) *R2HC Annual Report to DFID and the Wellcome Trust October 2013*, p. 7.

## Emerging Findings

### Judgement Criterion 3.1: Extent to which project plans to produce HIEP outputs

R2HC's logframe outputs are focused on the generation of evidence, guidelines for researchers, and new partnerships to promote evidence generation as shown below. As previously noted, these map onto HIEP's output one: **HIEP generates high quality and relevant research and evidence products** and to some extent output two: **Relationships and partnerships formed or strengthened between DFID Divisions and with partner agencies**.

Figure 2. R2HC Logframe Outputs



Indicator 3.1.1 assesses the plans that are in place to produce HIEP outputs, including a) Evidence products; b) Cross-institutional relationships and partnerships; and c) Skills built.

Having finished the process of awarding grants in the first call, and having produced one successful and one more challenging review and guidance product, R2HC is certainly on track to produce HIEP outcomes under a, b, and c.

We have also noted that R2HC is heavily focussed on the production of *high quality* evidence. It was repeatedly emphasised that the technical merit of the applications was the most important assessment criterion and that the quality of research was the most important factor for the Wellcome Trust in particular. R2HC has a clear intent to focus on quality and, importantly, it has established a funding committee of 10 experts in humanitarian health drawn from academia, NGOs, and government and multilateral organisations, specialists who are well placed to assess on the basis of technical merit and the capacity of bids to deliver high quality research. The 100 EOIs that were received did not all represent the type of quality that R2HC wants in its grantees, although the final list of grantees is characterised by high quality partnerships, including internationally renowned research institutions. The types of research that were reflected in the EOIs, bids, and also to some extent in the final list of awarded grants, were also described as different to what R2HC had expected. As repeatedly stated in internal interviews, there was less of what the programme calls 'classic health research' in the applications than had been expected. This means there were fewer rigorous trials of pilot interventions and more projects for developing new tools or evaluating existing programmes than expected. This is not seen negatively by any of our interlocutors or by the evaluation. The programme is already learning lessons on how to get the outputs it wants from the humanitarian health research market. The R2HC review of research ethics is an important but complex output to produce. The

first and current iteration was considered to be too focussed on ‘expert opinion’ and so further iterations are likely to be needed as it is tested.

### JC3.3: Extent to which project aims contribute to HIEP outcomes and overall aim

Indicator 3.3.1 considers the evidence that plans are in place to contribute to:

- New funding instruments
- Changes in actors’ skills, behaviour, culture, including sensitivity to gender and social differences
- Actors’ investment into innovation

R2HC is in itself a new type of funding instrument. An expansion or a future phase of R2HC itself and the expansion of the partnership approach to generating operationally relevant research would be a good indicator of success. We consider more of the programme’s approach to behaviour change in being more evidence based and in taking up R2HC findings under JC3.4 below.

JC3.4: Considers the extent to which management approach enables creation, support and application of evidence and innovation.

As discussed in the next section, at the impact level below R2HC does aim ultimately to contribute to improved health outcomes through cost-effective humanitarian interventions. However, on the HIEP ToC it is located more in the lower left hand corner of the diagram, focussed on increasing the level and quality of collaborative research on recognised public health challenges. Compared to programmes that are working on synthesising and increasing the uptake of evidence generated by others it is more focussed at this early stage on planning for the generation of evidence products. Unlike the HIF, it does not have an output explicitly focussed on research uptake but the programme does incorporate a degree of uptake in the design – through its practitioner-researcher partnerships.

Nonetheless, there needs to be more thought about research uptake. One of the key implicit assumptions in the programme’s theory of how research uptake happens in the field of health research is that it is easier in this sector because use of research is more familiar than in other sectors and that ‘if research was good enough to be published in respected publications like the Lancet, it tended to be read by practitioners.’<sup>25</sup> This theory may be much more applicable to biomedical research than to research on health tools and systems.

There is a dissemination and research uptake plan laid out in the proposal and R2HC has a communications strategy that incorporates platforms for sharing R2HC findings, but as we elaborate below in the section on impact, more thought is needed on research uptake strategies that go further than journal articles.

### ***Areas for Discussion/Learning***

Returning to the issue of quality in allowing R2HC to contribute to HIEP outcomes, the guidelines for full applications outlined the following assessment criteria for research methodology:

- Is the study design described in sufficient detail to ensure that it is technically sound and appropriate for the research objectives?
- Does the methodology take into account the need for baseline data and subsequent monitoring and evaluation?

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<sup>25</sup> Interviews 37 and 42, 7/2/2014.

- Does the methodology include an appropriate balance of quantitative and qualitative methods?

This is vague wording, which does not necessarily reflect R2HC's interest in producing robust research. The word 'robust' does not appear in the guidelines. R2HC wanted an open call to test the capacity of the market to respond and this was always going to be something of a 'fishing exercise.'<sup>26</sup> Nonetheless, there is room to discuss and analyse how the call might have influenced the applications received.

The guidelines go on to explain responsibility for quality assurance:

For successful submissions, the lead applicant will be responsible for the quality of the research outputs (in close coordination with the Principal Investigator), ensuring they are published in Open Access journals where possible, the management of the research project as a whole, reporting on progress to ELRHA, and monitoring the work of the various named sub-grantees.

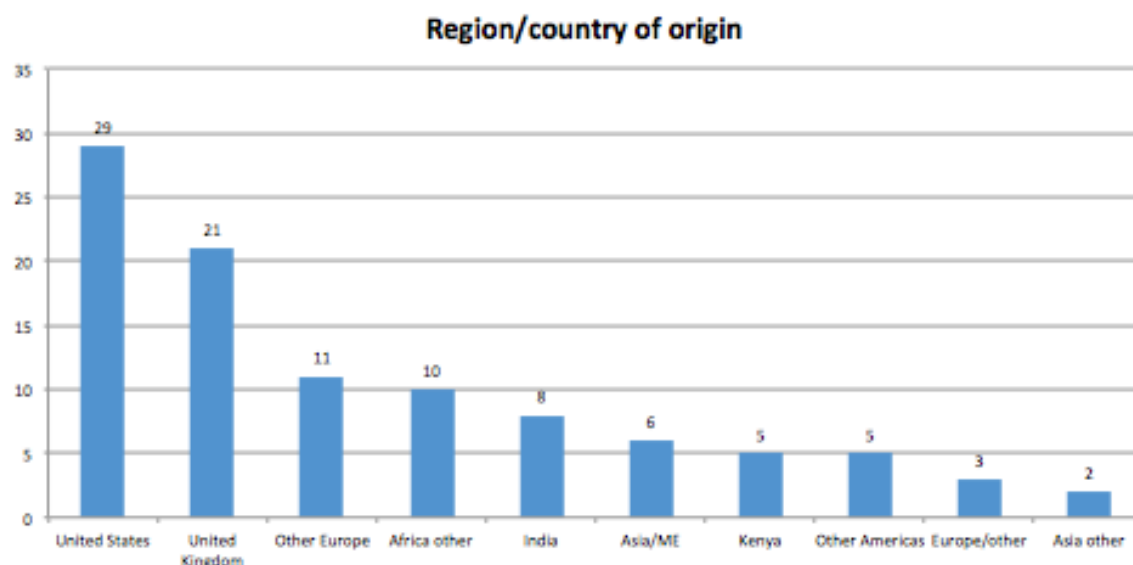
Quality assurance was a key focus of the funding committee in assessing whether the research teams bidding had the capacity to monitor and manage for quality. The bids that were selected in the first research call all contain prestigious academic partners, which indicates the grantees will be able to manage for quality. However, of the bids that came in, the high quality ones were described as 'standing out from the initial stage of the EOI'<sup>27</sup> and R2HC may be able to increase the overall quality of bids in future calls.

Another area for learning after the first research call relates to the types of partnerships that emerged from the call and the dearth of Southern-partner-led partnerships that emerged, in spite of R2HC's investment in town hall meetings in Kenya and India. Figure 2 below is drawn from R2HC's own analysis of the countries of origin of most of its initial EOIs in the first call:

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<sup>26</sup> Interview 41, 6/2/2014.

<sup>27</sup> Interview 86.

**Figure 3. R2HC EOIs from the first research call by country of origin**

It is to the credit of R2HC that it is incorporating this learning both on quality, research areas, and supporting Southern-led applications into its plans for the second research call.<sup>28</sup> R2HC plans to investigate ways of supporting Southern partners to produce stronger bids as well as conduct two further town hall meetings in Ethiopia and Thailand. We were told by internal stakeholders that there were expectations that ELRHA would use its partnership-brokering skills in encouraging different types of partnerships in the second research call. The programme has also been considering at least highlighting certain areas of research in the guidelines for the second call.<sup>29</sup> The evaluation did not have access to the second call guidance at the time of writing.

**EQ4: Impact: What contribution will the project make to HIEP to aim to build and sustain evidence aware policy and practice by humanitarian organisations?**

***Emerging Findings***

EQ4 at the project level in our evaluation framework asks what contribution the project will make to the HIEP aim of building and sustaining evidence aware policy and practice by humanitarian organisations.

R2HC is in its very early stages and, as repeated in interviews with internal stakeholders and in public documents, there is nothing else of its type for public health in humanitarian crises.<sup>30</sup> But it has drawn effectively from and combined aspects of other successful models of research commissioning such as the HIF (also managed by ELRHA) and the Joint Global Health Trials (JGHT) (jointly funded by the Medical Research Council, DFID, and the Wellcome Trust). The R2HC Theory of Change as it stands is not completed. There is a rough theory of change in a tabular format in the DFID-Wellcome Trust proposal that is far too focussed on the production of evidence in the expectation that it will be taken up. But there is a more convincing theory that is implicitly expressed in programme documents and the programme logframe that was further fleshed

<sup>28</sup> All internal stakeholder interviews referred in detail to discussions and debates that had taken place on these subjects. There had also been an extensive discussion in the wash-up meeting of the funding committee on these issues.

<sup>29</sup> Interview 86.

<sup>30</sup> Daniel Davies (ND) 'Finding the Evidence: Research during health emergencies' Q&A with Daniel Davies published in the 'Funding Insight' section of [www.researchprofessional.com](http://www.researchprofessional.com) and on the ELRHA website: <http://www.elrha.org/qa-daniel-davies-r2hc-programme-manager-finding-evidence-research-during-health>.

out in internal stakeholder interviews. This ToC should be further developed now that the list of grantees from the first call is known.

The impact and outcome statements in R2HC's own logframe are as follows:

**Impact:** Reduce mortality and morbidity in humanitarian crises through demonstrated improvements in humanitarian and public health interventions

**Outcome:** The evidence base around the health challenges associated with humanitarian crises is strengthened leading to demonstrated improvements in the effectiveness/efficiency of humanitarian health interventions and programming

Thus, there is a leap to be made from the programme's outputs – which are mostly focussed on brokering partnerships and producing research and research guidelines as described above – and the outcome level, which requires organisations to take on board research findings and change their programming and demonstrate improvements in effectiveness as a result. The logframe proposes to measure the outcome level by surveying individuals in humanitarian organisations and recording references to R2HC evidence products, which is a reasonable combination of measurement strategies. However, more thought is needed as to how the leap from evidence generation to evidence use will happen.

The assumptions underpinning the leap from outputs to outcomes also deserve more thought. As the logframe notes a major assumption in this leap from outputs to outcome is that the research programmes produce 'robust evidence that can be applied to practice' – which is why the issue of research relevance and quality discussed above is so important.. The other assumption noted in the logframe, that there is 'motivation amongst the practitioner community to be evidence-based in their practice' – is an assumption which deserves unpacking in R2HC's research uptake strategy as it is developed. If there are institutional blockages to the uptake of robust and relevant research findings in the humanitarian actors that R2HC is targeting then results at output level may not translate into results at outcome level. There are suggestions that this may be the case with some humanitarian actors for whom, as one external interviewee put it 'interests will always trump evidence.'<sup>31</sup>

R2HC does not have an output that is focussed on uptake specifically as seen above, but its model for commissioning research does have an uptake component woven in to the design, in that every grantee is a partnership between researchers and practitioners. Part of the theory is that 'one of the reasons for the evidence gap is that research institutions and humanitarians haven't worked as well together as would be ideal'<sup>32</sup> and thus that bridging the gap between the two can deliver operationally relevant findings.

<sup>31</sup> Interview 52.

<sup>32</sup> Ibid.

The assessment criteria outlined in the guidelines for applicants at the final application stage begins with impact, and defines impact in the following way:

- To what extent does the proposed research address an important gap in the existing evidence base?
- Will the proposed research have a significant positive impact in the context of the research in the short to medium term?
- What is the potential for the proposed research to lead to improved health outcomes in humanitarian crises more broadly and over the longer term?
- Is there an appropriate plan for dissemination of the research findings that will enable the research to have an impact on humanitarian organisations working in the area?

R2HC's Rapid Response Grants have the potential to deliver significant impact and involves a very sound and widely acknowledged need for researchers to be able to deploy quickly during emergencies. No one else in the humanitarian health sector has funded research in this way, as far as R2HC and all respondents in this evaluation are aware. However, all respondents emphasised that these grants were a significant risk and that 'there may be a reason why no one has done this before.'<sup>33</sup> A key risk is that none of these RRGs actually become operational – and hence not achieve any outputs, outcomes, or impacts in a traditional reporting framework. However, even if these grants do not get off the ground, R2HC will have generated significant learning about the feasibility of different types of research funding in humanitarian crises. This is a commendable high risk, but potentially high return approach where impact is concerned.

### ***Challenges and Areas for Development***

Indicator 4.1.1 (**Evidence that the project has identified key targets and analysed change needed there for success – within DFID and externally**): The assessment criteria quoted above are appropriate and the requirement for grantees to show dissemination plans is commendable, and shows that R2HC knows how important dissemination will be for achieving impact. Many internal respondents felt that it was not possible to be too prescriptive or detailed on research dissemination and uptake at this early stage. Now that grantees have been selected it is opportune to begin thinking in more depth about what uptake strategies are appropriate and what R2HC and DFID support is required for the portfolio of research that is emerging.

Indicator 4.2.1 (Evidence including plans and resource allocation to capacity building for Southern actors that takes account of gender differences and diversity): There is a risk that the programme may end up contracting only the 'usual suspects.'<sup>34</sup> There have not been as many Southern-led applications as hoped for and R2HC aims to address this in the second round. The hope is that this will improve uptake by Southern policymakers and practitioners. We were told categorically in all internal stakeholder interviews that the programme is not aimed at capacity building per se, but R2HC is considering ways of supporting Southern led bids in the second round specifically to increase the impact of research.

## **6. Gender and social diversity**

R2HC will have some projects that look specifically at vulnerable groups, for example, potential SRH and GBV work. R2HC is keeping track of and analysing the beneficiary groups involved in its research programmes and in non-successful applications. But there was nothing formal in the guidelines for applicants in the first call about disaggregation of data, vulnerable groups or equity. The programme argues that if data needed to be

<sup>33</sup> Meetings 37 and 42 7/2/2014.

<sup>34</sup> Interview no. 52.

disaggregated to make it high quality then this would be demanded. There had been no steer from DFID on this.<sup>35</sup>

## 7. Formative phase conclusions

### 7.1 Dimensions of change – mapping the project to the HIEP theory of change

The table below includes all the dimensions of change detailed in the HIEP theory of change and summarises the extent to which the project aims to address these and current plans to enable change.

Change areas (Taken from HIEP theory of change)	Summary of the intended changes and the strategy and plans to address this change area
<b>Output 1. High quality and relevant research and evidence products [LIST PLANNED OUTPUTS]</b>  Quality and relevance considers a) scientific rigour; b) extent of engagement with stakeholders; and c) “reach” of outputs/dissemination	R2HC will produce robust research outputs that are aimed at publication in prestigious peer reviewed journals and other platforms. Technical merit and quality has been the main criteria of importance in selecting grantees. Grantees have been required to show that they have quality assurance processes.
<b>Output 2: Relationship and partnership formed or strengthened between DFID divisions and with partner agencies</b>	R2HC is co-funded by DFID and the Wellcome Trust.  DFID – Involvement of RED and the Human Development Department in PD.
<b>Output 3: Relevant individuals have skills to design, commission, and apply humanitarian research</b>	The two DFID lead advisers have considerable technical skills in understanding and using health research, in commissioning research, and getting it into use. There is no sector specific expertise in the ELRHA management, however R2HC does have access to technical experts on humanitarian health research.  The Wellcome trust specialises in commissioning high quality research. We have been unable to speak to the Wellcome Trust at this stage, however other respondents have indicated they may be less familiar with the practitioner partnership approach to research uptake practiced by ELRHA.
<b>Behaviour Change 1: Debate of and advocacy for HIEP evidence</b>	R2HC is working on a communication strategy. Advocacy and uptake is built into the design upstream with the practitioner-researcher partnerships that are a requirement for all grantees. More work is needed in planning advocacy for research findings downstream.
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	As above in BC1.
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	As above in BC1.

<sup>35</sup> Meetings 37 and 42, 7/2/2014.

<b>Behaviour Change 4: Funding and operations change</b>	As above in BC1.
<b>Outcome 1:</b> International donors, including DFID, develop funding instruments and frameworks for investment into evidence, innovation, and its applications	Not referred to directly. This programme in itself represents a new funding instrument, especially the rapid response grants, and therefore an expansion of this programme or more examples of this type of programme might be an indicator of its success. DFID and the Wellcome trust may consider expanding or funding a second phase of R2HC.
<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures, and systems to promote the regular integration of evidence into humanitarian and DRM interventions	R2HC aims to change the behaviour of donors and practitioners so that the interventions that are funded and rolled out are based on evidence. It is in itself changing the relationships between practitioners and researchers since it brings them together in its grants. A good early indicator of success would be that the practitioner organisations that are paired with researchers in the grantee projects change their wider practice on the basis of the findings that emerge from their R2HC partnership.
<b>Outcome 3:</b> Policy and practice actors invest in social, economic and political innovations that focus on benefits for poor people in humanitarian crises	R2HC is focussed on filling evidence gaps, sometimes on the effectiveness of existing interventions and tools but also includes trials of innovations in health interventions in humanitarian crises.
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning, and delivery of humanitarian policies, programmes, and practices to manage risks and deliver rapid, effective responses in emergencies	R2HC does address this aim. It includes a partnership between two major actors DFID and the Wellcome Trust, and at the grant level it involves partnerships with practitioners who are important actors in FCAS vulnerable to disasters. There have not been as many Southern-led applications as hoped for and R2HC aims to address this in the second round. The hope is that this will improve uptake by Southern policymakers and practitioners. More work is needed on planning for communication and uptake activities.

## 7.2 Project assessment

Summary of assessment:	Strength of evidence:	Score and conclusion:
<p>Summarise the assessment detailed in the information grid of each judgement criteria based on evidence at indicator level.</p>	<p>Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans, i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this.</p> <ul style="list-style-type: none"> <li>e) Verbal/planned strategy (an intention)</li> <li>f) Documented strategy in DFID proposal</li> <li>g) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>h) Documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<p>Score strength of <u>progress and strategies</u> to ensure relevance/efficiency/ effectiveness/impact as:</p> <ul style="list-style-type: none"> <li>f) High – Detailed strategy with strong evidence of progress or potential to achieve strategy</li> <li>g) Medium – Good strategy with some evidence of progress or potential to achieve strategy</li> <li>h) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy</li> <li>i) None – No strategy in place</li> <li>j) There is not enough evidence to make a judgement</li> </ul>
<b>EQ1: Relevance</b>		
<p><b>Summary of judgement:</b></p> <p>Strong evidence that the programme has responded to problems identified in the HERR and HIES and other emerging needs and opportunities to invest in humanitarian evidence and innovation. (JC1.1)</p> <p>Strong evidence that project design is appropriate to address identified needs and opportunities. (JC1.2)</p> <p>Evidence that the programme is reflecting and learning from the experiences and processes of the first call, with relevance in mind.</p> <p>Strong evidence that the project fits/harmonises with other relevant institutional, sectoral initiatives, as a partnership between Wellcome and DFID, and a programme managed by ELRHA. Less evidence that the programme is linked to country-based initiatives and opportunities, but strong evidence that it is considering how to improve this. (JC1.3)</p>	<p><b>Strength of evidence:</b></p> <p>The judgements are based on internal DFID proposal, interviews with DFID team and external stakeholders. No workplan, inception report, or contractor interviews available yet.</p> <p><b>Strength: a, b, c, and d</b></p>	<p><b>Score and conclusion:</b></p> <p>Score strength of <u>progress and strategies</u> to ensure relevance/efficiency/ effectiveness/ impact as:</p> <p><b>High</b> – Squarely focussed on the health evidence problems identified in the HIES with extra analytical work conducted reviewing gaps in the existing evidence. Collaboration between two major actors in this area. Strong advisory leads in DFID and use of technical expertise in the funding committee.</p>
<b>EQ2: Efficiency</b>		
<b>Summary of judgement:</b>	<b>Strength of evidence:</b>	<b>Score and conclusion:</b>

<p>Strong – evidence that economy and efficiency have been considered both in programme management and in guidelines for grantees. VfM has also been considered along the whole results chain in guidelines for grantees. ( JC2.1)</p> <p>Matched funds leveraged from Wellcome Trust. (JC2.1.4)</p> <p>Less evidence that the programme considers gender and other equity issues (the fourth ‘E’) but there is not enough evidence to make a judgement until we know what the emerging portfolio is and how many grantees are focussed on equity. ( JC2.1.2)</p> <p>Medium – evidence of reflection on the commissioning process and learning. (JC2.1.3)</p> <p>Medium – Some evidence that DFID funding cycles may work against VfM, but the programme is effectively balancing short-term risk with the potential for long-term impact in its Rapid Response Grants. (JC2.2)</p>	<p><b>Strength: a, b, c, and d are available but until the grantees have been selected these exist only at the overarching programme level</b></p>	<p><b>High</b> – Evidence of VfM consideration along the results chain, documented at programme level and included in guidance for grantees. Lean team and programme costs represent relatively good VfM. Less evidence of consideration of equity – the fourth E. It is too early to be definitive since the first group of grantees are only now entering inception.</p>
<b>EQ3: Effectiveness</b>		
<p><b>Summary of judgement:</b></p> <p>Medium – clear evidence that the project intends to produce HIEP outputs, with a strong emphasis on quality. Quality is emphasised in the guidelines for grantees but less evidence on how R2HC/DFID will monitor/ensure quality. (JC3.1)</p> <p>None – No evidence yet on how socially inclusive/gender-sensitive strategies are/will be in place to ensure behavioural changes. Too early to make a judgement until we have seen the list of selected grantees. This was not a DFID requirement, but R2HC will have some projects that are squarely focussed on gender such as GBV. (JC3.2)</p> <p>Medium – There is evidence that the project aims and plans contribute to HIEP outcomes and overall aim (JC3.3), there is less evidence of the mechanisms the programme aims to use to achieve this. (JC3.4)</p>	<p><b>Strength of evidence:</b></p> <p><b>Strength: a and b</b></p> <p><b>c – partially and d – one annual review</b></p> <p><b>Until the grantees have been selected these exist only at the overarching programme level</b></p>	<p><b>Score and conclusion:</b></p> <p><b>Medium – This score is largely influenced by the early stage of the programme and the absence of full information until grantees are selected and strategies documented.</b></p> <p>Good strategy, implicit in documents, in the logframe, and expressed in interviews. and plans in place to deal with emerging challenges. Good plans in place to ensure quality of research and to support more Southern led partnerships in the next call. Too early to tell the extent to which the programme will deal with gender and social inclusion.</p>
<b>EQ4: Impact</b>		
<p><b>Summary of judgement:</b></p> <p>Medium – The programme has included key actors whose behaviour would have to change in order to achieve impact since the grants all</p>	<p><b>Strength of evidence:</b></p> <p><b>Strength: a and b</b></p>	<p><b>Score and conclusion:</b></p> <p><b>Medium – This score is largely influenced by</b></p>

<p>involve collaborative co-production of research by practitioners and researchers. Less evidence of a strategy for uptake by wider DFID and key organisations/targets. (JC4.1)</p> <p>Medium – Limited evidence that the project has gender-sensitive plans. Fewer Southern-led bids received, but plans in place to address this in the second round. (JC4.2)</p>	<p><b>c – partially and d – one annual review</b></p> <p><b>Until the grantees have been selected these exist only at the overarching programme level</b></p>	<p><b>the early stage of the programme and the absence of full information until grantees are selected and strategies documented.</b> Co-production is integrated in the design, and impact is highlighted in the guidance to grantees. A communication strategy is in place but more work is needed, and is planned, on research uptake strategies.</p>
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### 7.3 Learning about process and management

The table below has details of key learning from the project, e.g. in relation to key process, structural or organisational factors which enabled/inhibited achievement

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement this area?	What learning can be drawn from these for other contexts?
Relevance	The programme is led by technical experts in DFID who have a good grasp of the state of the evidence. High quality funding committee. A literature review was conducted that revealed where the biggest gaps are.	There may be sequencing issues in getting evidence reviews finished in time to inform calls.	More work needs to be done on relevance of projects to HIEP.
Efficiency	There is a lean team in ELRHA. There is collegiate support from DFID and Wellcome to make funding decisions based on quality, whether that means over or under-spending.	There may still be a tension between VfM decisions in research and DFID spending-cycle pressures.	VfM in research may be different from other project cycles with different trade-offs and different timings involved in procuring research.  The RRGs are taking a significant risk. This needs to be balanced against VfM considerations. It is possible these grants may not achieve their desired impacts.
Effectiveness	Much thought has gone into the design, which has evolved over a long time period. It draws from two good models – HIF and the Global Health Trials. The two-step application process fosters strong partnerships.	Academic ‘specialists’ may not understand what is needed in an evidence review – as seen in the ethical guidelines review.  QA will be the responsibility of projects. It will be important that QA mechanisms are strong.	Significant room for R2HC to share its experience in designing processes, governance structures, and templates ahead of the first call.
Impact	High quality proposals. Co-production in the design from the start. In tracking impact, assessing whether the practitioner partners in the projects have changed their practices as a result of (emerging) findings will be an interesting and	Fewer ‘classic health research’ proposals than expected although these are reflected in the first list of grantees. DFID needs to work more on research uptake with evidence generating programmes so that there are clear shared expectations and	The programme went to the humanitarian health sector research market expecting one thing and got something slightly different. Interesting lessons here and ones that the programme is documenting and learning from.

	potentially early indicator of impact.	especially given some of the uptake should be done by DFID. It would be broadly desirable to bring together HIEP implementing partners to share lessons learned.	
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## Case Study 4: Humanitarian Evidence Synthesis and Communication

### 1. Introduction to case study

The Humanitarian Evidence Synthesis and Communication (HESC) project aims to produce high quality research synthesis products that address priority questions in relation to “what works” in humanitarian crisis interventions. The intended outputs are:

- the programme has committed to completing 3 systematic reviews and 7 literature reviews which address questions of “what works” in relation to humanitarian assistance. These reviews will cut across sectors, as well as different tools and modalities of intervention.
- Research synthesis products are packaged, presented, and formatted in an appropriate manner for end users, using effective communication channels.
- Research communication strategy established for the production and communication of research synthesis products produced by the project.

The theory of change for the project outlined in the internal DFID proposal is explicit that the focus of this project is about the production of products and promoting these to relevant debates and potential users, i.e. the supply side of evidence into use. The project assumes that activities elsewhere within and outside of HESC promote use and capacity to use evidence, though there is scope for some focus on this in the project through its communication strategy.

At the time of the case study the project had not yet contracted a partner to undertake the project, though was in discussions regarding a potential proposal. The early stage of project implementation meant certain parts of the planned case study methodology for the evaluation formative phase were not appropriate, e.g. workshop with DFID and partner. The evaluation phase consisted of review of available documentation including the internal DFID proposal and annual review, interviews with the DFID key staff involved in leading of the project, and selection of the contractor/partner and external stakeholder interviews.

The findings of this case study are based on data collection during January -March 2014. The judgement criteria and indicators draw on those detailed in the evaluation matrix (see Annex 1.2 main report).

### 2. EQ1: Relevance : How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?

#### *Emerging findings*

##### *Responsiveness to identified problems (JC1.1)*

HESC addresses two of the four HIEP problems: (1) decision-makers have inadequate access to reliable and tailored information about risk, and especially as it affects the poorest; (2) inadequate synthesis and generation of evidence about which humanitarian interventions work best, and new ways to tackle humanitarian problems. The project has the potential to provide new insights because it aims to provide high quality research synthesis products that are not currently being produced elsewhere and in particular aims to access grey literature not necessarily accessed before. Some external stakeholders felt there are already significant products available detailing “what works” so there may be a need, at a later stage in the project, to explain the basis of DFID’s assessment of need.

The extent to which gender and social exclusion will be addressed is not clear yet. While the annual review states that there is an expectation that HESC will disaggregate relevant outputs according to gender, this is not explicit in the terms of reference. It is something to look out for in the inception report and, in particular, during the early stages of the project when the questions are being discussed and initial literature searches can explore the extent of disaggregated data available.

#### *Appropriateness of design to needs and opportunities (JC1.2)*

The scale of the project is significant with a budget of approximately £UK1 million. Given that a number of other projects within and outside HIEP are also producing some synthesis products often as part of their scoping process, this is a sizeable contribution by DFID to the sector. However, some external stakeholders cautioned about what is an appropriate expectation for the project seeing the scale of the problem that this project, and possibly the overall HIEP, addresses as huge.

It is hard to be more specific than this at this stage about its scope and scale because the methodological approach, e.g. generating hypotheses by sector/region/other has not yet been specified, although they are anticipated to be multi-sectoral on the whole. The intention articulated in the proposal and interviews is certainly that products should be relevant to a wide range of stakeholders and geographical areas. The main beneficiaries are expressed as being people in low-income countries, with secondary beneficiaries including global, regional, and national policy makers, the research community and humanitarian fieldworkers and practitioners. A communication strategy and its implementation is one output of the project and users may be defined in more detail in this. External stakeholders emphasised the importance of the shifts in the humanitarian sector towards more influence and focus on domestic actors and that any project needs to take this account. Some questioned the feasibility and appropriateness of systematic reviews to do this.

#### *Linkage with other initiatives in and outside of HIEP and DFID (JC1.3)*

HESC makes explicit reference to linking with other parts of the HIEP, particularly in relation to research uptake. It is also learning from the DFID experience outside of the humanitarian sector gained through the systematic reviews unit. In addition, from interviews in DFID it was clear that a focus of the communication strategy is anticipated to be linkage to existing places and fora where humanitarian actors already access information. There is no explicit reference to external events and opportunities at this stage though external stakeholders pointed to the World Humanitarian Summit 2016 as a potential place to share any significant findings which HESC timing would fit with.

#### ***Challenges and areas to develop***

Even though the project is at an early stage, it is clear that it will be a communication challenge to ensure that potential users value the investment of DFID in production of synthesis products. This is likely to be possible, indeed necessary, at the inception phase, when questions and subjects for review are identified. Engagement with a broad range of stakeholders will be an important component in this process for it both to be relevant and perceived as such.

External stakeholders questioned some of the basic assumptions underlying the project, including whether the HIES identified that a lack of access to research is a problem and, if it is, whether systematic reviews and robust literature reviews are an appropriate way in which to address it. External stakeholders emphasised the lack of demand, not access. In addition, they emphasised that the shift in the humanitarian sector to a much greater focus on national/domestic actors can mean that new communication processes and new relationships between suppliers (researchers) and users (domestic agencies) are needed. In addition, external stakeholders emphasised the need for a much better understanding of the policy and operational decision-making processes among

researchers to be able to take advantage of the limited windows of opportunity for evidence to influence decisions. These are areas that could be built into the HESC project process.

### **3. EQ2: Efficiency: To what extent and how has the project delivered value for money (VfM)?**

#### **Emerging findings**

Optimisation of use of resources (JC2.1)

a) Procurement and 4E value for money framework (economy, efficiency, effectiveness, and equity)

The DFID team managing the project worked closely with the DFID procurement department as part of its approach to achieve value for money. In line with procurement advice, an open competition was organised for the tender. However, this has resulted in a slow contracting process.

The contracting process has been slowed down by:

- The open competition process, which was in line with the procurement department's guidance but contrary to the Research and Evidence Department's own assessment of what would be the most appropriate tender process, i.e. a closed process to a selected number of organisations. The insistence of an open tender is inconsistent with the way that other projects, e.g. SAVE, Case Study 6 have undertaken their procurement process, despite having a similar size budget.
- The budget for the project was not shared in the tender information resulting in a proposal of approximately 200% of the value of the budget available. Not sharing the budget is in line with good practice to achieve value for money but has resulted in a lengthy renegotiation process of what can be achieved with the available budget.
- The DFID team leading the process is undertaking this role of external contracting for the first time and so has been led very much by the procurement advice which has been provided by staff who in part were new to DFID. It appears that there may have been more flexibility in processes in other projects.

Thus, the efficiency of the procurement process is questionable.

While it has been slow, the procurement process has achieved value for money in terms of economy. The original proposal included items that were high cost, including websites and regional events. The DFID project team reported that the DFID guidelines on what it can fund have changed during the course of the tender process, which has meant items such as websites have had to be removed. Other items from the communication strand of the project are being guided to lower cost options, e.g. using established mechanisms and fora already trusted and used by the identified audiences. In terms of economy the process has been positive. In addition, a strong proposal selection process was established, including a cross-department selection group and clear scoring system to ensure the high quality of any agreed proposal being considered. In terms of equity there is no explicit guidance in the terms of reference to consider gender or other diversity issues, though it is anticipated by the team that any applicant will be required in the contracting process to comply with DFID policies.

b) Management arrangements

The internal proposal considers four different management arrangements for the project and makes a selection based both on the potential effectiveness and efficiency factors, i.e. the approach which is likely to bring together the broader range of skills from academia and the humanitarian operational sector, as well as the one which would be most efficient in terms of DFID management time inputs. In addition, the option of managing and implementing the project in-house, i.e. via the Systematic Review process, was originally considered and decided against on the basis that contracting externally would be a faster way to move the project forward, though this has not proved to be the case.

It is too early in the project process to be able to comment on budget monitoring or project management processes.

#### c) Leveraging other funds

The project does not leverage any additional funds from other donors, though there is the possibility of this at a later stage of the project. However, the internal DFID proposal does outline that the purpose of the project is to invest relatively small amounts of money to ensure greater focus and relevance from larger investments, both future research and humanitarian programming.

#### Consideration and trade-offs of short- and long-term benefits (JC2.2.)

It is too early for long- and short-term aspects of project benefits to be considered but there is flexibility built into the project, which can be explored in the inception phase, e.g. the number of systematic and literature reviews are not set so there is the option to produce more products that require less time or, indeed, vice versa.

### **Strengths**

Effectiveness and economy have been well considered during the procurement process. The open procurement process means the market has been well tested and some economy savings have, potentially, been achieved.

### **Challenges**

The procurement process has resulted in a slow, drawn out process of contracting, not yet complete at the time of the case study. This does not appear to be an efficient process and at the time of the case study, there was still the potential that no contract would be awarded, which would mean the discussion on how to take the project forward returning almost to stage one.

### **Areas for development/recommendations**

There does not seem to be a consistent way of considering value for money that uses the 4E framework and is common between RED and procurement departments. It is understood by the evaluation team that there is discussion underway in DFID about what value for money means for research and also exploring the possibility of a research-specific procurement process. This would be a useful discussion, to establish a process which all agree provides value for money.

The value for money of this project is highly dependent on the effectiveness element, which is dealt with below.

## **4. EQ3: Effectiveness : To what extent and how has the project ensured the creation, support, and application of high quality and relevant humanitarian evidence and innovation?**

### ***Emerging findings***

The project plans to produce HIEP outputs, behaviour changes, and outcomes articulated in the theory of change.

There is clear evidence that this project aims to produce outputs in line with the HIEP theory of change, in particular high quality and relevant evidence products on “what works” in humanitarian crisis interventions. There are also plans in place to build cross-departmental relationships in DFID, for instance via the advisory committee that will be established and already used in the selection committee, which drew on expertise from CHASE, RED, and the Systematic Reviews Unit. In terms of external partnerships, the proposal under consideration does include a partnership between a humanitarian operational agency and well-regarded academic institution. In terms of skills development, the only area that is identifiable so far is the build-up of skills in the Evidence into Action team in procurement, through this first experience for the staff concerned to undertake the process. However, skills in research uptake, e.g. in accessing and applying evidence to operational decisions, are not being targeted in this project.

The strength of strategies to bring about behaviour change through, for instance, endorsement by operational actors, champions, DFID influence as a donor, and knowledge brokers will be more open to assessment when the communication strategy of the project is developed in the inception phase. At this point, interviews with DFID staff found the stated intention to use existing channels used by humanitarian actors to access information, which is in line with the HIEP theory of change. However, the balance between the budget for evidence products and the budget for communication is highly skewed to evidence projects. The DFID internal proposal budget estimates a communication budget of 10% of the total and indeed the negotiation process with the proposal under consideration has made a more explicit emphasis on the production of high quality evidence products over communication. This does raise questions about the potential scale of results of the project in its aim to contribute to the effectiveness of humanitarian operations.

There is a heavy reliance on processes outside of the HESC, in HIEP and elsewhere to encourage use and application of the HESC products, i.e. to contribute to the HIEP theory of change at the outcome level. Some of these processes are not yet developed, e.g. the HIEP overall influencing strategy at the time of the case study and the linkage between HESC and existing processes is not explicit yet. It is anticipated that the inception phase will address these issues and so will be considered in future stages of the evaluation.

The project does aim to contribute to the overall aim of HIEP to improve humanitarian effectiveness by providing evidence so that funding and operational decisions by DFID and other organisations can be more systematic. However, at this point, the range of other organisations in which this behaviour changes is anticipated is broadly defined as:

- Global, regional, and national policy makers, including UN agencies, EU institutions, DFID, national governments, other multilaterals, and NGOs;
- Research community;
- Humanitarian fieldworkers and practitioners.

There is potential linkage with other HIEP projects, indeed a necessity in terms of communication activities in the project. Given that other projects are also producing similar evidence products, there is also potential linkage with others in other stages of the project. At the time of the case study, these potential linkages between HIEP projects were just beginning to be explored between teams in

DFID. Potential linkages with external initiatives were explored to some extent during project scoping, by looking at who else is undertaking or considering funding systematic reviews. In addition, the internal DFID proposal highlights useful mechanisms such as integrating evidence into training processes for humanitarian workers, which could influence individuals and possibly through them, organisations. Much more focus on this is likely to be at the inception phase of the project including linkage to any initiatives to encourage uptake, stimulate demand and support behaviour change in organisations. The project has a clear focus on the supply side of the research uptake so the project's contribution to the processes of behaviour and other changes is limited.

DFID interviewees highlighted the limitations of the three-year time frame of the project and uncertainty of who is responsible to continue to promote learning and change after this point, which will be just when some products are finalised.

### ***Strengths***

- There is clarity within the project and the internal DFID team regarding the focus of the project, which is about the production of high quality evidence products. The project is drawing on the in-house experience of producing high quality products and intends to include good practice of involving potential users of products in their development.
- The involvement of the staff from across departments in the project development and selection processes has been successful in building cross-department links and interest in some individuals involved to keep track of the project's findings and to promote them where relevant. However, the time and resources available for promoting uptake are, perhaps, not so clear.

### ***Challenges and areas to develop***

The means by which the project's products will have an impact on humanitarian operations is unclear. This is an early stage in the project with some questions relevant to effectiveness expected to be addressed in both the contractors proposal and inception phase, e.g. stakeholder engagement and communication strategy. However, a number of external stakeholders cast doubt on the feasibility of such products bringing about change. Even organisations experienced in and promoting systematic reviews have shared their experience that careful management is essential to ensure questions and products are likely to have potential to be considered in policy and programme debates.

Stakeholder engagement, communication, and linkage with other initiatives and communication processes will be essential. It may be necessary to consider whether a larger proportion of the budget on communication is required to enable this. The internal process in DFID with clearer lines of responsibility between roles to ensure uptake may also be important both during the current project timeframe up to 2016 and beyond. The longer-term plan will become very important given that some products are likely to be finalised only in 2016.

## 5. EQ4: Impact : What contribution will the project make to HIEP to aim to build and sustain evidence aware policy and practice by humanitarian organisations?

### *Emerging findings*

JC4.1 The HESC internal project proposal is based on a Theory of Change for research uptake, which has been developed over time and experience in DFID. There is clarity about the project's intended focus. However, key targets have not been identified in any detail, nor the behaviour or other changes needed there for success within DFID and externally. The language used in the project document surrounding impact is somewhat vague: "it is hoped that the transmitted research synthesis products contribute to policy and programming debates, and are embedded into the training of practitioners and programmers" (p. 13). It will be an important part of the inception phase to make much more concrete the anticipated results of the project and their linkage with other processes for broader impact. Given that the contracted organisation is likely to be under contract for a period up to 2016 only, the question of whether the project has a lifetime beyond the contract needs to be addressed.

JC4.2 HESC does not have any explicit aim to build capacity in Southern organisations, but stakeholders in DFID see that one of the real benefits that this project could bring about is to provide greater access to evidence among Southern organisations and stakeholders and to contribute to broadening the range of voices in the humanitarian sectoral debates. There is potential for this but, again, it will need to be articulated and resourced to realise this.

### 6. Gender and social diversity (any additional comments not covered above)

Most aspects of the project relevant to gender and social diversity are covered above. Two key areas that will be important to consider in the future are important to highlight. Firstly, the implications of the potential limited availability of gender disaggregated data upon which the various reviews and products will be based needs to be considered. There is not currently a strategy for how to deal with this to ensure that products are based on gender and social diversity analysis.

Secondly, the growing importance, highlighted by external stakeholders, of greater focus on domestic actors in humanitarian policy and programme decision-making may have implications for the gender sensitivity needed in communication and stakeholder engagement processes, to ensure full involvement from men and women in different cultures and contexts.

## 7. Formative phase conclusions

### *7.1 Dimensions of change – mapping the project to the HIEP theory of change*

The table below includes all the dimensions of change detailed in the HIEP theory of change and summarises the extent to which the project aims to address these and current plans to enable change.

Change areas (Taken from HIEP theory of change)	Summary of the intended changes and the strategy and plans to address this change area
<b>Output 1. <u>High quality and relevant research and evidence products</u> [LIST PLANNED OUTPUTS]</b>  Quality and relevance considers a) scientific	Plans to produce systematic and literature reviews, other evidence products and the development and implementation of a communication strategy. QA processes in place to achieve this based on experience within DFID and externally. The process to identify the

rigour; b) extent of engagement with stakeholders; and c) “reach” of outputs/dissemination	focus of the products will be key. Involvement of intended users is planned.
<b>Output 2: Relationship and partnership formed or strengthened between DFID divisions and with partner agencies</b>	<p>External – The proposal under consideration by DFID includes a partnership between a well regarded operational and academic agency. Places on the advisory group for one to two external stakeholders.</p> <p>DFID – Involvement of CHASE and RED, and building links between the two and within each department</p>
<b>Output 3: Relevant individuals have skills to design, commission, and apply humanitarian research</b>	<p>DFID team has learned on the job regarding procurement processes to contract organisations so skills being built.</p> <p>Partner skills unknown at this point.</p> <p>Building skills to apply research is an implicit aim of the project but not explicitly articulated or funded at present.</p>
<b>Behaviour Change 1: Debate of and advocacy for HIEP evidence</b>	Awaiting contracting and communication strategy as part of proposal and inception report.
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	As above in BC1, though there is an intention to reach the places humanitarian actors usually use for evidence and also through training groups and processes.
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	As above in BC1.
<b>Behaviour Change 4: Funding and operations change</b>	As above in BC1.
<b>Outcome 1:</b> International donors, including DFID, develop funding instruments and frameworks for investment into evidence, innovation and its applications	Not referred to directly.
<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures, and systems to promote the regular integration of evidence into humanitarian and DRM interventions	<p>Organisations in which intended change anticipated defined as:</p> <ul style="list-style-type: none"> <li>• Global, regional, and national policy makers, including UN agencies, EU institutions, DFID, national governments, other multilaterals, and NGOs</li> <li>• Research community</li> <li>• Humanitarian fieldworkers and practitioners</li> </ul> <p>Expected change defined as: DFID and other organisations improve the adoption of a systematic</p>

	<p>approach to programme design and uptake of evidence.</p> <p>HESC intends to contribute to this through a focus on the supply side of evidence and also hopes for links with processes such as training for humanitarian workers. There is a communication strand to the project but at present the anticipated direct contribution by HESC to the processes of organisational behaviour and other changes is limited.</p> <p>DFID stakeholders also highlighted the limitations of the three-year time frame of the project and uncertainty of who is responsible to continue to promote learning and change after this point, which will be just when some products are finalised. External stakeholders note the limitations of the project if it does not engage Southern stakeholders significantly.</p>
<b>Outcome 3:</b> Policy and practice actors invest in social, economic, and political innovations that focus on benefits for poor people in humanitarian crises	Not referred to directly and in interviews stakeholders note the three-year timeline of the project means outcome level change is unlikely to be reached.
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning, and delivery of humanitarian policies, programmes, and practices to manage risks and deliver rapid, effective responses in emergencies	HESC does intend to contribute to this overall aim. Its focus is on the supply side of evidence so there is limited strategy, if any, for supporting use and application of evidence and innovations.

## 7.2 Project assessment

<b>Summary of assessment:</b> Summary of each judgement criteria based on evidence at indicator level	<b>Strength of evidence:</b> The types of evidence are on a scale which gives increasing confidence in plans, i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this. a) Verbal/planned strategy (an intention) b) Documented strategy in DFID proposal c) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan) d) Documentation to show being implemented (e.g. annual reviews, reporting, other)	<b>Score and conclusion:</b> Score of the strength of <u>progress and strategies</u> to ensure relevance/efficiency/effectiveness/impact as: a) High – Detailed strategy with strong evidence of progress or potential to achieve strategy b) Medium – Good strategy with some evidence of progress or potential to achieve strategy c) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy d) None – No strategy in place e) There is not enough evidence to make a judgement
<b>EQ1: Relevance</b>		
<b>Summary of judgement:</b> <ul style="list-style-type: none"> <li>Some evidence that the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation. (JC1.1)</li> <li>Some evidence that project design is appropriate to address identified needs and opportunities. (JC1.2)</li> <li>Too early to say re: evidence that the project fits/harmonises with other relevant institutional, sectoral, and country-based initiatives and opportunities, (JC1.3) This awaits the focus of the systematic and literature reviews to be established during the inception phase.</li> </ul>	<b>Strength of evidence:</b> The judgements are based on an internal DFID proposal, interviews with DFID team, and external stakeholders. No workplan, inception report, or contractor interviews available yet.  <b>Strength: a and b</b>	<b>Score and conclusion:</b> Medium – Good strategy with some evidence of progress or potential to achieve relevance, e.g. direct relation to HIES identified needs. However, many steps await the contracting of a partner and the inception phase. In addition, some external stakeholders question the basic assumption underlying the project that access to evidence is the problem.

EQ2: Efficiency		
<b>Summary of judgement:</b> <ul style="list-style-type: none"> <li>Some evidence that the project has optimised use of resources to achieve results, e.g. through procurement process though this has been slow. Economy considerations have been high with less evidence available on how effectiveness and equity have or will be covered. (JC2.1)</li> <li>Some evidence that trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved, e.g. through flexibility between systematic and literature reviews. (JC2.2)</li> </ul>	<b>Strength of evidence:</b> <b>a and b</b> No budget available at this stage.	<b>Score and conclusion:</b> Some – The project covers the issue of efficiency with some but limited evidence of progress or potential to achieve value for money so far. However, it is an early stage in the process with no budget available and no partner contracted yet.
EQ3: Effectiveness		
<b>Summary of judgement:</b> <ul style="list-style-type: none"> <li>Some evidence the project plans to produce HIEP outputs. (JC3.1)</li> <li>No evidence yet on how socially inclusive/gender-sensitive strategies are/will be in place to ensure behavioural changes. (JC3.2)</li> <li>Limited evidence that the project aims contribute to HIEP outcomes and overall aim though there is clarity in its focus. The focus is on the supply side of evidence and linkage with other processes anticipated to be important for effectiveness. These are not articulated yet. (JC3.3)</li> </ul>	<b>Strength of evidence:</b> <b>a and b (as above)</b>	<b>Score and conclusion:</b> <b>Too early to make assessment given that the project is not contracted.</b> The project plans to support the creation of high quality and relevant evidence but plans to support the application are much less clear at this point, though there is an emphasis to link with existing trusted channels and processes, such as training, which are likely to be beneficial.
EQ4: Impact		
<b>Summary of judgement:</b> <ul style="list-style-type: none"> <li>Limited evidence that the project has articulated what change will look like in DFID and key organisations/targets. (JC4.1)</li> <li>Limited evidence that the project has gender-sensitive</li> </ul>	<b>Strength of evidence:</b> <b>a and b (as above)</b>	<b>Score and conclusion:</b> Insufficient evidence at this stage; paperwork and interviews show some coverage of the issue but with limited evidence of progress or potential to achieve change.

plans to build capacity in Southern actors to be able to access funding for research and also to support, produce and apply evidence and innovation. While some DFID stakeholders expect a broadening of debate to include more Southern voices in the humanitarian debates to result for the project, this is not explicit in the documentation at this stage nor is there an explicit strategy or budget to achieve this. (JC4.2)		The project intends a contribution to build humanitarian organisations' use of evidence in policy and practice but is very focused on the supply side. Strategies to stimulate and support demand and application are very limited at this early stage. Awaiting initial proposal from contractor.
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### 7.3 Learning about process and management

The table below has details of key learning from the project, e.g. in relation to key process, structural, or organisational factors which enabled/inhibited achievement.

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement this area?	What learning can be drawn from these for other contexts?
<b>Relevance</b>	Draws directly on the findings of the HIES and its articulation of key problems. Good QA process in-house based on experience of quality products. Planned engagement with external stakeholders to identify the focus of the products.	Limited engagement from outside DFID in the project so far. Other stakeholders question the extent to which access to evidence is a major issue.	During the project there may be a need either to reviews its basic assumptions and/or to promote more of a shared understanding of the rationale for its needs.
<b>Efficiency</b>	The strict procurement process has enabled a thorough review of the market for contractors in this work area. Close negotiation over the initial contract is producing potential savings.	The procurement process seems to have limited “fit” with this market and did not take into account knowledge in DFID of its limited capacity.  DFID itself seems to be absorbing much of the capacity of the market.  Value for money focussed on economy and effectiveness.	Review of the procurement process and a consistent approach across projects with HIEP at least would be beneficial.  Means to consider equity as part of value for money are needed.
<b>Effectiveness</b>	Building on past experience of how to develop relevant and used evidence products is being incorporated, i.e. including potential users in the process.	The broad definition of potential users limits the potential effectiveness of the project if it attempts to meet them all on its limited communication budget.	The focus on the supply side of the process means clear articulation and close attention to linking with uptake processes will be important. Linkage with other processes in and outside of HIEP and in and outside of DFID will be key. More focus than currently articulated in the documentation on country level actors may be needed.

<b>Impact</b>		The project time limit to 2016. There is a lack of clarity regarding roles and responsibilities to promote use and application of products both up to and after 2016.	Planning for post-2016, i.e. after the partner is contracted, needs to be clearer.
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## Case Study 5: Humanitarian Innovation Fund Report

### 1. Introduction to case study

The Humanitarian Innovation Fund (HIF) supports organisations and individuals to identify, nurture, and share innovative and scalable solutions to the challenges facing effective humanitarian assistance.

In order to achieve this, the Humanitarian Innovation Fund will work towards:

- Enabling and supporting humanitarian innovators to move creative ideas through the innovation process.
- Supporting them in building new partnerships with key actors.
- Enabling the lessons from grant-funded projects and from analysis of innovation processes in humanitarian contexts to be disseminated more widely.
- Strengthening existing relationships between humanitarian agencies, academics, and those in the private sector engaged in innovation processes.

The HIF fund totals £7.7 million over three years, 2012-15, with £4.5 million funded through HIEP, and the remainder through DFID's Climate and Environment Team in the Research and Evidence Division. The fund offers large grants (£250k, for 18 months) and small grants (£20k, for 6 months) to consortia, partnerships, and/or organisations wishing to test or develop an innovation. HIF's approach is open and undirected, using Open Calls.

The HIF's theory of change (documented in the proposal to HIEP,) specifies three outputs for HIF:

1. Grants made to develop and test innovative approaches to humanitarian delivery;
2. Innovative solutions to the critical challenges identified in the humanitarian WASH sector (and others) tested and made ready;
3. Increased capability of the humanitarian sector to develop and use innovation.

The HIF is currently in an expanded second phase – the core grant-making mechanism through Open Calls, with a new added component focusing on the WASH sector. This is designed differently from the main HIF Open Innovation, based on Open Calls.

The WASH Window is based on an extensive 'gaps analysis' in the sector that has mobilised humanitarian agencies to identify and agree on specific critical challenges and gaps in humanitarian WASH practice. These have then been clustered into 'challenges.' The WASH Window then uses a number of methods to accelerate innovation on these challenges, including open calls but also proactive brokering and linking.

The HIF is delivered through a partnership between ELRHA, ALNAP, and is hosted institutionally at Save the Children. HIF and ELRHA use the SCF administrative structures and systems. The HIF team is composed of approximately four FTE, with the HIF Manager and Programme officer at 100%, the Head of Finance and Grants post, the Senior Research Adviser and Communications Adviser at 50%, with part-time contributions from the ELRHA Director, and other posts in the ELRHA. Precise time allocations for the part-time staff contributions were not available at the time of the case study.

The evaluation phase consisted of a review of available documentation, including the internal DFID proposal and most recent (2013) Annual Review, interviews with the DFID key staff involved in leading of the project, interviews with the HIF team, and a selection of partner and external stakeholder interviews. Certain parts of the planned case study methodology for the evaluation formative phase were not appropriate given the small size of the team and the lack of availability of key people within the evaluation timeframe, so the workshop with DFID and partners was not held. However, a group phone interview explored the workshop questions with internal stakeholders.

It should be noted that an in-depth, independent Learning Review was completed just prior to this evaluation case study, although the report was not available to this evaluation until just before the completion of this phase. On superficial review of the report, it appears that many similar strengths and areas to develop were raised, and similar recommendations made. The HIF Management team has largely accepted the recommendations of the Learning Review, which it will address in its next strategic phase (Learning Review report, March 2014). In its next phase, the HIEP evaluation will seek to follow up what the results of adopting the recommendations have been.

The findings of this case study are based on data collection during January -March 2014. The judgement criteria and indicators draw on those detailed in the evaluation matrix (see Annex 1.2 main report).

## **2. EQ1: Relevance : How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?**

### ***Emerging findings***

#### ***JC1.1: Responsiveness to identified problems***

The HIF responds to Problem 2 of the HIEP: *Inadequate synthesis and generation of evidence about which humanitarian interventions work best, and new ways to tackle humanitarian problems*. It contributes to all three of the HIEP Outcomes – financing for evidence and innovation, capacities for integrating evidence, and investing in innovations (JC1.1.1).

DFID identified the need for a space for innovation pledging initially £3million towards it at an ALNAP conference and the HIF was established. Internal and DFID interviewees felt that, following the HERR, there has been more momentum behind the HIF and innovation more broadly, following the recognition that there was a pressing need to invest in innovation and test out new approaches in humanitarian action.

All external stakeholders consider the HIF to be very relevant to the sector. Both external and internal stakeholders highlighted how evaluations of humanitarian responses are emphasising the need for better effectiveness and performance. One external stakeholder and one internal stakeholder observed that growth in the humanitarian system means increasing bureaucratisation, leading to more projectised delivery. So they felt that there is an acknowledged need for space to try out new things in response to changing contexts, especially to take learning from operational experience to improve practice and innovate more at scale.

In relation to its **potential to offer new insights (JC11.2)**, the HIF is considered by all interviewees – DFID, external, and internal – to be doing well as a catalyst in a dynamic and important sector that has previously not had enough funding explicitly for innovation, and as such it fills this strategic niche.

All external stakeholders confirmed that the HIF offers a novel and unique funding window, offering a resource that allows humanitarian agencies to try out new approaches. External stakeholders emphasised that there is no other space like it in the humanitarian sector that allows risk-taking and ‘failure’ in testing new approaches, processes or technologies, although other innovation funds exist in other sectors that could overlap, for example health (external stakeholder interview).

**Gender and social difference (JC1.1.3)** are considered at the project level according to an internal interviewee, although this was not possible to verify from the available documentation. The verbal evidence offered describes how the project considers gender and social difference at Grant Panel stage, and by integrating it into the risk criteria, especially when the project is intending to work with vulnerable groups, for example, children. When the granting decision is made, then there is a stage of due diligence which involves looking closely at how the project is managing and mitigating risks to vulnerable groups and other social issues. It would be helpful to make explicit in documentation the criteria that deal with gender, social difference, and vulnerable groups.

***JC1.2: Extent to which the project design is appropriate to address identified needs and opportunities***

Phase 2 of the HIF extends the **scale and scope of the project (JC1.2.1)**. The Annual Review (p. 7) highlights some of the most recent grants made to demonstrate the diversity of the portfolio:

**HelpAge International – RAM-OP – £150k**

RAM-OP is a rapid assessment method for assessing the nutritional status and needs, and other related factors, of older people in emergency situations. It includes a questionnaire, a sampling method, and software for data analysis. Needs to be finalised and tested to produce a guideline. HIF is funding development and testing in Ethiopia.

**IFRC – Menstrual Hygiene Management – £125k**

Menstrual Hygiene Management kits as a culturally appropriate and effective relief item for emergencies, complemented by improvement and scale-up of training and participatory hygiene promotion tools related to MHM. Testing in Southern Africa.

**IRC – Cognitive Processing Therapy in DRC – £150k**

Providing mental health services to survivors of sexual violence in emergency and post-conflict settings by integrating Cognitive Processing Therapy (CPT) into the public health system via a pilot in seven health centres.

**OCHA – Humanitarian Exchange Language – £150k**

The Humanitarian eXchange Language (HXL) initiative aims to make trusted, real-time humanitarian data easily available to the humanitarian community creating common data standards and coding for humanitarian actors. The Humanitarian eXchange Language (HXL), an innovative technology for exchanging data between systems, is a key component of this work.

**Liverpool School of Tropical Medicine – LQAS – £90k**

Lot Quality Assurance Sampling (LQAS) survey techniques will be developed and applied to monitor performance and impact of health services provision in Yida Refugee camp, South Sudan, in order to provide an evidence base for adapting services to needs and views of users.

**Translators Without Borders – Words of Relief – ~£150k**

TWB’s Words of Relief Crisis Response Network is a global translation and localisation initiative. Leveraging both human and technological resources, the project builds capacity to facilitate and improve communication among affected populations, field workers, and relief agencies during and after crises.

The WASH Window offers more scope for targeting specific critical challenges in that sector and through a wider range of innovation pathways than the open call core window (internal and external interviews). The WASH Window uses a range of innovation methods, such as:

- two-day workshop with non-standard agencies, called ‘accelerated innovation pathways’;
- web-based calls for proposals around challenges;
- work with suppliers who already have an idea to meet needs but need to develop it;
- set up groups with an existing approach from another sector in order to adapt it to WASH.

External stakeholders see the WASH Window as the right model to concentrate innovative effort on critical and widely endorsed operational challenges. The initiative has only been going for a year, but all interviewees, both external and internal, consider it to have strong potential for rapid progress by concentrating problem-solving and resources on particular challenging areas.

In terms of **planning for the applicability and transferability of the innovation findings (JC1.2.2)**, the HIF has an actively implemented communications plan, a 0.5FTE Communications Manager, and case studies of innovations are written up and shared on the HIF website. Grantees are also supported to plan for uptake through written guidance for applicants and some support from the HIF team (Annual Review, p. 14).

External stakeholders agree that the HIF is quite well networked in the sector through ALNAP and ELRHA. Responses to calls are good, showing a strong demand from the broad humanitarian sector (Annual Review 2013). One external stakeholder highlighted the uniqueness and importance of the HIF as a neutral broker in the sector, able to facilitate innovation because it is not tied to institutional or organisational frameworks (external interview 31).

However, external stakeholders have highlighted that getting innovations taken up is the biggest challenge the HIF faces in Phase 2, given its explicit role as a broker of innovations. External stakeholders would like to see more done to promote innovations to the wider sector, to convene and influence, and to broker partnerships to other innovation funders/funds that could continue the development of ‘proof of concept’ innovations funded by the HIF (specific recommendations below).

Furthermore, another external stakeholder flagged that the HIF does not have a visible profile at the UN Cluster system level and is not making systematic reports on promising innovations at this international level and so is potentially missing a vital uptake pathway (external interview 30). The WASH Window seems to be the most integrated into its community of potential users, because the ‘gaps analysis’ process itself is likely to have generated interest and expectation amongst stakeholders and beneficiaries, as it consulted so widely. Consultation involved over 900 people across nearly 40 countries, spanning 45 organisations including donors, UN agencies, and international and national NGOs as well as consultations with affected populations (WASH Fund, HIF website). The WASH Fund Technical Leadership are members of the WASH Cluster processes and structures, and therefore it may have more direct routes for uptake. However, the WASH Window is only one year old and will be embarking on its calls and accelerated innovation activities in 2014.

Given the breadth of the HIF’s core open call, all external stakeholders feel that there is more that could be done to support the linking of particular innovations to their specific sub-sectors of the humanitarian field. There is also a sense amongst some stakeholders that the types of innovations being funded are more incremental rather than transformative, for example, producing a ‘fix’ for a

symptom rather than addressing root causes of problems (external stakeholder interviews 28, 29, 30, 31).

However, one external stakeholder observed that the second round has produced some promising innovations to address complex, multi-dimensional persistent problems – known as ‘wicked’ problems (external stakeholder interviews 31). There is a sense that the HIF could extend its leadership in the sector by more proactively identifying ‘wicked’ problems and convening multiple actors to tackle these complex issues on multiple levels collaboratively (external stakeholder interviews 28, 31).

Still on the **scale and scope of the project (JC1.2)**, the Phase 2 HIF’s third output is to build the capability of the sector to develop and use innovation. This means that the HIF is expected to take on an increased convening role to support sector learning about how to develop and use innovation, and to influence policy and practice to encourage greater investment in innovation.

Although the focus up to now has been on getting robust grant management processes in place, Phase 2 HIF is now seen to be at a point where it needs to do more to move beyond awarding grants to take on a leadership role in the field in order to fulfil the aspirations for it to become a catalyst for innovation in the wider humanitarian sector (external stakeholder interviews 28, 29, 30, 31).

Internal stakeholders highlighted the new initiatives that are in place to synthesise learning from grants about innovation processes, case studies are being produced on individual projects, Webinars are being delivered, and there is an initiative to form a Community of Practice amongst grantees. There are some propositions about innovation that are being tested at the aggregate level of the whole fund, supported by some aggregation of case studies (internal stakeholder interview 32). There is also some follow-up of grantees after the end of the grant, although the HIF team acknowledged that this is more ad hoc than they would prefer, but resources currently do not allow for more systematic follow-up (internal interview 32).

Although these initiatives are in place, external stakeholders believe this area of the HIF requires significant strengthening and resourcing to create the innovation leadership and influence that they feel is required in the humanitarian field (external stakeholder interviews 28, 29, 30, 31).

In terms of ensuring the **quality of the innovation products (JC1.2.3)**, external stakeholders consider that the HIF is strong at ensuring the grant mechanism works effectively. Calls are well publicised and results of projects are shared through case studies on the website. There are clear procedures and due diligence processes which are documented in a Manual of Operating Procedures (MOP) to ensure their consistent application. There is also a Head of Finance and Grants to provide scrutiny and benchmarking on grant applications and budgets.

Technical quality and impact potential of both small and large grants are assessed by an independent grants panel of technical experts. They review every application that gets through to the review stage, guided by structured criteria, including for large grants:

1. clear demonstration of how the innovation will contribute to improving the effectiveness of existing humanitarian practice;
2. its potential impact;
3. appropriateness of methods; and

4. the replicability of an idea and plans for dissemination (Annual Review, p. 13; internal interview 32).

Projects use a wide range of methods, depending on the type of project. These range from:

- applied research projects, e.g. university-led projects;
- approaches using a project delivery format to produce some outputs;
- operational research;
- experimental designs (internal interview 32).

Since 2013, a new post of Senior Research Adviser has been appointed to the ELRHA structure, 0.5FTE advising the HIF. This post has been created to ensure that the HIF projects are being encouraged and supported to use appropriate research methods to high scientific standards (Annual Review, p. 19).

Projects funded through the HIF so far are perceived by external stakeholders to have met the HIF criteria to be quality, robust, and credible innovations, have strong methodologies, and succeed in generating evidence about the innovation being tried. Quality is maintained by having a protocol that does not aim to award a minimum number of grants in a year, but rolls the funding forward to the next round if applications are of insufficient quality (Proposal to HIEP, p. 23).

***JC1.3: Extent to which the project fits/harmonises with other relevant institutional, sectoral and country-based initiatives and opportunities***

On the **HIF's connection to initiatives within DFID**, stakeholders consider that the outreach to DFD advisers has not have been very strong; the interest is greater from the NGOs in the sector (JC1.3.1). There are no current links to other projects in the HIEP portfolio, as the HIF predates the programme, so there may be potential to build stronger linkages moving forward, for example with the USAID/DFID joint programme to incentivise humanitarian innovation.

With regards to **linkages to sectoral initiatives outside of DFID (JC1.3.2)**, the HIF is networked through ALNAP, but it could benefit from a higher profile in the international humanitarian system (interview 30). For example, HIF could be more involved in the Cluster system where it is not currently linked or represented. There had been an expectation that another project, DIV which aimed to support the scaling up of innovations and planned to be implemented with USAID might fulfil this role. It faced difficulties and its successor G-DIV (not HIEP funded) which will be launched later in 2014 is building on the lessons of trying to launch a humanitarian thematic window in DIV.

There is limited evidence that HIF is **linked with broader cross-cutting initiatives within the wider sector to address gender equality and social inclusion (JC1.3.3)**. For example, there are discussions taking place now on whether the next HIF Challenge Window should be on Gender and Protection.

***Strengths***

The HIF is viewed by external stakeholders as a unique space for supporting innovation in the humanitarian sector. The projects it funds are of steadily improving quality, with clear successes, for example:

- The IFRC project 'Mobile technology – listening to the voice of Haitians' received over 1 million calls to its HIF funded integrated voice recognition service in the first year

- The University of Laval “Origami” Inclined Plate Settler, received the International Water Association PIA-Development Award as global winners in the Applied Research category
- The UNICEF project using mobile phones to enhance family tracing and reunification received a wide range of positive press coverage and is now being expanded beyond original testing in Uganda. (Annual Review, p. 4)

There is an external view that projects are starting to tackle more complex challenges that have high potential impact, for example, translation and interpretation between local language speakers in affected populations, field staff, and agency staff during relief operations.

### ***Areas to develop***

The main area to develop, recognised by both internal and external stakeholders, is the need to develop further the HIF as a holistic innovation mechanism, with more strategies and resources dedicated to supporting the development and diffusion of ‘proof of concept’ innovations. External stakeholders will be watching with interest how the WASH Cluster evolves as a model for working in a targeted way and through multiple innovation pathways, and whether its potential is realised in its results. These issues are also relevant for EQ3: Effectiveness.

Specific areas to strengthen are outlined below. It should be noted that this case study report preceded the release of the Learning Review, and only a superficial reading of this has been possible. However, as this case study covered many similar aspects of the HIF as the Learning Review, the emerging conclusions and recommendations made here by external stakeholders echo those made in the Learning Review report (March 2014).

#### **1. Resourcing for innovation management, including mentoring of grantees and linking with other innovation initiatives to help projects progress further along the innovation pathway**

External stakeholders all raised the challenge around whether HIF is adequately resourced to achieve its aims around **innovation management**, for example, working closely with partners to help identify brokering relationships with other funds and actors to move ‘proof of concept’ innovations funded through HIF along to the next stages of innovation.

HIF could also play a more active role in mentoring and supporting grantees to identify, mitigate, and learn from failure, but the resources for this are lacking (external interviews 28, 29). Learning from failure is a key aspect of innovation, but this may not have been systematically captured to date (external interviewee 28). However, there has been a recent Learning Review which will provide some insights into these challenges (HIF Learning Review, March 2014).

Having said that, the HIF has a particular remit and cannot work across the whole innovation chain. DFID managers also have a role in doing more to connect the HIF or a particular innovation to other programmes in the portfolio that are funding a different stage in innovation. Connecting HIF more actively into the wider portfolio of HIF projects should help with this challenge.

#### **2. Influencing and outreach across the sector to support the take-up of HIF innovations**

As has been noted, the main challenges for Phase 2 HIF are seen by external stakeholders to be: i) getting innovations taken up; and ii) influencing the wider agenda around humanitarian innovation.

Although there is more work being done now on capturing case studies and producing synthesis on learning about the innovation process, some external stakeholders have the view that more leadership and strategic communication is needed to influence the agenda on humanitarian

innovation. HIF's evidence and stories of successes and failures could be more systematised and shared with the broader humanitarian community to build up its leadership and innovation (external interviews 28, 29, 30, 31).

In addition to the case studies, there may be opportunities for more targeted and active learning – the expectation is that the recent Learning Review has identified these and will be making specific recommendations (internal interview 32).

### **Recommendations**

- Now that the grant administration processes have been established, HIF could benefit from more resources to enhance its ability to provide mentoring to grantees, promote innovations to the wider sector, and synthesise learning and influence for greater investment in innovation.
- Specific recommendations made by external stakeholders include:
  - Launching an annual forum to showcase innovations to the relevant humanitarian sectors;
  - More focussed learning events with grantees working in similar areas or sectors;
  - Webinars to give grantees the opportunity to talk about innovation;
  - Encouraging grantees to be more open about communicating of what works and what does not work about innovations.

### **3. EQ2: Efficiency : To what extent and how has the project delivered value for money (VfM)?**

#### **Emerging findings**

##### **JC2.1: Extent to which the project has optimised use of resources to achieve results**

The first indicator under this section is whether VfM considerations have been taken into consideration in the **planning, procurement, and management of the HIF (JC2.1.1)**. In 2013, 87.9% of the HIF DFID budget went to grant disbursement to third party organisations. The 4.5% for administrative costs compares well to other RED programmes (Proposal to HIEP MC, p. 44).

At the level of the whole programme, the hosting of HIF within ELRHA and SCF provides the systems and services for managing value for money. Save the Children Fund follows the procurement procedures of Save the Children International with VfM clearly stated as a key consideration. There is endorsement from DFID stakeholders that this offers confidence that value for money is being actively managed (HIF Proposal to the HIEP; Annual Review; Accountable Grant Agreement; internal stakeholder interviews).

Systems and procedures ensure that VfM criteria are applied consistently by ELRHA/HIF staff. Save the Children's guidelines have been summarised and adapted to ensure that all HIF staff are aware of the procurement process to follow, and that Value for Money is assessed for each purchase done within the structure. In 2013, a Mandatory Operating Procedures handbook (MOP) was been produced for HIF that ensures that each application received is treated in a consistent manner and due diligence followed. One of the criteria which has to be explicitly assessed for each grant application is Value for Money.

For core grants, all project proposals that reach the review stage are assessed by the independent Grants Panel. This panel consists of independent experts representing a range of knowledge and expertise relevant to the funding programme. The Grants Panel, assisted by the ELRHA Finance and Grant Manager, assesses the following questions for each of the applications reviewed:

- How cost effective is the intervention in question?
- Does the budget appear reasonable for the proposed package of work, and do the costs represent good value for money?
- Given the likely impact of the innovation relative to the amount of funding requested, to what extent does the proposal represent good value for money overall? (Annual Review, p. 17)

The HIF management seeks to look at the project in the round: at the potential impact, the potential risk, and even if there is innovation failure, this is anticipated and managed, and the learning is captured, so there is still some value generated. Failure through poor project management is minimised with clear policies and procedures (internal interview 32; Annual Review, p. 17).

Organisations awarded funding are required to submit financial and narrative reports during the funding period, in order to follow their progress and provide advice in case of any issue which could impact significantly the delivery of the project.

There is no evidence at this stage that there are **systems to address gender equality and other equity issues from a VfM/4Es perspective (JC2.1.2)**. For Phase 2, **alternative management arrangements were considered (JC2.1.3)**. Alternative management and implementation arrangements are set out in the DFID proposal document. A strong case is made for DFID to invest through the same agreed HIF route based on phase one performance and an argument that it would not represent good VfM to recreate a parallel structure. Alternative delivery arrangements are also set out for how best to take forward Output 2, but after an extensive consultation process a strong case is made for an integrated rather than separate approach for this strand of work (DFID Proposal, pp. 46-47).

In terms of **leveraging other funds (JC2.1.4)**, an additional commitment has already been received from the Canadian government for a two-year grant of £450k on the basis of the pilot year (DFID Proposal, p. 31). It is anticipated that the overall per cent of support required from start-up investors (UK, Sweden, and Canada) will reduce over time as new contributions are secured and the funding base expands to four to six donors signing up to multi-year agreements (DFID Proposal, p. 43). Internal stakeholders suggest that there is interest from other funders in the WASH Window model, and that this may be a good model for attracting additional funders, for example, to a potential Gender and Protection Window (internal interview 32).

There is good evidence that **budget-monitoring processes are timely (JC2.1.5)**. The recent appointment of a Finance and Grant Manager has strengthened the systems for VfM management. A financial review of all the grants managed by ELRHA is done on a monthly basis (Annual Review, p. 17). Programme managers are given general comments on their budgets, and updates of the budget versus actuals, with a list of the expenses of the month and a forecast until the end of the programme.

Cost analyses of the key cost drivers for support costs (HR, travel, and communication costs) are completed on an annual basis by the Finance and Grant Manager to first ensure that the expenses are on track with the forecast but also to ensure that ELRHA has in place the most efficient processes and structure (Annual Review, p. 17).

**JC2.2: Extent to which trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved**

There is medium evidence that **short- and long-term results are considered in resource allocation choices (JC2.2.1)**. The DFID proposal presents an argument for taking forward both the original core HIF approach as well as a new sector-based approach as part of the expanded Phase 2. Although it would have been possible to take forward just one strand, the proposal justifies an integrated approach on the basis of the potential results that will be achieved (DFID Proposal, p. 4).

The proposal also states that investing in innovation should be seen as a long-term strategic choice and suggests that the VfM will only be realised further downstream from the period of initial investment (DFID Proposal, p. 44).

With regards to the tolerance of failure in the short-term for gain from lessons learned in the long-term, an external stakeholder flags that there is the need for more staff resources in the HIF team to provide a mentoring and supporting role to the various projects to help identify and mitigate failure. Learning from failure in the short-term may not have been systematically captured and there is a learning gap here that needs to be addressed (external interview 19).

Rather than working toward minimum grant disbursement targets, in the interests of maintaining quality, the HIF model allows the rolling forward of unspent funds, rather than funding sub-standard applications. On a quarterly basis, a meeting is conducted between the Finance and Grant Manager and the Programme Manager, to review the disbursement rates and reforecast spending to see if some savings can be made and reallocated if needed (Annual Review, p. 17).

**Strengths**

There are rigorous systems, procedures, routines, and dedicated resources for proactively managing VfM in place.

**Areas to develop**

It is unclear whether HIF has developed an explicit definition of VfM for innovations, e.g. systems for managing it, criteria for valuing learning from testing and failing/passing innovations, and potential value of impact of mainstreamed innovations. It would be helpful to make explicit some 'work in progress' definitions for how to approach VfM in humanitarian innovation management. The proposal to the HIEP Management Committee flags that an agreed tolerance of failure rate has been agreed:

"The HIF Strategy Group has agreed a tolerance of failure rate for each stage of funding support as follows:

- In the **early phases** of *recognition* and *invention* (small grant support) a success: failure tolerance of 1:6 has been agreed
- For the **mid phases** of *development*, *implementation* and *testing* (large grant support) a success: failure tolerance of 1:5 has been agreed (although note that this rate is from a much smaller pool, due to the stage-gated process)
- And in the **final phase** of *diffusion* (small grant support) a success: failure tolerance of 1:6 has been agreed

- These tolerances are the minimum thresholds required to support the emergence of a more innovative culture in humanitarian practice, however the actual results over time may see the innovations performing significantly better than the agreed tolerances.” HIEP Proposal, p. 39)

It is not clear whether the tolerance of failure rates have been explicitly linked to VfM management, but they are related.

### **Recommendations**

Consider developing a ‘working approach’ for proactively managing VfM in innovations, including getting value from ‘failed’ innovations and drawing on tolerance of failure rates. This would be a useful practical contribution from the HIF to support sector-wide learning about managing innovation investments.

## **4. EQ3: Effectiveness: To what extent and how has the project ensured the creation, support, and application of high quality and relevant humanitarian evidence and innovation?**

### **Emerging findings**

#### **JC3.1: Extent to which project plans to produce HIEP outputs**

The HIEP outputs are **high quality evidence products, cross-institutional relationships and partnerships, and skills built for developing and using evidence and innovation (JC3.1.1)**. There is medium evidence that the HIF is planning and implementing activities that will contribute to the HIEP outputs. The first HIEP output corresponds to the 3<sup>rd</sup> HIF output – capability of the humanitarian sector to innovate. There is strong evidence: the innovations that are being funded are of good quality, with quality checks fully integrated into the grants selection process, as evidenced in the Relevance section above. Guidance given to applicants in both the small and large grants emphasises the need for both creativity and rigor in order to build credible evidence around the performance of the innovation by:

1. monitoring and reporting on the project deliverables and systems in order to answer questions about the progression of the project on a output level;
2. establishing an approach to make evidentially robust statements about the performance of the innovation (and particularly how the innovation compares with current practice – HIF Guidance on website <http://www.humanitarianinnovation.org/funding/selection-criteria>).

On cross-institutional relationships, the HIF application process prioritises collaborative and consortia ways of working, especially between ‘non-traditional’ partners. In relation to the HIF’s Output 3: Capability of the humanitarian sector to innovate, the HIF has met its target that 80% of funded projects be from consortia, and 50% include academic or private sector partners (Annual Review, p. 12).

However, external stakeholders have noted that while collaboration is prioritised, so far, there has not been much involvement of the private sector in practice (external interviews 28, 30). External stakeholders highlighted the difficulties of achieving cross-sectoral collaboration, unless this is proactively brokered and time taken to build trust (external interviews 28, 29, 30, 31). One external stakeholder noted that the humanitarian sector is fairly small and therefore does not offer a large enough market to attract private sector investment, so reaching out to the wider development sector is required.

So, the external view is that the HIF could do more to actively broker relationships and encourage people from different fields to come together and collaborate (external stakeholder interviews 29, 30, 31), but this requires capacity that is not in the HIF team at the moment. The new WASH Fund has an explicit brokering component but it is too early to say whether it will be more successful in attracting non-traditional partners than the main HIF.

In terms of skills-building to develop and use innovation, mentoring of grantees and convening learning around innovation across the humanitarian field are both areas that external stakeholders have highlighted as requiring strengthening. In particular, one external stakeholder raised the need to work more closely with grantees to understand why some projects fail to provide mentoring support to mitigate failure, and also to gather more detailed learning from failed innovations (external interview 28).

The core areas of quality of the research and evidence, collaboration, and diversity of grantees form three of five new key performance areas that the HIF will track over the long-term (the others are the impact of the projects and the sustainability of the funding base) (Annual Review, p. 21). However, reporting against these has not yet started as they will form part of a strengthened M&E system for ELRHA as a whole.

There is only verbal evidence that the HIF has plans for **gender and social exclusion analyses to inform its outputs (JC3.1.2)**. Data disaggregation is not being looked at the level of HIF, but the team is considering scoping a generic set of principles for doing humanitarian innovation, which includes gender and social difference criteria and sensitivity (internal interview 32). There are also internal discussions on whether to develop a gender-specific thematic window similar to the WASH model, which would strengthen the focus on gender and protection challenges.

### ***JC3.2: Extent to which socially inclusive/gender-sensitive strategies are in place to ensure behavioural changes***

In the HIEP theory of change, the intermediate behavioural changes are: i) champions advocating evidence; ii) knowledge brokered; iii) operational actors endorsing evidence; and iv) DFID funding becomes more based on evidence. There is medium evidence that the HIF has strategies in place to influence these **intermediate behaviour changes (JC3.2.1)**. The HIF's third output – Capability of humanitarian sector to innovate – maps closely to the HIEP's behaviour change and outcome areas.

HIF Phase 2 is intended to have a networking and convening role, both to support the uptake of its grantees' innovations and to influence debates about innovation in the humanitarian field. HIF also intends to make links between its grantees, operational agencies, and other funds and programmes that could endorse, finance, and mentor their further development.

In support of this role, the HIF has a comprehensive communications strategy which includes a website, Twitter feed, blogs from grantees, attendance at events, and specialist and general press coverage (Annual Review, p. 21). External stakeholders note that this communication stream is starting to build the profile of the HIF and key projects.

To support its influencing role, HIF is synthesising and testing some over-arching propositions about innovation, as a contribution to debates about innovation. But external stakeholders feel that these contributions are not gaining sufficient profile to engage actors in debates and really have an influence. Strengthening HIF's leadership role as a pioneer in a rapidly developing field of humanitarian innovation was highlighted in the recently released Learning Review. The Learning

Review has made extensive recommendations to address this, which the HIF Management team has largely accepted and will address in its next strategic phase (Learning Review report, March 2014). There is no evidence of gender sensitivity in influencing and behaviour change strategies.

### ***JC3.3: Extent to which project aims contribute to HIEP outcomes and overall aim***

The HIEP outcomes are **new funding instruments, changes in capacities around evidence, and investment into innovation (JC3.3.1)**. The HIF's output 3 – Capability of the humanitarian sector to innovate – closely maps onto the HIEP outcome areas. Phase 2 of the HIF emphasises HIF's wider role as a catalyst and influencer of innovation across the sector. Part of this role is to build the capacity and skills of the humanitarian sector to develop and use innovation through establishing support at the global level (DFID HIEP Proposal, p. 22).

If the HIF is successful in this role, there would be changes seen in the investment patterns into humanitarian innovation. There is limited evidence at this stage that there are strategies in place to achieve this; the findings detailed in the Effectiveness and Relevance sections highlight that these aspirations have yet to be achieved in practice (external interviews 28, 29, 30). However, this is a gap that was recognised by the HIF Management Team and DFID (internal interviews), and has been further reinforced by the findings and recommendations of the Learning Review. The formal intentions of the HIF Management Team to address this are encouraging and the results will be tracked in later phases of this evaluation process.

A further constraint is that HIF is not yet actively linked into the wider portfolio of HIEP projects that are working on innovation (JC3.3.2), although this is likely to improve once HIEP projects become more actively linked into a programmatic structure. There is particular interest in making stronger links with the DFID/USAID joint fund for humanitarian innovation, as this is intended to fund second-stage, proof of concept innovations and so offers exactly the right kind of innovation pathway for successful HIF projects (internal interview 32).

### ***JC3.4: Extent to which management approach enables creation, support, and application of evidence and innovation***

There is medium evidence that **management tools are in place to monitor progress towards change (JC3.4.1)**. Granted projects are required to articulate where they are in the innovation pathway and how uptake is going to be supported as one of the key selection criteria. It was not possible to verify the quality of these plans, as the evaluation team did not have access to grantee documents at the time. The Annual Review states that reports on outcomes are not yet available but will be provided in the future (Annual Review, p. 14).

However, because even the large grants are only of 18 months duration, only light-touch reporting back to the HIF team is required. There is an ambition for systematic follow-up of completed projects to gather information on outcomes and impact (Annual Review, p. 14), but in reality, staff resources have only allowed for informal, ad hoc follow-up.

There is medium evidence **that learning mechanisms are in place (JC3.4.2)**. This is a core part of the sector learning and convening mandate for the HIF Phase 2. Plans are being implemented to strengthen the synthesis of the learning from funded projects and wider lessons on innovation. However, this is an area that has been flagged as requiring strengthening.

### ***Strengths***

- Strong core granting mechanisms and quality assurance processes are in place to ensure good quality innovation projects and outputs.
- The HIF's profile and reputation is steadily increasing in the humanitarian sector internationally.
- The gap around sector-wide learning and influencing has been recognised, and plans are being developed to address it.

### ***Areas to develop***

- Proactively identifying, engaging, and brokering of non-traditional partnerships across sectors, especially the private sector.
- Strengthening systems and mentoring capacity to rigorously identify which projects are failing and provide appropriate mentoring support.
- Explicitly working more broadly as innovation managers within the existing grant-making approach, providing greater mentoring and relationship brokering for grantees.
- Actively connecting to other HIEP projects working on innovation, as potential follow-on funders for successful HIF innovations.

### ***Recommendations***

- Consider expanding the resource for the HIF's leadership and convening role and bringing together humanitarian, private sector, and other agencies from inside and outside the sector.
- Consider ways beyond case studies to improve the capture of lessons and evidence from both successes and failures so that learning from evidence around what works/does not work, particularly the synthesising of innovation management lessons for the wider sector, becomes more systematised.
- Explore the potential for developing generic criteria for doing humanitarian innovation, which includes gender and social difference criteria and sensitivity, as a contribution to sector-wide learning.
- Consider how more systematic follow-up of completed project outcomes and impacts could be built-into the future Learning and Influencing strategy.

## **5. EQ4: Impact: What contribution will the project make to HIEP to aim to build and sustain evidence aware policy and practice by humanitarian organisations?**

### ***Emerging findings***

#### ***JC4.1: Extent to which the project has articulated what change will look like in DFID and key organisations/targets***

The proposal to the HIEP to support the HIF states that by 2015, the HIF will have:

- Tested more than 50 innovations in humanitarian practice (technologies and processes);
- At least three of which are being taken to scale (i.e. adopted by more than five humanitarian organisations and/or reach more than 1 million people);

- Influenced the innovation agenda so that innovation is considered a worthwhile investment (HIF Output 3: Increased capability of the humanitarian sector to develop and use innovation.).

There is verbal evidence that the team have considered which institutions need to be targeted to support these changes (JC4.1.1). For example, in single agencies such as UN OCHA, there are units focusing specifically on innovation which the HIF team would like to see move from being on the edges of the main work of emergency response to having a much greater profile in the mainstream of agencies. Other examples of targets are the institutions and individuals who have a mandate for innovation in global humanitarian processes, for example, the World Humanitarian Summit 2016, which has as one of its four themes ‘Transformation through Innovation.’ (In itself, this shows how rapidly innovation is moving up the humanitarian agenda.)

However, there was no evidence that the team has analysed how these individuals and organisations would need to change in order to either invest in taking promising innovations to scale or to shift towards considering innovation a worthwhile investment (internal stakeholder discussions). As these are explicit aims for the HIF Phase 2, then clear influencing strategies should be developed and implemented, based on an analysis of the changes that are required – individual, relational, institutional, and in systems and structures.

***JC4.2: Extent to which the project has gender-sensitive plans to build capacity in Southern actors to be able to access funding for research and also to support, produce, and apply evidence and innovation***

Internal and external stakeholders share the belief that there is untapped local innovation to bring to the fore. This is linked to the growing trend in humanitarian assistance to see grassroots, local, and national organisations as the leading capacity for response in emergencies. There is also the need, highlighted by some external stakeholders, to involve affected populations in processes of design and innovation of new practices (internal and external interviews).

So there is a strong case for capacity building, but the HIF team feel it is not the fund’s core role to do (internal interview 32). The HIF model itself does not have the capacity to provide the due diligence, financial scrutiny, and offer project support and mentoring needed to bring in smaller, grassroots organisations that have no track record in finances or proposal development. This would require a different remit and funding mechanism.

However, the HIF aims to work within its remit to address Southern capacity building through encouraging UK/Northern NGOS to partner with smaller Southern organisations. It also has a small budget line that can be used to help support the development of an idea to proposal stage – the £150k Innovation Ventures fund (internal interview 32).

However, despite the perception from the team that supporting local, Southern-based institutions is at the edges of its remit, it is interesting to note that the Annual Review states that, “Diversity of grantees: number of local/Southern organisations leading projects” will be key performance indicator. So this may become more of a priority in the future for the HIF.

As a general conclusion, external stakeholders feel that the HIF is still unique in the sector as an open innovation mechanism and is the most mature fund; change in the sector around evidence and innovation is unlikely to happen without it. However, with the rapid expansion of the humanitarian innovation space, there are many other innovation programmes about to start up. It will become

important for HIF to identify its unique contribution to a humanitarian innovation ‘ecosystem’ with many more players and potential investors, and also to build its leadership and linkages with these.

**6. Gender and social diversity** (any additional comments not covered above)

None.

## 7. Formative phase conclusions

### 7.1 Dimensions of change – mapping the project to the HIEP theory of change

The table below includes all the dimensions of change detailed in the HIEP theory of change and summarises the extent to which the project aims to address these and current plans to enable change.

Change areas (Taken from HIEP theory of change)	Summary of the intended changes and the strategy and plans to address this change area
<b>Output 1. High quality and relevant research and evidence products [LIST PLANNED OUTPUTS]</b>  Quality and relevance considers a) scientific rigour; b) extent of engagement with stakeholders; and c) “reach” of outputs/dissemination	For the innovations being tested, there is obviously a high degree of evidence about that specific innovation. However, systematising wider evidence on innovation processes needs strengthening. Reach to a wider network of humanitarian actors also needs strengthening.
<b>Output 2: Relationship and partnership formed or strengthened between DFID divisions and with partner agencies</b>	No specific DFID relationships or skills changed, as outreach to DFID advisers has been weak. Within individual innovations, there is stronger potential for cross-agency relationships, but generally relationships with non-traditional actors and cross-sectoral linkages need strengthening.
<b>Output 3: Relevant individuals have skills to design, commission, and apply humanitarian research</b>	No evidence of intentions or targets for skills-building for designing or commissioning innovation.
<b>Behaviour Change 1: Debate of and advocacy for HIEP evidence</b>	HIF is synthesising and testing some over-arching propositions about innovation, as a contribution to debates about innovation. But it is not clear to what extent these are gaining sufficient profile to engage actors in debates.
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	HIF is intended to have a networking and convening role, both to support the uptake of its grantees’ innovations and to influence debates about innovation in the humanitarian field. But this is an area that needs strengthening.
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	HIF is intended to make links between its grantees, operational agencies, and other programmes that could endorse and support their further development, but this has been highlighted as an area to strengthen.
<b>Behaviour Change 4: Funding and operations change</b>	HIF has as an objective the influencing of investment patterns into humanitarian innovation, but this has been highlighted as an area to strengthen.
<b>Outcome 1:</b> International donors, including DFID, develop funding instruments and frameworks for investment into evidence, innovation, and its applications	HIF is intended to influence investment patterns into humanitarian innovation, but this has been highlighted as an area to strengthen.

<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures, and systems to promote the regular integration of evidence into humanitarian and DRM interventions	As in BC4
<b>Outcome 3:</b> Policy and practice actors invest in social, economic, and political innovations that focus on benefits for poor people in humanitarian crises	As BC4
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning, and delivery of humanitarian policies, programmes, and practices to manage risks and deliver rapid, effective responses in emergencies	HIF shares this aim, but as a single intervention can only make a contribution to this aim.

### 7.1.2 Any other comments/conclusions

As HIF is still unique in the sector as an open innovation mechanism, change is unlikely to happen without it. However, there are other innovation projects about to start up in the humanitarian area, so it will become important for HIF to identify its unique contribution to a humanitarian 'innovation chain' with more players/investors, but also to build linkages with these other players.

## 7.2 Project assessment

Summary of assessment:	Strength of evidence:	Score and conclusion:
Summary of each judgement criteria based on evidence at indicator level	<p>The types of evidence are on a scale which gives increasing confidence in plans i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this.</p> <ul style="list-style-type: none"> <li>a) Verbal/planned strategy (an intention)</li> <li>b) Documented strategy in DFID proposal</li> <li>c) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>d) Documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<p>Score of the strength of <u>progress and strategies</u> to ensure relevance/efficiency/ effectiveness/impact as:</p> <ul style="list-style-type: none"> <li>a) High – Detailed strategy with strong evidence of progress or potential to achieve strategy</li> <li>b) Medium – Good strategy with some evidence of progress or potential to achieve strategy</li> <li>c) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy</li> <li>d) None – No strategy in place</li> </ul> <p>There is not enough evidence to make a judgement</p>
<b>EQ1: Relevance</b>		
<p><b>Summary of judgement:</b></p> <p>Strong- Good evidence that the project has responded to needs and opportunities</p> <p>Medium – some evidence that the project design is appropriate to address identified needs and opportunities – the sectoral influencing and uptake approach is relatively weak</p> <p>Limited evidence that the project fits/harmonises with other relevant institutional, sectoral and country-based initiatives and opportunities</p>	<p><b>Strength of evidence:</b></p> <ul style="list-style-type: none"> <li>a) Verbal/planned strategy (an intention)</li> <li>b) Documented strategy in DFID proposal;</li> <li>c) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>d) Documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<p><b>Score and conclusion:</b></p> <ul style="list-style-type: none"> <li>a) Medium – Good strategy with some evidence of progress or potential to achieve strategy. Sectoral influencing approach and convening for uptake and learning is relatively weak. The HIF will benefit when stronger links are formed with other projects in the HIEP portfolio, and if it is able to link better to the Cluster systems.</li> </ul>
<b>EQ2: Efficiency</b>		
<p><b>Summary of judgement:</b></p> <p>Some evidence that the project has optimised use of</p>	<p><b>Strength of evidence:</b></p> <ul style="list-style-type: none"> <li>a) Verbal/planned strategy (an intention)</li> </ul>	<p><b>Score and conclusion:</b></p> <ul style="list-style-type: none"> <li>b) Medium – Good strategy with some evidence</li> </ul>

resources to achieve results.  Some evidence that trade-offs between long-term and short-term results and any conflicting demands for resources have been considered and resolved.	<ul style="list-style-type: none"> <li>b) Documented strategy in DFID proposal;</li> <li>c) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>d) Documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	of progress or potential to achieve strategy. Systems and procedures are in place to ensure value for money. It would be helpful (and innovative) to articulate how VfM can work in the case of a 'failed' intervention.
<b>EQ3: Effectiveness</b>		
<p><b>Summary of judgement:</b> Some evidence that the project plans to produce HIEP outputs</p> <p>Some evidence that socially inclusive/gender-sensitive strategies are in place to ensure behavioural changes – although there is an acknowledged gap in uptake and mentoring of innovations through to next stage</p> <p>Medium – there is medium evidence of strategies to contribute to HIEP outcomes and overall aim, although this gap is acknowledged and plans are being developed to address it</p> <p>Some evidence that the management approach enables creation, support and application of evidence and innovation</p>	<p><b>Strength of evidence:</b> Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this.</p> <ul style="list-style-type: none"> <li>a) Verbal/planned strategy (an intention)</li> <li>b) Documented strategy in DFID proposal</li> <li>c) Documented strategy and workplan with resources – communications strategy, learning and synthesis strategy</li> </ul>	<p><b>Score and conclusion:</b> b) Medium – Good strategy with some evidence of progress or potential to achieve strategy. The HIF team acknowledges that there is a gap in uptake and mentoring of innovations through to next stage. There is also a gap around activating the HIEP's intended role to convene and synthesise learning about innovation to influence the wider humanitarian sector.</p>
<b>EQ4: Impact</b>		
<p><b>Summary of judgement:</b> Low – Limited evidence that the project has articulated what change will look like in DFID and key organisations/targets</p>	<p><b>Strength of evidence:</b> Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this.</p>	<p><b>Score and conclusion:</b> Low – The HIF management team are thinking about this issue but there is limited evidence of progress or potential to achieve strategy. In Phase 2, HIF has an explicit role as an innovations broker to support the uptake of the innovations it funds and to connect</p>

<p>Low – Limited evidence that the project has gender-sensitive plans to build capacity in Southern actors to be able to access funding for research and also to support, produce, and apply evidence and innovation</p>	<ul style="list-style-type: none"><li>a) Verbal/planned strategy (an intention)</li><li>b) Documented strategy in DFID proposal</li></ul>	<p>them to innovation development funders. It also has a role to influence the wider sector to develop, use and invest in innovation processes. However, the strategies and resources to realise these roles are not yet in place.</p> <p>The HIF has a small fund for innovation ventures, which is sometimes used to support smaller organisations. The HIF also tries to address this through partnerships with UK/Northern NGOS to bring smaller Southern organisations along.</p> <p>However, the HIF has not been designed or resourced to target smaller, Southern-based organisations. This groups would require significant mentoring and due diligence to support them to win grants. Nevertheless, the HIF has a key performance indicator on number of local/Southern organisations leading projects, so we expect to see this score improve at the next evaluation phase.</p>
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### 7.3 Learning about process and management

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement this area?	What learning can be drawn from these for other contexts?
Relevance	Enthusiastic support from policymakers, funders, and practitioners in the humanitarian sector.	The humanitarian system is increasingly bureaucratic, risk-averse, working to proposals and log-frames, and project delivery. The project mentality is closing the space for innovation and risk-taking, and there is insufficient balance between funding for delivery and funding to innovate and refresh approaches. Great majority of organisations do not have core funding or any funding for innovation and R&D.	The importance of investing in engagement and 'gaps analysis' type of activities to ensure that there is an engaged, primed, and receptive community.
Efficiency	Appointment of specialist Finance and Grant Manager.	Changes in leadership delayed establishment of grant administration procedures.	Importance of bringing in specialist capacities for technical financial tasks, especially in innovation which has different financial dynamics given the uncertainties of success or failure.
Effectiveness	Establishment of strong grant administration procedures are ensuring quality projects.	Lack of resources are inhibiting more active innovation management and linking of successful projects to potential 'next-stage' development partners/funds.  Same constraint is slowing down the development of HIF's sector-wide learning, convening, and influencing role.	Importance of resourcing in 'innovation management' capacities in addition to grants administration to provide mentoring, broker relationships with 'next stage' investors, and convene across sectoral boundaries and to influence at a sectoral level.
Impact	Good quality projects, recognised as such, together with a communications strategy have contributed to the HIF's impact potential.	HIF is not designed to reach local/small organisations – but there is no specialised/targeted innovation grant mechanisms that are designed and resourced to encourage and	This is a gap in the 'innovation ecosystem' that requires a specially designed programme to address.

		support smaller local organisations to access funds, so local innovation capacity building is not happening.	
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## Case Study 6: Secure Access in Volatile Environments

### 1. Introduction to case study

The Secure Access in Volatile Environments project (SAVE – renamed from Aid in insecure environments) has a budget of up to £1.6 million to run over three years to 2016. Its aims are to establish evidence and new resources, which will, in turn, support the delivery of aid in the most insecure environments. Humanitarian Outcomes has been contracted to implement the project 2014-16 and is nearing the end of its inception phase. Humanitarian Outcomes is working in partnership with two other organisations, the Global Public Policy Institute (GPPi) and Centre for International Cooperation, New York University (CIC) under Humanitarian Outcomes overall leadership to implement the project.

The project is made up of three strands:

1. Mapping access by generating quantitative evidence of how access to aid changes as a result of insecurity (in four focus countries over time);
2. Research into what works best and identifying intervention effectiveness; and
3. Developing a monitoring and evaluation (M&E) framework for practitioners to measure intervention effectiveness.

Fieldwork is focusing on four case study countries: Somalia, South Sudan, Afghanistan, and Syria.

The evaluation case study process included a document review, interviews with DFID staff, Humanitarian Outcomes, and external stakeholders. A planned workshop for the evaluation, which would have brought this group together, was not implemented due to the geographical spread of the team working on the project (DFID based in London and East Kilbride, Humanitarian Outcomes in New York). Instead, the questions the workshop was designed to address were covered in interviews with DFID and Humanitarian Outcomes. This stage of the evaluation took place before the inception phase report was available. A constraint faced in the evaluation process was that the DFID procurement department did not make available to the evaluation team the proposal from Humanitarian Outcomes nor a more detailed budget for the project (though some aspects of the budget were still under development in the inception phase).

The findings of this case study are based on data collection during January -March 2014. The judgement criteria and indicators draw on those detailed in the evaluation matrix (see Annex 1.2 main report).

### 2. Relevance: How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?

#### 2.1 Strengths

##### *Responsiveness to identified needs and problems*

The project clearly addresses two of the HIES-identified problems which form the basis of the theory of change, i.e. Problem 2: inadequate synthesis and generation of evidence about which humanitarian interventions work best and new ways to tackle humanitarian problems; and Problem 3: insufficient analysis about how to work with national and local institutions to manage disasters, especially in insecure settings.

There was a structured process to identify the gaps in the evidence and then refine and focus the approach to it. This included an initial literature review which informed DFID's own terms of reference and later in the

inception phase of the project there was a methodology conference and broad consultation involving approximately 200 people at international and country levels.

There has been good involvement to date by potential users of the project's findings and products. External key informants confirmed the relevance of the project and its anticipated approach. While the project does not address all the gaps identified in the original literature review, it was believed to be clearly intending and resourced to make a substantial contribution to address the evidence gaps in the sector. The scale of investment is credited by external organisations as significant. The project clearly has potential to provide new insights given the limited information on access at present.

### *Project design*

The focus countries for fieldwork have been selected with care. The project team and external stakeholders consider they are likely to produce findings which will be of relevance to other locations. Interviews with the Humanitarian Outcomes team demonstrated that they are fully aware of the need to present findings both to capture the particular context and learn from the case study countries, but also at least to be illustrative of issues relevant to other contexts.

External informants commented on the welcome flexibility shown by the implementing team (Humanitarian Outcomes) in considering feedback during the inception phase consultation period and a belief this was being taken on board in shaping the direction and approach of the project (inception report was pending at this stage). Examples included a view that the initial proposal had become less focused on only quantifiable data but rather would be more tailored to produce maps which were more nuanced displaying dynamics of access, and also that lessons and learning would be highly contextualised which was valued by evaluation informants.

There are a number of key factors the project will have to take into account, which interviews with DFID and the implementing partner indicate are being considered during this inception and project design period. These include:

- data gathering and quality assurance in difficult-to-access communities;
- gender issues both in terms of gathering gender-disaggregated data and in the appropriateness of the research methodology, research teams, and potential users of outputs;
- the complex relationship between aid coverage and security of access, i.e. insecurity is not the only reason for lack of coverage;
- efforts to involve a broad range of organisations and individuals in the process at country and international level both to access data and also to build up a receptive environment for findings.

### *Harmonisation with other initiatives in and outside of DFID*

There is good linkage with other key developments in the sector with relationships formed between Humanitarian Outcomes and OCHA, for instance, and so linkage with their own work to monitor access. The DFID team directly working with this project was not aware of any other HIEP or broader DFID-supported initiatives that this project could or should link with beyond a project underway being implemented by DARA and the DFID team's involvement in the HIEP virtual team. However, the implementing partner had a good knowledge of the number of DFID initiatives which SAVE could and should link with. Some connections had been made during the inception phase and others are planned for, e.g. with 3ie impact evaluation process, Secure Livelihoods Consortium, Fragile states thematic evaluation of resilience building in fragile and conflict affected states. It will be useful to build a more shared understanding across the DFID-Humanitarian Outcomes team of the potential linkages that can and should be made between SAVE and other initiatives

within and outside DFID. Also, considering that there are common stakeholders such as OCHA and ICRC in other HIEP projects, it would be useful to consider how they can best complement each other.

### *Gender and diversity considerations*

The inclusion of a gender and diversity specialist in the Humanitarian Outcomes process to develop the methodology for the three components to inform questions asked and methodology looks likely to help ensure that gender and diversity issues are considered. The team demonstrated clear sensitivity to questions asked, who is being asked, and methods for data gathering. Gender and diversity was an issue DFID requested to be taken into account in the project though DFID did not stipulate that disaggregated data should be provided or be part of the data gathering process. However, it was clear that the DFID team anticipated it would difficult to meet the terms of reference without disaggregated data.

## **2.2 Challenges and factors to consider**

Areas that emerged that may need additional attention to ensure the relevance of the project and its products included the following:

- **Stakeholder engagement.** The inception phase demonstrated a welcome, wide consultative process involving approximately 200 stakeholders. The inception report and communication strategy was still in development during this formative phase evaluation so it was not clear how the strategy will aim to build awareness among a wider group of people and organisations than those directly involved. Some external stakeholders expressed concern that there is a risk the project refers to “the usual suspects” in its process, though the planned in-country work should help overcome this risk. However, the alternative concern was also expressed that there is very limited, and increasingly pressured, time available to people in the field whose involvement is seen as essential to the project, both by the project partners and external stakeholders. This may pose a challenge to project processes, which rely on participation. Stakeholders emphasised the need for the project to include and indeed focus on beneficiary perspectives and not be a review of organisations’ own views. This concern is addressed in the planned methodology for the project including in Component 2, which will look at what works in securing access. It is anticipated that the inception report will cover the methodology in detail including information on how stakeholders including organisations and communities will be involved in the project until 2016. Stakeholder engagement is an area that may need to be clearly communicated externally after the inception phase.
- **Relevance of maps.** External stakeholders questioned the value of some of the outputs of the project and in particular the intended maps showing dynamics and patterns of access in four countries over time. The maps will help inform some of the focus for component 2, which looks at effectiveness of aid delivery mechanisms. However, external stakeholders questioned the wider relevance of the output both over time unless the maps are kept up to date, which is not currently planned for, and also for organisations working outside of the four focus countries.
- **The monitoring and evaluation toolkits** that the project plans to produce are welcomed by the external stakeholders consulted in the evaluation. They did also express some reservations and advised care that outputs be appropriate for a wide range of organisations that may well work in very different ways, e.g. those working through partnership with local organisations, others working directly, and others through remote management. In addition, external informants emphasised the field’s perspective of having limited time to engage with these and fatigue with anything that will seem like an additional burden and that reduces evaluation to a cost-effectiveness process. This of course is not the intention of the project, which aims to produce

something useful, but also helpful to share here reservations identified during this evaluation process.

### 3. Efficiency : To what extent and how has the project delivered value for money (VfM)?

#### 3.1 Strengths

##### *Optimisation of resources and consideration of value for money*

The project followed a procurement process which was open to a limited field of suppliers in the market which DFID identified could provide the services required to deliver the project. All ten identified suppliers were advised of the invitation list to ensure that the bids being submitted would be at competitive rates. Interestingly this process differed from that followed by some other HIEP projects in which a completely open competition was followed under the advice of DFID procurement, e.g. Case Study 4: Humanitarian Evidence and Synthesis Project.

There is evidence that VfM considerations have been taken into account during project procurement. Examples provided included:

- Terms of reference drafted and agreed by humanitarian and governance advisers overseen by HIEP project team to ensure clarity of the scope of work and of the aim and expectations of what was to be achieved to encourage suppliers to respond and ensure relevant bids were received.
- A specialist advisory team assessed the technical proposals, conflict of interests identified early on, against published criteria. The Procurement Group assessed commercial proposals separately with a proposal only being released after the technical was completed to ensure no bias was given to bids on cost grounds; assessors met as a group and scored the bids with Procurement Group as an independent chair. After scores were combined a lead bidder was determined.
- A full technical and commercial evaluation was carried out on all of the bids received taking into account the quality of the team, proposed methods, track record, and costs to select the winning supplier.
- Suppliers had to demonstrate value for money. Checks carried out by DFID included the financial standing of Humanitarian Outcomes using their company accounts provided and in particular the turnover to ensure capacity to take on a contract of this potential value (in cost and resource).
- The output from the inception phase is a delivery plan which will be assessed by a panel of governance/conflict/humanitarian advisers to determine that the approach is appropriate and that DFID has confidence that the performance on the inception phase has been completed satisfactorily, the implementation stage is well planned, and budget is appropriately allocated.

In terms of budget management, DFID agreed to fund the project through two distinct but related stages: inception and implementation. DFID reported that funding for phase 2 is dependent on the quality and value for money of the output from phase 1. On the budget for the element contracted so far – the inception phase – the procurement group negotiated the contract based on the proposal, taking account of the evaluation panel's comments, impact of these comments to the proposal/approach, and final agreed outcome, to achieve agreement on the total cost of this first phase. This was divided into appropriate payment stages that would be released in fixed amounts against the achievement of specific delivery points with proportionate amounts allocated to each of those deliverables. Consequently, the invoices are presented claiming these fixed amounts – there is no requirement for a breakdown of the amounts being claimed (e.g. no breakdown of inputs by person spent or breakdown/receipts for any costs incurred). The

lead technical adviser decides on whether the quality of each deliverable is acceptable before any payment is released. This approach of milestone payment is now standard in DFID.

Authorisation of payment includes a consideration on the quality of the output and is intended to motivate the supplier to get things right the first time and focus on appropriate allocation of personnel time to meet delivery requirements – this applies whether payment is on fixed payments or on a fees and reimbursable basis. Deadlines are agreed with the supplier as achievable and it is made clear that they are expected to deliver the outputs within that timescale.

That said, the Humanitarian Outcomes team reported that DFID did not provide any explicit guidance on *how* VfM was to be ensured by them and it is applying its own policies and practice, e.g. three quotes for all tenders, working in partnership with relevant partners, i.e. GPPI and CIC, and also exploring cost-sharing options, for instance with private sector suppliers over the use of some telecoms or recording equipment and systems. The model that Humanitarian Outcomes is developing to deliver the project through partnership with both GPPI and CIC under Humanitarian Outcomes overall leadership, along with country-level partnerships with research and other organisations with capacity, appears to be a model to maximise the comparative advantage of each organisation and its networks.

#### *Consideration of alternative management arrangements*

Consideration was given to two procurement options and found that the option to have one tender for all research streams rather than to tender each stream separately would increase economy. Economy was achieved through using less DFID resources in procurement and management, as well as enabling cross-fertilisation and synergies between research streams. In addition, DFID has retained the right to proceed with individual components of the project separately or indeed not to carry on with any component if deemed the most appropriate course of action (not currently anticipated).

In terms of efficiency the scope of work outlined in the terms of reference is ambitious and, if fulfilled to a high quality in the three-year time period, it will be efficient. The procurement process has considered issues of economy, efficiency, effectiveness, and to some extent equity (gender and ethnic groups had to be considered in proposals), so if successful, it has good potential to provide value for money.

#### **Areas to consider**

- It was not possible for the evaluation to comment on many aspects of the efficiency and value for money questions, due both to the early stage of this project but also because only limited data were made available to the team, e.g. Humanitarian Outcomes proposal and budget were not available. Thus, there is only limited data to enable analysis of the ratios of expenditure by management: project or research: communication.
- It will be challenging to monitor expenditure on research communication or research uptake, resourcing of which are crucial for the project's effectiveness. This is due to the nature of the project, which has an emphasis on workshops and learning throughout, but with these communication-type exercises budgeted in the research component. At the time of the evaluation the explicit communication budget (for workshops, dissemination, website) was estimated to be 5% of the partner's overall budget, which appears quite small given the scale of change the project intends to make (see effectiveness).
- The focus on insecure environments will make this a difficult project to manage costs given that security and other costs can fluctuate in such environments. The budget is relatively tight so any fluctuations are anticipated by the partner to be managed by project adaptations over the time period of the project.

- The contract with Humanitarian Outcomes, if the inception phase is successful, will run until 2016. Assuming the products produced are relevant and of high quality (e.g. maps, toolkits), then decisions regarding their longer-term promotion and also whether they will be updated may be important to take before that cut off point if maintaining the relevance and momentum is to be achieved.

#### **4. Effectiveness: To what extent and how has the project ensured the creation, support, and application of high quality and relevant humanitarian evidence and innovation?**

##### **4.1 Strengths**

###### *Strategy to produce HIEP outputs*

The project aims to produce high quality and relevant evidence outputs in line with the programme theory of change, including mapping products of coverage (visual), reports, peer review articles, monitoring and evaluation tools, workshops, and analytical briefings (verbal) at country level in the four focus countries. Stakeholder involvement and quality assurance processes within humanitarian outcomes and also in DFID should ensure quality and relevance. The project plans a participatory approach to develop some of the outputs, e.g. the monitoring and evaluation toolkits, working closely with organisations in the four focus countries. This responds well to concerns and priorities stated by external stakeholders in the evaluation though also depends on people's time and capacity to participate in these processes, a concern some stakeholders expressed.

In terms of building relationships within DFID (output 2 of HIEP), DFID interviewees said the process to develop the proposal, which involved people from across CHASE, RED and Africa, including humanitarian advisers, has helped build cross-departmental relationships. This involvement has continued during the inception phase when the humanitarian advisers at country level in the four focus countries have been involved.

In terms of institutional partnerships, Humanitarian Outcomes is implementing the project with two partners – GPPI and CIC. There has been a strong partnership approach to the inception phase through the methodology conference, by building links to enable data collection in the focus countries and also in the planned advisory group. Partnerships on the ground are going to be crucial for effective data gathering given that it will be dependent to a large extent on organisations sharing data. Satisfactory efforts have been made to date to build these relationships but the evidence will be in future success at accessing the relevant data. At this point it seems the advisory committee, hosted by DFID, will be the main means by which DFID itself builds institutional partnerships with the key players and facilitates a role in enabling links between them. It will include stakeholders such as ICRC, OCHA, and others.

A potential output for the HIEP is skills development but this is not a feature of this project.

###### *Strategy to achieve behaviour changes*

The project is building relationships with key stakeholders, however, the strategy for ensuring uptake, whether through internal or external champions, knowledge brokers, operational actors or DFID funding power, is not yet developed. These options are being considered but the DFID team considers it too early to plan for this and awaits the emerging findings before developing a communication or research uptake strategy. However, Humanitarian Outcomes is developing a communication/research uptake strategy in its inception report, which will seek to engage some of these key players. Operational actors and donors seemed to be a focus at this point. Inside of DFID there were high levels of awareness of the potential to use DFID's funding influence as well as its formal and informal networks and sources of influence and a confidence these could be drawn on easily if and when needed.

###### *Strategy to achieve HIEP outcomes*

The project partners (DFID and Humanitarian Outcomes) identified the following key stakeholders the project would seek to influence and whose behaviour they would seek to influence:

- IASC and working groups, including the Principles working group
- OCHA, particularly the Access Working Group
- Red Cross Movement, including National Societies, ICRC, and IFRC
- NGOs coordination groups in the four focus countries

The implementing team believe they have good relationships and links with all these groups now having worked on these during the inception phase. The actual behaviour or other changes the partners aim the project to contribute to include:

- a) Institutional behaviour will be based on more accurate representation and coverage of countries and where organisations can deliver; and
- b) Both donors and international organisations will have a more realistic appraisal of capacity of the sector and organisations to be able to deliver aid and their operations will be based on that. Donors will build their policy objectives for insecure environments based on this evidence, which will also inform their own practice.

These anticipated changes speak to outcome 2 of the HIEP theory of change, which relates to the integration of evidence into humanitarian interventions. The project does not directly address the other two outcomes of the theory change, which relate to funding instruments for evidence and its application and/or investment into innovation.

The division of labour between DFID and Humanitarian Outcomes in the research uptake and broader influencing and engagement role is a little unclear particularly during the lifetime of the Humanitarian Outcomes contract. This is likely to become clearer following the inception phase report, as the project progresses and findings emerge. At this stage all responsibility for further promotion of the findings will lie with DFID after 2016 when the Humanitarian Outcomes project will end. The DFID team was confident that any needed resources, be they financial, technical or people-time, could be sourced to enable DFID to play an active influencing role and follow-up after 2016, if appropriate.

### *Monitoring of change*

Systems are in place for the monitoring and management of the project. These include:

- A logframe being developed by Humanitarian Outcomes as part of the inception phase which will outline outputs/outcomes and be used to monitor and measure ongoing progress. After the inception phase is complete this will be used to track progress. So far the inception phase is on track with a report due in March.
- There will also be a steering committee (SC) of key advisers that were involved in assessing the original bids and in commenting/approving the proposal for the implementation phase who will have input to the ongoing monitoring of the project with the lead adviser and project manager. The SC will have external representatives as members from some of the key external stakeholders who are already lined up to participate, e.g. ICRC, OCHA.
- There will be regular project management meetings (anticipated to be quarterly) and annual reviews to report on progress against the logframe, the suppliers' performance, approach to risk management, implementation of anti-corruption strategies, financial management, accurate

budgeting/forecasting, etc. There will also be a higher level of reporting back to the main project team on how this project is progressing to feed into the overall programme's (HIEP) reporting requirements.

However, the extent to which these mechanisms will be able to monitor change as opposed to progress against the workplan for outputs is not clear. The inception phase will need to clarify this process.

#### **4.2 Challenge and factors for development or consideration**

The project is still at an early stage and there has been good work so far to ensure engagement of key stakeholders to ensure the relevance of the project and its products, access to data, and involvement in potential users of the findings and products it will produce. However, a number of challenges lie ahead:

**a) Uptake of evidence and bringing about change in organisations** – Humanitarian Outcomes is developing a research uptake strategy. Interim outputs are likely to be produced and this is something that external stakeholders emphasised will be important to ensure buy-in from the humanitarian community to use these. The team foresees that in the three years of the project the likelihood is that its “reach” in the HIEP theory of change is “quite limited.” In this timespan the team expect to produce high quality evidence products and engage with some key stakeholders to build their interest. However, the extent to which the project will have secured relationships knowledge brokers, key networks, and operational champions is likely to be limited by then and certainly the strategy to achieve the HIEP outcomes of organisational change is as yet undefined. DFID is confident that it will be able to develop and resource a relevant strategy as findings emerge. It will be important to monitor that this begin as early as possible to ensure the relevant relationships and resources are in place. More analysis of the changes that are needed to take up the findings of the project when they emerge will also be important to ensure an effective influencing strategy.

**b) Technical and political** – Some interviewees in DFID see the project as addressing a technical question and that rapid change will be possible if the project produces clear, unambiguous findings. However, external stakeholders consider the issues that the project is grappling with as complex and political: political in the sense that questions of access engage with complex local politics in conflict. In addition it links to extremely political decisions that organisations make about where and how they work which are influenced by their risk appetite. External stakeholders commented on the decreasing risk appetite due to pressures and maybe perceptions of donor priorities for results, value for money, public scrutiny of failure. In addition, it reflected that there is decreasing space for innovation as local organisations' capacity is often absorbed as contractors for international organisations because they do not go to more insecure locations. Humanitarian Outcomes is confident its research and analytical framework will be able to accommodate these less tangible and technical aspects, but it is an area to monitor as the project progresses. It may also be an area to develop a more shared view across DFID and partners on the technical and political nature of the questions the project is addressing.

#### **5. Impact : What contribution will the project make to HIEP to aim to build and sustain evidence aware policy and practice by humanitarian organisations?**

##### *Extent to which the project articulates what change will look like in DFID and key organisations*

The key targets for the project are at this point very broadly defined (see above). They currently make up nearly all the key players in the humanitarian sector. The changes required to ensure success beyond the take-up of evidence are not defined at this point, i.e. what type of changes will organisations need to make to ensure access. In DFID at least it is believed this planning and analysis process should take place when findings are clear, however, some greater analysis of the obstacles and opportunities for change at sectoral and organisational levels will be important. In addition, at this stage the evaluation did not find a clear

strategy for how change will take place at country level among national stakeholders outside of the focus countries.

### *Capacity building of Southern organisations*

It is not an aim of the project to build Southern actors capacity. Humanitarian Outcomes has not committed to this as part of the project nor was it included in the terms of reference. There may be some indirect capacity building e.g. as a result of participation in workshops and through use of new tools that the project may produce such as for evaluation. However, these are not the aim of the project nor is it designed to produce these.

## **6. Gender and social diversity**

The main findings on gender and social diversity are covered in the comments above. To summarise, the main finding is that gender and diversity appear to be well considered by Humanitarian Outcomes in their research questions and methodology and in the process of devising these through the provision of specialist expertise. There is a commitment to consider gender and diversity in relation to potential users of the findings of the project. While the research uptake strategy is at an early stage at this point, the potential issues for women and men to access and use the findings of the project as well as to engage in the participatory processes, particularly at country level, may need to be considered in more detail.

## **7. Formative phase conclusions**

### **7.1 Dimensions of change – mapping the project to the HIEP theory of change**

The table below includes all the dimensions of change detailed in the HIEP theory of change and summarises the extent to which the project aims to address these and current plans to enable change.

Change areas (Taken from HIEP theory of change)	Summary of the intended changes and the strategy and plans to address this change area
<b>Output 1. High quality and relevant research and evidence products [LIST PLANNED OUTPUTS]</b>  Quality and relevance considers a) scientific rigour; b) extent of engagement with stakeholders; and c) “reach” of outputs/dissemination	Plans to produce – Interim and final report for each component. Also:  Component 1 – data visualisation outputs which show mapping and dynamics of access over time. Also peer review article, workshops, and analytic briefings. Database of humanitarian organisations with footprint of aid.  Component 3 – M&E tools. Relevant to multiple levels but focus on country level. The questions will emerge whether maps should be kept up to date. Can it be sustained? Best if this question does not wait until the end.
<b>Output 2: Relationship and partnership formed or strengthened between DFID divisions and with partner agencies</b>	Relationships being built with key organisations, e.g. OCHA, ICRC through consultation, advisory group. And wider group in 4 countries plus broad consultation.  Within DFID Africa, CHASE and RED involved in design and selection. Intend to continue links in the future.
<b>Output 3: Relevant individuals have skills to design, commission, and apply humanitarian research</b>	Yes – skills for design/commission in place. Application less clear because who in DFID will be applying is less clear.

<b>Behaviour Change 1: Debate of and advocacy for HIEP evidence</b>	Links being made with key fora and intention to link to these, e.g. IASC in the future. Also at country level (4 focus) in coordination committees.
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	Pending finalisation of communication strategy but some consultation with key networks in inception phase.
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	Some key ones involved already though their role outside of own organisations not formalised yet, but some at least have agreed to be on advisory group.
<b>Behaviour Change 4: Funding and operations change</b>	View in DFID that if appropriate funding of operations can be changed. Also in some other key stakeholders if findings clear.
<b>Outcome 1:</b> International donors, including DFID, develop funding instruments and frameworks for investment into evidence, innovation, and its applications	Not within scope as currently designed. But expectation that donors will apply the findings of this research.
<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures, and systems to promote the regular integration of evidence into humanitarian and DRM interventions	It is expected the project will contribute to actors' behaviour change. But there is no analysis at this point of culture changes, etc. that may be needed in organisations to apply findings. Also, the implementing team is doubtful this stage of ToC can be reached in the project schedule, i.e. 2016, nor does it go beyond aiming for uptake of the project's findings, or the application of evidence more generally.
<b>Outcome 3:</b> Policy and practice actors invest in social, economic, and political innovations that focus on benefits for poor people in humanitarian crises	No – other than this aims to produce evidence on how to access some of the poorest people so may support this shift. Not direct aim of the project.
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning, and delivery of humanitarian policies, programmes, and practices to manage risks and deliver rapid, effective responses in emergencies	Yes – mapping outputs aims to support this directly and other outputs too. This is overall aim of the project.

## 7.2 Project assessment

<b>Summary of assessment:</b>  Summarise the assessment detailed in the information grid of each judgement criteria based on evidence at indicator level	<b>Strength of evidence:</b> Describe the type of evidence. The types of evidence are on a scale which gives increasing confidence in plans, i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this. <ul style="list-style-type: none"> <li>• Verbal/planned strategy (an intention)</li> <li>• Documented strategy in DFID proposal</li> <li>• Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>• Documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<b>Score and conclusion:</b> Score strength of <u>progress and strategies</u> to ensure relevance/efficiency/effectiveness/impact as: <ul style="list-style-type: none"> <li>• High – Detailed strategy with strong evidence of progress or potential to achieve strategy</li> <li>• Medium – Good strategy with some evidence of progress or potential to achieve strategy</li> <li>• Low – Covers the issue but with limited evidence of progress or potential to achieve strategy</li> <li>• None – No strategy in place</li> <li>• There is not enough evidence to make a judgement</li> </ul>
<b>EQ1: Relevance</b>		
<b>Summary of judgement:</b> Strong evidence that the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation. (JC1.1) Some evidence that project design is appropriate to address identified	<b>Strength of evidence:</b> The judgements are based on internal DFID proposal, literature review, methodology conference report, interviews with DFID team and external stakeholders. No workplan,	<b>Score and conclusion:</b> Medium – good strategy with some evidence of progress or potential to achieve strategy. Excellent processes used to ensure relevance.

needs and opportunities. (JC1.2) Some evidence that project plans to fits/harmonises with other relevant institutional, sectoral, and country-based initiatives and opportunities. (JC1.3)	inception report.  <b>Strength: a and b</b>	
<b>EQ2: Efficiency</b>		
<b>Summary of judgement:</b> Some evidence that the project has optimised use of resources to achieve results. (JC2.1) Too early to see trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved. (JC2.2)	<b>Strength of evidence:</b> <b>a and b</b> No budget available at this stage.	<b>Score and conclusion:</b> Medium – While there is some evidence that the project addresses value for money through procurement processes, the lack of access to project budgets makes it difficult to judge beyond this. Later in the project after the inception phase this might be easier to assess.
<b>EQ3: Effectiveness</b>		
<b>Summary of judgement:</b> Strong evidence that the project plans to produce HIEP outputs especially relevant and quality evidence projects and partnerships. (JC3.1) Some evidence that socially inclusive/gender-sensitive strategies are being considered. Limited evidence that the project aims contribute to HIEP outcomes and overall aim -clearest in relation to overall aim and outcome 2. (JC3.3) Some evidence of management approach enables creation, support, and application of evidence and innovation but extent to which they monitor progress towards change unclear – logframe when available/inception report may elaborate.	<b>Strength of evidence:</b> <b>a and b (as above)</b>	<b>Score and conclusion:</b> Medium – Good strategy with some evidence of progress or potential to achieve effectiveness. Good process to build links with key stakeholders. Plans in mind to use DFID influence as donor and leader in the system and to engage with networks and key players. But limited planning for post-2016 work. Inception report not available yet to see plan for communication and uptake. But so far there seems to be limited consideration in the project to date about what might be needed to bring about change in organisations beyond the provision of evidence,

		involvement in the process, and possibly some encouragement by using donor criteria. This is particularly the case for organisations that are not directly involved in project processes, e.g. national stakeholders outside the focus countries.
<b>EQ4: Impact</b>		
<b>Summary of judgement:</b> Medium – Some evidence that the project has articulated who are the key targets, though these are broadly defined. DFID keen to await findings to articulate what change will look like in DFID and key organisations. (JC4.1) No evidence that the project has gender-sensitive plans to build capacity in Southern actors to be able to access funding for research and also to support, produce and apply evidence and innovation. There may be some benefit to Southern organisations but it's not a key aim of the project. (JC4.2)	<b>Strength of evidence:</b> <b>a and b (as above)</b>	<b>Score and conclusion:</b> Medium – Good strategy to reach key targets at international level and in four focus countries. But building of Southern capacity is not envisaged to be part of this project (part of HIEP outcomes).

### 7.3 Learning about process and management

The table below summarises some details of key learning from the project.

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement this area?	What learning can be drawn from these for other contexts?
<b>Relevance</b>	Structured and multi-layered processes of consultation - literature review, methodology conference, and broad consultation.		Wide engagement helps build sector perception of relevance.  No one system enough, e.g. critique by some of the literature review overcome by their participation in the methodology conference. But also this engagement will need to be sustained for perceptions

			of relevance to continue to be positive and be broadened to wider group not yet aware of the project.
<b>Efficiency</b>	Fairly good VfM systems applied in DFID in procurement process.  Consideration by Humanitarian Outcomes of approaches such as cost-sharing.	No guidance given by DFID on VfM.	Procurement processes influential to encourage a certain approach to VfM. Equity element of VfM is not explicitly addressed at present through these.
<b>Effectiveness</b>	Early to say but wide engagement likely to be key to any success.  Good choice of case study focus countries too.  Specificity of learning to context will be important but also ability to apply to other locations.	Articulation of aims and intended change the project will contribute to is very broad.  Limited engagement with Southern organisations outside of 4 focus countries mean they do not benefit from same engagement process to build ownership.	Projects are balancing need for flexibility in humanitarian research with desire to articulate potential results. Keeping options open for how to engage key stakeholders and support change will need to be matched by preparation of necessary resources and relationships to be able to act nimbly when findings emerge.
<b>Impact</b>		Breadth of potential stakeholder range.  Uncertainty of if and what a clear message/finding from the research might be.  No funding or requirement for capacity building.	

## Case Study 7: Strategic Research into National and Local Capacity Building for Disaster Risk Management

### 1. Introduction

Empirical research on capacity building (CB) for disaster risk management is limited and there is a lack of evidence-based research as a consequence. The aims of the research project are to draw lessons and guidance on how to build DRM capacity in a range of contexts. The project will seek to achieve this by analysing the characteristics, effectiveness, and relative importance of a range of capacity building for DRM interventions across a variety of country contexts.

The Theory of Change (ToC) is based on the identification of three problems:

- There is insufficient capture and systematic analysis about how to work with national and local institutions to build up capacity for DRM, especially in insecure settings.
- DRM actors have inadequate systems for monitoring and evaluating DRM capacity building activities and approaches.
- Decision-makers have inadequate access to reliable and tailored information on capacity building for DRM capture and systematic analysis about how to work with national and local institutions to build up capacity for DRM, especially in insecure settings.

There are three research outputs as follows:

- Research and evidence products are generated that are high quality and relevant to policy makers and practitioners.
- Cross-institutional relationships and partnerships are formed so that there is an active network of practitioners and policy-makers using the research.
- The research is robustly designed, incorporates best practice, and is managed effectively.

The ToC explicitly deals with the issue of influencing for research uptake and sets out short-, medium-, and long-term changes and processes that are expected to be catalysed by the project.

The ultimate outcome of the research is that 'DRM actors working in developing countries will design and implement more effective capacity building projects for DRM at the national and local level' with the anticipated impact of 'improved capacity building for DRM in developing countries resulting in reduced casualties and other losses as a result of natural disasters.'

DFID selected IFRC as a partner in the research both because of their engagement in capacity building, which makes them an important target for the research, but also with a view to strengthening the IFRC's capacity to commission and manage research. DFID made this decision based on an assessment of their own limited capacity to manage the research internally. IFRC went through a competitive tender/procurement process to select an organisation to undertake the research on the basis of which Oxford Policy Management (OPM) was awarded the contract.

The findings of this case study are based on data collection during January -March 2014. The judgement criteria and indicators draw on those detailed in the evaluation matrix (see Annex 1.2 main report).

## 2. Relevance

PROJ: How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?	
JC1.1: Extent to which the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation	<ul style="list-style-type: none"> <li>• Evidence that the project addresses one or more of the four HIES problems</li> <li>• Evidence that the project has the potential to provide new insights, e.g. asks new questions or applies them to new contexts</li> <li>• Evidence that project has addressed gender and other aspects of social exclusion (e.g. by age, status, location, ethnicity, disability) at a level appropriate to its focus, in its response to evolving priority needs and innovation</li> </ul>
JC1.2: Extent to which the project design is appropriate to address identified needs and opportunities	<ul style="list-style-type: none"> <li>• Scale and scope of the research project appropriate to address the need identified</li> <li>• Evidence that application and transferability of research findings is planned for</li> <li>• Evidence of a process to ensure quality of research process and products</li> <li>• Evidence of disaggregation of populations and data sets appropriate to address the need identified (e.g. gender, age, status, location, ethnicity, etc.)</li> <li>• Evidence that potential users have been disaggregated by interest and need (e.g. gender, age, technical expertise, etc.) and involved in design</li> </ul>
JC1.3: Extent to which the project fits/harmonises with other relevant institutional, sectoral and country-based initiatives and opportunities	<ul style="list-style-type: none"> <li>• Evidence that project links to broader sectoral initiatives within DFID</li> <li>• Evidence that project links to broader sectoral initiatives outside of DFID</li> <li>• Evidence that project links with broader cross-cutting initiatives within humanitarian aid to address gender equality and social inclusion</li> </ul>

### 2.1 Emerging findings

**(JC1.1)** The lack of direct DFID funding to government and national and local NGOs despite the important role they play in humanitarian response was raised in the HERR, in addition to the potential for early investment to reduce disaster losses. It made clear that the current international humanitarian system is not able to meet the present and future demand for assistance. The HERR

also stressed that resilience should be at the heart of both longer-term development and emergency response. It concluded that building the capacity of national and local institutions for disaster risk management will become increasingly important (see Annex 4 for HERR references to the project).

The sole focus of the third pillar of the first HIEP BC is how best to work with national and local institutions to prevent, anticipate, and respond to disasters. It is important to note that there is an explicit intention to go beyond natural disasters and to include complex emergencies, with the recent DFID response to the Somalia crisis, which was largely managed remotely and delivered through national organisations providing the rationale for a wider definition. DFID are particularly interested in multiple hazards where natural hazards combine with conflict and are keen to use the research findings to understand what works, what does not work, and why in terms of building capacity for DRM in different institutional contexts. In early discussions, DFID highlighted the importance of political economy analysis (PEA) to assist in understanding how to work given the difficult political economy and how PEA can be used to design programmes differently. DFID do not want to be told that the problem is the political economy, they want to know how this can be overcome and how this has been achieved.<sup>36</sup>

The findings of the DRAFT OPM literature review give strength to DFID's concern about the lack of evidence about successful capacity building. As a consequence, the initial parameters for the review were expanded to include generic aspects of capacity building in addition to capacity building explicitly linked to DRM and Disaster Risk Reduction (DRR).<sup>37</sup> Interviews with OPM underlined the dearth of research and the lack of a framework for designing and delivering CB for DRM, which provided an important impetus for the research.<sup>38</sup>

Early documentation and feedback from IFRC and OPM suggest that the issues outlined by DFID have been incorporated into the emerging research approach. Importantly, the OPM research outputs match those articulated by DFID in the logframe and focus on: (i) high quality research and evidence products, (ii) cross-institutional relationships and partnerships, and (iii) rigorous management of the research design and delivery process. It is important also to note that there have already been measures taken to design and implement a research uptake strategy.<sup>39</sup> The ToC outlines specific measures to influence behaviour change for research uptake and sets out short-, medium- and long-term changes and processes that the research is expected to catalyse.

**(JC1.2)** The ToC and logframe are consistent with each other (and are also relatively consistent with that of the HIEP logframe), and the latter has quantitative indicators that should provide a measure of progress towards the achievement of results. The logframe and interviews with OPM confirm the intention to incorporate ethics mechanisms and to incorporate gender analysis, which should be tracked during the evaluation process.<sup>40</sup> The Advisory Group have provided similar feedback to the project team and at the time of the formative phase of the evaluation the Inception Report was

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<sup>36</sup> Source: Notes from Kick-off Meeting, 25/09/14.

<sup>37</sup> Source: Leavy, J, Scott, Z., Tarazona, M., Wooster, K., Hearle, C., Maconick, R., Few, R. (2013) Strategic Research into National and Local Capacity Building for Disaster Risk Management, Literature review, OPM.

<sup>38</sup> Source: Interview A2 & A3.

<sup>39</sup> The importance of research uptake was clarified during the inception phase and as a consequence is receiving greater prioritisation than was originally anticipated and includes a number of conferences throughout the research process.

<sup>40</sup> Source: Interview A2.

being revised to include a strengthened M&E framework which was a prerequisite for sign-off of the document.<sup>41</sup>

The case study approach that is being adopted that will see the project work in two pilot and six full case study countries (eight in total)<sup>42</sup> potentially offers good coverage across different contexts,<sup>43</sup> and the use of a standardised methodological framework which has at its foundation a typology of capacity building approaches<sup>44</sup> will potentially allow comparative analysis across countries and interventions.<sup>45</sup> These will be presented in a synthesis paper which will aim to articulate a ToC for capacity building for DRM.

The inception report outlines a set of methods for data collection and analysis and a strategy for when to employ these. A procedure has been outlined to guide the case studies and a commitment is made in the logframe to incorporate gender analysis into the research design and tools (although this was work in progress at the time the interviews took place).

**(JC1.3)** The documentation provides limited evidence that the project links to broader sectoral initiatives within DFID and interviews did not highlight specific linkages. While interviews with OPM and IFRC did not highlight specific sectoral initiatives, key stakeholders were identified (including GFDRR, UNDP, and IFRC) and the uptake and engagement strategy in the revised inception report gives an indication of the intent to engage stakeholders throughout the process.<sup>46</sup> There is no evidence that the project links with broader cross-cutting initiatives within humanitarian aid to address gender equality and social inclusion in the documentation.

## **2.2 Strengths**

The work that has been undertaken on ensuring complementarity between the HIEP ToC and the project goes a considerable way to ensuring consistency with the aims of the HIEP. The identification of a typology of approaches for CB for DRM and proposed list of countries which take account of these suggests that efforts have been taken to ensure the relevance and transferability of the research findings. The early identification of the importance of research uptake and focus on means to achieve this provides cause for optimism concerning the cascading of learning and knowledge from the research team and IFRC to the humanitarian community more broadly.

## **2.3 Areas to develop**

At such an early stage of the process and prior to the commencement of the fieldwork it is difficult to identify specific areas for development. While there was an initial lack of clarity about how the research will collect and/or disaggregate data on gender and inclusion, this issue was identified by the Advisory Group (amongst other issues) and the revised inception report has largely addressed

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<sup>41</sup> Source: Interview A21.

<sup>42</sup> It is important to note that because of the time required to revise the IR this was later reduced to a single pilot country rather than two.

<sup>43</sup> Three contexts have been selected which include: (i) fragile and conflict-affected states where national infrastructure and governance is weak, yet the bulk of humanitarian spending takes place, (ii) low-income countries with repeated and regular natural disaster, but little national response infrastructure, and (iii) states with established NDMAs and at least nascent formal infrastructure.

<sup>44</sup> See OPM DRAFT inception report, January 2014, pp. 14-16.

<sup>45</sup> OPM had proposed a Latin American case study country (e.g. Colombia) which DFID rejected due to their desire to focus on Asia/Africa. The view of the research team is that it may have yielded valuable evidence of CB for DRM albeit from a middle-income perspective.

<sup>46</sup> Source: OPM REVISED inception report, January 2014, p. 53.

these concerns. While it is assumed that DFID will have systems in place to harvest learning from the project (and the broader HIEP), these would benefit from clearer articulation.

## 2.4 Recommendations

Clarity on how the project will link with and/or influence other internal DFID initiatives and what process DFID proposes to adopt to ensure institutional engagement and uptake would provide important reassurance that they were maximising the potential to learn from the project.

## 3. Efficiency

PROJ: To what extent and how has the project delivered value for money (VfM)?	
JC2.1: Extent to which the project has optimised use of resources to achieve results	<ul style="list-style-type: none"> <li>• Evidence that VfM considerations (4Es) have been taken into account in project procurement, planning, and management</li> <li>• Evidence that project has systems and processes within its management and implementation approaches to address gender equality and other equity issues</li> <li>• Evidence that alternative management and implementation arrangements were considered as part of rationale for choice</li> <li>• Additional funds leveraged from other donors</li> <li>• Budget monitoring processes in place that are timely</li> </ul>
JC2.2: Extent to which trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved	<ul style="list-style-type: none"> <li>• Evidence that short- and long-term results considered in resource allocation choices</li> </ul>

## 3.1 Emerging findings

**(JC2.1)** Project documentation suggests that issues of **economy** were taken into account in partner selection; the administrative fee (or “programmes and services support recovery cost”) charged by IFRC to cover indirect costs incurred by this project is 6.5% of the total costs. This compares well to the 7% administrative fees charged by the BRCS/IFRC under their existing Memorandum of Understanding with DFID, and indirect costs charged by UN agencies (UNDP, UNFPA, and UNICEF all charge DFID 7%).

DFID’s 2011 Multilateral Aid Review (MAR) has also been used as a yardstick to gauge the **effectiveness** of the partner; IFRC was assigned a “good” overall score for delivering value for money for UK aid. The IFRC also had positive MAR feedback on the strength of financial reporting systems at a secretariat level, as well as good planning, monitoring, evaluation and reporting systems throughout the organisation. In the MAR update (2013, unpublished) the IFRC has received a “satisfactory” progress rating. The update notes that the IFRC is addressing the reforms identified in the MAR, particularly in relation to policies and initiatives at a headquarters level (including financial accountability – e.g. risk management, anti-corruption, external audits, and fiduciary risk). The research project will be coordinated by the IFRC Secretariat based in the headquarters, so is deemed by DFID to have good commercial/financial performance and low fiduciary risk.

In discussions about VfM, DFID placed an important emphasis on research quality. The DFID procurement process places a firewall between the commercial and technical case with a 60/40 weighting in favour of technical and a break clause being inserted into the contract at the end of the Inception Phase which could have been activated if there was insufficient evidence of quality.<sup>47</sup>

The Procurement Unit of the IFRC's Global Logistics Service was used to select the research institute for the project. Bids were received, pre-screened, and evaluated against the eligibility criteria and given a weighting score by all members of the committee, which consisted of IFRC representatives (subject matter and procurement experts) and external experts from the Advisory Group. Individual rating of all committee members were combined and bid with highest ranking score, both technically and financially, has been recommended for the contract award. In order to ensure VfM throughout the project, the contract with the selected bidder contains clear milestones and deliverables with the respective costs. Hence unless the specific milestones or deliverables are met to full satisfaction of the project, payments cannot be processed. It is noteworthy that any payments against deliverables must be supported with proper documentation justifying the task accomplishment and the quality of the performed tasks.<sup>48</sup>

The project inception report outlines a number of steps taken by OPM to work **efficiently** in the inception phase through holding UK-based meetings and staging a webinar in place of an international workshop. There have also been proposals to increase the **effectiveness** of the implementation, which have been made without exceeding the budget envelope, including the following:

- Replacing one of the two proposed international workshops with eight national workshops to collate feedback and facilitate communication of findings in each of the case study countries;
- Giving the senior research team greater input into the fieldwork to facilitate cross-country analysis;
- Strengthening research uptake through holding a series of conferences throughout the research period.

Neither OPM nor IFRC have a specific VfM framework in place, although the former demonstrated that they were using standard costs and benchmarking with prior DFID grants.<sup>49</sup> Budget monitoring is the responsibility of IFRC and OPM will provide quarterly reports on spend against budget (personnel will be paid as a lump sum and project costs will be paid against receipts). The expenditure report will follow DFID guidelines.<sup>50</sup>

How **equity** (the fourth of the 4Es) is being addressed was less visible in the project documentation and was considered a weakness at the time the interviews were conducted.

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<sup>47</sup> Source: Interview A20.

<sup>48</sup> Source: Interview A23.

<sup>49</sup> Source: Interview A2.

<sup>50</sup> Source: Interview A2.

Additional donor funding has been secured for the project; the Canadian International Development Agency (CIDA) and the Swedish International Development Cooperation Agency (Sida) confirmed on 27 May and 27 June 2013, respectively, their approval of a project contribution of: (i) CAD 100,000 per year for two years for a total of CAD 200,000, and (ii) SEK 1.5 million in the first year, with the aim of matching it in the second year.

The Annual Review Project Report October 2013 includes a section on costs, Value for Money, and management. However, there is not enough information within this section to make an evidence-based assessment as to whether budget-monitoring processes are in place that are timely.<sup>51</sup>

**(JC2.2)** As part of the inception phase for the project, there has been a discussion ongoing between the project team (OPM) and the Advisory Group about how to finalise the research methodology.<sup>52</sup> There was an initial proposal from OPM to adopt an iterative approach to articulating the methodology through two ‘pilot’ case studies. This approach was challenged by the Advisory Group who expressed the need for greater clarity from the outset, their focus being on ensuring the quality of research from the outset. This discussion took some time and has resulted in: a) a more comprehensive research approach being outlined in the REVISED inception report, and b) a reduction in the number of proposed ‘pilot’ case studies from two to one, partly in response to the additional time that it has taken for the inception report to be finalised.

### 3.2 Strengths

***There is evidence that aspects of VfM were considered during the partner selection process and DFID and the Advisory Group’s insistence on ensuring research quality speaks to the ‘effectiveness’ aspect of VfM.***

### 3.3 Areas to develop

While interviews and documentation suggest that aspects of VfM are being considered, there is no evidence of a coherent framework being used or that results are being systematically tracked against DFID’s 4E VfM framework.

### 3.4 Recommendations

Given the scale of the contract and the fact that considerable cost-savings have already been achieved during the inception phase (albeit with a proposal to re-invest them in the programme), a regular process of review against VfM ‘4Es’ would provide a degree of assurance that costs are being regularly managed and would provide an opportunity to take a stock-take of the research approach with a view to maximising economy, efficiency, effectiveness, and equity.

## 4. Effectiveness

PROJ: To what extent and how has the project ensured the creation, support, and application of high quality and relevant humanitarian evidence and innovation?	
JC3.1: Extent to which project plans to produce HIEP outputs	<ul style="list-style-type: none"> <li>● Evidence that plans are in place to produce HIEP outputs</li> <li>○ Evidence products</li> </ul>

<sup>51</sup> Source: Annual Review Project Report October 2013, p. 6.

<sup>52</sup> Source: Interviews A2, A3, A4, A20.

	<ul style="list-style-type: none"> <li>○ Cross-institutional relationships and partnerships</li> <li>○ Skills built</li> <li>● Evidence that the project has plans for gender and social exclusion analyses to inform HIEP outputs</li> <li>● Evidence that plans are in place to produce gender/socially-sensitive HIEP outputs</li> </ul>
JC3.2: Extent to which socially inclusive/gender-sensitive strategies are in place to ensure behavioural changes	<ul style="list-style-type: none"> <li>● Evidence that project seeks to ensure: <ul style="list-style-type: none"> <li>○ Champions advocate evidence</li> <li>○ Knowledge brokered</li> <li>○ Operational actors endorse evidence</li> <li>○ DFID funding based on evidence</li> </ul> </li> </ul>
JC3.3: Extent to which project aims contribute to HIEP outcomes and overall aim	<ul style="list-style-type: none"> <li>● Evidence that plans are in place to contribute to: <ul style="list-style-type: none"> <li>○ New funding instruments</li> <li>○ Changes in actors' skills, behaviour, culture, including sensitivity to gender and social differences</li> <li>○ Actors' investment into innovation</li> </ul> </li> <li>● Evidence of knowledge of links and potential complementarity to other HIEP interventions</li> </ul>
JC3.4: Extent to which management approach enables creation, support, and application of evidence and innovation	<ul style="list-style-type: none"> <li>● Evidence that management tools in place to monitor progress towards change, including collection of disaggregated data</li> <li>● Evidence that learning mechanisms in place to support creation and application of evidence and innovation</li> </ul>

#### 4.1 Emerging findings

**(JC3.1) Outputs:** The first HIEP output –evidence of context and need and evidence of what works – appears to be well-accommodated by the project inception report. A start has already been made through the literature review and the case study is well positioned to make a valuable contribution to this. The second HIEP output will be met by the project in its broadest sense through an ambition to create a cross-institutional network of partners. The third HIEP output of strengthening the capacity of partners to commission and apply humanitarian research is made explicit by DFID but does not appear in the ToC. Interviews with IFRC<sup>53</sup> and OPM<sup>54</sup> provide reassurance that this will be addressed through the use of Southern partners for each of the case studies and through the participation of the Namibian and Pakistan Red Cross/Crescent on the Advisory Board.

**(JC3.2) Behaviour changes:** A specific set of short-term, medium-term, and long-term behaviour changes have been identified and outlined in the ToC, which outlines how the project will seek to facilitate knowledge brokering, behaviour change, and investment:

<sup>53</sup> Source: Interview A4.

<sup>54</sup> Source: Interviews A2, A3.

- Short-term: Champions and research collaborators are identified. Key individuals are introduced to the research findings and go on to circulate the research products amongst their organisations and networks. A community of practice around DRM CB is deliberately built.
- Medium-term: Key NGOs and donor organisations become familiar with and confident in the research findings. Briefings/trainings are requested, policy budget allocations are influenced by research findings, pilot projects using the findings are initiated, future research agenda impacted. The research is cited in other academic research and in NGO/donor policy documents. External evaluations and other research endorse and build on the research findings.
- Long-term: The research is quoted in an international strategy declaration, signalling a change in policy. Key donors and NGOs integrate research findings into their internal policy documents on CB for DRM. NGO/donor programmes are designed that reflect the research findings. Communities start to use the evidence to design programmes on the ground.

Together, these provide a good indication of cross-institutional partnerships and intent to facilitate behaviour and policy change, and have a good fit with the HIEP ToC. The one behavioural change that is more difficult to identify in the project documents is the extent to which the project seeks to generate new funding, and interviews with DFID<sup>55</sup> and IFRC<sup>56</sup> suggested that this would not be a direct aim of the project but that it may come about as a consequence of the research. The project is being delivered by OPM through IFRC, to enable other funders to also contribute (Sida and CIDA). This represents a new way of working and one interviewee commented that it has the potential to make links with a wide variety of actors in the arena.

**(JC3.3)** Outcomes: The project has a single outcome: DRM actors working in developing countries design and implement more effective capacity building projects for DRM at national and local level. While this does not explicitly refer to all the aspects of the HIEP, judging by the indicators for the outcome and interviews with OPM, changes in skills, behaviour and relationships, the integration of evidence into practice and pro-poor policy change appear to be implicit in the project outcome statement.

Neither the documentation nor the interviews indicated that systems are in place to contribute to actors' investment in innovation. There is no evidence available that the project will contribute to the creation of new funding instruments and interviews with the OPM team suggested that this could only happen once the project has been completed. There are no links in the project documentation to other HIEP interventions.

**(JC3.4)** The revised draft inception report provides a comprehensive M&E framework, which provides details of the methods that will be used to track progress towards change over time. The initial inception report included an illustrative M&E framework which the Advisory Board rejected. The revised framework is considerably stronger and provides insights into how the team will seek to

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<sup>55</sup> Source: Interview A20.

<sup>56</sup> Source: Interview A4.

ensure that the research is inclusive (of gender and marginalised social groups) and means by which data will be disaggregated.<sup>57</sup>

## 4.2 Strengths

The progress that has been made in preparing a ToC that explicitly outlines outputs that are consistent with HIEP, behaviour changes, and plans to complement these through the articulation of an uptake strategy and which appear to have complementary outcomes should be considered a strength of the project. The revised draft inception report contains an M&E framework which includes reference to issues of gender and inclusion and which emphasizes the importance of disaggregating data sets.

## 4.3 Areas to develop

The initial inception report submitted by OPM/IFRC to the Advisory Group suffered from a weak M&E framework which was considered an area for development. During the formative phase of the evaluation, the framework has been considerably strengthened and has been articulated in far greater detail thereby addressing initial concerns. The issue of new funding instruments suffers from a lack of clarity in this project (and others) and should be clarified.

## 4.4 Recommendations

DFID should clarify their expectations for outcome 1 of the ToC and how they anticipate that this will be achieved. Evidence from the case study suggests that this is not an explicit outcome of the project although there is the potential for DFID to use evidence from the project to achieve the outcome.

## 5. Impact

PROJ: What contribution will the project make to HIEP aim to build and sustain evidence aware policy and practice by humanitarian organisations?	
4.1 Extent to which the project has articulated what change will look like in DFID and key organisations/targets	<ul style="list-style-type: none"> <li>Evidence that the project has identified key targets and analysed change needed there for success, within DFID and externally</li> </ul>
4.2 Extent to which the project has gender-sensitive plans to build capacity in Southern actors to be able to access funding for research and also to support, produce, and apply evidence and innovation	<ul style="list-style-type: none"> <li>Evidence including plans and resource allocation to capacity building for Southern actors that takes account of gender differences and diversity</li> </ul>

## 5.1 Emerging findings

***(JC4.1 and 4.2) There is a commitment through the ToR to identify and build capacity of Southern Actors, which mirrors the HIEP. The inclusion of two National Red Cross Societies (Namibia and Pakistan) in the Advisory Board will likely ensure targeted capacity building. There is also an ambition to partner with national/local NGOs in each of the case study countries although this will***

<sup>57</sup> The Revised DRAFT inception report contains a table that outlines an extensive list of questions which explores the differential impact of CB on men, women, as well as age and exclusion (table 8, p. 39).

***be for purposes of conducting the research rather than explicitly for capacity building. At a broader level, there is an implicit intention to strengthen the capacity of IFRC to commission and manage research with anticipation that this will benefit IFRC but that it will also affect National Societies more broadly.***

***Interviews with DFID warned against conflating research and capacity building indicating that the purpose of the project was for research and that capacity building should be dealt with separately.<sup>58</sup>***

***Project documentation and interviews with DFID staff<sup>59</sup> offered no insights into how change will happen within DFID although it was considered an important outcome of the HIEP programme.***

## **5.2 Strengths**

None identified at this stage of the project.

## **5.3 Areas to develop**

At such an early stage in the process the analysis offered above is based on intent rather than reality and it will be important to track progress throughout the results chain with time, to ensure that ToC commitments are being systematically implemented and results realised and reported.

## **5.4 Recommendations**

There would be benefit in obtaining clarification about the capacity building ambitions of the HIEP with DFID in order to clarify the expectations for capacity building impacts.

## **6. Gender and social diversity (any additional comments not covered above)**

The lack of reference in the draft document to issues of gender and social diversity was flagged as a concern but the revised draft inception report has gone considerable way to addressing this.

## **7. Formative phase conclusions**

The project has made encouraging progress in providing evidence of intent, particularly against the relevance and effectiveness criteria. Despite the inception phase only recently coming to an end, the initial project plans that have been articulated show a high degree of complementarity with and relevance to the HIEP at each stage in the results chain. While there is anecdotal evidence to suggest that VfM measures may have been applied in decision-making processes, the evidence to support this is weaker and the establishment of a VfM framework to assist in project management is recommended.

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<sup>58</sup> Source: Interview A20.

<sup>59</sup> Source: Interview A20

### 7.1 Dimensions of change

Change areas (Taken from HIEP theory of change)	Summary of the intended changes and the strategy and plans to address this change area
<b>Output 1. High quality and relevant research and evidence products [LIST PLANNED OUTPUTS]</b>  Quality and relevance considers a) scientific rigour; b) extent of engagement with stakeholders; and c) “reach” of outputs/dissemination	The research outputs have a high degree of correlation with those outlined in the HIEP ToC: <sup>60</sup>  1. Research and evidence products are generated that are high quality and relevant to policy makers and practitioners.  2. Cross-institutional relationships and partnerships formed so that there is an active network of practitioners and policy-makers using the research.  3. The research is robustly designed, incorporates best practice, and is managed effectively.
<b>Output 2: Relationship and partnership formed or strengthened between DFID divisions and with partner agencies</b>	The uptake and engagement strategy showed intent to and process for engaging other partners throughout the research. There was a lack of clarity about how the project will link to sectoral initiatives within DFID and means through which it will seek to influence DFID policies and practice.
<b>Output 3: Relevant individuals have skills to design, commission, and apply humanitarian research</b>	There are intentions to build capacity to design and apply humanitarian research within the IFRC. Capacity building of Southern actors in the case study countries may occur as a by-product of their participation in the research but does not appear to be an explicit aim of the project.
<b>Behaviour Change 1: Debate of and advocacy for HIEP evidence</b>	This is an area that has received greater attention from the project team through the process of preparing the inception report and as a consequence is considered strong. An engagement and uptake strategy exists and progress against this will be monitored throughout the life of the project.
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	There is an intention to build cross-institutional relationships and partnerships so that there is an active network of practitioners and policymakers using the research.
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	The ToC anticipates that the quality of the research and the relevance and accessibility of the research products will attract the attention of key DRM actors across the sector and an assumption that key DRM actors will use research to underpin their policies and activities in relation to DRM, and that policymakers use conference papers, articles, and reports in their work. This assumption will be tested as part of the M&E process.
<b>Behaviour Change 4: Funding and operations change</b>	There is no intention to create new funding streams from within the project and there is a lack of clarity about how DFID will seek to use the findings of the research to influence its own funding priorities. Operations change is a central component of the project ToC.
<b>Outcome 1: International donors,</b>	There is a lack of clarity about the intent of the project to change

<sup>60</sup> Source: OPM REVISED inception report, January 2014, pp.10

including DFID, develop funding instruments and frameworks for investment into evidence, innovation, and its applications	investment patterns which will require clarification during the summative phase of the evaluation.
<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures, and systems to promote the regular integration of evidence into humanitarian and DRM interventions	The ToC outlines short/medium/long-term changes at outcome level, which includes changes in skills, behaviour relationships, and systems. It is anticipated that a successful research process and outcomes will strengthen the case for more regularly integrating evidence into DRM interventions.
<b>Outcome 3:</b> Policy and practice actors invest in social, economic and political innovations that focus on benefits for poor people in humanitarian crises	This outcome statement goes beyond what is articulated in the project ToC (which focuses solely on making change to the ways in which DRM projects are designed and delivered). However, the provision of rigorous research processes and evidence-based decision-making is implicit in the approach that is being taken and the engagement and uptake strategy that is outlined in the REVISED inception report should ensure that the benefits of such an approach are communicated.
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning, and delivery of humanitarian policies, programmes, and practices to manage risks and deliver rapid, effective responses in emergencies	The project will make a contribution to the specific aim directly through the research process and will seek to change practices elsewhere through the engagement and uptake strategy. The IFRC consider that the project will play an important role in building their knowledge and capacity to use evidence in the design and delivery of humanitarian projects in the future.

**7.2 Scoring table at EQ level**

<b>EQ1: Relevance</b>		
<b>Summary of judgement:</b> JC1.1 High – Strong evidence that the project has responded to needs and opportunities JC1.2 High – Strong evidence that the project design is appropriate to address identified needs and opportunities JC1.3 Medium – Limited evidence that the project fits/harmonises with other relevant institutional, sectoral and country-based initiatives and opportunities	<b>Strength of evidence:</b> a – verbal feedback triangulated across stakeholders c – documented strategy and workplan with resources (revised inception report and workplan)	<b>Score and conclusion:</b> a – high – Detailed strategy with strong evidence of progress or potential to achieve strategy
<b>EQ2: Efficiency</b>		
<b>Summary of judgement:</b> JC2.1 – High/medium – Relatively strong evidence that the project has optimised use of resources to achieve results JC2.2 – Medium – Limited evidence that trade-offs between long-term and short-term results and conflicting demands for resources have been considered	<b>Strength of evidence:</b> a – some feedback from relevant stakeholders which suggest that aspects of VfM have been considered	<b>Score and conclusion:</b> b – medium – some evidence exists but there is an absence of a coherent strategy in place that reflects DFID's approach to VfM
<b>EQ3: Effectiveness</b>		
<b>Summary of judgement:</b> JC3.1 High – strong evidence that project plans to produce HIEP outputs JC3.2 High – strong evidence that strategies are in place to ensure behavioural changes JC3.3 Medium – limited evidence that project aims contribute to HIEP outcomes and overall aim JC3.4 High – strong evidence that management approach enables creation, support, and application of evidence and innovation	<b>Strength of evidence:</b> a – verbal feedback triangulated across stakeholders c – documented strategy and workplan with resources (revised inception report and workplan)	<b>Score and conclusion:</b> a – high – Detailed strategy with strong evidence of progress or potential to achieve strategy

<b>EQ4: Impact</b>		
<b>Summary of judgement:</b> JC4.1 Some evidence that the project has articulated what change will look like in DFID and key organisations/targets JC4.2 Medium – limited evidence of plans to build capacity in Southern actors to be able to access funding for research and also to support, produce, and apply evidence and innovation	<b>Strength of evidence:</b> a – verbal feedback from stakeholders albeit with a lack of clarity on issues of impact C – some reference in the revised inception report	<b>Score and conclusion:</b> e – at this stage there is insufficient clarity and evidence to make a judgement

### 7.3 Learning about process and management

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement in this area?	What learning can be drawn from these for other contexts?
<b>Relevance</b>	Complementarity with the ToC and outputs, behavioural changes, and outcomes for HIEP		It is early to draw conclusions but if the over-arching ToC does assist HIEP to contribute towards a common set of changes, then it will demonstrate the value of the ToC in the context of a potentially disparate set of projects
<b>Efficiency</b>		The lack of reference to standardised tools for VfM analysis and the different means by which partners have sought to demonstrate VfM	Agree a standardised set of definitions and format for all partners to report against VfM across the project
<b>Effectiveness</b>	Complementarity with the ToC and outputs, behavioural changes, and outcomes for HIEP		See above
<b>Impact</b>		There is a lack of clarity about intentions of the project (and potentially the broader programme) to capacity build Southern actors. There is a risk that once the ToC has been finalised, it becomes a static document and may not reflect changes that are made to the programme with time	There may be value in agreeing specific dates during the HIEP for a structured process of reflection on the ToC to ensure it is fit for purpose or to revise it in order to reflect changes that have come about as a result of findings/evidence/focus

## Case Study 8: Resilience Thematic Evaluation

### 1. Introduction to case study

The purpose of the resilience thematic evaluation is to generate learning and evidence on whether and how a multi-year humanitarian funding approach has enabled DFID programmes:

1. to ensure timely and effective humanitarian response;
2. to build disaster resilience; and
3. to achieve better value for money.

The UK will provide up to £2.3 million over five years (2013-2017) to support an evaluation of DFID's programmes to build the resilience of communities to disasters in four countries (the Democratic Republic of the Congo, Ethiopia, Sudan, and Yemen).

The evaluation is intended to provide evidence to contribute to the management of these programmes at country level, and to inform DFID's humanitarian policy more broadly. The evaluation findings are also expected to contribute to the global evidence base on good humanitarian practice and on how to build resilience in the most fragile and conflict-affected states.

The study is to be conducted across four of DFID's multi-year evaluation programmes in DRC, Ethiopia, Yemen, and Sudan, with links being made to a parallel DFID humanitarian evaluation in Somalia.

The evaluation is being managed by the new DFID East Africa Research Hub based in Nairobi, with an evaluation management group composed of Humanitarian Innovation and Evidence Programme (HIEP), Africa Regional Department, and CHASE.

The project was approved by the HIEP Management Committee in June 2013, and an OJEU procurement competition is nearing completion, with a contractor selected but not yet announced in March 2014. Therefore, the case evaluation has been limited by not having access to the contractors' technical proposal and proposed methods.

The resilience thematic evaluation is expected to deliver the following results:

1. A better way of measuring the results of aid investments designed to build resilience and reduce risk;
2. Practical evidence about what works in terms of building resilience in the most difficult environments, including a better understanding of how such approaches affect humanitarian outcomes;
3. Evidence as to whether DFID's innovation in humanitarian financing works in practice.

The resilience thematic evaluation is at a very early stage – the contractor had not yet been appointed at the time of the case study. The only documentation that was available was the DFID internal proposal to the HIEP Management Committee, Project Initiation Documents, the ToR for the open call, and the background business cases for multi-year funding in Somali and Yemen. The HIEP evaluation phase consisted of review of this available documentation, including the internal DFID proposal and interviews with DFID's lead adviser managing the programme, as well as interviews with DFID stakeholders in country offices who are intended to be the users of the resilience evaluation outputs. We also interviewed some external stakeholders in key agencies working in the

focus countries on resilience themes. Given the early stage of the project, parts of the planned case study methodology for the evaluation formative phase were not appropriate, so the workshop with DFID and partner organisations was not held.

It should be noted that the technical proposal of the preferred contractor was released just as this report was being completed (31 March 2014). Given the closing of the HIEP case study, it is only possible to make passing reference to the proposal. In any case, it does not provide much more specific information on the methodological and uptake challenges – these are still to be specified in the contractors' inception report.

The findings of this case study are based on data collection during January -March 2014. The judgement criteria and indicators draw on those detailed in the evaluation matrix (see Annex 1.2 main report).

## **2. EQ1: Relevance: How well has the project identified and responded to evolving priority needs and opportunities for investment in humanitarian evidence and innovation?**

### ***Emerging findings***

#### ***JC1.1: Responsiveness to identified problems***

The resilience thematic evaluation primarily tackles problems 2 and 4 of the HIES: inadequate evidence of what interventions are effective, and incentives to integrate evidence use into decisions and programmes (JC1.1.1).

All stakeholders interviewed recognise the problem of identifying what works in resilience, especially resilience programming in fragile states, as most of the examples are from natural disasters.

In terms of its **potential to provide new insights (JC1.1.2)**, external and DFID stakeholders highlight the problems of pinpointing in practical terms what resilience programming is, what development outcomes can be expected, and how these are different from other types of programmes. External stakeholders flagged how the language about resilience has helped people think differently about vulnerabilities and risks, and there is a greater adoption of systems and complexity concepts. But the translation into programmes is not being seen, as it is still an emerging area of practice (external interviews 62, 64).

Both DFID and external stakeholders emphasised two challenges in agencies and programmes working with resilience: i) people have adopted the 'resilience' banner, but are doing the same activities as before; or, ii) they are being funded through multi-year funding instruments to do resilience work but then are being asked to show impact within two years, which is unrealistic. External stakeholders also flagged up the implications of the different funding architectures at play in the area of resilience: emergency, humanitarian funding versus longer-term funding. These are quite different funding instruments, with separate systems and architectures, their own sets of decision-makers, and implementing agencies. Actors are talking to quite different institutions, different parts of government.

Despite more sophisticated thinking about resilience, risks, and vulnerabilities, in operational and practical terms funds allocated for 'resilience' usually sit within a predetermined operational framework, for example, within a food security paradigm or a DRR framework. The practical result is that only those activities that fit within the donors' predetermined framework can be done in support of resilience. This is resulting in a 're-labelling' of activities, perpetuating existing silos, and constraining any transformations in practice (external interview 64; external DFID interview 65).

From external and DFID stakeholders there is a strong message that the resilience evaluation needs to look at how the financing architectures interact, and how this interface could be made more holistic, as the key to the relevance and practical applicability of the findings.

An external stakeholder highlighted that DFID is seen in international humanitarian circles as being quite radical with its new multi-year funding. DFID is seen as the most advanced in its thinking about how to transform the financial system to support resilience, but it is all still new and too early to see results (external interview 66). This reinforced the message that the thematic evaluation is right to be looking at the effectiveness of DFID's multi-year funding instruments as a highly relevant topic for the sector.

The evaluation does have potential to offer new insights, although stakeholders highlighted the considerable methodological challenges in balancing context-specific and generalizable lessons. All stakeholders agreed that while there are other initiatives going on to gather evidence about resilience more systematically – for example, NGOs gathering case studies in the focus countries – this evaluation nevertheless has an important contribution to make.

The main distinctive aspect that external and DFID stakeholders emphasised was the multi-country comparison, pulling in evidence from multiple contexts to compare and contrast them. The strong research approach, the emphasis on evidence quality and rigour, and the weighting on the way evidence is applied are all welcomed as important contributions. External and DFID stakeholders who are representative of the intended user groups hope that the findings will be tailored to different country contexts to enable their application in these countries. However, it is felt in the project team that the relevance will be stronger at a global level around policy and strategic institutional relationships (internal interview 63).

In relation to whether that project has addressed **gender and other aspects of social exclusion, (JC1.1.3)**, these do not appear to have been adequately addressed in the available documentation, save one reference to the need to investigate how different resilience interventions benefit women and men (DFID Funding Proposal, p. 10). Gender as a criterion for the advisory groups has not been thought about yet. Gender and social exclusion was a scoring criterion in the procurement process, and is integrated into the evaluation design. The contractors' proposal mentions that data will be gender will be disaggregated and that gender will be a priority theme (pp. 8-9). But the systems for doing this will be built at inception (DFID internal interview 63).

#### ***JC1.2: Extent to which the project design is appropriate to address identified needs and opportunities***

There is insufficient documentation at this stage to assess whether the **scale and scope of the project is appropriate to identified needs (JC1.2.1)**.

There is evidence in the Funding Proposal of the intention for this to be a user-driven evaluation. There is verbal evidence that the **application and transferability of research findings is planned for (JC1.2.2)**, for example, by making early evaluation outputs, such as the theory of change and indicators, available for use. The ambition is for the findings to influence at different levels:

- country-level stakeholders in the four focus countries, both within DFID and key national agencies;
- other DFID Country Offices developing major investments in disaster resilience and multi-year funding, e.g. Afghanistan, Pakistan, Syria and Nepal;

- influence at the policy level within DFID, for example, the resilience policy team (DFID Funding Proposal, pp. 9-10); and,
- within DFID's strategic institutional relationships (although which ones have not yet been identified) (DFID internal interview 63).

The intention of the project is also not just to maximise learning in the selected country cases but also to synthesise learning from other cases, such as Somalia (where there is another ongoing evaluation) and the Sahel (p.9).

There is a verbal aspiration to target internal DFID users of the evaluation: the contractor will have to develop an internal DFID uptake strategy, using the humanitarian professional development channels to link up with policy and other work on resilience coming through development programming (DFID internal interview 63). The procurement process was designed to be inclusive and cross-divisional involving DFID-Ethiopia, DFID-DRC, East Africa Research Hub, ARD, CHASE and HIEP Secretariat. Also in developing the proposal and TORs the evaluation questions were discussed with the cadre of humanitarian advisors at their CPD event in July 2013, and all the advisors involved in the evaluation were given the opportunity to comment on drafts. There is a member of DFID staff responsible for promoting findings.

However, there is no documentary evidence to be able to assess plans.

With regard to evidence of **a process to ensure quality of research process and products (JC1.2.3)**, DFID management plans to establish advisory groups to guide key aspects of the evaluation, although whether on cross-cutting themes or on focus countries is not clear yet (DFID internal interview 63). The contractors' proposal states that members of the consortium based at Sussex University and at the Overseas Development Institute will provide capacity for research methods and analysis. Sector specialists have also been identified to give advisory inputs and to cover a range of sectoral perspectives on resilience debates to strengthen the acceptability of the findings, given that there are no stable or agreed definitions yet in this rapidly evolving field. The contracting company also has its own internal quality assurance process, which may include external peer review of evaluation products in complex evaluations.

There is not yet any evidence of plans to disaggregate of populations and data sets **(JC1.2.4)** or that potential end-users have been disaggregated by interest and need **(JC1.2.5)**.

***JC1.3: Extent to which the project fits/harmonises with other relevant institutional, sectoral, and country-based initiatives and opportunities***

As the project is at such an early stage, there is only limited evidence of how the resilience evaluation is intended to connect to other initiatives (JC1.3.1, 1.3.2, 1.3.3). For example, there is a 3ie impact evaluation in DRC planned for this year; also, there are potential connections with the HIEP project which is looking at access and aid in insecure settings (Secure Access in Volatile Environments). Resilience is also a key theme of the 2016 World Humanitarian Summit.

The Annual Review confirms that some work has been done to build a network of DFID advisers in the country offices and to other resilience work through advisers, for example, the adviser on the BRACED programme through DFID's Research and Evidence Division. There is verbal evidence of connections being formed in the East Africa region with other agencies who are interested, for example, other donors with regional remits. The DFID adviser is also planning to build-in networking to the governance of the programme.

### ***Areas to develop***

At this early stage, without seeing the contractors' methods, it is hard to assess the strengths and weaknesses of the project. The expected ambitions and aims are in place, and so the project has strong potential to make an important contribution.

### ***Recommendations***

The main recommendation at this point would be to focus at an early stage on the design of the engagement and uptake strategy to ensure that the evaluation is user-driven and addresses practical operational needs. Recommendations made by both internal DFID and external interviewees on making the findings transferable to other contexts include:

- Reflecting the funding choices country-by-country, and reflecting sub-national issues, as resilience is so context-specific.
- Making a clear differentiation between what outcomes are seen as local level, and then a different layer of general lessons, so that it is possible to see the influence of the context on the results, what was because of the intervention and how the results were achieved and what is transferable to other contexts. This is a methodological and communication challenge – how the country studies are conducted and synthesised, and how recommendations are written.
- Making evidence products practical and accessible to the community, being very clear on how resilience approaches can be applied, what results to expect, and how best to invest in innovations for resilience.

## **3. EQ2: Efficiency: To what extent and how has the project delivered value for money (VfM)?**

### ***Emerging findings***

#### ***JC2.1: Extent to which the project has optimised use of resources to achieve results***

There is some evidence that a concern for **value for money has informed the procurement process so far (JC2.1.1)**. Different procurement options were considered – as it was a complex evaluation, procurement went outside the current framework agreements to a wider OJEU process, open competition, to get more competition and a better response from the market. There was a good response, attracting some organisations which had not yet applied for HIEP programmes. However, the PQQ bids were mainly from large consultancy firms with smaller research organisations providing additional specialisms (Annual Review, p. 2). The two-stage process involved benchmarking costs against other Research and Evidence Division research programmes, and application of the standard DFID VfM criteria (DFID internal interview). Given the complexity of the resilience evaluation, how VfM is managed and applied should be followed up in future phases of the HIEP evaluation process.

Additional issues that could affect value for money, costs, and delivery are the delays and budget implications of the Duty of Care and security concerns in the focus countries. This has already caused delays in Yemen. The DFID Procurement Group has flagged a concern regarding the budget. The original budget was £2m, but upon a team request for an additional £0.5m from the Management Committee an increase to 2.3m was agreed.

The need for flexibility in the contract has been recognised. Working with the DFID Procurement Group, the ToR have flexibility to offer no-cost extensions to allow for delays in the evaluation caused by spikes in security, and also to provide for potential changes in the evaluation case study countries should security deteriorate in any one location to the extent that the evaluation is no

longer feasible. There is also provision for there to be a real-time evaluation during an emergency, as there is likelihood to be a shock during the period. As part of the evaluation, it will be useful to capture some of the DFID learning around managing evaluations in fragile and conflict-affected contexts, for example, through linking to the other project in the HIEP that is focused on research in insecure environments (Annual Review, p. 2).

As a supplier is not yet in place, there is no evidence at this stage of systems and processes in place for managing VfM (**JC2.1.2**) as well as approaches to address gender equality and other equity issues. **Alternative delivery options were assessed (JC2.1.3)**. These included: i) separate, individual programme evaluations, with synthesis conducted by the HIEP secretariat; ii) generate evidence through a specially-designed evaluation. Option 1 was thought not to deliver quality, be holistic or deep, and would not be sufficiently sophisticated to generate what is needed. So Option 2 was selected on the basis of quality of evidence likely to be produced.

***JC2.2: Extent to which trade-offs between long-term and short-term results and any conflicting demands for resources considered and resolved***

There is insufficient evidence to assess this JC, as the project is at a very early stage.

***Recommendations***

It is too early to make any specific recommendations at this stage.

**4. EQ3: Effectiveness : To what extent and how has the project ensured the creation, support, and application of high quality and relevant humanitarian evidence and innovation?**

***Emerging findings***

***JC3.1: Extent to which project plans to produce HIEP outputs***

The HIEP outputs are high quality evidence products, cross-institutional relationships, and partnerships, and skills built for developing and using evidence and innovation (JC3.1.1). The resilience evaluation's theory of change narrative set out in the funding proposal shows that the project is aligned closely to meet the HIEP outputs.

Evidence products will be produced under each of the resilience evaluations' long-term outcomes. For example, high quality data and analysis on the impact of multi-year investments on resilience in FCAS and providing a strong evidence base on the opportunities and threats to building disaster resilience in FCAS. In terms of cross-institutional linkages, the theory of change also refers to building strong links with policy teams and engaging with prospective users of the research in other programmes and institutions, although at this stage there is a lack of clarity around how this will be done (Funding Proposal, pp. 10-11). Skills are intended to be built through providing better guidance for DFID staff and globally in the planning and delivery of resilience interventions in FCAS – although there is no clear description of if and how training will be provided.

There is limited verbal evidence that these plans are in place: outputs are intended to include theories of change, indicators, tested funding instruments of relevance to other donors (DFID internal interview 63). The contractor team includes practitioners as well as researchers, so one external stakeholder hopes that there will be a balance between research needs for rigour and the practical applicability of the findings (DFID external interview 61).

***JC3.2: Extent to which socially inclusive/gender-sensitive strategies are in place to ensure behavioural changes***

In the HIEP theory of change, the intermediate behavioural changes are: i) champions advocating evidence; ii) knowledge brokered; iii) operational actors endorsing evidence; and iv) DFID funding becomes more based on evidence (**JC3.2.1**).

There is insufficient evidence to assess the extent to which plans are in place to achieve HIEP outcomes. The draft theory of change set out in Annex 1 of the funding proposal implies these changes, but is not detailed enough, especially between the output and outcome levels, where products become changes in financing regimes and policies within DFID (Funding Proposal, p. 13). The assumptions and strategies to move outputs to influence the desired changes will be investigated further in the next stage of the HIEP evaluation.

Reference is made in the theory of change narrative to engaging prospective users of the research at country and headquarters level to ensure that the evaluation findings contribute to programme management (p. 10), although it is not clear at this stage how evidence will be endorsed and championed.

There is verbal evidence that the contractor will produce a research uptake plan that will address these kinds of outcomes. The contractor's proposal does not detail any plans, other than that a strategy will be articulated in the inception phase. Other external and internal interviews do not comment on these aspects, as the project is at such an early stage of commissioning.

There is insufficient documentation at this stage to assess plans for gender and social exclusion analyses to inform HIEP outputs. The only reference made to gender analysis is in an elaboration of the research questions in the funding proposal and the need for identifying whether different resilience interventions benefit women and men (Funding Proposal, p. 10).

There is some verbal evidence to suggest that gender and social exclusion is integrated into the evaluation design, but this could not be verified as the contractor's documents are not yet available.

***JC3.3: Extent to which project aims contribute to HIEP outcomes and overall aim***

The HIEP outcomes are **new funding instruments, changes in capacities around evidence, and investment into innovation (JC3.3.1)**. There is an intention in the DFID Funding Proposal for the project findings to contribute to evidence and knowledge around which instruments and interventions work best to build disaster resilience in FCAS, and therefore to attempt to influence the development of a common vision and approach by donors in moving towards multi-annual financing approaches, and greater coherence in the use of instruments and improved predictability and duration of humanitarian funding (Funding Proposal, p. 8). This maps to Outcomes 1 and 2 of the HIEP. There is not, however, enough evidence at this stage of how this and the other HIEP outcomes might be achieved.

It is not clear from internal interviews to what extent the resilience evaluation is linked in to the wider portfolio of HIEP projects that are working on research in insecure environments for instance (JC3.3.2). As mentioned above in 1.3, the project links to a number of broader sectoral initiatives both within and outside DFID, although it is not clear if and how it will link to other interventions under HIEP.

***JC3.4: Extent to which management approach enables creation, support and application of evidence and innovation***

The supplier has not yet been contracted so it is not possible at this stage to assess this judgement criterion.

**5. EQ4: Impact**

***Emerging findings***

***JC4.1: Extent to which the project has articulated what change will look like in DFID and key organisations/targets***

As in JC3.3.1, there is an aspiration in the DFID Funding Proposal to the HIEP MC to build “a common vision or donors to adopt multi-country funding” (p. 8). However, at this early stage, nothing further has been specified about what needs to change to support this vision, and so there is insufficient at this stage to assess the extent to which the project has articulated what change will look like in DFID and other key organisations.

***JC4.2: Extent to which the project has gender-sensitive plans to build capacity in Southern actors to be able to access funding for research and also to support, produce, and apply evidence and innovation***

The ToR for the resilience evaluation allowed space for bidders to include capacity strengthening of national partners. However, it is not a requirement. The contractor’s proposal does not make any mention of capacity building, so it is assumed that this is not an intended part of the project.

**6. Gender and social diversity (any additional comments not covered above)**

There is verbal evidence to suggest that gender and social difference concerns was a scoring criterion in the procurement process. Gender and social exclusion is integrated into the evaluation design. The research will disaggregate data. Systems will be established at inception. However, there are no documented plans yet to support these intentions.

**7. Formative phase conclusions**

***7.1 Dimensions of change – mapping the project to the HIEP theory of change***

*The table below includes all the dimensions of change detailed in the HIEP theory of change and summarises the extent to which the project aims to address these and current plans to enable change.*

Change areas (Taken from HIEP theory of change)	Summary of the intended changes and the strategy and plans to address this change area
<b>Output 1. <u>High quality and relevant research and evidence products</u> [LIST PLANNED OUTPUTS]</b>  Quality and relevance considers a) scientific rigour; b) extent of engagement with stakeholders; and c) “reach” of outputs/dissemination	Proposal to HIEP states that this is the intention, but the approach and methods for producing the research and evidence outputs have not been possible to assess as the contractor’s proposal was not yet available.
<b>Output 2: Relationship and partnership formed or strengthened between DFID</b>	External – There is a suggestion that links are being made with other interested donors in the East Africa

<b>divisions and with partner agencies</b>	<p>region, and that the Advisory Group will include mostly external stakeholders.</p> <p>DFID – Procurement process has involved humanitarian advisers from country offices and also from related development programmes.</p>
<b>Output 3: Relevant individuals have skills to design, commission, and apply humanitarian research</b>	<p>Project has been designed and commissioned by Research and Evidence Division. While Humanitarian Advisers have been involved in the assessment of the bids, there is no mention of building skills to commission research, although this is a complex evaluation requiring a highly technical approach.</p> <p>Building skills to apply research is an implicit aim of the project but not explicitly articulated at present.</p>
<b>Behaviour Change 1: Debate of and advocacy for HIEP evidence</b>	Awaiting contracting and communication strategy as part of proposal – assumption that this will be developed during the inception phase.
<b>Behaviour Change 2: Networks broker applications of HIEP evidence</b>	As above in BC1, though there is an intention to reach the places humanitarian actors usually use for evidence and also through DFID Humanitarian cadre professional development processes.
<b>Behaviour Change 3: Operational actors endorse HIEP evidence</b>	As above in BC1.
<b>Behaviour Change 4: Funding and operations change</b>	As above in BC1.
<b>Outcome 1:</b> International donors, including DFID, develop funding instruments, and frameworks for investment into evidence, innovation, and its applications	<p>Intention is to produce global learning on funding instruments to manage resilience programming in FCAS, relevant to strategic institutional partners as well as DFID.</p> <p>External stakeholders highlight the challenges of bridging two contrasting funding architectures affecting the results of resilience programming: short-term, emergency humanitarian funding, and longer-term development funding. The evaluation needs to tackle ways of bridging these in practical ways to achieve a more holistic, multi-system approach to resilience or risk limiting the effectiveness of resilience work by keeping it in thematic silos.</p>
<b>Outcome 2:</b> Humanitarian actors change skills, behaviours, relationships, cultures, and systems to promote the regular integration of evidence into humanitarian and DRM interventions	<p>The ambition is for the findings to influence country-level stakeholders, also the policy level in DFID; and strategic institutional relationships with multi-lateral agencies.</p> <p>Expected change is not defined.</p> <p>DFID and External Stakeholders also highlighted the importance of locally-relevant, highly practical findings, with strong in-person/face-to-face, strategic, and timely learning processes to support application in</p>

	decision-making and design processes, not only reports.
<b>Outcome 3:</b> Policy and practice actors invest in social, economic, and political innovations that focus on benefits for poor people in humanitarian crises	One DFID stakeholder mentioned the importance of identifying ways of investing in resilience innovations.
<b>SPECIFIC AIM:</b> Actors in fragile and conflict-affected states and countries vulnerable to disaster risks use context-specific applications of evidence and innovations in the design, financing, planning, and delivery of humanitarian policies, programmes, and practices to manage risks and deliver rapid, effective responses in emergencies	The contribution to the specific aim is implied, as the evaluation needs to look at the outcomes of resilience programmes. DFID and external stakeholders are expecting the user-driven evaluation to contribute to <b>use</b> of the findings through proactive, practical, and in-person engagement strategies right from the start of the programme. Practical tools and approaches suitable for direct use are expected outputs of the project.

### 7.1.2 Any other comments/conclusions

It was acknowledged that the project has the potential to produce something distinctive through its multi-country, comparative, and rigorous examination of causality, if it can tackle the methodological challenges successfully. Other studies – both research and evaluation – are being conducted into resilience in FCAS, but tend to focus on a single country context or are not using methods that would help to separate out contextual factors from transferable insights into effectiveness of resilience approaches, nor have they been able to look at outcomes. However, the strength of this potential needs to be verified against the contractor's approach and methods (which were not available at this time).

## 7.2 Project assessment

<b>Summary of assessment:</b>  Summary of each judgement criteria based on evidence at indicator level	<b>Strength of evidence:</b> The types of evidence are on a scale which gives increasing confidence in plans, i.e. a reported intention to develop strategies to address an area scores lower than a project that has a resourced plan to do this. <ul style="list-style-type: none"> <li>a) Verbal/planned strategy (an intention)</li> <li>b) Documented strategy in DFID proposal</li> <li>c) Documented strategy and workplan with resources (e.g. agreed inception report and subsequent workplan)</li> <li>d) Documentation to show being implemented (e.g. annual reviews, reporting, other)</li> </ul>	<b>Score and conclusion:</b> Score of the strength of <u>progress and strategies</u> to ensure relevance/efficiency/effectiveness/impact as: <ul style="list-style-type: none"> <li>a) High – Detailed strategy with strong evidence of progress or potential to achieve strategy</li> <li>b) Medium – Good strategy with some evidence of progress or potential to achieve strategy</li> <li>c) Low – Covers the issue but with limited evidence of progress or potential to achieve strategy</li> <li>d) None – No strategy in place</li> <li>e) There is not enough evidence to make a judgement</li> </ul>
<b>EQ1: Relevance</b>		
<b>Summary of judgement:</b> <ul style="list-style-type: none"> <li>• Strong evidence that the project has responded to needs identified (in HERR and HIES) and other emerging needs and opportunities to invest in humanitarian evidence and innovation (JC1.1).</li> <li>• Not enough evidence that the project design is appropriate to address identified needs and opportunities – too early to say (JC1.2).</li> <li>• Limited evidence that the project fits/harmonises with other relevant institutional, sectoral, and country-based initiatives and opportunities (JC1.3). This awaits the approach and methods to be established during inception phase.</li> </ul>	<b>Strength of evidence:</b> The judgements are based on internal DFID proposal, interviews with DFID team and external stakeholders. No workplan, inception report, or contractor interviews available yet.  <b>Strength: a and b</b>	<b>Score and conclusion:</b>  <b>Medium</b> – Good proposal with some evidence of progress or potential to achieve relevance e.g. direct relation to HIES identified needs.  However, it all depends on the approach and methods developed by the contractor during the inception phase. External and internal stakeholders agree that the potential for an important contribution is there, but that the methodological challenges of synthesising practical findings from five country studies as well as the risks and costs of safely conducting

		the research in highly insecure settings are significant impediments to delivery.
<b>EQ2: Efficiency</b>		
<b>Summary of judgement:</b> <ul style="list-style-type: none"> <li>Some evidence that the project has optimised use of resources to achieve results e.g. through open, competitive procurement process and benchmarking of costs. Economy and effectiveness considerations have been prioritised more, with much less evidence on how equity has or will be covered (JC2.1).</li> <li>Some evidence to suggest that trade-offs between long-term and short-term results and any conflicting demands for resources have been considered and resolved (JC2.2).</li> </ul>	<b>Strength of evidence:</b> <b>a and b</b> No budget available at this stage.	<b>Score and conclusion:</b> Medium – The project covers the issue of efficiency but there is insufficient evidence of potential to achieve value for money, as the contractor's documentation has not yet been made available due to the early stage in contracting. Flexibility has been explicitly built in to the project, as DFID stakeholders have flagged the risk of incurring additional costs due to operating in insecure environments and have allowed flexibility on the ToR for no-cost extensions due to the volatility of security situations, also a real-time evaluation of an emergency during the funding period has been allowed for.
<b>EQ3: Effectiveness</b>		
<b>Summary of judgement:</b> <ul style="list-style-type: none"> <li>Some evidence the project plans to produce HIEP outputs (JC3.1).</li> <li>No evidence yet on how socially inclusive/gender-sensitive strategies are/will be in place to ensure behavioural changes (JC3.2).</li> <li>Limited evidence of how the project aims to contribute to HIEP outcomes and overall aim though the intentions are there (JC3.3).</li> </ul>	<b>Strength of evidence:</b> <b>a and b (as above)</b>	<b>Score and conclusion:</b> Medium – early to make assessment given the project is in process of being contracted. The project intends to support the creation of high quality and relevant evidence and to support its application in practice, although the specific strategies are not yet there. External and DFID stakeholders acknowledge the project's potential contribution to resilience practice, if its research can be achieved.
<b>EQ4: Impact</b>		
<b>Summary of judgement:</b> <ul style="list-style-type: none"> <li>There is not enough evidence that the project has articulated what change will look like in DFID and key</li> </ul>	<b>Strength of evidence:</b> <b>a and b (as above)</b>	<b>Score and conclusion:</b> Insufficient evidence at this stage. The project intends a contribution to build

<p>organisations/targets (JC4.1).</p> <ul style="list-style-type: none"> <li>There is not enough evidence to assess whether the project has gender-sensitive plans to build capacity in Southern actors to be able to access funding for research and also to support, produce and apply evidence and innovation (JC4.2).</li> </ul>		humanitarian organisations' use of evidence in policy and practice, and is emphasising both the generation of high-quality evidence as well as support to its practical application by operational actors. But the strategies to deliver this are not yet in place.
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### 7.3 Learning about process and management

The table below has details of key learning from the project, e.g. in relation to key process, structural, or organisational factors which enabled/inhibited achievement.

Learning points/Area of evaluation	What factors enabled achievement in this area?	What factors inhibited achievement this area?	What learning can be drawn from these for other contexts?
<b>Relevance</b>	<p>Enthusiasm and interest amongst DFID humanitarian advisers in country offices to do some joined up thinking on this.</p> <p>Country-level innovations in multi-year funding instruments for humanitarian and resilience programming.</p> <p>HIEP secretariat spotted the opportunity to answer the sector-wide questions – there is a lot of grappling around resilience and frameworks and theoretical approaches, but operationally, how do we finance and programme it?</p> <p>DFID is recognised as an innovator</p>	<p>Security of contexts, doing research in highly insecure and volatile environments.</p> <p>This has been mitigated by doing five country case studies, designing a rigorous approach that is still flexible.</p> <p>DFID administrative systems might prevent flexibility.</p>	<p>Too early to say – interesting to see how a user-driven evaluation actually engages practitioners in applying the findings.</p>

	and quite radical with its multi-year funding. It is seen as the most advanced in its thinking about how one can transform the financial architectures to support resilience programming.		
<b>Efficiency</b>	Not known yet.	Not known yet.	Not known yet.
<b>Effectiveness</b>	Not known yet.		
<b>Impact</b>	Not known yet.	Not known yet.	Not known yet.



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Report

Department for International Development

## ANNEX 3 HUMANITARIAN INNOVATION AND EVIDENCE PROGRAMME THEORY OF CHANGE – FORMATIVE PHASE

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Date: **August 2014**

Submitted by Itad

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## Annex 3: Humanitarian Innovation and Evidence Programme Theory of Change – Formative Phase

### Revisions of the Theory of Change at the formative phase

The Theory of Change (ToC) describes the overall impact to which the HIEP seeks to contribute, its specific aim and the changes required to ensure that the impact and aim can be achieved.

The ToC has been revised slightly at the formative phase to reflect the findings of the evaluation. This has mainly focused on clarifying the potential pathways for innovations supported by HIEP, as these were not clearly articulated before.

It also clarifies that Behaviour Change 4 is expected to be observed amongst DFID's direct partners and grantees.

The evaluation team recommends that the HIEP Secretariat read this revised ToC closely, as it outlines some key considerations for them in developing strategies for research uptake and for innovations uptake pathways.

The main changes are in the section 'Sphere of indirect influence: Outcomes' on page 10 of this document. Findings and reflections on the innovation aspect of the HIEP have been added based on data and analysis from the formative evaluation.

### HIEP's Theory of Change – Narrative

The visual representation of the ToC as described in Figure 1 is structured in five sections, starting at the bottom of the diagram:

- Problems
- Outputs
- Influencing and uptake behaviour changes
- Outcomes
- Impacts

These represent a logical progression of changes over time from the collective outputs of all the HIEP projects, through intermediate changes, onto outcomes and eventually the hoped-for impact. Although the ToC presents the change process as sequential, it is explicitly non-linear. The ToC is a visual representation of the key drivers and dynamics of change that are informing the choices of the people involved in the HIEP within DFID and partner organisations. The ToC is therefore best treated as a learning framework to guide conversations about strategy design, implementation and evaluation.

### Note on presentation and definitions

The representation of HIEP's ToC has been informed by the observation that the programme's implicit influencing approach is grounded in complex systems thinking and network views of how change happens. Influence through networks and joint 'learning-by-doing' in new partnerships is consistently put forward as the main driver of change by most staff involved in the HIEP. To

represent the dynamics of this understanding of change, our approach to developing the ToC has been guided by the following principles central to network-based ToC:<sup>1</sup>

- The ToC needs to have identifiable actors, not just disembodied and abstract processes of change. We use the term ‘actor’ to mean institutional actors in the three key areas where change is anticipated: within DFID, at national level amongst humanitarian actors and amongst networks of international humanitarian actors. Where the evaluation means individuals, that term is used. ‘Champions’ and ‘sponsors’ are individuals who are convinced of the benefits of HIEP approaches and are willing to advocate for them in their institutional settings.
- Changes are described as actor-specific changes in behaviours and relationships, not abstract ‘outcomes.’
- Relationships are described in terms of the individuals, actors and kinds of processes involved.
- Five key ‘links’ are identified between each set of changes, which represent the strategies, interventions and activities that combine to influence and contribute to changes. This approach fits with Contribution Analysis principles.<sup>2</sup>
- Assumptions are articulated to aid both the development of the programme strategy and the evaluation process to test their validity during the course of the programme.
- For each link, we have identified one or two priority ‘Barriers and Risks.’

### **Assumptions, barriers and risks**

We have identified five links and assumptions, based on our consultations and reading of the wider research uptake literature. Since those involved in the HIEP have not discussed assumptions explicitly, the six key assumptions we have highlighted represent critical conditions that logic and evidence suggest need to be in place in order to influence outcomes. Each of the six assumptions is listed below.

There are many more assumptions that apply to the HIEP ToC, which we recommend be discussed fully. We have tried to prioritise six key assumptions to inform the design stage strategies.

The HIEP team is the owner of the assumptions, not the evaluation team. Therefore, in this inception phase, the evaluation team suggests that the first test of these is not whether the evaluation team has identified the correct assumptions, but whether the HIEP team has strategies in place to address them and influence those critical conditions.

As the evaluation proceeds, assumptions can be used as learning points for critical reflection and reformulated as required by the HIEP team in the light of evaluation findings and their learning.

For each link and assumption, we have identified key ‘Barriers and Risks’ – there are multiple barriers and risks at each stage of the ToC but we have aimed to highlight ones that seem most helpful to guide the HIEP Team.

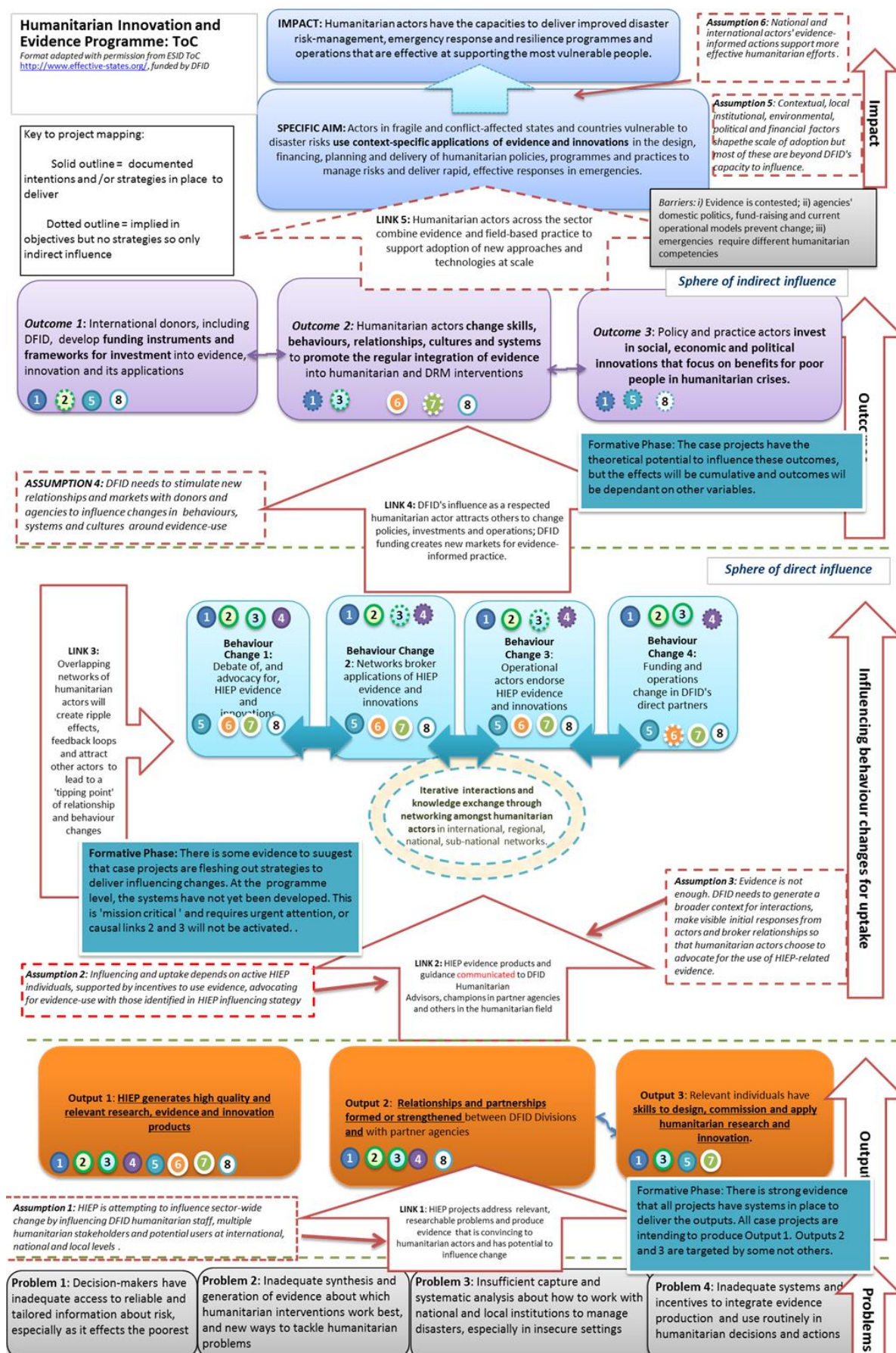
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<sup>1</sup> Adapted from R. Davies, (2013, forthcoming) ‘Network perspectives on Girl Hub Nigeria.’

<sup>2</sup> Mayne, J. 2008, ‘Contribution Analysis: An approach to exploring cause and effect,’ ILAC Brief 16, May 2008. [http://www.cgiar-ilac.org/files/ILAC\\_Brief16\\_Contribution\\_Analysis\\_0.pdf](http://www.cgiar-ilac.org/files/ILAC_Brief16_Contribution_Analysis_0.pdf)

**Evaluation case study projects**

The numbers on the diagram represent the eight HIEP projects that are being tracked through the evaluation. The diagram also highlights some formative phase conclusions about the progress of these through the ToC.



## Problems

The ToC starts at the bottom of the diagram, where the four main challenges or problems are summarised from HIEP:

- **Problem 1:** Decision-makers have inadequate access to reliable and tailored information about risk, especially as it affects the poorest.
- **Problem 2:** Inadequate synthesis and generation of evidence about which humanitarian interventions work best, and new ways to tackle humanitarian problems.
- **Problem 3:** Insufficient capture and systematic analysis about how to work with national and local institutions to manage disasters, especially in insecure settings.
- **Problem 4:** Inadequate systems and incentives to integrate evidence production and use routinely in humanitarian decisions and actions.

The Humanitarian Innovation and Evidence Strategy describes in detail why these issues have not been addressed. To summarise, factors include the following:

- Funding in the humanitarian system tends to be short-term and geared around emergency responses, so there is less funding available for long-term evidence production and support to innovation.
- A driver of humanitarian practice is field action (learning-by-doing), often in highly pressured, uncertain and volatile situations, so technical operational expertise and experience is the main basis for decision-making.
- There is a perception that certain types of research in emergency settings are not feasible and/or ethical.
- Research and evidence products may not be tailored or sufficiently structured to be relevant to the specific operational needs of stakeholders.
- Technical staff competencies in different organisations may not be geared towards sourcing and appraising evidence as the basis for decisions and actions.

The consequences are that humanitarian practice is not being refreshed and prepared for future challenges through systematic capture and analysis of field experience, empirical testing of existing and emerging practices, technological innovations or future-focused research.

## Outputs

To address these four problems, DFID is investing in a sector-wide and multi-partner research programme. The portfolio of projects that will be funded spans a wide range of topics, types of research and types of research commissioners. These range from applied research and impact evaluation, through evidence synthesis, to more 'blue skies' research.

A significant difference in this programme is that DFID has chosen to manage the programme in-house rather than to outsource it. The rationale for this is described in Assumption 1.

The first link in the ToC and its assumption are:

**LINK 1: Underlying causal theory:** HIEP projects address relevant, researchable problems and produce evidence that is coherent and convincing to humanitarian actors and that has potential to influence change.

**Assumption 1:** *Sector-wide change can be influenced through engaging DFID humanitarian policy and operational staff, multiple humanitarian stakeholders, and potential users at international, national and local levels from the start of the research process to enhance relevance and stimulate acceptance and uptake.*

**Barriers and risks:** *HIEP research projects may not engage stakeholders sufficiently to identify relevant problems; rapid changes in contexts (e.g. geophysical and political conditions) generate new emergencies and needs not addressed within the HIEP portfolio, affecting relevance.*

The outputs have been summarised in the ToC diagram as:

- **Output 1: HIEP research, evidence and innovation products generated that are high quality and relevant** to humanitarian donor, practitioner and academic communities, national governments, public sector actors, civil society and private actors, informed by active stakeholder engagement through national and international humanitarian networks

Research products will include a range of outputs, for example:

- Primary research papers and peer-reviewed articles in open-access formats
- Validated impact evaluations that provide a rigorous basis for operational adjustments made available in open access formats
- Literature reviews and systematic reviews that structure the evidence base for humanitarian and disaster risk reduction (DRR) actors, in open access formats
- Datasets made available and accessible in open formats for application by actors
- Catastrophic risk models that are validated, made available and consulted by stakeholders and actors
- Innovations in humanitarian products and processes piloted, tested, halted or scaled up
- New methods and approaches produced that are suitable for piloting, testing and scaling up
- Monitoring and Evaluation (M&E) Toolkits
- DFID Technical Guidance products

This is important in terms of the demonstration effect (i.e. research is possible and it can yield interesting and useful findings).

- **Output 2: Cross-institutional relationships and partnerships** formed or strengthened between DFID Divisions (RED, CHASE and ARD) and with identified individuals in partner agencies, so that there is an **active HIEP team and network that is influencing the enabling environment for the uptake of HIEP evidence**

These relationships are key to create an active network of HIEP people that are working in their settings and with their partners to support the uptake of HIEP evidence. People need to identify themselves as part of the HIEP and be actively engaged in learning across the HIEP portfolio in order to create the coherence to influence sector-wide change through DFID's own channels as an operational actor, international humanitarian policy-setter and funder, and influential actor.

- **Output 3: Skills** to design, commission and apply humanitarian research and innovation strengthened **through learning-by-doing amongst DFID HIEP staff, staff at key partner agencies and country-based humanitarian research communities**

Building these skills is an integral part of the HIEP's strategy to build awareness of the value and practicalities of integrating research-based evidence to strengthen humanitarian practice.

### **Sphere of direct influence: Influencing behaviour changes for uptake**

Our description of the ToC identifies an important intermediate set of behaviour changes that need to emerge from DFID's influencing and uptake activities. We have highlighted these because they remain largely implicit, and there is not yet a shared influencing strategy in place.

This section describes the different types of behaviour change that DFID staff have direct influence over through their convening activities, formal policy influencing, networking activities and programmatic influence through funding and incentives.

We expect that influencing these behaviour changes will require iterative interactions and knowledge exchange through networking amongst receptive sponsors in DFID, international donors, national government actors and academic, practitioner, private sector and media networks.

This central premise is supported by international research on research impact,<sup>3</sup> which highlights the following conditions that need to be in place to enhance the potential for research evidence to influence practice and policy:

- Established networks and relationships with research users
- Portfolios of research and outreach activity that build credibility and reputation with research users
- Well-planned public engagement and knowledge exchange strategies, including the use of product strategies which tailor evidence to the needs of users
- Developing applications for policy and practice with non-academic partners
- Involving users at all stages of the research
- Good understanding of policy/practice contexts
- Understanding and targeting barriers to and enablers of change
- Infrastructure, leadership and management support
- The involvement of intermediaries and knowledge brokers as translators, amplifiers and network providers<sup>4</sup>

<sup>3</sup> See Carden 2010 for a multi-case analysis of IDRC-funded research impact; see Nutley et al. 2008 for a comprehensive review of the literature, models and research on the use of evidence in public services in a UK context; highly relevant for an international context.

<sup>4</sup> ESRC's 'How to Maximise Impact of Research,' <http://www.esrc.ac.uk/funding-and-guidance/impact-toolkit/what-how-and-why/how-to.aspx>; Payback Arising from Research Funding, Evaluation of the Arthritis Research Campaign, by [Steven Wooding](#), [Stephen Hanney](#), [Martin Buxton](#), RAND, 2005. From Research Uptake Internal Strategy Paper, presented to DFID Research Committee, 2010. Working definitions taken from 'Learning lessons on research communication and uptake: A review of DFID's Research and Evidence Division's human development (health and education) and agriculture portfolios and their contribution to the 30% policy' (2010), Triple Line Consulting.

In these respects, one of the major opportunities for the HIEP comes from its innovative design, spanning research and humanitarian operational divisions of DFID. This brings it close to meeting all the desired conditions listed above to optimise the potential for HIEP evidence to be taken up.

In the ToC, DFID staff involved in humanitarian programming are expected to actively lead influencing and uptake activities via a variety of channels, developing the capacities and changing the behaviours of DFID's Humanitarian Adviser network in DFID country offices. In turn, DFID's Humanitarian Advisers are expected to be able to influence behaviour changes through their networks with counterparts in DFID's partner agencies in the international humanitarian system.

The second key link in the ToC is:

**LINK 2: Underlying causal theory:** HIEP evidence products and guidance communicated to and adopted by DFID Humanitarian Advisers. This includes using systems, institutional incentives, policy influencing, advocacy, technical assistance, training and learning to support adoption and evidence-based behaviours, through professional cadres and continuing professional development of DFID Humanitarian Advisers, formal institutional channels, champions in partner agencies, humanitarian networks, academics and professional development providers.

**Assumption 2:** *Influencing and uptake depend on actively engaged DFID HIEP individuals, guided by a prioritised HIEP influencing strategy, working through identified champions.*

**Barriers and risks:** *HIEP influencing strategy is under-resourced; engagement of individuals managing HIEP projects in influencing and advocacy activities is limited due to time and human resource constraints; 'champions' may lack power and authority to influence within their organisational settings; changes in humanitarian practice on the basis of HIEP evidence may take time to be institutionally approved for professional development and training.*

We understand the influencing stage of the ToC to represent an iterative cycle of complex interactions between individuals acting through overlapping networked relationships and multiple roles and identities as HIEP project leads, DFID humanitarian advisers and institutional relationship managers, humanitarian researchers, opinion-formers, influential agencies and non-governmental organisation (NGO) practitioners.

We have tried to simplify this by identifying four categories of behaviour changes. These represent the different actors involved and the different roles that DFID plays. These are not sequential but rather iterative and mutually reinforcing:

1. **Attitude change** arising from DFID's convening activities, attitudes that suggest positive changes in the motivations and receptiveness around HIEP evidence and innovations.
2. **Knowledge brokering of applications** of evidence and innovations arising from DFID's participation in networks and diffusion of discussions through humanitarian knowledge broker networks.
3. **Endorsement by operational actors** arising from DFID's formal policy influencing. Endorsement and validation by major operational actors is important for the credibility, relevance and coherence of HIEP evidence and innovation products. An example of this might include the endorsement by a United Nations (UN) Cluster of a specific approach as best practice.
4. **Funding and operations change** arising from DFID's programmatic influence on its own staff in country programmes and partners, through the use of institutional incentives and systems for training/learning and adoption of evidence-based behaviours. In blunt terms, this could mean

that DFID will only fund programmes where robust evidence has been used as the basis for intervention or where there is a piloting/testing of a new approach.

These behaviour changes represent the conditions that emerge from the main causal theory that DFID staff have described: through its operations, networking, influencing and funding, alongside coherent and convincing evidence products, DFID will attract other humanitarian funders and practitioners to new technologies, evidence-informed operational approaches and systems that the HIEP will produce.

We see this causal theory as being close to how complex systems theories and research suggest that macro patterns of change emerge from multiple local interactions, behaviours, and responses between individuals in different settings. Changes spread to other settings through conversations, relationships, and behaviours that attract other individuals through networked systems.<sup>5</sup>

**LINK 3: Underlying causal theory:** Iterative interactions through overlapping networks of DFID humanitarian staff, opinion-formers, influential agencies and NGO practitioners interacting around HIEP-related evidence and innovations will create ripple effects, feedback loops and attract other actors to influence a ‘tipping point’ of relationship and behaviour changes.

**Assumption 3:** *Evidence is not enough. DFID needs to generate a broader context of interactions and spaces for debate, make visible initial responses from actors and broker relationships for humanitarian actors to choose to advocate for the use of HIEP-related evidence to be used in policy and practice. This will vary according to context.*

**Barriers and risks:** *Evidence produced may be inconclusive, it may be contested by actors in the sector and it may prove difficult to translate research findings into operational solutions; operational partners may choose not to endorse HIEP evidence products because of their organisational and political incentives; institutional partner organisations may choose not to invest in innovation and evidence projects.*

While these changes cannot be directly determined, a set of specific strategies are required to maximise the opportunities for influence, identifying influential individuals and institutions which are likely to attract others if they endorse and validate HIEP research and evidence.

### Sphere of indirect influence: Outcomes

We have identified three main outcome areas which represent the enabling conditions across the humanitarian system that are needed to support the overall aim of the HIEP programme. This brings us to the fourth link in the ToC.

**LINK 4: Underlying causal theory:** DFID’s influence as a respected humanitarian donor, investor and actor attracts others to change policies, investments and operations; DFID funding creates new markets for evidence-informed practice, so new competencies and market relationships are developed by NGOs, academics, practitioners and private sector entities.

**Assumption 4:** *DFID needs to stimulate new operational relationships and markets with donor counterparts and agencies through joint analysis, programming and funding to influence changes in behaviours, systems and cultures around evidence use.*

<sup>5</sup> See, for example, Ramalingam, B. (2013, forthcoming) *Aid on the Edge of Chaos*, Oxford: OUP; Sida, L., B. Ramalingam, B. Frej, R. Mountain, F. de Weijer (2012): ‘Evaluation of the performance of SDC instruments in fragile and conflict-affected contexts’ (downloaded on 03.07.13) <http://www.admin.ch/dokumentation/studien/detail/index.html?lang=en&studienid=68>; Stacey, R. (2010): *Complexity and Organizational Reality. Uncertainty and the Need to Rethink Management After the Collapse of Investment Capitalism*, Routledge: London and New York.

**Barriers and risks:** Humanitarian agencies' and donors' current operational models, funding arrangements and internal politics prevent shifts in behaviours, cultures and systems; humanitarian emergencies require different competencies and evidence to those stimulated by HIEP.

This is an important link between how DFID's direct influencing could lead to changes in wider networks of actors.

At the formative stage of the evaluation, it is possible to clarify the innovation pathway aspect of the HIEP ToC further, in relation to outcome three, but relating to all the outcomes. In terms of innovations being invested in and taken up, the innovation literature<sup>6</sup> and findings at the formative phase highlight certain conditions that are needed:

- Innovation is context-specific and is often locally driven in response to local problems. This is especially the case in humanitarian emergencies where complex and urgent situations, which may often not have been experienced before, require practitioners to rapidly find solutions in situ.
- Innovation usually involves a reconfiguration of relationships and linkages between actors – for example, between agencies from across professional domains in multi-sectoral responses (e.g. WASH and health) to generate solutions to meet pressing needs; linkages between those who are innovating and those who are in a position to invest in developing innovations, either public or private; and potentially reconfigurations of organisations and agencies in a position to 'buy' innovations when they come to market.
- Private investors need to see the business opportunities in innovation and its application; public investors need to see the overwhelming social benefit opportunities; and markets (e.g. suppliers, producers, buyers, credit, standards and regulations) need to emerge to deliver reliable and cost-effective innovations in response to needs and opportunities.

For innovations with humanitarian, development, economic or social aims, innovation management literature suggests that these partnerships need to be explicitly targeted and encouraged. Early stage experimentation, 'learning-by-doing' and testing need to be supported first by investors in the public interest and then by multiple market-oriented actors interested in developing new competencies to respond to needs, opportunities and innovations (RIU 2012).

When dealing with social innovations to deliver social benefits on a large scale, such as in humanitarian emergencies, managing disaster risks and delivering rapid, effective responses in emergencies to save lives and meet the needs of the most vulnerable, then public sector investors require strong evidence of effectiveness to justify public expenditure.

The ultimate test of whether an innovation comes into sustainable mainstream use – whether it is a technology or an operational approach – is its economic and financial viability, essentially a market test.

As a large and influential investor in humanitarian aid, DFID is well placed to try to stimulate new innovation systems and markets. For example, in the area of protection of citizens in insecure settings, there is almost no systematised evidence base. Recent DFID calls for initial research seem to have prompted new consortia of 'unusual suspects' to bring together different competencies to respond to this new need and perceived emerging market.

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<sup>6</sup> See, for example, Research into Use Learning Outputs (<http://researchintouse.com/learning/learning20final.html>).

Findings at the formative stage suggest system gaps that are slowing innovation in the sector. They suggest that there is a lack of:

- documenting and capturing innovations systematically;
- using standardised approaches to test them and produce evidence of effectiveness;
- promotion of results across the humanitarian system;
- brokering partnerships to develop innovations, especially with private sector actors;
- funding and technical assistance for second stage development and beyond;
- making linkages with non-traditional actors, especially the private sector;
- financing and architecture of potential commercial markets for innovations (infrastructure, credit, regulation, stability); and
- operational capacities to implement innovations which shape the take-up of new technologies or innovative processes.

These are the crucial elements of an ‘innovation system’ for humanitarian innovation. This has still to emerge, although there seems to be strong innovation potential in the humanitarian system, with scaling potential to reach millions of people in very short timelines, clear infrastructures and well-defined financing mechanisms, including some that can be agreed in advance to create advance procurement commitments. There are also large independent agencies and organisations that can shift significant unrestricted financing to develop solutions, providing potential co-financing opportunities for public and private sector financing instruments.

The data and analysis at the formative phase suggest some promising theories of change and pathways that the HIEP could influence to support the take-up of innovations in the humanitarian field.

If strategies to support Link 4 prove effective, then we would hope to see the following outcomes emerge:

- **Outcome 1:** International donors – including DFID – develop **funding instruments and frameworks for investment** into humanitarian and disaster risk management (DRM) evidence, innovation and its applications
- **Outcome 2:** Local, national and international humanitarian actors show **changes in skills, behaviours, relationships, cultures and systems** to **promote the regular integration of evidence** in the debating, design, financing, planning and implementation of humanitarian and DRM interventions
- **Outcome 3:** Local, national and international actors show changes in behaviours to invest in social, economic and political innovations that focus on benefits for poor people in humanitarian crises and in broader risk-reduction efforts

### Specific aim and impact

If the enabling conditions at outcome level are successfully influenced, there would be a strong contribution made to the specific aim and overall impact of the programme:

**SPECIFIC AIM:** International agencies, national governments, public sector actors, civil society and private actors in fragile and conflict-affected states and countries vulnerable to disaster **risks use context-specific applications of evidence** and innovations in their design, financing, planning and

delivery of humanitarian policies, programmes and practices to manage risks and deliver rapid, effective responses in emergencies.

**IMPACT:** Humanitarian actors have the capacities to deliver improved DRM, emergency response and resilience programmes and operations that are effective at supporting the most vulnerable people.

In this section of the ToC, the HIEP is only one of many interventions and DFID is only one actor in a complex humanitarian aid system. But the three enabling conditions at the outcome level represent critical capacities and factors that DFID is able to influence or contribute to through its own operations, networks and influence. If this enables interventions by other actors in support of Link 5, then a significant contribution will have been made.

**LINK 5: Underlying causal theory:** Humanitarian actors across the sector access the capacities and systems to combine evidence and field-based practice to support the adoption of new approaches and technologies at scale.

**Assumption 5:** *The scale of adoption is inhibited or accelerated by contextual and local institutional, environmental, political and financial factors, most of which are beyond DFID's capacity to influence.*

Although Assumption 5 offers a reality check, our suggestion is that the response to it should be to try to identify and explicitly target networks of actors where these factors might combine to accelerate adoption at scale in key areas and provide a demonstration effect.

As well as influencing actual outcomes in terms of lives saved and economic and livelihoods losses minimised, HIEP should be able to make a significant contribution to improve the capacities of humanitarian actors to innovate and prepare for future challenges through combining evidence, systematic analysis of field-based learning and configuring new relationships, systems and cultures amongst humanitarian actors.

In turn, these enabling conditions, capacities and systems will support international agencies, national governments, public sector actors, civil society and private actors in fragile and conflict-affected states and countries vulnerable to disaster risks **to use context-specific applications of evidence and innovations** in their design, financing, planning and delivery of humanitarian policies, programmes and practices to manage risks and deliver rapid, effective responses in emergencies. This will improve programmes so that lives are saved, and economic and livelihood losses that arise from humanitarian crises are recovered from quickly.



## Annex 4: Documents reviewed

### Programme level

- HIEP MC Progress Report – 25 February 2013
- HIEP MC Quarterly Report – September-December 2013
- HIEP MC Financial Report – 25 February 2013
- HIEP Management Committee Progress Report – January 2014
- Agenda for HIEP MC Meeting – 28 January 2014
- Strategy Refresh Draft
- New Business Case with Logframe and ToC – 15 January 2014
- MC Minutes – 17 June 2013
- MC Minutes – 23 September 2013
- HIEP Options Paper – September 2013
- HIEP Business Case 1
- HIEP Business Case 2
- HIEP Business Case 3
- Annual Review of HIEP Business Case 1
- Annual Review of HIEP Business Case 2
- Annual Review of HIEP Business Case 3
- Innovations 6 Month Report – January-June 2012
- The HIEP Virtual Team Handbook
- HIEP Strategy: Promoting innovation and evidence-based approaches to building resilience and responding to crises: A DFID Strategy Paper
- Draft Communication Management Strategy

### Case study 1

- 20130314 GFDRR Pakistan pilot project - letter from Joanna Macrae - high-level comments
- HIEP quarterly project progress reporting Pakistan – September 2013
- HIEP quarterly project progress reporting Pakistan – Q1 2013
- Pakistan DFID assessment\_Nov4
- Theory of Change Evaluation Strategy Innovation in Disaster Risk Management – Pakistan
- World Bank HIE Proposal Final

### Case study 2

- CALP: Terms of Reference (ToR) CTP Trends and Social Protection Systems Consultants
- CALP: DRAFT: Terms of Reference (ToR) for CTP Consultant – Emma Jowett
- CALP: Terms of Reference: Technical Working Group Leader; E-transfer Implementation Support Guidelines and Code of Conduct
- CALP: Workplan
- CALP: Terms of Reference: Future of CTP; trends and implications on the Humanitarian Sector
- CALP: Expression of Interest: Future of Cash Transfer Programming (CTP): trends and implications on the humanitarian sector
- CALP: Contact List: Technical Working Group E-transfer Implementation Support Guidelines and Code of Conduct
- CALP: Kokoevi Sossouvi – TWGL e-Transfer | Workplan\*
- CALP: Humanitarian Innovation and Evidence Programme: quarterly project performance reporting template
- CALP: Humanitarian Innovation and Evidence Programme: Quarterly project performance reporting template

- CALP: DFID HIEP Final Report
- CALP: Cash Learning Partnership: proposal theory of change
- CALP: Is Emergency Cash Transfer Programming (CTP) 'Fit for the Future'?
- CALP: Findings Meeting: Is Cash Transfer Programming (CTP) 'Fit for the Future'?
- CALP: Terms of Reference: Code of Conduct – development of legal clauses
- CALP: Is emergency cash transfer programming (CTP) 'Fit for the Future'? Research Findings and Recommendations
- CALP: Fit for the Future Findings Meeting 25 September 2013 Final Participant List
- CALP: Cash Learning Partnership Roundtable: Code of Conduct for Data Protection and Management
- CALP: Accountable Grant Letter
- DFID: Cash Transfer Programming Humanitarian Guidance Note
- Flag I – HIE Management Committee – acute nutrition
- Humanitarian Innovation and Evidence Programme Proposal for funding
- REFANI – ACF – DFID: Preventing acute undernutrition in emergencies using food assistance: A study to examine the impact of cash and in-kind assistance on nutrition outcomes
- Systematic Review Concept Note
- Workshop with experts of cash transfers in humanitarian crises: 22 January 2013
- CALP: Humanitarian Innovation and Evidence Programme Proposal for funding
- Flag H – Social Protection Proposal
- Flag I – HIE Management Committee – concept revised cash strategy – 25 February 2013
- HIEP shock-responsive social protection ToC
- Up scaling cash in emergencies – work stream proposals

### Case study 3

- R2HC Proposal (proposal)
- R2HC Annual Report (AR)
- R2HC Flyer
- R2HC Accountable Grant Letter
- R2HC Letter Amendment
- R2HC EOI Review Process
- R2HC EOI Summary Presentation
- R2HC 1<sup>st</sup> Call Guidelines
- R2HC Effective Partnerships
- R2HC Ethical Framework
- R2HC Governance and Reporting Structure
- R2HC Guidelines Full Application
- R2HC Quarterly Report
- R2HC Rapid Response Grant Guidelines
- R2HC Town Hall Invite

### Case study 4

- Flag H – HIEP Annual Report 2013 (January to November 2013) (referred to here as 'AR')
- Flag H – HIEP Proposal (referred to here at 'proposal')

### Case study 5

- Accountable Grant Arrangement for Humanitarian Innovation Fund (Core WASH Challenge) – 13 December 2012

- Copy of DFID HIF PO 40066533 Annual Review Financial Report
- Copy of HIF logframe to submit
- Copy of HIF Phase 2 logframe achievements October 2013
- ELRHA GM Mandatory Operating Procedures Final Draft to WT
- HIEP quarterly project progress reporting template – HIF
- HIF Annual Report – final
- HIF Learning Review Report final version March 10
- HIF Phase 2 (Core + WASH Challenge) Proposal to Management Committee
- ELRHA Staffing Structure
- Humanitarian Innovation Fund: Learning Review. Final report, 10 March 2014

#### **Case study 6**

- Delivering Aid in Highly Insecure Environments – Final Report
- FINAL HIE Management Committee – proposal aid in insecure environments – 25 February 2013
- HIEP quarterly progress report September 13 – Delivering Aid in Highly Insecure Environments
- Inception phase ToRs
- June 2013 HIEP Quarterly project progress report – Aid In Insecure Environments
- Methodology Conference Report

#### **Case study 7**

- Flag F Management Committee Proposal (Proposal)
- IFRC Draft Inception Report (IR)
- Quarterly Project Progress Report – National and local capacity – May 2013
- Annual Review Project Report October 2013
- IFRC Logframe
- IFRC Financial Report Q1-2
- IFRC Notes from Kickoff Meeting
- IFRC Literature Review
- IFRC Signed Accountable Grant

#### **Case study 8**

- DFID Yemen Humanitarian resilience Business Case
- Somalia Multi-year Humanitarian Business Case
- PO 6415 – PQQ Technical Evaluation Form Consensus
- Decentralised evaluation study ToRs template thematic evaluation resilience
- Flag F – HIE Management Committee – proposal Resilience in FCAS
- Thematic Resilience Evaluation – Inception Meeting Note – 9 April
- HIEP Annual Review Project Reporting – Thematic Evaluation
- HIEP Quarterly Project Progress Report Thematic Resilience Evaluation – 9 April
- Proposal: Lewis Sida PART A&B
- PO 6415 ITT Technical Evaluation Form (Service provider for building resilience and managing risk in fragile and conflict-affected states: A thematic evaluation of DFID's multi-year approaches to humanitarian action in the Democratic Republic of Congo, Ethiopia, Sudan and Yemen)
- Procurement Initiation Document (PID) Humanitarian Resilience Thematic

#### **Humanitarian Advisers Meeting**

- Africa Humanitarian Advisers Meeting Addis Ababa 19-20 November 2013
- Humanitarian Cadre Continuous Professional Development Conference 2013
- Report to Directors Humanitarian Advisers Meeting Africa Autumn 2013

**Gender and Diversity Documents**

- Guidance Note on Gender Mainstreaming and Social Exclusion in Research
- IDC Evidence Memorandum on Disability and Development
- 'How to note' on Gender and Social Exclusion Analysis
- Stepping-up a gear for Girls and Women: Updates to DFID's Strategic Vision for Girls and Women, to 2020 and beyond
- A New Strategic Vision for Girls and Women: Stopping Poverty Before it Starts

**Evidence and Innovation – non-HIEP**

- ALNAP Background Paper 28<sup>th</sup> Meeting
- ALNAP Evidence Study Launch Presentation
- ALNAP: Insufficient Evidence? The quality and use of evidence in humanitarian action
- Study of the Central Emergency Response Fund (CERF) and Humanitarian Donor Decision-Making – Final Report
- ACAPS Operational Learning Paper: The Use of Evidence in Humanitarian Decision-Making

**DFID VFM Documents**

- VFM Workshop Presentation: Challenges to Assessing Value for Money in Research
- DFID Procurement Rules and Practice
- DFID's Approach to Value for Money
- HIEP Evaluation Data Gathering Request
- RED and PrG Research Procurement Guidance note July 2011
- RED and PrG Research Procurement Strategy – 2012
- Workshop on Methods for Assessing Costs and Benefits in Research: DFID 14 March 2014

**DFID Evidence Survey**

- DFID Evidence Survey Results Report – November 2013
- DFID Evidence Survey Focus Group Write Up
- Evidence survey results with cadre percentages SHARE

## Annex 5: HIEP Interviewees



HIEP Interviews					
Family name	First name	Organisation	Job title	Case Study Number	Category
Alam	Khurshid	Think Ahead Limited	MD	7	Academic/policy
Almer	Sara	CaLP		2	Partner
Austin	Lois	Independent consultant		2	Policy
Bailey	Sarah	Independent consultant		2	Policy
Bailey	Brittney	USAID	Adviser	Outcome 3	Donor
Bastable	Andy	Oxfam	Technical Director, HIF WASH Window	5	Op agency
Blewtitt	Richard	UN	Resident Coordinator and UNDP Rep (former CEO HelpAge International)	Prog.	Int. organisation
Buffler	Aurelien	OCHA	Component 2 lead for OCHA	6	Int. organisation
Burnett	Alistair	DFID DRC	Humanitarian Adviser	8	DFID
Burnett	Alastair	DFID	Humanitarian Adviser	2	DFID
Camburn	Jessica	ELRHA	Director (on maternity leave)	3	Partner
Christoplos	Ian	Indevelop	Evaluator/Advisor	1	Policy
Clark	Daniel	WB/GFDRR	Senior Specialist, Disaster Risk Financing and Insurance Program, FCMNB and GFDRR	1	Partner
Clayton	Andrew	DFID	Lead Adviser and Programme Manager HIF	5	DFID
Clements	Jill	IFRC	Head of Ethiopia Country Programme	8	Partner
Cocking	Jane	Oxfam	Humanitarian Director, Oxfam GB	Prog.	Op agency
Dale	Natalie	Christian Aid	Humanitarian Policy	8	Op agency
Davies	Daniel	ELRHA/R2HC	Programme Manager	3	Partner
de Domenico	Andrea	UN OCHA	Finance Coordination Section	Prog.	Int. organisation

Dempsey	Benedict	Humanitarian Leadership Academy	Interim Head	4	Op agency
Dercon	Stefan	DFID	Chief Economist, HIEP MC	Prog.	DFID
Devlin	Claire	DFID	Humanitarian Lessons Learning Adviser	4	DFID
Devonport	Annie	DEC	Head of Programmes and Accountability	Prog.	Donor
Duffield	Mark	University of Bristol	Professor Emeritus	6	Academic/ policy
Eccleshall	Simon	IFRC	Head of Crises and Disaster management	Outcomes	Op agency
Few	Roger	UEA		1	Partner
Forni	Marc	World Bank	Senior Disaster Risk Management Specialist	1	Policy
Friend	Tara	DFID	Lead adviser - Research uptake manager	4	DFID
Gentilini	Ugo	World Bank		2	Int. organisation
Gilert	Heidi	DFID	Humanitarian Adviser	2	DFID
Gilman	Daniel	OCHA	Humanitarian Affairs Officer, Policy and Innovation	5	Int. organisation
Glad	Marit	Norwegian Refugee Council	Global Access Coordinator	6	Op agency
Griekspoora	Andre	WHO		3	Int. organisation
Gsell	Rudolf	Swiss Development Cooperation	Quality Assurance and Focal Person "Cash Transfer Programming"	2	Donor
Harmer	Adele	Humanitarian Outcomes	Executive Director	6	Partner
Hopper	Martin	DFID	Humanitarian and Disaster Resilience Policy Team	1	DFID
Horent	Yves	DFID	Humanitarian Adviser	2	DFID
Ievers	John	Independent	Independent	1	Policy
Kapila	Mukesh	Manchester University	Professor of Global Health & Humanitarian Affairs	Prog.	Academic/ policy
Kebede	Emebet	DFID Ethiopia	Humanitarian Adviser	8	DFID
Kellett	Jan	ODI	Research Associate	1	Academic/ policy
Kestens	Ariel	IFRC	Head of Research and Learning	All	Op agency
Kindness	Heather	DFID	Poverty and Vulnerability Team	2	DFID

King	Ian	DFID	Lead Adviser	6	DFID
Kotoglou	Katarina	Sida	Programme Officer, Unit for Humanitarian Assistance	Prog.	Donor
Krishnan	Unni	Plan International	Head, Disaster Preparedness and response and also Chair of SPHERE (new)	Prog.	Int. organisation
Lewis	Chris	DFID, Human Development Department, PD	Health Adviser	3	DFID
Lowrie	Sean	Start Network	Director	7	Policy
MacEnroe	Tom	DFID	Programme Manager	6	DFID
MacLeman	Hugh	British Red Cross	Head of Humanitarian Policy	4	Op agency/ policy
Macrae	Joanna	DFID	Lead Advisor/Head of Profession/Secretariat	1, Prog.	DFID
McElhinney	Helen	DFID Yemen	Humanitarian Adviser	8	DFID
McIlreavy	Patricia	Interaction	Head, Humanitarian Policy	Prog.	Policy
Miller	Mark	DFID	Lead Advisor/ Programme Manager	1	DFID
Mitchell	John	ALNAP		Outcome 3	Broker/ think tank
Mitchell	Tom	ODI	DRM Lead on CDKN	1	Academic/ policy
Moir	Jo	DFID	Deputy Head of CHASE, HIEP MC	Prog.	DFID
Moutain	Ross	UN	Humanitarian Coordinator, Lebanon; Former Director of HERR	All	Int. organisation
Mulligan	Jo	DFID, RED	Health Adviser	3	DFID
Murray	Nicola	DFID Kenya/RED	Lead Adviser on Resilience Evaluation	8	DFID
Murray	Nicola	DFID	HIEP Secretariat	Prog.	DFID
Myers	Michael	ICRC	Senior Programme officer	6	Op agency
Nightingale	Katherine	Christian Aid	Senior Advocacy and Policy Offers- humanitarian	6	Op agency
Parsons	Imogen	DFID	ARD, HIEP MC	Prog.	DFID
Perrin	Karen	OCHA	Policy Advice Section - link with humanitarian outcomes.	6	Int. organisation
Perry	Abigail	DFID	Health Adviser, Humanitarian & Disaster Resilience Policy	2	DFID

Peters	Katie	ODI	Research Fellow	8	Academic/ policy
Petroysan	Armen	IFRC	Unit Manager, Procurement, Global Logistics Service	7	Partner
Piacibello	Julien	OCHA	Works on reporting and monitoring framework	6	Int. organisation
Pounds	Rachel	ELRHA/SCF		5	Partner
Ramalingam	Ben	Freelance	Chair of HIF Board	5	Academic
Randell	Judith	Development Initiatives	Executive Director	4	Policy
Redmond	Tony	Humanitarian and Conflict Response Institute		3	Academic/ policy
Reichardt	Hannah	Save the Children UK	Senior Humanitarian, Monitoring Evaluation Accountability and Learning	Prog.	Op agency
Rushbrooke	James	DFID	RED Research Adviser	6	DFID
Schenkenberg	Ed	DARA	CEO	6	Think tank
Schipper	Lisa	Freelance (ex SEI)	Freelance	1	Academic/ policy
Scott	Zoe	OPM		1	Partner
Scott	Rachel	OECD DAC	Senior Humanitarian Advisor	Prog.	Policy
Scriven	Kim	HIF/ELRHA/SCF	HIF Programme Manager	5	Partner
Shields	Josephine	IFRC	Senior Officer	1	Op agency
Snewin	Val	Wellcome Trust	Policy Advisor and lead on R2HC	Case 3	Partner
Spiegel	Paul	UNHCR/R2HC Funding Committee	Deputy Director Division of Programme Support	3	Int. organisation
Stoddard	Abby	Humanitarian Outcomes	Research Director	6	Partner
Stoner	Jeremy	Humanitarian Leadership Academy, housed at Save the Children	Director	4	Op agency
Strub	Emmanuel le	Médecins du Monde	Security Advisor	6	Op agency
Teklu	Mesfin	WHO		3	Int. organisation
Tiller	Sandrine	MSF	Programmes Adviser - Humanitarian Issues,	6	Op agency

			MSF UK		
Waites	Tim	DFID	Lead on emergency cash policy	2	DFID
Walker	Peter	Tufts and DFID	Director of Tufts; DFID Senior Research Fellow	7	Academic/policy
White	Howard	3ie impact	CEO	4	Academic
Whitty	Chris	DFID	Chief Scientific Advisor, HIEP MC	Prog.	DFID
Willitts-King	Barnaby	Freelance	HIF Reviewer	5	Policy adviser
Wyllie	Andrew	UN OCHA	Chief, Programme Support Branch	Prog.	Int. organisation

## Annex 6

### List of HIEP projects - August 2014

#### DFID Humanitarian Evidence and Innovation Programme (HIEP)

#	Project	Duration
	<i>Business Case 1: Analysis of Risk and Increased Capacity to Deliver</i>	
1	Building the Evidence Base on the Risk to Urban Populations in Developing Countries	June 2013 - March 2019
2	Improving the Evidence Base of How to Deliver Aid in Highly Insecure Environments	September 2013 - September 2015
3	Improving the Evidence Base on How to Work with National and Local Authorities to Improve Disaster Risk Management	1 May 2013 - 31 August 2015
4	Improving the Application of Risk Modelling for Disaster Management	1 May 2013 - 31 August 2015
5	Independent Evaluation for HIEP	6 May 2013 - 6 May 2018
	<i>Business Case 2: Greater Use of Evidence and Innovative Responses</i>	
6	How Can Insurance Be Used to Build Disaster Resilience	18 July 2013 - 18 July 2016
7	Raising the Quality and Rigour of Evaluation in Humanitarian Contexts (3ie)	14 June 2013 - 14 March 2015
8	Development of Technical Guide to Improve Humanitarian Practice	September - December 2013
9	Innovation: Testing to Proof of Concept (Humanitarian Innovation Fund (HIF))	13 December 2012 - 13 December 2016
10	Innovation: Taking Innovations to Scale Core Grant (DIV)	Now not going ahead.
11	Innovation: Taking Innovations to Scale Technical Assistance (DIV)	Now not going ahead.
12	Improving Understanding of the Institutional Framework for Delivering Cash in Emergencies at Scale	January 2013 - December 2013
13	Improving the Evidence Base on Public Health in Emergencies (R2HC)	2012-2015

14	Preventing Acute Undernutrition Using Food and Cash-based Approaches	December 2013 - December 2016
15	The Role of Social Protection in Building Household Resilience to Shocks and Managing Spikes in Demand Triggered Stresses and Shocks	TBC
16	What Works in Protection and How Do We Know?	TBC
	Protracted Displacement: Preliminary Study	
	<i>Business Case 3: Improving the Evidence Base for Humanitarian Practice</i>	
17	Strengthening the Quality and Use of Humanitarian Evaluation – Renamed Thematic Evaluation	2013-2017
18	Improving Access to Humanitarian Evidence (HESC)	2013-2015
19	Improving the Quality of Data Used for Decision-Making by the International Humanitarian System	2013 - 2015
20	Education in Emergencies	TBC



## **Volume 2 Terms of Reference**

### **Evaluation of the Humanitarian Innovation & Evidence Strategy**

**Closing Date for Tenders: 18 March 2013 14:00 Hours**

## Terms of Reference

### Evaluation of the Humanitarian Innovation and Evidence Strategy

**Summary:** DFID seeks a team of evaluators that includes experience in evaluating (i) research impact and (ii) humanitarian aid to undertake an innovative evaluation of DFID's Humanitarian Innovation and Evidence (HIE) Strategy, over the five-year period 2012-2017. The HIE programme involves at least 17 individual projects, with anticipated expenditure of approximately £43 million over 2012-15 – the intention is to undertake evaluation within a single framework.

#### 1. Background

DFID is commissioning an innovative evaluation of the design, process, outcomes and impact (or trajectory towards impact) of the Humanitarian Innovation and Evidence Strategy (HIES). The programme is a joint initiative between DFID's policy, operations and research departments that aims to improve humanitarian outcomes by:

- Increasing the quality, quantity and use of evidence in decision-making
- Catalysing and bringing to scale major innovations in humanitarian practice

DFID sees higher quality evidence and practical innovation as a critical contribution to international development. Investment in research and innovation is seen as a global public good, addressing market failures that exist in relation to research to better address the problems of poor people living in developing countries.

Until recently, DFID's considerable investment in development research and research uptake did not include significant or strategic investment in work relating to humanitarian action. It was not until 2011 that Research and Evidence Division made its first, modest investment by establishing the Humanitarian Innovation Fund (HIF), managed by ELRHA (£900,000 over two years).<sup>1</sup> DFID has, however, supported operational research in this area, both through the Conflict and Humanitarian Fund, which closed in 2006, and through DFID operational teams in country.

Overall, DFID's approach to funding research and innovation in the humanitarian sector to date has been relatively *ad hoc* (compared to similar funding for development). It has, however, yielded some important results.

#### 1.1 Humanitarian Emergency Response Review

The Humanitarian Emergency Response Review (HERR) was an independent review of the UK's humanitarian work and called for a transformation in the way DFID and the wider global community

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<sup>1</sup> ELRHA is the Enhanced Learning and Research for Humanitarian Assistance. See <http://www.humanitarianinnovation.org/> for further details of the Humanitarian Innovation Fund.

## Annex 7 ITT Volume 2

### (Call-down Contract)

approached the humanitarian agenda. The government's response to the HERR (June 2011) accepted almost all of its recommendations, including those on research and innovation.<sup>2</sup>

The HERR consistently emphasised the need to improve the evidence base underpinning humanitarian action and support innovation. The HERR described the mismatch between the strong need for innovation and the slow pace of change within the humanitarian system, and pointed to "...an urgent need to leverage appropriate forms of science, research, technology and private sector knowledge to support humanitarian innovation".<sup>3</sup> Delivering each of the main elements of the HERR will require better understanding of existing knowledge, the generation of new evidence to answer emerging questions, and the ability to find new solutions to old as well as emerging problems.

As part of its response to the HERR, the coalition government agreed to include humanitarian issues as a **core part of DFID's research and evidence work**, and to use innovative techniques and technologies in its humanitarian response. The Secretary of State approved a new strategy to support humanitarian evidence and innovation in December 2011.<sup>4</sup>

Specific policy commitments relevant for this strategy include:

- Make humanitarian research and innovation a core part of DFID research and evidence work.
- Use innovative techniques and technologies more routinely in humanitarian response (for instance, cash transfers).<sup>5</sup>

The strategy is set against the context of DFID's commitment to go beyond a focus on responding to crises, and to invest in approaches that promote **resilience**. A core part of the strategy is to work with policymakers and practitioners to deepen their understanding of the concept and application of resilience, particularly in fragile and conflict-affected situations.

### 1.2 Humanitarian Innovation and Evidence Strategy

The architecture for prioritising research into disaster risk and humanitarian action is at a nascent stage. The quality of the humanitarian evidence base is uneven across the sector. Considerable investment in the hard science of climate modelling and seismology has not been matched by investment in analysis of the social and economic losses associated with major physical hazards.<sup>6</sup> Equally, there is a much stronger evidence base relating to health and nutrition in emergencies than in relation to protection.<sup>7</sup>

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<sup>2</sup> Humanitarian Emergency Response Review: UK Government Response (2011).

<sup>3</sup> See Humanitarian Emergency Response Review, page 23.

<sup>4</sup> Promoting innovation and evidence-based approaches to building resilience and responding to humanitarian crises: a DFID Strategy Paper (2012).

<sup>5</sup> A third recommendation of the review was to: Improve our use of science in both predicting and preparing for disasters, drawing on the Chief Scientific Advisors' network across government. Ensure scientific data on disaster risks is used to inform and prioritise country and regional level work on resilience. This work is being taken forward separately by the Government Office of Science, in close collaboration with DFID.

<sup>6</sup> Few R and J Barclay (2011) 'Societal impacts of natural hazards: a review of international research funding', report for the UK Collaborative on Development Science, University of East Anglia.

<sup>7</sup> For example, it is notable that initiatives such as Evidence Aid, a spin off from the Cochrane Collaboration, have been able to develop a strong library of systematic reviews relating to health. There are few similar publications relating to protection, where the primary

## Annex 7 ITT Volume 2

### (Call-down Contract)

With these considerations in mind, a cross-DFID team, working with an international peer review group and in consultation with a wide group of stakeholders, developed a strategy to guide DFID's investment in this area.

The technical group prioritised four areas for investment for DFID's research and innovation work. These form the core of the HIE design:

- **Pillar 1: Providing better information about risk, especially as it affects the poorest.** Without good information about risk, decision-makers (national and local governments and individuals) find it difficult to anticipate crises, lack incentives to prioritise investment in resilience and to target risk reduction efforts effectively.
- **Pillar 2: Identifying which humanitarian interventions work best, and finding new ways of tackling humanitarian problems.** To use resources effectively decision-makers need evidence about which interventions work best and to be able to identify and test new approaches.
- **Pillar 3: How best to work with national and local institutions to prevent, anticipate and respond to disasters,** including in the most insecure environments.
- **Pillar 4: Ensuring that evidence is available and used to inform decision-making.** Investment is required in systems and products to track results and deepen accountability, particularly to disaster-affected communities.

In delivering this work, the intention is to develop an integrated approach that combines (i) investments in basic and operational research with (ii) support to initiatives that develop, test and bring to scale practical innovations, and (iii) investment to support the translation of evidence into improved practice within DFID and more broadly.

In an innovative arrangement that will speed integration of research findings and embed evidence and research into the operations and policy respective departments, this programme of work is being delivered through a virtual team of staff drawn from across DFID. Its management and governance reflects a collaboration between the Research and Evidence Division (RED) and Conflict, Humanitarian and Security Department (CHASE) (the policy lead) and Africa Regional Department (ARD) (the major investor in humanitarian work within DFID).

## 2. Purpose, Objectives and Scope of the Evaluation

The Humanitarian Innovation and Evidence Strategy is a key component of the UK Government's response to the requirements of the 2011 *Humanitarian Emergency Response Review*.<sup>8</sup> This important and innovative evaluation will therefore have a critical role in both (i) reviewing and improving performance/delivery and design within the first three years of programme delivery, and (ii) in assessing the extent to which the programme has achieved its core objectives.

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evidence base that has tested 'what works' is much more limited. See Evidence Aid at: [http://www.google.co.uk/url?q=http://www.cochrane.org/evidenceaid&sa=U&ei=IleqT4miC\\_DT4QSAvtCRDg&ved=0CBMQFjAA&usg=AFQjCNFwQp4FcCex1EOvle4SMLMO\\_mXNBQ](http://www.google.co.uk/url?q=http://www.cochrane.org/evidenceaid&sa=U&ei=IleqT4miC_DT4QSAvtCRDg&ved=0CBMQFjAA&usg=AFQjCNFwQp4FcCex1EOvle4SMLMO_mXNBQ)

The Humanitarian Practice Network's Good Practice Reviews are another strong mechanism through which existing evidence is reviewed and negotiated and complement agency specific guidelines. See [http://www.google.co.uk/url?q=http://www.cochrane.org/evidenceaid&sa=U&ei=IleqT4miC\\_DT4QSAvtCRDg&ved=0CBMQFjAA&usg=AFQjCNFwQp4FcCex1EOvle4SMLMO\\_mXNBQ](http://www.google.co.uk/url?q=http://www.cochrane.org/evidenceaid&sa=U&ei=IleqT4miC_DT4QSAvtCRDg&ved=0CBMQFjAA&usg=AFQjCNFwQp4FcCex1EOvle4SMLMO_mXNBQ)

<sup>8</sup> See: *Humanitarian Emergency Response Review*: UK Government Response (2011).

## Annex 7 ITT Volume 2

### (Call-down Contract)

The **key purpose** of the evaluation is to:

- Assess the delivery of the HIES to ascertain to what extent the Department has fulfilled the Government's commitment in the HERR Response, and the outcomes and impact<sup>9</sup> of the strategy, on DFID's own practice and more broadly.

The **target audience(s)** of the evaluation will be:

#### **Formative phase:**

- The virtual team responsible for the delivery of the strategy to facilitate change to delivery as appropriate. Utilisation of the preliminary findings will be important.
- DFID's Research and Evidence Division (RED) and Conflict, Humanitarian and Security Department (CHASE).

#### **Final report:**

- The final report will be a public good, providing high quality findings for the wider humanitarian community, including research institutions and partner organisations.
- It will provide evidence on accountability for external scrutiny, for example, the Independent Commission for Aid Impact (ICAI).

### **3. Evaluation Questions and Methodology**

Due to the large scale of the investment, the Programme's ambitious objectives and innovative nature, it is important that DFID be able to understand the progress and impacts of the programme *as a whole* across the lifespan of the initiative. Refining the design of the evaluation will be an important element of the Inception Phase. The programme will be delivered as at least 17 projects. The evaluators will be expected to undertake an 'overview' assessment of all projects and outputs commissioned under the programme as well as DFID's internal management arrangements, but not to evaluate each element in detail.

The evaluation design should include development of the existing theory of change (results chain) in the strategy and business case into a fuller theory of change, to provide a holistic view of the overall portfolio, allowing consideration of how the different elements of work complement one another and where the strengths of the portfolio lie, or where change might be required. This should be used to refine the strategy's logframe and establish a reporting framework for individual projects towards the outputs and outcomes in the revised logframe.<sup>10</sup> Different projects may be selected for more intensive evaluation.

The evaluation is divided into four phases.

1. 0-3 months: **Inception phase:** Development of the evaluation strategy, including finalisation of the theory of change, finalisation of the logframe and project reporting framework, design

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<sup>9</sup> Possibly the trajectory towards expected impact, if there is delay in research uptake. The concept of evaluation of 'impact' should be fully-developed in the design of the evaluation.

<sup>10</sup> This should be in line with standard DFID log frame, Annual Review and Project Competition Report templates. These will be provided by the HIE Secretariat.

## Annex 7 ITT Volume 2

### (Call-down Contract)

of an Evaluation Framework against the four pillars and selection of individual components for specific study.<sup>11</sup>

2. 3-15 months: **Formative phase:** Assessment of relevance of portfolio and efficiency and effectiveness of delivery. This stage focuses on the commissioning process and whether it is able to produce robust and timely outputs that address the HERR commitments and are relevant to users. Additionally, this stage will assess the ability of management systems to facilitate uptake of evidence in DFID and to diffuse learning through its partnerships and operational work.
3. 15-30 months: Assessment of **short-term outcomes** delivered by the programme and reflection on the programme management process.
4. 30-60 months (2.5-5 years): **Summative evaluation:** Assessment of medium-term outcomes and sustainability of programme after completion. Assessment of trajectory towards impact-level indicators and the degree to which these are attributable to DFID's work.

**Methodology:** The evaluation should take a strategic approach that aims to review the implementation of the overall strategy rather than evaluating each component of the programme separately. During the formative phase, the evaluators will be expected to adopt a user-driven approach to the development of an evaluation strategy that will guide the work over its life cycle.

Proposals should set out an approach and methodology for gathering and analysing data. This is likely to include a series of 'impact-oriented case studies', e.g. tracking when and how research findings have influenced policymakers, or adoption of an innovation. We envisage that 8 to 12 of such studies will be appropriately selected against the four pillars. However, alternative approaches and designs may be offered. The studies should be developed in accordance with the best practice agreed within Research and Evidence Division.

The nature of the **evaluation questions** will evolve over time and will be refined through the development of the evaluation strategy. They should refer explicitly to the DAC evaluation criteria, and are likely to include:

1. Is/was the design, focus and sequencing of programme activities appropriate to meet core objectives including fulfilling commitments of the HERR response, complementing DFID's humanitarian policy and providing new tools to the humanitarian community? (**Relevance**)
2. Have high quality researchers from a variety of relevant partners (both well-established and newer entrants) been commissioned? Are they engaging appropriately with stakeholders and are outputs meeting quality standards that ensure the programme stays on track to meet intended goals? (**Effectiveness**)
3. Has DFID's management and implementation of the programme been efficient, achieving high impact work at the lowest possible cost, in line with DFID's guidance on VfM? (**Efficiency/VfM**)
4. What impact is the programme set to deliver and is the trajectory towards impact appropriate? What mid-term indicators of impact can be observed and are there any barriers to impact or unintended consequences? (**Impact**)

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<sup>11</sup> Each of the commissioned projects will develop its own strategy for generating evidence of impact. Each will also be aware that it may be required to submit to external evaluation.

### (Call-down Contract)

**Gender and other excluded groups:** The evaluation must draw on DFID's gender policy and include review of the programme's gender dimensions and impacts, gathering gender-disaggregated data where possible. Where relevant, the evaluation should also examine the inclusion or otherwise of other potentially excluded groups, for example, the elderly, disabled and different ethnic/religious groups.

**Sequencing:** The evaluation will be conducted in the following steps:

#### **3.1 Inception/design phase – 0-3 months**

The evaluators will develop the evaluation design, setting out clearly the strategic approach and evaluation framework. This should be based on a theory of change and revised logframe, and will include the short- and medium-term outcomes. The design should show clearly how the evaluation will assess the HIE portfolio's trajectory towards impact. The evaluation design must focus on assessing the quality and rigour of research outputs, as well as their relevance to intended users.

Evaluators will also carry out an **evaluability assessment** that aims to refine elements of the strategy to ensure that the programme can be effectively and credibly evaluated.

The inception phase must include:

- Workshops with key stakeholders to refine the **theory of change** underpinning the programme. Based on the refined theory of change, the evaluating team will revise the logframe and establish a reporting framework so that projects can report against outputs and outcomes in the logframe. The evaluators will deliver a concise report and agree the refined theory of change and logframe with the Secretariat.
- Refinement of the **evaluation methodology** in consultation with key stakeholders, including refinement of evaluation questions. The evaluators will produce a short design report (max. 10 pages) outlining the agreed approach, evaluation framework, methods, sampling, timing, roles and responsibilities, setting out clearly how the evaluation team will report to and engage with the responsible officer within the Secretariat.
- Production of a **communications plan** that will detail how evaluation outputs will be effectively disseminated to the intended audience.

The evaluation will proceed to implementation only on acceptance of a quality assured and approved evaluation design. The draft inception and design report will be **quality assured externally** as well as by the steering group, and the evaluation team will be required to respond appropriately to comments.

The stakeholders with whom the evaluators should engage with while designing the evaluation framework include:

- The Secretariat responsible for delivery of the strategy;
- Project responsible officers in CHASE, RED and ARD for each individual element of the portfolio;
- Staff within implementing partner organisations; and

## Annex 7 ITT Volume 2

### (Call-down Contract)

- Potential users of the research in the humanitarian community, including DFID country offices and senior management, other donors and practitioner agencies, partner country governments, researchers in this area and UN clusters.

#### **3.2 Formative phase:** Assessment of relevance of portfolio outputs and efficiency and effectiveness of delivery – 3-15 months

This phase has two main focuses:

- Determine whether the programme's projected outputs and outcomes are likely to fulfil the commitments made in the HERR response and are of relevance to projected users.
- Assess the efficiency and effectiveness of programme delivery through DFID's internal management systems, and the extent to which these systems facilitate uptake of evidence and diffusion of innovation.

The evaluation will follow the design agreed in the Inception Report. At this stage, it is *suggested* that, as part of the evaluation, the evaluating team should review all projects that fall within the portfolio, and select between 8 and 12 projects of the total of 17 for more detailed follow up. These projects should be spread evenly across the four pillars (e.g. 2 or 3 from each pillar), and the team should track the activities and anticipated outcomes more rigorously than those of the remaining components. Proposals should present a methodology for conducting and analysing these impact-oriented case studies.

The team should also focus on assessing the delivery of the programme. The programme aims to engage traditional and non-traditional partners in the development of innovation and production of evidence. During this phase, the evaluators should assess the extent to which this has been successful, and whether these partnerships are on track to deliver robust outputs within specified time frames.

Additionally, evaluators should review the unique in-house management mechanism used to deliver this programme and identify the lessons of this approach for DFID. The ability of DFID's management systems to facilitate research uptake and diffusion of innovation both internally and to the wider humanitarian community should also be examined.

Evaluators will produce a **First (Interim) Report** at the end of this phase that includes a set of actionable recommendations that allow programme management to make mid-term adjustments to the programme as necessary to ensure fulfilment of the HERR commitments.

#### **3.3** Assessment of short-term outcomes delivered by the programme and reflection on the programme management process – 15-30 months

This phase of the evaluation has the following focuses:

- Assess the degree to which the projected outputs have been met and the quality of these outputs; and
- Track intermediate or short-term programme outcomes that provide a good indication of trajectory towards impact.

## Annex 7 ITT Volume 2

### (Call-down Contract)

This phase should review the programme outputs to assess whether they are robust and relevant to users. It should then track the transformation of these outputs into outcomes, assessing what level of uptake programme outputs are experiencing at country office, country government and partner institutions level, as well as within DFID itself. This phase should also assess the quality of the innovations funded by the programme and the likelihood of further diffusion of the innovations throughout the humanitarian community.

Evaluators will produce a **Second Report** at the end of this phase that includes consideration of cross-cutting programme issues such as gender mainstreaming. This will be publicly available. Evaluators must also produce an assessment of the value for money of the programme as a whole, in accordance with DFID's guidance on the '3Es' approach to measuring value for money.

**3.4 Summative Evaluation:** Assessment of the intermediate outcomes and impact of the programme – 2.5–5 years

Research impact is often not seen for many years. This final phase of the evaluation will identify those mid-term outcomes that can be seen emerging up to five years after the start of the programme. This phase should examine the programme's trajectory towards impact and analyse the barriers and facilitators of impact. As specified in the initial design, the evaluators should focus on the degree to which outcomes and impacts can be **attributed to DFID-funded research**, detailing other factors that may also have influenced outcomes and impacts.

The evaluators will produce a **Final Evaluation Report** at the end of this phase that incorporates elements of all four phases of the evaluation. The final draft report will be **quality assured** by an independent panel and the evaluating team will be required to respond appropriately to comments before approval of the Report.

All outputs will be quality assured, must be of publishable standard and written in plain English. Evaluation recommendations must be clear and actionable, and must be substantiated with evidence.

#### **4. Governance arrangements**

Overall, within DFID, responsibility for delivering the Humanitarian Innovation and Evidence Strategy rests with a Management Committee (chaired by the DFID Chief Scientist). The evaluation will ultimately report to this group.

A secretariat led by the Humanitarian Head of Profession is responsible at official level for delivery of the Strategy, including ensuring that a robust monitoring and evaluation framework is in place. S/he is responsible for ensuring timely commissioning of the study.

## Annex 7 ITT Volume 2

### (Call-down Contract)

A **steering group** will be formed including representatives from RED, ARD, CHASE, and chaired by a representative of EvD. The group's role will be finalised in specific terms of reference, but will include the following:

- Agree final terms of reference
- Manage the commissioning and management of the evaluation
- Provide internal quality assurance of the evaluation process and outputs
- Commission external quality assurance of relevant drafts
- Approve final drafts at each stage of the evaluation
- Commission a Management Response on completion of the Evaluation

An external representative will be appointed to the group. This might include an external peer reviewer commissioned as part of the contract, or a relevant official from another donor organisation might be invited to play this role.

#### 5. Existing information sources

The following documents give an essential understanding of the commitments and policies against which the evaluation will assess the programme.

*Humanitarian Emergency Response Review*, March 2011. Available at: <http://www.dfid.gov.uk/Documents/publications1/HERR.pdf>

*Humanitarian Emergency Response Review: UK Government Response*, Department for International Development, June 2011. Available at: <http://www.dfid.gov.uk/Documents/publications1/hum-emer-resp-rev-uk-gvmt-resp.pdf>

*Promoting innovation and evidence-based approaches to building resilience and responding to humanitarian crises: A DFID Strategy Paper*, Department for International Development, February 2012. Available at: <http://www.dfid.gov.uk/Documents/publications1/prom-innov-evi-bas-appr-build-res-resp-hum-cris.pdf>

Amalgamated HIE business case (not yet published, attached Annex 1 as a separate document)

Amalgamated HIE log frame (not yet published, attached Annex 2 as a separate document)

#### 6. Skills and qualifications

DFID is looking for a multi-disciplinary team, which combines knowledge of evaluating the impact of research and innovation processes, with some humanitarian knowledge and expertise. It is expected that the team will include the following skills:

- Evaluation of research impact
- Humanitarian aid and the humanitarian architecture
- Evaluation methodologies (quantitative and qualitative)
- Institutions and organisational processes
- Research and/or Evaluation uptake/utilisation

## Annex 7 ITT Volume 2

### (Call-down Contract)

- Knowledge of the international humanitarian system

The team leader will be responsible for overseeing the evaluation, and must be able to demonstrate the following expertise:

- Proven ability to design and deliver high-quality evaluations on complex issues on time and on budget
- Excellent knowledge of qualitative and quantitative evaluation methods, including of user-driven evaluations
- Exemplary writing and presentational skills
- Strong interpersonal and negotiation skills

Desirable areas of expertise include:

- Gender
- Capacity building

#### 7. Ethics

The evaluators will be expected to comply with the appropriate ethical guidelines. The study will also want to ensure that the appropriate ethical guidelines have been developed and observed in the implementation of the programme. This will be particularly important in those areas where the well-being of human subjects might be directly affected by different research studies.

#### 8. Outputs

Output	Deadline
Inception report including: <ul style="list-style-type: none"><li>• Elaborated ToC, logframe and project reporting framework</li><li>• Design report, including:<ul style="list-style-type: none"><li>i. Detailed methodology for the main evaluation process, including selection criteria for case studies; methodological approach</li></ul></li></ul>	3 months after study begins
Communications plan	3 months after study begins
First Report including actionable recommendations	15 months after study begins
Second Report including actionable recommendations	2.5 years after study begins
Final Evaluation Report	2 years after strategy ends (5 years after it and the evaluation begins)

## Annex 7 ITT Volume 2

### (Call-down Contract)

**Consultation process:** All outputs will be quality assured by the steering group and/or an independent panel. The quality assurance body will provide comments on the output within four weeks of submission. The evaluating team will then be required to respond appropriately to comments within two weeks of receiving the reviewers' observations.

In the event that there is a dispute between the evaluation team and DFID, this will be addressed by:

- i. A meeting between first the steering group and the evaluation team. If this does not resolve the dispute, it will be referred to the management committee, and subsequently to the Head of EvD.
- ii. If this does not address the concerns, then DFID will publish the report but with an annex articulating those areas of dispute for reference.

Outputs must comply with DFID's ethical guidance, be of publishable standard and be written in plain English.

The report will be available through DFID's website.

#### 9. Reporting and contracting arrangements

Milestone	Payment %
Signature of contract (mobilisation fee)	10%
Inception report and communication plan	10% (3 months)
Financial & Narrative Report	10% (1 year)
First Report including actionable recommendations	15% (15 months)
Financial & Narrative Report	10% (2 years)
Second Report including actionable recommendations	15% (2.5 years)
Financial & Narrative Report	10% (3.5 years)
Final Evaluation Report	20% (5+ years)

#### 10. Budget/costings

Teams should use a benchmark of 10 impact-oriented case studies within the wider evaluation methodology for costing purposes.

### (Call-down Contract)

#### 11. Risks

The evaluation of research and innovation remains in its infancy, presenting a number of significant challenges to undertaking work in this area. These include:

- Difficulty in specifying indicators that provide for accurate measurement of outcome and impact in ways that are not overly onerous to evidence;
- Complexity of aggregating data and reports from multiple projects in a meaningful way; and
- The challenge of time, given the need for timely information regarding the delivery of the programme, balanced against the need to take a long time frame in order to monitor outcomes.

These are complex issues, and to a degree the evaluation process itself will be an innovation, and therefore inherently risky. This places the burden on the steering group to be alert to these risks and manage them. Key priorities in risk management will be:

- Actively learning from other related studies undertaken by DFID and others (including major partners such as ESRC); and
- Careful selection of the evaluation team to ensure that it is able to deliver complex outcomes in a timely and efficient manner.

Other key risks include:

- The virtual team and partners not making sufficient time available to support the evaluation. This will be mitigated by ensuring that strong monitoring and evaluation remains a priority of the Management Committee. The Committee will use its leverage to ensure that DFID staff and others comply with the requirements of the evaluation process, and that the design of the evaluation is fit for purpose.

#### 12. Duty of Care

The inception phase of the project will not require any in-county travel. An assessment of the Duty of Care capability and competence of the supplier, and the nature of in-county travel during the implementation phase, will be determined at the end of the inception phase.

#### 13. Instructions for submitting a tender

Instructions for submitting a tender for the evaluation set out in this Terms of Reference can be found in *DFID Invitation to Tender Instructions (Call-down Competition)* attached in Volume 1 of the Invitation to Tender. Tenders will be scored using the Scoring Methodology (section 31) and Evaluation Criteria (section 32) set out in Volume 1.

If the scoring differential between the two top tender scores is small, DFID may invite the two tenderers in question to make a short presentation followed by questions and answers. A final decision will be made by the HIE tender selection panel based on both the tender and presentation. Using the criteria set out in Volume 1, the panel will reassess scores following the presentation/interview in order to come to a final decision. No additional criterion for the presentation/interview will be created.

## Annex 7 ITT Volume 2

### (Call-down Contract)

#### **Annexes:**

Annex 1: Amalgamated HIE Business Case (separate document). The amalgamated business case includes a provisional Theory of Change.

Annex 2: Amalgamated provisional HIE log frame (separate document)