

elrha



GLOBAL PRIORITISATION EXERCISE FOR RESEARCH AND INNOVATION
IN THE HUMANITARIAN SYSTEM • PHASE ONE MAPPING

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Prepared by **Global Emergency Group Consortium**

Kirsten Gelsdorf, Strategic Lead
Langdon Greenhalgh, Project Manager
Dr. Lezlie Morinière, Research Methods Expert
Dr. Hannah Vaughan-Lee, Research Specialist
Andrew Billo, Innovation Specialist
Drew Souders, Project Support

Commissioned by **Elrha**

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FOREWORD

In 2016 the number of people in need of international humanitarian assistance reached over 164 million. While recent reports reveal that in the same year the total value of official humanitarian assistance grew by 6%, the global shortfall of unmet needs remained stubbornly at 40%¹. To make real progress in closing the gap we must recognise that our current system is failing to evolve at the pace and scale needed. Addressing this shortfall, however, is not simply a matter of money.

Major gaps exist in the evidence base and the innovative capacities underpinning humanitarian action. Realising a humanitarian system that is truly anticipatory and fit for purpose in responding to crises, requires us to urgently build more effective alliances within and between communities of science, research and innovation.

This is why Elrha has launched the Global Prioritisation Exercise for Humanitarian Research and Innovation (GPE) a new global effort to transform the impact of research and innovation in the humanitarian system. The GPE aims for the first time to provide public visibility of the range of global investments, capacity and activity in humanitarian research and innovation and to widely consult and identify shared priorities for further investment and action.

The global mapping presented here is the essential first step in this process. The report provides us with a detailed baseline of global humanitarian research and innovation activity as viewed through published outputs during 2016–2017. The data presented reveals not only the range of thematic, technical and geographic focus of activity during this period, but also maps the numerous Funders and Actors active in this space.

These early results raise important questions regarding how well current investments and activity align to recognised humanitarian priorities and needs, and reveal interesting differences between the focus of research and innovation communities. The data also shows a marked disparity between the geographical locations of funding recipients compared to the geographical focus of the research and innovation activities themselves; with the vast majority of research and innovation resources both provided and received by actors in the ‘Global North’. This important finding suggests that more needs to be done to shift funding allocations to partners closer to where humanitarian needs are most directly experienced.

This baseline report represents Phase One of the GPE, and provides us with the foundation to develop the next two phases of our work. Guided in part by the results of this report, the second phase of the GPE will be a global consultation with key stakeholders in humanitarian research, evidence and innovation, to identify shared priorities for research and innovation action and investments.

¹ Data from The Global Humanitarian Assistance Report 2017: <http://devinit.org/post/global-humanitarian-assistance-2017/>

It will consist of detailed conversations with a geographically diverse group of stakeholder actors, including:

- Governments, International Organisations and Humanitarian Actors
- Humanitarian research and innovation communities
- Communities affected by crises
- Private sector actors

In addition, the Phase Two consultation offers the potential to explore a more detailed financial analysis of funding volumes between donors, which was beyond the scope of this current report. The first two phases of the GPE will culminate in a new strategic framework for current and new funders of humanitarian innovation and research, to be presented in Phase Three of the initiative alongside a programme of dissemination, advocacy and outreach.

As part of our ambition to provide the GPE as a regularly-updated, sustainable, resource for the humanitarian community, the mapping methodology developed to enable this report provides us with a valuable tool for monitoring and tracking progress and trends over time.

Elrha would like to thank Global Emergency Group (GEG) for their tireless and comprehensive effort in the preparation of this report. This mapping exercise would also not have been possible without the generous support of the UK Government (DFID) and the Global Alliance for Humanitarian Innovation (GAHI).



Jess Camburn

Elrha Director

CONTENTS

Glossary	4
Tables & Charts	5
Key Terms	6
Executive Summary	7
1. Introduction	15
2. Methodology	18
3. Key Findings	24
3.1 Funding Landscape	26
3.1.1 Funder by Type and Country	26
3.1.2 Funding Patterns	28
3.1.2 Funding to Actors in the Global South and 'Localisation' Agenda	32
3.1.3 Strategic Priorities Moving Forwards	33
3.1.4 Linking Research and Innovation	34
3.2 Actors	35
3.2.1 Actors by Type and HQ/Country	35
3.2.3 Actor Sets: Academics and Practitioners	37
3.3 Research and Innovation Coverage: What do outputs focus on?	40
3.3.1 Geographic Coverage of Outputs	40
3.3.2 Context: Urban or Rural	41
3.3.3 Humanitarian Event Type	41
3.3.4 Phase of Management	44
3.3.5 Sector/Cluster	44
3.3.6 Research & Innovation Topic Areas	45
3.4 Research Specific Findings	54
3.5 Innovation Specific Findings	57
4. Discussion: what do the findings tell us?	59
4.1 Funding Landscape	60
4.2 Actors	63
4.3 Output Coverage and Characteristics	65
5. Conclusions	70
5.1 Identified Gaps based on RLR Findings	71
5.2 Conclusions	74
Annexes	77
Annex 1: Potential for Further Analysis	78
Annex 2: Methodology – Process Detail	79
Annex 3: RLR Matrix Instructions for Data Entry	101
Annex 4: Key Informant Interview Questionnaire – Funders	104
Annex 5: Key Informant Interview Questionnaire – Actors	106
Annex 6: GEG Team Roles & Responsibilities	109
Annex 7: Terms of Reference	110

GLOSSARY

DFID	The Department for International Development, UK
DRR	Disaster Risk Reduction
GAHI	Global Alliance for Humanitarian Innovation
GEG	Global Emergency Group
GPE	Global Prioritisation Exercise
GS	Google Scholar
ICRC	International Committee of the Red Cross
IDRM	Integrated Disaster Risk Management
IFI	International Financial Institution
IFRC	International Federation of the Red Cross
INGO	International non-governmental organisation
IRMA	Integrated Risk Management Associates
KII	Key Informant Interview
LAC	Latin America and the Caribbean
LNGO	Local non-governmental organisation
LoE	Level of Effort
MENA	Middle East and North Africa
NGO	Non-governmental organisation
NNGO	National non-governmental organisation
PLR	Pre-2016 Literature Review
RCNS	Red Cross National Society
RfP	Request for Proposals
RLR	Rigorous Literature Review
ToR	Terms of Reference
UN	United Nations
UVA	University of Virginia
WASH	Water, Sanitation and Hygiene
WOK	Web of Knowledge

TABLES & CHARTS

Tables

Table 1: RLR Output Source Overview

Table 2: RLR Outputs by Category and Actor Set

Table 3: Top 5 Funder HQ Countries based on RLR Frequency

Table 4: Top 5 Actor HQ Countries by Category based on RLR Frequency

Table 5: Top 3 Cluster/Sectors by Category based on RLR Frequency

Table 6: Displacement by Group & Setting based on RLR Frequency

Table 7: Gaps based on RLR Findings

Charts

Chart 1: Research and Innovation Output Form

KEY TERMS

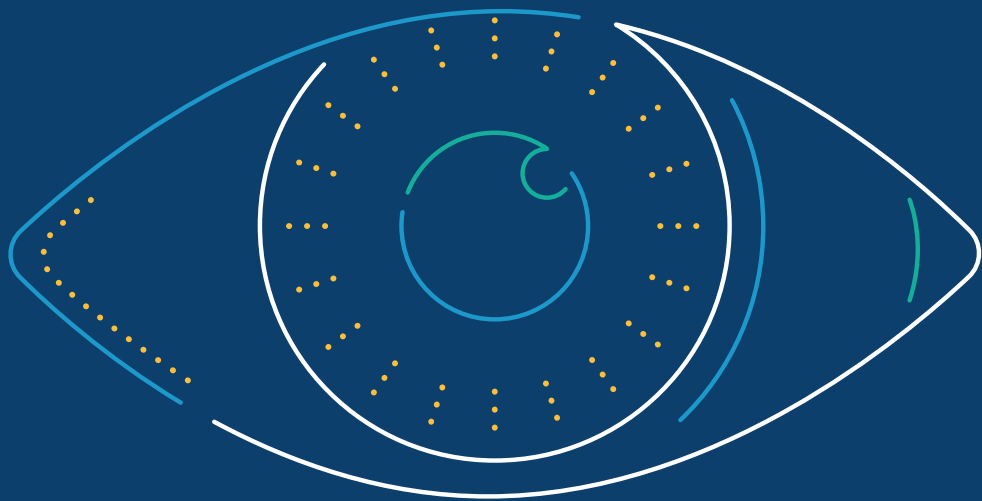
The following describes key terms as defined within this Report and throughout the mapping exercise.

- **Humanitarian Action** is intended to “save lives, alleviate suffering and maintain human dignity during and after man-made crises and disasters caused by natural hazards, as well as to prevent and strengthen preparedness for when such situations occur”. Included systematically in ‘humanitarian’ are those situated in DRR/preparedness, response and recovery.²
- **Research** refers to investigations that are planned, organised and with a methodology; where the research is related to innovation, this is referred to as ‘Combination’.
- **Innovation** represents an “iterative process that identifies, adjusts and diffuses ideas for improving humanitarian action” and refers to both products and processes. This draws together multiple elements that define problems or opportunities; doing something different; and/or seeking improvement.³
- **Output** refers to what was produced or created through Research and/or Innovation; though identified primarily through documents, the outputs mapped in this project can take various forms. The mapping identified outputs according to the following categories: documents, tangible products (excluding documents), concepts, workshops/conferences, consultations, campaigns or other forms.
- **Funders** are entities that have been explicitly identified as the source of the financial support of the Research and/or Innovation output(s). This excludes organisations that receive funding and then disperse it as part of their programming, with the exception of bodies that are explicitly set up as funds. The Mapping includes the following types of Funders: Donor agencies/governments (referred to as ‘donors’), foundations, International Financial Institutions (IFIs), private sector, academic, UN, non-governmental organisations (NGOs) and Red Cross Movement entities; those Funders that cannot be classified within these are referred to as ‘other’.
- **Actors** are organisations, centres or other entities/stakeholders engaged in Research and/or Innovation. This can include individual organisations and/or networks/alliances. Actor types have the same categorisation as Funders, with networks and interagency bodies captured under ‘other’. It is possible for Actors to also be Funders if they engage in the projects in addition to funding them. Findings are systematically divided into Academic versus Practitioner actors. **Practitioner** refers to non-academic entities that are the dominant author or creator of an output while **Academic** refers to academic entities (universities and think tanks) that are the dominant author of an output.
- **Current** refers to the 2016 – 2017 period.

2 Definition adapted from Development Initiatives, *Defining humanitarian assistance*, <http://devinit.org/defining-humanitarian-assistance>. While it is recognised that humanitarian outcomes can be improved by research/innovation in the general development sector, long-term and sustainable development-related research/innovation is not included in the scoping unless found per chance, and determined to explicitly target a specific threat or hazard.

3 A. Obrecht and A. T. Warner, *More than just luck: Innovation in humanitarian action*, HIF/ALNAP Study. London: ALNAP/ODI, 2016; A. Obrecht, with A. T. Warner and N. Dillon, *Working paper: Evaluating humanitarian innovation*, HIF/ALNAP Working Paper. London: ODI/ALNAP, 2017.

EXECUTIVE SUMMARY



EXECUTIVE SUMMARY

“We can’t sit here and innovate and research everything – we need to focus, so therefore what are the areas to focus on, particularly when talking about investments for research and innovation?”

– Practitioner Informant interview⁴

“[In setting the future agenda] one of the challenges is around the details of what you finance...behind that there needs to be a gap analysis...There needs to be a view of what is going on worldwide.”

– Funder Informant interview⁵

Background & Methodology

Worldwide funding for humanitarian activities is increasingly under pressure. As the humanitarian system faces both expansion, new and old challenges, research and innovation are increasingly central to ensuring the most effective humanitarian assistance possible. Yet where to best to allocate resources for research and innovation remains a critical question; moreover a lack of strategic coordination among key funders and the humanitarian community can limit the full impact of these investments. In response, Elrha is leading a new global effort to map research and innovation capacities and to consult and identify clear priorities for research and innovation for humanitarian action through a Global Prioritisation Exercise (GPE). The overall GPE consists of three phases spanning two years: Phase One – Global Mapping; Phase Two – Global Consultations; and Phase Three – Synthesis.

This report presents the findings from **Phase One**. The objective of the **global mapping** phase is to establish an understanding of:

- The current **funding** landscape for humanitarian research and innovation;
- Current **actors** (academic and practitioner) that contribute to the research and innovation space; and
- Current research and innovation-related **outputs**.

⁴ Interview with NGO, May 26, 2017.

⁵ Interview with Donor, May 11, 2017.

To answer the key questions and meet these objectives it was necessary to map the current characteristics of humanitarian Research and Innovation across the globe – the Funders, Actors and outputs. To do this, a primary dataset was developed through a rigorous literature review (RLR), which systematically examined documents compiled by rule-based searches⁶ of scholastic and grey literature covering the period 2016–April 2017 for information relating to Funders⁷ and Actors as well as output coverage and characteristics, including geographic and sector/cluster coverage, humanitarian events and a range of topics. While the RLR examined documents to determine their focus, it is important to note that it did *not* evaluate the quality of the documents or evidence. After triangulating between Academic and Practitioner literature, this dataset was further triangulated with 30 Key Informant Interviews (KIIs) to gain a better understanding of the funding landscape and do a ‘sense-check’ on areas of very low and/or very high coverage in the RLR. Additional document reviews were also completed in order to provide a ‘backdrop’ against which to check gaps and trends identified in the RLR. Terms used in this report are defined, simplified (given the scope

⁶ Rule-based searches of scholarly (Web of Knowledge and Google Scholar) and practitioner literature (Relief web) included any forms of the words ‘humanitarian’ AND (‘research’ OR ‘innovation’) in title, in topic or anywhere in the document (in the case of Reliefweb).

⁷ Funders are entities that have been explicitly identified as the source of the financial support of the Research and/or Innovation output(s). This excludes organisations that receive funding and then disperse it as part of their programming, with the exception of bodies that are explicitly set up as funds.

and time available to conduct this work) and – in some cases – developed specifically for this mapping.

Overall the RLR showed that in 2016–2017 there were:

- **219 Funders** of humanitarian Research and/or Innovation
- **825 Research and/or Innovation Actors**
- **694 Outputs** produced from Research and/or Innovation activities.

It is important to note that this mapping does not consider uptake of Research and/or Innovation or coverage of topic areas in policy or advocacy and thus does not establish the priorities for future research (that will be done in Phases Two & Three of the GPE). The report does establish an evidence-base upon which to discuss priorities through consultation with Actors and Funders in Phase Two as well as a baseline mapping and understanding of the current state of humanitarian Research and Innovation using research methods that may be replicated again in future years.

Funding Landscape

219 funders of Research and/or Innovation outputs were identified during the 2016–2017 period of review. The mapping only considered the frequency (number of outputs funded) of Funder support, not the volume or amount of funding provided by individual Funders. As such, the funding landscape findings should be seen as only one piece of the current picture and would need to be complemented by other processes to generate a full understanding of the current landscape.

The first layer of the landscape focuses on **who is funding** humanitarian Research and Innovation. The RLR revealed that in terms of frequency:

- **Governments and their donor agencies** (hereafter referred to as ‘donors’) are the **dominant type of funder** (51%);
- **Research is more dependent on donor funding**;

- **Innovation has a more diversified funder base** (in particular from NGOs, UN agencies and the private sector) though, comparatively, Research has more support from academic entities and foundations; and
- **International Financial Institutions (IFI) had very limited engagement** in both Research and Innovation (making up only 1% overall). While there was some surprise that IFIs did not have a higher representation (the World Bank in particular), as one NGO acknowledged, while IFI’s are “on our radar, we haven’t done much with them in the past”.⁸

The mapping also found that, while Funders may regularly fund Research and Innovation, they comprise a (very) small proportion of grants. Furthermore, Funders noted that:

- While it is possible that funding can be multi-year or ‘longer-term’ (e.g. 3–5 years), **most Research is funded with grant timelines of 12-months or less**. According to informants, on the select occasions three-year research grants from donors exist, year three is intended to focus on “capturing the learning and dissemination strategy” and, as such, the research itself would need to be completed within the first two years;⁹ and
- Funding can be a mixture of restricted and unrestricted funds, yet **Practitioners¹⁰ at the global level reported relying more heavily on unrestricted funding**.

From a geographic perspective and based on RLR frequency,¹¹ the **vast majority of both Research and Innovation Funders and funding recipients (i.e. Actors) are currently headquartered in Europe and North America**, with the primary Funder and Actor headquarters concentrated in the United Kingdom (UK) and the United States of America (USA). While Northern Funders expressed

8 Interview with NGO, 17 May 2017.

9 Interview with NGO, 19 May 2017.

10 Practitioner refers to non-academic entities that are the dominant author or creator of an output.

11 Frequency refers to the number of outputs supported by the identified funders as a proportion of total outputs in the current period (i.e. not funding volume).

interest in engaging with Actors from the Global South, as well as with the *localisation* agenda more broadly, this interest has not translated into identified outputs in the RLR.

Looking ahead, interviews also considered the strategic priorities of Funders moving forwards:

- For donors, much of the Research and Innovation focus for Funders centres on following-up the World Humanitarian Summit (WHS) and Grand Bargain¹² commitments, and for Innovation, centres on the addition of the 2030 Agenda for Sustainable Development. Foundations were less specific and more broadly oriented towards potential increased engagement with humanitarian actors and/or looking at ways to transfer development gains to humanitarian settings.
- In terms of specific topics of interest to Funders for Research, refugees featured strongly for both Research and Innovation. Donor agencies also spoke with particular interest in engaging more with the private sector as part of ongoing and future strategies for Innovation in particular.

Actors

In total, 825 Actors were identified in the mapping exercise, encompassing organisations or other entities engaged in Research and/or Innovation. Outputs were assigned to one, predominate Actor identified as either Academic¹³ (N=278) or Practitioner (N=416), so that the mapping could compare outputs

between two profiles that often work in silos.¹⁴

When looking at Actors during the current period, the RLR found that the vast majority of outputs produced by Academics are Research outputs (77%). Conversely, only a third of Practitioner outputs are Research (33%) with slightly more outputs than Academics in Innovation (55%).

Adding more detail on Actor type, while Research is dominated by Academics and, to a lesser extent, NGOs, Innovation outputs are more widely distributed with UN agencies in the lead but closely followed by 'other' (i.e. entities not captured by other types), NGOs and the Private Sector. International Financial Institutions were the least represented category among Actor type.

The vast majority of Actors are headquartered in Europe and North America (81% combined). The remaining Actors mostly come from Asia/Pacific and Africa (7% and 6% respectively), with the lowest representation from Eurasia (1%), LAC (2%) and MENA (3%). In addition:

- Africa features more prominently in Innovation compared to Research (9% to 5%);
- Kenya appears among the more frequent Research Actors from the Global South (and is the leader for the Africa region) along with Colombia.
- While Eurasia makes up 3% of Actors producing Research they have no Innovation outputs.

While there are exceptions, including those mentioned above, for the most part actors from the Global South did not emerge as prominent Actors during the current period based on output frequency. This mapping could not explore this experience or potential constraints to southern actors in the humanitarian

12 The Grand Bargain is one of the initiatives stemming from the Agenda for Humanity at the 2016 World Humanitarian Summit (see <http://www.agendaforhumanity.org/>): "an agreement between more than 30 of the biggest donors and aid providers... The Grand Bargain includes a series of changes in the working practices of donors and aid organisations that would deliver an extra billion dollars over five years [from 2016] for people in need of humanitarian aid. These changes include gearing up cash programming, greater funding for national and local responders and cutting bureaucracy through harmonised reporting requirements... among other commitments".

13 Academic includes ODI, Brookings and other similar types of think tank institutions.

14 These identified through the RLR; only those Actors with outputs identified through the RLR are included in the quantitative analysis. Those selected additions from the GEG team (n=37) are excluded from this total. Actor data from the PLR is also not included owing to the different sampling approach.

Research and Innovation space. Rather, it demonstrates that current knowledge production pathways in the international humanitarian system (i.e. ReliefWeb and Web of Knowledge) may be biased towards Northern sites of publication and dissemination. There may also be other constraints. As one 2016 study stated, “In practice the governance and coordination of research and evaluation in the humanitarian sector in East Africa is almost non-existent, with multiple, ad hoc, small, short-term initiatives performed by multiple actors”. Moreover, “Much [of the research] is self-published, based on small samples and short timeframes, with limited methodological diversity or rigour”.¹⁵

Research and Innovation Coverage: What do outputs focus on?

There were 694 outputs identified during the 2016–2017 period.¹⁶ The presentation of the findings reflects a snapshot of outputs with the following themes: geographic coverage; context (urban or rural); humanitarian event type; integrated disaster risk management (IDRM) phase; sectors and Clusters; and 32 different ‘topic areas’. High and low-coverage is determined by the relative focus across the 694 outputs examined.

Geographic Coverage

In terms of overall geographic coverage, more than one third (36%) of all outputs focus on global systemic challenges or did not specify what countries they were focusing on. Where a specific country focus was identified, a quarter of both Research and Innovation outputs focus on Africa (25%).

At the country-level, Kenya, Jordan, Syria, Haiti and Philippines are the most frequent sites where outputs are focused, but geographic coverage looks quite different between Research and Innovation.

- For Innovation outputs, Kenya and Haiti are top countries of focus (4% each), though they are *not* among the top focus countries for Research (1% each).
- For Research outputs, Syria and Colombia are the strongest countries of focus (3% each).
- In terms of actor type, Academics and Practitioners, both had a strong focus on Kenya and Jordan (3% and 2% respectively). Academics also focused outputs on the USA, Colombia and the Philippines, while Practitioners targeted Syria, Haiti and Lebanon.

Humanitarian Event & Context Coverage

Where outputs identified a specific humanitarian event as its primary focus, Research strongly favours conflict and Innovation focused more on natural hazards. Both had a very limited focus on human-induced, non-conflict events such as technological disasters, urban fires or economic crises. Practitioners focus on both conflict and natural hazards more than Academics. Of those outputs focusing on one context, Innovation has a greater focus on Rural while Research places greater focus on Urban contexts. Academics (23% of their outputs) are also much more inclined to focus on urban contexts than Practitioners (9%).

Phase of Management Coverage

Among those outputs focusing on a specific integrated disaster risk management (IDRM¹⁷) phase, the main attention for both Research and Innovation was on humanitarian response followed by recovery (with Academics more focused on recovery than Practitioners); Innovation emphasised preparedness nearly three times more than Research.

¹⁵ Development Initiatives, ‘Humanitarian evidence systems mapping in East Africa’, *Development Initiatives*, January, 2016, pp. 10–11.

¹⁶ The number of Actors is higher than the number of outputs as many outputs have more than one author/producer.

¹⁷ Phases of emergency or integrated disaster risk management (IDRM) typically include prevention, preparedness, humanitarian response and recovery (the later typically expanded to recovery/reconstruction).

Sector/Cluster Coverage

- For both Research and Innovation outputs and all Actor sets, **Health is the sector/Cluster most frequently focused on.**
- For Research outputs, the second and third most-frequent sectors of focus are **Protection and Logistics** (in contrast, for Innovation outputs, **Protection is at 10th** place and **Logistics is at 6th** place).
- For Innovation outputs the second and third most frequent sectors focused on are **Food Security and Early Recovery.**
- In differences between actors, particularly striking is the greater emphasis that **Academics put on Logistics**, in contrast to **Practitioners.**

Topic Area Coverage

The RLR considered coverage of 32 different topic areas¹⁸ (see Section 3.3.6 for full list) identified by canvassing key words among stakeholders and recent salient documents in the sector.

- For Research outputs, the most frequent topics focused on include: **‘policy’ (44%), ‘evidence’ (44%).**
 - ~ ‘Policy’ as a topic area refers to outputs that focus on any policy targeting governments, system-wide policies and/or other inter-agency or single agency organisational policies (e.g. data protection), etc.
 - ~ ‘Evidence’ as topic area refers to outputs that focus on discussions or consideration of ‘evidence-based research’ and ‘improving’ both the quality of evidence in humanitarian research and how evidence is used in humanitarian decision-making.
- For Research outputs, the next most frequent topics focused on include: **displacement (39%), access (30%), gender (29%), coordination (28%) and partnership and livelihood (26% each).**
- For Innovation outputs, the most

frequent topics focused on include: **telecommunications & technology (tech, 72%), information management (49%) and partnerships (36%).**

- Though **Practitioners** dominate **Academics** in terms of their focus on all of the topics mentioned above (except for coordination), the largest difference between the two sets of Actors is for **tech and partnership.** In the low coverage areas, the difference between **Academics and Practitioners** is slight.
- For both Research and Innovation, the outputs with the lowest coverage include **environment, disability, older persons, and financial inclusion.**

The coverage findings do not necessarily equate to sufficiency/gaps in levels of engagement from Research and/or Innovation but generate a series of questions that need to be explored in the Phase Two – Global Consultations, including:

- Does low coverage point to gaps that require further attention, or does it reflect relevance within the humanitarian system at that point in time?
- Conversely, are high-coverage areas receiving this attention because Research/Innovation is an expressed need in the sector, or are there other drivers beyond the scope of this mapping (such as funding, politics or other dynamics)?

Research and Innovation Characteristics

As part of the RLR, there was also a specific consideration of characteristics of research-related outputs and innovation-related outputs respectively.

For **Research** the RLR considered the research purpose, type of methodologies used and whether the output had been peer reviewed. Key findings include:

- Nearly one third of all qualitative studies (the primary research method of choice among current outputs overall) did **not** indicate what type of qualitative approach they were using. While the mapping did not

¹⁸ There were no set limits on the number of foci an output can have; double-counting is not an issue.

evaluate an output's quality of evidence this finding serves as a proxy for without a clear explanation of the methodology, it is not possible to determine how strong the evidence-base is and whether the findings should influence practice or policy.

- Many of the systematic literature and evidence reviews included in the RLR also **critiqued the standard of evidence available.**
- The strong emphasis on qualitative methods, and subsequent limited use of quantitative approaches, especially among Practitioners, also raises questions as to the **comfort of Practitioners with quantitative methodologies**, operational compatibility, timeframes, ethics and other considerations for quantitative approaches. If the questions posed require quantitative methods, lack of comfort or other impediments can constrain research and analysis.

The RLR also looked at whether an output 'consulted' the affected population during the development of the output. Of those outputs with data on this issue, **57% of all outputs consulted affected populations.** Within this, Research was the lead with 51%, compared to 33% for Innovation. Practitioners consulted affected populations more frequently than Academics (55% to 38%). However, the methodology critique raises questions as to how these 'consultations' may have been conducted, including consideration of demographics and ethics (e.g. do no harm). Furthermore, based only on the 100 outputs that visibly focused on one or multiple 'communities', no more than 44 of them named the community, camp or neighbourhood unit. Many others provided a town or district name. While naming may be equated with giving voice and credit to at-risk and affected populations, it is also important to consider whether naming would betray their trust or publically implicate them, thereby potentially causing harm (depending on the theme of the document/output).

Overall, findings reinforce questions raised about current capacity to promote an evidence-based agenda in practice and the need to reconsider how to make it most attractive and compatible with the realities of humanitarian research in practice.

For **Innovation**, outputs were examined for whether they were products or processes, prototypes or being scaled-up, and the innovation phase they represented:

- The majority (69%) of Innovation-related outputs are tangible products (non-document outputs). This result is consistent with Innovation's higher coverage of product innovations (47%) in contrast to process innovations (29%).
- Innovation-related outputs focus on **prototyping** or 'both' prototyping and scaling to a similar degree (44 and 41% respectively) with scaling receiving the lowest focus at 12%.
- For phase, with the majority concentrated in 'all phases' (39%) and implementation (30%).

These innovation-related findings raise a series of questions for Phase Two – Global Consultations and beyond:

- Do innovators largely see Innovation as something tangible and, if so, does this view limit the potential of Innovation?
- Does the focus on products suggest that the drivers of innovation (by innovators and their supporters) push it to favour product over equally important process or more social forms of innovations?

More generally, in recognising that evaluations (a form of Research) can provide evidence on the success and/or scaling potential of Innovation, **do concerns regarding the quality of evidence pose limitations for scaling?**

Moving Forwards

To prepare for the global consultation planned for GPE Phase Two, the mapping went one step further to reflect on the findings in relation to gaps previously identified in system-side studies. The mapping examined gaps highlighted by five recent periodic humanitarian action reports and compared the convergence of expressed gaps therein with findings from the RLR. Recognised humanitarian gaps that appear most lacking from the Research and Innovation mapping include:

- **Within Research outputs:** information management, private sector engagement, localisation, the humanitarian–development nexus, cash as a modality and elderly and disabled target groups.
- **Within Innovation outputs:** partnership, displacement, coordination, accountability, humanitarian financing, focus outside the ‘response’ phases, logistics cluster, elderly and disabled target groups, IDP programming, urban programming, environment and climate.

There is an understanding across the humanitarian system that choices need to be made on where to focus Research and Innovation efforts. Making these choices, however, is no simple task. As planned, the findings unveil as many questions as answers; in fact, the main conclusion of Phase One is a prioritised set of questions synthesised as follows:

- How best to qualify the findings indicated by this snapshot–in–time/baseline?
- How to be certain the findings are inclusive?
- If the current snapshot does reflect wider, confirmed patterns, what impactful actions do the findings point to?

This report and the mapping it presents have provided a snapshot of the current humanitarian Research and Innovation space, providing an initial evidence base and raising questions to inform this discussion and prioritisation process. The greatest fruits of this baseline mapping will only be born when it is replicated, thereby allowing a comparison of coverage and the tracking of trends across the humanitarian space. The mapping has also produced a rich database of Research and Innovation during the current period that offers untapped potential for further research (un–addressed to date, due to time). Finally, the effort has established a methodology to map Research and Innovation outputs – one that merits enhancement and replication. Above all, the GPE Phase One has charted new territory in cataloguing humanitarian action and establishes an exciting list of opportunities for meaningful research and innovation in the humanitarian sphere.



1

INTRODUCTION

INTRODUCTION

This report presents the findings from Phase One of Elrha's Global Humanitarian Research and Innovation Prioritisation Exercise (GPE). The GPE focuses on identifying the critical gaps and opportunities for research and innovation to inform and improve humanitarian policy and practice. In doing so, the GPE aims to bring greater visibility and coordination to research and innovation efforts and leverage greater resources for the humanitarian sector. While also providing a strategic platform to build partnerships with new funders, the GPE will rally current major funders of research and innovation across the humanitarian landscape, including countries and communities affected by crisis.

The overall GPE consists of three phases spanning two years: global mapping; global consultation; and synthesis. Phase One delivers an initial mapping of key funders, actors, and outputs relevant for humanitarian research and innovation. Building on this base, global stakeholder consultations will be conducted in Phase Two to confirm and/or generate priorities for research and innovation investment. Finally, Phase Three will draw on the previous two phases to deliver a synthesis position with clearly-identified priorities for research and innovation investment. The agreed priorities produced through the exercise will inform the work of the new Global Alliance for Humanitarian Innovation (GAHI).

The Global Report produced at the end Phase Three will serve two key international functions:

- It will provide greater visibility and coordination of research and innovation efforts globally.
- It will be used as an advocacy tool to leverage increased and more appropriate resources for humanitarian research and innovation.

This pivotal initiative will provide public visibility on the range of global investments, capacity, and activity in humanitarian research and innovation and establish a clear framework with

agreed priorities for further investment and development.

The focus of this report is to present the findings from Phase One – Global Mapping. The objectives of GPE Phase One are to generate an understanding of the current funding landscape for humanitarian research and innovation; current actors (academic and practitioner) that contribute within the research and innovation space; and current research and innovation-related outputs.

In achieving these aims, GPE Phase One and this report address the following key questions:

1. What is the current funding landscape of humanitarian research and innovation, including strategic interests and investments of major funders and key gaps?
2. Who are the current actors and areas of expertise (by type) working across the globe in research and innovation to improve humanitarian outcomes?
3. What are the current research and innovation-related outputs relevant to the humanitarian system (and their coverage and characteristics)?
4. What are the identified gaps in humanitarian research and/or innovation that emerged from the logical synthesis of the above three questions?

Drawing on the rigorous, evidence-based approach, this report presents a global snapshot mapping of humanitarian research and innovation in the period 2016 to 2017. Following the introduction to the GPE in Chapter 1, a summary of the methodology behind the mapping is presented in Chapter 2. The main findings are in Chapter 3, in line with the mapping's main themes: funding landscape; actors; and output coverage and characteristics in relation to Research and Innovation. Mapping outputs were considered in relation to Funders, Actors and a series of categories and topics; this process not only identifies the coverage and characteristics of Research and Innovation as distinct areas of humanitarian activity

but also considers differences between the actors producing the outputs –Academic vs. Practitioner.

Using a quantitative approach, the main dataset from which the analysis is drawn is a rigorous literature review of both scholastic and grey literature through which research and innovation outputs were identified for the current period (2016–2017). The literature encompasses a range of publicly–available documents specifically focused on humanitarian research and innovation, including systematic literature reviews and evidence syntheses. In determining *coverage* of categories and topics, the analysis considers the frequency (how often) a category appears or a topic is covered during the current period: for example, the most frequent actor type during the current period, or the most covered research topic. The review also considers Research and Innovation specific output characteristics, e.g. research methodology characteristics or innovation phases. This statistical analysis is complemented by findings from key informant interviews, in particular in relation to the funding landscape where quantitative data was most limited.

With the findings presented, Chapter 4 focuses on what the findings tell us about the humanitarian Research and Innovation space. At this point the discussion returns to the key questions of the mapping outlined above. It provides a picture of the current humanitarian research and innovation space – the Funders, Actors and the coverage/characteristics of the outputs and also raises questions to consider during the next phases of the Global Prioritisation Exercise. Finally, the Conclusion

in Chapter 5 brings the findings and discussion together to illustrate how the Research and Innovation efforts of the current period address ‘gaps’ highlighted in recent humanitarian action reports, such as the *State of the Humanitarian System*. In closing, the report reflects on the critical questions raised by the mapping findings and how the Phase Two Global Consultations can begin to address these questions and best allocate resources to support progress and address gaps in humanitarian policy and practice and, in turn, improve assistance for crisis–affected populations.

The approach used in this mapping also provides a framework for monitoring changes in humanitarian Research and Innovation, and the findings presented here can serve as a baseline for future periodic comparisons to assess changes and developments within this space.

An important consideration in reading this report is that, while research and innovation may inform policy, advocacy and other discussions ongoing in the humanitarian space, this mapping focuses specifically on **Research and Innovation outputs**. It does **not** consider **uptake** of Research and/or Innovation or coverage of Research or Innovation topic areas in policy or advocacy forums that are not also themselves research and/or innovation outputs. Furthermore, in taking a rigorous evidence–based approach, this report and the mapping project chose to focus on the current period only. The findings presented in this report serve as an **overview and baseline** of humanitarian Research and Innovation, a snapshot confined to the period January 2016 to April 2017 and, **therefore, are not exhaustive**.



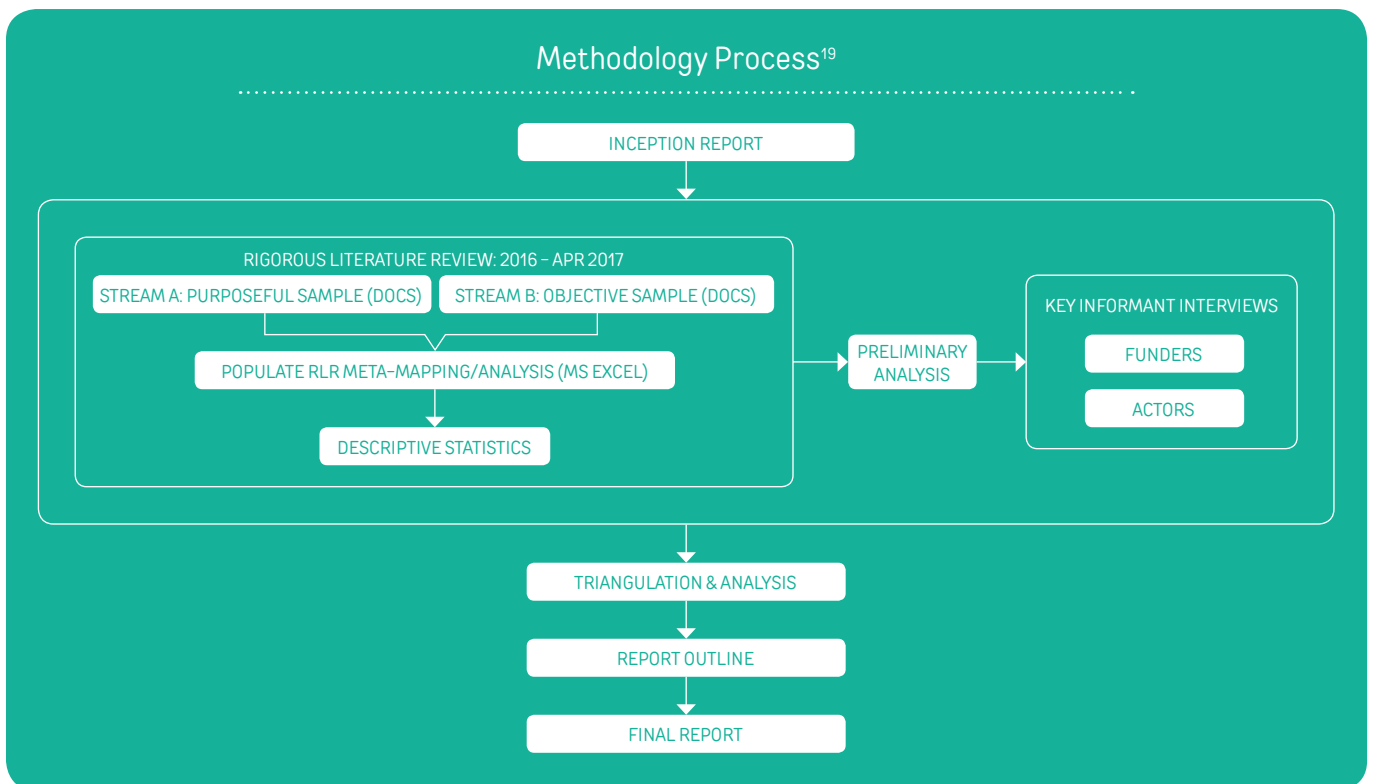
2

METHODOLOGY

METHODOLOGY

To answer the key questions and meet the objectives of Phase One of the GPE, this report seeks to map the current state of humanitarian Research and Innovation across the globe – the Funders, the Actors, and the outputs. This mapping takes an evidence-based approach, using both quantitative and qualitative methodologies. In order to cover a range of categories and topics, the mapping is limited to the current period (2016–2017) and, therefore, does not include a temporal analysis. Further analyses that could be conducted with the existing dataset and/or further avenues of research that could complement these research findings are described in Annex 1.

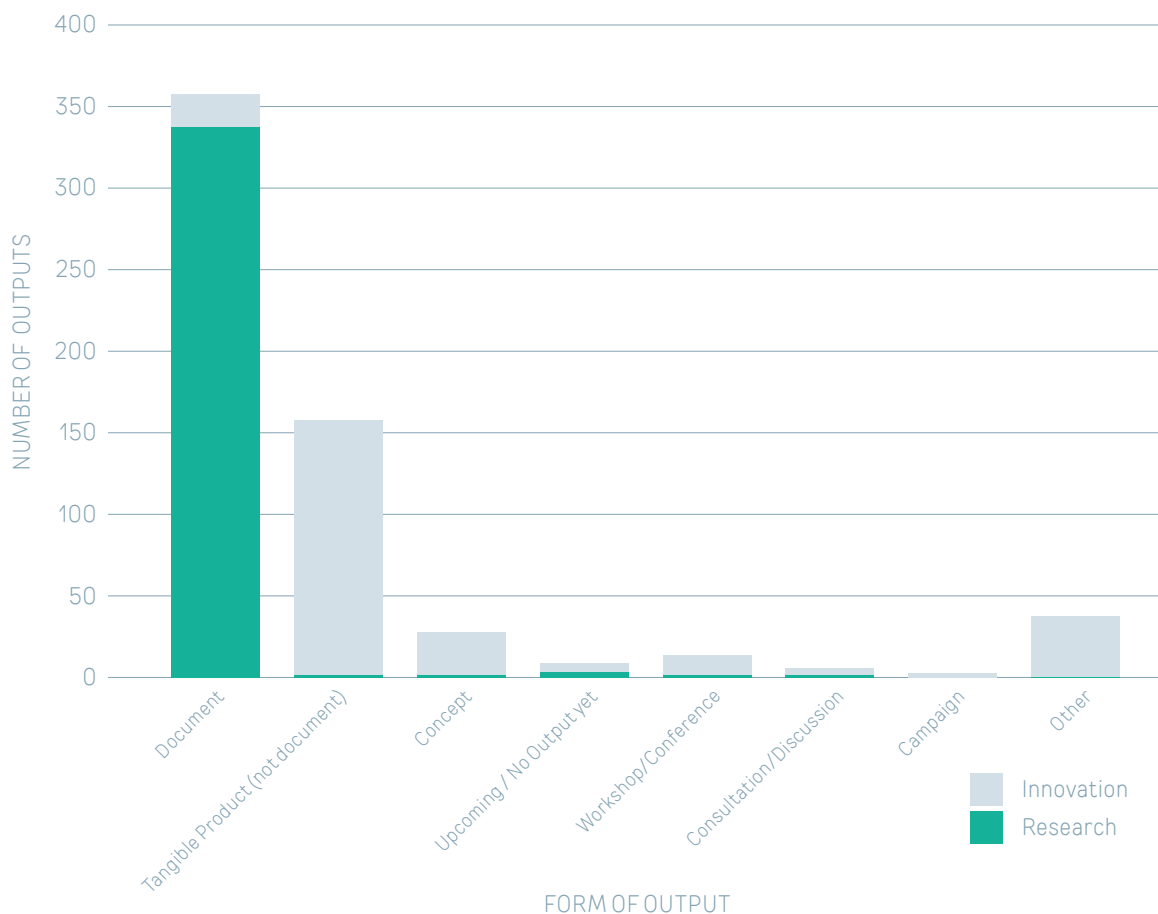
The different stages of the research process are outlined in the diagram below, followed by a brief summary; a fully detailed description of the methodology can be found in Annex 2.



¹⁹ Anticipating limited information on funding would be collected through the RLR, Funder interviews were initiated prior to the RLR's completion.

CHART 1

Research and Innovation Output Forms



Data from various sources informs this report and its findings. The primary dataset was collected through a rigorous literature review (RLR), which systematically examined documents for information relating to Funders, Actors and output coverage and characteristics in line with the research questions. The methodology of the RLR adhered to the “core principles of systematic reviews – rigour, transparency [and] replicability” as identified in ODI’s guidance for *How to do a rigorous, evidence-focused literature review in international development*.²⁰ The documents and websites collected were used to create an inventory of outputs, generating a baseline of humanitarian Research and Innovation for the current period. Here an output refers to what was produced or created through the Research

and/or Innovation. The final product for a piece of Research is most likely to be a document. However with Innovation, while identified in a document, the output might also take another form, such as a tangible product. To illustrate this, the chart below provides an overview of the different forms of the outputs captured by the RLR.²¹

The RLR incorporated scholastic and grey literature/publicly-available documents²² from both a purposeful sample (totalling 12% of the

20 J. Hagen-Zanker and R. Mallett, *How to do a rigorous, evidence-focused literature review in international development*, Working Paper, ODI, 2013, p. 4.

21 The categories for ‘output form’ were generated by the Research Team at the outset of the process based on assumed most likely forms, with the possibility for ‘other’ to capture those not included. ‘Concept’ (when a concept is the most advanced output discussed, even if it appears within a document/report) was included following the initial testing of the RLR as a potential category to highlight that which would otherwise be included with ‘other’.

22 The purposeful sample also included web-based outputs or links.

final set of inventoried outputs) and an objective census²³ generated through a rules-based search (88% of inventoried outputs) of Web of Knowledge, Google Scholar and Reliefweb for documents featuring the key terms 'humanitarian' and 'research' or 'innovation'.²⁴ The RLR focused exclusively on the 'current' period covering January 2016 through April 2017. While efforts were also made to capture outputs to be launched within six to twelve months of the RLR, this was not comprehensive.²⁵

Each document collected was reviewed by the Research Team and coded in a database ('RLR Matrix') according to a series of categories and topics capturing information on the output's Funder(s), the Actors authoring or producing the output, geographic and sector/cluster coverage, humanitarian event, context (rural or urban), phase of disaster management and a range of topics (see Annex 2 for a full list). These categories and topics were initially identified in the inception phase through a combination of internal expert input and review²⁶ of categorisations and/or terminology used by a range of Funders and Actors and then refined through the RLR process.

The analyst entering the data considered if the output *focuses* on the topic or other coverage concern in question (including both frequency of reference, how and where the reference is made).²⁷ It should be emphasised, however,

23 Because the rules-based search started with every single document that satisfied the search criteria, it is not a sample, but more correctly considered a 'census' of those sources/time periods. We did not draw a sample from this census of documents.

24 For Web of Knowledge 'humanitarian' AND ('research' OR 'innovation') were search in title or in topic; in Reliefweb they were searched for anywhere in the document. See Annex 2 for full description of the rules-based search approach as well as discussion of exclusion criteria.

25 Information on upcoming outputs was incorporated in the purposeful sample.

26 This was a rapid, non-systematic review of existing typologies; this approach was decided based on available LoE.

27 To ensure a common approach, the Matrix was set-up to instruct the analyst on what type of information was to be captured and, where relevant, provided guidance on what key words to search for in the document. For example, for Displacement, the key word search would include: 'displacement', 'migration', 'IDPs', 'internally displaced', 'refugees', 'migrants'.

that the RLR did *not* evaluate the quality of the documents or evidence therein, as there was not sufficient level of effort to support both the breadth of coverage and maintain rigor in a quality assessment process (e.g. double review each document to reduce bias). However, proxies for considering quality are included within the data collected (e.g. peer review, clarity of methodology).

In total, 694 outputs were entered into the RLR Matrix, 78% from original documents and 22% as 'add-ons' (multiple outputs identified from a single document/source). Upon completion of the document review and data entry, descriptive statistics were generated based on category/topic coverage frequencies and analysed by the Research Team.

Within the outputs inventory, two main variables upon which the current analysis is centred are:

- **Category of output:** in which each output was assigned one category: Innovation or Research or both (thereby named 'Combination'). Regardless of the author, the output described may be an innovation or a piece of research.
- **Actor authoring/creating the output:** Academic or Practitioner. Regardless of where the output was found (i.e. scholastic or grey literature), the authors may function in an academic or a practitioner community (the two often act in silos). Here the output is coded as "Academic," where academics are the dominant author (all academic institutions/entities, including universities and think tanks)²⁸ and 'Practitioner', where non-academic actors are the dominant author (all actors not cited as academic, i.e. NGO, UN, Red Cross Movement, private sector, IFIs, donors and 'other') e.g. two NGOs and one university was coded to practitioner output.

28 Academic includes ODI, Brookings and other similar types of think tank institutions.

Table 1 below illustrates the RLR documents by source and actor set.

TABLE 1

RLR Output Source Overview

Source	Academic		Practitioner		Total	
<i>Purposeful Sample</i>	10	4%	74	18%	84	12%
<i>Reliefweb</i>	77	28%	262	63%	339	49%
<i>Google Scholar</i>	9	3%	6	1%	15	2%
<i>Web of Knowledge</i>	182	65%	74	18%	256	37%
Total	278	100%	416	100%	694	100%

While the RLR did not make any exclusion based on language, a total of 83% of Academic actors and 73% of Practitioners described outputs in English. The remaining 20% of the output documents were written in other languages (primarily French, followed by German, Spanish and Russian).²⁹

The research also incorporated **Key Informant Interviews (KIIs) targeting both Funders and Actors**.³⁰ A total of 30 KIIs was established for Funders and Actors based on estimated availability within the Project Team and the project timeline.³¹ The primary focus of the KIIs was to gain a better understanding of the funding landscape from the perspective of Funders and Actors. Interviews with actors were also used as an opportunity to do a “sense-check” on areas of very low and/or very high coverage in the RLR. Discussions with both Funders and Actors also considered strategic engagement in research or innovations. Key informants targeted for interviews were distributed across the Funder and Actor categories with geographic and type (Research, Innovation) distribution within these categories

also being taken into consideration. **In total, 30 KIIs were conducted (17 Funders and 13 Actors)**. While efforts were made to ensure a diversity of Funder and Actor types, owing to interviewee availability, Funder interviews were primarily donor agencies/governments (N=12) and foundations (N=4) with one ‘other’ (those entities not captured by other types). Actors were comprised of NGOs (N=7), UN agencies (N=2), academic (N=2) and ‘other’ (N=2). To respect the confidentiality of informants, they are only identified by type (e.g. donor, foundation, NGO).

A small supplementary literature review was also conducted for the two-year period 2014 – 2015 in order to provide a ‘backdrop’ against which to check trends identified in the RLR. With a more limited scope than the main RLR, the intention was not to create a comparative dataset for the main RLR or to support a temporal analysis but rather to provide an *indication* of coverage during this time. The findings from this ‘pre-2016 literature review’ are used primarily to inform the discussion in Chapter 4 and *do not* form part of the main findings presented.

29 The RLR rules-based search, however, used the keywords in English with no translations into other languages, which could have influenced the language results.

30 As noted in the key terms, ‘Actor’ refers to practitioners, including organisations, centres or other entities/ stakeholders that are engaged in Research and/or Innovation. Unless specified otherwise, it includes both academic and non-academic actors.

31 With these constraints, a representative sample of Funders and Actors identified was not possible.

The main limitations of the RLR results are due to its scope, not its methodology. GPE Phase One is constrained to a snapshot in time; results only represent the current period (2016 to April 2017). Due also to constraints on team level of effort (LoE), the research methods did not set out to deliberately appraise quality (along with

characteristics) of each output catalogued and did not reach/include a representative sample of key informants for the interviews. The lack of information available to reflect regular funding patterns was an anticipated limitation based on scope and chosen methods. While a dearth of information available from Southern Actors may reflect the choice of specific search engines, international standards were applied in the choice of both engines

and rule-based searches. Nonetheless, the RLR construction and population resulted in learning that will inevitably improve the next iteration.

Once data from the RLR and KIIs were compiled/collected, they were synthesised and summarised for analysis. Collectively, these findings, analyses, and feedback processes form the basis of this report.



3

KEY FINDINGS

KEY FINDINGS

This chapter presents the main findings from the GPE mapping of current humanitarian research and innovation.

The central findings are drawn from the Rigorous Literature Review (RLR) covering January 2016 – April 2017, complemented by findings from the key informant interviews (KIIs). As mentioned earlier, this report focuses specifically on Research and Innovation outputs and does not consider uptake or coverage of Research or Innovation topic areas in policy or advocacy forums. As mentioned in the introduction, the findings drawn from the RLR and the KIIs serve as an overview and baseline of current humanitarian research and innovation.

As a snapshot of the current period, there are limitations on the extent to which the findings can be conclusive as to the ‘who, what, when’ is driving funding and agendas in research and innovation. The focus in time means that determining which of the identified trends are simply heralding the period under study versus showing a more enduring finding is beyond the scope of this project. This similarly limits potential explanations for some of the differences found within and between humanitarian research and innovation themes. As such, the answers to the key questions are not definitive but serve to highlight a set of interesting points for further reflection

and discussion in GPE Phase Two – Global Consultations.

The RLR examined outputs drawn from a purposeful sample and objective census, the latter based on a rules-based search using the key terms ‘humanitarian’ and ‘research’ or ‘innovation’. In total, the RLR captured 694 outputs for the January 2016–April 2017 period.

Based on the RLR in the current period, humanitarian Research is more frequent (51%) than Innovation (38%) with relatively few Combination (Research AND Innovation) outputs (12%). While a total of 88% of the Innovation outputs hail from the Practitioner community (N=230), only 33% of that community contributed Research outputs. Conversely, while 61% of the Research community outputs come from the Academic community (N=214), a maximum of 12% of the overall Academic community outputs focus on Innovation. This contrast is illustrated in *Table 2* below. In this table and throughout the report percentage figures have been rounded-up.

This chapter contains the main findings. Sections 3.1 – 3.5 present them in relation to the three mapping areas: Funders, Actors and the coverage and characteristics of outputs.

TABLE 2

RLR Outputs by Category and Actor Set

Output Category	Academic		Practitioner		Overall	
Innovation	32	12%	230	55%	262	38%
Combination	32	12%	49	12%	81	12%
Research	214	77%	137	33%	351	51%
Total	278	100%	416	100%	694	100%

3.1 FUNDING LANDSCAPE

In total, 219 Funders of humanitarian Research and/or Innovation were identified through the mapping process.³² RLR findings related to Funders are centred on the frequency of Funder support for outputs during the current period and not funding volume. While KIIs provide insight on funding patterns and Funder perspectives, they do not address the issue of volume. Only 36% of RLR entries contained explicit information on the Funder of the respective output,³³ and the KII sample is too small to draw a conclusive picture. While the KIIs with both Funders and Actors focused on questions relating to funding, they do not form a representative sample (30 interviews in total, of which 17 were with Funders).³⁴ As such, the **funding landscape findings should be seen as only *one piece* of the current picture and would need to be complemented by other processes to generate a full understanding of the current landscape.**

32 In identifying Funders, the RLR distinguished between different departments, even if the central source remained the same. In the UK, for example, five different donor/government funders were identified. The total number of Funders excludes 20 Funders identified by the team, as well as two Funders identified in the RLR but where all details (e.g. type) other than their name are unknown; as such, the total number in the final Funders database is 239. Note also in identifying Funders, the RLR distinguished between different departments, even if the central source remained the same. In the UK, for example, five different donor/government funders were identified. Only those Funders with outputs identified through the RLR are included in the quantitative analysis.

33 Information on Funders was only noted where the funding was explicit through statements such as 'funded by' or 'made possible with the support of'; the Research Team did not make any assumptions about the sources of output funding. If the **output** was not explicit in stating the source of the funding, it was left blank. A variety of reasons could explain the absence of funding information from the majority of RLR outputs including, but not limited to, different branding requirements and the use of public and/or unrestricted funds.

34 These 17 interviews represent 15 different Funders; for two large Funders, there were two separate interviews to capture both the Research and Innovation perspectives.

3.1.1 Funder by Type and Country

The first layer of the landscape focuses on **who is funding** humanitarian Research and Innovation. The RLR revealed that in terms of frequency (the number of outputs supported, *not* the funding volume) **donor agencies/governments** (referred to throughout as 'donors') **are the dominant type of Funder** during the current period (51% overall). As illustrated on pages 30–31, however, there are two marked differences between Research and Innovation. Firstly, **Research is more heavily dependent on donors than Innovation; Innovation has more diversity in its Funder base.** Secondly, Research outputs are more often supported by academic entities and foundations, while Innovation outputs are supported to a greater proportion by NGOs, UN agencies and the private sector.

Overall the RLR also suggests that **International Financial Institutions (IFIs) account for just over 1% of Funders** – the IFI's Funders identified through the RLR are World Bank-associated entities (including Global Facility for Disaster Reduction and Recovery, which is managed by the World Bank) and the Inter-American Development Bank. Taking into consideration the very low number of IFI-funded outputs, the finding was included in a 'sense-check' during KIIs. While there was some surprise that IFIs did not have a higher representation (the World Bank in particular), as one NGO acknowledged, while IFI's are "on our radar, we haven't done much with them in the past."³⁵

Of the Funders identified, the **vast majority are headquartered in Europe³⁶ and North**

35 Interview with NGO, 17 May 2017.

36 Europe includes EU/EEA countries, with the addition of Ukraine, Macedonia, Bosnia and Herzegovina and Serbia as countries within the European continent and holding agreements with the EU.

TABLE 3

Top 5 Funder HQ Countries based on RLR Frequency

	Research		Innovation		Overall	
	Funder HQ Country	%	Funder HQ Country	%	Funder HQ Country	%
1	UK	28%	UK	25%	UK	28%
2	USA	25%	USA	25%	USA	24%
3	Canada	6%	Germany / Belgium	11%	Germany	5%
4	Germany / Belgium	4% each	Switzerland / Netherlands / Denmark / Australia	3% each	Belgium	5%
5	Switzerland	3%	Canada	2.5%	Canada	4%

“Research is more heavily dependent on donors than Innovation; Innovation has more diversity in its Funder base.”

America with the UK leading for all categories, followed closely by or tied with the USA. The only non-European/North American Funder in the overall ‘top 10’ is China. Together with Australia, Japan and select other countries, 6% of Funders are from Asia/Pacific with the remainder distributed across Eurasia,³⁷ Africa,³⁸ Middle East and North Africa (MENA) and Latin America and the Caribbean (LAC).

Despite dominance at the top level from a regional perspective, as the InfoGraphics (see pages 30–31) and *Table 3* (a comparison of the ‘top 5’ Funder HQ countries) below show, subtle differences can be observed between Research and Innovation. For example, while Canada is in third place for Research, it is not among the ‘top 5’ Innovation Funder countries. Conversely, Germany and Belgium have significantly higher support for Innovation than Research. As mentioned previously, **the analysis here is based on RLR frequency (the number of**

outputs supported by the identified funders as a proportion of outputs in the current period) and not funding volume.

As illustrated by the Infographic portraying Funder HQs, while there is some diversity of “traditional” and “non-traditional” donors (though with the former leading in terms of frequency), limited representation of Funders from the Global South was identified in the RLR.³⁹ Further funding-focused studies are needed to determine if the RLR findings accurately reflect the funding landscape with respect to both non-traditional Funders and Funders from the Global South.

³⁹ The Global South refers to ‘developing’ countries primarily located in the southern hemisphere. ‘Non-traditional’ funders are typically described as those that sit outside of the Organisation for Economic Cooperation and Development (OECD)’s Development Assistance Committee (DAC) member group. The term covers a wide range of Funders, principally donors and IFIs and includes countries that have previously been recipients of aid (e.g. Poland), those that continue to receive assistance (e.g. Nigeria), countries responding to disasters domestically (e.g. Turkey, India), refugee hosting countries (e.g. Syria), and countries that have been long-term aid contributors (e.g. UAE). See for example K. Smith, *Non-DAC Donors and Humanitarian Aid: Shifting structures, changing trends*, GHA, Briefing Paper, July, Global South, 2011.

³⁷ Eurasia includes Turkey, Russia, Georgia, Uzbekistan, Kazakhstan, Tajikistan, Kyrgyzstan, Turkmenistan and Afghanistan.

³⁸ In this mapping Africa refers to sub-Saharan Africa thereby excluding MENA countries.

3.1.2 Funding Patterns

3.1.2.1 Research

While Research receives funding from various sources, **interviews largely reflect that donors are the main source of Research funding.**⁴⁰ Through interviews with Funders and Actors, **three main channels of donor funding for Research were observed:**

- Partners are permitted (by agreement or on request) to use a **small proportion of framework agreement funding** for research (including evaluations). It should be noted, however, that this would not necessarily be for rigorous, or “hard core” research, as one donor interviewee characterised it. Furthermore, the ability to use framework agreement funds for Research is not guaranteed. As another donor noted, within their limited humanitarian envelope, they do not want to ‘lock funding in’ by pre-allocating it to Research but want to retain flexibility to respond to crises. In this sense, while crisis modifier line items in framework agreements or larger envelopes are an increasingly regular practice, research has not become a systematic aim. As such, “organisations know they will get a certain amount of funding in a given year but it is not clear where that funding will go”.⁴¹
- **Core-funding** is also provided for research-focused entities (e.g. ODI/HPG, Refugee Studies Centre at Oxford University, Forced Migration Review) or research-oriented programmes and platforms (e.g. European Regional Development and Protection Programme, ACAPS, ALNAP, CaLP). While Academic actors do receive core funding from donors, a distinction is made between ‘think tank’ actors and universities. As one donor noted, while universities are funded, core funding can be difficult owing to the

40 These findings should be treated as preliminary, recalling that the interview sample size (n=30) is too small to be conclusive and does not represent all types of Funders and Actors. As mentioned in the methodology chapter, Funders included donors (n=12), foundations (n=4) and other (n=1), while Actors included NGOs (n=7), UN agencies (n=2), academic bodies (n=2) and other (n=2).

41 Interview with Donor, 29 April 2017.

large overhead costs. An exception is funding for programmes and/or projects run by specific centres within universities.

- **Project-specific funding, particularly at the regional and/or country level.** This would include issuing a request for proposals (RfPs) and/or a case-by-case approach preferred by some donors who do not have dedicated ‘research’ funds per se, but where there is the potential to support small projects, particularly for issues that are “less well represented”, as one donor explained.⁴²

While these different funding avenues represent differing ways for donors to support research, interviews suggest that overall funding remains small. This was similarly reflected in Funder interviews, with humanitarian Research funds making up a small proportion of their grants.

For **research-oriented funding bodies** working with government funds, while there may be considerable funds (multi-billion dollar funds for some), only a small part might be used for grants supporting *humanitarian* research. Similarly, for foundations, while they may have large funds available for research, *humanitarian* funding is a small component of their portfolio. Foundations interviewed support humanitarian research by establishing partnerships with particular organisations, issuing Requests for Proposals or, as one key informant explained, “considering projects that come their way”.⁴³

While the above describes a **mixture of restricted and unrestricted funding channels for Research**, most Practitioners interviewed expressed a **greater dependence on unrestricted funding**. For example, one NGO representative interviewed explained how they use general public funding to support full time staff in ‘research’ or ‘technical adviser’ positions who are tasked to conduct a lot of their Research. Select informants rely on private contributions or foundation funds for research. Several Practitioner informants also made a point to distinguish between Research funding for the organisation or projects at a global level

42 Interview with Donor, 16 May 2017.

43 Interview with Foundation, 16 May 2017.

versus regional or country-specific Research, which might be funded through the country mission. As informants were targeted at the global level, information about these regional and country level fund streams were outside the scope of this mapping.

In terms of the duration of grants, donors noted that, while core-funding can be multi-year or 'longer-term' (e.g. 3-5 years), outside of this category much of the Research is funded with grant timelines of 12 months or less. In addition to customarily short humanitarian funding cycles, one of the explanations offered by donors was that they need the research findings "to influence decision making and funding decisions".⁴⁴ While Academic bodies experienced 'longer' funding cycles, these generally did not exceed 24 months. One UN Actor observed how "there is a lack of 3-year grants to conduct research or longitudinal studies."⁴⁵ According to informants, on the select occasions that three-year research grants from donors do exist, year three is intended to focus on "capturing the learning and dissemination strategy", and the research itself would need to be completed within the first two years.⁴⁶ And, while some of the funding is in the form of 12-month renewable grants, the research projects covered need to be completed within the 12-month grant timeframe.

One NGO interviewed, however, expressed that the challenge was not in the funding timeframe but, rather, balancing research and implementation funding:

"There are donors happy to fund the research, but just the research, and expect someone else to fund the implementation. Others want to fund implementation and are happy for us to top-up for research, but not a lot. And the time scale varies. Donors funding implementation are humanitarian donors, and the timeframes are shorter. Meanwhile for research [funders], we can have longer timeframes [e.g. up to 4 years]... [The main challenge] is that institutional donors are interested in funding

implementation but not the research or vice versa, and this is quite hard."⁴⁷

Also, at least one donor described an internal 'firewall', in which "internal anti-corruption rules keep a line between the two, so research does not lead to the development of a product".⁴⁸ While this is more focused on the link between Research and Innovation (see further below), it touches on this highlighted challenge of how to link research with implementation. Select Funders (n=3) explained that they also engaged in co-funding on specific projects, though whether it does and/or could address this challenge is unclear from the interview findings.

3.1.2.2 Innovation

The Innovation funding picture is slightly different. The majority of donors interviewed referenced explicit funding for innovation, with some channelling funds through a dedicated innovation unit or department. Three donors also discussed explicit funding for innovation with a research component, though here research was viewed primarily as evaluations of innovation. Overall funding cited in interviews was for discrete projects or organisations/units focused on innovation, though with no reference to 'core' funding; yet while informants were able to provide concrete information on their Innovation funding, Innovation remained a relatively new area of activity for them and, therefore, limited information was available to reflect regular funding patterns (e.g. only three of the donors interviewed provided information on their annual funding for Innovation).

For foundations interviewed, most have either only recently turned their attention to funding humanitarian innovation or have not yet established a funding pattern in this area. Two of the longer-running larger foundations that do have regular funding for humanitarian activities observed that, while historically they have had a greater emphasis on development, that might be changing. As one large foundation noted, while it has engaged more extensively with development

44 Interview with Donor, 27 April 2017.

45 Interview with UN, 16 May 2017.

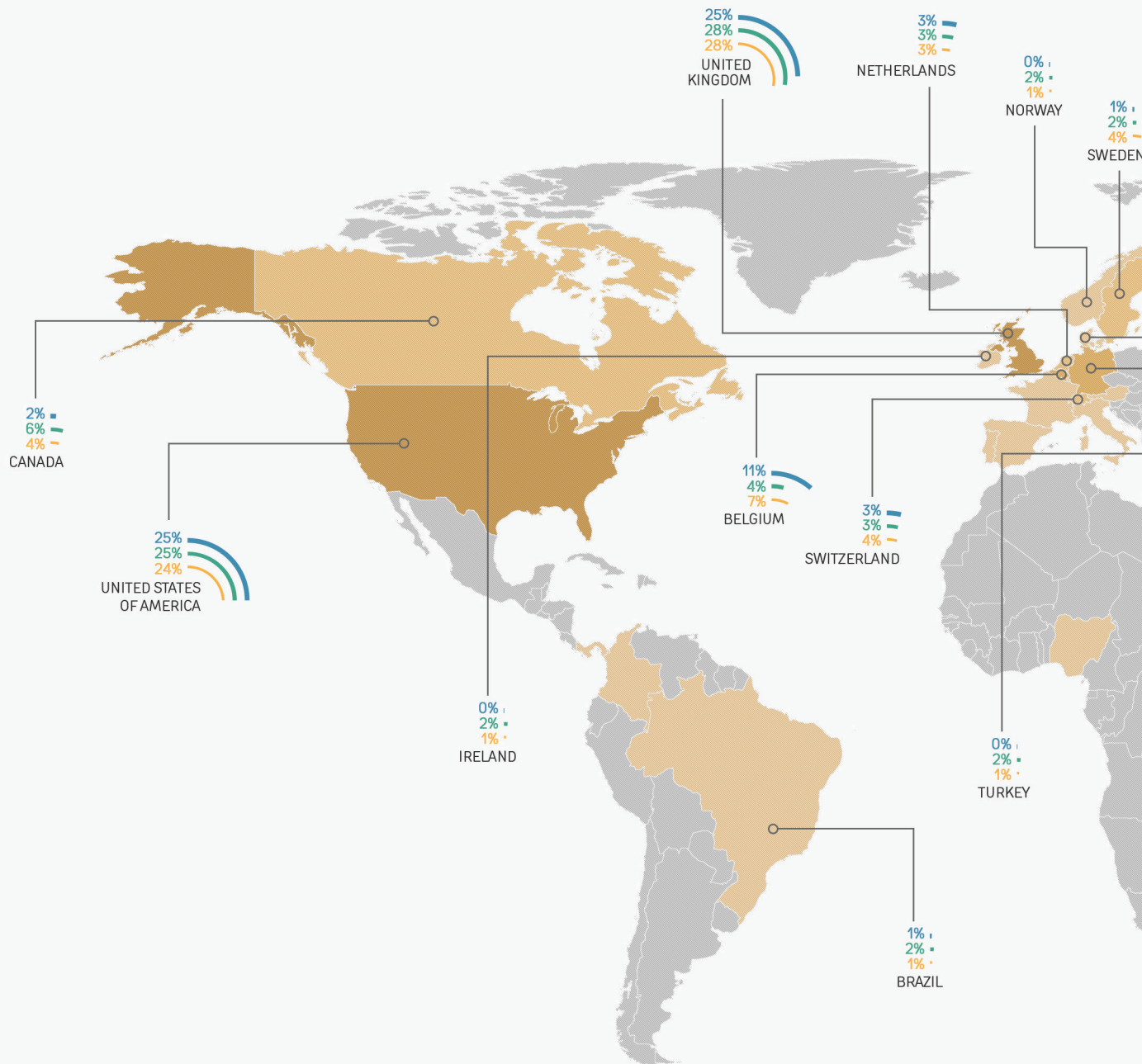
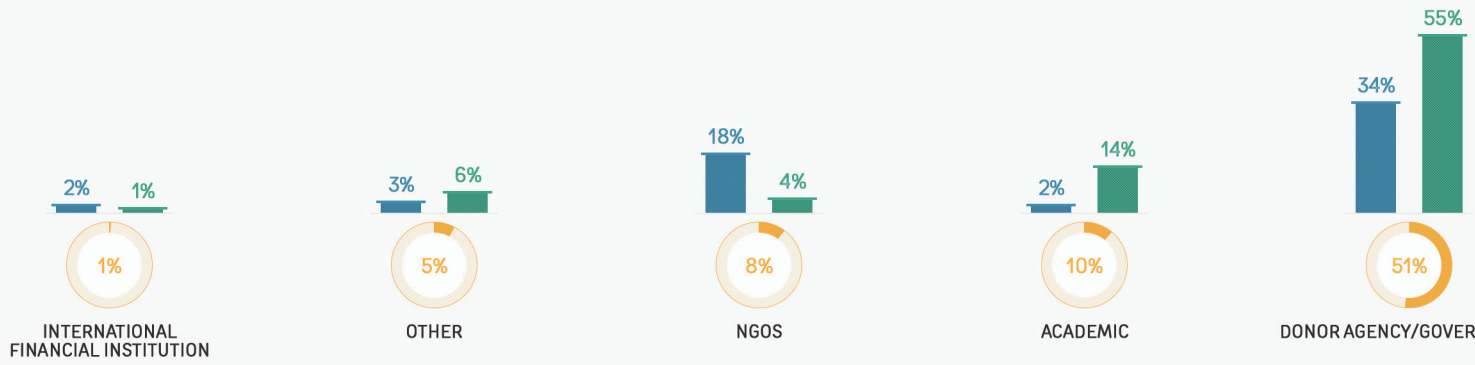
46 Interview with NGO, 19 May 2017.

47 Interview with NGO, 15 May 2017.

48 Interview with Donor, 11 May 2017.

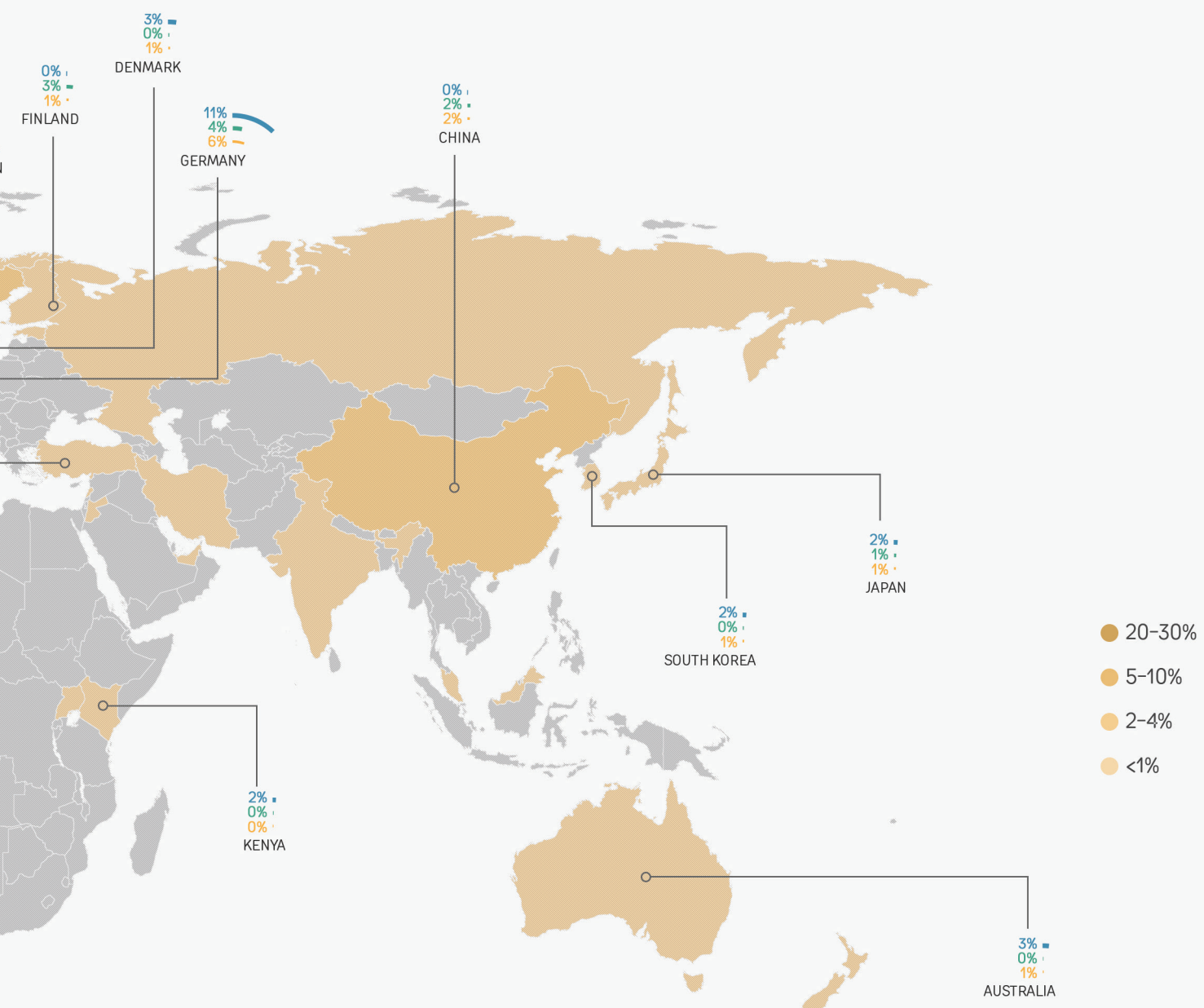
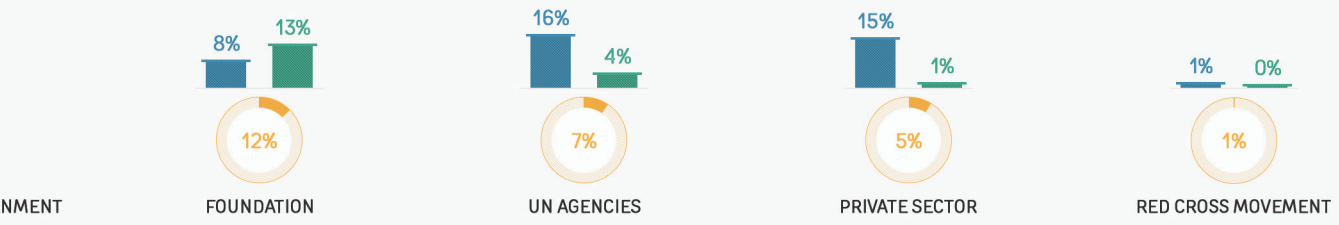
FUNDER TYPE (% BASED ON TOTAL NUMBER)

● Innovation ● Research



TYPE
(PERCENTAGE OF OUTPUTS)

ch Overall



than humanitarian action previously, it is looking at ways to leverage successful development interventions for humanitarian application.

As with Research from the perspective of Practitioners, while Innovation is supported by a mixture of restricted and unrestricted funding, the emphasis has been on the latter. However, one clear distinction made by Practitioners between Research and Innovation was that “innovation attracts the interest of a lot of [funders]”,⁴⁹ a sentiment not expressed in relation to Research.

Practitioners also indicated Funder preferences for the *types* of innovation they wanted to support. For example, one Practitioner reflected that, among their various Funders, the donors were focused on scalability, while the foundations and other philanthropic bodies were more interested in new innovation and/or sustainability over the long-term. This was echoed by another NGO Practitioner observing how “the Donors are interested in systems change, [while] philanthropists want to fund the next big thing [in innovation]”.⁵⁰ The challenge becomes, as another NGO noted, “the whole [innovation] sector is dramatically underfunded. To actually scale-up requires [a lot] of funding...[right now] it's too little and far between”.⁵¹ As noted, the KII sample is a useful point to consider but only represents a small number of Funders and may not reflect a wider common perspective.

With respect to the duration of Innovation grants, of the four donors who provided information on this, the emphasis was on longer-term funding cycles (1–5 years, with one a maximum of 24 months), to be influenced by the nature of the project. Among the other Funders interviewed, primarily foundations, the range was 1–3 years; projects over three years are intended to go “from seed to scale”, as one Funder explained.⁵²

49 Interview with Other, 2 May 2017.

50 Interview with NGO, 19 May 2017.

51 Interview with NGO, 22 May 2017.

52 Interview with Other, 9 May 2017.

3.1.2 Funding to Actors in the Global South and “Localisation” Agenda

While Northern Funders expressed interest in working with actors from the Global South – and the localisation agenda more broadly – KIIs with both Funders and Actors suggest variation in the way they address this.⁵³ For Research, donors noted that they have expectations that their partners will engage southern-based researchers as part of their work streams. Information was not available, however, as to *if* or *how* this is monitored. Alternatively, other donors described how they are engaged in the localisation agenda orienting their response towards local actors, but on a project/piece-meal basis, not for research. With Innovation, while the interest in local actors is present and Funders acknowledged that “[we] are promoting our partners to being driven by local grassroots responses”, as one donor remarked, there are “a lot of innovators sitting in ‘northern’ offices”.⁵⁴ Reflecting on the Funder engagement with local actors in Innovation, one foundation interviewed observed, “Southern actor engagement on the innovation side has been light for now...one reason [for this] is that [southern actors] have not moved to implementation [of innovations]”.⁵⁵ Information that might expand on Research and Innovation by Southern Funders and Actors was not available. Moreover, as noted previously, the KII sample is not representative; future, more expansive studies might provide different perspectives and/or explanations.

The RLR did identify at least two Innovation outputs that were developed by affected communities directly: in this case, refugees from the Syrian crisis. Dubarah (an online network helping refugees and asylum seekers find jobs) and Gherbetna (a smartphone app and website for refugees helping them to adapt to countries where they have relocated) were described in a *Forced Migration Review* article on how

53 While efforts were made to contact both traditional and non-traditional Funders – Funders from both the Global North and South – based on response and availability, Northern Funders were the only ones available for interviews.

54 Interview with Donor, 4 May 2017.

55 Interview with Foundation, 19 May 2017.

“innovative uses of technology have helped displaced people contribute to the resilience of their communities in displacement”. The article goes on to argue that “traditional humanitarian actors can and should better support this type of innovation. Increased investment in innovation incubators can better enable refugees and IDPs to use their talent, skill and creativity to the advantage of their communities”.⁵⁶ While not systematically coded within the RLR, limited discussion of affected-community generated innovations was observed.

3.1.3 Strategic Priorities Moving Forwards

Looking ahead, interviews also considered the strategic priorities of Funders moving forwards. For **Research**, donors focus on following-up the World Humanitarian Summit (WHS) and Grand Bargain commitments.⁵⁷ In contrast, foundation priorities were less specific and centred on potential increased engagement with humanitarian actors and/or looking at ways to transfer development gains to humanitarian settings. In terms of **specific research topics of interest to Funders, displacement and refugees were mentioned most frequently by both donors and foundations**; conflict and fragile states, health, and risk and resilience were also mentioned in several separate donor interviews.

With respect to **Innovation**, while some donors have adopted a clear strategy of Innovation engagement, others “do not yet have a systematic approach”. Overall, however, the Innovation priorities centred on WHS and Grand Bargain commitments, with the added

56 D. Robinson, ‘Engaging with innovation among refugees and IDPs’, *Forced Migration Review*, No. 53, October, 2016, pp. 79–80.

57 The Grand Bargain is one of the initiatives stemming from the Agenda for Humanity at the 2016 World Humanitarian Summit (see www.agendaforhumanity.org/): “an agreement between more than 30 of the biggest donors and aid providers... The Grand Bargain includes a series of changes in the working practices of donors and aid organisations that would deliver an extra billion dollars over five years [from 2016] for people in need of humanitarian aid. These changes include gearing up cash programming, greater funding for national and local responders and cutting bureaucracy through harmonised reporting requirements...among other commitments.”

reference to the 2030 Agenda for Sustainable Development, the latter described by one donor as “a strategy that combines humanitarian and development with support from all parties – innovation in humanitarian assistance is core to that”.⁵⁸ For foundations, one particular theme highlighted the challenge of longer-term engagement as they expand their humanitarian portfolio and are considering how to “engage with actors that can provide longer-term sustainable support. [Our] learning shows that it is hard for humanitarian agencies to do long-term programming, [but] there are many well placed longer-term agencies and how can [we] get them to include refugees”.⁵⁹ Refugees were mentioned as a particular topic of interest for innovation by at least two foundations, though even more popular was localisation (referenced by three out of four foundations interviewed); scaling, resilience and financing were also noted. By contrast, the more frequently referenced topics by donors, in relation to Innovation, were cash transfer programmes, technology and data.

Donors also expressed a strong interest in, and in some cases active pursuit of, engaging more with the private sector as part of ongoing and future strategies. For example, one donor explained that, “for the private sector, [we] are trying to engage where it makes sense...it’s time consuming, an investment to engage with new actors on these portfolios. Where does it make sense for private sector engagement? Where would they be able to cooperate in a humanitarian setting?”⁶⁰ The same donor spoke of how interest in “connecting the players... What is needed for [the organisation] to take [the initiative forward] rather than funding them. How can [we] develop a better project with the UN [for example]. Engagement in the private sector is not just about funding, but partnerships”.⁶¹ As another donor remarked, “it is likely that private sector actors and other donors will become increasingly important [for innovation] as well as leveraging private

58 Interview with Donor, 4 May 2017.

59 Interview with Foundation, 16 May 2017.

60 Interview with Donor, 27 April 2017.

61 *Ibid.*

sector resources”.⁶² One area not explored in the interviews are the potential challenges that might arise from humanitarian Research and/or Innovation driven by the private sector, including how commercial and humanitarian drivers balance one another.

3.1.4 Linking Research and Innovation

Discussions with Funders also shed some light on how they view the relationship between Research and Innovation. **The slight majority of donor interviews indicate that Research and Innovation are, at a minimum, seen as overlapping, if not directly linked.** As one donor explained, “the reason for prioritising funds in this space is to look at the evidence base, the deeper thinking on setting agendas. That is where the two agendas tie together: research informs innovation and the overall humanitarian response”.⁶³ This was echoed by another donor, “everything done by the innovation team is supported by research”.⁶⁴ And a third donor expressed how, “if innovation can be linked to research, then that’s the ideal”.⁶⁵

This perspective was not, however, universal. One donor remarked how “at the moment, the word ‘research’ does not even come-up in [our] innovation policies and frameworks”.⁶⁶ While another explained how they “draw a line between research and innovation”, viewing the former as “looking at our approach and long-term” while innovation is associated with “things like drones and new technology”.⁶⁷ A third donor, while acknowledging the strong link, highlighted an internal blockage: “There is a complementary relationship between research and innovation; one is a means to the other... however...internal anti-corruption rules keep a

line between the two, so research does not lend to the development of a product”.⁶⁸

For foundations, a link between research and innovation is present but much less explicit. As one foundation reflected, “[we] have not had a strategic discussion on how we merge research and innovation” while also noting that there “is no formal separation in [our] strategies”.⁶⁹ Another observed the ‘ad hoc’ process between them,⁷⁰ while a third foundation explained how they looked at the evidence of what had worked and what had not before moving into new innovation spaces, “scoping via consultants prior to implementing”.⁷¹

While Funders discussed this connection between Research and Innovation – the extent to which one is a driver for the other – including how Research can inform the need for innovation, success or failure to refine and/or scale innovation was not explored. In contrast to Funders, among Actor informants where the issue was raised, there was consensus that Research and Innovation are linked, but Actors were also more explicit in discussing how research can help to inform what is and is not working in innovation, gathering the evidence to move innovation forward. Findings for Actors are the focus of the next section.

62 Interview with Donor, 2 May 2017.

63 Interview with Donor, 27 April 2017.

64 Interview with Donor, 2 May 2017.

65 Interview with NGO, 19 May 2017.

66 Interview with Donor, 10 May 2017.

67 Interview with Donor, 19 May 2017.

68 Interview with Donor, 11 May 2017.

69 Interview with Foundation, 16 May 2017.

70 Interview with Foundation, 16 May 2017.

71 Interview with Foundation, May 19, 2017.

3.2 ACTORS

In total, **825** Actors were identified in the mapping exercise.⁷² As noted in Key Terms, Actors encompasses organisations, centres or other entities engaged in Research and/or Innovation. The findings presented here describe Actors in relation to how active they have been in the humanitarian research and innovation space during the current period (2016–2017): how many research and/or innovation outputs they authored or created. As noted previously, this analysis does not consider the quality, 'uptake' of outputs and/or significance with which different outputs might be perceived.

3.2.1 Actors by Type and HQ/Country

While academics – universities, think tanks⁷³ and other academic institutions/bodies – are the leading type of Actor overall, as illustrated on pages 38–39, there are marked differences between Research and Innovation. While Research is dominated by Academics (65%) and NGOs to a lesser extent (18%), Innovation has greater distribution, with UN agencies in the lead (22%), closely followed by 'other' interagency entities and/or institutions that do not fall into the pre-determined type options (19%), NGOs and the private sector, both at 16%. Similar to the findings for *Funders* of Research and Innovation, IFIs represent a small proportion of the Actors *producing* outputs (1% overall).⁷⁴

72 Only those Actors with outputs identified through the RLR are included in the quantitative analysis. Those selected additions from the GEG team (N=37) are excluded from this total. Actor data from the PLR is also not included, owing to the different sampling approach.

73 As noted previously, Academic includes ODI, Brookings and other similar types of think tank institutions.

74 Two are Combination.

Within a breakdown of NGOs by sub-type there is little difference between Research and Innovation, with INGOs making up the majority for both outputs and National NGOs (NNGOs) and Local NGOs (LNGOs) accounting for 1% respectively. For the Red Cross and Red Crescent Movement, however, there is a notable difference between Research and Innovation; while all of the Movement's Research outputs are produced by the ICRC, Innovation is distributed fairly evenly between the ICRC (2%), the IFRC (2%) and National Societies leading with 3%. In total, 11 different National Societies were identified for Innovation outputs in a diverse range of countries across Europe, North America, LAC, Africa, Asia/Pacific and MENA, with the greatest proportion in relation to outputs coming from Kenya, the USA and Haiti.

As the Actor–output map on pages 38–39 shows, the vast majority of Actors are headquartered in Europe and North America (81% combined). The remaining Actors mostly come from Asia/Pacific and Africa (7% and 6% respectively), with the lowest representation from Eurasia (1%), LAC (2%) and MENA (3%). There are two notable geographical differences: Africa features more prominently in Innovation compared to Research (9 to 5%) and, while Eurasia makes up 3% of Actors producing Research, they have 0% for Innovation.

In contrast to the regional view, at the country level (as reflected in Actor–output map and illustrated by 'top 5' Actor *Table 4* below) more significant differences between Research and Innovation can be observed. While the USA leads across outputs, the second most frequent HQs shift markedly from the UK for Research to Switzerland for Innovation, with differences of more than 10% for each.

TABLE 4

Top 5 Actor HQ Countries based on RLR Frequency

	Research		Innovation		Overall	
	Actor HQ Country	%	Actor HQ Country	%	Actor HQ Country	%
1	USA	31%	USA	34%	USA	32%
2	UK	22%	Switzerland	15%	UK	19%
3	Switzerland	4%	Italy	10%	Switzerland	9%
4	France	4%	UK	9%	Italy	5%
5	Australia	3%	Kenya	3%	France	2%

Two countries to further highlight from *Table 4* are Italy and Kenya. The high proportion of Actors from Italy in Innovation is almost exclusively the result of the WFP being a top Innovation actor during the current period (WFP also strongly contributes to the UN's leading Innovation Actors by type). In contrast, for Research, Italy represents 2% of Actor HQs comprised of a mixture of WFP, the European Commission Joint Research Centre, and FAO among others. With respect to Kenya, while it does feature more prominently for Innovation than Research (2% difference), Kenya is the strongest African country for both outputs. It does, however, capture a different mixture of Actors. For Innovation, the Actors headquartered in Kenya with the strongest contributions to Innovation are Ushahidi, the Kenya Red Cross, and Safaricom Limited, while for Research there is a mixture of academic and UN agencies without a clear 'lead'.

Outside of the 'top 5', Eurasia and LAC have low representation at the regional level in both outputs, yet in Research, Turkey comes in 12th (2%) and Colombia 13th (2%) among country rankings; for Innovation, Turkey appears towards the bottom with only one output and Colombia none at all.

3.2.1.1 Actors from the Global South

While there are exceptions, including those mentioned above, for the most part actors from the Global South did not emerge as prominent Actors during the current period, based on output frequency. Looking specifically at MENA as an example, one NGO remarked that despite doing "a lot of research in MENA...There has been a struggle to find local partners, especially for piloting [for innovation]. On research, we increasingly partner with a local actor, but there just isn't specific capacity".⁷⁵ This mapping did not explore this experience or potential constraints to southern actors in the humanitarian Research and Innovation space. Rather, it demonstrates that current knowledge production pathways in the international humanitarian system (i.e. Reliefweb and Web of Knowledge) may be biased towards Northern sites of publication and dissemination. As one Research output specifically focused on the production and use of research in East Africa, there may also be other constraints. The 2016 study in question found that, "In practice the governance and coordination of research and evaluation in the humanitarian sector in East Africa is almost non-existent, with multiple, ad hoc, small, short-term initiatives performed by multiple actors". Moreover, "much [of the research] is self-published, based on small samples and short timeframes, with limited methodological diversity or rigour". The study also found that, "United States and

⁷⁵ Interview with NGO, 19 May 2017.

European research producers, based outside the region, tend to dominate the longer-term humanitarian [research], generally producing better-quality outputs, albeit in isolation from the humanitarian implementing community in East Africa”.⁷⁶

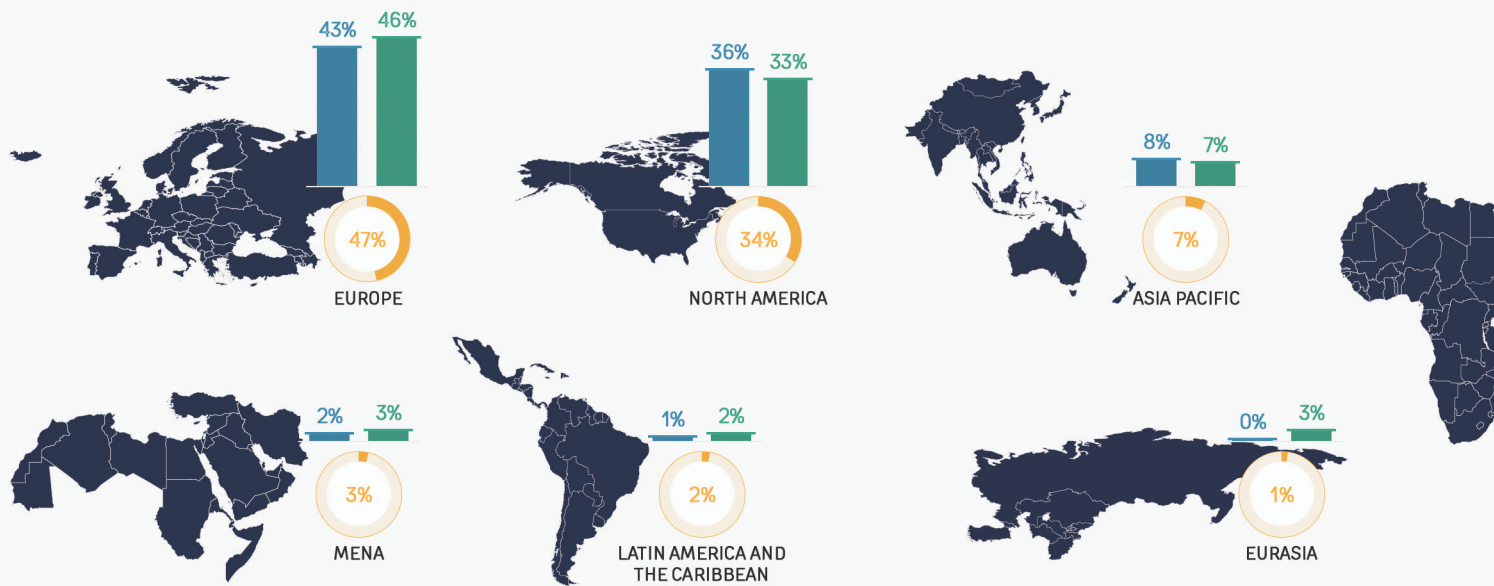
3.2.3 Actor Sets: Academics and Practitioners

When looking at Actors – Academic and Practitioner – producing or authoring Research and Innovation, the vast majority (77%) of Academic outputs are in Research. Conversely, a little over half (55%) of Practitioner outputs are in Innovation and a third (33%) in Research. Despite this contrast, both Academics and Practitioners have the same degree of engagement in Combination (Research AND Innovation) with 12% each. The following section describes the coverage and characteristics of these outputs, including key characteristics in relation to Academics and Practitioners.

⁷⁶ Development Initiatives, 'Humanitarian evidence systems mapping in East Africa', *Development Initiatives*, January, 2016, pp.10-11.

ACTOR HQ REGION

(% BASED ON TOTAL NUMBER OF OUTPUTS)

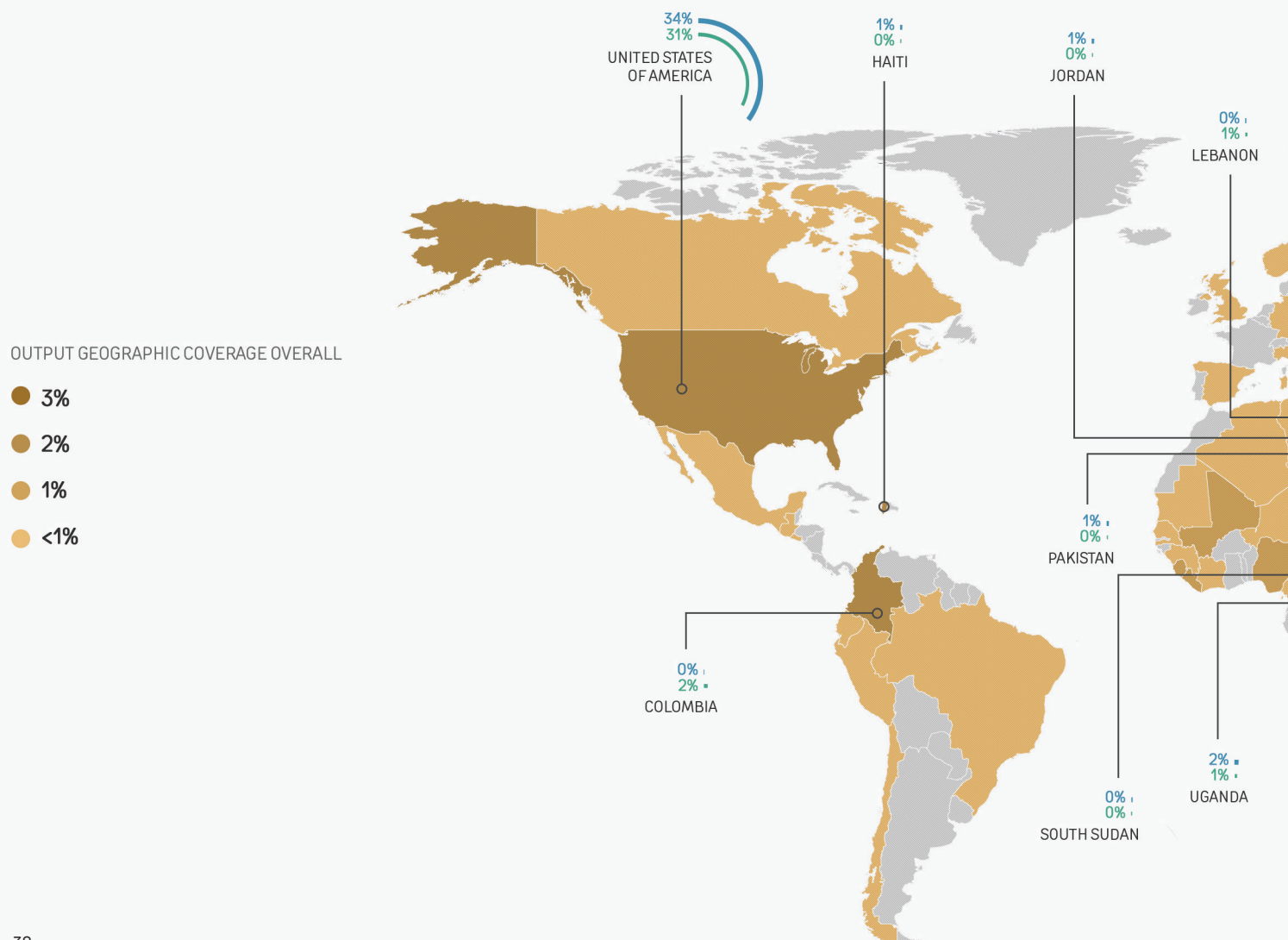


ACTOR AND OUTPUT

● Innovation ● R

OUTPUT COUNTRY FOCUS (OVERALL) VS. ACTOR HQ REGION

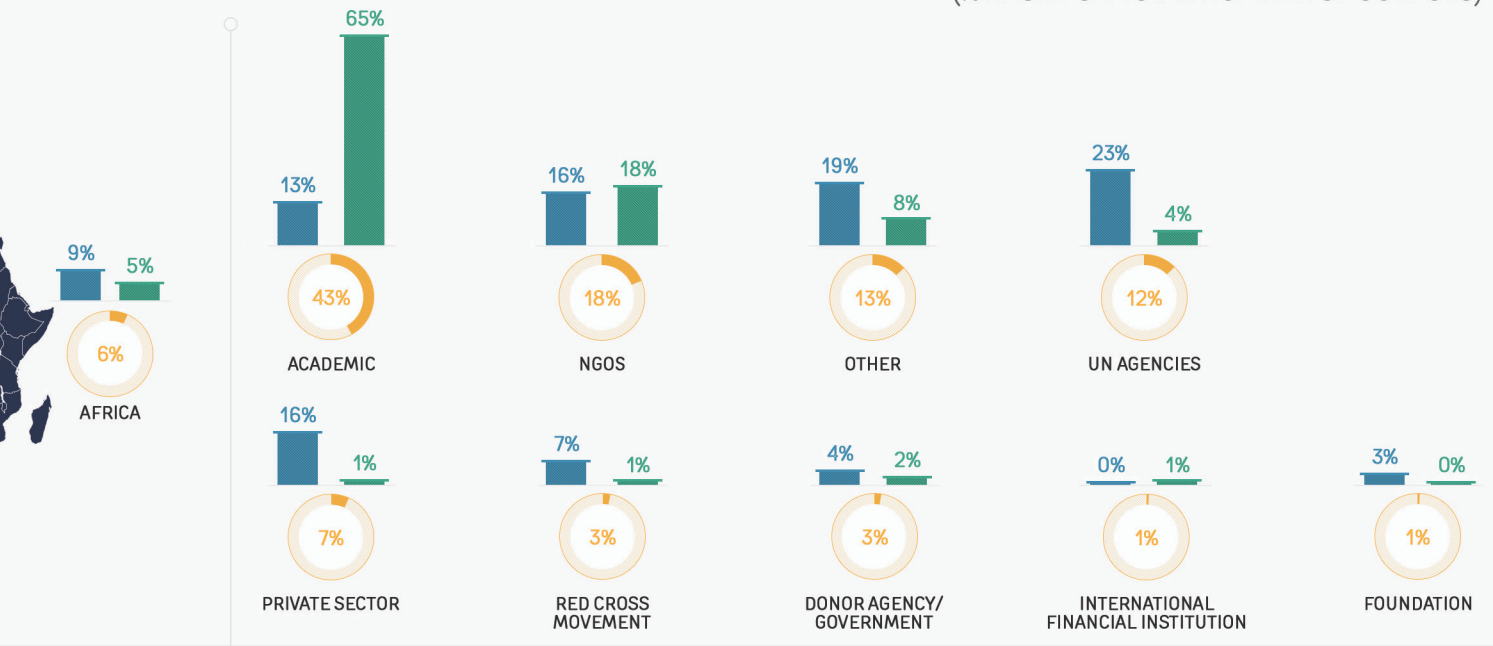
(% BASED ON TOTAL NUMBER OF OUTPUTS)



FOCUS WORLD MAP

Research

Overall

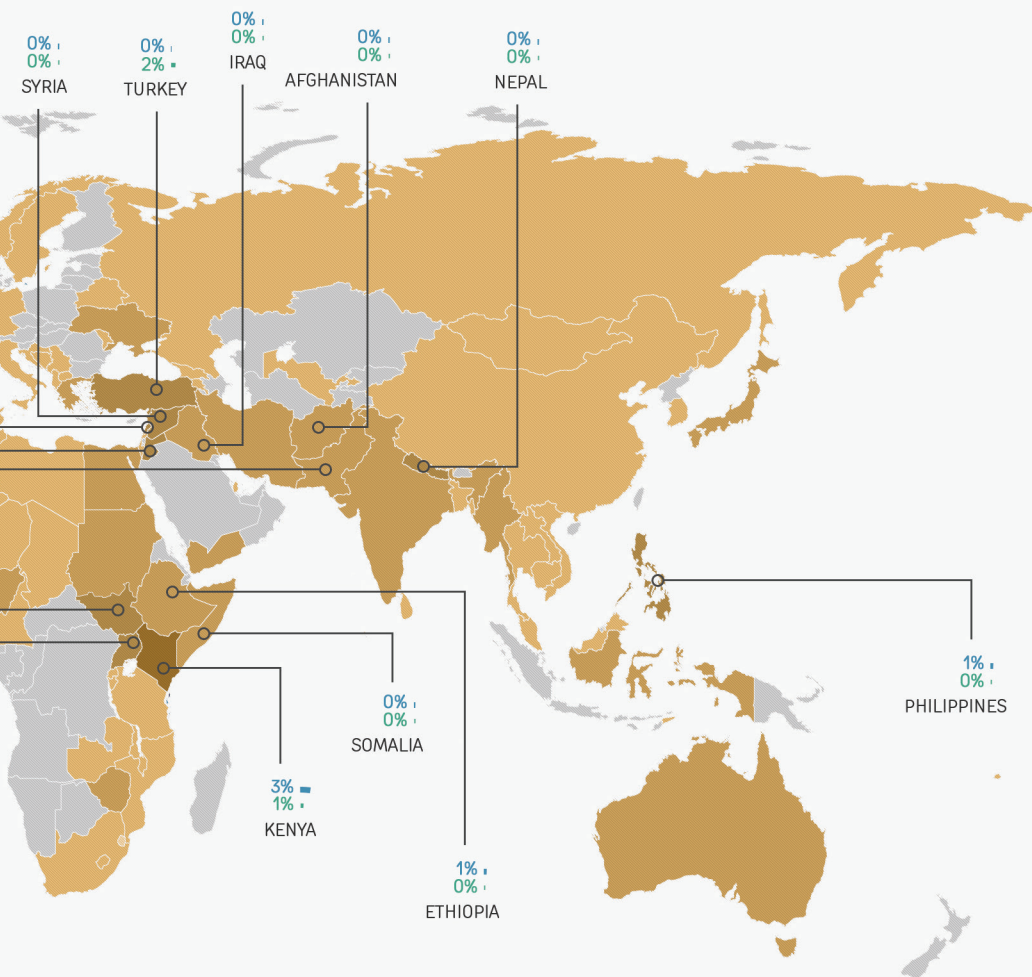


ACTOR TYPE

(% BASED ON TOTAL NUMBER OF OUTPUTS)

ACTOR HQ COUNTRY (RESEARCH/INNOVATION)

(NUMBER OF OUTPUTS)



3.3 RESEARCH AND INNOVATION COVERAGE: WHAT DO OUTPUTS FOCUS ON?

The presentation of the findings for the coverage of Research and Innovation outputs is divided into six parts: geographic coverage; context (urban or rural); humanitarian event type; phase of management; sectors and Clusters; and 32 topic areas. Systematically in each section, RLR and KII findings are intertwined. As noted previously, the findings reflect output coverage during 2016–2017, representing a snapshot of the current period rather than confirmed temporal trends, though future repetitions of the RLR could generate this.⁷⁷

The findings presented are based on frequency – how often a category appears or a topic is covered – among the 694 outputs catalogued to represent the current period. Details are provided ‘overall’ (the percentage of *total* outputs focusing on topic), as well as breakdowns in relation to Research and Innovation and by Actor (Academics & Practitioners).

3.3.1 Geographic Coverage of Outputs

Overall, 36% of the outputs focus on global systemic challenges (or did not specify a specific geography), with Practitioners more likely to focus on the global level than Academics. Of those outputs that specify a specific country focus, **Africa takes nearly a quarter of every category**, though Practitioners are more likely than Academics (29 to 21%) to focus on this region. While **Asia/Pacific and MENA are tied**

⁷⁷ It should be noted that for the publication/dissemination of Research and/or Innovation findings can take several years to prepare and, therefore, not necessarily represent current ‘events’ from the time of publication.

in **second place** overall, Research has a greater focus on MENA than Innovation (18 to 12%), while the reverse holds true for Innovation in Asia/Pacific (16 to 13%). The Americas take 10% in both Research and Innovation; however, Academics are more engaged in the Americas (13% compared to 7% for Practitioners). Lastly, Europe and Eurasia receive the lowest focus, with Research representing the greater share of both.

The InfoGraphic on pages 38–39 provides an overview of output coverage at the country level based on RLR frequency during the current period. Overall, at the country-level, **Kenya, Jordan, Syria, Haiti and Philippines are the most frequent focus of outputs**. There are some key distinctions, however, between Research and Innovation. Most notably, while **Kenya and Haiti are top focus countries for Innovation** (4% each), they are *not* among the top focus countries for **Research**, with 1% each. In contrast, within **Research, the strongest focus** (with 3% each) was on **Syria and Colombia**.

As seen by the country-level detail, while there was low coverage of the Americas as a region, three countries stand out: Colombia, Haiti and the USA, the only ‘northern’ country in the overall ‘top 10’. As noted above, while Colombia is strongest in Research, Haiti and the USA are weighted by Innovation (4% compared to 1% each for Research). As a ‘sense-check’ of the proportionally lower coverage of the Americas, key informant Actors reported that this seemed accurate, noting that while there was strong humanitarian coverage of countries such as Haiti or Colombia, the perception was the Americas are largely more development-oriented. One Academic interviewee noted, however, that they anticipated more Research

“...while Kenya and Haiti are top focus countries for Innovation (4% each), they are not among the top focus countries for Research with 1% each. In contrast, within Research, the strongest focus with 3% each was on Syria and Colombia.”

from the Americas moving forwards, reflecting increased attention to urban violence. At least two of the outputs for the Americas were specifically focused on this issue.

Regarding low MENA coverage, informants found this surprising, even when taking into account the current period focus. One potential explanation offered by an NGO suggested that the research process and findings are considered sensitive and may not be made public. Another NGO interviewee also considered that, for some organisations, despite operating for a few years in countries like Syria, there is only now starting to be some space to undertake research. It was also posited by a third interviewee that the expectation that MENA would receive more coverage in the current period is “because it has been such a big focus of debates”, but not necessarily the focus of Research and/or Innovation.⁷⁸

3.3.2 Context: Urban or Rural

Of those outputs focusing on one context, Innovation has a greater focus on Rural contexts and Research places a greater focus on Urban contexts. Academics (23% of their outputs) are also much more inclined to focus on urban contexts than Practitioners (9%).

⁷⁸ Interview with NGO, 26 May 2017; NGO, 15 May 2017; Other, 25 May 2017.

3.3.3 Humanitarian Event Type

More than half of the outputs do not focus on a specific humanitarian event: conflict, natural hazard, or human-induced (non-conflict), such as technological explosions, traffic accidents, urban fires, and economic shocks. Of outputs that *do* indicate an event focus, there is a very close split overall between natural hazard events (50%) and conflict (48%).⁷⁹ However, as detailed on page 42, this masks critical differences between Research and Innovation in which Research outputs largely favour conflict (43%) and Innovation outputs favour natural hazards (36%). For all categories, human-induced events (non-conflict) was least covered, with 1–2%. For Actors, Academics in particular do not focus on a specific event in contrast to Practitioners (10% difference), while Practitioners focus on both conflict and natural hazards more so than Academics (6% and 8% difference respectively).

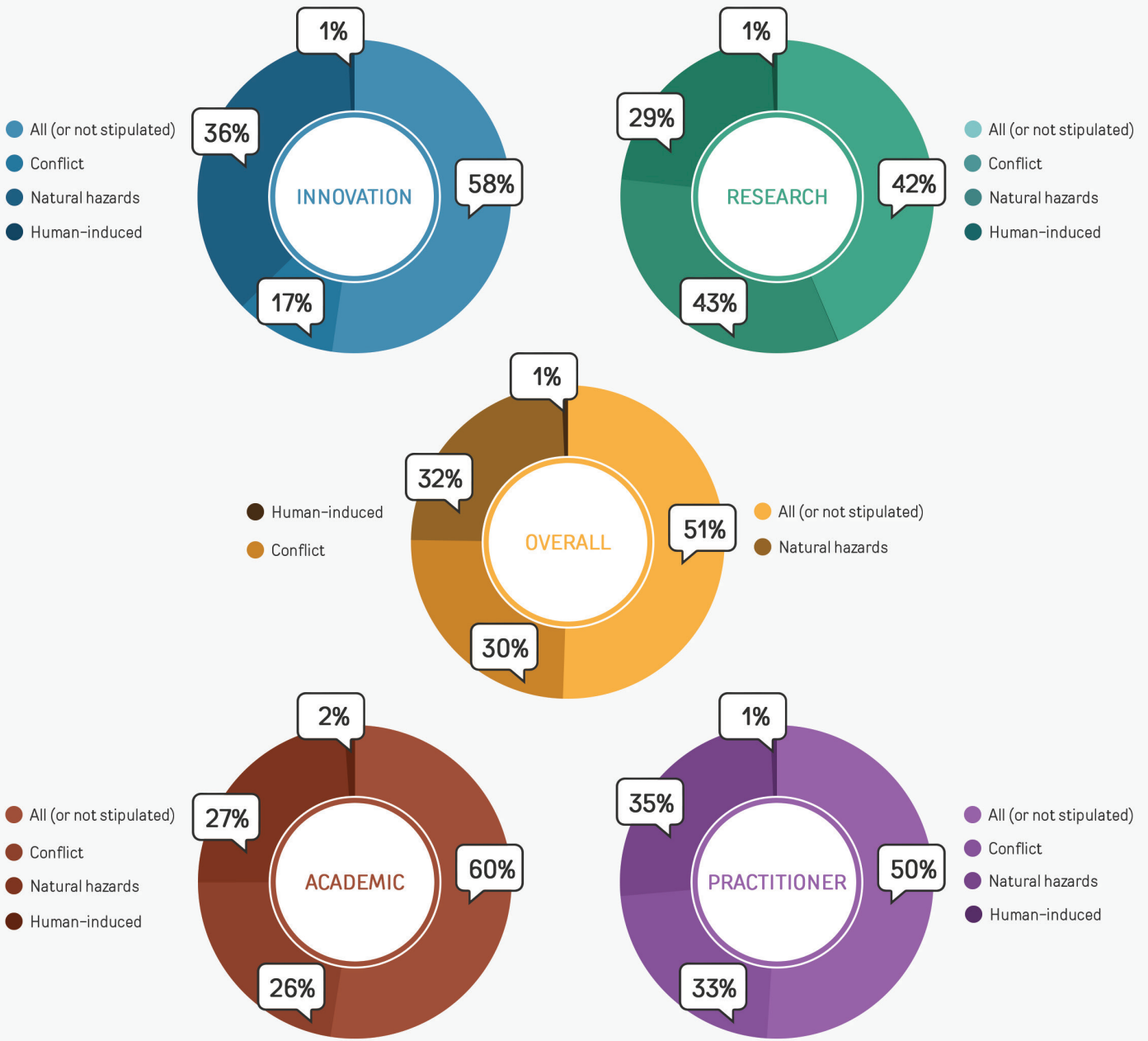
The RLR also compiled information on natural hazard by sub-type – geophysical, hydrological, climatological, meteorological, biological and environmental.⁸⁰ Within natural hazards these

⁷⁹ This is calculated with ‘all (or not stipulated)’ removed from the totals.

⁸⁰ **Geophysical** includes earthquake, mass movement (geo/dry), tsunamis and volcanic; **Hydrological** Includes floods, mass movement (wet), avalanches and wave action; **Climatological** includes drought, wildfires, Glacial Lake Outburst Flood (GLOF); **Meteorological** includes cyclones, tornados, storms and extreme temperatures; **Biological** includes disease epidemics and insect/animal plagues; and **Environmental** includes sea level rise (SLR), deforestation, desertification, salinisation, and similar hazards.

HUMANITARIAN EVENTS

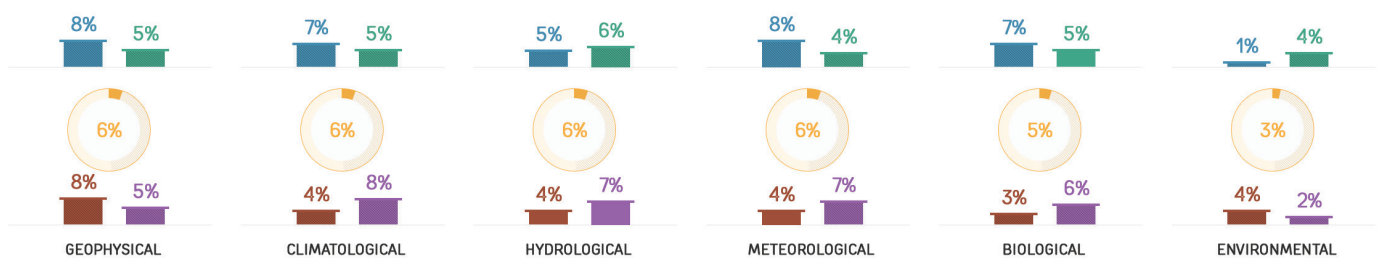
OUTPUTS



ACTORS

NATURAL HAZARDS

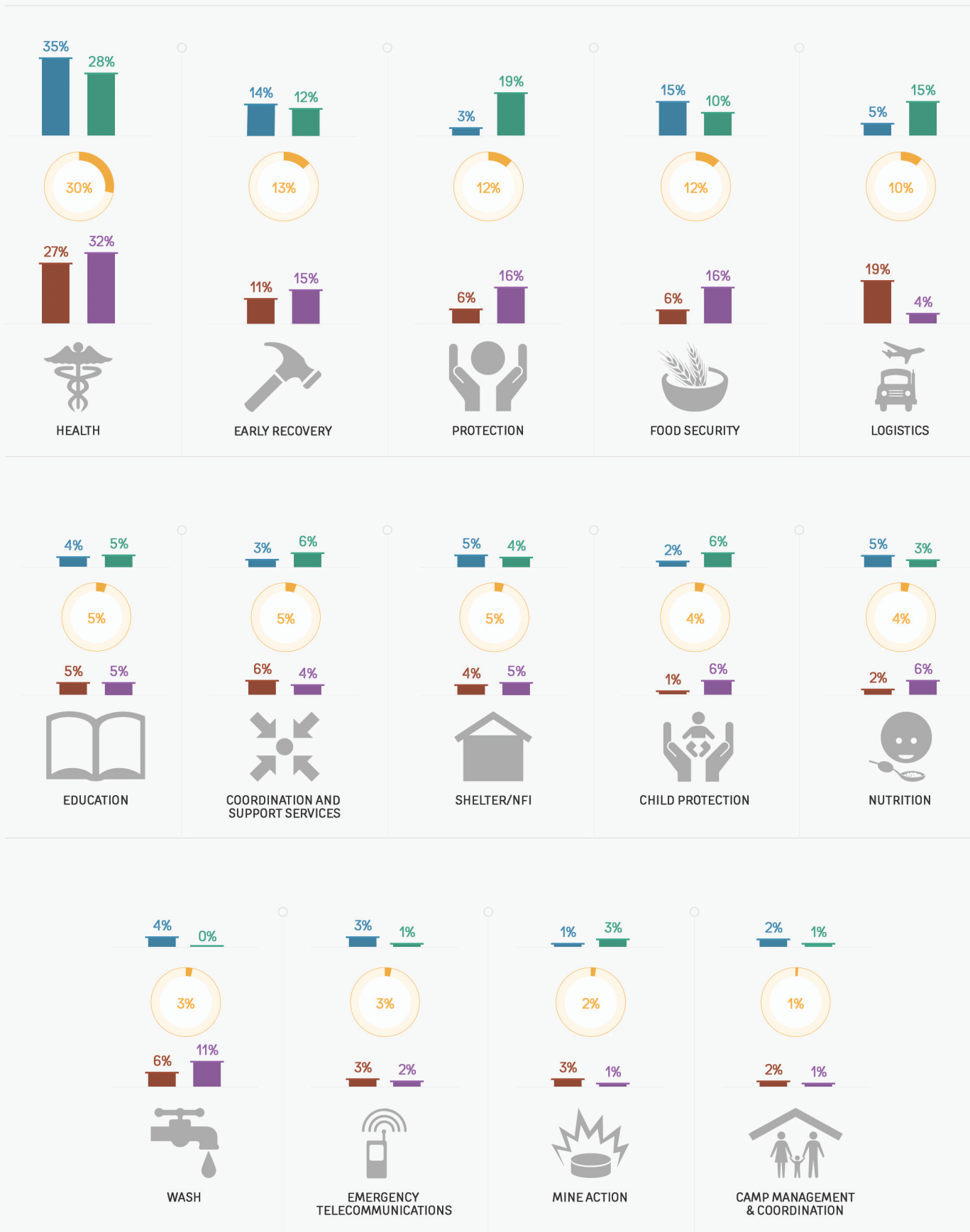
● Innovation ● Research ● Overall ● Academic ● Practitioner



Note: As outputs may focus on more than one humanitarian event total may exceed 100%

OUTPUT AND ACTOR BY SECTOR/CLUSTER

● Innovation ● Research ● Overall ● Academic ● Practitioner



Note: Total exceeds 100% as some outputs focus on multiple sectors/clusters

event types are very close in terms of focus frequency, both in relation to each other and between Research and Innovation. The most notable differences between the outputs can be found with meteorological hazards, where Innovation has double the focus of Research (8 to 4%), or climatological hazards on which Practitioners are twice as likely to focus as Academics. The objective systematic search through which the majority of outputs were identified used the keyword ‘humanitarian’ and not ‘disaster’, thereby potentially excluding outputs that relate to natural hazards described as ‘disaster’. This was a deliberate attempt to focus on humanitarian action, as opposed to scientific studies that focus on the behaviour of natural phenomena (with no intended link to protecting human life).

3.3.4 Phase of Management

In considering whether outputs focus on a specific Integrated Disaster Risk Management (IDRM) phase – Prevention, Preparedness, Response, Recovery – by far the most common, for both Research and Innovation, is Response (68% and 69%, respectively). Practitioner focus on Response is slightly more common than Academic focus (71% versus 63%, respectively).

While Recovery is the second most popular for Research outputs, Preparedness comes in second for Innovation outputs, followed by Recovery. However, while Academics lead outputs focusing on Recovery (24 to 14%), Academics and Practitioners have almost the same degree of engagement with Preparedness (8% and 9%, respectively). Prevention receives the least attention for all outputs, excepting Combination outputs (Research AND Innovation, 16%).

3.3.5 Sector/Cluster

The RLR also explored output focus in relation to the 11 UN clusters – Camp Management & Coordination, Early Recovery, Education, Emergency Telecommunications, Food Security, Health, Logistics, Nutrition, Protection, Shelter/

NFIs and WASH – expanded to include Child Protection, Mine Action and Coordination & Support Services as stand-alone sectors for greater disaggregation.⁸¹

Of the total outputs that specified at least one sector or cluster, Health leads in all outputs and actor sets. Given high coverage across the board, this finding was included among those for a ‘sense-check’ during interviews, but no key informants were surprised. They highlighted Health as leading in innovation, in part because innovations from outside the humanitarian field were considered more easily transferrable. Informants also reflected on ‘the large private sector engagement in the innovation space around health’, including the financial engagement from the private sector.⁸² At the same time, it was suggested that prominence in Research is understandable given that the health sector is ‘focused on proper research and methodology’.⁸³ Furthermore, ‘a lot has been done around health because it’s easier to measure, it’s very tangible...[more easily] quantifiable’,⁸⁴ a sentiment echoed by other interviews. The same informant also noted that issues such as GBV and mental health, for example, are perceived as harder to measure, inferring that was one reason they might get less attention.

Setting aside Health, there are notable sector/cluster differences. Coverage by category and actor is detailed graphically on page 43 for all sectors/clusters. To highlight some of the notable differences, *Table 5* portrays the ‘top 3’ based on RLR frequency. After Health, Research focuses on Protection and Logistics, in contrast to Innovation’s attention on Food Security and Early Recovery.

⁸¹ The definitions used for the sectors/clusters were adapted from the Global Clusters website (<https://www.humanitarianresponse.info/en/coordination/clusters/global>) and Cluster lead discussion sites where additional information was needed. The exception is Coordination & Support Services, which is a sector that does not double as a cluster/sub-cluster and was adapted from humanitarianresponse.info discussions. Full descriptions of each sector/Cluster can be found in Annex 2.

⁸² Interview with UN, 16 May 2017.

⁸³ Interview with NGO, 26 May 2017.

⁸⁴ Interview with NGO, 19 May 2017.

TABLE 5

Top 3 Sector/Cluster by Category & Actor Set based on RLR Frequency

	Research		Innovation		Overall		Academic		Practitioner	
	Topic	%	Topic	%	Topic	%	Topic	%	Topic	%
1	Health	28%	Health	35%	Health	30%	Health	27%	Health	32%
2	Protection	19%	Food Security	15%	Early Recovery	13%	Logistics	19%	Food Security / Protection	16% each
3	Logistics	15%	Early Recovery	14%	Protection / Food Security	12% each	Early Recovery	11%	Early Recovery	15%

While not appearing among Research's 'top 3' (reflecting the overall focus), Early Recovery follows Logistics in fourth place; the difference between Innovation and Research is greater, however, with Food Security (15 to 10%). The contrast becomes even stronger when looking at Research priorities in relation to where they stand in Innovation: Protection, a main focus for Research, is at 11th place for Innovation with 3% while Logistics has 5% coverage (6th place).

These same topics are divided between Academics and Practitioners but with a different pattern. While Academics and Practitioners also focus above all on Health, Academics follow with Logistics and Early Recovery; they are much more inclined to focus on Logistics than Practitioners (19% to 4%). Practitioners, by contrast, follow with Protection and Food Security.

3.3.6 Research & Innovation Topic Areas

As part of the mapping process, outputs were reviewed for their focus on a series of topic areas. As mentioned in the methodology, topic areas to include were identified based on review of existing topics and themes used by donors, academics and practitioners and refined during the RLR process. For each RLR output, an explicit focus used the keyword in question (e.g. livelihoods); an implicit focus was attributed if, instead, associated key words were used (e.g. 'employment', 'jobs', 'assets', 'income' for livelihoods). Where relevant, this explicit versus implicit coverage is highlighted.

The presentation of topic area findings has been organised based on overall RLR coverage; highest to lowest focus on a given topic by outputs or Actors based on RLR frequency:

- **High coverage:** >30% of the outputs or Actor sets focus on the topic overall
- **Mid-coverage:** 20–29% of the outputs or Actor sets focus on the topic overall
- **Lower-mid coverage:** 10–19% of the outputs or Actor sets focus on the topic overall
- **Low coverage:** <10% of the outputs or Actor sets focus on the topic overall

As noted earlier, 'overall' refers to the percentage of total outputs focusing on topic (not specific to Research or Innovation or Actor set). Breakdowns by output and Actor set are provided in the discussion of each topic.

The InfoGraphic on pages 50–51 provides an overview of the overall coverage of each topic. Key differences between Research and Innovation outputs are highlighted, as well as actor set (Academic vs. Practitioner). While an output can and typically does focus on multiple topic areas, coverage of each topic area is discussed individually.

3.3.6.1 High Coverage: >30% Overall

Six high coverage topic areas based on their overall frequency (Research *and* Innovation) were identified: telecommunications and technology (tech), partnerships, information management, 'policy', 'evidence' and displacement. Within these most covered topics, tech, partnerships and information management have significantly higher coverage in Innovation

“...tech, partnerships and information management have significantly higher coverage in Innovation while ‘policy’, ‘evidence’ and displacement are weighted more heavily by Research.”

while ‘policy’, ‘evidence’ and displacement are weighted more heavily by Research. Though Practitioners dominate over Academics in all of these topics, the most significant difference between the two Actor sets is largest for tech and partnerships.

Technology and telecommunications (tech) comes in at the top of all topic areas with 38%, though this is concentrated in Innovation (72%) with only 11% of Research looking at ‘technology’ as a focus. Practitioners focus on tech nearly twice as often (49%) as Academics (23%). Of the systematically-captured tech sub-categories, all had low coverage: unmanned aerial vehicle (UAV)/drone (3%); geographic information system (GIS) (7%); and remote sensing (4%).⁸⁵

Following closely behind tech, more than one-third of the outputs focus on partnerships (36% with only 28% explicitly). Innovation outputs are close to two times more likely to focus on partnerships than Research (45 to 26%), with a marked difference between Practitioners and Academics (42% to 28%). This balance was similarly reflected with information management. Though 35% overall focus was on information management (the majority explicit), Innovation outputs were at least two times more

likely to have this focus than Research (49% to 22%), however here the difference between actors was less noticeable (32% Academics to 37% Practitioners).

With policy the emphasis shifts from Innovation to Research. Within this mapping, ‘policy’ as a topic is used generically and can refer to policy targeting governments, system-wide policies and/or other inter-agency or single agency organisational policies (e.g. data protection). While 35% of outputs are policy as a main focus (22% explicitly), Research dominates (44% of which 11% are implicit) in contrast to 18% for Innovation (only 7% explicitly). There was, however, no marked difference between Practitioners and Academics. This contrast is strikingly similar in relation to ‘evidence’ (Research at 44% compared to 18% for Innovation). The difference between ‘policy’ and ‘evidence’ is found in relation to the Actors producing the outputs, with Practitioners more focused on ‘evidence’ than Academics (21% to 14%). As a topic area ‘evidence’ refers to discussions or consideration of ‘evidence-based research’ and ‘improving’ both the quality of evidence in humanitarian research and how evidence is used in humanitarian decision-making.

A high degree (32%) of outputs also focus on displacement, especially in Research (39% compared to 22% for Innovation) and among Practitioners (36% compared to 27% for Academics). Within these outputs, the main focus was on refugees (43%), with an especially high showing for Innovation (58% compared to 40% for Research); internally displaced persons (IDPs) as a stand-alone group were lowest across all categories. This finding recalls the earlier discussion of strategic priorities among Funders, in which displacement and refugees featured strongly but with no mention of IDPs. With respect to displacement type, the preference across categories was for ‘all types of settings’ (61% overall); camp settings and non-camp settings tied at 18% overall. Research based outputs (and Academics), however, show a preference for non-camp settings, while Innovation outputs prefer camp settings (30%). See Table 6. Displacement settings of ongoing

⁸⁵ The RLR also allowed ‘other’ free text entries if the typologies provided did not sufficiently capture the output. Here ICT was entered for 19% of tech outputs. Other tech-related free text entries unrelated to ICT, include ‘solar’ and ‘3D printing’; references to 3D printing were also linked to outputs on hyper-local manufacturing.

TABLE 6

Displacement by Group & Setting based on RLR Frequency

	Research	Innovation	Overall	Academic	Practitioner
<i>Displacement Group</i>					
Refugees	40%	58%	43%	42%	42%
Both	34%	33%	37%	39%	35%
IDPs	29%	11%	22%	19%	23%
<i>Displacement Setting</i>					
All settings	64%	58%	61%	53%	65%
Camp settings	12%	30%	18%	19%	18%
Non-Camp settings	22%	11%	18%	25%	14%
Settings of ongoing movement	2%	4%	3%	3%	3%

movement are of low interest for all categories, with an average of 3%.

3.3.6.2 Mid-Coverage: 20 – 29% Overall

Six additional topics were identified with mid-coverage: access, livelihoods, private sector engagement, coordination, gender and capacity development. As with the previous section, the overall degree of coverage masks considerable differences between Research and Innovation and between Academics and Practitioners. While access and gender have a greater focus in Research outputs and among Practitioners, coordination is a greater focus for Research outputs but more prominently among Academics. Private sector engagement and capacity development substantially favour Innovation outputs. Livelihoods, by comparison, is relatively balanced between outputs but more likely for Practitioners than Academics.

Overall, 25% of all outputs focus on access (18% explicitly), defined to incorporate both the ability of Actors to access affected communities and the ability of affected communities to

access the services they need.⁸⁷ This is largely dominated by Research (30%), with Innovation accounting for 13% of all Access outputs (explicit and implicit). Practitioners are twice as likely to focus on access than Academic actors (31% to 16%). Livelihoods has a similar overall coverage with 24% (18% explicit), but here there is only a slight difference between Research (26%) and Innovation (22%); Practitioners are more likely to make livelihoods a focus than Academics (22% to 13%).

One of the most striking differences within this range of outputs is for private sector engagement.⁸⁸ Despite a 23% overall coverage, this topic is heavily concentrated in Innovation outputs at 36%, in contrast to 12% for Research. In parallel, nearly twice as many Practitioners focus on this than Academics. As per the discussion on the funding landscape (see Section 3.1), private sector engagement was also a strong area of interest for Funders in the Innovation space.

⁸⁷ The keyword for explicit coverage was 'access'; while there has been movement in access-oriented outputs and debates towards a broad definition of access (such as the one used in this mapping), taking into account the emphasis on 'operational access' as access in humanitarian vernacular, the Research Team acknowledges the potential coverage bias towards operational access.

⁸⁶ Frequencies within the dataset that identified Displacement as an output focus.

⁸⁸ Data on international vs. local private sector actors as a component of 'private sector engagement' were not collected during the RLR.

“While access and gender have a greater focus in Research outputs and among Practitioners, coordination is a greater focus for Research outputs but more prominently among Academics. Private sector engagement and capacity development substantially favour Innovation outputs. Livelihoods, by comparison, is relatively balanced between outputs but more likely for Practitioners than Academics.”

.....

The reverse pattern is found with **coordination**. A focus for 23% of outputs overall, this is dominated by Research at 28%, compared to 15% for Innovation. Academics, however, are only slightly more likely than Practitioners to have a focus on coordination (27% to 20%). **Gender** (21% overall) is also largely concentrated in Research (29% compared to 10% for Innovation). Practitioners make gender a focus more often than Academics (27% to 13%).

The last topic within this group is **capacity development** (23% coverage overall), in which the emphasis is on Innovation with a 28% focus,

compared to 18% for Research. Practitioners make capacity development an explicit focus at least three times more frequently than Academics (21% to 7%). This concept is defined broadly in this mapping as capacity development of practitioners (international or local), governments, and/or other activities related to ‘training’.⁸⁹

3.3.6.3 Lower-mid Coverage: 10 – 19% Overall

.....

The lower-mid coverage captures a diverse range of nine different topics in decreasing order: resilience, localisation, accountability, ‘humanitarian-development nexus’, children, modality (cash/vouchers, in-kind), humanitarian financing, gender based violence (GBV) and humanitarian principles. Resilience, localisation and modality are more concentrated in Innovation outputs and more often with Practitioners than Academics. By contrast, accountability, children, humanitarian financing and GBV are all covered more within Research outputs and by Practitioners. While Research outputs also focus more than Innovation outputs on humanitarian principles, Academics focus on this topic more frequently than Practitioners. Finally, a focus on the ‘humanitarian development nexus’ is similar between outputs, with Practitioners covering this to a greater extent than Academics.

Resilience leads this range overall with a focus of 19% of all outputs (12% explicitly), covered more often by Innovation outputs (21%) than Research (15%) and more common among Practitioners than Academics (14% to 8%). **Localisation** is a focus of Innovation outputs: 24% compared to 11% for Research, and the Practitioner community is nearly twice as likely as Academics to focus on localisation (23% to 12%).

For **accountability**, the RLR captured three sub-types: accountability generally, accountability to affected populations and accountability to donors. Overall, 18% of outputs focus on

89 Key words for identifying focus included ‘capacity’ and ‘training’.

some form of accountability, with the **greater coverage in Research overall and by sub-type**. Practitioners make this a focus more frequently than Academics (19% compared to 15% overall), with the greatest difference in ‘general accountability’ (12% to 8%).

Providing an alternative view on ‘accountability to affected populations’, the RLR also looked at whether an output ‘consulted’ the affected population during the development of the output. Of those outputs with data on this issue, 57% of outputs **consulted affected populations**. Within this, Research took the lead with 51%, compared to 33% for Innovation; Practitioners consult affected populations more frequently than Academics (55% to 38%). In this mapping, ‘consultation’ could include anything from a classic survey to engaging communities in the design of an innovation; a ‘yes’ response was any reference to consultation, engagement or other interaction with the affected communities (including household surveys) to inform the output. However, the RLR did not evaluate the quality, intent or identify the exact form of this ‘consultation’; see also Section 4.3 for discussion on the characteristics of Research methodology where proxy indicators raise questions about the potential quality of this consultation.

Based only on the 100 outputs that visibly focused on one or multiple ‘communities’, no more than 44 of them named the community, camp or neighbourhood unit. Many others provided a town or district name. While naming may be equated with giving voice and credit to at-risk and affected populations, it is also important to consider whether naming would betray their trust, or publically implicate them, thereby potentially causing harm (depending on the theme of the document/output). The mapping did not, however, include a typology for Human Subjects/Internal Review Board accreditation.

In examining coverage of the ‘**humanitarian-development nexus**’, the RLR took a broad interpretation of this concept, covering a wide range of terms and issues including: linking relief and development; linking relief, rehabilitation and development (LRRD); the ‘connection’,

‘coordination’ or ‘synergies’ between relief and development; the Grand Bargain, which also discusses synergies and coordination. The ‘nexus’ could also refer to outputs that target both relief and development, thereby implicitly addressing synergies and connections. With this lens, **overall 18% of the RLR portfolio focuses on the ‘humanitarian-development nexus’, however few are explicit (5%)**. While there is no significant difference between Research and Innovation, Practitioners seem to make it an implicit focus more often than Academics (16% to 9%).

Among the ‘special groups’ that the RLR examined, **children had the most coverage at 17% overall, with more than twice as much coverage in Research than Innovation (23% to 11%)** and more frequently by the Practitioner community (19% to 10%).⁹⁰

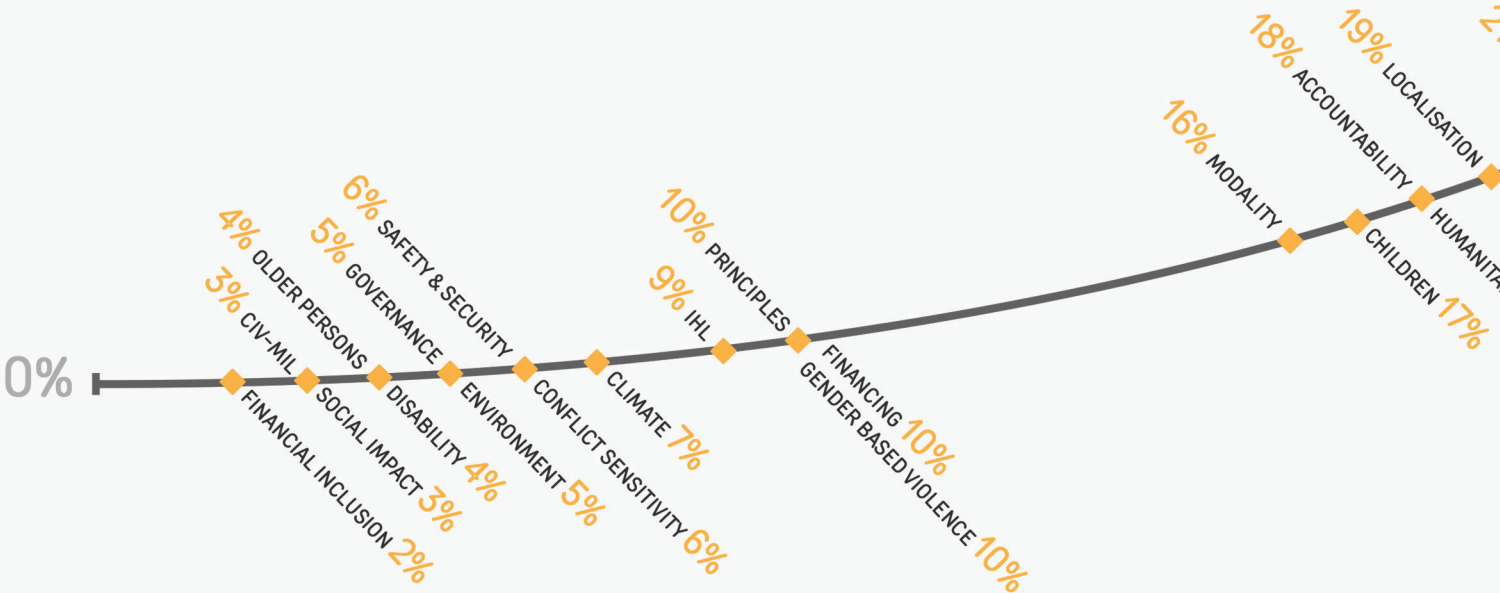
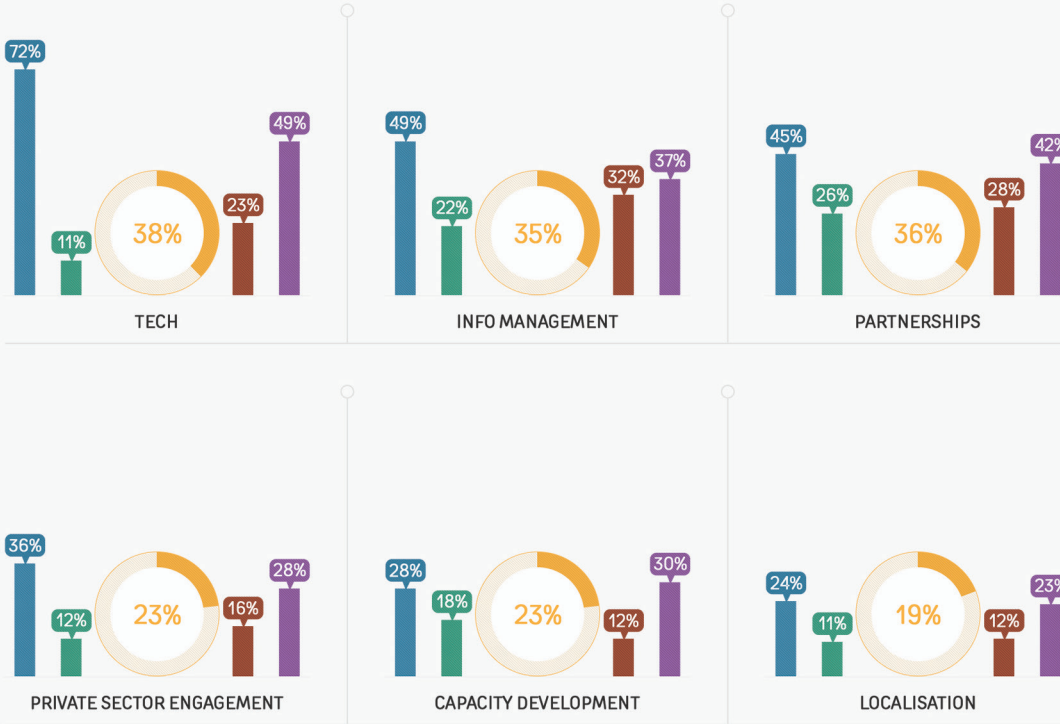
Turning to aid modality, the RLR considered if an output focused on cash-and-vouchers, in-kind or ‘both’. **Of those outputs focusing on a modality (16% overall), the greater proportion comes from Innovation**. Of those outputs focusing on a modality, while cash-and-vouchers lead in both outputs, Research has a stronger emphasis on ‘both’ (54% to 17%), while Innovation was more focused on in-kind (44% to 13%). Cash transfers are slightly more frequent in Innovation than Research outputs (40% to 33%) and Practitioners and Academics share the focus evenly.⁹¹

Moving towards the lower coverage areas, **humanitarian financing is a focus for 10% of outputs, most often in Research (10% to 6%)**; Practitioners and Academics have roundly the same level of focus (10% compared to 8%). At 10% of outputs overall is **GBV, though with a much more significant majority (80%) coming from Research, most of which is produced by Practitioners (13% to 4%)**. Finally, at 10%

⁹⁰ Regarding children and education, 75% of Education-sector focused outputs on children; from the alternative perspective, however, less than one-quarter of children-focused outputs also focus on Education.

⁹¹ The 16% coverage the mapping identified represents 113 outputs, of which 84 focus on cash-and-vouchers or ‘both’. It should also be noted again here, the mapping did not consider the perceived impact of individual outputs on policy or practice.

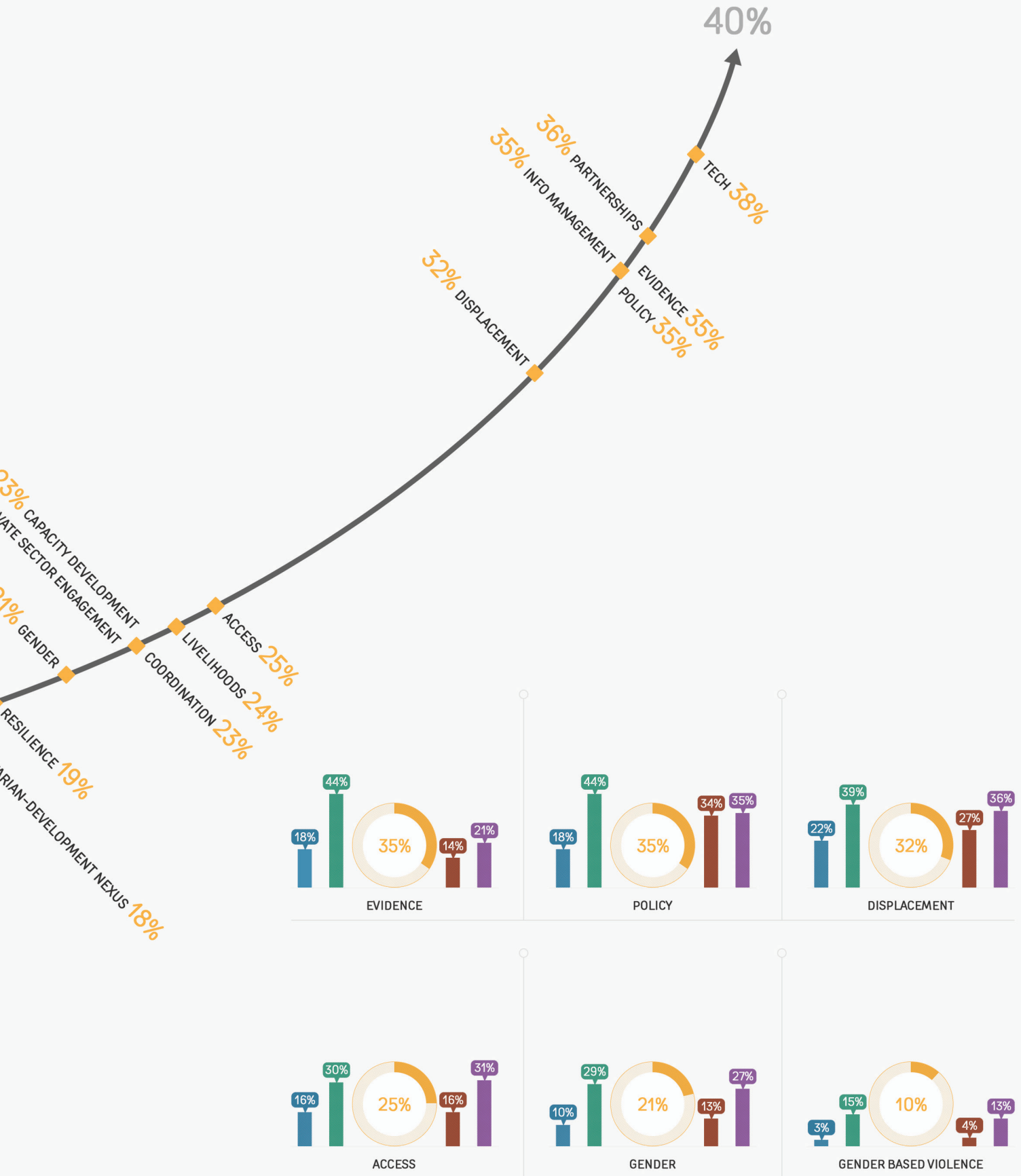
● Innovation ● Research ● Overlap



COVERAGE

(NUMBER OF OUTPUTS)

Overall Academic Practitioner



coverage and heavily weighted by Research outputs (14% to 4%), are **humanitarian principles**; however, here a greater engagement comes from the Academic community (14% to 6% for Practitioners).

3.3.6.4 Low Coverage: <10% Overall

Eleven topic areas find themselves in the lowest coverage group. **International humanitarian law (IHL), climate and environment, safety and security of humanitarian staff and assets, conflict sensitivity, disability, older persons, governance and civil–military relations** were all stronger in Research than Innovation and, for the most part, coming more from the Practitioner community, as compared to Academics. Two additional topics with the lowest coverage – **financial inclusion and social impact** – show no notable differences between outputs (Research and Innovation) or actors (Academics and Practitioners).

Nine per cent of outputs focused on IHL, nearly exclusively in Research (92%), a third of which also had a human rights focus; IHL was also more common among Practitioners than Academics (11% to 7%).

Turning to **climate and the environment**, these topics have an overall focus of 7% and 5% respectively, with **little difference between Research and Innovation**. Practitioners and Academics covered both climate and environment at the same level. Taking into account the wider debates currently happening in relation to climate and environment, these findings were included in the ‘sense-check’ with informants, who had a mixed response. Informants that were surprised by this low coverage cited the global attention to Disaster Risk Reduction (DRR) and climate change adaptation but also noted that the topic was more “popular” before the 2016–2017 focus of this RLR. For example, one UN interviewee noted that a lot of research had contributed to the Nansen Initiative and Platform on Disaster Displacement,⁹² however the regional

consultations for Nansen took place between 2013–2015. For those who saw the findings as “seems about right”, there were two observations: these topics may reside more in the realm of development over humanitarian action (the RLR rules-based search did not use ‘disaster’ as a keyword) and potential masking by the context in which it occurs. One NGO informant reflected that climate-induced displacement happening in conflict areas may be approached more from the conflict perspective and “not under climate, because we aren’t looking the underlying cause”.⁹³

With respect to **safety and security of humanitarian staff and assets**, there was an overall focus of 6% with 9% Research compared to 2% of Innovation outputs focused on this and a fairly even distribution between Practitioners and Academics. System-level **governance and leadership** had a similar degree of coverage, with 5% overall **weighted by Research** (6% compared to 2% for Innovation) though with more outputs coming from Academics than from Practitioners.

Conflict sensitivity, taking into consideration the positive and negative impacts of interventions and the impact of contexts on intervention and, by extension, *Do No Harm*, is a focus for 4% of outputs and **four times more common for Research** than Innovation. While more Practitioner community outputs contribute to this topic, the difference is only slight (7% compared to 5%, though a greater proportion are explicit for Academics).

For the remaining special groups – **older persons and disability** – 4% of outputs focus on each respectively, with **Research dominating** both. Practitioners also appear more attracted to these two foci than Academics (with Practitioners’ coverage of these topics at 4% and 6% respectively, while Academic coverage is 1% for both). The Research Team was unsuccessful in obtaining an interview with the main age and disability actors, however studies from 2010 and 2013 have indicated both low coverage and funding for older person focused

⁹² Interview with UN, 16 May 2017.

⁹³ Interview with NGO, 26 May 2017.

research.⁹⁴ Of those outputs identified in the RLR with an older person or disability focus, however, the majority are Research outputs. This does not necessarily suggest, however, that innovation has and/or will continue to be a smaller proportion of Research and Innovation outputs. For example, since the data collection was concluded, at least two disability-oriented innovations were announced: ICRC's humanitarian impact bond⁹⁵ will be launched with a focus on physical rehabilitation centres while Handicap International has started a pilot using 3D printing technology to prosthetic limbs.⁹⁶ It is beyond the scope of this mapping, however, to determine if this is indicative of any new trends.

Finally, the last three topics – civil-military relations, social impact and financial inclusion – each represent between 2–3% of output focus overall. For civ-mil, more than half are in Research, with an even split between Practitioners and Academics. With respect to social impact⁹⁷, there was no difference between outputs or actors. Lastly, financial inclusion, the topic with the lowest coverage, was intended to capture outputs focusing on the ability of individuals and businesses to have useful and affordable access to financial products and services that meet their needs – transactions, payments, savings, credit and insurance – delivered in a responsible and sustainable way. Financial inclusion displayed no significant differences between outputs or actor sets.

94 See HelpAge International, *A study of humanitarian financing for older people*, London, 2010; A. Delgado, M. Skinner and P. Calvi, *Disasters and diversity: a study of humanitarian financing for older people and children under five*, HelpAge International: London, 2013.

95 The Humanitarian Impact Bond is captured in the RLR as an innovation process but not with a specific group focus.

96 P. Maurer, *It's not just NGOs tackling humanitarian crises. Banks have a role too*, World Economic Forum on the Middle East and North Africa, 19 May, 2017, www.weforum.org/agenda/2017/05/humanitarian-impact-bonds-icrc-red-cross/; Handicap International, *Making limbs using 3D printing technology*, 9 May, 2017.

97 For reference, this mapping captured social impact as the distributional impacts on welfare, or well-being, including both income and non-income aspects, but also specifically included social impact investing (the use of private investment capital to finance activities that generate a social benefit as well as a financial return) and social impact bonds.

3.4 RESEARCH SPECIFIC FINDINGS

As part of the RLR, there was also a specific consideration of characteristics of research-related outputs (Research and Combination) centred on the purpose of the research and methodologies used. Data on what percentage of outputs are peer reviewed was also captured.

The RLR considered whether research-oriented outputs fell into one of two types of research purpose: ‘applied’ – research to answer a question or solve a specific problem requiring a scientific approach and a laboratory or field test – or ‘basic’, collectively described as research that fills a gap in knowledge or is carried for the purpose of better understanding (including but not exclusive to desk studies). Overall, the majority (58%) of Research during the current period is ‘basic/pure’. While applied Research does account for a significant proportion overall (40%), the vast majority of these (85%) are Academic, while the greater proportion of Practitioners focused on ‘basic/pure’ Research (79%).

With respect to methodologies, the RLR considered if the output focused on qualitative, quantitative or mixed methods and types of methods therein. The majority of research-oriented outputs used qualitative methods (67%), with 22% for mixed and 11% for quantitative. While quantitative is low overall, Practitioners were even less inclined to use quantitative methods (6% compared to 15% for Academics).

Within qualitative methods, case studies⁹⁸ were the favoured approach (47%) and were especially popular for combined outputs (73%). The second most frequent option was ‘not indicated/no explicit mention’, indicating that there was insufficient (or no) discussion of how the findings were determined. The remaining 25% was distributed across other forms of qualitative methods (ethnography, discourse, historical, narrative, grounded theory and phenomenology),⁹⁹ with ethnography leading this minority group. Regarding actor set, Practitioners tend to use a case study approach (48%) and did not describe their methods for

“While quantitative is low overall, Practitioners were even less inclined to use quantitative methods”

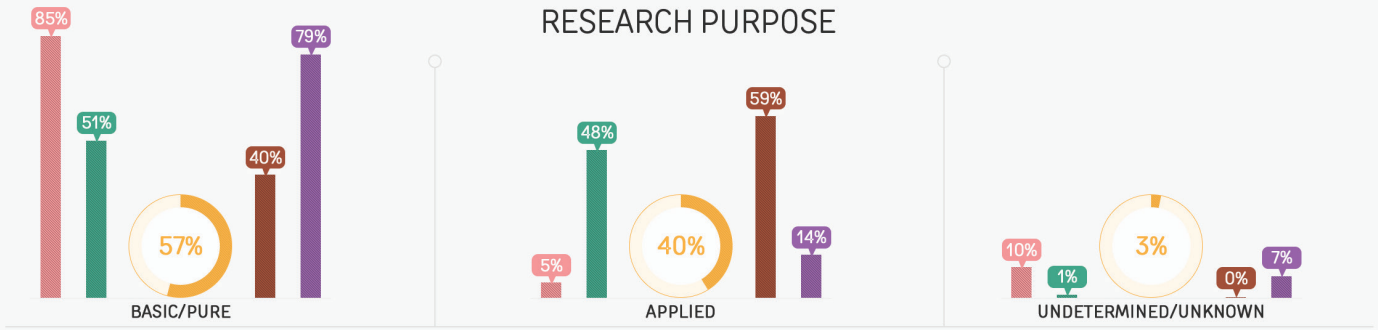
98 An in-depth investigation of a single individual, group, context, or event; case studies can be explanatory, exploratory, or describing an event.

99 Ethnography describes a culture’s characteristics, in which culture can be that of people or organisations; discourse analysis covers a number of approaches to study the world, society, events and psyche as they are produced in the use of language, discourse, writing, talk, conversation or communicative events; historical describes and examines events of the past to understand the present and anticipate potential future effects; narrative uses stories of life experiences with the aim of the analysis is to gain insights into a person’s understanding of the meaning of events in their lives; grounded theory is an inductive form of qualitative research in which the theory is developed from the data, rather than the other way around in which data collection and analysis are consciously combined, and initial data analysis is used to shape continuing data collection; and phenomenology in which the focus is on the lived experience of individuals or lived experience of a phenomenon. Interpretative phenomenological analysis (IPA) would be included here for typology purposes; IPA aims to offer insights into how a given person, in a given context, makes sense of a given phenomenon.

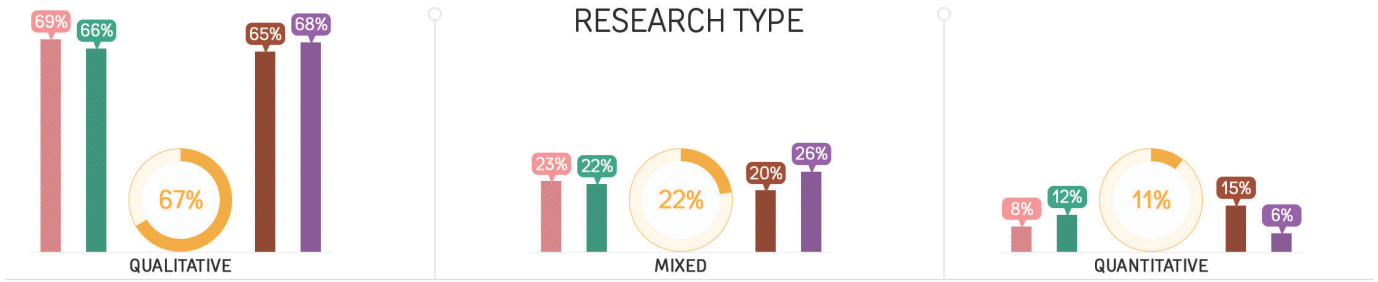
RESEARCH-SPECIFIC FINDINGS

● Combination ● Research ● Overall ● Academic ● Practitioner

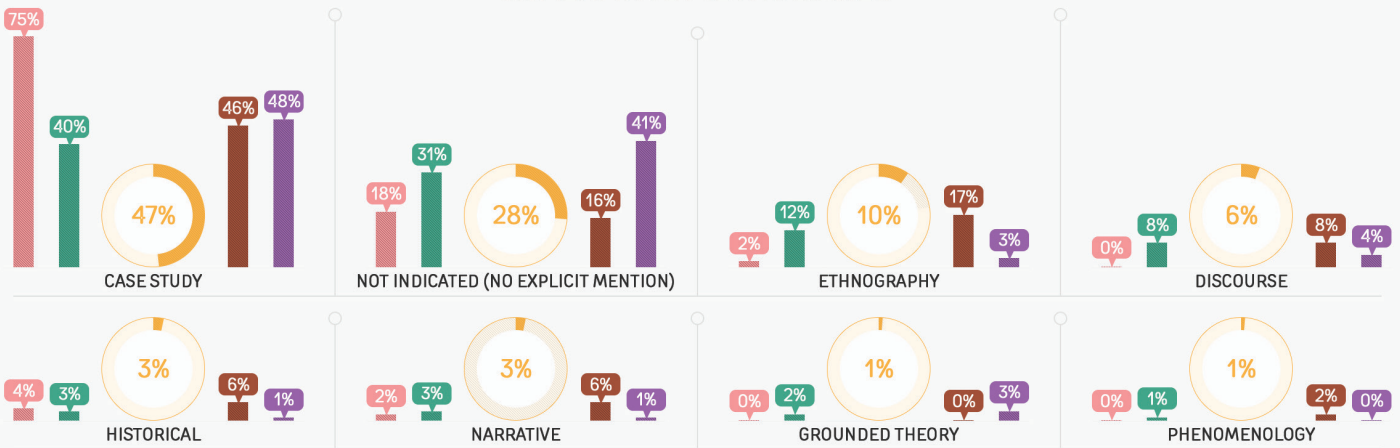
RESEARCH PURPOSE



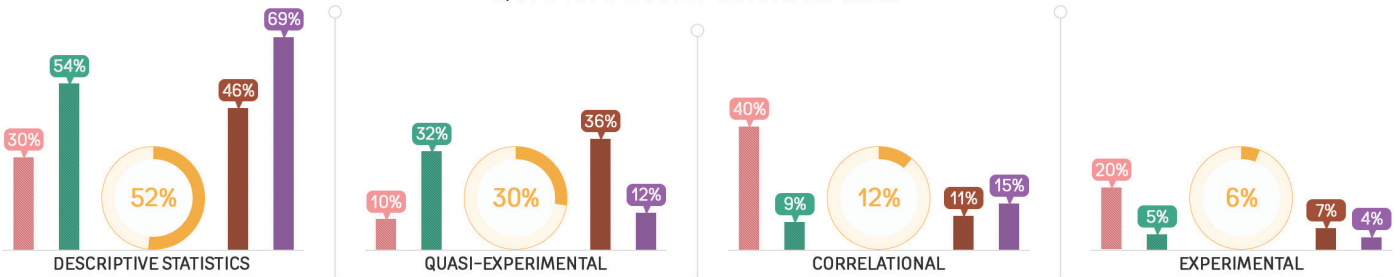
RESEARCH TYPE



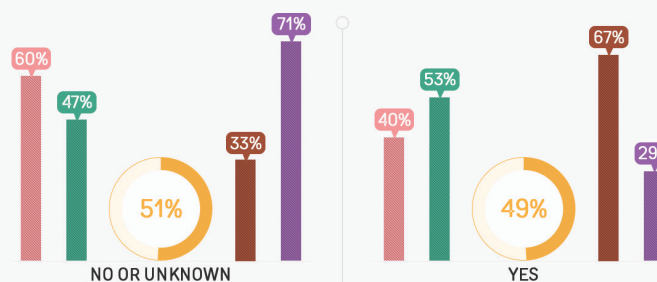
QUALITATIVE METHOLOGIES



QUANTITATIVE METHOLOGIES



PEER REVIEWED



“The second most frequent option was ‘not indicated/no explicit mention’, indicating that there was insufficient (or no) discussion of how the findings were determined.”

.....

nearly half their outputs. Academics employed a more balanced range of method choices but were also dominated by case studies, as well as ethnography.

Within quantitative methodologies, the majority focus on descriptive statistics (52%) with 12% on correlational (though this was more popular among combined outputs). Practitioners had the same pattern when using quantitative methods, while Academics also used quasi-experimental and experimental techniques.¹⁰⁰

The RLR also explored if research-oriented outputs are peer reviewed. Of the 410 research-oriented outputs, just over half (51%) are peer reviewed, however 67% of the outputs from the Academic community were peer reviewed, compared to 29% visibly peer-reviewed among the Practitioners. Here peer review is defined as an independent review by an *external* peer group and is designed to assess the validity, quality and, potentially, the originality of articles/reports, thereby providing a proxy for quality, in addition to whether or not methodology is identifiable.

The implications of these findings are discussed in Section 4.3.

.....

“Practitioners tend to use a case study approach (48%) and did not describe their methods for nearly half their outputs. Academics employed a more balanced range of method choices, but were also dominated by case studies as well as ethnography.”

100 Descriptive statistics are used to describe the basic features of the data in a study. They provide simple summaries about the sample and the measures; correlational examines the relationship between variables in quantitative research (correlation does not try to influence variables, as seen in experimental research); quasi-experimental tests causal hypothesis and is similar to experimental, but lacks random assignment; experimental tests a hypothesis and establishes causation by using independent and dependent variables in a controlled environment and includes random assignment of subjects/variables to experimental and control conditions.

3.5 INNOVATION SPECIFIC FINDINGS

The RLR also considered characteristics specific to innovation-related outputs (both Innovation and Combination). This was concentrated around the type of innovation (product or process), whether it is prototyping or scaling, and the innovation phase (Recognition, Invention, Development, Implementation or Diffusion/Scaling).¹⁰¹

Regarding type of innovation, the RLR found that innovation outputs are spread more or less evenly across product (38%), process (32%) and 'both' (30%). Innovations with a research component were particularly focused on 'both'. For actors, Academics appear to focus more on the innovation process than the product (38% to 30%), while Practitioners focus more on 'both' (32% to 21%). Here an innovation 'product' refers to *changes in the products/services* which an organisation offers, or *changes to products used to deliver services* (e.g. drones); this could be new products or changes to existing products. By contrast, 'process' is defined as *changes in the ways* products and services are created or delivered.

With respect to prototyping and scaling, an informed assessment was made regarding the main emphasis of each output reviewed. It should be noted that, at times, this was the researcher's 'best guess', as it was not always clear which best described the outputs. For this mapping, prototyping was defined as the process of testing the first or preliminary model of something from which further forms

are developed or copied. Prototyping could also be considered as a proof of concept in which further forms are developed or copied prior to being further tested in a pilot programme or project. This was contrasted with scaling; the innovation, already having been prototyped, is 'scaled-up' (e.g. increased usage, application, further development); diffusion was also implicitly included here as an aspect of scaling in promoting wider use. Within this understanding of the concepts, the mapping found that innovation-related outputs focus on prototyping or 'both' prototyping and scaling to a similar degree (44% and 41% respectively), with scaling receiving the lowest focus at 12%. With respect to actors producing the innovations, Practitioners are engaged nearly twice as often with prototyping; Academics, by contrast, lead on 'both'.

Finally, the RLR also considered which innovation phase¹⁰² the output was most focused on, with the majority concentrated in 'all phases' (39%) and implementation (30%). Other phases are divided among the remaining one-third, with the lowest coverage in Invention (1%). While both Practitioners and Academics are most focused on 'all phases', Practitioners have a stronger focus on implementation (35% to 9%) and Academics on recognition (21% to 6%).

The implications of these innovation-specific findings are discussed further in Section 4.3.

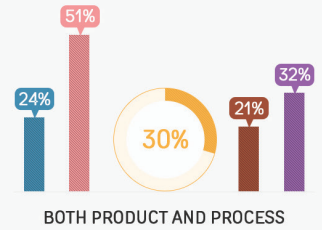
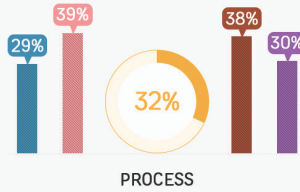
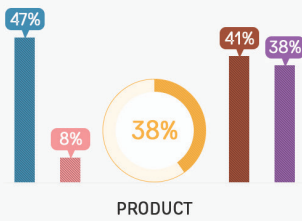
¹⁰¹ The definitions for innovation-specific considerations (product/process; prototype/scaling; innovation phases) were adapted from Elrha/HIF descriptions, primarily *Types of Innovation: The 4Ps* available on the Elrha/HIF website and A. Obrecht and A.T. Warner *More than just luck: Innovation in humanitarian action*, HIF/ALNAP Study. London: ALNAP/ODI, 2016. These adaptations were then reviewed by GEG's innovation expert and further modified based on their feedback for ease in guiding the RLR analyst in allocating appropriately.

¹⁰² Recognition of a specific problem or challenge; Invention of a creative solution or novel idea that is then further shaped through a process of ideation to address a problem or seize an opportunity; Development of the innovation by creating practical, actionable plans and guidelines; Implementation of the innovation to produce real examples of change and testing it to see how it compares with existing solutions; Diffusion/Scaling: Diffusion of successful innovations; taking them to scale and promoting their wider use.

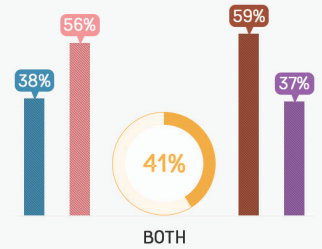
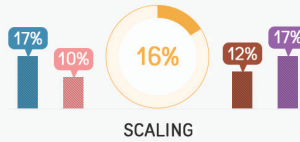
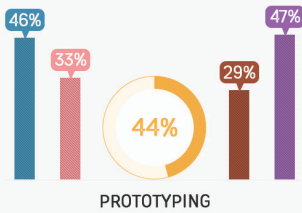
INNOVATION-SPECIFIC FINDINGS

● Innovation ● Combination ● Overall ● Academic ● Practitioner

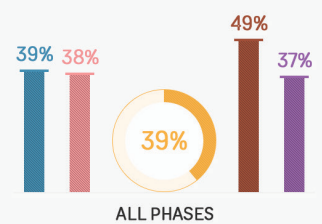
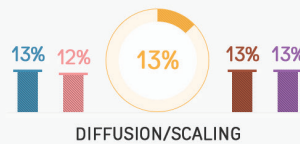
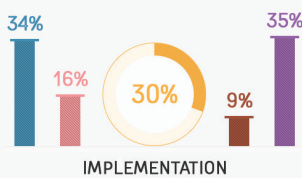
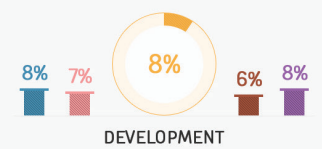
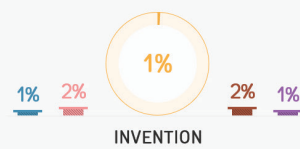
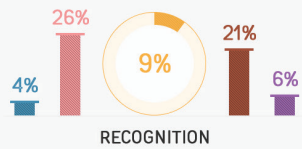
PRODUCT OR PROCESS



PROTOTYPING OR SCALING



PHASE





4

DISCUSSION:
WHAT DO THE FINDINGS
TELL US?

DISCUSSION: WHAT DO THE FINDINGS TELL US?

Bringing the findings together, this Section considers what they tell us about the *current* humanitarian Research and Innovation space. Here we return to the key questions this mapping set out to answer in relation to the funding landscape, actors, and the coverage and characteristics of Research and Innovation outputs. It is important to recall here that

this mapping focuses on January 2016–April 2017 and does not include findings to support a temporal analysis. Determining whether identified patterns symbolise only temporal or more definitive trends is beyond the scope of this project. This similarly limits potential explanations for some of the differences found in output coverage and characteristics.

4.1 FUNDING LANDSCAPE

One of the key questions this mapping exercise set out to answer is: *What is the current funding landscape of humanitarian research and innovation, including strategic interests and investments of major funders and key gaps?* It was noted that with the constraints on funding information in RLR and KII sample size, there are limitations as to the extent to which findings are conclusive, as to the ‘who, what, when’ is driving funding, and research and innovation agendas. Taking this into account, the findings presented should be seen as indications to generate and support further research and discussion, leading directly to GPE Phase Two, as planned.

4.1.1 Types of Funders

As detailed in Section 3.1, of the 219 Funders identified, donor agencies and governments dominate the landscape overall. Two significant differences, however, were highlighted between funding for Research and Innovation. Firstly, during the studied period Research is more heavily dependent on donors than Innovation, which has a more diversified Funder base (with more funding in particular from NGOs, UN agencies and the private sector). Second, while less diversified, Research is funded to a greater extent by academic entities and foundations than Innovation.

One Funder group that had very limited visible engagement in both Research and Innovation are IFIs, making-up 1% overall. While there was some surprise in this finding, informants acknowledged that there had not been much engagement with IFI so far. A small supplementary literature review, focusing on systematic reviews and evidence syntheses for 2014–2015, also identified four World Bank produced Research outputs during the 2014–2015 period. Taken together, this indicates that, while IFIs engage in both humanitarian Research and Innovation as Funders or Practitioners, they comprise a very small proportion of the current space. Informants also observed, however,

“...during the studied period Research is more heavily dependent on donors than Innovation, which has a more diversified Funder base”

“...while IFIs engage in both humanitarian Research and Innovation as Funders or Practitioners, they comprise a very small proportion of the current space.”

that while IFIs had been more focused on development than humanitarian action in the past (potentially influencing the finding), they were seeing a shift, citing examples of the World Bank’s engagement in cash transfer programming outputs and a new partnership between the World Bank, UNHCR and DFID on protracted displacement. The extent to which this might shift the proportional representation over a longer timeframe requires further consultation.

From a geographic perspective, the vast majority of both Research and Innovation Funders and funding recipients (i.e. Actors) are headquartered in Europe and North America, with the primary Funder and Actor headquarters concentrated in the UK and the USA. While funders expressed interest in engaging with Actors from the Global South as well as *localisation* more broadly, this was not reflected in the RLR results. Funders indicated different ways in which southern actors are engaged, such as relying on their international partners to engage local agencies (thereby not funding them directly), which would not have been captured by the RLR. An examination of the extent to which

Actors implement Research or Innovation with or through local partners could provide a more nuanced understanding of funding in this space.

4.1.2 How Research and Innovation is Funded

The volume of investment of major Funders is a key gap in available data. Out of the 36% RLR outputs that explicitly named a Funder, of which *only 11% (27 outputs)* had information on funding volume, all for Innovation. Evidence is inadequate to draw any conclusions and informants providing figures asked for them not to be shared. Further studies focused exclusively on funding volume would be needed to fully address this issue (see also potential next steps in Annex 1). Despite these limitations, although *all* Funders interviewed regularly fund humanitarian Research and Innovation they comprise a (very) small proportion of grants.

Within this small pool of funding – while a mixture of restricted and unrestricted funds is available for Research and Innovation – Practitioners at the global level spoke of relying more heavily on unrestricted funding. As a result, several NGOs interviewed discussed supporting and/or supplementing Research funding with general public funding. Further consultation is needed to generate a more detailed understanding of differences between specific topic areas that rely on unrestricted funding and the implications. In line with this, an additional question is whether unrestricted funds impact research and innovation? While regional and country-level funding may support Research and/or Innovation, this was beyond the scope of this mapping.

“...all Funders interviewed regularly fund humanitarian Research and Innovation they comprise a (very) small proportion of grants.”

4.1.3 Strategic Priorities for Funders

Much of the Research and Innovation focus for Funders both now and in the near future centres on following-up the World Humanitarian Summit (WHS) and Grand Bargain commitments and, for Innovation, the addition of the 2030 Agenda. In terms of specific voiced Research topics, displacement and refugees were mentioned frequently as well as conflict and fragile states, health, and risk and resilience. For Innovation, refugees were mentioned as a particular topic of interest for innovation by at least two

Finally, donors also spoke with particular interest in engaging more with the private sector as part of ongoing and future strategies. As one donor explained, “it is likely that private sector actors and other donors will become increasingly important [for innovation] as well as leveraging resources”.¹⁰⁴ It will be critical, however, for the humanitarian sector to keep a growing private sector in check by assuring that Research and Innovation are driven uniquely by the needs of those most exposed (as opposed to the understandably growing interest and curiosity or profit-driven motivations).

“...[we] aren’t seeing as much of a return on research investments as we would like and the research itself doesn’t seem to be lending to reform in the humanitarian system.”

foundations, along with localisation, scaling, resilience and financing. In contrast, the more frequently referenced topics by donors were cash transfer programmes, tech, and data. No informant made reference to IDPs. At least one donor also emphasised capacity development for humanitarian response as part of their current strategy, particularly to improve the capacity of Actors to respond to the increased scale and changing context of humanitarian crises and to increase the potential sustainability and uptake of multi-stakeholder initiatives.¹⁰³ An emerging question concerns the extent to which funders enable Research and/or Innovation capacity development as part of their funding provision.

Indeed, relating also to ‘evidence’, one donor remarked, while “there is space with the organisation to continue to support innovation, we do need to justify and provide evidence that it provides benefit”.¹⁰⁵ This point of ‘benefit’ was echoed for Research; as one donor expressed, “[we] aren’t seeing as much of a return on research investments as we would like, and the research itself doesn’t seem to be lending to reform in the humanitarian system”. More detail is found below in relation to characteristics for research-oriented outputs (see Section 4.3.3).

¹⁰³ Interview with Donor, 11 May 2017.

¹⁰⁴ Interview with Donor, 2 May 2017.

¹⁰⁵ Interview with Donor, 4 May 2017.

4.2 ACTORS

The exercise compiled evidence to answer the question: *Who are the current actors and areas of expertise (by type) working across the globe in research and innovation to improve humanitarian outcomes?*

4.2.1 Types of current Actors

The mapping exercise identified a total of 825 Research and Innovation Actors in the current period. While academic institutions – including universities and think tanks – are the leading type of Actor overall, marked differences between Research and Innovation Actors were found. While Research is dominated by Academics and, to a lesser extent, NGOs, Innovation Actors are more widely distributed with UN agencies in the lead but closely followed by ‘other’ (those entities not captured by other types), NGOs and the Private Sector. IFIs were least represented among Actors.

The vast majority of Actors are headquartered in Europe and North America (81% combined). The remaining 19% mostly come from Asia/Pacific and Africa, with the lowest representation for MENA, LAC and, lastly, Eurasia. This pattern is largely reflected between Research and Innovation with the exception of two notable differences: Africa features more prominently in Innovation, compared to Eurasia that is home only to Research Actors (none found for Innovation).

At the country level, more significant differences between Research and Innovation were observed. While the USA is the leading HQ country for Actors in both Research and Innovation, Swiss and Italian Actors play a more significant role in Innovation compared to Research. However, only in Innovation do Actors headquartered in the Global South appear in the

‘top 5’ (based on RLR frequency), represented by Kenya. Though not as prominent, Kenya does also appear among the more frequent Research Actor headquarters from the Global South (and the leader for the Africa region), along with Colombia (with no Innovation actors). Beyond these examples, for the most part southern actors did not emerge as prominently during the current period. Funders noted that, despite the interest in engaging more local actors, they were still not playing a strong role. While both Funders and Actors express interest and intent to engage local actors – and the wider commitment to localisation – this is not translating into practice, at least not in a prominent way. If the current period snapshot does reflect a wider pattern, what is needed to change this?

4.2.2 Actor Expertise: Academics vs. Practitioners

Overall, the vast majority of Academic community outputs are for Research while a little over half of Practitioner outputs are for Innovation, followed by a third in Research. A more detailed image is unveiled in relation to Research and Innovation characteristics with the areas of relative expertise reflected in the most significant differences between Academic and Practitioner coverage during the current period.

From a geographic perspective, the regional preferences of Academics and Practitioners are reflected at the country level. Of the countries with the most coverage, though both Academics and Practitioners had a strong focus on Kenya and Jordan, Academics also focused outputs in the USA, Colombia and the Philippines, while Practitioners targeted Syria, Haiti and Lebanon. For rural or urban context, Academics focus

on urban context considerably more than Practitioners (14% difference).

With respect to humanitarian events, though both Academics and Practitioners have mid to high coverage of conflict and natural hazards, Practitioners are more likely than Academics to focus a specific event (7% difference in favour of Practitioners for conflict and 8% for natural hazards). For the IDRM Phase, Academics are more oriented towards recovery than Practitioners (10% difference).

For sectors and Clusters the most striking difference is the greater emphasis on Logistics among Academics compared to Practitioners (15%). Turning to topic areas, Academics seem to be 'lagging' compared to practitioners in tech (26% difference between Practitioner and Academic coverage), capacity development (19% difference), humanitarian access (15% difference), gender and partnerships (13%

difference each), private sector engagement (12% difference), and localisation (11% difference). While Academics also focus 11% less on displacement than Practitioners, they have a greater focus on non-camp settings (11% difference) than Practitioners. The reverse is found for 'all settings' (12% difference favouring Practitioners).

Finally, while Academics are more engaged in Research than Practitioners, there are Research-specific topics that receive greater attention from the Practitioner community, including: humanitarian financing, GBV, disability and older persons. However, as the following discussion on Research methodology and characteristics show, there may be questions related to the quality of evidence in Practitioner research and topic areas where Practitioners lead in Research may need to be treated more cautiously.

4.3 OUTPUT COVERAGE AND CHARACTERISTICS

The third key question behind this mapping is: *What are the current research and innovation-related outputs relevant to the humanitarian system (and their coverage and characteristics)?* The mapping identified 694 research and innovation outputs during the current period: 351 for Research, 262 in Innovation and 81 in Combined outputs (both). Throughout the presentation of the findings, differences between Research and Innovation outputs have been highlighted, reflecting a diverse range of coverage and characteristics. Here the discussion provides a focus on Research and Innovation as distinct areas, first providing an overview of how Research and Innovation compare in relation to the main themes and topics presented in the mapping.

4.3.1 Overview Comparison of Research and Innovation

Looking back over the Research and Innovation coverage of the different themes and topics during the current period, we begin with **geographic coverage**. One third of outputs focus on global systemic challenges (or did not specify a specific geography). Where a specific country-focus was identified, **a quarter of both Research and Innovation outputs are focused in Africa**.¹⁰⁶ Geographic coverage looks quite different, however, **at the country level**, with the highest Innovation coverage on Kenya, Haiti and the USA and the strongest focus for Research on Syria and Colombia. In terms of preference for urban or rural contexts, the main **emphasis across outputs is on 'both'**, however Innovation is focused more on rural contexts than Research, which focuses on urban contexts.

¹⁰⁶ As noted earlier, in this mapping Africa refers to sub-Saharan Africa.

Where an event focus was specified, Research **strongly favours conflict over natural hazards**, while Innovation focuses more on natural hazards over conflict. Both outputs had almost no coverage of human-induced (non-conflict) events.¹⁰⁷ Where outputs focused on a specific IDRM phase, **the main engagement was in recovery**.

For **sector/cluster coverage**, the Research focus centred on **Health, Protection and Logistics** and, to a slightly lesser extent, **Early Recovery and Food Security**; in contrast, following health, **Innovation's second and third sectors are Food Security and Early Recovery** and with lower coverage of both Protection and Logistics.

Findings were also presented for 32 different topic areas with different degrees of coverage by Research and Innovation outputs. As described in Section 3.3.6, high coverage Research topics are 'policy', 'evidence' (as a focus) and displacement, while for Innovation they are tech, information management and partnerships. There were a number of common low coverage areas, however, including environment, disability, older persons, and financial inclusion.

These high and low coverage areas – geographic, context, event, sectoral, and topics – are determined by their **relative coverage** within the 543/694 outputs examined. They do not necessarily equate to sufficiency/gaps in levels of engagement from Research and/or Innovation. Rather, the findings generate a series of questions: **Does low coverage indicate gaps that require further attention, or does coverage reflect their relevance to the humanitarian system at this point in time?**

¹⁰⁷ As noted previously, human-induced (non-conflict) events include technological disasters, urban fires or economic crises. Crises stemming from events such as an Ebola outbreak would be considered a biological natural hazard.

Conversely, are high coverage areas receiving this attention because research/innovation is an expressed need in the sector, or are there other drivers beyond the scope of this mapping?

This question on what the findings can tell us about gaps is explored further in the next section.

4.3.2 Research

While the ‘quality’ of Research was not evaluated as part of the RLR process, the research-specific findings relating to methodologies do provide proxy indicators. Most notably, nearly one third of all qualitative studies (the primary research method of choice among current outputs) did not indicate/there was not sufficient information to identify what type of qualitative approach they were using. Furthermore, among outputs identified as using a case study approach (leading qualitative method), while reference is made to data collection processes such as key informant interviews and focus group discussions, these descriptions were not often complemented with clear explanations as to numbers or type of groups (organisations and/or individuals), what was asked and how. Without a clear explanation of the methodology, it is not possible to determine how strong the evidence-base is and whether the findings should influence practice. As illustrated in ALNAP’s work on the quality and use of evidence, the “clarity around context and methods – the degree to which it is clear why, how, and for whom evidence has been collected” is critical in and one of the key criteria for evaluating the quality of evidence. An “observer can only gauge the evidential quality of any information if they know the proposition to which the evidence relates, who wanted to prove the proposition, and how they collected the evidence...information can only be accepted as evidence where the methods used to collect and analyse it, and any limitations in the exercise, are made explicit”.¹⁰⁸ This is similarly reflected in ODI’s guidance for assessing

¹⁰⁸ P. Knox Clarke and J. Darcy, *Insufficient evidence? The quality and use of evidence in humanitarian action*, ALNAP Study, London: ALNAP/ODI, 2014, p. 16.

research quality in systematic reviews, where the ‘absolute minimum’ is “identifying the data sources and research method used”.¹⁰⁹ The inability to identify the type of qualitative method and/or the details of an approach raise significant questions as to the quality of evidence of these outputs.

Many of the systematic literature and evidence reviews included in the RLR that evaluated the quality of evidence also critiqued the standard of evidence available in their respective thematic areas. For example, one such synthesis found a “lack of evidence, both in quantity and quality”.¹¹⁰ Similar critiques are found across different thematic areas,¹¹¹ as well as the supplementary literature covering 2014–2015.¹¹²

The strong emphasis on qualitative methods (i.e. limited use of quantitative approaches among the RLR outputs) raises questions on

¹⁰⁹ J. Hagen-Zanker and R. Mallett, ‘How to do a rigorous, evidence-focused literature review in international development’, *Working Paper*, ODI, 2013, p. 13.

¹¹⁰ H. Juillard, L. Mohiddin, M. Péchayre, G. Smith and R. Lewin *The influence of market support interventions on household food security: An evidence synthesis*, Humanitarian Evidence Programme. Oxford: Oxfam GB, 2017, p. iii.

¹¹¹ *Idem*; See also for example, V Maynard, E. Parker and J. Twigg, *The effectiveness and efficiency of interventions supporting shelter self-recovery following humanitarian crises: An evidence synthesis*, Humanitarian Evidence Programme. Oxford: Oxfam GB, 2017; R. Akparibo, A.C.K. Lee and A. Booth, *Recovery, relapse and episodes of default in the management of acute malnutrition in children in humanitarian emergencies: A systematic review*, Humanitarian Evidence Programme. Oxford: Oxfam GB, 2017.

¹¹² See for example K. Blanchet, V. Sistenich, Ramesh, S. Frison, E. Warren, J. Smith, M. Hossain, A. Knight, C. Lewis, N. Post, A. Woodward, A. Ruby, M. Dahab, S. Pantuliano and B. Roberts, *An evidence review of research on health interventions in humanitarian crises*, London: London School of Hygiene and Tropical Medicine, ODI, 2015; Cambridge, MA: Harvard School of Public Health; A. Ramesh, K. Blanchet, J.H.J. Ensink, B. Roberts, *Evidence on the Effectiveness of Water, Sanitation, and Hygiene (WASH) Interventions on Health Outcomes in Humanitarian Crises: A Systematic Review*, *PLoS ONE*, 2015, 10(9): e0124688. doi:10.1371/journal.pone.0124688; J. Smith, B. Roberts, A. Knight, R. Gosselin, and K. Blanchet, ‘A systematic literature review of the quality of evidence for injury and rehabilitation interventions in humanitarian crises’, *International Journal of Public Health*, November, 2015, 60(7): 865–72; E.A. Akl, F. El-Jardali, L. Bou, J. Karroum, H. El-Eid, H. Brax, C. Akik, M. Osman, G. Hassan, M. Itani, A. Farha, K. Pottie and S. Oliver, ‘Effectiveness of Mechanisms and Models of Coordination between Organizations, Agencies and Bodies Providing or Financing Health Services in Humanitarian Crises: A Systematic Review’, *PLoS ONE*, 2015, 10(9): e0137159. doi:10.1371/journal.pone.0137159.

“Overall, these findings raise questions as to the uptake of the evidence-based agenda in practice despite the wide coverage of this issue in both the policy and practice realms.”

the comfort of Practitioners with quantitative methodologies, operational compatibility, timeframes, ethics and other considerations for quantitative approaches. As such, if the questions posed require quantitative methods, lack of comfort or other impediments can constrain research and analysis. This echoes findings from ALNAP’s *Insufficient Evidence? The quality and use of evidence in humanitarian action*, which observed that “much of the evidence generated in the sector is obtained through qualitative methods”.¹¹³

The findings on ‘consultation with affected communities’ highlighted in relation to accountability may also need to be viewed critically in respect of the methodological findings and raises key questions on how they were consulted and the nature of that consultation, including consideration of demographics and research ethics designed to avoid harming participants.

Overall, these findings raise questions as to the promotion and application of the evidence-based agenda in practice, despite the wide coverage of this issue in both the policy and practice realms. Interest in ‘evidence-based’ approaches have become increasingly prominent in the humanitarian sphere in recent years, which was reflected in the RLR finding on the ‘evidence’ as a key focus area for Research; at the same time, however, Research foci tallied in this mapping have yet to be taken up in

practice. The correlation between findings on research methodology employed and findings of ‘evidence’ may also indicate a capacity ‘gap’ or missing link blocking the full uptake and one that might not be new.

These findings recall past debates about ‘research’ vs. ‘practice’, in which research is associated heavily with the academic community and often seen as disassociated from the practicalities and realities of the ‘field’ and, as a result, the challenges often attributed to research as being operationally irrelevant and potentially ‘difficult to manage’. Reflecting this, several informants from Practitioner organisations distinguished between ‘academic research’ and ‘action’ or ‘non-academic’ research to inform practice or policy. As one NGO’s research unit explained, “We have had a lot of discussion internally about whether we do research or reflection [and determined that] we do more reflection than research. [We do] try to be as rigorous and serious as possible, but [we’re] not focused on academic rigour, [we are] focused on practical research – on what is really applicable, what’s actually useful at the field level”.¹¹⁴ Another NGO informant observed how, “[People] get excited about [projects] that are easy to understand, easy to present, sound new and have immediate understanding”, contrasting this to rigorous research that potentially has stronger benefits and evidence but is not as straightforward and ‘fun’.¹¹⁵ This underscores the need for both research and innovation to be brought closer together: Academics can make research more accessible, policy makers/practitioners can take seriously their responsibility to promote and apply research, and innovation can also make research enjoyable for actors engaged or tasked with research-oriented outcomes.

This tension around ‘research’ was also reflected in the Funder community, as one donor described how, “Pure academic think pieces aren’t seen as being valuable; they need to have practical programming relevance. They need to be easily digestible”. And while they “would

113 P. Knox Clarke and J. Darcy, *Insufficient evidence? The quality and use of evidence in humanitarian action*, ALNAP Study, London: ALNAP/ODI, 2014, p. 68.

114 Interview with NGO, 23 May 2017.

115 Interview with NGO, 15 May 2017.

rather support a programme of research” in contrast to an ad hoc approach¹¹⁶ as noted earlier, concerns were voiced on research uptake, at both the field and system-wide level.

These findings suggest the need for further discussion around the characteristics of research in relation to evidence and continued need to find ways to ‘bridge the gap’ between Academic and Practitioner research that can strengthen the use of evidence to inform Policy while still ensuring clear relevance and usability for Practitioners. **While this finding is not new, what is blocking this progress and uptake? Is a more innovative approach required?**

Some Practitioners interviewed described applying for research grants together with Academic entities, while other Practitioners are also trying to build these relationships since Funders are often reported to require Practitioner–Academic partnerships for Research grants. This could present a window to introduce new ways to change thinking and behaviour and enhance evidence that can be and will be used to improve both policy and practice.

4.3.3 Innovation

The majority (69%) of Innovation outputs are tangible products (non-document). This aligns with Innovation’s high coverage topic areas: tech in particular (72% of Innovation outputs) and the lower coverage of process Innovations (29%) in contrast to product innovations (47%). Two significant questions are raised by these findings: **Do innovators largely see Innovation as something tangible and, if so, does this view limit the potential of Innovation? In turn, does the focus on products suggest that the drivers of innovation (innovators and their supporters) push it to favour product over equally important process or more social forms of innovations?**

Another notable difference is the emphasis on **prototyping over scaling**. Scaling is receiving considerable attention in different sectors and

¹¹⁶ Interview with Donor, 17 May 2017.

debates,¹¹⁷ but was not highlighted among the outputs. Is it because scaling is more difficult and occurs less frequently and/or does it reflect the natural progression of a realm of activity that, while “everyone talks about innovation” as one NGO remarked, it is still relatively new and misunderstood? Findings in relation to ‘evidence’ and Innovation can potentially shed some light here in relation to the link between Research and Innovation: Research can be used to give rise to Innovation but Evaluation (as a form of Research) can also provide evidence on the success of Innovation. **Do concerns on the quality of evidence pose limitations for scaling?**

The current emphasis within Innovation on rural over urban contexts correlates with Innovation’s focus within displacement. **What draws Innovation to focus more on rural areas and/or camp settings?** Given that the main Innovation focus within displacement was settings of ‘all types’ and for context was ‘both’ urban and rural, if Innovation focuses on general settings, what are the implications for addressing contextualised needs? Examples of innovations focusing on refugee camp settings include school in a ‘digital box’, ‘food computers’ (a controlled-environment agriculture technology platform supporting plant growth inside a specialised chamber) for refugees, and several cash-and-voucher initiatives.

One low coverage topic for Innovation is **gender**. **How do gender considerations feature in Innovation and the phases of Innovation? Is gender only factored in when the Innovation is being assessed (i.e. innovation-related research/research-related innovation outputs)?** Innovation also had low coverage of children, older persons and disability. **Taken together with gender, how do the most vulnerable (as target for assistance among the ‘end users’) fit into the Innovation approach?**

¹¹⁷ See for example Management Systems International, *Scaling Up – From Vision to Large-Scale Change: A Management Framework for Practitioners*, 2012; IFRC, *Scaling urban community resilience: A scoping study for global action*, 30 May, 2014; Water Supply & Sanitation Collaborative Council (WSSCC) *Scaling up and sustaining behaviour change*, 2016; A. Amri, D.K. Bird, K. Ronan, K. Haynes and B. Towers, ‘Disaster risk reduction education in Indonesia: challenges and recommendations for scaling-up’, *Natural Hazards and Earth System Sciences*, No. 17, 2016, pp. 595–612.

The issue of ‘end users’ is also a concern for Funders. As one donor remarked, “One of [our] key concerns is: who is the end user? Who is the ultimate client of the product/innovation? Who is driving the innovation? There are far too few organisations willing to take on products if they aren’t already tried and tested. The discussion around risk is interesting to think about”.¹¹⁸

A similar question could be raised in relation to Protection, as a focus for 3% of outputs (2% for Child Protection). However, one NGO interviewed described how Protection is an Innovation focus for them: “We are also looking at different ways of mainstreaming Protection. We have basically said that Protection is a massive gap... So how do we increase our protective impact? Part of addressing that is changing how we do Protection mainstreaming... looking at Protection linked to innovation... coming up with new programme modalities”.¹¹⁹

A final area of low coverage for Innovation to highlight is Gender Based Violence (3%). One of the GBV-related outputs reviewed is a 2016 gap analysis for GBV and innovation within which gaps “identified by the research were translated into actionable Innovation Challenges” with the “ambition...to clearly set out specific targets or tasks that need to be addressed in order to improve the state of GBV programming in emergencies” through funding for these specific challenges.¹²⁰ At the time of writing, these challenges had not yet been undertaken, however, and as such are beyond the timeframe and scope of this project.

118 Interview with Donor, 4 May 2017.

119 Interview with NGO, 26 May 2017.

120 Small Arms Survey, *Gender Based Violence Interventions: Opportunities for Innovation*, Humanitarian Innovation Fund Gap Analysis, Elrha: Cardiff, 2016.



5

CONCLUSIONS

CONCLUSIONS

The RLR findings described above present both an evidence-based process that can be readily replicated and a comprehensive baseline understanding of humanitarian Research and Innovation. As planned, the findings unveil as many questions as answers. The primary outcome of Phase One is a prioritised set of

questions. This chapter synthesises findings in a forward-looking manner to position Elrha for Phase Two of the GPE. The first section describes the RLR findings aligned to key identified gaps or needs in the Humanitarian sector. The second section revisits the questions unveiled to suggest ways to prioritise them in Phase Two.

5.1 IDENTIFIED GAPS BASED ON RLR FINDINGS

Question 4 of this mapping asks: *What are the gaps in humanitarian research and/or innovation that emerge from the logical synthesis of the above three questions?*

While coverage in itself does not necessarily indicate a gap, some gaps emerge when we *contrast* the high and low relative coverage between outputs. Topics to which Innovation outputs seem strikingly more anchored than Research outputs include: tech (61% higher for Innovation than Research), in-kind transfer modalities (31% difference), information management (27% difference), private sector engagement (23% difference) and partnerships (19% difference). Conversely, topics where Research outputs are more strongly weighted than Innovation include: 'link to policy' and 'use of evidence' (both 26% difference), gender (19% difference), IHL (16% difference), access (14% difference), coordination (13% difference), GBV (12% difference), children (12% difference) and humanitarian principles (10%).

To determine more systematically what a "gap" is for this question, we examined those highlighted by five recent humanitarian action reports: the 2015 State of the Humanitarian System (SOHS), the 2015 Global Assessment Report on Disaster Risk Reduction, the 2016 Global Humanitarian Assistance Report, the final output of the May

2016 World Humanitarian Summit and lastly, the 2016 Grand Bargain. We then compared the convergence of expressed gaps therein with findings from the RLR (described above) and the pre-2016 literature review to determine to what extent Research and/or Innovation may have responded in 2016–2017 (deliberately or not) to the most important, articulated humanitarian needs.

As detailed in *Table 7* below, recognised humanitarian gaps that have been the focus of a relatively strong to moderate Research and/or Innovation outputs include: partnership, information management, displacement, coordination, private sector engagement, localisation, accountability, and the humanitarian-development nexus.

However, themes categorised as having a "strong" focus in the outputs overall may have a very weak focus by one of the outputs (Research or Innovation) or actor sets (Practitioner or Academic, see rightmost column of *Table 7*).

Recognised humanitarian gaps that appear most lacking within **Research outputs** include: information management, private sector engagement, localisation, the humanitarian-development nexus, cash as a modality and elderly and disabled target groups. Recognised humanitarian gaps that appear most lacking

TABLE 7

Gaps based on RLR Findings

Theme	Expression of gap in Key humanitarian reports	Extent to which addressed by Research and/or Innovation and Actor	
Partnership	Strong ¹²¹ : call for stronger partnerships between humanitarian actors and Governments, civil society and development actors	Strong: 36% of outputs overall	<ul style="list-style-type: none"> • 29% of Research outputs • 11% of Innovation outputs • 23% for Practitioners • 19% for Academics
Information management	Strong: call for better data/ indicators, analyses, assessment, monitoring, data collection and data protection, etc.	Strong: 35% of outputs overall	<ul style="list-style-type: none"> • 22% of Research outputs • 49% of Innovation outputs • 37% for Practitioners • 32% for Academics
Displacement	Strong: call “a new comprehensive approach to addressing forced displacement” and more data	Strong: 32% of outputs overall	<ul style="list-style-type: none"> • 39% of Research outputs • 22% of Innovation outputs • 36% for Practitioners • 27% for Academics
Coordination	Strong: “humanitarians have become more sophisticated but still lack a strategic and unified approach”	Moderate: 23% overall	<ul style="list-style-type: none"> • 28% of Research outputs • 15% of Innovation outputs • 20% for Practitioners • 27% for Academics
Private Sector engagement	Strong: “status quo prevails”; private-sector engagement does “not add up to any significant shift in burden-sharing at scale”	Moderate: 23% overall	<ul style="list-style-type: none"> • 12% of Research outputs • 36% of Innovation outputs • 28% for Practitioners • 16% for Academics
Localisation	Strong: no progress found, “reforms ...needed if local and national NGOs are to more equitably access resources to assist their communities”	Moderate: 19% overall	<ul style="list-style-type: none"> • 11% of Research outputs • 24% of Innovation outputs • 23% for Practitioners • 12% for Academics
Accountability	Strong: “severe asymmetries in the generation and availability of risk information are associated with a lack of accountability at all levels” and “little evidence of affected populations’ input to project design or approach”	Moderate: 18% overall	<ul style="list-style-type: none"> • 19% of Research outputs • 11% of Innovation outputs • 20% for Practitioners • 15% for Academics
Humanitarian-development nexus	Strong: highlights “an urgent need to reinterpret DRR so that it weaves and flows through development ...” or “to ensure that strengthening disaster preparedness...is an integral part of sustainable development”	Moderate: 18% overall	<ul style="list-style-type: none"> • 16% of Research outputs • 19% of Innovation outputs • 21% for Practitioners • 14% for Academics
Humanitarian Financing	Strong: Greater transparency and traceability of funding, reducing earmarking, increasing multi-year financing, use of CBA, risk-financing, lending to governments	Weak: 10% of outputs overall	<ul style="list-style-type: none"> • 10% of Research outputs • 6% of Innovation outputs • 10% for Practitioners • 8% for Academics
Cash as modality	Strong: “aims of increasing cash programming”	Weak: 7% of outputs overall	<ul style="list-style-type: none"> • 4% of Research outputs • 9% of Innovation outputs • 10% for Practitioners • 3% for Academics

¹²¹ ‘Strong’ in Expression of gap indicates that two or more key documents highlighted the theme. ‘Strong’ in Manner addressed indicates approximately one-third of outputs focused on the theme; it is used in a strictly relative sense, compared to other themes addressed by RLR outputs.

Theme	Expression of gap in Key humanitarian reports	Extent to which addressed by Research and/or Innovation and Actor	
Risk management phase	Moderate: call for greater focus on DRR, recovery and conflict prevention	Strong: 68% of outputs (with specific focus) target humanitarian response Moderate: 32% of outputs target other phases	<ul style="list-style-type: none"> • 32% of Research outputs • 31% of Innovation outputs • 29% for Practitioners • 37% for Academics
Logistics	Moderate: call for reduction in “duplication of management and other costs through maximising efficiencies in procurement and logistics”	Weak: 9% of outputs overall	<ul style="list-style-type: none"> • 13% of Research outputs • 5% of Innovation outputs • 3% for Practitioners • 19% for Academics
Target groups	Moderate: “the specific needs of women, the elderly, people with disabilities, and children have only occasionally been brought into focus”	Moderate to strong: women, children Weak: elderly and disabled: 4% of outputs	<ul style="list-style-type: none"> • 5% of Research outputs • 2% of Innovation outputs • 5% for Practitioners • 2% for Academics
Urban programming	Moderate: “capacity gaps for designing projects in urban contexts”	Mixed: 14% of outputs (with data)	<ul style="list-style-type: none"> • 25% of Research outputs • 5% of Innovation outputs • 9% for Practitioners • 23% for Academics
Displaced groups	Moderate: “there is a continued lack of leadership on IDPs” and need for IDP guidance and “mixed” migration	Moderate: 22% of outputs (with data)	<ul style="list-style-type: none"> • 29% of Research outputs • 11% of Innovation outputs • 23% for Practitioners • 19% for Academics
Environment and/or climate	Moderate: “growing need for environmental management” and “widespread recognition of the growing number of people displaced by disasters and climate change led to the launch of a Platform on Disaster Displacement”	Low: 5 and 7% of outputs for environment and climate respectively	Environment and Climate: <ul style="list-style-type: none"> • 5 and 6% of Research outputs • 3 and 7% of Innovation outputs • 6 and 8% for Practitioners • 4 and 5% for Academics

within **Innovation outputs** include: partnership, displacement, coordination, accountability, humanitarian financing, focus outside the “response” phases, logistics cluster, elderly and disabled target groups, IDP programming, urban programming, environment and climate.

The majority of the geographic gaps highlighted in the key reports are largely neglected by Research/Innovation outputs, excepting Colombia (12 outputs) and Pakistan (10 outputs). For example the reported lack of humanitarian attention for Algeria/Western Sahara, Madagascar and Gambia have no

outputs; Mozambique, Peru and Chile are met with a maximum two outputs each.

Other themes *less* strongly underscored in the key recent humanitarian documents but that have received substantial or relatively strong attention by Research and/or Innovation include: tech, gender, ‘link to policy’, livelihoods, and protection. Less consistently highlighted gaps in the key reports that are met with relatively little Research/Innovation attention include: capacity development, governance, IHL, principles, and biological, technological, and financial risks.

5.2 CONCLUSIONS

There is an understanding across the humanitarian system that choices need to be made on where to focus Research and Innovation efforts. Making these choices, however, is no simple task. Three sets of questions below synthesise findings from GPE Phase One – Global Mapping, and lay the foundation for GPE Phase Two.

Question 1: How best to qualify the findings that this snapshot-in-time/ baseline indicates?

Have high coverage areas received attention because of an expressed need for research and/or innovation in humanitarian action, or are there other drivers beyond the scope of this mapping? Who or what is driving funding and thematic agendas in Research and Innovation? In parallel, does low coverage (by Research and/or Innovation) in this baseline point to a genuine gap/humanitarian need, or is it merely a figment of time? And/or does low coverage indicate the relative significance with which that topic is viewed by the humanitarian system?

Does high/low coverage represent a gap and, if so, how critical is this gap? Furthermore, what weight do different interests and objectives within the humanitarian system have in influencing that determination?

Methodological options to answer Question 1 include:

- A comprehensive forensic analysis of finance in humanitarian Research and Innovation which would allow for a greater understanding of funding volume;
- A much more thorough and representative canvassing of humanitarian Funders and Actors; and
- A replication of this RLR baseline at intervals, i.e. every two to three years, to detect trends.

Whatever the approach, further consultation with stakeholders is critical to generate a more detailed understanding of priorities and perceived gaps.

Question 2: How to be certain the findings are inclusive?

What publicly available resources/channels exist to identify and explore Southern Research and Innovation? If they are few or inaccessible, what constraints prohibit Southern Funders/Actors from sharing their learning at a wider level?

If Southern Funders and Actors are researching and innovating beyond what is visible in the RLR, they either have constraints against sharing what they are doing, or they are publishing/sharing on entirely different portals. Other knowledge production pathways need to be identified to confirm the level of Research and Innovation of Southern Actors.

Question 3: If the current snapshot does reflect wider, confirmed patterns, what impactful actions do the findings point to?
.....

Overall the findings show that Research and Innovation are perfect opportunities to bring localisation – engaging local actors – to scale in a much more meaningful, intensive and prominent way.

Interesting actions that fall specifically under Research and Innovation follow:

Research

- *Research*, per se, as a means to improve humanitarian action is entirely ignored in the key humanitarian status reports (see 5.1 above). While they are all strongly research-based, **none of the key humanitarian documents make a visible call for research**. Given lack of impetus from these pivotal signposts of humanitarian progress, the level of Research (and focus on ‘evidence’) identified in this mapping, while still largely inadequate, is commendable. But in which direction should humanitarian Research head?
- Humanitarian Research may exist that has potential application but is not leading to improvements in practice. While interest in ‘evidence-based’ approaches have become increasingly prominent in the humanitarian sphere, the baseline points to a capacity ‘gap’ or missing link blocking full uptake and/or minimising potential impact. Or, perhaps, the research is conducted in isolation of humanitarian actors.
- Indeed, although examples of collaboration are growing, **this baseline discloses a gulf between Practitioner and Academics**. Research appears largely inadequate to reflect evolving humanitarian needs.

Findings suggest a continued need to ‘bridge the gap’. Academics need more than ever to promote the use of evidence to inform policy, while still ensuring clear relevance and usability for Practitioners. This finding is not new: **what is blocking this progress and uptake? Is a more innovative approach to humanitarian research required?** Since humanitarian practitioners have no time and potentially little motivation to document their learning and practice, we have to find a way to make rigorous research and learning enjoyable and directly applicable to humanitarian action.

- **Could Innovation be used to address ‘gaps’ that *impact* both Research and Innovation?** For example, one NGO informant remarked, “The innovation and research link between humanitarian and development work, [suggests we need to] bridge this divide and be much more *innovative* about how we do this. It’s very siloed right now, and we need to improve”.¹²² Could an innovative approach be the solution to closing the ‘gap’ between Academics and Practitioners, in turn enhancing the evidence that informs humanitarian policy and practice? If so, what would the investment in Research and Innovation look like?

Innovation

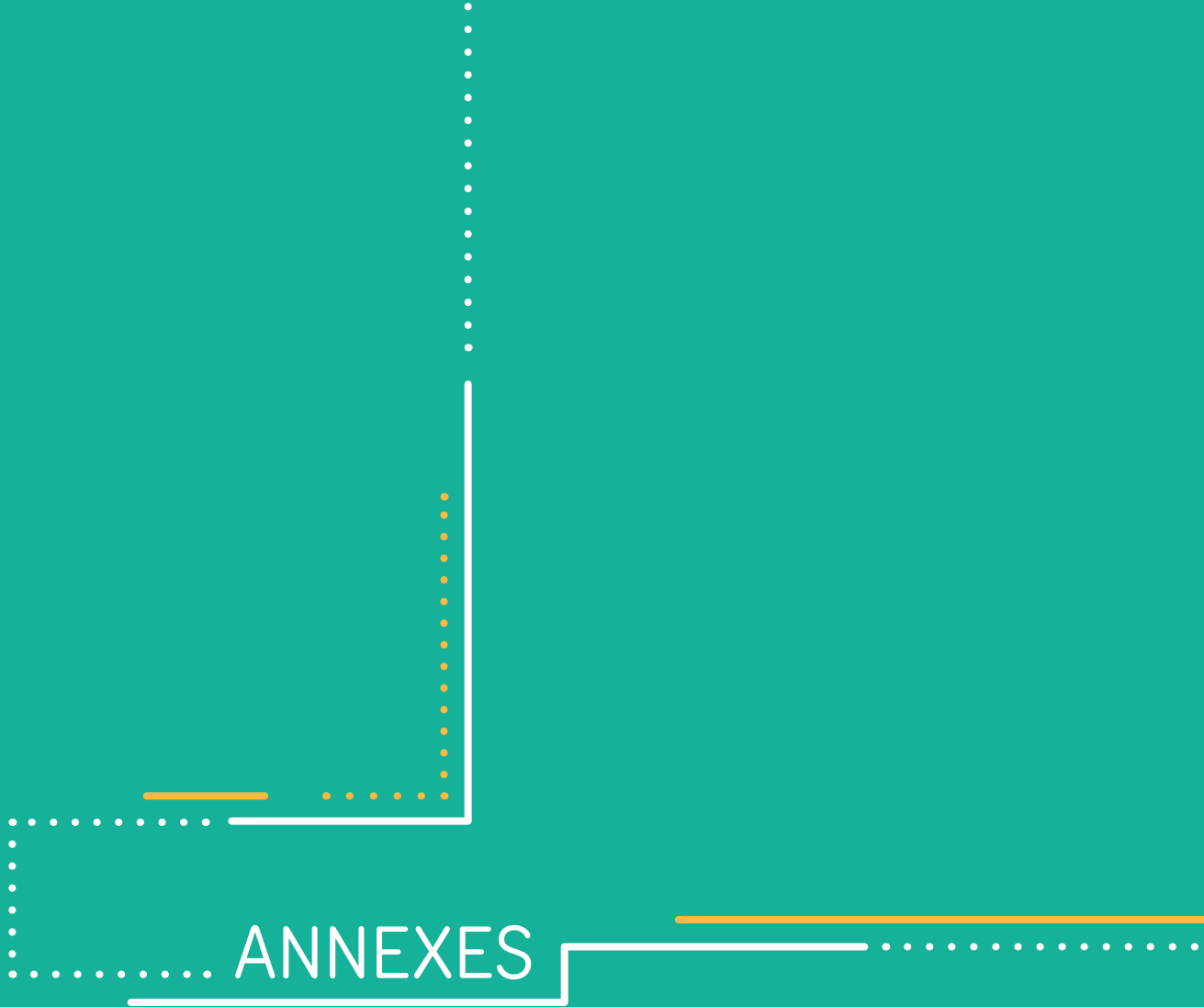
- We need to **inventory Innovation outputs generated directly by Southern entities and at-risk communities**. Rather than develop and promote ‘externally-driven’ Innovations for problems the humanitarian community has recognised, time is nigh to identify Innovations born out of real needs: real people being forced to innovate to survive. Funding Research on these Innovations may

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¹²² Interview with NGO, 24 May 2017.

unveil critical and more pertinent innovative efforts to adapt to rapidly changing environments.

- Do innovators largely see Innovation as something tangible and, if so, does this view limit the potential of Innovation? In turn, does the focus on tangible products suggest a push to **favour product over equally important process or more social forms of innovation**? Does this focus point to private sector drivers?
- In parallel, while key humanitarian reports regularly promote and call for additional Innovation, they do not promote 'tech' innovations per se. As 72% of the RLR innovation outputs focus on technology, it appears that **non-tech solutions for management, social or process-related problems are either not benefitting from Innovation or are not tagged/named as such**. Should a balance be promoted?

This report and the mapping it presents have provided a snapshot of the current humanitarian Research and Innovation space, providing an initial evidence base and raising questions to inform this discussion and prioritisation process. The greatest fruits of this baseline mapping will only be born when it is replicated, thereby allowing a comparison of coverage and the tracking of trends across the humanitarian space. The mapping has also produced a rich database of Research and Innovation during the current period that offers untapped potential for further research (unaddressed to date, due to time). Above all, the GPE Phase One has charted new territory in cataloguing humanitarian action and establishes an exciting list of opportunities for meaningful Research and Innovation in the humanitarian sphere.



ANNEXES

ANNEX 1: POTENTIAL FOR FURTHER ANALYSIS

Additional analysis on the RLR database (feasible as it stands today)

The following analysis tasks can be conducted with the current RLR database, as is, with additional time/LoE for analysts:

- **Cross-Tabulations:** systematic preparation and analysis, starting with a sub-set of key dividers to explore comparisons and disclose additional layers of relationships between variables. These could include, for example, cross-tabulations between accountability or gender and other topic areas; identifying what topic areas categories such as 'urban' or 'rural' focused outputs cover most and least; examining more closely the characteristics of research and innovation specific findings through cross-tabulations with topic areas.
- Analysis on combinations of outputs, for example policy and another topic, or evidence and a second topic;
- **Statistical significance tests:** to determine which comparatives are significantly different: Research versus Innovation and/or Academic versus Practitioner;
- In-depth Analysis and Profiling on **sub-sets of Actors:** exploring United Nations entities or types of NGOs.
- In-depth Analysis and Profiling on **Regions:** layering the analysis to shed additional light on/within a given region of interest;
- In-depth Analysis on **Combination findings** (those 81 outputs that are both Research and Innovation).
- If determined to be appropriate and of added-value to the current RLR, further analysis of systematic literature and evidence reviews as a specific sub-set of RLR outputs.

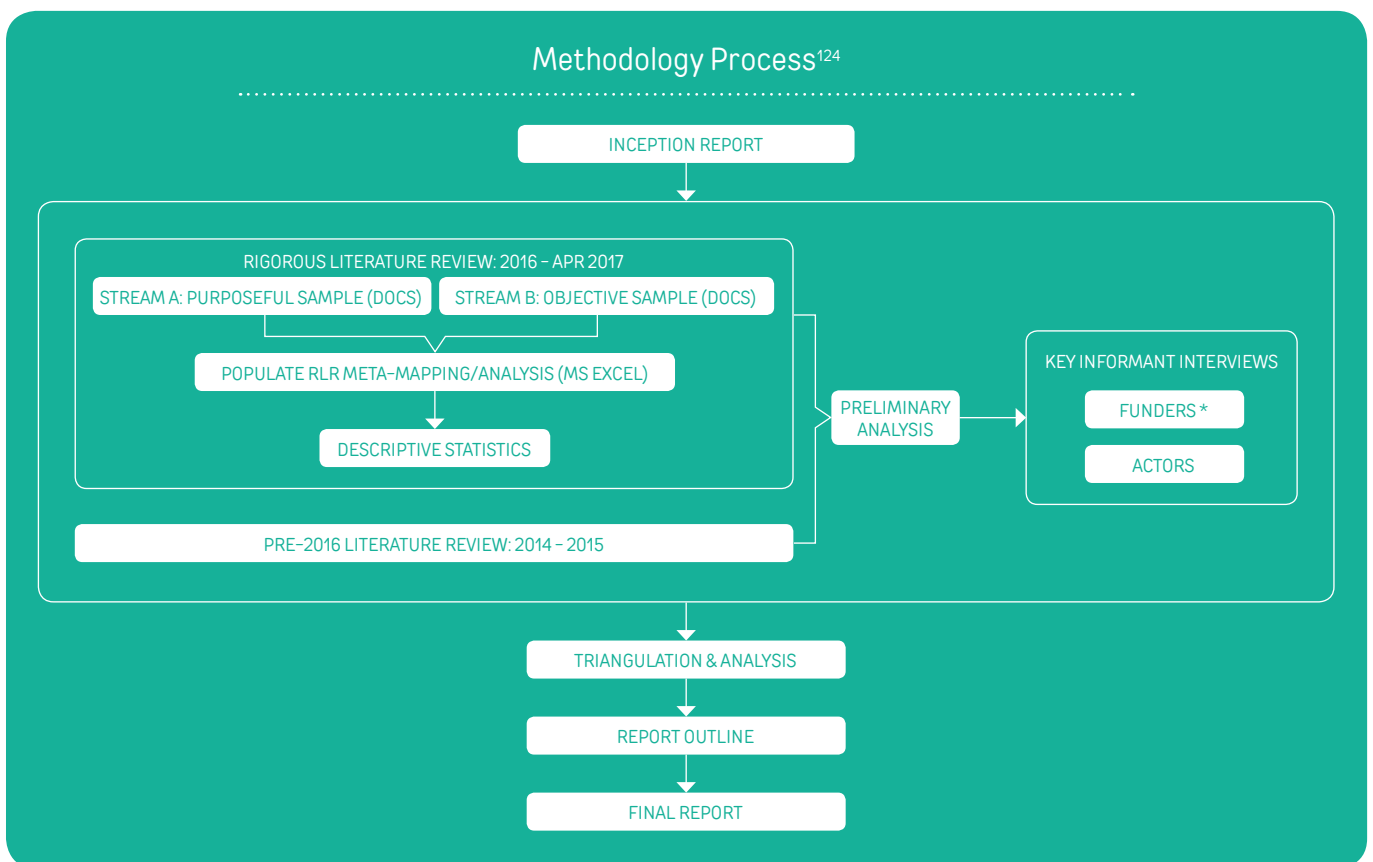
Additional evidence-gathering (to be collected to shed new light on the RLR database)

The following analysis tasks would require collecting / compiling additional evidence and comparing it to the current RLR database:

- **On-line systematic and wide-reaching survey** of perceptions, qualified by Funder, Academic and Practitioner (non-Academic): to compile quantifiable and anonymous evidence to fill current gaps (in funding volume, modalities, etc.);
- More thorough and representative canvassing of humanitarian Funders and Actors from an in-depth series of **Key Informant Interviews:** drawing from a set of representatives from each profile, region, theme etc. in the current RLR;
- A **forensic analysis of financing** of humanitarian Research and Innovation.
- With both the RLR information and findings from additional funding research, conduct a social network analysis of humanitarian Research and Innovation Funders and Actors.
- **Temporal trends:** analysis only feasible after the RLR is replicated (using comparable methodology). See Technical Annex for a list of lessons learned on how to improve an eventual replication.

ANNEX 2: METHODOLOGY – PROCESS DETAIL

This mapping takes an evidence-based approach, using both quantitative and qualitative methodologies. The different stages of the research process are outlined in the diagram below and described in detail in the sections below.



The Inception Report presented the Project Team’s understanding of the objectives and research questions and outlined the methodology that would be employed during the project; as part of this process the original Terms of Reference were revised, in consultation with Elrha (see Annex 7 for the ToR). The following sections present in detail the methodologies used in this project and associated processes: the Rigorous Literature

Review (RLR); Funder & Actor Database; Pre-2016 Literature Review (PLR); Key Informant Interviews (KIIs); and Triangulation. The methodology presentation concludes with a discussion of the research limitations, challenges and bias.

¹²³ In the diagram, the * refers to how the Funder KIIs were initiated while the RLR was ongoing. See Methodology Section 4 for more on Funder KIIs.

A2-1. Rigorous Literature Review (Jan 2016–Apr 2017)

The primary dataset was collected through a Rigorous Literature Review (RLR), which systematically reviewed documents collected for information in line with the three main research questions relating to funders, actors and output coverage and qualities. The methodology of the RLR adhered to the “core principles of systematic reviews – rigour, transparency [and] replicability” as identified in ODI’s guidance for *How to do a rigorous, evidence-focused literature review in international development*.¹²⁴

The RLR incorporated documents from both a purposeful sample (Stream A) and an objective census¹²⁵ generated through a rules-based search (Stream B). Documents collected through Stream A and B were reviewed by the Research Team and coded in a database (‘RLR Matrix’). Once fully populated, descriptive statistics were generated based on frequencies and analysed by the Research Team. In total, **694 outputs were entered into the RLR Matrix, 78% from original documents and 22% as ‘add-ons’** (multiple outputs identified from a single document). The RLR focused exclusively on

documents published within the *current* period: January 2016–April 2017, when the RLR was concluded. Efforts were also made to capture outputs to be launched within 6–12 months of the RLR, however this was not comprehensive.

Within the outputs inventory, **two main variables upon which the analysis is centred** are:

- **Category of output:** in which each output was assigned one category: Innovation, Research, or both (thereby named ‘Combination’).¹²⁶
- **Actor set authoring/creating the output:** Academic or Practitioner. Outputs may be found in scholastic or grey literature, but the authors/creators may be functioning in an academic community or a practitioner one (the two are often acting in silos). Here the output is coded as ‘Academic’, where academics are the dominant author and ‘Practitioner’, where non-academic actors (e.g. NGO, Red Cross Movement, Private Sector) are the dominant authors (e.g. two NGOs and one university = Practitioner output). For the 42 cases where there were two authors (of which one was academic), the first author listed was given precedence.

The final breakdown between output sources and categories is outlined in the table below.

TABLE A2-1

RLR Output Source Overview

Source	Research		Innovation		Combination		Total		Academic		Practitioner	
<i>Purposeful Sample</i>	14	4%	50	19%	20	25%	84	12%	10	4%	74	18%
<i>Reliefweb</i>	152	43%	145	55%	41	51%	338	49%	77	28%	262	63%
<i>Google Scholar</i>	11	3%	1	0%	3	4%	15	2%	9	3%	6	1%
<i>Web of Knowledge</i>	174	50%	67	25%	16	20%	257	37%	182	65%	74	18%
Total	263	100%	80	100%	263	100%	694	100%	278	100%	416	100%

¹²⁴ J. Hagen-Zanker and R. Mallett, ‘How to do a rigorous, evidence-focused literature review in international development’, *Working Paper*, ODI, 2013, p. 4.

¹²⁵ Because the rules-based search started with every single document that satisfied the search criteria, it is not a sample but more correctly considered a ‘census’ of those sources/time periods. We did not draw a sample from this census of documents.

¹²⁶ Innovation outputs were originally captured through rules-based searches using ‘innov*’ (to capture both ‘innovation’ and ‘innovate’ along with ‘humanitarian’ as keywords; Research outputs used ‘research’ and ‘humanitarian’. For an Innovation output to be recategorised as Combination there needed to be an explicit methods discussion within the source document.

A2-1.1 Purposeful Sample (Stream A)

For the purposeful sample, members of the GEG team and Elrha were asked to provide documents they had knowledge of that met the following specifications:

- Humanitarian research and/or innovation mapping efforts and/or systematic reviews that had been produced **since 2016**.
- Humanitarian research and/or innovation outputs that will be produced *within* the next 12 months, i.e. by March 2018 (thereby **excluding** research and innovation processes that are not intended to be released within the next 12 months).
- Humanitarian and/or innovation outputs produced **since 2014** and which the team member/client considers **highly significant**. These samples were divided between those outputs produced since 2016 (for inclusion in the RLR) and between 2014–2015 (for inclusion in the pre-2016 literature review).

While the primary focus of the literature review was 2016–2017, Stream A provided an opportunity to gather a purposeful sample of research and/or innovation documents from this period perceived as critical to be reviewed with the Pre-2016 Literature Review (PLR, 2014–2015). For further discussion on the PLR see Section 3.

While the RLR was ongoing, the Research Team continued to collect significant outputs published or announced as soon to be published through humanitarian email listservs (e.g. Reliefweb, institutional lists, personal actor lists) and Twitter feeds. These were tracked and entered into the RLR Matrix when all other RLR entries had been completed. Where systematic reviews were released that had been previously captured in the RLR (Stream A or B) as protocols, they were replaced by the final completed review.

Where ULR links of publication lists were submitted as part of Stream A, these were not individually searched for documents by the Research Team. It was anticipated that a significant proportion of relevant documents from these sites would have been provided either through direct contribution to the purposeful sample or through Stream B's rules-based search. Where single output details web-based, however, these were included among the samples collected through Stream A.

The total number of documents/output sources collected in the purposeful sample for 2016–2017 and relevant exclusion criteria and process is outlined in Section A2-1.3 below.

A2-1.2 Rules-based Search (Stream B)

A rule-based search was conducted to produce an objective census of documents referred to as 'Stream B'. Once all Stream B documents were identified, they were extracted from the search engines and exported into a Master Documents List on MS Excel. See the table below for search engines and rules.

TABLE A2-2

Stream B Search Engines & Rules

	Web of Knowledge	Google Scholar	Reliefweb
URL	apps.webofknowledge.com Password: Elrha_GEGCONSORT (NB: 2 zeros, all caps)	https://scholar.google.com/scholar	http://reliefweb.int/updates
Search Rule	TITLE: (humanitarian AND (research OR innovat*)) OR TOPIC: (humanitarian AND (research OR innovat*)) 2016 TO PRESENT, TITLE AND TOPIC ANY LANGUAGE, ANY FORM	TITLE: (humanitarian AND (research OR innovat*)) 2016 TO PRESENT, ANY LANGUAGE, ANY FORM TITLE (topic search not available)	ANYWHERE: (humanitarian AND (research OR innovation)) 2016 TO PRESENT, ANY LANGUAGE, ANY FORM Humanitarian further filtered by FORMAT 'analysis'
Date of Search	23 March 2017	23 March 2017	23 March 2017
Languages	No pre-set language selection. English (92%), Russian (6%), others: Spanish, Italian, German, see table	No pre-set language selection. Unrestricted, no ready data	No pre-set language selection. English (99%), French (0.5%), Spanish (0.5%)
Document List	Created automatically in MS Excel from WoK	Created manually in MS Excel from the web search.	Created manually in MS Excel from web search.

A2-1.3 RLR Master Documents Database

Reference details for all documents identified from both Streams were transferred or exported to an RLR Master Documents Database in MS Excel. In addition to capturing reference details,¹²⁷ each document was assigned a code for their Stream (A or B) and Source (WOK, GS, or RW); for Stream A documents, these were divided between 'completed single outputs' (CS) and 'other' (other). Documents were also identified as 'Research', 'Innovation' or 'Combination'. The addition of the 'Academic' or 'Practitioner' source variable was added once all documents had been reviewed and entered.

¹²⁷ The level of detail varies between what was readily and easily available for export from the search engines. At a minimum document title and authoring institution are captured.

At this stage the documents were reviewed for preliminary exclusions based on the following rejection criteria:

- *False positive*: Meaning of the word 'humanitarian' ≠ 'the sector' (i.e. it describes a sentiment, or a subset of health care, etc.) and/or 'innovate' or 'innovative' is mentioned as a passing reference/use as adjective/innovation writ-large, non-specific.
- *Method mismatch*: Has no humanitarian application (e.g. biographical or related research whose product is journalistic or historical).
- *Duplication* across or within Streams. Where duplications between Stream A and B were identified, Stream B was given prominence.

Preliminary exclusions were marked with rejection codes accordingly and separated from main list. With the preliminary exclusions removed, each document was assigned a number within their Stream and Source, creating a unique identification code, hereafter Unique ID (e.g. A-CS-1, B-WOK-1, B-GS-1, B-RW-1). The documents were then allocated to the individual (analyst) that would enter details in the RLR Matrix.

All documents were archived and sorted into pertinent folders and subfolders on DropBox on an ongoing basis during the RLR. Documents were saved under their Unique ID along with primary author publication year. All archived documents are to be shared with Elrha except for those copyright restrictions prevent sharing of softcopies (primarily WoK documents).¹²⁸

A2-1.4 Categories and Topics Included in the RLR

For each output a series of data was collected as part of the mapping process. These categories and topics were initially identified as part of the inception phase through a combination of GEG team expert input and rapid, non-systematic review¹²⁹ of typologies or key themes used by a range of funders and actors including: OFDA keywords; DFID humanitarian funding guidelines; ECHO policy guidelines & Single Form ; German humanitarian funding selected government-issued evaluations of humanitarian funding; SIDA; HPG Themes; ALNAP Keywords; GHA Themes; Humanitarian Indicators Registry; SOHS sectors; Harvard Humanitarian Initiative; Tufts Feinstein Center; IRC; ACAPs crisis analysis themes; and Sphere 2011. These entities were identified for their prominence in the humanitarian field as well as the top humanitarian donors (according to the UN Financial Tracking Service). The initial list generated by this process was then further revised and adapted as the RLR Matrix was constructed and during initial testing by the Research Team (see Section A2-1.5.1 below). The final list of included categories and topics is detailed in the table below; definitions are provided in footnotes where relevant.

128 The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted materials. Under certain conditions specified in the law, libraries and archives are authorised to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be "used for any purpose other than private study, scholarship, or research". Furthermore, "If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of 'fair use', that user may be liable for copyright infringement. The electronic copy must be deleted after printing and the end user can only receive a single paper copy. This institution reserves the right to refuse to accept a copying order if, in its judgement, fulfilment of the order would involve violation of copyright law".

129 The choice of a rapid, non-systematic review of typologies in use was based on available LoE.

TABLE A2-3

RLR Categories and Topics¹³⁰

Category	Type
Funders	Name Type ¹³¹ HQ Country Language Funding Volume
Actors	Name Type ¹³²
Phase of IDRM ¹³³	Response Recovery Preparedness Prevention
Country	Country/ies that are the focus of the output: free text entry
Region	Region(s) that is the focus of the output: Africa, Americas, Europe, ¹³⁴ Eurasia, ¹³⁵ Asia Pacific, MENA, Global, NA
Level of focus ¹³⁶	Global, national, sub-national, community
Context	Urban, rural, both ¹³⁷
Sector/Cluster ¹³⁸	Camp Management & Coordination ¹³⁹ Coordination & Support Services ¹⁴⁰ Child Protection ¹⁴¹ Education ¹⁴²

130 All of the above marked * could be answered 'yes, explicitly', 'yes, implicitly'; all of those marked ° were yes or no *or yes, no or unknown. To be explicit (throughout the RLR), the terms had to be found verbatim.*

131 Donor agency/Government, UN, NGO (level unknown), INGO, NNGO, LNGO, ICRC, IFRC, Red Cross National Society, IFI, academic, private sector, foundation, other, unknown. With respect to private sector, for the mapping this includes non-profit companies unless they specifically identify themselves as NGOs or charities (e.g. clear registration number).

132 Actor types options are the same as Funders; see footnote 102.

133 Keywords for RLR search included: 'response', 'recover/recovery', 'prepare/preparedness', 'prevent/prevention'.

134 Europe includes EU/EEA countries with the addition of Ukraine, Macedonia, Bosnia and Herzegovina and Serbia as countries within the European continent and with agreements with the EU.

135 Eurasia includes Turkey, Russia, Georgia, Uzbekistan, Kazakhstan, Tajikistan, Kyrgyzstan, Turkmenistan and Afghanistan.

136 Refers to the level at which the research or innovation is taking place. The findings from this theme were unclear and therefore excluded from the results presentation.

137 Keywords for RLR search included: 'urban', 'rural'.

138 The descriptions for the Clusters/Sectors were adapted from the Global Clusters website (www.humanitarianresponse.info/en/coordination/clusters/global) and Cluster lead discussion sites where additional information was needed. Exception is Coordination & Support Services, which is a sector that does not double as a cluster/sub-cluster and was adapted from humanitarianresponse.info discussions.

139 Camp Management & Coordination addresses access to services and protection for displaced persons living in communal settings, taking into account camp administration, management and coordination. Can extend beyond camps to collective centres, spontaneous sites, temporary settlements and transit/return centres. Keywords for RLR search included: 'camp', 'coordination'.

140 Coordination & Support Services typically refers to the inter-cluster or inter-agency coordination and support services provided by the UN, often seen through OCHA and/or HCTs. Keywords for RLR search included: 'coordination', 'support services'.

141 Child protection focuses on enhancing child protection concerns including: risk of injury and disability, physical and sexual violence, psychosocial distress and mental disorders, family separation, recruited into armed forces, economic exploitation or interaction with the justice system. Keywords for RLR search included: 'protection' and 'child'.

142 Education is concerned with provision of education for populations affected by humanitarian crises. Frequently, but not exclusively, focused on child education. Keywords for RLR search included: 'education'.

	Early Recovery ¹⁴³ Emergency Telecommunications ¹⁴⁴ Food Security ¹⁴⁵ Health ¹⁴⁶ Logistics ¹⁴⁷ Mine Action ¹⁴⁸ Nutrition ¹⁴⁹ Protection ¹⁵⁰ Shelter/NFI ¹⁵¹ WASH ¹⁵² Sector Not Specified/NA/No further mention
Form of Most Final Output	Concept ¹⁵³ Document ¹⁵⁴ Tangible Product (non-document) Workshop Consultation/Discussion Campaign
Research: Purpose ¹⁵⁵	Applied Basic/Pure Undetermined

- 143 Early recovery is concerned with addressing recovery needs that arise during a humanitarian crisis, using humanitarian mechanisms that align with development principles. Aims to build resilience and establish a sustainable process of recovery from crisis. The cluster is concerned with establishing and maintaining the ER standards and policy, build response capacity and operational support. Livelihoods are captured under here if otherwise not specified. Keywords for RLR search included: 'early recovery', 'recovery'.
- 144 Information and communications technology (ICT) services for practitioners; in cluster form this includes response and coordination among humanitarian organisations; operational security environment for staff and assets; decision-making through timely access to critical information. Keywords for RLR search included: 'telecommunications', 'telecoms'.
- 145 People are considered food secure when they have availability and adequate access at all times to sufficient, safe, nutritious food to maintain a healthy and active life. Food security considers addressing issues of food availability, access and utilisation. Food security is distinct from nutrition (see below). Keywords for RLR search included: 'food security', 'food'.
- 146 Health covers medical and health concerns relating to physical or mental illness or injury. Keywords for RLR search included: 'health', 'medical'.
- 147 Logistics, including supply chain (transport, warehousing, customs, ordering/purchasing) and fleet management. Transport includes road, rail, sea, and air for goods and persons. Keywords for RLR search included: 'logistics', 'supply chain', 'warehouse', 'transport'.
- 148 The objective of mine action is to identify and reduce the impact and risk of landmines and explosive remnants of war (ERW) to a level where people can live safely. Keywords for RLR search included: 'mine action', 'mine', 'explosive'.
- 149 Nutrition is distinct from food security cluster/sector, specifically concerned with nutrition/malnutrition. Key considerations will include trends in global acute malnutrition (GAM) and severe acute malnutrition (SAM) as part of a thorough situation analysis. Lead is UNICEF while food security lead is WFP. Closely linked with Food Security and Health clusters/sectors. Keywords for RLR search included: 'nutrition'.
- 150 Protection is aimed at obtaining full respect for the rights of all individuals in accordance with international law – international humanitarian, human rights, and refugee law – regardless of their age, gender, social ethnic, national, religious, or other background. Protection discussions may not specifically reference international law, but will be concerned with the themes covered within. Keywords for RLR search included: 'protection'.
- 151 Shelter (right to adequate housing) and non-food items; NFIs here are non-medical. Keywords for RLR search included: 'shelter', 'NFI', 'non-food item'.
- 152 Water, Sanitation and Hygiene (WASH); while each a separate field of work, each is dependent on the presence of the other. Water focuses on access to safe drinking water; sanitation on the use of basic toilets and ways to separate human waste from contact with people; and hygiene on hygiene practices. Keywords for RLR search included: 'WASH', 'water', 'sanitation', 'hygiene'.
- 153 Concept applies when a concept is the most advanced output discussed, even if it appears within a document/report.
- 154 Includes reports, journal articles, blogs and other outputs in which the form of the most final output is a written document.
- 155 **Applied** refers to research to answer a question or solve a specific problem, requires scientific approach AND a laboratory or field test; **basic/pure** is collectively described in this mapping as research that fills a gap in knowledge or is carried out for the purpose of better understanding (including desk studies, but not exclusively).

Research: Type ¹⁵⁶	Quantitative Qualitative Mixed
Research: Quantitative ¹⁵⁷	Descriptive Correlational Quasi-Experimental Experimental Specific methodology is not indicated
Research: Qualitative ¹⁵⁸	Case Study Ethnography Grounded Theory Historical Discourse Narrative Phenomenology Other Not Indicated
Peer Review ¹⁵⁹	Was the output peer reviewed? °
Innovation: ¹⁶⁰ Product or Process	Product Process Both Unknown

156 **Quantitative methodology** is defined as systematic investigation via numerical data and statistical or mathematical analysis of data. Common methods depend on numbers (as opposed to being converted to numbers), such as statistical modelling. Surveys are typically considered a quantitative tool, even if they collect data on behaviour and opinion. **Qualitative methodology** is defined as systematic investigation via non-numerical data (qualitative data is extremely varied in nature and covers most information that is not numerical (as per original nature, such as discourse, feelings, interactions). Interviews, focus groups and observation are common methods used to collect qualitative data. **Mixed methods** uses both quantitative and qualitative methods.

157 **Descriptive statistics** are used to describe the basic features of the data in a study. They provide simple summaries about the sample and the measures; **correlational** examines the relationship between variables in quantitative research (correlation does not try to influence variables, as seen in experimental research); **quasi-experimental** tests causal hypothesis and is similar to experimental but lacks random assignment; **experimental** tests a hypothesis and establishes causation by using independent and dependent variables in a controlled environment and includes random assignment of subjects/variables to experimental and control conditions.

158 **Case study** is an in-depth investigation of a single individual, group, context, or event; case studies can be explanatory, exploratory, or describing an event; **ethnography** describes a culture's characteristics, in which culture can be that of people or organisations; **discourse** analysis covers a number of approaches to study the world, society, events and psyche as they are produced in the use of language, discourse, writing, talk, conversation or communicative events; **historical** describes and examines events of the past to understand the present and anticipate potential future effects; **narrative** uses stories of life experiences with the aim of the analysis is to gain insights into a person's understanding of the meaning of events in their lives; **grounded theory** is an inductive form of qualitative research in which the theory is developed from the data, rather than the other way around in which data collection and analysis are consciously combined, and initial data analysis is used to shape continuing data collection; and **phenomenology** in which the focus is on the lived experience of individuals or lived experience of a phenomenon. Interpretative phenomenological analysis (IPA) would be included here for typology purposes; IPA aims to offer insights into how a given person, in a given context, makes sense of a given phenomenon.

159 Peer review is defined as an independent review by external peer group and is designed to assess the validity, quality and, potentially, the originality of articles/reports. For non-document outputs the output needs to indicate a clear peer review process in the development or testing research, otherwise it would be NA or Unknown as appropriate. Awards for innovation are considered a peer review.

160 **Product** refers to Changes in the products/services which an organisation offers, or changes to products used to deliver services (e.g. drones). This could be new products or changes to existing products. **Process** refers to Changes in the ways products and services are created or delivered. The definitions were adapted from Elrha/HIF, primarily 'Types of Innovation: The 4Ps' available on the Elrha/HIF website and A. Obrecht and A. T. Warner, *More than just luck: Innovation in humanitarian action*, HIF/ALNAP Study. London: ALNAP/ODI, 2016. These adaptations were then reviewed by GEG's innovation expert and further modified based on their feedback for ease in guiding the RLR analyst in allocating appropriately.

Innovation: Prototyping or Scaling ¹⁶¹	Prototyping Scaling Both Unknown
Innovation: Phase ¹⁶²	Recognition Invention Development Implementation Diffusion/Scaling
Output Topics	Access ^{163*} Accountability ¹⁶⁴ Capacity Development ^{165*} Children (Special Groups) ^{166*} Climate ^{167*} Civil-Military Relations (Civ-Mil) ^{168*} Conflict Sensitivity ^{169*} Coordination ^{170*} Disability (Special Groups) ^{171*} Displacement/Migration ¹⁷² Environment ^{173*} 'Evidence' ¹⁷⁴ ◦ Financial Inclusion ^{175*}

161 **Prototyping** is defined as the process of testing the first or preliminary model of something from which further forms are developed or copied. Prototyping could also be considered as a proof of concept in which further forms are developed or copied prior to being further tested in a pilot programme or project. **Scaling** is defined as a process that occurs after prototyping when the innovation is 'scaled-up' (e.g. increased usage, application, further development); diffusion was also implicitly included here as an aspect of scaling in promoting wider use. See footnote 136 for definition reference.

162 The phases of innovation were defined as follows: **recognition** of a specific problem or challenge; **invention** of a creative solution or novel idea that is then further shaped through a process of ideation to address a problem or seize an opportunity; **development** of the innovation by creating practical, actionable plans and guidelines; **implementation** of the innovation to produce real examples of change and testing it to see how it compares with existing solutions; and diffusion/scaling, **diffusion** of successful innovations; taking them to scale and promoting their wider use. See footnote 136 for definition reference.

163 Access of implementing agencies to affected populations and/or affected populations access to services. Keywords for RLR search included: 'access'.

164 Accountability is divided into three types: Accountability Generally, Accountability to Donors, Accountability to Affected Population. Keywords for RLR search included: 'accountability', 'accountability to affected populations', 'AAP', 'communication with communities', 'CwC'.

165 This is defined broadly in this mapping as capacity development of practitioners (international or local), governments, and/or other activities related to 'training'. Keywords for RLR search included: 'capacity', 'training'.

166 Keywords for RLR search included: 'child', 'children'.

167 Keywords for RLR search included: 'climate', 'climate change', 'CCA'.

168 Keywords for RLR search included: 'civ-mil', 'civil-military', 'military' and 'coordination' or 'collaboration'.

169 Conflict sensitivity takes into consideration the positive and negative impacts of interventions and the impact of contexts on interventions; Do No Harm is included here by extension. Keywords for RLR search included: 'conflict sensitivity/sensitive', 'do no harm'.

170 Keywords for RLR search included: 'coordinat*'.

171 Keywords for RLR search included: 'disability', 'disabled', 'handicap'.

172 Could be answered yes 'explicitly', 'implicitly' or no; if either yes option was selected then requested additional details on Displacement Group (Refugee, IDP, Both) and Displacement Type (Camp Setting, Non-Camp Setting, Ongoing Movement Setting, and All Settings). 'Non-camp settings' includes open-settings (urban/rural) but excludes settings of ongoing movement which are captured separately. For Displacement, keywords for RLR search included: 'displacement', 'migration', 'IDP', 'internally displaced', 'refugees', 'migrants'; for Group keywords included: 'refugees', 'internally displaced', 'IDP'; for Type keywords included: 'camps', 'non-camp', 'ongoing movement', 'open settings', 'urban', 'alternatives to camp'.

173 Keywords for RLR search included: 'environment'.

174 'Evidence' refers to specific discussions on 'evidence-based research', 'use of evidence' and 'improving' both the quality of evidence in humanitarian research and how evidence is used in humanitarian decision-making. Keywords for RLR search included: 'evidence' and 'use of evidence'.

175 The ability of individuals and businesses to have useful and affordable access to financial products and services that meet their needs – transactions, payments, savings, credit and insurance – delivered in a responsible and sustainable way. Keywords for RLR search included: 'financial inclusion'.

	Financing ^{176*} Gender ^{177*} Gender Based Violence ^{178*} Governance ^{179*} Humanitarian–Development Nexus ^{180*} Humanitarian Principles ^{181*} Information Management ^{182*} International Humanitarian Law (IHL) ^{183°} Livelihoods ^{184*} Localisation ^{185*} Modality ¹⁸⁶ Older Persons (Special Groups) ^{187*} Partnerships ^{188*} Private Sector Engagement* ‘Policy’ ^{189*} Resilience ^{190*} Safety & Security ^{191*} Social Impact ^{192*} Special Groups: Technology & Telecommunications (Tech) ^{193°} Other (free text)
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176 Keywords for RLR search included: ‘financing’, ‘funding’, ‘grand bargain’.

177 Keywords for RLR search included: ‘gender’, ‘women’, ‘men’, ‘boys’, ‘girls’.

178 Keywords for RLR search included: ‘GBV’, ‘SGBV’, ‘gender based violence’, ‘sexual violence’, ‘rape’.

179 Governance refers to system-level governance and leadership. Keywords for RLR search included: ‘governance’, ‘regulatory’, ‘system structures’, ‘system coord*’, ‘leadership’.

180 The term ‘humanitarian–development nexus’ is intended to cover a range of terms/areas including: linking relief and development; linking relief, rehabilitation and development (LRRD); the connection between relief and development; the coordination or synergies between relief and development; the Grand Bargain (WHS), which discusses synergies and coordination; it can also refer to outputs that target both relief and development (thereby implicitly addressing synergies and connections). Keywords for RLR search included: ‘humanitarian–development’ ‘link/connection/disconnect/synergies’, ‘grand bargain’, ‘nexus’, ‘LRRD: linking relief, rehab, and development’.

181 Keywords for RLR search included: ‘humanitarian principles’, ‘principles’, ‘humanity’, ‘neutrality’, ‘independence’, ‘impartiality’.

182 Keywords for RLR search included: ‘info’ or ‘information management’, ‘data management’.

183 Keywords for RLR search included: ‘IHL’, ‘humanitarian law’, ‘Geneva Conventions’.

184 Keywords for RLR search included: ‘livelihood(s)’, ‘employment’, ‘jobs’, ‘assets’, ‘income’.

185 Keywords for RLR search included: ‘localisation/localization’, ‘local’, ‘national’, ‘nationalisation/nationalization’, ‘charter 4 change’.

186 Could be answered Cash–and–Vouchers, In–Kind, Both, NA. Keywords for RLR search included: ‘in-kind’, ‘NFIs’, ‘food’, ‘cash’, ‘vouchers’, ‘CTP’.

187 Keywords for RLR search included: ‘older person(s)’, ‘elderly’.

188 Keywords for RLR search included: ‘partnership’, ‘partners’.

189 The term “policy” is used loosely, and can refer to targeting governments, system-wide policies, or other policies (e.g. data protection). Keywords for RLR search included: ‘policy’, ‘policies’.

190 Keywords for RLR search included: ‘resilience’, ‘resilient’.

191 Refers to the safety and security of humanitarian staff and assets. Keywords for RLR search included: ‘safety’, ‘security’, ‘staff’.

192 Social impact in this mapping refers to addressing the distributional impacts on welfare, or well-being, including both income and non-income aspects but also specifically including social impact investing (the use of private investment capital to finance activities that generate a social benefit as well as a financial return) and social impact bonds. Keywords for RLR search included: ‘social impact’.

193 If yes, could be identified (yes or no) as UAV/Drone, GIS, or Remote Sensing. Keywords for RLR search included: ‘ICT’, ‘telecoms’, ‘telecom’, ‘tech’, ‘mobile’, ‘cell’, ‘GPS’, ‘SMS’. For sub-types, keywords included: ‘uav’, ‘drone’, ‘GIS’, ‘geographic information systems’, ‘mapping’, ‘remote sensing’.

Humanitarian Event Type	Conflict Human-Induced (non-conflict) ¹⁹⁴ Natural Hazards ¹⁹⁵ <ul style="list-style-type: none"> · Geophysical · Hydrological · Climatological · Meteorological · Biological · Environmental All (or not stipulated)
Affected Communities	Were affected communities consulted in the effort? ¹⁹⁶ ◦
Explicitly Cited Gaps	What EXPLICIT gaps or unmet needs were highlighted in the document? ¹⁹⁷

It is important to note that in capturing the category and topic information, the RLR did not evaluate the quality of the documents or evidence therein. Within the level of effort (LoE) available it was not possible to support both the breadth of coverage and maintain rigor in a quality assessment process (e.g. double review each document to reduce bias), and a decision was taken during the Inception Phase to focus on breadth. However, proxies for considering quality are included within the data collected, in particular in relation to the methodology and peer review categories.

A2-1.5 RLR Matrix

A database for collecting and coding the data from Stream A (2016–2017) and B outputs was set-up in MS Excel ('RLR Matrix'). The workbook was divided into four worksheets corresponding to the four questions. Each 'output' had a dedicated row; where a document described multiple outputs (e.g. a document discusses a number of different innovations in detail), these are referred to as 'add-ons'¹⁹⁸ which also received a dedicated row and treated as stand-alone outputs.

The Unique ID and Category (Research, Innovation, Combination) from the RLR Master Documents Database were pre-entered and linked across the worksheets.¹⁹⁹ Analysts (those entering the data) were permitted to change the original category designation based on certain conditions only. Most significantly, to re-categorise Innovation to Combination/Research, the document was required to have an explicit methods discussion or section (see also Annex 3: RLR Matrix Instructions). Analysts were also asked to give each output a name, preferably in five words or less; this was intended to capture the output being described, not necessarily the title of the document.

¹⁹⁴ Human-induced non-conflict includes economic, industrial and transport-related events.

¹⁹⁵ **Geophysical** includes earthquake, mass movement (geo/dry), tsunamis and volcanic; **Hydrological** includes floods, mass movement (wet), avalanches and wave action; **Climatological** includes drought, wildfires, Glacial Lake Outburst Flood (GLOF); **Meteorological** includes cyclones, tornados, storms and extreme temperatures; **Biological** includes disease epidemics and insect/animal plagues; and **Environmental** includes sea level rise (SLR), deforestation, desertification, salinisation, and similar hazards.

¹⁹⁶ Consultation could include anything from a classic survey to actually engaging communities in the design of an innovation; a 'yes' response was any reference to consultation, engagement or other interaction with the affected communities to inform the output. The analysts did not judge/evaluate this engagement.

¹⁹⁷ A free text response in which analysts were asked to enter any explicit reference to gaps and/or areas for further attention/research/innovation found in key locations within the document being reviewed (e.g. summary, conclusion).

¹⁹⁸ Add-ons were used only for Innovation or Combination outputs where they were discrete innovations and that there is sufficient information in line with the columns on worksheets 2 and 3 to enter individually and that are relevant for humanitarian action in line with the definition of humanitarian action in use in this project. Research is excluded here as it would imply entering an entire reference list or bibliography from which the output is drawing its information but are not being presented as individual, different, discrete outputs.

¹⁹⁹ For 'add-ons' analysts created new lines in the Matrix and entered the same Unique ID followed by '-ADD-ON-X' where X is the add-on number (e.g. A-CS-9-ADD-ON-1).

Within the Matrix, each variable/topic received a dedicated column with a pre-programmed drop-down menu of possible entries (responses). In coding the entries, the analyst entering the data was asked to consider if the output **focuses** on the topic in question. The Matrix explicitly instructs the analyst to consider the frequency that the key words (or their associated terms) appeared in a document, but also **where** the key words appeared, with particular significance given to the abstract, summary and/or conclusion. Those terms requiring explanatory guidance to ensure a common understanding were described in the Matrix's Codes Sheet (see table above). To provide a common approach and guidance for the analyst, Row 2 of each column provided detail on what type of information was to be captured and, where relevant, Row 3 provided guidance on what key words to search for in the document. For example, for livelihoods, the primary keyword was 'livelihoods' with the designated associated keywords 'employment', 'jobs', 'assets' and 'income'. **For the focus to be explicit, the keywords must be used, also taking into consideration context of use, frequency and location within the document (e.g. summary, conclusion).** All keywords are provided in footnotes to topics listed in Table A2-4.

A2-1.5.1 Matrix Testing

Prior to starting the population process, the RLR Matrix was independently tested by the two members of the Research Team using the same four documents. These documents were from across the sources of Streams A and B and represented a mixture of Research and Innovation outputs. Once the outputs had been independently coded, the researchers reviewed each individual answer together, determined why there might be differences in responses and where relevant revised the Matrix. It was at this stage of the process that the majority of yes/no answers were converted to distinguish between 'yes' explicitly and implicitly to better highlight both where the data is implicit but also where individual bias may lead to that conclusion.

Revisions and adaptations to the Matrix continued until approximately the first 40

entries. This iterative and adaptive approach was important in refining both what data categories and detail to capture.

A2-1.5.2 Matrix Population (Data Entry)

The RLR Matrix was populated by three analysts: the Research Specialist (50%), the Research Methods Specialist (37%) and Project Support team member (13%), with the Research Methods Specialist in the role of RLR Manager. In order to participate in the data entry process, the Project Support team member received an induction on using the RLR Matrix. The induction included a column-by-column explanation of the Matrix, including topics and possible entries and how to search the documents and meaning of 'focus'. This was then followed by a practice test in which the new analyst was asked to enter at least three documents into the Matrix; the analyst giving the induction also coded these documents independently. For each output coded, the responses were compared and any differences discussed to ensure common understanding and a harmonised approach. This induction could be repeated for any individual undertaking RLR Matrix data entry.

The Matrix (and induction) also included guidance on:

- Rules and criteria for recategorising outputs (e.g. Innovation to Combination, Research to Combination)
- How to code duplicates of an output they have already entered
- Rejection criteria for false positives and how to code false positives
- Coding documents that could not be found (i.e. where all attempts to access/locate an output have been unsuccessful, including through libraries)

Taking into consideration the junior team member's lower level of expertise in the subject matter and research, that individual was assigned what were anticipated to be less complex outputs and was managed closely, including spot-checking entries and monitoring and responding to the junior team member's

comments log, which was maintained to record any questions or issues that arose.

Step-by-step instructions for RLR data entry, including details on the above rules and criteria, can be found in Annex 3: RLR Matrix Instructions.

A2-1.5.3 Data Merging and Cleaning

Once all data had been entered in the individual RLR matrices, they were merged into one RLR Master Matrix. As part of this process, the entries were also transferred from the four separate worksheets into a single comprehensive sheet in the Master Matrix. The data was then carefully reviewed and cleaned.

Part of the cleaning process included checking the merged dataset for further duplicates. For Research categories, duplication was defined as the same research title by the same author. Taking into account that the preliminary exclusions had already identified duplications by document title, duplicates in all categories were captured on an ongoing basis within the individual matrices; Academic literature was predominantly allocated to one analyst and the Practitioner literature allocated to the other two analysts, and it was assumed that 'Research' duplicates had already been identified. Therefore, the post-merge review for duplicates focused on 'Innovation' and 'Combination'. An innovation-related duplicate was defined as being the exact same innovation (e.g. mVAM) irrespective of the Actors associated with it; if, however, the innovation uses the same or similar underlying product or process but is not the exact same innovation, then it was not considered a duplicate (e.g. use of e-payment technology by different actors). In total, 7 duplicates were identified 'post-merge'; where relevant, additional information from a duplicate was added to the retained entry for more complete data collection.

With the cleaning process complete,²⁰⁰ a series of worksheets were created in the Master Matrix: 1) a master list with all RLR entries, including exclusions; 2) a sheet of all extracted exclusions (i.e. duplicates, false positives and not found); and 3) a final full clean set of data with the exclusions removed. This third dataset forms the basis of the descriptive statistics.

Two specific sub-sets of data required additional revisions before their frequencies could be generated: 'other' and 'gaps/unmet needs', both of which were free text entries. For 'Other', analysts could add additional keywords if they felt the output topic was not covered among the options provided and/or where the analyst felt additional detail was required; 'gaps/unmet needs' allowed the analyst to capture specifically cited gaps and/or areas for additional research/attention specifically cited in the output in key sections (e.g. summary, introduction, conclusion). For these two data sub-sets, the relevant columns were exported from the RLR Master Matrix to new workbooks and were reviewed by a single analyst from which harmonised codes were generated. The frequency statistics for these were then generated, distinct from the main RLR Master Matrix.²⁰¹

For question 4/Gaps, five key humanitarian documents were examined and coded in a separate XLS file. For each document, the executive summary was studied first and then systematic searches were run on a series of words (gap, need, lack, challenge, neglect, miss*, lowest and worst). At each citing, the phrase was examined for reflection of a gap and the phrase pasted into the matrix. Later, findings from the gap analysis described above (RLR and PLR coding) were aligned to the same structure. Reading through each theme, a convergence

²⁰⁰ NB regarding entries A-OTHER-20 - 26: These outputs are 'upcoming' with details provided 'word of mouth' by Elrha and therefore had significantly reduced details, resulting in a high degree of 'NA', 'Unknown' and 'No' entries for topic areas and other variables. These have not been separated from the total number of outputs collected in the RLR, however as this only impacts 6 outputs, it is not considered to have a significant impact on the findings.

²⁰¹ The RLR Master Matrix reflects the original entries; the recoded entries are available in standalone worksheets.

of critical or multiple citations were subjectively classified as Strong, Med, Low gap. Finally, the Overall and Research–Innovation–Practitioner–Academic findings were aligned along with the classifications of Strong, Med, and Low. The divergence between the reports and the RLR classification was analysed and used to write the Q4 chapter.

A2-1.5.4 Descriptive Statistics & Analysis

In generating the descriptive statistics, the cleaned dataset was organised by variable name, variable type, number of entries and number of categories (i.e. possible answer options). Descriptive statistics were then generated in MS Excel using tables on a new worksheet within the same RLR Master Matrix.

In analysing the findings, the descriptive statistics were reviewed independently by the two members of the Research Team in order to:

- Generate independent findings, including identify the findings each felt to be most salient
- Identify any potential errors or problems with any of the tables/data
- Identify ‘gaps’ in understanding and evidence (in part to inform the Actor KIIs)
- See how differently the tables could be read/ understood

Following the individual analysis, the researchers shared, compared and merged their findings.²⁰² These discussions directly informed the draft Report Outline.

²⁰² In managing LoE, frequencies for ‘other’ and ‘gaps/unmet needs’ free text entries were reviewed by only one member of the Research Team.

A2-2. Funder & Actor Database

Funder and Actor data identified through the RLR was exported to a separate database. The rationale for this was: 1) to provide a Funder & Action Database as a standalone output from the project; and 2) to maximise the Funder and Actor data collected.

The RLR only captured up to two Funders and three Actors per output. Where an output had more than this limit of Funders or Actors, this information was captured separately, including frequencies related to Research, Innovation and Combination to support the overall analysis. The Funder & Actor Database also incorporated additions from the team. As such, the data sources for Funders and Actors are as follows:

- Funders or Actors identified through the RLR process and captured in the RLR Master Matrix (Source code: RLR (1)).
- Funders or Actors that were identified through the RLR process but are *not* captured in the RLR Matrix (Source code: RLR (2)). This reflects the ‘overflow’ of Funders or Actors that could not be captured within the two Funders and three Actors RLR limit; during the final consolidation, where a Funder or Actor had been identified through both RLR (1) and RLR (2) they (and any corresponding frequencies) were combined (Source code: RLR (1 & 2)).
- Funders or Actors added by the GEG team but were not identified through the RLR (Source code: Team).

As a result of the above, the total number of Funders and Actors in this database exceeds the number in the RLR Master Matrix. It should also be noted that **only 36% of RLR outputs had information on Funders**. This **excludes** outputs from two false positives from Stream A that provided lists of Funders but did not have sufficient information to be added as RLR entries. Owing to the different sampling approach, Actors identified through the PLR have not been included in the Funder & Actor database at this time. The table below provides an overview of Funders and Actors identified by source.

TABLE A2-4

Funders and Actors by Source

Source Code	Funder		Actor	
RLR (1)	152 ²⁰³	63%	634	74%
RLR (2)	71	29%	143	17%
RLR (1&2)	0	0%	39	5%
Team	20	8%	37	4%
Total	243	100%	853	100%

As noted in the main report, team additions were excluded from the main discussion as not associated to specific outputs during the current period. While the Database includes identification of Funders and Actors by Category (Research, Innovation, Combination), this is based on how they were identified in the RLR and entities may work across categories even if not identified as such in the Database.

With respect to how Funders and Actors are counted, different departments within an entity are counted and entered separately depending on how they were identified in the literature. For example, Johns Hopkins University is counted separately from Johns Hopkins Bloomberg School of Public Health or the Johns Hopkins University Center for Humanitarian Health; this logic also applies to think tanks with different departments (e.g. ODI is distinguished from ODI/HPG) or divisions within Funders (USAID distinguished from USAID/OFDA).

A2-3. Pre-2016 Literature Review (2014-2015)

In order to provide additional background for the 'current' (2016-2017) overview of humanitarian research and innovation, a separate set of data was collected for the 2014-2015 period. A full extension of the RLR to cover 2014-2015 was not feasible within the time and LoE available, however to mitigate (to a degree) concerns by both Elrha and the Research Team that the RLR might indicate low coverage topics that had received more coverage previously, a review of literature for the 2014-2015 was included to the extent possible. In order to both maintain rigor and to combine purposeful and objective samples, the rules of the objective sample were restricted to systematic reviews and evidence syntheses (which was also indicated as the priority preference by Elrha should some 2014-2015 literature review be possible). As result of this focus, the PLR has a strong bias for Research.

Owing to the different search rules and review process (see below), the intention was not to create a comparative dataset for the main RLR or to support a temporal analysis but rather to provide an indication of the humanitarian research and innovation landscape during this time. It should also be noted that, by focusing on systematic review and evidence study outputs, the PLR favoured Research outputs (78%), with Innovation and Combination at 18% and 4% respectively. The final breakdown between output sources and categories is outlined in Table A2-5 below.

203 Note the final number of Funders includes two RLR (1) source entries where all information is unknown except the name; these have been excluded from the presentation of findings; when included, the total number of RLR (1) identified Funders is 154.

TABLE A2-5

PLR Output Source Overview

Source	Research		Innovation		Combination		Total		Academic		Practitioner	
<i>Purposeful Sample</i>	6	8%	3	75%	4	22%	13	13%	9	17%	4	8%
<i>Reliefweb</i>	52	66%	1	25%	12	67%	65	64%	24	45%	41	85%
<i>Google Scholar</i>	21	27%	0	0%	2	11%	23	23%	20	38%	3	6%
Total	79	100%	4	100%	18	100%	101	100%	53	100%	48	100%

A2-3.1 PLR Document Sources

The PLR combines purposeful sample documents from Stream A for the 2014–2015 period and documents identified through a rules-based search. As mentioned above, the PLR applied different rules to Stream B for the objective sample; the search engines were also reduced from three to two, excluding Web of Knowledge. The rules-based search for the PLR (Stream C) is outlined in Table A2-6 below.

TABLE A2-6

Stream C Search Engines & Rules

	Google Scholar	Reliefweb
URL	https://scholar.google.com/	http://reliefweb.int/updates
Search Rules	<p>A) TITLE: (humanitarian AND systematic) 2014 TO 2015, ANY LANGUAGE, ANY FORM</p> <p>B) TITLE: (humanitarian AND evidence) 2014 TO 2015, ANY LANGUAGE, ANY FORM</p>	<p>A) TITLE: Systematic 2014 TO 2015, ANY LANGUAGE, ANY FORM</p> <p>B) TITLE: Evidence 2014 to 2015 ANY LANGUAGE, ANY FORM</p>
Document List	Created manually in MS Excel from the web search.	Created manually in MS Excel from the web search.

A2-3.2 PLR Master Documents Database

As with the RLR, reference details for all documents identified from both Streams were exported to a Master Documents Database in MS Excel. In addition to reference details, each document was assigned a code for their Stream (A or C) and Source (GS or RW); for Stream A documents, these were all identified as ‘completed single outputs’ (CS). Documents were also identified as ‘Research’, ‘Innovation’ or ‘Combination’; the ‘Academic’ or ‘Practitioner’ source variables were added once all documents had been reviewed and entered.

At this stage the documents were reviewed for preliminary exclusions based on the following rejection criteria:

- *False positive*: meaning of the word ‘humanitarian’ ≠ ‘the sector’ (i.e. it describes a sentiment, or a subset of health care, etc.); ‘innovate’ or ‘innovative’ is mentioned as a passing reference/use as adjective/innovation writ-large non-specific; ‘Systematic’ in title ≠ systematic review; ‘Evidence’ in title ≠ evidence review and/or evidence in relation to research.
- *Method Mismatch*: has no humanitarian application (e.g. biographical or related

research whose product is journalistic or historical).

- Citation only.
- Inaccessible format.

Preliminary exclusions were marked with rejection codes accordingly and separated from the main list. As only one analyst was involved in the PLR matrix population, it was decided to review for duplicates on an ongoing basis; as a result, duplicates were excluded in the order they were identified, rather than by a prioritised source.

With the preliminary exclusions removed, each document was assigned a number within their Stream and Source, creating their Unique ID. All documents were archived and sorted into pertinent folders and subfolders on DropBox on an ongoing basis during the PLR. Documents were saved under their Unique ID. All archived documents from the PLR are available to be shared with Elrha.

A2-3.2 Pre-2016 Lit Review Matrix

The PLR Matrix was a modified version of the RLR Matrix, with the scope reduced to capture information on:

- Actor name and type.
- Cluster/sector.
- Cross-cutting themes (gender, environment).
- Geographic focus (region).
- 'Output focus' categories.²⁰⁴
- Humanitarian event type.
- A yes/no question on whether the output indicates a need for further research in their subject area.

The PLR did not capture information on Funders, as the RLR had shown that limited information on Funders was available. Also owing to the limited LoE available for the PLR, entries were less investigative than the main

²⁰⁴ Accountability, localisation, special groups, GBV, displacement/migration, livelihoods, resilience, climate, humanitarian-development nexus, partnerships, private sector engagement, capacity development, coordination, governance, civ-mil coordination, modality, financial inclusion, financing, information management, tech, UAV/drone, GIS, remote sensing, social impact, conflict sensitivity, humanitarian principles IHL, access, safety.

RLR and based on the primary overall focus of the outputs, as indicated by title, summary and conclusions as appropriate. Because of the LoE concern, the PLR was not included in the original methodology and added only later and structured based on time available.

A2-3.2.1 Descriptive Statistics & Analysis

Once all the data was entered, it was reviewed and cleaned. Frequency statistics were generated on a separate worksheet within the PLR Master Matrix using pivot tables. Owing to limited LoE, these statistics did not go through independent review prior to incorporation into the wider preliminary analysis however, owing to the restricted contribution of PLR findings, this was not viewed as having a significant impact on rigor. The findings of the PLR were used in the preliminary and final analysis to inform RLR findings in relation to coverage and qualities; a discussion of PLR findings is limited to Chapter 4.

A2-4. Key Informant Interviews (KIIs)

The methodology included Key Informant Interviews (KII) targeting both Funders and Actors to complement and triangulate the RLR findings. For the interviews, the Research Team drafted semi-structured questionnaires with consultation from the wider GEG team and Elrha (see Annexes 4 and 5 for Funder and Actor Questionnaires respectively). In total 17 Funders and 13 Actors were interviewed.

A target of 30 KIIs was established for Funders and Actors; this figure was determined not as a representative sample but based on what was considered feasible for the team within the project timeline and within the available LoE. Targeted key informants were distributed across the Funder and Actor categories with geographic and type (Research, Innovation) distribution also taken into consideration. With the target lists, interviews were opportunistic based on available contact information and interviewee availability during the project's KII window. Taking into account this opportunistic

approach, the Funder and Actors categories and geographic distributions were monitored throughout and KIIs adapted where possible in an effort to ensure a minimum standard of distribution was maintained. Specific processes and details related to Funders and Actors respectively are outlined in the sections below.

A2-4.1 Funder KIIs

The primary focus of the Funder KIIs was to address Research Question 1 regarding the funding landscape. Anticipating that there would be limitations on the data provided through the RLR in relation to Funders, interviews were initiated shortly after the RLR commenced, allowing a five-week window for Funder KIIs, including scheduling.

The target list for Funders was developed through a prioritisation process based on the preliminary list of Funders identified at the time of review (n=117) and GEG team additions (n=28).

This list of 145 Funders²⁰⁵ was then shared with Elrha for prioritisation, reducing the list to 66 potential KII targets from which 30 were contacted for interviews.²⁰⁶ Funders that were likely to also be Actors (e.g. Academic and UN entities) were held-over to the Actor interviews to avoid duplication of efforts. The table below shows the final breakdown of KIIs conducted by Funder type and region.

All but two of the Funders interviewed support organisations and/or projects in both Research and Innovation, while two were exclusively Innovation focused. It should be noted that the 17 Funder interviews represent 15 different Funders; for two of the larger donor agencies, there were two interviews each to collect information related to both Research and Innovation.

TABLE A2-7

Funder KIIs Conducted by Type & Region

	Africa	Asia Pacific	Europe/Central Asia	MENA	North America	South/Central America & Caribbean	Total
Donor/Gov	0	2	8	0	2	0	12
Private Sector	0	0	0	0	0	0	0
Foundation	0	0	2	0	2	0	4
IFI	0	0	0	0	0	0	0
Academic	0	0	0	0	0	0	0
NGO	0	0	0	0	0	0	0
Red Cross	0	0	0	0	0	0	0
UN	0	0	0	0	0	0	0
Other	0	0	0	0	1	0	0
Total	0	2	10	0	5	0	17

²⁰⁵ As the Funder interviews were initiated before the RLR process was complete, this did not reflect the post-RLR list of Funders that is presented with the research findings and deliverables.

²⁰⁶ Non-responsive interview targets were contacted with at least one follow-up.

A2-4.2 Actor KII

KIIs with Actors were primarily used to gain additional information on Question 1 as well as selected information in relation to Questions 2 and 3, the scope of which was informed by the RLR preliminary analysis. Actor interviews were initiated only when the RLR was completed to allow them to be informed by the RLR findings; taking into account the project timeline, a three-week window was allocated for Actor KIIs, including scheduling.

The target list of Actor key informants was based on the Actors identified through the RLR and team additions (853 in total). Taking into consideration the scope of the questions, distribution of actor category, type and region, the Research Team produced a prioritised Actor list (n=36)²⁰⁷ to target for KIIs. Twenty-two Actors were contacted for interviews, and 13 interviews conducted.²⁰⁸ Table A2-8 below details the final breakdown of KIIs conducted by Actor type and region.

The Actors interviewed also reflected a mixture of Research and Innovation. The majority of Actors interviewed (n=12) engaged in both research and innovation to varying in degrees; the remainder (n=2) were innovation-focused.

A2-4.3 KII Notes & Mapping

All members of the GEG team conducted interviews except for the Research Methods Specialist and the Project Support team members. Interview notes were recorded within the questionnaire format after which each set of notes was entered into MS Excel in order to 'map' the responses, with each interview being assigned a unique reference code.

The Excel Matrix was divided into two worksheets, one for Funders and Actors respectively. Each worksheet was organised into columns representing the questions and topics covered in the questionnaire. As the individual entering the interview notes

TABLE A2-8

Actor KIIs Conducted by Type & Region

	Africa	Asia Pacific	Europe/Central Asia	MENA	North America	South/Central America & Caribbean	Total
Donor/Gov	0	0	0	1	0	0	1
Private Sector	0	0	0	0	0	0	0
Foundation	0	0	0	0	0	0	0
IFI	0	0	0	0	0	0	0
Academic	0	0	1	0	1	0	2
NGO	1	0	5	0	1	0	7
Red Cross	0	0	0	0	0	0	0
UN	0	0	1	0	1	0	2
Other	0	0	1	0	0	0	1
Total	1	0	8	1	3	0	13

207 This list included 3 Actors related to climate and environment *not* included in the Actor Database; it was not known if they undertook Research and/or Innovation but were added as potential targets that might have knowledge in relation to the coverage of climate and/or environment in humanitarian research and/or innovation.

208 Non-responsive interview targets were contacted with at least one follow-up.

into the Matrix was not necessarily the interviewer, points for clarification, including any extrapolated meanings, were flagged in the interview notes for the original interviewer to respond to in order to minimise any potential errors or misunderstandings.

Once all KIIs were completed and entered into the KII Matrix, they were reviewed for common trends and patterns within each topic area and documented in a qualitative preliminary analysis report of the KIIs. The KII Matrix and findings were then shared with the Research Methods Specialist for independent review and discussion within the Research Team as part of the report drafting process. The KII findings informed the triangulation process and the final report.

A2-4.4 Informed Consent and Confidentiality

During the KIIs, all informants were briefed as to the purpose of the project/research and how the data and research findings would be used. All informants were asked how they wanted their contributions to be treated, including whether they and/or their organisation could be named in the report and/or in the dataset shared beyond the Project Team. All informants were also told that they would receive a copy of the report once it was completed. In order to respect the confidentiality requests of those informants that did not want to be cited and also present a harmonised analysis, the report does not identify any Funders by name but only by type (e.g. donor). The project timeline also did not support gaining approval from informants for their organisation to be cited, as this would require a review of the draft, further contributing to the decision to maintain the anonymity of key informants. A list of KIIs will be shared with Elrha detailing *entity name only* but is not included as an annex for the public report.

A2-5. Triangulation

The data from the RLR, PLR and KIIs was synthesised and summarised for analysis triangulation. This process facilitated the validation of data through cross verification, including reviewing quantitative and qualitative findings together. This approach takes account of different methods to produce a similar picture and increases confidence in the mapping exercise findings, while also providing depth to the analysis. Viewing the analysis from different perspectives also helped to build a more comprehensive picture. This approach includes the independent review of findings by different members of the Research Team and discussing and comparing the independent findings in order to produce a final analysis. The triangulated data forms the basis of the final report.

A2-6. Peer Reference Group Review

As part of the draft final report review process prior to submission to Elrha and as part of the quality assurance process, the draft final report was reviewed by a Peer Reference Group of three independent experts. These individuals had not been engaged in the data collection process and only engaged in the methodology discussions to a limited degree.

A2-7. Research Challenges, Limitations and Bias

Research challenges, limitations and bias considerations for this research are outlined below.

A2-7.1 Focus on the 'Current' Period

This project considers the findings within the context of the 'current' period (2016–April 2017). While the PLR provided some additional insight for reflecting on areas of high and – more notably – low coverage in the RLR, owing to the more limited sampling approach, the PLR cannot provide a comparative dataset for the main RLR or support a temporal analysis and provides **only an indication** of the humanitarian research and innovation landscape during 2014–2015. The KIIs provided some additional information, however the sample size is too small to support conclusive findings in this regard.

The focus on the 'current' period also has implications for the extent to which the project findings can identify 'who, what, when' is driving funding and research and innovation agendas. Taking into account the KII Funder and Actor sample size and the very limited RLR outputs that detail funding volume, findings as to the 'who, what, when' is driving funding and research and innovation agendas are **indications only within the current period**. Furthermore, the focus on the current period also means that determining which of the identified trends are simply heralding the period under study or showing a more enduring finding are beyond the scope of this project. This similarly limits potential explanations for some of the coverage and qualities findings.

A2-7.2 Level of Effort

The project was framed with a strong evidence-based approach and rigorous methodology, however the LoE available for the mapping created some limitations. Specific LoE restrictions on research have already been noted in relation to the KIIs and the PLR. LoE also influenced the decision focus on the 'current' period (above), choosing breadth in the current period over temporal scope. During the course of the project, there was a regular exchange between the Research Team and Project Manager relating to LoE and research implications and every effort was made to adapt to ensure as minimal impact on the research as possible.

A2-7.3 Data on Funders

As mentioned previously, only 36% of outputs had funding information, the majority (66%) in Research and Combination. The Research Team can only speculate why funding information is not cited, but it may be the result of different branding policies among Funders (e.g. some explicitly require reference for funded outputs while others do not) and/or use of unearmarked funds to support the outputs. Both the reduced sample size and potential explanations for the cause not only limit the findings in relation to Funders but also potentially disproportionately emphasise those Funders that do require branding. The focus on the 'current' period, as mentioned above, also creates limitations for determining funding trends.

Specific, detailed information on funding volume (percentage and/or contribution amount) was also a particular challenge. In the RLR only 27 outputs specifically identified the funding volume, all for Innovation. While selected Funders provided some funding volume information during the KIIs, it was not sufficient to draw any conclusions or patterns beyond seemingly providing more information around Innovation funding compared to Research.

The limitations and challenges presented by this dataset were noted by the Research Team while the data collection was ongoing and Elrha was informed in advance that there were anticipated to be limited findings on this specific component of Question 1 (funding landscape).

A2-7.4 Key Informant Interviews

As previously mentioned, the target number of KIIs was not based on a representative sample size but on LoE available and the window available for conducting KIIs, in keeping with the project timeline. Furthermore, in relation to the number of key informants contacted vs. interviews conducted, the KIIs were limited by the responsiveness and availability of key informants during the possible window for KIIs within the project timeline (at least one follow-up effort was with non-response key informants). Data collected through those KIIs conducted was also influenced, and at times limited, by the knowledge of the interviewee related to the questions being asked. Efforts were made to mitigate this by allowing KIIs to provide follow-up details by email should they need to consult a colleague, however this was only a partial mitigation.

A2-7.5 Bias

While it is not possible to eliminate bias, every effort was made to minimise bias in the research process. Specific mitigation efforts included using both purposeful sample and objective census for the RLR and a purposeful and objective sample for the PLR; not restricting documents to a specific language;²⁰⁹ distinguishing between 'explicit' and 'implicit' focus in relation to outputs reviewed in the RLR and PLR; independent review of RLR findings by Research Team members prior to joint analysis; partial mitigation of the opportunistic approach to KIIs through monitoring of KII distribution by type, region and category; and review of draft report by the wider GEG team as well as the Peer Review Group, the latter being disengaged from the data collection process.

²⁰⁹ This was only partially mitigated; while the rules-based search did not specify a language, the searches were not run using keyword spellings in different languages.

ANNEX 3: RLR MATRIX INSTRUCTIONS FOR DATA ENTRY

INSTRUCTIONS FOR POPULATING THE RLR Matrix

Prior to Starting RLR Population

Step 1(A)	Receive document allocations from RLR Manager as indicated in the RLR Documents List.
Step 1(B)	Receive your individual RLR Matrix from the RLR Manager.
Step 2	Review the RLR matrix, including 'codes/cheat sheet' which provides explanations of terms as well as codes.
Step 3	Before your first time entering data into the RLR Matrix, you will run at least 3 test entries with the RLR Manager (or other analyst as identified) to ensure understanding of the format and harmonisation of entries.

For all RLR entries

Step 4	Open your individualised RLR Matrix. If a message box appears asking about links select 'ignore'.
Step 5	Choose a row with your name assigned to it. NB: the RLR Manager may have pre-set your individual matrix so that only those allocations assigned to you appear.
Step 6	Identify/find/download the document. If you choose, you may download your allocations in advance.
Step 7	Save document with the Unique Identifier (e.g. A-CS-1) in file name along with author name and year (e.g. A-CS-1_Harvard_2016), in appropriate sub-folder within the SLR Documents folder.
Step 8	Complete the row for all 4 sheets, starting with Columns C and D on Sheet Q1. NB: Column C is pre-entered, see Additional Considerations for guidance on Recategorisations.
Step 9	Once the row is complete on all 4 sheets, return to Q1 and enter 'DONE' in Column B. Then proceed to the next document starting with Step 5 and repeat the process. Column B entries indicates the status of the output entry; when empty, it is assumed incomplete.
Step 10	Every time you have entered at least 10 new entries (or other agreed number), send an email to the RLR Manager informing them so they can integrate into the RLR Master document. See below for email details and format. All work should be saved in the relevant DropBox folder so no need to send individual RLR as an attachment. If completing more than 10 entries daily, only send one email per day.
Step 11	Inform the RLR Manager (or your designated manager) once you have only 20 or so outstanding documents to complete AND more LoE than required for them.
Step 12	Keep a record of any changes made (per additional considerations) or any questions to be discussed with the RLR Manager.

ADDITIONAL CONSIDERATIONS	
Recategorisations	Outputs have been pre-allocated to three categories: Research, Innovation and Combination. Combination refers to an output that is relevant to both research and innovation. If upon reviewing the output you see that it belongs in a different category than to what it was allocated, you can 'recategorise' by changing the category in Column D. Keep note of any Recategorisations , as you will need to advise the RLR Manager in your updates. Specific rules for recategorisations are below:
	Combination can only be recategorised to Innovation if there is no explicit discussion of research methodology; Combination can only be recategorised to Research if there is no discussion of innovation.
	Innovation can only be recategorised to Combination if there is an explicit discussion of research methodology.
	Research can only be recategorised to Combination if there is a clear discussion of humanitarian-relevant innovation. Humanitarian relevant must be in line with the definition of humanitarian action used in this project.
Duplications	If you encounter an output that is a duplicate of an output you have already entered, enter DUP-X in Column B on Q1 , where X is the case that it duplicates (e.g. DUP-B-RW-1). Keep note of any Duplicates , as you will need to advise the RLR Manager in your updates. By entering DUP in column B, this implies the entry is DONE and you DO NOT enter additional details about the original entry here. DO NOT make any changes to Column D.
False Positives	A false positive refers to outputs that were identified in the rules-based search but upon review are not relevant for one of the reasons outlined below. Enter FP in column B and 'FP-X' in column E (output name) in which X represents the reason number (e.g. FP-1). Do not change Column D. Keep note of any FPs, as you will need to advise the RLR Manager in your updates.
	1. MEANING OF WORD 'HUMANITARIAN' H ≠ 'the sector' (i.e. it describes a sentiment, or a subset of health care, etc.). This can also apply where humanitarian is used as a passing reference.
	2. RESEARCH HAS NO HUM. APPLICATION: Biographical or related research whose product is journalistic or historical (i.e. holocaust); see line 35.
	3. INNOVATION or INNOVATIVE is used as a passing reference or sentiment; no discrete innovation is discussed.
	4. Output is outside the timeframe of the RLR (i.e. it is pre-2016).
	5. Output contains Actor and/or Funder names but no additional details.
	6. Research is a passing reference and the output is neither Research nor Innovation, according to the definitions used in this research; insufficient detail about the research to enter into RLR.
	7. Output is a link to a web platform with links to a general list of publications; it is anticipated that those outputs that would comply with the rules-based search would already have been captured elsewhere in Stream B. Where relevant, Actor details (e.g. Actor hosting the site) will be captured in the Funder & Actor Database, even where the output is entered as FP in the RLR.
'Mappings'/Additional Entries	This only applies to INNOVATION or COMBINATION outputs. Input additional entries where they are discrete innovations and where there is sufficient information in line with the columns on Q2 and Q3 to enter individually. Also, that they are relevant for humanitarian action, in line with the definition of humanitarian action in use for this project. Instructions for entering are as follows:
	a) Create a new line in your Matrix below the original output entry on each worksheet.
	b) For the Unique Identifier enter Uniq-ID-ADD-ON-X where X is the add-on number (e.g. A-CS-9-ADD-ON-1).
	c) For columns C and D copy from the original.
	d) For column E, output name, enter the output name for the discrete innovation you are adding.
	e) Follow Steps 8 & 9 from above as you would with any other output.
	<i>Note: if you have any doubt if the additional entry qualifies, check with the SLR Manager (or your designated manager).</i>
Output Not Found	Where all attempts to access/locate an output have been unsuccessful (including through libraries), enter NOTFOUND in column B.

EMAIL FORMAT FOR SLR MANAGER NOTIFICATIONS

Subject line:	Elrha RLR 10+ new entries.
Email Body:	Original outputs marked DONE: B-RW-X, B-RW-X etc. You can list B-RW-X - X BUT only if there are no gaps in the sequence.
	ADD-Ons: Unique Identifier: X entries (e.g. B-RW-1: 15 entries).
	FPs: X total (unique identifiers).
	DUPLICATES: X total (unique identifiers).

ANNEX 4: KEY INFORMANT INTERVIEW QUESTIONNAIRE – FUNDERS

Key Informant Details

Name:

Title:

Entity Affiliation: *Enter name of their organisation/institution*

Entity HQ Location: *Enter country where the entity's HQ is Located*

Entity Type: Donor Agency, UN, NGO (International, National, Local), Red Cross (ICRC, IFRC, National Society) IFI, Government (non-donor agency), Academic, Private Sector, Foundation, Other *(delete as appropriate)*

Use of interviewee and entity name:

- Yes / No you can use interviewee name in report OR note records only
- Yes / No you can use entity name report OR note records only
- Interviewee wants **complete anonymity** (name and organisation details not be to shared beyond interviewer and research team)
(delete as appropriate)

Interviewer Details

Interviewer Name:

Interview Format: In-person OR Remote *(delete as appropriate)*

Date:

Overarching Question

What is the current funding landscape of humanitarian research and innovation, including strategic interests and investments of major funders and key gaps?

Key Terms

Humanitarian Action: *intended to save lives, alleviate suffering and maintain human dignity during and after man-made crises and disasters caused by natural hazards, as well as to prevent and strengthen preparedness for when such situations occur.*

Humanitarian Innovation: *"An iterative process that identifies, adjusts and diffuses ideas for improving humanitarian action". This draws together multiple elements that define problems or opportunities: process/product; doing something different; seeking improvement; iterative.*

Humanitarian Research: *systematic investigations in humanitarian policy and practice.*

Interviewer reference only – not to be read out to interviewee

Note questions and recording format are structured to allow for flexibility between research and/or innovation focused Funders. Interviewers should adapt as appropriate based on whether the interviewee is Research, Innovation or Combination or Unknown

1a. What humanitarian research are you currently funding?	1b. What humanitarian innovation products and/or processes are you currently funding?
<p><i>Follow-up questions to consider:</i></p>	
<ul style="list-style-type: none"> ● <i>Research/Innovation: Whom do you fund? What type of entities do you typically fund? Do you have specific preferences, such as academic; partnerships/consortium between academic and practitioner institutions; inclusion of 'southern' actors?</i> ● <i>Research/Innovation: What is the motivation for funding this research/innovation? What outcomes do you expect?</i> ● <i>How much do you allocate annually for humanitarian research? For Innovation? How much (%) of your total humanitarian funding do you allocate for research? For innovation?</i> <ul style="list-style-type: none"> ● <i>Innovation specific: Commitment 7 of the CHS refers explicitly to innovation (in Key Actions and Organisational Responsibilities). To what extent do you consider this the standard when making funding decisions? How does it factor into your expectations of grantees/partners?</i> ● <i>Research/Innovation: Do you take a partnership or collaborative approach or see it as an independent project by the entity/ies conducting the effort? Do you work with co-funding and/or consortium funding? If so when/why?</i> ● <i>Research/Innovation: How is research/innovation incorporated into your strategic planning for humanitarian engagement?</i> ● <i>Research/Innovation: Do you regularly fund humanitarian research or innovation (e.g. standing pool of funds)? If so, what are they (are the research and innovative products/processes that are funded)? And how was it decided to focus on these?</i> ● <i>Research/Innovation: Is funding limited to specific interest areas? If so, what are they and how was it decided to focus on these?</i> ● <i>Research/Innovation: Do you support both short-term (less than 12 months) as well as longer-term (1 year+) efforts?</i> ● <i>Research/Innovation: How do you engage partners (an RfP, organisations submit proposals to a general fund, discussions that led to a proposal, all of the above)?</i> ● <i>Innovation specific: Do you approach entities working on innovations unrelated to the humanitarian sector to adapt for humanitarian action/do you take your own non-humanitarian innovations and approach humanitarian partners to adapt them?</i> 	
<p><i>Record answers here</i></p>	<p><i>Record answers here</i></p>

2a. How do you see/what is the direction of your organisation's support for humanitarian research moving forwards?	2b. How do you see/what is the direction of your organisation's support for innovation moving forwards?
<p><i>Follow-up questions to consider:</i></p>	
<ul style="list-style-type: none"> ● <i>Research/Innovation: What motivates or drives this approach or agenda?</i> ● <i>Research/Innovation: What factors could influence this?</i> ● <i>Research/Innovation: Do you see any significant changes in the near future (next 2-5 years) in the amount of funds to be allocated for humanitarian research and/or innovation?</i> 	
<p><i>Record answers here</i></p>	<p><i>Record answers here</i></p>

3. How would you describe the relationship between Research and innovation within your organisation's humanitarian support?
<p><i>Interviewer: may need to provide examples to the interviewee such as how research has supported innovation in products and processes.</i></p>
<p><i>Record answers here</i></p>

ANNEX 5: KEY INFORMANT INTERVIEW QUESTIONNAIRE – ACTORS

Key Informant Details

Name:

Title:

Entity Affiliation: *Enter name of their organisation/institution*

Entity HQ Location: *Enter country where the entity's HQ is Located*

Entity Type: Donor Agency/Government, UN, NGO (International, National, Local), Red Cross (ICRC, IFRC, National Society) IFI, Academic, Private Sector, Foundation, Other *(delete as appropriate)*

Confidentiality or Use of interviewee and entity name:

- Yes / No you can use interviewee name in report OR note records only
- Yes / No you can use entity name in report OR note records only
- Interviewee wants **complete anonymity** (name and organisation details not be to shared beyond interviewer and research team)
(delete as appropriate)

Interviewer Details

Interviewer Name:

Interview Format: In-person OR Remote *(delete as appropriate)*

Date:

Overarching Question

What is the current funding landscape of humanitarian research and innovation, including strategic interests and investments of major funders and key gaps?

Who are the current actors and the centres of expertise (by type) working across the globe in research and innovation to improve humanitarian outcomes?

What are the current research and innovation-related outputs relevant to the humanitarian system (and their coverage and qualities)?

Key Terms

Humanitarian Action: intended to save lives, alleviate suffering and maintain human dignity during and after man-made crises and disasters caused by natural hazards, as well as to prevent and strengthen preparedness for when such situations occur.

Humanitarian Innovation: "An iterative process that identifies, adjusts and diffuses ideas for improving humanitarian action". This draws together multiple elements that define problems or opportunities: process/product; doing something different; seeking improvement; iterative.

Humanitarian Research: systematic investigations in humanitarian policy and practice.

Combination: A research output focused on innovation.

Interviewer reference only – not to be read out to interviewee

Note questions and recording format are structured to allow for flexibility between research and/or innovation focused Actors. Interviewers should adapt as appropriate based on whether the interviewee is Research, Innovation or Combination (as noted on the KII Matrix)

1a. How is your humanitarian Research funded?	1b. How are your Innovation products and/or Processes funded?
<p><i>Follow-up questions to consider:</i></p> <ul style="list-style-type: none"> ● <i>Research/Innovation: Who do you receive your funding from? What types of entities typically fund your research/innovation work? Do your funders take a partnership or collaborative approach or do they see it as an independent project of your organisation?</i> ● <i>Research/Innovation: Is your research/innovation funding project-specific? Do you use unearmarked funds? How much (%) of your total unearmarked funding do you allocate for research? For innovation? Have you observed any differences between projects you need to use unearmarked funds for vs. specific allocations (e.g. does Research, Innovation or Combination get priority attention, specific themes/topics, etc.)?</i> ● <i>Research/Innovation: Do your Funders support both short-term (less than 12 months) as well as longer-term (1 year+) efforts?</i> ● <i>Research/Innovation: How do you engage Funders (an RfP, submitting proposals to a general fund, discussions that led to a proposal, all of the above)?</i> ● <i>Research/Innovation: What is your perception of Funder motivation for funding research/innovation, their outcome expectations?</i> ● <i>For Organisations working in both Research and Innovation/Combination: Have you observed specific differences between Research and Innovation with respect to the above questions?</i> 	
Record answers here	Record answers here

2. We have preliminary findings from our research and would appreciate your reflections on them (do they seem accurate to you, what differences or nuances would you add based on your experience).

Interviewer: Select from the questions below as appropriate to the Actor entity being interviewed.

Interviewer: you may need to provide some background on how the preliminary findings were determined. A systematic literature review of scholastic and grey literature was conducted for literature containing the words humanitarian research and/or innovation, focusing on 2016–2017 (with a smaller supplementary review of focusing on systematic and evidence reviews for 2014–2015). Based on this we did an analysis from which the preliminary findings were drawn.

Actor Geography/Geography Focus (MENA)

- Our preliminary findings showed that the majority (75%) of Actors we identified were from North America and Europe/Central Asia; only 3% were from MENA. Similarly, our findings on geographic focus of outputs (reports, innovations, etc.) showed that of the outputs we found/reviewed, only 12% focused on MENA (main countries being Syria, Jordan and Lebanon).
- Questions: Does this seem an accurate reflection of Research and/or Innovation Practitioners from MENA (in relation to the whole field)? What organisations would you consider critical in this region? Does the low focus on MENA as a geographic focus surprise you? What gaps might you see in our findings?

Actor Geography/Geography Focus (Americas)

- Our preliminary findings showed that the majority (75%) of Actors we identified were from North America and Europe/Central Asia; only 2% were from South America & Caribbean. Similarly, our findings on geographic focus of outputs (reports, innovations, etc.) showed that of the outputs we found/reviewed, only 10% come from the Americas, with the main countries of focus: Colombia, Haiti and the USA.
- Question: Does this seem an accurate reflection of Research and/or Innovation Practitioners from South America & Caribbean (in relation to the whole field)? What organisations would you consider critical in this region? Does the low focus on the Americas as a geographic focus surprise you? What gaps might you see in our findings?

IFIs (as Funders and Actors)

- Our preliminary findings indicate that of the Funders and Actors we identified, IFIs make up only 1%.
- Question: Does this seem an accurate reflection of IFIs as Funders and/or Actors in Research and/or Innovation? Do you work with IFIs at all? If not, why not?

Health Focus/Gaps

- Our preliminary findings show that while health was the most prominent sector for both Research and Innovation, it was also described by outputs as a gap needing more attention (mental health in particular, but not only).
- Question: Does this seem an accurate reflection to you for Research and/or Innovation? Are there high, unmet health needs in Research and/or Innovation? Areas in particular?

Disability Gaps

- Our preliminary findings show that there is almost no focus on Disability (4%) in Research or Innovation. At the same time, outputs we reviewed also didn't specify this as a gap.
- Question: Does this seem accurate to you? Is Disability significantly under researched and/or not receiving attention in Innovation? Or do you think we have missed a series of outputs? If we have missed them, what to your knowledge has been covered and what is a major gap? If it is a major gap, why do you think that is?

Older Person Gaps

- Our preliminary findings show that there is almost no focus on Older Persons (4%) in Research or Innovation. Outputs we reviewed also didn't specify this as a gap.
- Question: Does this seem accurate to you? Are Older Persons significantly under researched and/or not receiving attention in Innovation? Or do you think we have missed a series of outputs? If we have missed them, what to your knowledge has been covered and what is a major gap? If it is a major gap, why do you think that is?

Environment/Climate Gaps

- Our preliminary findings show that there is very little attention on both Climate (7%) and Environment (5%). While Climate was noted 4 as a gap in 4 outputs (out of nearly 700), environment was not.
- Question: Does this seem accurate to you? Are Climate and Environment significantly under researched in the humanitarian field and/or not receiving attention in Humanitarian Innovation? Or do you think we have missed a series of outputs? If we have missed them, what to your knowledge has been covered and what is a major gap? If it is a major gap, why do you think that is?

Record answers here

3a. How do you see/what is the direction of humanitarian research for your organisation moving forwards?

2b. How do you see/what is the direction of Innovation for your organisation moving forwards?

Interviewer: only to be asked if time allows; could be woven into Question 2 as way to discuss perspectives on 'gaps'.

Record answers here

Record answers here

ANNEX 6: GEG TEAM ROLES & RESPONSIBILITIES

	Position/Name	Description
Leadership Sub-Team	Strategic Lead <i>Kirsten Gelsdorf</i>	Utilise leadership skills, research and humanitarian experience to direct and guide the overall project.
	Project Manager <i>Langdon Greenhalgh</i>	Provide overall team and project management and ensure client satisfaction and input at all stages of project.
Research Sub-Team	Research Methods Specialist <i>Dr. Lezlie Morinière</i>	Lead in ensuring that all research elements and methods are designed and developed according to standards, good practice and are context specific. Co-lead in developing project methodology. Co-lead in data collection and analysis. Contribute to final products and reporting.
	Research Specialist <i>Dr. Hannah Vaughan-Lee</i>	Co-lead in developing project methodology. Co-lead in data collection and analysis. Contribute to final products and reporting.
Innovation Sub-Team	Innovation Networks Specialist <i>Andrew Billo</i>	Advise on the innovation networks specific component of the mapping exercise. Provide guidance to research team on data analysis.
	Innovation Specialist <i>Roshan Paul</i>	Advise on innovation components of the mapping exercise. Provide guidance to research team on data analysis.
Peer Reference Group	Peer Research Group <i>Marilise Turnbull</i> <i>Christine Mahoney Dar Vanderbeck</i>	Provide targeted input and peer review of all products.
Project Support	University Research & Support Group	Provide robust research capacity on an as needed basis.
	Project Support Team <i>Drew Souders</i>	A GEG project support team ensures that the project team can most effectively deliver the required products using a GEG project management platform and administrative support.

ANNEX 7: TERMS OF REFERENCE

The Terms of Reference included here represented the *revised* ToR that was included with the Inception Report and agreed upon with Elrha.

TERMS OF REFERENCE

Elrha's Global Humanitarian Research and Innovation Prioritisation Exercise – Phase One Mapping

This document sets out the Terms of Reference for a contract to support Elrha in Phase One of its new Global Research and Innovation Prioritisation Exercise.

I. BACKGROUND

Elrha is a collaborative network, hosted by Save the Children UK, dedicated to supporting partnerships between high education institutions, humanitarian organisations and partners around the world. It delivers on its mission of improving evidence-based humanitarian decision-making through its overall strategy and through three core programmes:

Research for Health in Humanitarian Crises (R2HC): Brings together and funds the humanitarian research and operational communities to produce research on public health interventions in humanitarian crises, in order to strengthen the evidence base in this field and thereby improve health outcomes.

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

Research and Effective Partnerships: Brings together the research community and the international humanitarian community to create world-leading partnerships that produce research with a measurable impact in the humanitarian field.

In response to the challenge articulated at the World Humanitarian Summit to '*harness the transformative powers of science and technology*' for improved humanitarian

outcomes, Elrha is leading a new global effort to map research and innovation capacities and to consult and identify clear priorities for research and innovation for humanitarian action. We define our scope here to include research and innovation activities with a clear link to operational humanitarian policy and practice.

Bringing together the major funders of research and innovation, the humanitarian community, and countries and communities affected by crisis, it is hoped that this Global Humanitarian Research and Innovation Prioritisation exercise will bring greater visibility and coordination of research and innovation efforts and leverage greater resources for the sector as a whole.

The total exercise will run over two years and consist of three phases. Phase One will deliver an initial mapping of key actors, strategic interests, investments, centres of expertise, data and outputs relevant for humanitarian research and innovation. Phase Two will conduct a global stakeholder consultation to generate priorities for research and innovation investment. Phase Three will draw on the previous two phases to deliver a synthesis and advocacy of a final report with clearly identified priorities for research and innovation investment. The agreed priorities produced through the exercise will contribute to the work of the new Global Alliance for Humanitarian Innovation (GAHI).

(See the briefing paper for further description of the Prioritisation Exercise).

II. AIMS AND OBJECTIVES

Elrha has secured funding from DFID in order to undertake phase one (Global Mapping) of the exercise and establish the delivery and governance mechanisms for the exercise. We now seek a strong research team to deliver Phase One of this work.

The first phase of work encompasses:

1. Offer strategic support of a finalised conceptual framework for the GPE, build momentum and facilitate communication on its development with key partners.
2. Undertake a global mapping exercise related to the following research questions:
 - Q1: What is the current¹ funding landscape of humanitarian research and innovation, including strategic interests and investments of major funders and key gaps?
 - Q2: Who are the current²¹⁰ actors²¹¹ and the centres of expertise (by type²¹²) working across the globe in research and innovation to improve²¹³ humanitarian²¹⁴ outcomes?

210 'Current' may be limited to the period since the World Humanitarian Summit (May 2016), but we will aim to include (whenever feasible within the current LoE) documents dating as far back as 2014.

211 **Actors:** primary, end users, and/or gatekeepers. These are individual organisations or institutions, e.g. NGOs, donors, academic institutions, think tanks, private companies, etc. Key actors will be initially determined by those captured in the literature review. Should the mapping and associated analysis require further criteria to be considered, it should be noted that these criteria will not include influence and/or impact of center/actor on the humanitarian system/research/innovation, as these are beyond the scope capacity of this project. This can be shared by innovation and research.

212 **'Type':** see actors above.

213 Improve refers to intent; evaluating the quality of the improvements is beyond the realm of this study.

214 **Humanitarian action** here is that intended to save lives, alleviate suffering and maintain human dignity during and after man-made crises and disasters caused by natural hazards, as well as to prevent and strengthen preparedness for when such situations occur. To be included systematically in 'humanitarian' are those situated in DRR/preparedness, response and recovery; while it is recognised that humanitarian outcomes can be improved by research/innovation in the general development sector, long-term and sustainable development-related research/innovation will not be included in the scoping unless found per chance *and* determined to explicitly target a specific threat or hazard.

- Q3: What are the current research and innovation-related outputs²¹⁵ relevant to the humanitarian system (and their coverage and qualities²¹⁶)?
- Q4: What gaps are there in current humanitarian research and/or innovation needs?

III. OUTPUTS

The Phase One mapping process of the Global Research and Innovation Prioritisation Exercise will be aimed at generating the following **mapped deliverables**:

1. Key stakeholders (actors and centres) across the globe that contribute in the innovation and research space to improve humanitarian outcomes;
2. Major research and innovation-related outputs;
3. Analysis of the funding landscape (strategic interests and investments, key gaps).

The outputs from Phase One will be made available through a **final report**. Top-line data will also be provided in hard-copy reports to key stakeholder groups.

These outputs will directly inform the second phase of work, which will be to undertake a global consultation²¹⁷ exercise to generate and agree on priorities for research and innovation investment.

Findings from all stages will be presented together in a **final report**, alongside an accompanying handover of all relevant data to Elrha.

215 **'Outputs'** may include key reports, products, conferences, learning and portals, etc. Outputs are publicly available and may need to exclude in-progress research or innovations (except from the Stream A documents, which are hand-picked and purposively included).

216 **'Coverage':** will be estimated in proxy by most of the current columns on the MS Excel SLR matrix.

217 Given that Phase 1 entails a thorough consultation phase, it would be useful to the provider researcher team to learn more about the fundamental differences between the two phases (to avoid duplication and be most efficient, etc.).

The methodology will be agreed between the provider and Elrha during the Inception Phase. Elrha will also provide contacts for key funders of humanitarian innovation and research alongside a set of individual points of contact to support the research.

IV. PROCESS

This contract will operate under the direction of the Elrha Director and be primarily managed by the Elrha Senior Research Adviser. The selected research institution or consortium will be expected to work closely with our team to provide frequent updates on progress and will receive regular input from other Elrha team members.

The provider will maintain regular and reasonable contact with the Elrha Director, Senior Research Adviser and Prioritisation Exercise Coordinator and engage in regular discussions regarding the output activities listed above.

This work will be conducted primarily from the consultant's own office base. Regular communication with HIF is expected to take place in person at Save the Children the UK London office, by telephone or Skype. In-person attendance may be requested for the Prioritisation Exercise Advisory Group meeting, to be held in the UK (either London or Cardiff).

V. TIMELINE

[SEE PDF]

VI. SKILLS AND EXPERTISE REQUIRED

Strong teams from leading research institutions, consultancies and consortia are encouraged to apply.

Teams should show proven expertise and a record of excellence in delivering high level policy analysis to leading global audiences in the

international humanitarian, development and/or international affairs space. We are looking in particular for clear expertise in conducting strategic global policy network analysis, ecosystems mapping, systematic evidence reviews and financial/economic analysis.

The successful team will have interdisciplinary social research expertise across a wide range both qualitative and quantitative methodologies, especially in the conduct of key informant interviewing with senior policy, practice and academic respondents.

Defined thematic knowledge and expertise in humanitarian research policy, innovation and change processes are particularly welcome.

The successful team should also be able to demonstrate pre-existing access to well-established professional networks across the humanitarian research and innovation policy communities, including donors, humanitarian practitioners, academics, national governments and, ideally, the private sector.

Elrha is open to strong proposals focused exclusively on either the research or innovation component of this work, but we strongly prefer a single provider able to cover both aspects in a single proposal.

VII. WORKING CONTACTS

Internal: Elrha Director, Elrha Senior Research Adviser, Prioritisation Exercise Coordinator, Elrha Communications Team and Prioritisation Advisory Board

External: Global Prioritisation Exercise stakeholders (humanitarian practitioners, private sector actors, national governments, academics, local communities)

Other: Donors, partner organisations, academic and humanitarian networks

VIII. APPLICATION PROCESS

[SEE PDF]

ANNEX: GLOSSARY

- **Humanitarian Action:**²¹⁸ intended to save lives, alleviate suffering and maintain human dignity during and after man-made crises and disasters caused by natural hazards, as well as to prevent and strengthen preparedness for when such situations occur. See also footnote 4.
- **Humanitarian Innovation:**²¹⁹ “An iterative process that identifies, adjusts and diffuses ideas for improving humanitarian action”,²²⁰ This draws together multiple elements that define problems or opportunities: process/product; doing something different; seeking improvement; iterative.
- **Humanitarian Research:** systematic investigations in humanitarian policy and practice.
- **Actors:** primary, end users, gatekeepers (NGOs/donors/academic institutions/think tanks).²²¹
- **Centres:** a network of, or an established entity explicitly mandated to focus on research/innovation.
- **Type:** see footnote 2 above.

218 Definition provided by www.globalhumanitarianassistance.org, linked on the HIF FAQ.

219 GEG requests clear direction on which definition elhra prefers and the extent to which it can be questioned during the Inception Phase.

220 A. Obrecht and A.T. Warner, *More than just luck: Innovation in humanitarian action*, HIF/ ALNAP Study. London: ALNAP/ ODI, 2016; A. Obrecht, with A. Warner and N. Dillon, *Working paper: Evaluating humanitarian innovation*. HIF/ ALNAP Working Paper. London: ODI/ALNAP, 2017.

221 Definition drawn from Obrecht, Warner and Dillon (2017) GEG requests clear direction on which definition elhra prefers and the extent to which it can be questioned during the Inception Phase.

health
evidence review
network ngos
work integrating
food impact
displaced
security
shelter affairs
disaster
global
social human ebola
media violations
contribute
supply
council data


refugee
protection
children
response
risk
chain
aid
community
violence
actors
peoples ethics design based affected
affairs emergencies intervention
mental abuses
ring sexual south
climate sharing measuring
fragile women child
state cost
mine war
role
disabled
action
framework
host





elrha

Together, we can reveal the bigger picture
of humanitarian research and innovation.



#JoinTheDots



Elrha
8 Cathedral Road
Cardiff, UK
CF11 9LJ

elrha.org
[@Elrha](https://twitter.com/Elrha)
info@elrha.org