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Sida Decentralised Evaluation

Björn Ternström
Ingela Ternström
Anne Davies

Evaluation of Sida Humanitarian Method Partners

Final Report

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**Final Report
December 2018**

**Björn Ternström
Ingela Ternström
Anne Davies**

Authors: Björn Ternström, Ingela Ternström, Anne Davies

The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

Address: SE-105 25 Stockholm, Sweden. Office: Valhallavägen 199, Stockholm

Telephone: +46 (0)8-698 50 00. Telefax: +46 (0)8-20 88 64

E-mail: info@sida.se. Homepage: <http://www.sida.se>

Table of contents

Abbreviations and Acronyms	8
Preface.....	9
Executive Summary	10
1 Introduction.....	13
1.1 The Assignment.....	13
1.2 Background	14
1.3 Presentation of Partner Organisations.....	15
2 Approach and Methodology	19
2.1 Methodology.....	19
2.2 Data Collection and Analysis.....	21
2.3 Limitations	23
3 Theories of Change	26
3.1 Sida	27
3.2 ACAPS	28
3.3 ALNAP.....	29
3.4 ATHA.....	30
3.5 DI - GHA.....	31
3.6 HPG.....	32
3.7 IRIN	33
3.8 Partner Classification.....	34
4 Evidence and Findings.....	35
4.1 Activities and Outputs.....	35
4.2 Assumption 1: Partners' outputs are known by actors in the humanitarian system	37
4.3 Assumption 2: Partners' outputs are used by actors in the humanitarian system	39
4.4 Assumption 3: Using partners' outputs result in intended outcomes	42
4.5 Contribution to intended outcomes	47
5 Discussions and Conclusions.....	49
5.1 Relevance	49
5.2 Impact.....	51

5.2.1	ACAPS	51
5.2.2	ALNAP	52
5.2.3	ATHA	54
5.2.4	DI - GHA	55
5.2.5	HPG	55
5.2.6	IRIN	56
6	Recommendations.....	58
6.1	General recommendations regarding the methods support.....	58
6.2	Recommendations regarding specific partner organisations	58
	Annex 1 – Terms of Reference.....	60
	Annex 2 – Data Collection Instruments	70
	Guide for discussions with partner organisations.....	70
	Interview guide, humanitarian sector and operational actors	70
	Annex 3 - Documentation.....	73
	Annex 4 – List of Interviewees.....	78
	Annex 5 – Revised Theories of Change	79

Abbreviations and Acronyms

ACAPS	Assessment Capacities Project
ACF	Action Contre la Faim
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
ATHA	Advanced Training Program on Humanitarian Action
DFID	Department for International Development
DI	Development Initiatives
GHA	Global Humanitarian Assistance
HELP	Humanitarian Evaluation, Learning and Performance
HPG	Humanitarian Policy Group
HQ	Head Quarters
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
INGO	International Non-Governmental Organisation
IRC	International Rescue Committee
IRIN	Integrated Regional Information Networks
MFA	Swedish Ministry for Foreign Affairs
MSEK	Million Swedish Krona
MSF	Médecins Sans Frontières
NGO	Non-Governmental Organisation
NRC	Norwegian Refugee Council
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
ODI	Overseas Development Institute
Sida	Swedish International Development Cooperation Agency
UNHCR	United Nations High Commissioner for Refugees
UK	United Kingdom
UN	United Nations
WFP	World Food Programme
WVI	World Vision International

Preface

This evaluation was commissioned by the Swedish International Development Cooperation Agency (Sida) through Sida's Framework Agreement for Evaluation Services with FCG Swedish Development AB. The assignment was to conduct an Evaluation of Sida humanitarian method partners with a focus of no more than four years of cooperation.

The evaluation team, comprised of Björn Ternström (Team Leader), Ingela Ternström and Anne Davies, wishes to highlight and thank all those who have taken time out of their busy agendas to compile documents, be interviewed, handle logistics and assist us in understanding better how the humanitarian system and some of its operational actors function.

Special thanks are due to our expert panel, Margareta Wahlström and Ross Mountain for brainstorming, system insights and introductions.

In each partner we have been welcomed and well taken care of; thanks to staff members for their openness and engagement in discussions and interviews and to those who accepted being our host(ess)s or entry points, assisting with document searches, data compilations and interview bookings - not to mention receiving us with a smile.

Interviewees have generously given their time and information, essential for the evaluation, for some as part of their job, for some on their own time.

Sida staff, current and now elsewhere, have given time and shown interest and understanding for the issues explored.

Sincere thank you to all!

Bjorn Ternstrom
Team leader

For the evaluation team

Executive Summary

The evaluation was carried out by Björn Ternström, team leader, Anne Davies and Ingela Ternström, team members, on behalf of FCG Sweden. An expert panel consisting of Margareta Wahlström and Ross Mountain (both with long experience in the humanitarian sector) provided backstopping to the team and the report was quality assured by Derek Poate. The evaluation was mainly implemented during August – October 2018, with preparations and document review in June - July, and final report and presentation in November.

The purpose of the evaluation is to “contribute to Sida’s understanding of; to what extent, and in what way, the outcome of the six Sida partners’ work have influenced the efficiency and effectiveness of the humanitarian system”. The objective of the evaluation is “to assess if and how the Sida funded programmes have contributed to implementation of lessons learnt and new methods developed and if this has been of benefit for the humanitarian system.”

The object of the evaluation is six of the organisations that have received methods support from Sida: Assessment Capacities Project (ACAPS), Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), Advanced Training Program on Humanitarian Action (ATHA), Development Initiatives’ (DI) (limited to the support to the Global Humanitarian Assistance (GHA) report), Humanitarian Policy Group (HPG) and IRIN (Ex “Integrated Regional Information Networks”).

The evaluation questions focus on partner organisations’ relevance; to the humanitarian system and to operational actors, and on their impact; on the humanitarian system and on operational actors, covering How and Why/Why not for each.

The approach used is Contribution Analysis, and the tools for data collection were document review, group discussions and interviews. The contribution analysis approach was complemented with consultation of an expert panel and adapted to the context and timing of the evaluation. Apart from discussions and interviews with Sida and partner organisations, over 50 persons representing the humanitarian sector were interviewed. As part of the Contribution Analysis approach, the partner organisations’ theories of change were identified and revised (together with the partner organisations). Assumptions were identified and tested against evidence collected in interviews and documents. The team used four generic “core” assumptions crucial to all partners’ theories of change to structure the analysis and the identified partner assumptions were grouped, by the evaluation team, into these:

- Assumption 1: Partners' outputs are known by actors in the humanitarian system.
- Assumption 2: Partners' outputs are used by actors in the humanitarian system.
- Assumption 3: Using partner outputs contributes to intended outcomes.
- Assumption 4: Intended outcomes contribute to intended impact.

The partner organisations' theories of change illustrate the similarities and differences of the organisations. They engage in a range of activities focused on research (collecting, collating, analysing and disseminating data), application (developing methodologies and tools) and support for up-take (training, capacity development and hosting arenas for interaction). Their intended outcomes can be described in terms of targeting what is done (influencing resource allocation, geographically or thematically), how it is done (improving effectiveness, efficiency) or as contributing to increased accountability or learning.

Based on the analysis of primary and secondary data, the evaluation finds that:

- The data collected indicate that the six partner organisations implement the activities and produce the outputs that they are funded to do.
- All partner organisations and their outputs are known and used (Assumptions 1 and 2), although some to a lesser extent. ALNAP, IRIN and ACAPS are more well-known and are used more frequently than the other partner organisations. This is in part explained by the nature of their outputs: DI's GHA report is published on an annual basis and has a narrower target group, HPG is more research oriented, and ATHA to some extent does not actively market their products under their own name. Several interviewees did not know of ATHA, although some of these had used ATHA products without knowing the connection to ATHA.
- The way the partner organisations' outputs are used vary; some are reports that are used as input in policy or funding applications, some are tools or methods that are used by other organisations in their work, some are used as reference libraries and some to plan field work or prepare field visits.
- The evaluation finds that there is evidence in support of the partners' assumptions of how their activities and output will contribute to their intended outcomes. The strength of evidence for this varies. There are also a number of examples of outcome level changes of the humanitarian system and in field level operations. Much of the influence/outcome that interviewees associate with the partners is difficult to define and attribute to specific organisations.

Based on the analysis of data and assessment of evidence in support of assumptions, the evaluation concludes that there is support for all six partner organisations' theories of change and thus that they contribute to intended outcomes and impact. The contribution is often indirect, as in the case of ALNAP, ATHA, DI and HPG, but there is also evidence of more direct effects on field level operations, of e.g. ACAPS and IRIN's data and analysis products.

We also find that the six partner organisations and their outputs, although to varying extent, are relevant both to the humanitarian system and to operational actors at field level.

The main recommendations of the evaluation are directed to Sida and include:

- a)** Sida should require the partner organisations to include theories of change or logframes with assumptions and risks in their applications and to report using their theories of change as reporting structure (similar to results-based reporting but dealing more with assumptions, outcomes and contextual changes).
- b)** Sida should use its role on steering committees and advisory groups and its role as trusted donor to actively advocate for Swedish positions on key issues such as localisation going beyond percentage funding to local NGOs, gender based humanitarian programming or increased research on the humanitarian - development nexus. This would require addressing turnover among Sida desk officers responsible for relations with the partners and a clearer articulation of Sida's own theory of change for methods support.

1 Introduction

1.1 The Assignment

This is the final report for the Evaluation of Sida (Swedish International Development Cooperation Agency) humanitarian method partners. The evaluation was carried out by Björn Ternström, team leader, Anne Davies and Ingela Ternström, team members, on behalf of FCG Sweden. Björn had overall responsibility for all deliverables. Anne provided expertise on the humanitarian sector. Björn and Anne carried out interviews with Sida, the partner organisations and humanitarian sector interviewees. Ingela had main responsibility for methodology, analysis and report-writing. Analysis and meetings with Sida were carried out jointly by all team members. An expert panel consisting of Margareta Wahlström and Ross Mountain¹ was appointed to complement team competencies on humanitarian system and provide conceptual backstopping to the team. Henning Göransson Sandberg was the FCG Sweden project manager. The report has been quality assured by Derek Poate².

The evaluation was mainly implemented during August – October 2018, with preparations and document review in June - July, and final report and presentation in November. Apart from discussions and interviews with Sida and partner organisations, over 50 persons representing the humanitarian sector were interviewed. The approach used is Contribution Analysis, the tools for data collection document review and interviews. The report begins with a description of the background to the evaluation and brief presentations of the six organisations covered. Chapter 3 presents

¹ The expert panel members were selected due to their vast experience in the humanitarian system and implementation of humanitarian projects. Margareta Wahlström is a former deputy Secretary-General at the UN with special responsibility over disaster risk reduction. She has 35 years' experience of humanitarian work and has previously led and developed the system of disaster management in the International Federation of Red Cross and Red Crescent Societies and OCHA, the UN Office for the Coordination of humanitarian aid. She is currently the president of the Swedish Red Cross. Ross Mountain has worked most of his life in the UN managing humanitarian operations. Most recently he was based in the Executive Office of the Secretary General in New York as Assistant Secretary General and Senior Advisor on Cholera in Haiti. Previously he served as the UN Resident Coordinator, Humanitarian Coordinator, UNDP Resident Representative, UNFPA Representative and UN Deputy Special Coordinator in Lebanon and carried out special assignments to Myanmar, Afghanistan and Haiti.

² Derek Poate is a Quality Assurance Expert at FCG Sweden. He has extensive experience as an evaluation team leader and project director. He has substantial experience in the evaluation of multilateral institutions and the United Nations system.

approach and methods, comments on the data collected and discusses limitations. Findings are presented in Chapters 4 (Theories of Change) and 5 (Findings regarding activities, outputs and assumptions). In Chapter 6 we draw conclusions and Chapter 7 presents recommendations and lessons learned.

1.2 Background

Sida supports a number of organisations that work with humanitarian policy/method related initiatives. The support is part of the 2011-2016³ strategy for humanitarian assistance provided through Sida, aiming to “encourage and support qualified research, methodology development and quality assurance in humanitarian aid“. The strategy for 2017–2020⁴ also emphasises the implementation of lessons learnt and new methods within the humanitarian system to ensure better efficiency and effectiveness of humanitarian aid. With the new strategy in place, Sida found it timely to undertake an evaluation to assess if the six partners have adapted to the new strategy.

The object of the evaluation is six of the organisations that have received methods support from Sida: Assessment Capacities Project (ACAPS), Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), Advanced Training Program on Humanitarian Action (ATHA), Development Initiatives’ (DI) (limited to the support to the Global Humanitarian Assistance (GHA) report), Humanitarian Policy Group (HPG) and Integrated Regional Information Networks (IRIN). The evaluation period is 2014 – 31st March 2018.

The purpose of the evaluation is to “contribute to Sida’s understanding of; to what extent, and in what way, the outcome of the six Sida partners’ work have influenced the efficiency and effectiveness of the humanitarian system”. The evaluation should also advise Sida on how its contributions to the humanitarian system could become more relevant and effective.

The Terms of Reference state that the objective of the evaluation is “to assess if and how the Sida funded programmes have contributed to implementation of lessons learnt and new methods developed and if this has been of benefit for the humanitarian system.” This is further specified: “i.e. have lessons learnt and methods developed

³ Strategy for humanitarian assistance provided through the Swedish International Development Cooperation Agency (Sida) 2011 – 2014. The 2011 - 2014 strategy was extended until the end of 2016.

⁴ Strategy for Sweden’s humanitarian aid provided through the Swedish International Development Cooperation Agency (Sida) 2017–2020.

been used and of benefit for implementing humanitarian partners at field level”, which reflects the present strategy’s focus on usefulness and effects at field level. The evaluation questions are presented in the table below:

Level of analysis		
Evaluation Issue	Humanitarian system	Humanitarian operational actors, at field level
Relevance	To what extent have the Sida funded programmes conformed to the priorities of the humanitarian system’s need for development of lessons learnt, method development and quality assurance. If so, why? If not, why not?	To what extent have the Sida funded programmes conformed to the needs and priorities of the humanitarian operational actors, for them to strengthen their capacity and be able to deliver humanitarian aid more efficiently at field level? If so, why? If not, why not?
Impact	To what extent have the Sida supported programmes contributed to improve capacity and efficiency in the humanitarian system. If so, why? If not, why not?	To what extent have the Sida supported programmes contributed to improve capacity and efficiency of humanitarian operational actors, for them to strengthen their capacity and be able to deliver humanitarian aid more efficiently at field level? If so, why? If not, why not?

Table 1: Evaluation questions

1.3 Presentation of Partner Organisations

ACAPS – Assessment Capacity⁵

The ACAPS project was established in 2009 to promote a culture of coordinated and integrated information management and analysis in a sustainable and durable manner within the humanitarian sector. Based in Geneva, Switzerland, it has a staff of 28 and is, since 2012, hosted by the Norwegian Refugee Council (NRC). Some staff are based in South Asia. ACAPS currently provides up-to-date information on more than 40 key crises. It seeks to provide high quality, independent and multi-sectoral analysis as well as capacity building, which has recently focused on analysts. ACAPS has produced more than 500 reports. It also produces tailored analytical products, scenario building workshops, and field assessments on request. The project contributes to the Inter-Agency Standing Committee (IASC) Transformative Agenda, and complements the capacities and approaches of United Nations Office for the Coordination of Humanitarian Affairs (OCHA), United Nations Disaster Assessment and Coordination (UNDAC) and the clusters.

Sida funding in the period 2014-2017 totals MSEK⁶ 35. The Swedish Ministry for Foreign Affairs (MFA) holds a seat on the ACAPS board.

ALNAP - Active Learning Network for Accountability and Performance⁷

⁵ ACAPS website <https://www.acaps.org/about-acaps/in-short.html> and NRC agreement 2014-2017 : Beredning av insats, slutgiltig, p 10 (Doc name: ACAPS Beredning 2014-2016)

⁶ Million Swedish Krona.

ALNAP, which was established in 1997, seeks to provide the humanitarian sector with a forum to address issues of accountability and learning. It also produces research and analysis of shared challenges facing the sector. Based in London, UK, and hosted by the Overseas Development Institute, it is a system-wide network organization with a membership that aims to reflect the humanitarian system.⁸ Associate Members include humanitarian networks and inter-agency initiatives as well as consultancy groups. It facilitates learning between Network Members, hosts the largest library of evaluations of humanitarian action and also carries out original research and hosts events and conferences. It seeks to improve humanitarian performance and accountability through the application of best practice based on learning.

Sida funding in the period 2014-2017 totals MSEK 8.85.

ATHA – the Advanced Training Program on Humanitarian Action⁹

ATHA, established in 2005, was originally a program aimed primarily at Swedish humanitarian professionals. Currently ATHA targets a broader audience, combining research on practitioner identified issues (mainly IHL/humanitarian negotiation/gender/protection of humanitarian action) with the design and facilitation of inter-organizational, peer-to-peer focused, capacity building for advanced humanitarian practitioners (5-8 years' experience). Based in Boston, USA, and part of the Harvard Humanitarian Initiative, the organization is hosted by Harvard University. ATHA has a small core staff and several associated Senior Research Fellows. Key collaboration partners include World Food Programme (WFP), United Nations High Commissioner for Refugees (UNHCR), Médecins Sans Frontières (MSF), and International Committee of the Red Cross (ICRC) through the Centre of Competence on Humanitarian Negotiation and Action Contre la Faim (ACF) on protection of humanitarian workers research.

Sida funding in the period 2014-2017 totals MSEK 17.2.

DI - Development Initiatives¹⁰

⁷ https://www.alnap.org/system/files/content/resource/files/main/ALNAP%20Governance%20Management%20and%20Membership%20online%20April%202016_0.pdf and Sida; Beredning av insats Overseas Development Institute (ODI), p. 2.

⁸ The system is primarily made up of the UN, the International Red Cross and Red Crescent Movement and civil society organisations, but other actors also play an important role, such as government agencies, private actors and development actors.

⁹ <http://atha.se/program-description>, ATHA annual narrative report 2017 and ATHA Beredning av insats 2016-2017.

¹⁰ Beslut om insats/Decision on Contribution: DI Global Humanitarian Assistance 2016, p. 4.; Global Humanitarian Assistance, Proposal 2016; Global Humanitarian Assistance programme Annual report to donors, 2015/2016

Headquartered in Bristol, UK, DI was established in 1993 and has a staff of over 70 people, working in Brazil, Nepal, Kenya, Uganda, the UK and the USA. The organization focuses on getting better data on poverty and vulnerability in order to know where need is greatest and whether efforts are working. Sida support has exclusively gone towards the production of DI's Annual Report on humanitarian financial flows; - the Global Humanitarian Assistance Report (GHA). DI has been producing the GHA Report annually since 2000. DI-GHA has a formal partnership with the Start Network, a close relationship with OCHA Financial Tracking Service and collaborates with a range of think tanks and humanitarian stakeholders.

Sida funding in the period 2016-2017 totals MSEK 2.

HPG – Humanitarian Policy Group¹¹

Hosted by Overseas Development Institute (ODI) (established in 1960) and based in London, UK, the HPG staff and associates jointly number 34. HPG seeks to address the lack of learning and accountability within the humanitarian sector by linking high quality applied research, practical policy advice with policy focused dissemination and debate. The grants based Integrated Programme is a body of research that examines critical issues facing humanitarian policy and practice. The programme is designed in consultation with the HPG Advisory Group. It includes field research in a range of countries and emergencies, allowing HPG to cast a critical eye on issues affecting humanitarian policy and practice. Results are used to influence key debates in the sector. HPG also conducts large-scale and complex evaluations, valuable for identifying issues of strategic significance to the sector. HPG disseminate research findings electronically, convenes public events to promote and encourage debate, edits and produces the Disasters journal, a leading peer-reviewed journal in disaster studies and hosts the Humanitarian Practice Network (HPN), a peer-to-peer platform. It also hosts an annual senior-level course on conflict and humanitarian response. Sida funding in the period 2014-2017 totals MSEK 8. Sida holds a seat on the HPG Advisory Group.

¹¹ <https://www.odi.org/our-work/programmes/humanitarian-policy-group> and Sida 7.2 Beredning av insats ODI, p. 2

IRIN¹²

Established in 1995 as the "Integrated Regional Information Networks", a department within OCHA, IRIN relaunched as an independent, non-profit media venture in January 2015. The organization is based in Geneva, Switzerland, with a staff of 15, supported by approximately 200 local journalists globally. It seeks to deliver unique, authoritative and independent reporting about the aid industry and current humanitarian crises to a readership of which 40 % are found in the Middle East, Asia, Africa and Latin America and a third work for non-profits or Non-Governmental Organisations (NGOs). Most consumers access their material electronically by accessing their website, through computers or mobiles, or by subscribing to their email service.

Sida funding in the period 2015-2017 totals MSEK 3.

¹² <http://www.irinnews.org/content/about-us> and 7.2 Beredning av insats ODI, p. 2. The name has been changed from – "Integrated Regional Information Networks" to IRIN News. For the sake of simplicity we use IRIN.

2 Approach and Methodology

This chapter presents approach and methodology, data and limitations. The main challenge in this evaluation is to attribute results (impact) to the six partner organisations, and specifically the funding provided by Sida. In some cases, effects can be discernible at field level (e.g. use of a specific methodology or lesson learnt that has been produced or spread via a partner organisation). In other cases, however, the effects are more difficult to trace back to a single source (e.g. a policy change or changes at system level). We have therefore focused on trying to identify contributions of the six organisations to the intended goal, and the approach used in this evaluation is contribution analysis.

2.1 Methodology

Contribution analysis is founded on theory-based approaches to evaluation and offers a way to increase certainty about the contribution that an intervention is making when it is not feasible to assess performance by more exact methods. It does this by attempting to verify the intervention logic or theory of change behind a programme while taking into consideration other influencing factors, thereby providing reasonable evidence about the contribution being made by the programme. Thus, contribution analysis does not provide definitive proof, but rather provides evidence and a line of reasoning from which we can draw plausible conclusions about a programme's contribution to intended outcomes.

Contribution analysis is especially useful in complex situations where there are multiple interdependent factors that interact to produce a result, which is the case in the present evaluation. Contribution analysis also provides a way to compare the six partner organisations' intervention logics in a systematic way. The box to the right lists the steps in contribution analysis¹³. In practice, the methodology had to be

Steps in Contribution Analysis

- Step 1. Set out the attribution problem to be addressed
- Step 2. Develop a theory of change and risks to it
- Step 3. Gather the existing evidence on the theory of change
- Step 4. Assemble and assess the contribution story, and challenges to it
- Step 5. Seek out additional evidence
- Step 6. Revise and strengthen the contribution story

Figure 1: Steps in Contribution Analysis

¹³ Mayne, J. Contribution analysis: An approach to exploring cause and effect. ILAC Brief 16, May 2008. See also e.g. betterevaluation.org.

adapted to the limited time available for interviews¹⁴. This implied that contribution analysis steps 3 to 5 were to some extent done in parallel.

The concept of theories of change is central to contribution analysis. Simplified, a theory of change can be described as a results chain (activities → outputs → outcomes → impact) with assumptions required for the chain to hold. When the partner organisations had logframes, we used these as point of departure to identify their theories of change¹⁵. We complemented them with document review of their applications for funding, annual reports etc. The documentation and detail of theories of change varied greatly among the partner organisations, especially in terms of the formulation of assumptions and risks. To support the analysis, we developed a set of core assumptions that were used to frame the identification and analysis of assumptions. The core assumptions intend to capture crucial aspects of the logic - from activities and outputs to intended outcomes and impact - that the partner organisations cannot control.

- Assumption 1: Partners' outputs are *known* by actors in the humanitarian system – the partner organisations can present reports, invite to webinars and have attractive webpages, but they cannot control the extent to which they are actually seen and known. This assumption must be fulfilled as partners' outputs, if not known by the intended users, are not likely to be used.
- Assumption 2: Partners' outputs are used by actors in the humanitarian system – even if actors in the humanitarian system know about the partner organisations and their outputs, the actual use of these are outside the partner organisations' control. The six partner organisations produce a large variety of outputs (e.g. trainings, research reports, methods and tools, libraries etc.). This implies that the definition of what it implies to use the outputs must also be broad, and we include e.g. reading reports, using data to inform decisions, incorporating methods in own tools and guidelines. However, using a product does not imply that it will have an effect: E.g. a research report may be read and its findings may be used to enrich internal analyses, but this does not guarantee that things will change. This is the focus of the next assumption;
- Assumption 3: Using partner *outputs contributes to intended outcomes* – even if partner outputs are used, they may not have the intended effect (e.g. better targeting, methods or tools that increase efficiency or transparency). Other factors

¹⁴ As the evaluation was initiated shortly before summer holiday periods, interviews with both partners and representatives of the humanitarian system and actors had to be carried out in September.

¹⁵ The applications of ACAPS, ALNAP, ATHA, HPG and IRIN include logframes, but with varying degree of clarity and detail.

may act in another direction, political or financial aspects may limit the effects or human resources may be lacking. There may also be flaws in the outputs or they may not be suitable to specific contexts.

- Assumption 4: *Intended outcomes contribute to intended impact* – the ultimate goal often relates to improved situation of affected population, increased accountability etc., i.e. goals that are affected by a large number of factors, which makes it very difficult to control the link from outcome to impact.

In order to contribute to usefulness and learning, we have involved Sida and the partner organisations to a relatively high extent in the evaluation process¹⁶. Sida and the six partner organisations were engaged in identifying, developing, analysing and revising their respective intervention logics¹⁷. The contribution analysis approach was complemented with consultation of an expert panel to test emergent hypotheses and findings and help in identifying key informants to realistically mirror the system's and operational actors' perspectives.

2.2 Data Collection and Analysis

The main methods for collecting data were document review, group discussions and interviews. Documents reviewed include Sida's strategy documents and decisions, partner organisations' applications and reports to Sida, annual reports, evaluations and documentation from other sources. See Annex 3: Documentation for a list of documents reviewed. As part of the evaluation process, we asked the partner organisations for documentation regarding outcomes and impact.

We have had three meetings with Sida staff and interviewed three former Sida staff members. The team has visited all partners except DI (for logistical and time saving reasons Skype was used). During partner visits the theories of change developed by the team based on document review were discussed and analysed. These discussions triggered positive but varying degrees of interest and engagement and often resulted in revised and more explicit assumptions regarding how partners intended their outcomes to be achieved.

In order to collect primary data on use and effects of the partner organisations' outputs, the team interviewed representatives of the humanitarian sector. 26

¹⁶ See Patton, M., 2012, A utilization-focused approach to contribution analysis. *Evaluation* 18(3) 364 – 377 and Mayne J., 2001, Addressing attribution through contribution analysis: using performance measures sensibly. *Canadian Journal of Program Evaluation* 16(1): 1–24.

¹⁷ In line with varying preferences among interviewees, we use “theory of change” and “intervention logic” interchangeably.

humanitarian system organisations were identified as high priority to interview based on the following criteria:¹⁸

- United Nations (UN) and cluster system.
- Organisations regarded as main operational humanitarian actors by Sida (including “big five” International Non-Governmental Organisations (INGOs): The International Rescue Committee (IRC), World Vision International (WVI), Oxfam, Save the Children and MSF).
- Organisations regarded as target organisations by the six partner organisations.
- Geographically include both large and forgotten crises/emergencies.

We purposely selected respondents with multiple perspectives, which contributed to triangulation by exploring HQ, regional and field perspectives in the same organisation. Individuals were targeted based on information from Sida, the partners, own contacts, “cold-call” formal approaches, expert panel proposals and snowballing during interviews. From each organisation, one to three persons were selected with an aim to include staff at the following positions or functions:

- Policy level and academia (users and producers of research)
- Staff responsible for developing methods and tools to be used in field-level operations
- Staff knowledgeable of field level operations at HQ and regional levels (if feasible also selected country level staff)

In total, 95 persons (51 women and 44 men) were interviewed. 54 of these (24 women and 30 men) were representatives of the humanitarian sector. These interviewees, although selected for their present position in the selected organisations, all came with prior experience of other parts of the humanitarian system (including other humanitarian organisations and other levels of the humanitarian system). Although few of the interviewees were currently in field level positions, most had experience from work at field level (some from recent field missions, some from recent field visits, some not so recent). We also interviewed a number of independent consultants with long system experience. Interviews were guided by a set of interview questions and interview protocols were collated in an Excel database.¹⁹

The team had discussions with expert panel members during inception phase to discuss methodology and hypotheses and for support in identifying interviewees, and

¹⁸ 24 of these were in fact reached for interviews.

¹⁹ See Inception report for interview guides.

during the analysis phase to discuss findings and conclusions. The expert panel consisted of two individuals with extensive knowledge and experience from the humanitarian system: Margareta Wahlström and Ross Mountain.

Contribution analysis implies an iterative process between data collection and analysis to test the theories of change of the partner organisations (and Sida). If the theory of change is supported by data, this is regarded as an evidence-based assumption about the impact of the intervention. The analysis has included the steps in contribution analysis presented in Figure 1 above. Data was analysed by the team as well as jointly with partner organisations during visits and to some extent together with Sida in meetings. Interview data was collated in an Excel database and analysed quantitatively and qualitatively.

The analysis included revising the theories of change of the six actors and Sida to adapt them to findings made during the data collection phase. The revised theories of change and data collected were analysed to assess if activities and outputs were implemented as planned, if there was evidence in support of assumptions and outcomes, and if conclusions could be made regarding impact and relevance. The analysis also included identifying external and internal factors that hindered or contributed to results. Shortcomings in the cause-effect links in the theories of change as well as critique and recommendations were also identified.

2.3 Limitations

The main limitations and challenges relate to:

Sample of interviewees from the humanitarian system:

- Our sampling of interviewees was not randomised, but contains a broad group of individuals with extensive knowledge of the humanitarian system.
- A high proportion of interviewees had not heard of or not used ATHA. This may indicate a potential bias in the interviewee selection against persons knowledgeable of ATHA. This in turn may be a result of our targeting process, or because ATHA targets individuals, not organisations. It may also be the case that their outputs are better known than their name.²⁰ The numbers regarding ATHA should be taken as indicative, and not be basis for decisions or actions.

²⁰ E.g. the Harvard Humanitarian Initiative brand is stronger than ATHA's own brand, as are the brands of some of the organisations with which ATHA collaborates. In some of the later interviews, informants saying they had never heard of ATHA were given a short description of ATHA's activities and some reacted with "aha those people, yes we have worked with them/sent staff to their workshops".

- A large part of the interviewees have mixed backgrounds (e.g. several system's levels and several organisations) and their answers are likely to reflect their full background, not only their present position. We see no problem with this. When we have data on interviewees' backgrounds, this is presented in the interviewee list in Annex 4: List of Interviewees.
- Even when currently in Headquarter (HQ) positions, many interviewees with past field experience are included, but the field experience was not always recent. This may to some extent make responses biased against effects at field level but responses indicate that many interviewees are well informed of field level activities. We have triangulated interview data with available documented data.
- Including the snowballing technique to identify interviewees implies a risk of a biased sample of interviewees. We have sought to reduce this risk by snowballing from multiple origins (partners, Sida, expert panel and others) and assess that we have a broad sample of individuals.
- The heterogeneity of interviewees representing the humanitarian system is reflected in interview protocols as a variation in which questions were asked and answered.²¹ This implies that not all interviewees answered all questions. Questions were asked "topic by topic" rather than "partner by partner", meaning that there is a risk that a respondent may have had information about a partner although it was not mentioned in the interview. We chose this way of asking as the most feasible one, giving limited time and the risk of question fatigue if we had asked the same questions six times in each interview. Responses received indicate that most interviewees considered all known partner organisations, and apart from ATHA we do not consider this a problem (refer footnote 20).
- Some interviewees had canvassed colleagues regarding their knowledge and opinions regarding the partners prior to being interviewed. Although this gives more nuanced data, interviewees cannot be regarded as comprehensively representing their (often very large) organisations.

Time and timing:

- The time and timing (evaluation start-up before summer holiday months) has not allowed for sequencing identification and testing of theories of change as it should ideally be when using contribution analysis, the main shortcoming being that some of the interviews with humanitarian system representatives were carried out before theories of change were revised. We have tried to remedy this by using the

²¹ E.g. questions regarding methodology and tools were directed at persons working with monitoring and evaluations, while questions about policy and funding decisions were asked of other respondents.

“generic” core assumptions described above and partner-neutral questions, which have worked well in interview settings.

Documented evidence of outcomes and impact:

- As expected, there are significant shortcomings of documented data, especially regarding impact at field level. We have asked for such evidence from all partner organisations, and received some in addition to what Sida already had. Reporting against targets set in logframes is also rare.²² This has been reflected in our choice of methodology and a heavy reliance on interviews with representatives of the humanitarian system and operational actors as a source of information regarding effects at outcome and impact levels.
- In several cases interviewees have emphasized that the lack of data on field impact results from conscious prioritisation; the cost of documenting effects on affected people would be so high that it would not be possible to get funding for such efforts.

The reader should keep in mind that findings, conclusions and recommendations of this evaluation are based on the methodology and sources of information used in the evaluation. The main source of primary data is interviews with individuals, however the number of interviews is quite high and the interviewees have extensive knowledge and experience of the sector and we assess this to be a reliable source of information. The main source of secondary (documented) information is reports and other information supplied by the organisations under review, which makes this a less reliable source of information. However, we have not seen signs of over-reporting or other indications that the secondary data should be misleading. The methodology used does not provide exact measurements of results achieved; it provides evidence-based findings from which we can draw plausible conclusions that a program has made an important contribution (or not).

²² We have only been able to locate this for ACAPS and IRIN.

3 Theories of Change

This chapter presents Sida's and the partner organisations' theories of change. Given the limited space for detail and nuance in this text, they have been heavily edited and summarised such as we have interpreted them after document reviews and discussions and interviews with the partner organisations. For each partner organisation, we present their overall goal (intended impact, overall objective or similar) and the intended outcomes, outputs and activities that are the partner organisation's way to achieve the overall goal. Partner activities are broadly categorised into:

- *Research i.e. Collecting, collating, analysing and distributing data;* for example different kinds of research, provision of reference material such as ALNAP's library of evaluations or distribution of information related to humanitarian issues such as IRIN's journalistic material. The material itself constitutes an output.
- *Application i.e. Methods and tools development;* some of the partners take experience and research and invest in operationalising such evidence on what works and does not into guides, lessons learned, training materials, checklists for field staff et cetera. Examples of this would include ACAPS' methodology development for assessments, ALNAP's Evaluation of Humanitarian Action Guide and HPG's policy and practice recommendations.
- *Support for up-take i.e. Training, capacity development and providing arenas for interaction;* examples of training activities undertaken are usually focused on a particular niche target group such as assessment analysts in the case of ACAPS or advanced humanitarian practitioners in the case of ATHA. Partners also provide arenas for interaction, both face-to-face and virtual, in the form of workshops, launch events, web-based communities of practice, technical mentoring.

Figure 2 at the end of this chapter contains an attempt to classify the partners according to their activities and intended outcomes.

The direct and indirect target group of their activities are presented, the direct target group being the recipients of activities and services (e.g. financial analysts), and the secondary target group being the group they intend to influence (e.g. donor governments). The organisations' assumptions are well captured by the four core assumptions (see section 0) and are very briefly presented here, as they form the basis for much of the discussion in chapter 5. The next chapter presents data and findings

regarding activities, outputs, assumptions and to some extent outcomes. Each presentation below is complemented by a figure depicting the theory of change. If the organisation has presented a theory of change, this is used, otherwise we have drawn one based on the information supplied.

The evaluation team notes that several partners emphasise that the effectiveness of their service to the sector at times requires maintaining a low profile. The background is that stakeholders, for a variety of reasons, may not be comfortable with transparency regarding their need/wish for policy or technical capacity development or for dialogue around sensitive issues. This report seeks to recognise such realities and data presented at times lacks detail in order to respect this.

Please see Annex 5 for diagrams of the theories of change we have used.

3.1 Sida

The overall objective of the support to the Humanitarian Partners is based on the strategies for humanitarian assistance²³. Please note that this has changed over time. The theory of change presented here is based on the current strategy.

The ultimate target group is “people affected by crisis”, while “the humanitarian system” is an intermediate target group. Four Areas (comparable to sub objectives) are identified in the Strategy:

1. Needs-based, fast and effective humanitarian response,
2. Increased protection for people affected by crises and increased respect for humanitarian principles and international humanitarian law,
3. Increased influence for people affected by crises,
4. Greater capacity and efficiency in the humanitarian system

Each of these are subdivided into more specific goals in the strategy.

The Sida contributions to the methods partners constitute one element of Sida strategy to achieve the above aims. The contributions made that are easiest to document are the direct funding flows to the partner organisations. Several of the partners have emphasised that the volume of Sida financial contributions does not adequately reflect the importance of Sida support. The (generally) un-earmarked

²³ Strategy for humanitarian assistance provided through the Swedish International Development Cooperation Agency (Sida) 2011 – 2014. The 2011 - 2014 (extended until the end of 2016) and Strategy for Sweden's humanitarian aid provided through the Swedish International Development Cooperation Agency (Sida) 2017–2020.

nature of Sida funding makes each euro provided more useful than its absolute value. Partners also highlight the importance of Sida engagement in Steering/Advisory Committees or similar, their role in disseminating products and actively participating in debates as well as the back-stopping function provided to project managers and other stakeholders. This latter function is in some cases described as very important but is also variable over time and highly dependent on the interest and experience level of the individual who has been the Sida entry point for the partner.

3.2 ACAPS

During the discussions with ACAPS, based on their implicit theory of change,²⁴ it was noted that the organisation is relatively young and its theory of change is evolving. In part this is a purely conceptual development allowing them to be clearer about their assumptions; in part this involves changed activities and outputs based on the experience gained over time. For example, early intentions to broadly raise assessment capacity among sector stakeholders through widespread training did not produce hoped-for results and has been replaced by a focus on analysts.

ACAPS' goal is to strengthen evidence-based humanitarian decision making in order to make it more effective and contribute to an increased resilience of communities (impact). The organisation seeks to do this by contributing to a shared situation awareness within the humanitarian community (outcome). In order to support the emergence of such a common understanding ACAPS produces rapid, multi-sectoral crises assessments that triangulate or complement those produced by other stakeholders. It deploys assessment experts in support of joint assessments and produces and publishes analysis on the impact of crisis (activities leading to output in the form of joint assessments and research products). In order to be able to do this, ACAPS develops improved assessment methodology based primarily on secondary data sources (activity leading to output in the form of application). The organisation also provides training for selected analysts involved in assessments (activity; support for up-take).²⁵

ACAPS main assumptions²⁶ are that their products are known, that evidence affects decisions, that better methodology will improve evidence and that this influence

²⁴ This was developed by the evaluation team based on the document review and is presented in Annex 5. Presented assumptions were shared by ACAPS after the team's visit.

²⁵ Research, application and support for up-take relate to the classification of partner organisations presented above illustrated in Figure 2 below.

²⁶ The partners' assumptions are further presented and discussed in the next chapter. These are sorted by the evaluation into four generic assumptions as described in section 3.1.

decisions and that will in turn improve the performance of the system. ACAPS maintains its independence (do not get operationally involved and have editorial control) as they believe that this provides a useful complement to assessments and analysis by mainstream humanitarian actors, thus increasing the quality of the analysis.

ACAPS direct target group is emergency assessment professionals in order to improve the quality of assessments and shared crisis understanding. Their indirect target groups are: decision-makers in programming, grant proposal writing, donors' policy-makers and resource allocators.

In summary: ACAPS seeks to improve humanitarian response by improving assessment (better assessment methodology → better evidence → shared understanding → better response and coordination).

3.3 ALNAP

The ALNAP theory of change, presented in Annex 5, was well developed in the documentation provided and discussions focussed on interpretation of assumptions and on identifying existing evidence that assumptions were realistic.

ALNAP is a membership-based network organisation. Their intended impact is: Increased number of lives saved; suffering alleviated; more resilient livelihoods and human dignity maintained in communities experiencing humanitarian crisis.²⁷ In order to contribute to that they seek to improve the accountability and performance of humanitarian action (*outcome*).

They believe they can make the system perform better by strengthening the humanitarian evidence base (*outcome*). *Activities*, including research, application and support for up-take, are designed to improve the quality, availability and use of knowledge and evidence from previous responses. ALNAP supports its membership in identifying key issues, providing an infrastructure within which to share lessons. Where appropriate, they provide leadership for exploring collective approaches and solutions. The organisation facilitates learning between Members, hosts a unique library of evaluations of humanitarian action and carries out original research. It also hosts events and conferences.

Informed by the needs of the Membership and guided by a Steering Committee, the ALNAP Secretariat is responsible for delivering on an annual work plan. Over time

²⁷ ALNAP Impact model, ALNAP funding application to Sida 2014, p.17, Impact 1.

the work plan has emphasized different research themes (for example innovation in the humanitarian system, leadership and urban response). Members actively participate in identifying focus areas and provide field access and contextual understanding. They also contribute with physical resources, assisting with dissemination, take-up and use of ALNAP materials (application; e.g. guides, lessons learned), often adapting these for use within their own organisation. This close interaction with a broad membership greatly extends ALNAPs influence in the sector. It is also referred to as compensating for the Secretariat's limited field presence.

ALNAP emphasises its service provision (e.g. the Humanitarian Evaluation, Learning and Performance (HELP) library) and its facilitation role (support to up-take e.g. events, mentoring, panel participation, et cetera) as well as the contribution that this role makes to members' ownership of knowledge creation and lessons uptake. This includes brokering stakeholders' capacity needs with members' competence and experience. While picking up on various themes in different periods, ALNAP seeks to hand over research and group dynamics around these themes to, interested and capable, members as and when these emerge. The evaluation work stream is different and has been a consistent feature over time. ALNAP can be described as humanitarian knowledge management infrastructure.

ALNAP assumes that improved evidence and learning, if accessible, will be known, used and affect both day-to-day decisions and the overall development of humanitarian activities at both system and field level.

ALNAP's direct target group is the membership but the specific organisational functions targeted vary depending on theme. The consistency of the evaluation work stream over time implies a strong focus on monitoring and evaluation professionals and organisational functions. The organisation's indirect target group is very broad; the entire humanitarian sector, including operational actors, states, academics and interested general public.

3.4 ATHA

Presentation of the ATHA implicit theory of change by the evaluation team generated energetic reflection and interested discussion around how best to capture the assumptions the institution is making. Discussions focused on how ATHA is affecting its immediate practitioner target group as well as on how it hopes to affect the system at large. These discussions do not appear to be finalised. The assumptions presented in this report constitute a summary and will be the subject of further internal analysis.

ATHA has a vision of a global, professional, humanitarian community empowered and equipped to confront humanitarian challenges with relevant and impactful initiatives (impact). They seek to support the development of such a community through thematic research, thus building knowledge that can be used to stimulate debate within and between agencies (outcome). Research areas, the choice of which is

made in dialogue with practitioners, are focused on applications of international humanitarian law, gender in response, displacement, humanitarian negotiation and humanitarian protection issues. By producing thematic research paper series, briefings, hosting the humanitarian action blog and consulting on training needs (activities) they seek to equip professional humanitarian practitioners with methods and tools to address emerging dilemmas and challenges in humanitarian protection. They seek to contribute to this by providing practitioners with spaces for sharing of experience. Such arenas include face-to-face workshops and trainings as well as a range of communication material and interactive web for a (outputs).

Perceived relevance is seen to be closely linked to ownership and the ATHA approach emphasises identifying emerging issues through interaction with practitioners. It seeks to develop regional interaction across organisations between practitioners and to provide a neutral space for dialogue. ATHA seeks to stimulate such dialogue through experiential learning based on role-plays and simulations. ATHA collaborates with a series of major operational actors such as ICRC, MSF, UNHCR and ACF.

ATHA assumes to be known by their direct target group, that activities will contribute to greater professionalism among advanced practitioners and that this in turn will change how humanitarian response is implemented, thereby contributing to change primarily at field level. In parallel, they assume that relevant research will contribute to improving the effectiveness of the system as a whole.

ATHA's direct target group consists of humanitarian practitioners with 5 to 8 years' experience ("advanced" practitioners, acceptance criteria for selection as participant have been raised in response to research on who influences interventions). There is no explicit indirect target group. ATHA emphasises that they target individuals, not organisations, seeking to affect the system as a whole by developing the professionalism of key influencers at senior field levels.

3.5 DI - GHA

The theory of change for DI, presented in Annex 5, is DI's own and has not been adapted in connection with the evaluation.

Development Initiatives overall goal is *A sufficient and effective mix of resources to address crisis, vulnerability and risk* (impact). To achieve this they seek to contribute to humanitarian financing which is mobilised and allocated according to need, effectively and efficiently delivered, governed and coordinated (outcome). They believe that greater transparency leads to better data, better decision-making and more accountability in crisis financing. DI seeks to contribute to this by providing data-led research and analysis (activities) in the form of subject specific briefings and synthesis products and tools (output).

The Sida funding for 2016-2017 was earmarked for the Global Humanitarian Assistance report.²⁸ This material, which is published annually, in hardcopy and on the web (output), seeks to meet a perceived humanitarian system need for comprehensive, compiled data on funding flows throughout the humanitarian sector. In connection with the annual launch, DI participates in a series of events, briefings and workshops. In these, identified trends (e.g. thematic, geographic and quantitative) are highlighted and dissemination material shared in support of ongoing debates. DI collaborates closely with for example OCHA's Financial Tracking Service and ALNAP's State of the Humanitarian System work stream.

The direct target groups for the GHA report are analysts, grants managers, policymakers and decision makers on resource allocation – be they donors, academia or operational actors. The indirect target groups that the report seeks to influence are: governments, activists, politicians and the general public..

3.6 HPG

HPG's theory of change seeks to capture four specific objectives and several intended outcomes. The interpretation of it presented by the evaluation team during our visit generated some discussion and we later received a revised version which is presented in Annex 5.

HPG seeks to contribute to the effectiveness of humanitarian activities (impact) by providing stakeholders with in-depth analysis of the policy and operational environments within which such activities are implemented (research output). The organisation believes that linking thematic research, academic engagement, practitioner networks, policy and decision-makers through a series of events, hearings, roundtables, academic papers, social and online media will make stakeholders better informed, thus contributing to better decisions (a complex mix of activities, outputs, and outcomes). They do this with the intention to provide quantitative and qualitative evidence and examples of successes, failures, opportunities and constraints in different crisis contexts. By making such evidence available (concerning policies, contexts, what works and doesn't) and simultaneously providing arenas for dialogue between relevant humanitarian stakeholders (support for up-take), HPG seeks to contribute to improving humanitarian assistance by improving the evidence base and decreasing barriers to communication.

²⁸ In other periods the support has been un-earmarked.

HPG assumes their products (research and support for up-take) will be known and used. They further assume that this will contribute to better policy making thereby changing both humanitarian system and activities at field level for the better.

HPG's direct target groups are senior humanitarian stakeholders, policymakers and decision makers on resource allocation be they donors, academia or operational actors. Indirectly they target governments, activists, politicians and the general public.

3.7 IRIN

The interaction of the evaluation team with the organisation coincided with ongoing internal discussions around how IRIN is placing itself in the sector and contributing to its intended outcomes. Originally a department of OCHA, IRIN has since January 2015 established itself as an independent news provider, balancing the wish to maintain its current readership with the need to communicate its new autonomy. This also implies that its theory of change is evolving. The theory of change presented in Annex 5 is an updated one with assumptions clarified.

IRIN seeks to contribute to more effective and accountable humanitarian action (outcome) to improve the lives of people affected by crises (impact) by running a humanitarian-focused news room (activity). Intending to influence political choices it raises awareness of crises and best practice in humanitarian response among the interested public by producing news material, a form of research, which is then published on the web or syndicated to mainstream media (output). Field based material on contexts, effects and emerging crisis is produced in order to inform decision-makers and practitioners in humanitarian response. Investigative journalistic methods are applied to document what is and is not working, uncover malpractice, highlight lessons learned, or identify successes in the humanitarian sphere.

IRIN assumes they and their products are known and used. They further assume that journalistic output (reflecting anything from crisis events or context to abuse perpetrated by humanitarian actors) will influence humanitarian response and related resource allocation, legal action and implementation accountability.

IRIN's direct target groups include humanitarian responders; governments and governance of operational actors seeking accountability of humanitarian interventions, individual journalists and mainstream media. The organisation's indirect target group is very broad extending to humanitarians, governments, activists, politicians and the general public.

3.8 Partner Classification

Although they are very different in their organisational histories and chosen intervention methodologies the partners share some characteristics in terms of the functions they fulfil (partner activities and outputs) and in terms of what they are trying to achieve (intended outcomes). We have chosen to group partner activities in three categories presented at the start of this chapter; research, application and support for up-take. The table below provides a summary of what the partner organisations intend to achieve and how.

Partner activity	Research: Collecting, collating, analysing and distributing data	Application: Methods and tools development	Support for up-take: Training, capacity development, arenas for interaction
Intended outcome			
Change WHAT is done (geographic or thematic)	ACAPS ALNAP ATHA DI-GHA HPG IRIN	ACAPS ALNAP	ACAPS ALNAP
Change HOW responses are done (effectiveness, efficiency)	ACAPS ALNAP ATHA HPG	ACAPS ALNAP ATHA	ACAPS ALNAP ATHA
Increased accountability or learning	ALNAP DI-GHA HPG IRIN	ALNAP HPG	ALNAP ATHA HPG

Figure 2: Classification of partners by activities and outcomes (focus, a partner not appearing in specific square does not exclude activities/intended outcomes in that area).

In line with the diversity of its membership, ALNAP has activities and ambitions in all segments of the figure. ACAPS assessment focus keeps it in the upper two outcome rows. ATHA, GHA, HPG and IRIN all engage in research, each in their own fashion. ATHA uses this for interacting with practitioners, GHA and IRIN primarily seek to influence resource allocation and accountability. Meanwhile HPG combines a strong research focus with stakeholder-interaction-based learning ambitions.

4 Evidence and Findings

Chapter 3 presented the partner organisations' revised theories of change in brief, together with highly summarised assumptions. In this chapter, we present data to assess if there is support for the partner organisations' theories of change, i.e. if evidence indicates that the partner organisations' activities and outputs have contributed to their intended outcomes. We start by presenting findings relating to activities and outputs, mainly based on programme and annual reports to Sida, and then look at primary and secondary data relating to key assumptions 1, 2 and 3 and to achievement of intended outcomes. In Chapter 5 we discuss and draw conclusions about the extent to which there is support for Assumption 4, i.e. that outcomes have resulted in intended impact, and if the partner organisations' activities have been relevant.

4.1 Activities and Outputs

Sida's financial support to the six partner organisations is non-earmarked.²⁹ This implies that it is not possible to assess exactly which activities or outputs Sida funds have contributed to, or to what extent targets have been reached. However, in some cases the partner organisations have presented a logframe in their applications for funding. In some cases the partner organisations have reported on achievements against targets in the logframe and in other cases reporting is more narrative and based on examples, making it more difficult to assess achievement against targets. Below, we discuss briefly such reporting.

The Norwegian Refugee Council's annual reports for 2014 – 2016 include chapters on ACAPS with quantitative core performance indicators. Indicators are mainly achieved (some not achieved, but explained or commented, several over-achieved). The report does not list specific citations, referrals etc. A DFID³⁰ Project Completion Review scores ACAPS high but also comments recommends that methodologies are

²⁹ Or broadly earmarked; funds for DI were earmarked for GHA for 2016-2017, funds for other partners are to be used in accordance with proposed budgets but these commonly have many of the characteristics of "core" funding in that the partners have significant leeway in what they propose. Partners also attest to flexibility on Sida's part if adaptations are suggested in reaction to changed context.

³⁰ Department for International Development, UK.

developed to better understand the how ACAPS products are used in e.g. key decision making processes.³¹

The ALNAP funding application submitted in December 2014 includes a logframe with performance indicators for outputs and outcomes, as well as assumptions. Annual reports describe achievements, list activities and outputs and refer to popularity, positive reviews and feedback as a way to illustrate impact.³² We have not found reporting based on the logframe in the documents received from Sida or ALNAP.

ATHA's proposal to Sida contains a logframe with a rather large number of activities, outputs and goals for each activity. The reports to Sida that we have had access to describe activities and list outputs, but do not relate achievements to targets.

DI's proposal to Sida for the 2016 GHA report³³ consists mainly of descriptions of prior achievements and does not include a logframe or other specification of objectives, outcomes or goals. DI Annual donor report 2015-2016, contains much data on outputs, downloads, launches etc. The application for the 2018-2020 period contains a theory of change, which has been used for the present evaluation.

HPG's proposal for Sida 2015-18 contains a logframe with mainly qualitative outcomes and performance indicators. We have not seen references to the logframe or objectives in the reports that we have received from Sida or HPG.

IRIN's 2016-2017 report to Sida³⁴ contains a logframe with objectives, activities, indicators, targets and results for 2016. The targets are mainly achieved, with both positive and negative deviations.

Based on the document review, we conclude that there is evidence of achievements against targets for some of the organisations. For all organisations, there is information about activities and outputs produced. We have no way of quantitatively triangulating if the organisations have performed according to plan, but conclude that they all have showed in their respective reports that they have carried out activities and produced outputs in line with their proposals.

³¹ DfID, Project Completion Review – post April 2018.

³² ALNAP Annual report 2016-2017. See impact and response boxes for comment on impact.

³³ GHA Funding proposal: Global Humanitarian Assistance Report 2016 to Sida.

³⁴ IRIN report 2016-2017 (SIDA). The report covers the period April 1, 2016 to March 31, 2017.

This is confirmed by data from our humanitarian system interviews. Collecting key words in responses to questions about their use of partner organisations' outputs and summarising these indicate a correlation between what the partner organisations produce and what humanitarian actors use. The table below summarises common key words from the interviewees' statements about their use of partner outputs.

ACAPS	ALNAP	ATHA	DI/GHA	HPG	IRIN
Analysis training	Annual meeting	Broadcasts	Analysis on funding (critical but outdated)	Background info	Accountability systems
Assessments	After action reviews	Cluster platforms	Annual report	Briefings	Conflicts of the day
CoPs	Better evaluation website	Collective advocacy	Background info	Country profiles	Country info and analyses
Country reports	Communities of practise	Paper on humanitarian access	Bring professionalism and energy to statistics	Data analyses	Credible articles
Data	Database and normsetting	Podcasts	Data	Events, Launches, Webinars	Data for triangulation
Early warning	Dissemination platform	Training for field	Everybody relies on it	Field perspective	Detailed insider info
Evidence and checking assumptions	EHA evaluation guide	Trainings	Financial analysis report	Go-to resource	Emerging issues
Field level	Evaluation and capacity building	Trainings around IHL	Financial trends/ analysis/ data	Literature review	Geographic and topic areas
Ground data	Evaluation and learning	Trends in IHL	Better understanding	Accessible think tank on humanitarian issues	Background info
High quality info source	Guidelines (better evaluations)		Go to for facts and figures	Point of reference	Healthy critical
Secondary info	HELP library		Good graphs	Policy papers	Independent info source
Sensemaking of field-level data	Humanitarian think-tank and facilitator		High quality data	Qualitative info	Investigative info
Triangulation	Informs thinking		Infographics	Reports and analysis	Keeping up to date
Updates on hum scenarios	Lessons Learned		Knowledge on trends	Situation analyses (country and thematic)	Mover and shaker, Outspoken
Qualitative analysis	products		Quantitative info	Structured quality research	News source
Value added	Leadership writing		References	Think pieces	On the ground
Analysis	Library		Tracking trends	Toolkits	Policy issues
What is known	Meetings, workshops		Useful data on donor spending	Well-supported material	Quick overview
	Network				Research
	Platform, Portal				Thematic system
	Reference source				wide critique
	SOHS				Timely
					Transparency
					Trusted info source
					What's happening in aid world

Figure 3: Partner organisations' activities and outputs most frequently referred to by interviewees.

4.2 Assumption 1: Partners' outputs are known by actors in the humanitarian system

Assumptions are external conditions that are outside the control of the implementers but which must hold true for the outcome and impact to be achieved. They are often implicit and not all partner organisations had documented assumptions in their programme proposals, logframes or theories of change. This, together with our need to adjust and develop theories of change in parallel to interviews, forced us to start out with the set of four simplified core assumptions presented in section 3.1. These also made it possible to compare the six organisations and gave structure to interviews and analysis. During the evaluation, partner-specific assumptions were identified, developed or defined. This process was carried out via a mix of document review, discussion with and own work by partner organisations as well as analysis in the evaluation team. Below, we present the revised partner-specific assumptions for each core assumption.

Our first assumption states that in order for the partner organisations' outputs to be used, they must be known by actors in the humanitarian system. The way the partner organisations approach this is mainly to ensure that they or their products are visible or available to the intended target group. The only partner organisation that has explicitly included this assumption in theories of change, logframes or similar documents is ALNAP, which makes the following assumptions:

- 'Targets of influence' for research recommendations are accessible through at least one of these media (used in launch process).
- Members hold events on topics related to research
- Members have, and use, webinar technology

The partners' annual reports indicate that the partners are known, but not to what extent. Citations in the reports indicate that they are widely referenced, listened to and attract interest in their launches, presentations and websites. However, this gives no information about the extent to which they are known in the humanitarian system. In our interviews with representatives of the humanitarian system, we attempted to assess the extent to which the partner organisations were known by asking if the respondent had heard of the six partner organisations. The diagram below shows the percentage of respondents who had not heard of the partner organisations, respectively.

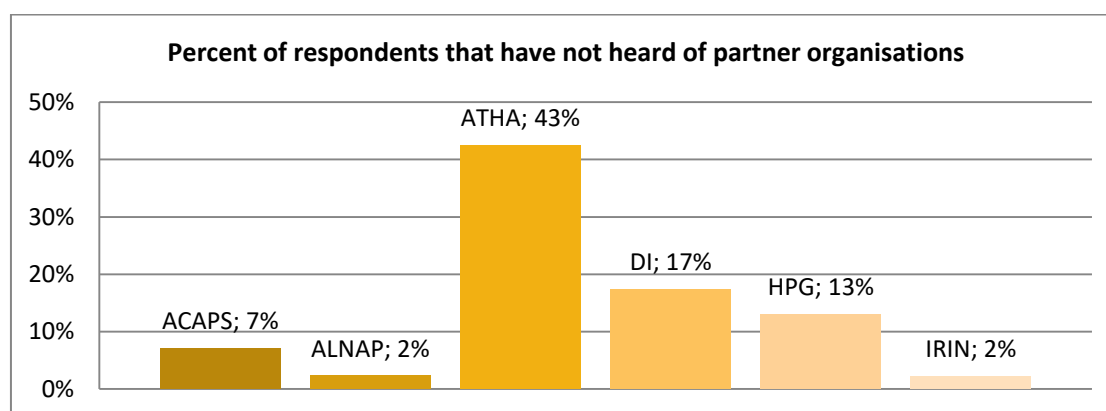


Figure 4: Percent of respondents who have not heard of the partner organisations. Note that not all interviewees gave a response for all partner organisations, hence the total number of respondents per partner organisation varies. Total number of responses were 41 for ACAPS, 42 for ALNAP, 46 for ATHA, 45 for DI, 45 for HPG and 44 for IRIN.

The most notable finding is that 43 percent of interviewees had not heard of ATHA. As discussed above under limitations, this may indicate a potential bias in the interviewee selection against persons knowledgeable of ATHA. However, we believe it is also a reflection of ATHA's approach to visibility and targeting. ATHA explicitly targets individuals, not organisations. They also to some extent "hide" behind the Harvard brand and help other organisation arrange trainings without advertising it. This has been evident in some of our later interviews, where respondents have claimed not to have heard of ATHA, but when told what ATHA's outputs are, claimed to actually have used their material or had staff participate in

their trainings/workshops. For DI, where the evaluation only covers the GHA report, we have intentionally asked about DI/GHA. Despite this, DI has the second highest share of respondents that have not heard of them, followed by HPG. Both DI and ATHA are quite niched in terms of target group, which may also explain the numbers. IRIN, ALNAP and ACAPS are known to nearly all respondents. We can thus conclude that apart from ATHA, the partner organisations are well known in the humanitarian sector, and that ATHA's products probably are more well-known than the figures regarding its name indicate.

4.3 Assumption 2: Partners' outputs are used by actors in the humanitarian system

The document review provides information indicating that the partner organisations' outputs are used. The partner organisations' reports all list and describe outputs (e.g. trainings, presentations, research, reports, evaluations, toolkits etc.) and provide multiple examples of when and where these outputs have been used, such as citations by individual users and references to their material in other products.³⁵ A 2015 evaluation of DI finds that the GHA is widely used.³⁶

ACAPS for example has provided information about who their users are. According to an ACAPS survey, based on a sample of 6,882 people and information collected from the ACAPS website and mailing list, 69% of ACAPS users are HQ people, 11% regional and 30% field based. The top three countries which users are based in are the US, Europe and Nigeria. 44% belong to INGOs, 11% to UN. The ten main users are Save the Children, UNHCR, UNICEF, IFRC, OCHA, MSF, NRC, ICRC, Tearfund and Oxfam.³⁷

Our interviews with humanitarian system representatives confirm that partner outputs are used, and also indicate the extent of use. We asked respondents to assess how often they use the different partners' outputs. Their answers were categorised according to frequency of use and are illustrated in the figure below, the darker the shading, the more often are the products used. Please note the risk of bias in the data regarding ATHA discussed above.

³⁵ See e.g. Annual Reports and websites of the six partners.

³⁶ Willitts-King, 2015.

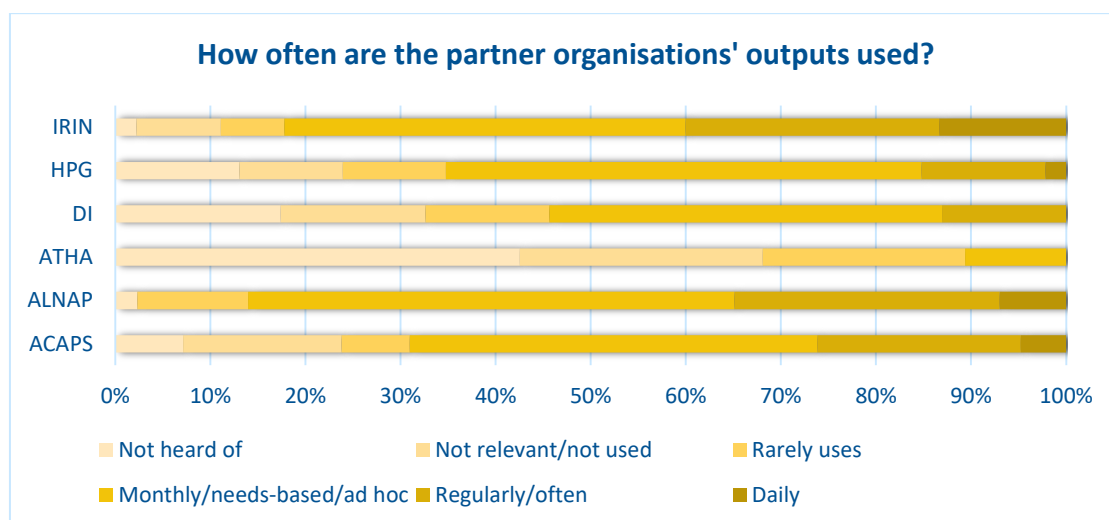


Figure 5: How often are the partner organisations' outputs used? Note that not all interviewees gave a response for all partner organisations, hence the total number of respondents per partner organisation varies. The table shows percentage of total number of responses for each partner organisation.

In the figure above, darker shade indicates more frequent use. IRIN, followed by ALNAP and ACAPS, have the highest shares of daily and frequent users, which is in line with their types of outputs. DI's GHA report is issued annually and targets a more specialised group of users, which can explain the smaller share of frequent users. HPG has a similar pattern of use.

The partners make different assumptions about what is going to make their target groups use their outputs. Their assumptions can be categorised as referring to relevance, availability and the type of information.

When you're in Nigeria you're not worried about what's happening in Myanmar.
Interviewee 6.

Relevance is assumed to increase by involving the intended users in the process of selecting topics or creating information. This can also be interpreted as creating a sense of ownership among intended users. ATHA and ALNAP make these types of assumptions, ALNAP with the addition of a strong focus on availability. ACAPS, DI, HPG and IRIN have assumptions relating to availability, with the main message being that if information is available, it will be used. ACAPS, DI and HPG also have assumptions that relate to the quality of information, ACAPS via independence, DI via transparency and HPG via academic quality.

The table below presents the partner organisations' revised assumptions, as expressed by the partner organisations or as interpreted by the evaluation team. Based on the documents reviewed and analysis of interview responses, we have assessed the extent to which there is support for the partner organisations' assumptions. The shading in the table illustrates the evaluation team's assessment of the extent to which the data presented supports the partners' assumptions. The darker the shading, the stronger the evidence:

We rely heavily on, and put significant trust in, data generated by ACAPS for our response decisions. ACAPS data is also complemented by IRIN outputs.
Interviewee 26.

No support	Some support	Medium support	Strong support
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Assumption 2: Partners' outputs are used by actors in the humanitarian system					
ACAPS ³⁸	ALNAP ³⁹	ATHA ⁴⁰	DI ⁴¹	HPG ⁴²	IRIN
Evidence plays a significant role in decision-making	Members will join and contribute to online fora.	Interactive, iterative research designed to empower change agents among practitioners will result in output that is more relevant to the system and operational actors	Evidence will be used if there are enabling political and economic environments	By basing research focus on emerging issues, HPG can ensure there is evidence when the debate becomes mainstream (relevant products).	When the public is better informed, it is more likely to a) put pressure on politicians to act b) support government allocation of resources to relief c) hold their governments accountable when they forego their responsibilities ⁴⁴
An operationally independent perspective provides a useful complement to assessments and analysis by mainstream humanitarian actors	Uptake of report findings by ALNAP member organisations is made more likely where the report is relevant/meets member organisation needs; involves action research by member organisations; meets robust quality standards ⁴³	If humanitarian practitioners are involved in the research process the output produced will be more used	Greater transparency leads to better data, better decision-making and more accountability in crisis financing	High academic level makes reports more attractive.	The systems of decision-makers are flexible enough to respond to information received. ⁴⁵
	Evaluative work is put in the public domain; ALNAP Membership and ALNAP Secretariat upload resources to the HELP and the Urban Response Portal.			Use of the products will be made more likely by enabling policy-makers and decision-makers interaction with operational actors in dialog based on evidence generated through research.	
	Current and future ALNAP Members take responsibility in sharing their evaluative work on the HELP as a way of contributing to collective learning.				
	There is interest to engage further in the CoPs.				

Figure 6: Partner organisations' revised assumptions relating to use of partners' outputs and the evaluation team's assessment of data supporting them. The darker the shading, the stronger the evidence.

³⁸ Source: Email correspondence from ACAPS (LP Nissen).

³⁹ Source: ALNAP logframe in ALNAP Funding Application 2014 to Sida.

⁴⁰ Discussions with ATHA

⁴¹ Adapted from DI Changing humanitarian financing Proposal to SIDA 2018–2020 October 2017, Figure 2: Theory of change outline.

⁴² Adapted from HPG's revised theory of change, submitted after meeting the evaluation team.

⁴³ Source: ALNAP logframe in ALNAP Funding Application 2014 to Sida.

⁴⁴ IRIN theory of change revised by IRIN after discussions with the evaluation team.

⁴⁵ IRIN theory of change revised by IRIN after discussions with the evaluation team (slightly revised by team).

4.4 Assumption 3: Using partners' outputs result in intended outcomes

The partners' annual reports to Sida all give examples of "impact" in one way or another. ALNAP's annual reports for 2016-17 and 2017-18 refer to "response and impact". HPG's annual reports 2014-15, 2015-16 and 2016-17 refer to "uptake and impact". In both cases, examples given are mainly at the level of outputs, and impact seems to refer mainly to reach or spread of their outputs and activities.⁴⁶ Some annual reports do not contain the word "impact", e.g. ALNAP's 2014-15 annual report and ATHA Activity report Jan 2016 - Jul 2017. ATHA's Activity reports to Sida focus on describing activities. DI's annual reports include data on GHA website visits and downloads, media coverage and citations of the report.⁴⁷

Some of the reports are more informative regarding effects. These include IRIN's 2017-2018 report, which cites a survey where "73 percent of respondents said that IRIN content has stimulated further research and/or advocacy; 35% said IRIN informed organisational and operational priorities, including the deployment of staff and resources; 32% said IRIN influenced a decision to undertake a needs assessment and 29% said IRIN led their organisation to push for internal or external policy change".⁴⁸ Other examples in the same list refer to a mix of outcomes and outputs. The report section on objectives and results includes examples of effects at an outcome level towards the objective "Lessons learned are brought to light and policies are changed".

IRIN has shared with the evaluation team a database containing different categories of data indicating use, outcomes and to some extent impact. The database is well-organised and well referenced and contains an extensive amount of data, strongly indicating that their outputs are used and have contributed to outcomes.⁴⁹

Interviewee responses support this.

IRIN influences, it keeps us on our toes, it helped us look at our supply chains in Syria and the region, similar with metoo. Interviewee 53.

⁴⁶ For example HPG's reports refer to impact in terms of products being used, appreciated, referred to, spread etc. In a few cases they are said to have affected policies. The team interprets this to mean that they have a different interpretation of the word impact, e.g. number of viewers, readers, people reached by their products.

⁴⁷ DI Annual donor report - September 2015 - August 2016, Global Humanitarian Assistance. DI GHA narrative report - 2016-2017.

⁴⁸ ALNAP HPG and IRIN Narrative Report 2017 – 2018, p. 14 in IRIN section.

⁴⁹ Reach and Impact updated September 2018, IRIN Excel file.

ACAPS annual report to Sida for 2016 states that the share of respondents to a user survey who report using ACAPS products to inform their strategy, programming or advocacy work was 40% (compared to the target, 60%). The higher use rate in our data may indicate an increased use over time, use for additional purposes, or be a reflection of having different samples.⁵⁰

The 2015 evaluation of DI concluded that “GHA has been successful in publishing valued products but it has not linked the tactical level with an overarching strategy, or a way to measure its impact – it has assumed that its products will improve decision making but has not articulated or understood in what way this can operate. It has contributed data to decision making but it could have improved decision making further by adding more analysis – the question of ‘so what?’ – to the data it is so valued for. GHA has hitherto been primarily a data hub that sources, processes and visualizes financing data. It does this well, but some users want more.”⁵¹ This is a good illustration of the difference between an output being used (Assumption 2), and using the output having the intended effect (Assumption 3).

Analysis of interview responses provides several examples of when and how using partner outputs have had a positive effect on operations at field level. One interviewee described how standardised distribution systems had been implemented, lessening waiting time for recipients at distributions. They had also improved routines to consider people with special needs in distributions: Most vulnerable people now get special assistance (protection) and targeting is assisted by a protection team ensuring that people with special needs have access to support. Previously this was done ad hoc at distributions, currently it is done before distribution and based on prepared lists. This process formalisation has led to improved quality. Another example is given in the box to the right.

The emergency accountability framework of our organisation is heavily influenced by HPG materials. This allowed us to document affected people's need for family planning in a refugee crisis which in turn led donors to speed up funding for such activities. *Interviewee 26.*

HPG does interesting work on thematic issues – e.g. putting cash on the agenda, the state of humanitarian involvement on cash. They have interesting panels and events, not just publications. Without their work on cash we wouldn't have gone into it. Same thing with localisation also. They move the needle on both issues. *Interviewee 23.*

Counting the interviewees' concrete examples of when using a partner organisation's output has resulted in a change at outcome level, and categorising these according to

⁵⁰ ACAPS (NRC) Annual Sida Final Report 2016, p.359.

⁵¹ Willitts-King, 2015, p. 24.

level of effect (respondents' organisation, humanitarian system or humanitarian operations at field level) and partner organisation, gives the following picture.

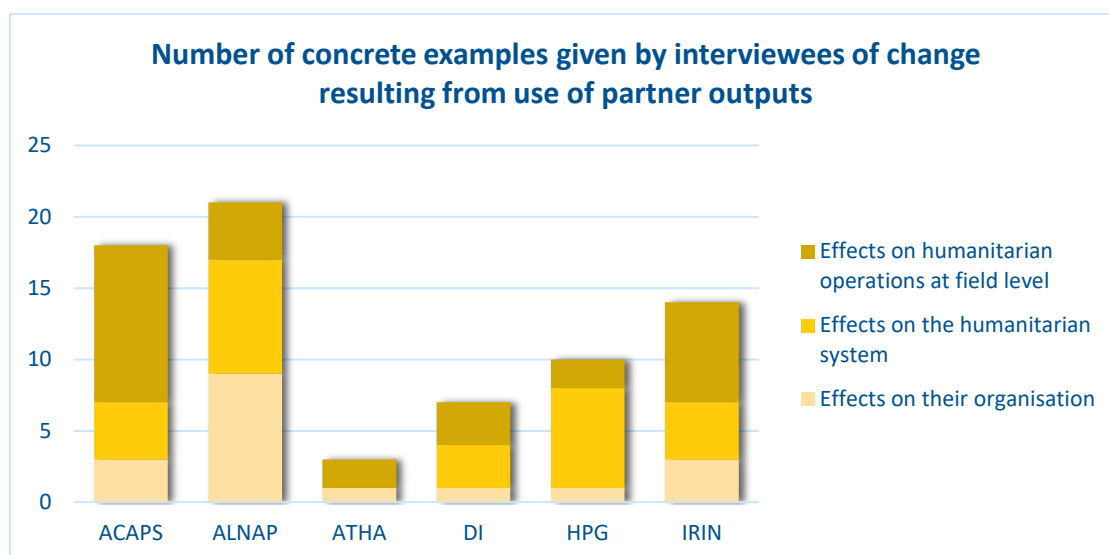


Figure 7: Number of concrete examples given by interviewees of changes occurring as a result of using partner outputs.

The table show that ACAPS and IRIN are the organisations most frequently cited as having affected field level operations, while examples given for ALNAP and HPG are more focused on the system's level. One interviewee stated for example that HPG influences their policy and how they view things.

ALNAP is also the partner for which the interviewees' examples most frequently relate to effects on the interviewee's organisation. This is supported by interview respondents from OCHA, IFRC and several other organisations who state that ALNAP material has been used in revisions of their evaluation policies and procedures.

We have used the ALNAP EHA guide a lot and participated in its translation into French. We have also tested it in field evaluations and I have used it a lot in trainings. *Interviewee 7*

We interpret this as supporting the type of assumptions the partners have made regarding how they intend to contribute. Note that the total number of examples given are quite few (18 for ACAPS, 21 for ALNAP, 3 for ATHA, 7 for DI, 10 for HPG and 14 for IRIN). The examples should be seen as indicative of direct and obvious effects of using partner outputs. As noted by the interviewee in the box to the right, a lack of concrete examples of results cannot be interpreted as a lack of results.

We have asked what actions have been taken based on information received; A lot of feedback from colleagues that the information is invaluable but hard to get data on how this translates into effects on [our target group]. That does NOT mean that this is not happening however! *Interviewee 29.*

We were e.g. informed that the International Rescue Committee and Dutch Relief Alliance (network of Dutch responding NGOs) use ACAPS material for their resource allocation and programme design decisions. There appears to be a pattern where big organisations/donors use ACAPS (and OCHA/clusters) to complement or triangulate their own crisis tracking analysts (and own in-country sources), while

small organisations depend much more on ACAPS assessments as their only triangulation of cluster data. Other examples given by interviewees include:

- IRC have developed 19 sector-specific field staff toolkits with significant input from HPG materials. *Interviewee 26.*
- DI-GHA has contributed to accountability on aid flows and performance of pooled funds. *Interviewee 21.*
- ACAPS has clearly influenced the resource allocation decisions of the START fund. *Interviewee 34.*
- When DI-GHA highlighted how little funding was reaching local actors, this led to a debate that has caused Christian Aid and the ACT Alliance to pledge to channel 20% through local actors by 2020. This implies a real impact on Grand Bargain targeting. *Interviewee 34.*
- When IRIN exposed a tendency in UNHCR to assist people based on their legal status - not their needs, this generated debate (and some change). When IRIN exposed Ugandan fraud, this led UNHCR to react and it has improved its systems there. *Interviewee 36.*
- I like the ALNAP "better evaluation" website. Their work on innovation is also useful. I have referred 60 to 70 projects to them for support. *Interviewee 39.*
- The lessons learned papers from ALNAP are extensively used. Our own internal materials are updated in tandem with new ALNAP publications. *Interviewee 48.*
- We systematically assess the quality of our member organisations' evaluations using ALNAP quality criteria. *Interviewee 46.*

There was also critique among the interviewees.

Some respondents do not think the partners' outputs have contributed to changes in the system, especially when we ask about effects at field level. The main critique against the work of the six partner organisations is that it is too much information to

I am not sure if any of them reach affected people. Perhaps there is a trickle-down effect. Their products don't reach local staff. *Interviewee 9.*

have time to take it in. Several respondents state that they (or "people") do not have time to read all material that is produced, and the responses indicate that approaches to this is to read only a few select pieces, use a meta partner or pick one of them and stick with it. There is competition to the six partner organisations. Some of the interviewees e.g. stated that they had heard of them, but preferred other sources.⁵² This implies that part of the material produced may not be used.

Some respondents note that the Anglophone nature of the sector, and of the partner organisations, may to some extent be blocking out what is going on in the francophone and Spanish-speaking parts of the world, not to mention without Western linguistic ties. It may also act as a challenge for entry, due to e.g. lack of contextual understanding. This is to some extent remedied by local NGOs who e.g. translate key messages to their members.

⁵² Other sources preferred were e.g. the Cash Learning Partnership (CaLP), (although several interviewees connected this to ALNAP), International Crisis Group (ICG), Professionals in Humanitarian Assistance and Protection (PHAP) and REACH International.

A number of interviewees emphasised the risk implied by the fact that the partner organisations are dependent on the political and economic climate, and on donors for funding. In this regard, ACAPS and IRIN stand out as willing to face the potential negative effect of being too outspoken more.

Despite the critique above in the analysis, we find that data is mainly positive and in support of the assumptions regarding how the partner organisations' intend for the use of their outputs to lead to outcomes, i.e. effects on the intended target group and their organisations or activities. The table below summarises the evaluation's findings regarding Assumption 3. Note that some of the assumptions in the table refer to both outcomes and impact. We will not discuss impact-related assumptions separately, but have included them in this table.

ATHA, DI, HPG and IRIN's assumptions can be summarised as saying that using "better" evidence or information in decision-making will result in better decisions and hence change for the better. HPG adds to this that decisions will also improve if there is exchange between policy- and decision-makers and operational actors as this will improve understanding. ATHA makes a similar assumption regarding practitioners, and assumes that providing cross-organisational arenas for exchange among practitioners will make them more professional and have positive effects on target population. ACAPS and ALNAP also make assumptions relating to humanitarian professionals' skills and available methods (ACAPS).

As above, we have assessed the data presented and indicate support for assumptions by shading, the darker the stronger the supporting evidence. Please note again the bias against ATHA.

Assumption 3: Using partners' outputs result in intended outcomes					
ACAPS ⁵³	ALNAP ⁵⁴	ATHA ⁵⁵	DI ⁵⁶	HPG ⁵⁷	IRIN ⁵⁸
Better methods and approaches will improve the performance of the system	Members absorbing and using learning to improve practice, policy and structures.	More relevant research (as defined above) will result in greater change in organisations and operations	Decisions are evidence based (therefore providing evidence will contribute to better decisions)	Better and more nuanced contextual and operational understanding leads to better decisions, contributing to more timely, effective and appropriate humanitarian action and funding.	When aid workers are better informed of the social, cultural, historical contexts in which they work, they can adapt their behaviours and programs to their environment.
Growing a cadre of humanitarian analysts will have a pivotal effect on the system	Helping the practitioners will help them save lives in dignity more effectively.	A "fluid" behaviour beyond host agency norms will make individuals more professional, which in turn will aid affected people	Change is not disincentivised (therefore providing more information will not have a negative effect on decisions)	By enabling policy-makers and decision-makers interaction with operational actors in dialog based on evidence generated through research enhances everybody's understanding and decisions will improve.	The systems of decision-makers are able to redirect/ reallocate existing/new resources and have the political will to do so.

Figure 8: Partner organisations' revised assumptions relating to outcomes and impact and the evaluation team's assessment of data supporting them. The darker the shading, the stronger the evidence.

4.5 Contribution to intended outcomes

Below, we summarise the evaluation team's assessment of the plausibility that the six partner organisations have contributed to their respective intended outcomes. In line with Contribution analysis, the team's assessment is based on the data collected regarding activities, outputs, assumptions and examples of outcome-level effects presented above.⁵⁹ The table below lists the partner organisations' intended outcomes, as presented in their (revised) theories of change, logframes, impact models etc. The shading indicates the team's assessments, with darker shading indicating stronger plausibility that the partners have contributed to their intended outcomes.

⁵³ Source: Email correspondence from ACAPS (LP Nissen).

⁵⁴ Source: ALNAP logframe in ALNAP Funding Application 2014 to Sida.

⁵⁵ Discussions with ATHA

⁵⁶ Adapted from DI Changing humanitarian financing Proposal to SIDA 2018–2020 October 2017, Figure 2: Theory of change outline.

⁵⁷ Adapted from HPG's revised theory of change submitted after meeting the evaluation team.

⁵⁸ IRIN theory of change revised by IRIN after discussions with the evaluation team (slightly revised by team)

⁵⁹ We refer back to the description of methodology (Contribution analysis) for further explanation of this approach to assessing results.

Intended outcomes of partner organisations					
ACAPS ⁶⁰	ALNAP ⁶¹	ATHA ⁶²	DI ⁶³	HPG ⁶⁴	IRIN ⁶⁵
Contribute towards a shared situation awareness within the humanitarian community enabling effective, evidence-based humanitarian decision making	Improved coverage More relevant and appropriate responses More effective responses Better connectedness and capacity building More efficient responses More coherent responses	Support and enhance legal, policy, and operational knowledge and debate within and across agencies Equip professionals with tools and methods to address evolving dilemmas and challenges in humanitarian protection Facilitate and foster critical dialogue and exchange among professionals	Decision-makers, and those who hold them to account, have better evidence and analysis to better align resources with people's needs and risks Decision-makers and those who hold them to account, have the evidence to improve effectiveness of financing Those within and beyond the humanitarian sector have better evidence to create joined-up approaches to address risks and consequences of crises Data on crisis-related financing is better quality and more accessible and used at the global, national and local levels	Humanitarian approaches, operations and activities are more timely, effective and appropriate. International and national policies and decision making on humanitarian action and funding is more timely, effective and appropriate Political, financial and public support to humanitarian assistance is improved. Academic thinking on international, national and local humanitarian issues reflects – and is useful to – current debates around policies principles and operations.	Relevant actors respond based on objectively identified needs Responses more tailored to local needs, relevant and context-specific Responses are more coherent and avoid duplication Action is more preventative and not reactive Governments, aid agencies and others in a position of influence adopt best practices, address problems and change policies in the interest of those in need Increased donations to humanitarian aid Governments take effective action in support of people in need Citizen volunteers, the private sector, and other “new humanitarians” engage in more durable and responsible forms of aid

Figure 9: Intended outcomes of partner organisations

⁶⁰ ACAPS Sida proposal 2016⁶¹ ALNAP Impact model, ALNAP funding application to Sida 2014, p.17, Ultimate outcomes.⁶² Logframe in ATHA application for funding to Sida 2016-17⁶³ DI Changing humanitarian financing Proposal to SIDA 2018–2020 October 2017, Figure 2: Theory of change outline. We are aware of this being outside the evaluation period.⁶⁴ HPG theory of change revised by HPG after discussions with the evaluation team⁶⁵ IRIN theory of change revised by IRIN after discussions with the evaluation team.

5 Discussions and Conclusions

In this chapter we discuss findings about the six partner organisations' theories of change and present conclusions regarding the evaluation questions, i.e. relevance and impact for the humanitarian sector and for operational actors at field level. We remind the reader that the methodology used in the evaluation, Contribution analysis, is a way to make evidence-based conclusions about the plausibility that a programme has made an important contribution. Thus, our conclusions about impact are conclusions about the plausibility that the six partners' programmes have made an important contribution to their respective intended impact; i.e. the extent to which there is reasonable support for Assumption 4: that outcomes have resulted in intended impact. The assessment of relevance builds on analysis of the findings presented in Chapter 5.

5.1 Relevance

The data collected strongly indicates that the partners' work is relevant to the humanitarian system and to operational actors at field level. Findings regarding both knowledge of and use of the partners' products show that they are known (although some to a lesser extent) and that their outputs are used. We interpret this as evidence that their activities and outputs are relevant. The partner organisations provide information about reach, up-take, downloads, views, participation in trainings etc. that also indicate relevance.

Our interview data show that ALNAP, IRIN and ACAPS are more well-known and are used more frequently than the other partner organisations. This is in part explained by the nature of their outputs: DI's GHA report is published on an annual basis and has a narrower target group, HPG is more research oriented. ATHA does not actively promote its name and some interviewees had used ATHA products without knowing the connection to ATHA.

Both interviewee data and document review confirm that the partners' products are found useful to the humanitarian system and that they play an important role in developing lessons learnt (especially ALNAP and DI), method development (ALNAP, ACAPS, HPG and ATHA) and quality assurance (ALNAP, ACAPS, IRIN). ALNAP is praised for its library of evaluations and evaluation methodology, ACAPS for assessments and DI is referred to as a key source of information about financing trends.

The table below summarises key aspects that make the partner organisations relevant at system's level:

ACAPS	ALNAP	ATHA	DI-GHA	HPG	IRIN
Initially controversial.	Unique infrastructure.	Focus on individuals not organisations.	Very relevant to target group.	Highly relevant, primarily at policy-making level.	Well known.
Have raised quality of assessments.	Membership structure supports mutual influence.	Not well known but may be more used than known (e.g. Harvard and ICRC brands more visible than ATHA on common products).	Unique resource for them, often unknown for others.	Well researched.	Differing views about relevance.
Used unedited by some, for triangulation by some.	Strong influence in evaluation			"Convening power".	Saves stakeholders' time. Highlights issues that need to be looked into – which are then researched from other sources.
Stability of quality questioned by some.	"Convening power".				Trusted in their niche.
Innovative.					

Figure 10: Partner organisations' relevance to humanitarian system, based on the team's review of interview and document data.

Interviewee responses and documents also indicate relevance to humanitarian operational actors and their operations at field level. IRIN, ACAPS and HPG for example provide information and analyses that are used in decisions regarding implementation and targeting, ALNAP is used as source of reference for evaluation methods and ACAPS for training in assessment analysis. The table below summarises key aspects that make the partner organisations relevant at operational actors and field level:

ACAPS	ALNAP	ATHA	DI-GHA	HPG	IRIN
Used unedited by some, for triangulation by some.	Unique infrastructure.	Focus on individuals not organisations.	Very relevant to grants managers, donor relations staff, strategic analysts.	Highly relevant, primarily at policy-making level.	Well known.
Seen as important for:	Use according to need; a "go-to resource".	Individuals that have participated have found trainings relevant.		"Convening power".	Divergent views about relevance.
Severity classification,	Strong influence on evaluation quality assurance. ⁶⁶	Some respondents prefer other organisations' trainings.	Unique resource for them but often unknown to	Always well researched.	Used to identify potential interventions.
Dynamic real time data,	"Knowledge broker". Junior and middle level field staff			Examples of mainstreaming into internal processes and	Used for contextual updating of deployed staff.
Triangulation of own/ UN data.					Used to identify issues in need of

⁶⁶ Note though that in the discussions with ALNAP, they were not satisfied with the extent to which evaluation quality had improved in the system.

In some cases replacing internal assessment capacity.	referred to them for technical support. Membership structure allows influence and supports ownership around products. Products mainstreamed into internal systems. Lessons learned used in practice. "Convening power".	others.	guidelines.	more in-depth analysis.
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Figure 11: Partner organisations' relevance to humanitarian operational actors at field level, based on the team's review of interview and document data.

5.2 Impact

In this section, we discuss and draw conclusions about the effect each of the six partner organisations have had during the evaluation period.

5.2.1 ACAPS

The entry into the humanitarian system of a new, assessment specialised, actor was clearly controversial initially. Several informants address the origins of this controversy; some identifying it as personality clashes, some pointing to sensitivity around organisational mandates and some identifying differences of opinion regarding the level of transparency that should be applied to, often sensitive, humanitarian intervention contexts. While there is recognition (among both interviewees and ACAPS) that the new entrant has not always succeeded, multiple interviewees attest to improvements in assessment methodology and a significant trust in reports and analysis produced. Several also contend that the quality of traditional assessment structures has improved as a consequence of the new competition. Important stakeholders attest to using ACAPS products regularly either for classification of crisis severity, for contextual nuance or for triangulation of assessments made elsewhere or by the stakeholder's own analysts.

Several operational actors state that their resource allocation is influenced by ACAPS products. The most common description of how this is used is for triangulation of information received from other sources, commonly the cluster system or the organisation's own in-country staff. There are also examples of mainstreaming ACAPS data into internal organisation-specific systems for example by adopting the colour-coded severity classification produced by ACAPS. Several respondents expressed greater trust in an independent body than in assessments made by agencies operational in the field as such presence is at times perceived as triggering political, funding or personal career concerns that risk influencing the conclusions made in assessments.

Several respondents also had critique of the organisation's methodology and approach to transparency. Arguments made were that ACAPS are too dependent on secondary sources, have difficulty maintaining the competency the level of their staff due to turnover or have negatively affected segments of the affected population by publishing information that should not be openly available. The latter critique appears related to fundamental differences regarding how transparency and practicality are best balanced.

Our findings indicate that ACAPS has implemented planned activities and produced planned outcomes. Interview data confirm that they are well known and their outputs are used by stakeholders and influence analysis and decisions. Their assumption that an independent perspective adds value is confirmed and there is some indication that evidence plays a significant role in decision-making. There is substantial support in interviewee data that ACAPS contributions to improving methods and approaches have contributed positively to the performance of the system. We have not found support for their assumption that growing a cadre of humanitarian analysts will have a pivotal effect on the system. We conclude that ACAPs have contributed towards a shared situation awareness within the humanitarian community. There is some data supporting that this enables effective, evidence-based humanitarian decision making.

Conclusion: ACAPS has had significant impact on the process of assessment within the humanitarian system.

Conclusion: ACAPS has had significant impact on selected operational actors, much less on others. There appears to be a pattern where large organisations with in-country staff are less influenced than smaller NGOs and networks of NGOs. This pattern would need to be confirmed with further data collection and analysis.

5.2.2 ALNAP

The most obvious difference between ALNAP and the other organisations studied in this report is its structure as a membership network. Multiple interviewees attest to their own organisation's manifestation of its support for ALNAP through funding, collaboration on research or dialogue processes around particular themes. A clear majority of our key informants refer to ALNAP as contributing significantly to the functioning of the humanitarian system. The organisation is described as important in different ways depending on who the respondent is and that person's role within the system. Policymakers and technical advisers attest to utilising the organisation as a resource, prioritising own or staff participation in ALNAP events and workshops and appreciating ALNAP input into policy making and system coordination processes citing for example ALNAP's role in the World Humanitarian Summit. Some refer to the "convening power" of the organisation indicating that they find it useful to participate, or allow employees to participate, in the organisations events as the networking opportunities are relevant. This is cited as important as there are few contexts in which such a range of humanitarian stakeholders including donors, academics and operational actors have the opportunities for dialogue around issues of mutual interest. Work on urban issues, humanitarian leadership and innovation are

mentioned. The evaluation work stream is seen as having raised the standards that entities commissioning evaluations require from their evaluators. Monitoring and evaluation specialists attest to using ALNAP materials and guides when updating their own policies and field level activities. A few informants criticised the organisation for being “too mainstream” or “not cutting edge”.

A number of key informants describe the organisation as the “go-to resource” when seeking to explore a humanitarian issue. Technical advisers in several organisations note that they refer field staff to ALNAP resources when they are confronting challenges. A number of organisations attest to ALNAP products’ influence on internal policies and guidelines, most frequently on evaluation but also on other issues. The so-called “lessons learned”, based in part on meta-analysis of evaluations submitted to the HELP library, are cited as having direct impact on activities in the field; for example urban issues in Haiti.

Our findings indicate that ALNAP has implemented planned activities and produced planned outcomes. Interview data confirm that they are well known and their outputs are used by both members and other stakeholders. Data further confirm that members do join online fora and upload resources thus sharing their evaluative work and contributing to collective learning. There is interest to engage in communities of practise, with interest varying depending on the actuality of the community theme. There is also some support for the assumption that uptake of report findings depends on relevance, needs and research process. There is data supporting the assumption that members absorb and use learning to improve practice, policy and structures in a number of cases. We have little evidence regarding the assumption that helping the practitioners will help them save lives in dignity more effectively. Our analysis clearly indicates that multiple stakeholders in the sector have changed their approach to evaluation influenced by ALNAP products. Based on the analysis of data regarding activities and outputs, and the support found for their assumptions, we conclude that it is plausible that ALNAP has contributed to their intended outcomes, although in an indirect way.

Conclusion: ALNAP has a significant impact on the functioning of the humanitarian system. The dissemination and uptake of its products and recommendations is clearly enhanced by the membership character of the organisational structure. The organisation’s value lies primarily in providing the sector with an institutional memory, knowledge brokering, meta-analysis of others’ research/evaluations and linking the systems different stakeholders to each other around themes of common interest. Such linking may relate to establishing communities of practice, providing space for dialogue or highlighting issues the system has yet to face.

Conclusion: ALNAP has a significant impact on multiple operational actors throughout the system. Much of this impact is related to the professional backstopping that ALNAP products provide for individual staff members on issues that their own organisation has not yet researched or defined. There appears to be a

pattern where smaller organisations have greater use for such reference materials while the larger stakeholders actively influence agendas and debates through the “infrastructure” that ALNAP activities provide.

5.2.3 ATHA

We do not have data to assess to what extent the research conducted by ATHA on for example IHL or protection has in fact influenced the humanitarian system. If there is any effect this is likely to be attributed by stakeholders to ATHA’s host institution, Harvard University, or to its collaboration partners such as ICRC or ACF, rather than to ATHA.

ATHA does not target organisations. Its focus on advanced practitioners also has as consequence that its follow-up is related to the perceptions of individual participants in their workshops and trainings. We have not been able to explore potential effects on the operational actors within which the participants exercise their mandates, i.e. their current host organisations. Among the interviewees that knew of ATHA’s activities and had participated, or had colleagues who had participated, in trainings or workshops most were of the opinion that these had been useful. The lack of data needs to be interpreted in the context of lack of brand recognition and with recognition that the organisation sees itself as providing arenas where practitioners feel free to discuss challenges related to their own organisations norms and internal politics, thus limiting openness around potential impact.

Our findings indicate that ATHA has implemented planned activities and produced planned outcomes. Interview data indicate that they are not well known but that their outputs may be used by stakeholders who are not aware of ATHA as an entity separate from the Harvard Humanitarian Initiative. There is limited data in support of their assumption that close interaction with practitioners in research design and implementation will result in output that is more relevant to the system and operational actors and be more used. There is some indication that providing space for a “fluid” behaviour beyond host agency norms has made individuals more professional. We conclude that ATHA has contributed to enhancing knowledge and debate among targeted professionals (advanced practitioners) and that they have equipped these practitioners with tools and methods to address some evolving dilemmas and challenges in protection.

Conclusion: Potential impact by ATHA on the humanitarian system is very long term and indirect. Without research on international humanitarian law, gender in humanitarian response or humanitarian negotiations the limited evidence base around these issues will continue. However, this evaluation lacks data to assess whether the research and training conducted by ATHA has an impact at system level.

Conclusion: There is little information in support of ATHA’s impact at operational actors’ level beyond the fact that new staff members get sent to ATHA’s workshops and former workshop participants choose to attend reunions and invest time in research on ATHA issues.

5.2.4 DI - GHA

Among the group of analysts and policymakers who use strategic financial information the GHA is seen as a key reference underpinning resource allocation debates and decisions. The report is regarded as unique in terms of longitudinal comparability and is seen as important for identifying trends and analysing sources and destinations of humanitarian funding. A broad range of humanitarian stakeholders utilise the report in their own analysis of trends and humanitarian issues. Some respondents regard the report as unique while a few note that alternative sources for similar data are gradually emerging.

Senior management and staff members dealing with donor relations attest to using the report as reference in their communication with donors and other stakeholders. Several state that they use the report in decision-making regarding what proposals to make and what resource allocation to decide upon. A small minority are of the opinion that the value of the report is decreasing over time in the face of increased competition from other data sources which are perceived as more innovative or easier to access.

Our findings indicate that DI has implemented planned GHA activities and produced planned outcomes. Interview data confirm that they are well known among relevant stakeholders and that their outputs are used by stakeholders and influence analysis and decisions. Our data do not allow an assessment of their assumption that evidence will be used if there are enabling political and economic environments while they give some support to the assumption that greater transparency leads to better data, better decision-making and more accountability in crisis financing. We have solid support for use of the report as reference for decisions indicating a contribution to more evidenced based decision-making. We conclude that DI have contributed to humanitarian stakeholders, including decision-makers and those who hold them to account, having access to better crisis-related financing data.

Conclusion: The GHA report contributes to making discussions and debates among stakeholders throughout the sector more evidence-based regarding funding realities and trends. The team notes that the degree of utilisation of the data presented in the report, by numerous stakeholders, indicates a high level of influence over current debates, to the extent that these are dependent on funding data.

Conclusion: The GHA report is regarded as crucial by some operational actors and a useful tool by others. It is tightly targeted towards analysts, policymakers and decision-makers with an interest in overall analysis regarding funding flows through the humanitarian system.

5.2.5 HPG

A broad range of stakeholders indicate that they use HPG materials as point of reference for analysis, participation in debates and programming development. Most indicate that HPG's influence is conceptual and indirect, emphasising HPG's ability to highlight emerging issues and support stakeholder discussions around such issues.

While some can identify specific themes that have been of interest many fall back on the value of cross-sector stakeholder interaction (convening power) when asked to exemplify the effect of HPG activities. Some interviewees highlight that HPG working models allow capacity building and dialogue around sensitive issues and with stakeholders that are otherwise difficult to reach.

Interviewees focus on two services provided when seeking to identify the effects of HPG on their organisation. Many refer to the research undertaken by the institution as the source that they approach first when needing to better understand a humanitarian issue. A large majority emphasise the quality of research undertaken by the institution. Others emphasise an interest in the side events around HPG thematic events where open dialogue around emerging issues is possible with humanitarian stakeholders beyond their own organisation and technical sector. In several cases operational actors have used HPG research to revise internal guidelines/instructions for field staff.

Our findings indicate that HPG has implemented planned activities and produced planned outcomes. Interview data indicate that they are well known at policy making levels (although not well distinguished from ODI) and their outputs are used by some stakeholders and do influence analysis and decisions. Interviewees confirm the assumption that by basing research focus on emerging issues, HPG contributes to an evidence base when the debate becomes mainstream. Products are perceived as maintaining a high academic level and this is cited as attractive. The emphasis on enabling stakeholder interaction is highlighted, at times more than the research products. There is some data supporting that HPG has improved operational understanding and contributed to more timely, effective and appropriate humanitarian action. We conclude that HPG contributes academic thinking on policies, principles and operations. Data also indicate that HPG contributes to making some humanitarian operations more timely and appropriate.

Conclusion: HPG impacts the humanitarian system by conducting sufficiently relevant and well evidenced research to attract a significant proportion of policymakers, academia and representatives of operational actors to the institution's events. This allows evidence-based conceptual development that is appreciated by stakeholders. There is also work done with influence on stakeholder relationships and sensitive issues that is appreciated. However, the practical effects of such conceptual development are difficult for most interviewees to identify.

Conclusion: HPG activities influence conceptual development among many operational actors, in some cases causing them to address needs or innovations previously ignored. In some cases HPG has collaborated with operational actors around significant organisational change.

5.2.6 IRIN

Both interview responses and IRIN documents clearly show that IRIN is widely read. A broad range of stakeholders indicate awareness of their products while frequency of

attention and use varies significantly. Its journalistic approach, including investigative pieces, has at times been given a mixed reception. There are examples of organisations addressing abuse and reallocating resources in the face of misbehaviour or resource gaps identified through the organisation's reporting. A range of stakeholders indicate more or less following their news flow and speculate that their existence affects duty bearers' level of attention to accountability.

There is consensus that the organisation's products are well known, generally trusted in their niche and a broad range of opinions as to their effect on the sector.

There are examples of organisational use of IRIN products, for example some operational actors use it to identify forgotten crises or unaddressed needs for resource allocation or programming purposes. Other stakeholders use IRIN products to provide deployed staff with rapid contextual updates. However, the main pathway for IRIN influence is through its individual readers/listeners. IRIN reporting is identified as highlighting issues and informing debates in a number of contexts.

Our findings indicate that IRIN has implemented planned activities and produced planned outcomes. Interview data confirm that they are well known and their outputs are used by stakeholders and influence analysis and decisions. Our data do not relate to their assumptions regarding what the public is likely to do if better informed. Our data do support that there are cases where relevant decision-makers have been flexible enough to respond to information received through IRIN, including reallocation of resources in some cases. Our data also indicate that aid workers are using IRIN to be better informed of the social, cultural, historical contexts in which they work and to some extent adapting their behaviours and programs to such information. The value of an independent perspective is perceived strongly by many interviewees. We conclude that IRIN contributes to responses being based on local needs, are contextualised and that stakeholders are held accountable for addressing problems and changing policies in the interest of those in need.

Conclusion: IRIN, through its focus on humanitarian issues and its, in comparison to most media outlets, well-developed understanding of crises and local contexts, provides a type of journalism not provided by mainstream media. This in turn contributes to transparency and accountability within the humanitarian system.

Conclusion: Operational actors' views about journalistic input into their organisational processes vary. A broad majority trust IRIN products. There appears to be a pattern where organisations more focused on advocacy and accountability tend to be more positive about IRIN than operational actors with more traditional approaches. IRINs products have a wide reach among humanitarians. Interviews indicate that the materials are used for general information, geographic or thematic scanning and for contextualisation.

6 Recommendations

This chapter presents recommendations to Sida, both general and relating to separate partner organisations.

6.1 General recommendations regarding the methods support

- a) **The evaluation recommends** that Sida require the partner organisations to include theories of change or logframes with assumptions and risks in their applications and to report using their theories of change as reporting structure (similar to results-based reporting but dealing more with assumptions, outcomes and contextual changes).
- b) **The evaluation recommends** that Sida use its role on steering committees and advisory groups and its role as trusted donor to actively advocate for Swedish positions on key issues such as localisation going beyond % funding to local NGOs, gender based humanitarian programming or increased research on the humanitarian - development nexus. This would require addressing turnover among Sida desk officers responsible for relations with the partners and a clearer articulation of Sida's own theory of change for methods support.

6.2 Recommendations regarding specific partner organisations

- c) **The evaluation recommends** that Sida should clarify if it sees ACAPS as a project to be phased out once its goals have been attained (these then need to be better defined) or if Sida wishes to contribute to making the organisation permanent or semi-permanent. The policy clarification should address the value/realism of having an independent assessment specialist organisation as compared to the value/realism of pressuring other joint assessment mechanisms e.g. OCHA/cluster structures to improve methodology and reduce political considerations.
- d) **The evaluation recommends** that Sida should treat ALNAP as humanitarian infrastructure with an important role in maintaining an “humanitarian system institutional memory”. Building on its membership structure, and recognising changing humanitarian contexts, Sida should encourage the institution to expand membership beyond traditional humanitarian system stakeholders. The role of knowledge broker, knowledge manager, network facilitator and research based on these roles and data generated by the members should be emphasized rather than original in-depth, in-house research on specific issues.

- e) **The evaluation recommends** that Sida makes a separate evaluation of ATHA. The evaluation should include assessment of effectiveness (output and potential outcomes and impact), efficiency and ATHA's marketing strategy. Issues to be explored include evidence of influence and need/cost/value of a brand separate from Harvard.
- f) **The evaluation recommends** pressure on DI to work further with user interfaces and accessibility. The degree of overlap with OCHA Financial Tracking Service and emerging alternative suppliers for similar data should be further explored over the next budgeting period. Such exploration should include consideration of the value of longitudinal data and cost issues. Current supplier is regarded as low cost to Sida/high impact on system by the evaluation team.
- g) **The evaluation recommends** Sida to ensure sufficient internal resources for active engagement with the setting of HPG's agenda. Without resorting to earmarking, Sida can influence emerging humanitarian dialogues by strategically managing its support for HPG.

Annex 1 – Terms of Reference

Terms of Reference for the Evaluation of Sida humanitarian method partners

Evaluation object and scope

Sida has over the last ten years supported a number of organisations working with humanitarian policy/method related initiatives. The organisations' goals and objectives include topics such as independent crises analysis, research, training and collection and distribution of information (needs- and evidence based). The organisations are ACAPS, ATHA, ALNAP, HPG, IRIN and DI.

Sida will evaluate these organisations' work with of focus no more than the last four years of cooperation. Detailed information on the evaluation objects can be found in annex A. For further information, the programme documents can be provided by Sida, please email Urban Wilén at urban.wilen@sida.se.

The scope of the evaluation and the intervention logic or theory of change of the respective programmes shall be further elaborated by the evaluator in the inception report.

Evaluation rationale and purpose

Sida humanitarian aid is directed by the Strategy for Sweden's humanitarian aid provided through Sida 2017-2020¹. The overall objective of Sida's humanitarian aid is to save lives, alleviate suffering and maintain human dignity for the benefit of people in need who have been, or are at risk of becoming, affected by armed conflicts, natural disasters or other disaster situations. To achieve the objective Sida provides contributions to material aid and protection measures. For further information see sida.se/English/how-we-work/our-fields-of-work/humanitarian-aid

The strategy and previous strategy "Strategy for Sweden's humanitarian aid provided through the Sida 2011-2014"², extended until 2016 states that Sida should encourage and support qualified research, methodology development and quality assurance in humanitarian aid. While the quality, learning and innovation is a goal in itself in the 2011-2014 strategy, the 2017-2020 strategy rather emphasis quality, learning and innovation under the implementation section, and highlights that humanitarian aid should be adapted according to lessons learnt, innovation and results. In conclusion, Sida financial support to research and method development should not only support development of lessons learnt and methods, but also to adaptation of these within the humanitarian system to ensure better efficiency and effectiveness of humanitarian aid. As a new humanitarian strategy is in place since 2017, it is timely for Sida to undertake the evaluation to ensure its support to method partners is aligned with the areas of the strategy. The six selected partners part of the evaluation form the main part of the key groups of Sida humanitarian method partners and have not recently been evaluated by Sida.

¹ [Strategy for Sweden's humanitarian aid provided through Sida 2017-2020](http://www.regeringen.se/rapporter/2017/01/strategy-for-humanitarian-assistance-provided-through-the-swedish-international-development-cooperation-agency-sida-2017-2020/)

² <http://www.regeringen.se/rapporter/2011/01/strategy-for-humanitarian-assistance-provided-through-the-swedish-international-development-cooperation-agency-sida-2011-2014/>

The overall purpose of the evaluation is to contribute to Sida's understanding of, to what extent, and in what way, the outcome of the six Sida partners' work have influenced the efficiency and effectiveness of the humanitarian system. The evaluation conclusions should serve to advice Sida on how to practice a relevant and effective donorship by its contributions to the humanitarian system.

The primary intended user of the evaluation is Sida, but Sida methods partners could also benefit from evaluation conclusions.

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process. Other stakeholders that should be kept informed about the evaluation include the six Sida partners to be evaluated.

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

Evaluation criteria and questions

The objective of the evaluation is to assess if and how the Sida funded programmes have contributed to implementations of lessons learnt and new methods developed and if this has been of benefit for the humanitarian system. I.e. has lessons learnt and methods developed been used and of benefit for implementing humanitarian partners at field level. Sida will therefore evaluate the impact of the organisations' Sida funded work.

The evaluation questions include:

Relevance

- To which extent have the Sida funded programmes conformed to the priorities of the humanitarian system³ need for development of lessons learnt, method development and quality assurance. If so, why? If not, why not?
- To which extent have the Sida funded programmes conformed to the needs and priorities of the humanitarian operational actors, for them to strengthen their capacity and be able to deliver humanitarian aid more efficiently at field level? If so, why? If not, why not?

Impact

- To what extent have the Sida supported programmes contributed to improve capacity and efficiency in the humanitarian system. If so, why? If not, why not?
- To what extent have the Sida supported programmes contributed to improve capacity and efficiency of humanitarian operational actors, for them to strengthen their capacity and be able to deliver humanitarian aid more efficiently at field level? If so, why? If not, why not?

The evaluators are expected to develop detailed evaluation questions as relevant for each of the six organisations to be evaluated. These questions should focus on outcome level results and if/how these outcomes have positively and negatively contributed at impact level.

³ The humanitarian system is multifaceted and made up of local, national, regional and international humanitarian actors. The system is primarily made up of the UN, the International Red Cross and Red Crescent Movement and civil society organisations, but other actors also play an important role, such as government agencies, private actors and development actors.

Evaluation approach and methods for data collection and analysis

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report. A clear distinction is to be made between evaluation approach/methodology and methods.

Sida proposed that the evaluation methodology should include assessment of the six organizations' intervention logic/ theory of change for the Sida funded programmes, and whether the intervention logic has guided organisations to contribute to desired impact.

Sida's approach to evaluation is utilization-focused, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

Evaluators should take into consideration appropriate measures for collecting data in cases where sensitive or confidential issues are addressed, and avoid presenting information that may be harmful to some stakeholder groups.

Organisation of the evaluation management

The evaluation is commissioned by the humanitarian unit at Sida who is the intended primary user. The agreement partners will be secondary user. A steering group is formed with members from Sida Humanitarian unit to agree on the ToR and to evaluate tenders and approve the inception report of the evaluation. The Sida agreement partners have been consulted during the elaboration of the ToR.

Evaluation quality

All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation⁴. The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation⁵. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

Time schedule and deliverables

It is expected that time and work plan is presented in the tender and further detailed in the inception report. The evaluation shall be carried during June-September 2018. The final report should be presented no later than end of October 2018.

⁴ DAC Quality Standards for development Evaluation, OECD, 2010.

⁵ Glossary of Key Terms in Evaluation and Results Based Management, Sida in cooperation with OECD/DAC, 2014.

The table below list key deliverables for the evaluation process. Deadline and final inception report and final report must be kept in the tender, but alternative deadlines for other deliverables may be suggested by the consultant and negotiated during the inception phase.

Deliverables	Participants	Deadlines
1. Start-up meeting – location to be determined depending on where the evaluator is based (likely virtual).	Evaluation team Sida evaluation steering committee	13 June
2. Draft inception report	Evaluation team	Mid-July
3. Inception meeting in Stockholm 2 days (1 day meeting, 1 day preparations)	Evaluation team and Sida Program Officer	Mid-July
4. Final inception report		End-July
5. Debriefing workshops	Evaluation team Sida evaluation steering committee	Mid-October
6. Draft evaluation report	Evaluation team	End-October
7. Comments from intended users to evaluators	Sida evaluation steering committee Partners evaluated	Early November
8. Final evaluation report	Evaluation team	Mid November
9. Seminar – location Sida	Evaluation team Sida Humanitarian Unit	End November / or to be discussed

The inception report will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds to implementation. The inception report should be written in English and cover evaluability issues and evaluation questions, present the evaluation approach/methodology, methods for data collection and analysis as well as the full evaluation design. A clear distinction between the evaluation approach/methodology and methods for data collection shall be made. A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time plan shall allow space for reflection and learning between the intended users of the evaluation.

The final report shall be written in English and be professionally proof read. The final report should have clear structure and follow the report format in the Sida Decentralised Evaluation Report Template for decentralised evaluations (see Annex C). The executive summary should be maximum 2 pages. The evaluation approach/methodology and methods for data collection used shall be clearly described and explained in detail and a clear distinction between the two shall be made. All limitations to the methodology and methods shall be made explicit and the

consequences of these limitations discussed. Findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis. Recommendations and lessons learned should flow logically from conclusions. Recommendations should be specific, directed to relevant stakeholders and categorised as a short-term, medium-term and long-term. The report should be no more than 30 pages excluding annexes (including Terms of Reference and Inception Report). The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluation⁶.

The evaluator shall, upon approval of the final report, insert the report into the Sida Decentralised Evaluation Report for decentralised evaluations and submit it to Nordic Morning (in pdf-format) for publication and release in the Sida publication data base. The order is placed by sending the approved report to sida@nordicmorning.comsitrus.com, always with a copy to the Sida Programme Officer as well as Sida's Chief Evaluator's Team (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field and include the name of the consulting company as well as the full evaluation title in the email. For invoicing purposes, the evaluator needs to include the invoice reference "ZZ610601S," type of allocation "sakanslag" and type of order "digital publicering/publikationsdatabas."

Evaluation Team Qualification

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team must include the following competencies:

- At least ten years work experience with the humanitarian system.
- At least five years' experience of evaluation of humanitarian action

It is desirable that the evaluation team includes the following competencies

- Experience of evaluation of programmes intended to influence humanitarian policy or humanitarian working methods.

A CV must be included in the call-off response for each team member and contain full description of the evaluators' qualifications and professional work experience.

It is important that the competencies of the individual team members are complimentary. It is highly recommended that local consultants are included in the team if appropriate.

The evaluators must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

Resources

The maximum budget amount available for the evaluation is 1 000 000 SEK.

The contact person at Sida is Tove Myhrman tove.myhrman@sida.se phone +46 8 6985285. The contact person should be consulted if any problems arise during the evaluation process.

⁶ Glossary of Key Terms in Evaluation and Results Based Management, Sida in cooperation with OECD/DAC, 2014

Relevant Sida documentation will be provided by aforementioned person at Sida.

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will also be provided by aforementioned person at Sida.

The evaluator will be required to arrange the logistics (booking tickets and accommodation, scheduling interviews and preparing for any field trips) including any necessary security arrangements.

Annex A: Detailed information evaluation objects and scope

The evaluation object is the six Sida partners, ATHA, HPG, IRIN, ACAPS, ALNAP and DI.

Cooperation agreement with Sida/Implementing arrangements: ALNAP, HPG and IRIN: Sida-ODI has a cooperation agreement that included ALNAP, HPG and IRIN. ODI is a leading independent think tank and research organization focusing on development and humanitarian issues. Sida has had a cooperation agreement with ODI since 1997. ODI is the host organization for these three programmes and provides the administrative, human resource and governance structure. ODI centralizes the communication and the reporting for these three programmes to Sida.

ALNAP

Objective of Sida funded programme: The Sida-funded programme objective is for ALNAP's members to absorb and use learning to improve practice, policy and structures. They do this by three strategic focus areas that aim to foster a culture of learning and accountability that brings improvement to the humanitarian sector on a system-wide level. The three strategic focuses are: i) Improving the quality of evaluations of humanitarian assistance and their related research and learning activities; ii) Monitoring and reporting on the humanitarian assistance; and, iii) Identifying key areas for progress, providing leadership and initiating work to bring about positive changes and improvements to the system performance.

Time period focus of evaluation 1st May 2015 – 31st March 2018

Budget: Total for evaluation period = 7,5 MSEK (2015 – 2,5 MSEK, 2016 – 2,5 MSEK, 2017 – 2,5 MSEK)

Geographical focus Global

Stakeholders/beneficiaries the intervention directly targets ALNAP's members, which consists of donors, NGOs, Red Cross/Crescent, the UN, and independent academic organizations, who discusses and applies ALNAP's outputs to better reach their beneficiaries and contribute to overall effective humanitarian response.

Organisational set up ALNAP has 105 full and associate members, and over 14,000 subscriber members. ALNAP is serviced by a Secretariat of 11 staff-members, which coordinates the Network's activities, and is hosted by ODI in London. The strategic work of ALNAP is guided by a steering committee, which functions as a quasi-executive and key decisions-making body, mandated to act on behalf of all their members. It is composed of eight full member

representatives, plus the steering committee chair. The member representatives include donor, UN agency, NGO, the Red Cross/ Crescent movement, and academia and research institutes, which ensures that the steering committee maintains a balance of representation of different types of organisations, which make up the humanitarian sector and the ALNAP membership.

Organisation's website <https://www.alnap.org/>

Attach Organizational proposal for period to be covered by evaluation

Humanitarian Policy Group (HPG)

Objective of Sida funded programme: To inspire and inform effective and principled humanitarian action. HPG will: i) inform understanding and realization of the distinctive purposes, legal frameworks and principles of humanitarianism; ii) inform international debates regarding the organisation, financing and management of humanitarian action; and, iii) enhance the effectiveness of humanitarian action by identifying the strategies most likely to reduce the loss of life and suffering of humanitarian action.

Time period focus of evaluation 1st May 2015 – 31st March 2018

Budget: Total for evaluation period = 6 MSEK (2015 – 2 MSEK, 2016 – 2 MSEK, 2017 – 2 MSEK)

Geographical focus Global

Stakeholders/beneficiaries: The wider research community and policy-makers within humanitarian aid and assistance, their outputs being indirectly beneficial to the people affected by crisis through a more informed and effective humanitarian system.

Organizational set up: HPG's research programme is designed in consultation with their advisory group (which Sida is a member of), comprising senior representatives of humanitarian actors from around the world. HPG is a programme under ODI, and is governed by their rules and regulations.

Organisation's website <https://www.odi.org/our-work/programmes/humanitarian-policy-group>

Attach Organizational proposal for period to be covered by evaluation

IRIN

Objective of Sida funded programme: To highlight neglected crises, analyzing humanitarian action, and keep the assistance accountable and transparent. They aim to do this by: i) provide investigative analysis on the humanitarian aid industry; ii) use innovative platforms, formats and distribution channels; and iii) make increasingly complex crises more comprehensible to a wider audience.

Time period focus of evaluation 1st May 2015 – 31st March 2018

Budget: Total for evaluation period = 3 MSEK (2015 – 1 MSEK, 2016 – 1 MSEK, 2017 – 1 MSEK)

Geographical focus Global

Stakeholders/beneficiaries The wider humanitarian community, including policy-makers on a humanitarian and political level, which indirectly benefits the people affected by crises.

Organizational set up: IRIN is a legal independent entity, headquartered in Geneva, Switzerland, and their team and structure consist of a board of directors, supported by a high-level advisory group drawn from the humanitarian, peace-building, digital, philanthropic and media sectors. Their management team is responsible for the implementation of the work plan. IRIN was previously part of UNOCHA.

Organisation's website <http://www.irinnews.org/>

Attach Organizational proposal for period to be covered by evaluation

Development Initiative (DI)

Cooperation agreement with Sida/Implementing arrangements: Sida has been supporting DI since 2008. The agreement period relevant for the evaluation, is limited to earmarked support to the GHA report, see below.

Objective of Sida funded programme: The contribution which Sida has funded is a project support to of DI's 2016 and 2017 Global Humanitarian Assistance (GHA) reports, which is part of their larger GHA programme. The objective of the report is to provide an improved evidence-based within the field of humanitarian assistance and financing, leading to better informed decision-making and donor allocation of humanitarian funding.

Time period focus of evaluation: 1st January 2016-31st March 2018

Budget: Total for evaluation period = 2 MSEK (2015 – 1 MSEK, 2016 – 1 MSEK)

Geographical focus: Global

Stakeholders/beneficiaries: Humanitarian decision-, policymakers and operational actors, such as donors, multilateral agencies, the Red Cross/Red Crescent movement, NGOs, analytics, and media.

Organizational set up: Development Initiatives (DI) is an independent international development organisation working on the use of data to drive poverty eradication and sustainable development. DI's vision is a world without poverty that invests in human security and where everyone shares the benefits of opportunity and growth.

DI works to ensure that decisions about the allocation of finance and resources result in an end to poverty, increase the resilience of the world's most vulnerable people, and ensure no one is left behind. These decisions should be underpinned by good quality, transparent data and evidence on poverty and resources, and lead to increased accountability and sustainable long-term outcomes.

DI was established in 1993, and since then its partnerships across the world have enabled DI to expand from a small organisation based in Bristol, UK to a staff of over 70 people working in Kenya, Nepal, Uganda, the UK and the US.

The GHA report has been produced since 2000 with the aim of providing an objective, independent, and improved evidence-base of humanitarian crises financing.

Organisation website: <http://devinit.org/>

Attach Organizational proposal for period to be covered by evaluation:

ACAPS, Assessment Capacity Project

Cooperation agreement with Sida/Implementing arrangements: The ACAPS project is hosted under the Sida Agreement with NRC 2017-2019. Other donors include ECHO, DFID, Norwegian MFA, SDC, Centres for Disease Control (CDC), Global Affairs Canada.

Objective of Sida funded programme: ACAPS' overall objective is to mobilise effective humanitarian action through a better understanding of crises, which is created through researching and analysing global crisis data. ACAPS' priority is to inform strategic, operational and policy humanitarian decision-makers through: 1) being the leading provider of high-quality independent needs analysis; 2) making evidence a more significant part of decision-making; 3) strengthening the assessment ecosystem, and; 4) continuing to learn and evolve through research and development.

Time period focus of evaluation: 2014-2016 (previous agreement period)

Budget: Total for evaluation period = 16 MSEK (2014 – 6 MSEK, 2015 – 5 MSEK, 2016 – 5 MSEK)

Geographical focus: Global

Stakeholders/beneficiaries: ACAPS targets humanitarian actors and decision-makers. Indirectly however, they target all those affected in a crisis as they aim to improve humanitarian decision-making. They also collaborate with over 40 humanitarian organisations and stakeholders.

Organizational set up: ACAPS is a consortium between Save the Children and Norwegian Refugee Council (NRC), with its headquarters in Geneva. It currently employs 28 people (2 in Oslo and 4 in the field), with an additional 50 rosters hosted by NRC.

Organisation website: <http://www.acaps.org>

Attach Organizational proposal for period to be covered by evaluation:

ATHA, Advanced Training Program on Humanitarian Action

Cooperation agreement with Sida/Implementing arrangements: Sida has funded ATHA since 2006, and currently holds a cooperation agreement with them for 2018-2019. Sida is the only donor.

Objective of Sida funded programme: ATHA's mission is to foster innovative approaches to addressing current challenges and dilemmas of humanitarian assistance and protection, by capturing methods and insights of practitioners through informal, professional exchange.

ATHA provides accessible and responsive research, policy tools, and capacity development for practitioners to engage on key challenges in their work and to strengthen humanitarian operations and the protection of civilians. To this end, ATHA develops online and in-person opportunities for professional engagement in order to: 1) support and enhance legal, policy and operational debate within and across agencies; 2) equip professionals with tools and methods to address evolving dilemmas and challenges in humanitarian protection; and 3) foster dynamic and innovative space for practitioner exchange.

Time period focus of evaluation: 1 Jan 2016 - 31 Jan 2018 (previous agreement period)

Budget: Total for evaluation period = 16 MSEK (2016 – 8 MSEK, 2017 – 8 MSEK)

Geographical focus: Global

Stakeholders/beneficiaries: ATHA has a wide global network of humanitarian practitioners. The target audience includes mid- to senior-level humanitarian practitioners, as well as development, negotiation, and mediation professionals engaged in humanitarian settings, local and international human rights agencies, private sector actors, and military personnel, in addition to think tanks, academic institutions, and professionals in the donor community. In this sense, the programme indirectly targets people affected by humanitarian crises, as it aims to boost the know-how of operational humanitarian actors.

Organizational set up: ATHA is a research programme within the Harvard Humanitarian Initiative (HHI), at Harvard University. The team currently consists of 8 people.

Organisation website: <http://atha.se>

Attach Organizational proposal for period to be covered by evaluation:

Annex 2 – Data Collection Instruments

Guide for discussions with partner organisations

Main aim is to:

- 1) Test theory of change from document review and gather additional information on theory of change (especially assumptions, risks and influencing factors)
 - a) Discuss to what extent the assumptions made in the theory of change are reasonable. Use theory of change developed by team on basis of info in logframes, applications, programme plans etc.
- 2) Collect information in order to
 - a) Assess the extent to which planned activities and outputs are implemented
 - b) Assess to what extent assumptions made in the theory of change (i.e. links between activities-outputs-outcomes-impact) were correct
 - c) Identify influencing factors that have affected the results (outcome/impact)
- 3) Re-assess the theory of change based on discussions and interviews
 - a) Were activities and outputs implemented as planned?
 - b) Were assumptions correct?
 - c) What other key influencing factors were identified and how important are they?
 - d) Based on the above: Is it likely that the programme/activities/outputs have contributed to the intended outcomes/impact?

Interview guide, humanitarian sector and operational actors

The aim of the interviews is to collect evidence to assess relevance and impact. The selected approach of the evaluation – contribution analysis – aims to assess relevance and impact by identifying and testing the theory of change. In this evaluation, we have one theory of change for Sida, and one each for the six partners. In order to be able to make a joint analysis, we have developed interview guides that have “generic” questions and focus areas for discussion. Please note that interview guides are not intended to be used as survey formats to be followed strictly, but as a guide for the interviewer. Not all questions are relevant for all interviewees.

FOR Evaluation area	Interview guide, to be adapted not to be used as survey format
Background info	1. Name 2. Sex 3. Approx. age 4. Position 5. Organisation 6. Explain a bit about your professional background and work.
Impact - Assumption: Partners' outputs are known by actors in the humanitarian system	7. Have you heard of all or some of the six (They may have heard about main publications even if they do not know the partner – e.g. DI's GHA report)? Y/N a. If so, which ones (elaborate)? 8. Which of them are of most use to you in your work, by order of priority? (elaborate)
Impact - Assumption: Partners' outputs are used by actors in the humanitarian system	9. How often do you use their products? (Specify which are used how often). 10. If you do not use them at all, why is this? (elaborate) 11. Name publications and research areas (from the six) that, in your opinion, have been most relevant to a. Your work b. The humanitarian system as a whole c. Humanitarian operations at field level 12. Can you name publications and research areas (from the 6) that you have found to be less relevant? 13. Have there been any new methods or innovations the 6 have written about that you have appreciated? Y/N. a. If so, what? (elaborate) b. Any that you found less useful? 14. Can you give examples of when new methods or innovations have been used in...? a. Your organisation b. The humanitarian system as a whole c. Humanitarian operations at field level 15. Have you learned any lessons from any of the products of the 6? Y/N a. If so, what? (elaborate) 16. Can you give examples of when lessons learned have been used in...? a. Your organisation b. The humanitarian system as a whole c. Humanitarian operations at field level 17. Which – if any - of the six do you consult when you want to know more about a certain thematic area or question? (elaborate)
Impact - Assumption: Using Partners' outputs result in intended outcomes	18. If you or your organisation have used the any of the 6 partners' products (research, methods and tools or lessons learned etc.), can you give examples of how this has contributed to (elaborate) a. Making field level operations use resources in a better way b. Making field level operations reach intended results c. Making field level operations reach more people d. Increased accountability of field level operations e. Improved targeting of support/activities to most needy areas/people f. Comments: Other observations.
Impact - Assumption: Intended outcomes contribute to Sida's Strategic Areas	19. Can you give examples of when the 6 partners' products (research, data, methods and tools or lessons learned etc.) have made a difference to...? (Elaborate) a. The humanitarian system as a whole b. Humanitarian operations at field level c. Target beneficiaries
Relevance (for who)	20. Who do you think are the main users of the 6 partners' products? (Which partners for which users?) (e.g. Donors, Academia/Researchers, INGOs/NGOs, Local implementing organisations NGOs/CBOs, Senior management, monitoring and evaluation staff, HQ-level Programme staff, Field-level Programme staff)
Relevance (for what)	21. What do you consider the 6 partners' products are being used for (elaborate) (examples given)

Relevance (partners' work shaped by input from actors)	22.	Have you ever given feedback to any of the 6?
	a.	If so, to which of the 6 and on what topics, please give some examples (elaborate)
	b.	Has such feedback or advice been used/taken into consideration?
Relevance (partners' work shaped by input from the field)	23.	Have you seen evidence that the 6 are using questions/ feedback from the field in their work (in research, methods development etc.)? Y/N
	a.	If so, please give some examples (elaborate)
	b.	Do any of these feedback messages come from beneficiaries? Y/N
	24.	Do you think the 6 should write more about feedback given by beneficiaries? Y/N
	a.	If so, on what topics? (elaborate)
	b.	Is any of the work you do a result of products you have found from any of the 6 that reflect beneficiary needs and priorities? Y/N
	c.	If so, what in particular? (elaborate)
Relevance (partners' work adapted to need for their products)	25.	Do you think there is overlap in the 6 products? Is overlap OK?
	26.	Does your organisation produce research papers, data, methods, tools, lessons learned etc. that are similar to those produced by any of the 6? Y/N /Don't know
	a.	Are these papers influenced by any of the products of the 6? Y/N
	b.	If so, what topics mainly? (elaborate)
	c.	Do you believe that any of the 6 use your products to research further? Y/N
	d.	If so, can you give some examples (elaborate)
	27.	In your opinion, how do specialty platforms such as CaLP, outcome harvesting etc. compare with products of the 6? (elaborate)
	a.	In your opinion, are these platforms complementary to or competitive with the products of the 6? (elaborate)
	b.	Which ones do you find most useful? (elaborate)
	28.	In your opinion, who influences whom and how might this contribute to improved outcomes? (elaborate)
	29.	Is there any other question we should be asking you? (elaborate)
Additional		

Annex 3 - Documentation

Sida

Allocation map 2017

Evaluation of Sida's humanitarian assistance

Final revised CSO Guidelines

Metodstöd matris per strategi mål 20171206

Översikt metodstöd 2018 20171114

Protokoll metodmöte 14 nov 2017

Riktlinjer för strategier inom svenskt utvecklingssamarbete och humanitärt bistånd
bilaga till regeringsbeslut

Sidas Humanitarian Allocation - Map 2018

Strategi för kapacitetsutveckling, partnerskap och metoder som stöder Agenda 2030
för hållbar utveckling

Strategy for Sweden's humanitarian aid provided through the Swedish International
Development Cooperation Agency Sida 20172020

ACAPS

ACAPS Beredning 2014, 2014-2016

ACAPS Beslut om insats för NRC 2014-2017

ACAPS Beslut om insats, Tillägg till avtal med NRC 2014-2017

ACAPS (NRC) Annual Sida Final Reports 2014, 2015, 2016

ACAPS (NRC) Programme Application 2014, 2015, 2016

ACAPS Annual Report 2014

ACAPS Progress Report Apr - Sep 2015, Jan – Mar 2015

ACAPS Quarterly Report Q2 2014

ACAPS 2015 Sida HUM Application

2016 Acaps Sida Proposal

2017 Consolidated Sida Application

NRC Initial Submission to Sida for 2018

2017 Annex to the NRC Annual Report

2017 Sida Financial Statement

Budget Revision request ACAPS 2015, 2016

Theory of change 2013

ACAPS STATS COMMUNICATIONS 2014-2016

ACAPS Personas

From where people read our reports, ppt

20180917 Users' feedback

2. HAP video_Final

3. How people use ACAPS

6B. ACAPS timeline poster_2018_final

DFID 2018. Project Completion Review – post April 2018: Scientific and technical support for developing global humanitarian risk and early warning analytical products – INFORM (Index for Risk Management) and ACAPS GEO 2.0 (Assessment Capacities Project Global Emergency Overview)

ALNAP

ALNAP Funding Application 2015-2018
 ALNAP Funding Application 2015-2018 Annex 1 – CVs
 ALNAP Funding Application 2015-2018 Annex 2 - ODI Annual Accounts 2013-14
 ALNAP Funding Application 2015-2018 Annex 3 - ODI Ethics in Research and Policy Engagement
 ALNAP Request for funding 2016-2017
 ALNAP Annual Report 2014-2015, 2016-2017
 ALNAP Work Plan 2015-2016, 2016-2017, 2017-2018
 ALNAP Work Plan and Budget 2016-2017, 2017-2018
 ALNAP HPG and IRIN Audited Accounts and management letters 2017 – 2018
 ALNAP HPG and IRIN Narrative Report 2017 – 2018
 Mitchell, J, 2016. ALNAP Mid-term strategy review, presentation to the Steering Committee
 ODI Signed Accounts 2015 – 2016, 2016-2017
 ALNAP Governance Management and Membership
 ALNAP Strategy 2013 – 2018
 ALNAP, 2018, Sida evaluation - impact examples – Change
 ALNAP, 2018, Sida evaluation - impact examples - urban, leadership, coordination, Lessons, HELP
 ALNAP, 2018, UNHCR use of ALNAP evidence_Evaluation of the SLP L1 (2011-2017)

ATHA

ATHA Beredning av insats 2016-2017
 ATHA Sida decision to support 2016-2017
 ATHA Overview of Activities Jan 2016 - Jul 2017
 ATHA Annual Report 01-01-17 - 31-01-18
 ATHA Annual Report 010116 - 311216
 ATHA Annual Report 010117 - 310118 - Final
 ATHA Annual Summary Jan 2015 - Dec 2016
 ATHA Budget 2016-2017
 ATHA Proposal Jan 2016 - Dec 2017
 ATHA Citations January 1, 2016 – January 31, 2018
 ATHA One Pager- Frontline Humanitarian Negotiation
 ATHA One Pager- Gender and Humanitarian Response
 ATHA One Pager- International Humanitarian Law
 ATHA One Pager- Migration and Displacement
 ATHA One Pager- Protection of Humanitarian Action

DI

Grant Agreement between Sida and Global Humanitarian Assistance program (GHA)
 Grant Agreement between Sida and GHA: Annex 1, Global Humanitarian Assistance
 Report 2016 proposal to SIDA final
 Beredning och Beslut om insats, DI Global Humanitarian Assistance 2016
 Beslut om avtalsändring, Development Initiatives Poverty Research Limited (DI)
 DI Signed amendment of agreement, extension for 2017 with new support- cost
 extension
 DI Global Humanitarian Assistance 2016 proposal to SIDA final
 DI Proposal Global Humanitarian Assistance (GHA) inquiry of cost extension 2017
 DI Annual donor report - September 2015 - August 2016, Global Humanitarian
 Assistance
 DI GHA Annual donor report - September 2015 - August 2016 - Finance report Final
 DI GHA narrative report - 2016-2017
 Sweden - DI - GHA financial report - 2016-2017_FINAL
 DI Changing humanitarian financing, Proposal to SIDA 2018–2020
 DI Theory of change outline: Changing Humanitarian Financing 2018–2020
 DI, 2016. Global Humanitarian Assistance Report 2016
 DI, 2017. Global Humanitarian Assistance Report 2017
 Willitts-King, B, 2015. Independent Evaluation of Global Humanitarian Assistance
 (GHA) Programme
 DI, 2015. Management response plan: Independent evaluation of the Global
 Humanitarian Assistance (GHA) programme (Phase II).

HPG

HPG proposal for Sida 2015-2018
 HPG proposal for Sida 2015-2018 HPG Annex 1 - HPG Research CVs
 HPG proposal for Sida 2015-2018 HPG Annex 2 - ODI audited accounts 2013-2014
 HPG proposal for Sida 2015-2018 HPG Annex 3 - ODI Ethics in Research and Policy
 Engagement
 HPG proposal for Sida 2015-2018 HPG Annex 4 – Budget
 HPG proposal for SIDA 2015-2018 - Additional requirements HPG ALNAP IRIN
 HPG Integrated Programme Proposal 2015-2017, April 2017-March 2019
 HPG Annual Report 2014-2015, 2015-2016, 2016-2017, 2017-2018
 HPG Brochure 2017-2019
 HPG Constructive deconstruction, Draft 16.10.17

IRIN

IRIN Proposal for SIDA 2016-2018
 IRIN Proposal for SIDA 2016-2018 Annex 1- IRIN Staff
 IRIN Proposal for SIDA 2016-2018 Annex 2- IRIN Association Board Members
 IRIN Proposal for SIDA 2016-2018 Annex 3- IRIN Advisory Group
 IRIN Proposal for SIDA 2016-2018 Annex 4 – IRIN Budget 2016-2017
 IRIN Proposal for SIDA 2016-2018 Annex 4- Results-based framework

IRIN Proposal for SIDA 2016-2018 Annex 5-ODI Audited Accounts 2014-15
 IRIN Proposal for SIDA 2016-2018 Annex 6- ODI Ethics Policy
 IRIN Proposal for SIDA 2016-2018 Annex 7- IRIN Budget and income projections
 IRIN Proposal for SIDA 2018-2028
 IRIN Proposal for SIDA 2018-2028: 2018 BUDGET
 IRIN Proposal for SIDA 2018-2028: 2018 Work Plan_Final
 IRIN Proposal for SIDA 2018-2028: Added value of an increased SIDA contribution to IRIN News
 IRIN Report to SIDA 2015-2016, 2016-2017
 IRIN Annual Report 2015
 IRIN Annual Report 2016
 IRIN, SIDA End of Contract Financial Report
 IRIN, End of contract financial expenditure budget (period not stated)
 IRIN Final financial report to Sida 2016-2017
 IRIN Audit report for 2016
 IRIN Mission and theory of change with impact
 IRIN Feedback from IRIN freelancers
 IRIN Some of our best impact over the past year (August 2017 – July 2018)
 IRIN Main outputs resulting from SIDA's support of IRIN (2015-2017)
 IRIN Reach and Impact updated September 2018
 IRIN The IRIN Playbook (no date)
 IRIN, 2018. Help make coverage of crises better, IRIN News Survey. Summary data and Initial Survey highlights
 IRIN, 2018. Current audience overview
 IRIN, Website, social & production stats (2015-2018)
 Martin Scott, M, K Wright and M Bunce, 2016. Making the humanitarian news: A content analysis of the output of Integrated Regional Information Network (IRIN), from 1st November 2014 to 30th November 2015.
 Martin Scott, M, K Wright and M Bunce, 2015. What is humanitarian news? A case study of IRIN and Reuters coverage of the April 2015 Nepal Earthquake.
 Firetail, 2014. IRIN Feasibility Study DRAFT FINAL Report 24th January, 2014. Commissioned by OCHA on behalf of IRIN.
 Laseur, 2015. IRIN's way forward: Evaluation of business plan.Owl, 2012. Evaluation of the Integrated Regional Information Networks (IRIN). Commissioned by OCHA.

ODI

Beslut om beredning, Overseas Development Institute (ODI) 2015-2017
 Grant Agreement with the Overseas Development Institute for Support to ALNAP, HPG and IRIN 2015-2018
 Beredning av insats ODI, 2015-2017
 Beslut om insats Overseas Development Institute 2015-2017
 Beslut om avtalsändring, Overseas Development Institute 2015-2017
 1st Amendment to the Agreement on Overseas Development Institute 2015 – 2017
 Andra avtalsändringen mellan Sida och ODI
 ALNAP HPG and IRIN Narrative Report 2017 - 2018

ALNAP HPG and IRIN Audited Accounts and management letters 2017 - 2018
 ODI Sales Signed Accounts 2015-16
 ODI Signed Accounts 2015-16
 SIDA End of Contract Financial Report
 End of contract financial expenditure budget
 ODI SIDA report 2016-2017 - final
 ODI Signed Accounts 2016-17
 ODI Five-year strategy Harnessing the power of evidence and ideas, no date.

Other Documents, Published Papers

Aly, H, 2016. Media perspectives: A means to an end? Creating a market for humanitarian news from Africa, in: Bunce, M, S Franks and C Paterson (eds), 2016. Africa's Media Image in the 21st Century: From the "Heart of Darkness" to "Africa Rising".

Knox Clarke, P. 2017. Transforming change, How change really happens and what we can do about it. ALNAP Study. London: ALNAP/ODI.

Devex, Emerging Donors Report 2.0

Bennett, 2018. Constructive deconstruction: imagining alternative humanitarian action; HPG

Baker, J 2014. Humanitarian capacity-building and collaboration: lessons from the Emergency Capacity Building Project. Humanitarian Policy Group, Network Paper Number 78

Development Initiatives, 2016. Global Humanitarian Assistance Report 2016

Development Initiatives, 2017. Global Humanitarian Assistance Report 2017

Grace, R, no date, Humanitarian Negotiation: Key Challenges and Lessons Learned in an Emerging Field. ATHA White Paper Series.

Grace, R and S Wilkinson, 2016. Preliminary Report on the Role of Laws and Norms in Humanitarian Negotiations. Advanced Training Program on Humanitarian Action Harvard Humanitarian Initiative Harvard T. H. Chan School of Public Health.

Obrecht, A and A T Warner, 2016. More than just luck: Innovation in humanitarian action. HIF/ ALNAP Study. London: ALNAP/ODI.

Ramalingam, B, E Mendizabal and E Schenkenberg van Mierop, 2008. Strengthening humanitarian networks: Applying the network functions approach, ODI Background Note.

Scott, M, 2018. Attitudes towards media coverage of humanitarian issues within the aid sector, University of East Anglia.

Annex 4 – List of Interviewees

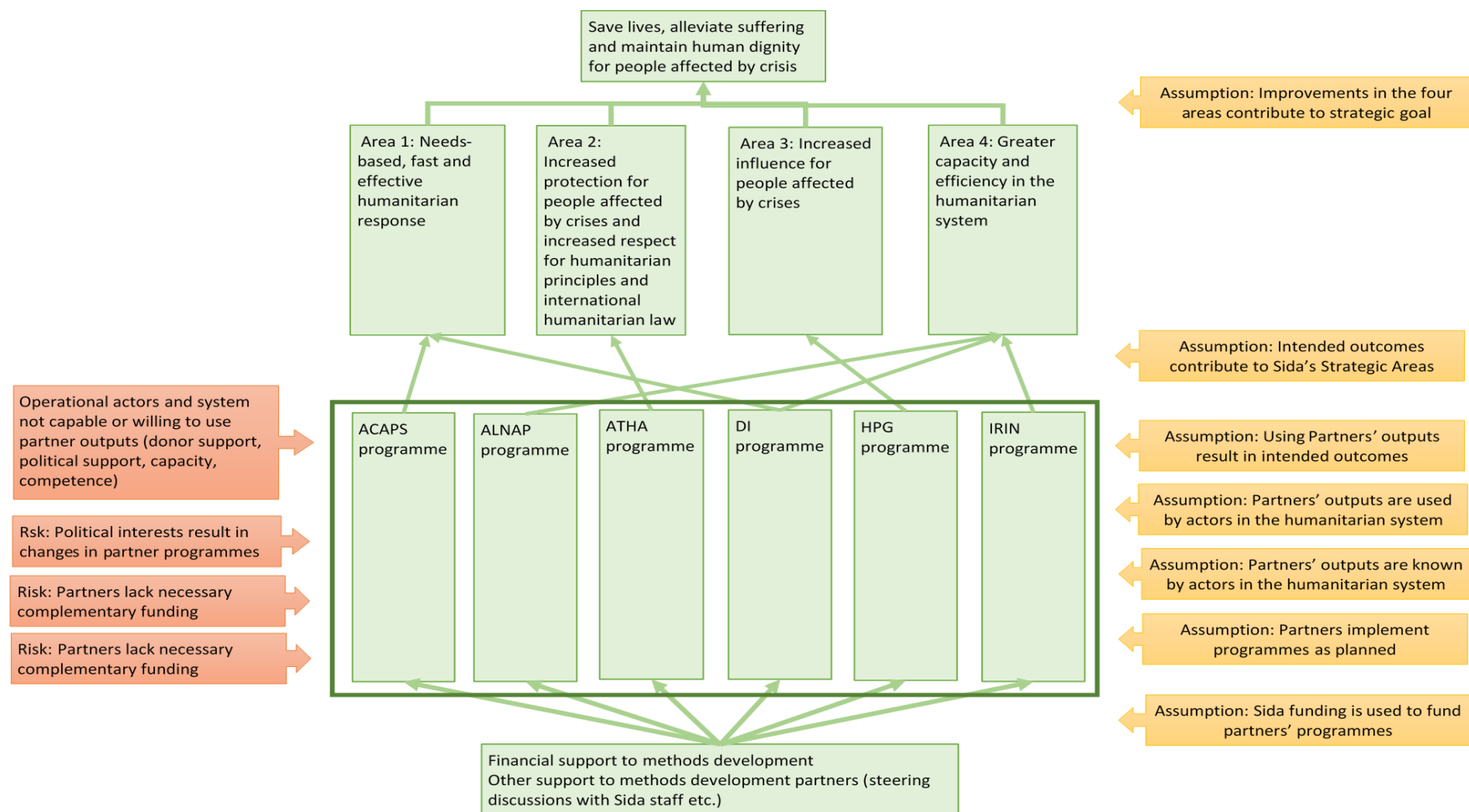
The table below lists the organisations that participated in the research and the total number of interviewees per organisation*.

Organisation	Number of Participants*
ACAPS	5
ACF	1
ACT Alliance	2
ALNAP	11
ATHA	5
Core Humanitarian Standards (CHS) Alliance	1
DI	2
DFID	4
ECHO	1
Emergency Appeals Alliance	1
Federal Government of Germany	1
HERE (Humanitarian Exchange and Research Centre)	2
HPG	8
IASC Secretariat	2
ICRC	2
ICVA	1
IFRC	4
INCITARE	1
Inter-Action	2
Independent	2
IRC	2
IRIN	3
Islamic Relief	1
MSF	1
NRC	1
OFDA	1
USAID	1
OXFAM	2
SCHR	1
SCI	3
Sida	3
Sida (Ex)	1
UN Global CCCM cluster	2
UN Global WASH cluster	1
UN Global Child Protection Cluster/ UNICEF	1
UNHCR	4
UN OCHA	1
UN OCHA Cameroon	1
United Against Humanity	1
URD	2
WFP	1
WVI	1

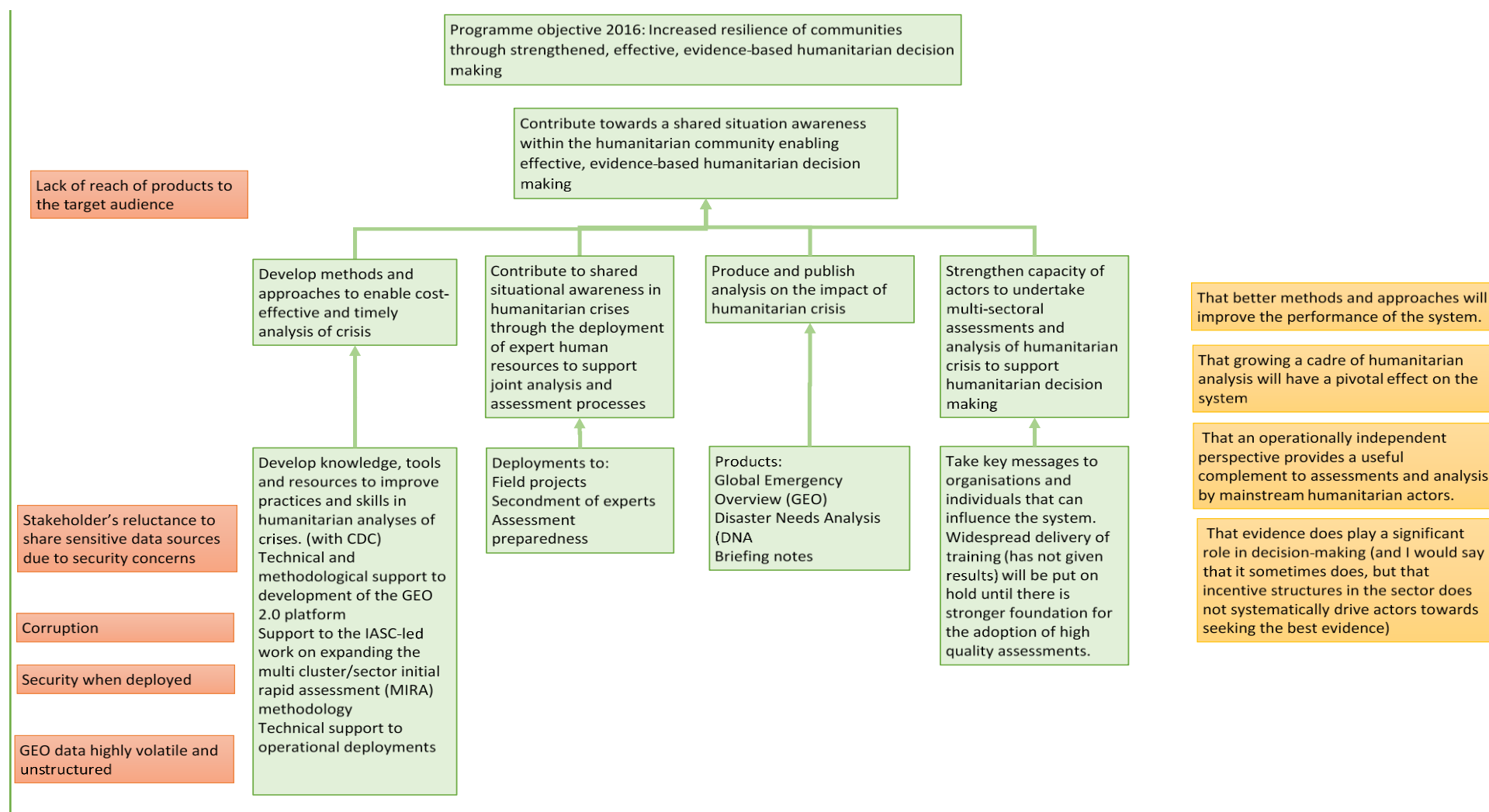
*Names of the interviewees has been withheld. Please contact Sida if you request further details.

Annex 5 – Revised Theories of Change

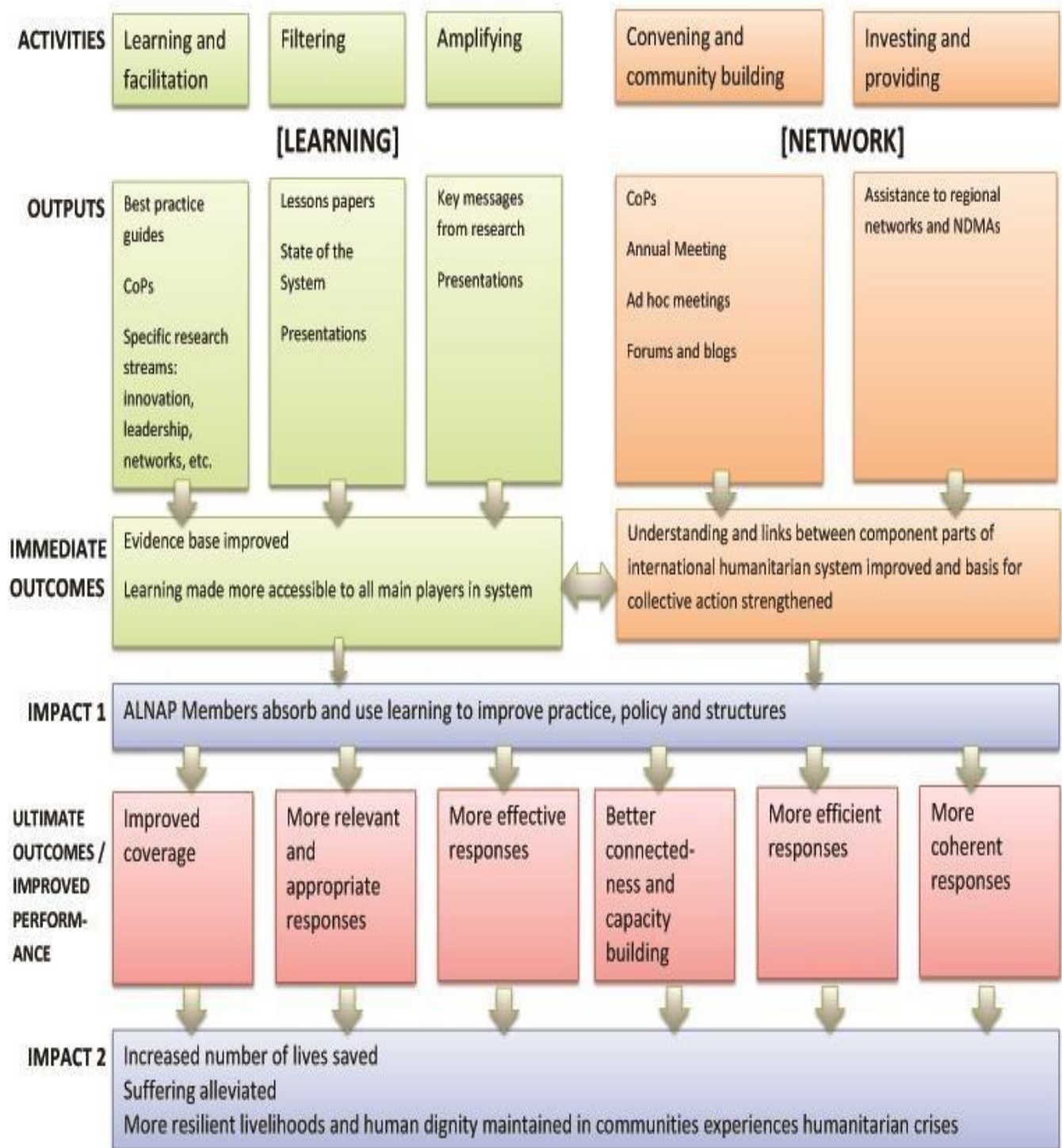
Sida's revised theory of change Source: Strategies, Sida internal documentation, discussion with Sida staff.



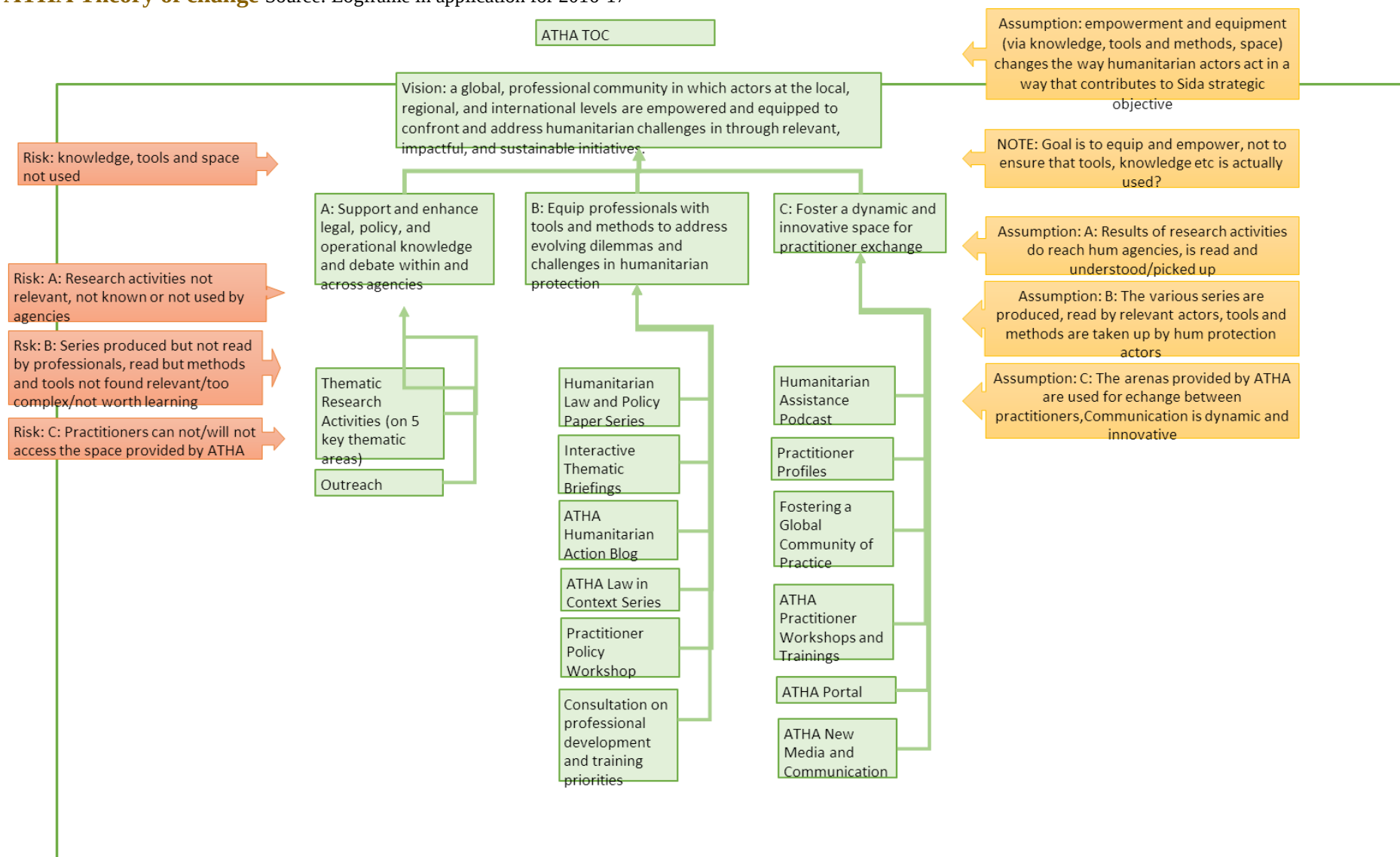
ACAPS revised theory of change Source: 2016 ACAPS Sida proposal

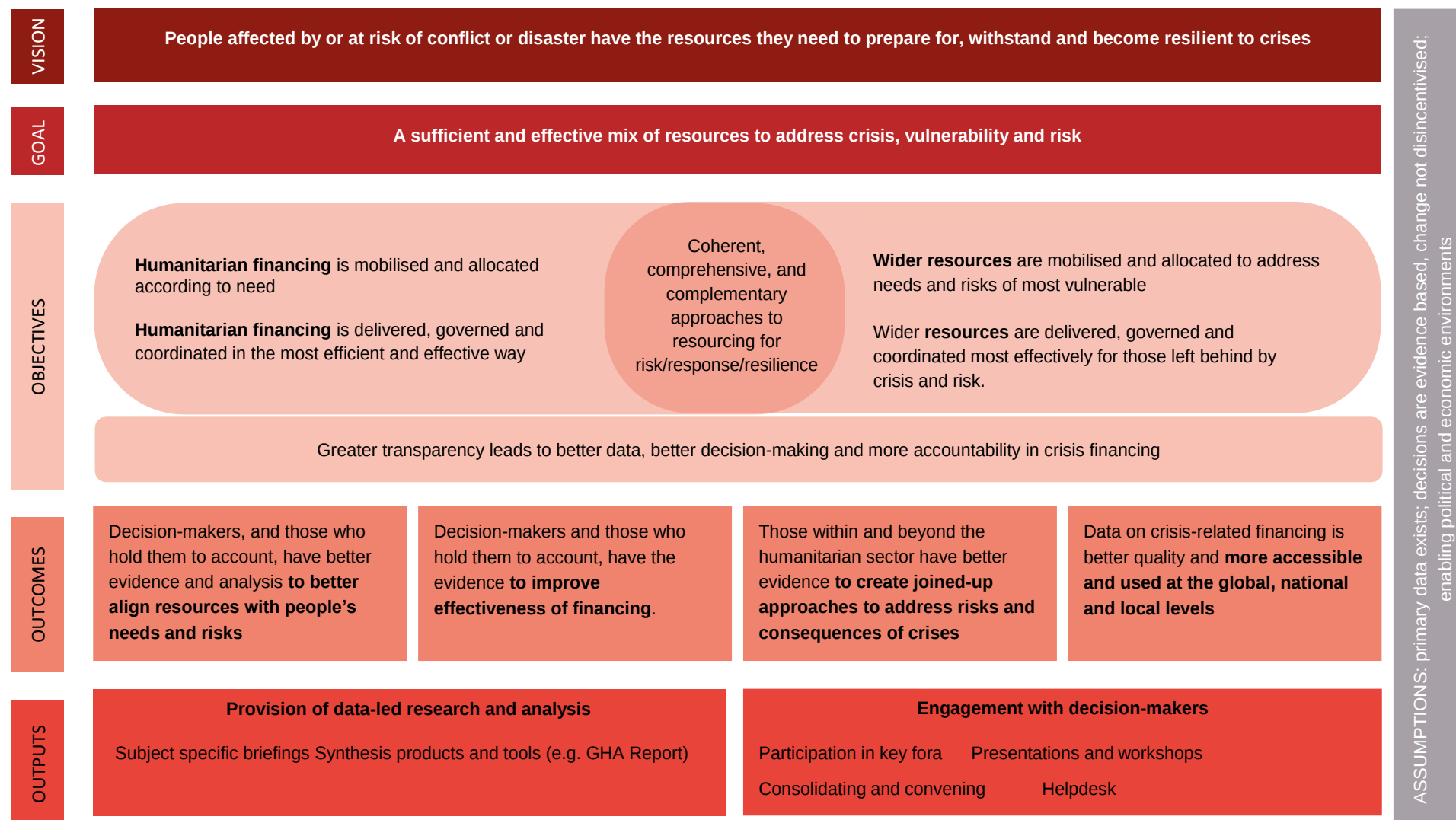


ALNAP Theory of change Source: ALNAP funding application to Sida, 12/12/2014, p.17



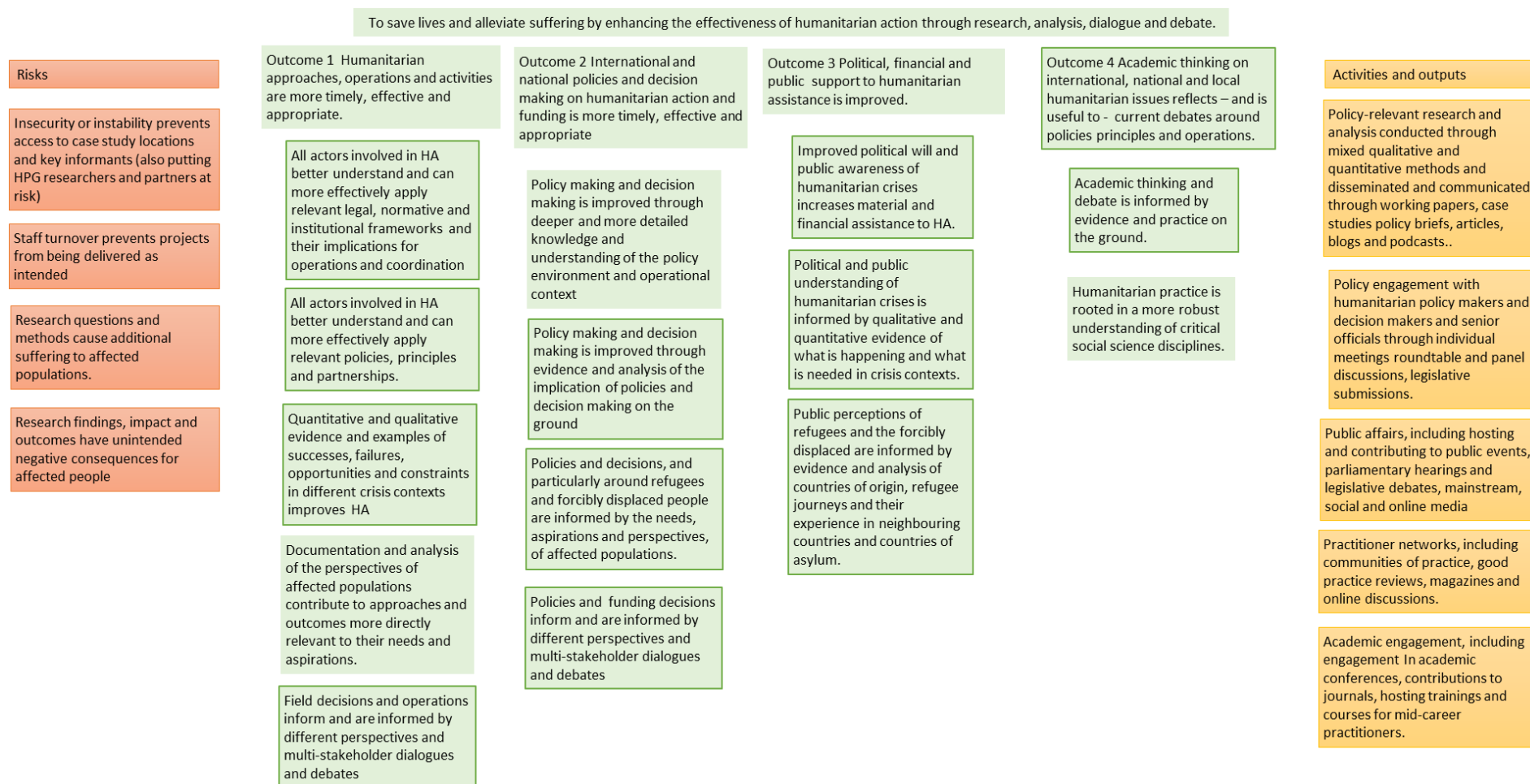
ATHA Theory of change Source: Logframe in application for 2016-17



DI Theory of change Source: Proposal to SIDA 2018–2020 October 2017**Figure 2: Theory of change outline: Changing Humanitarian Financing 2018–2020**

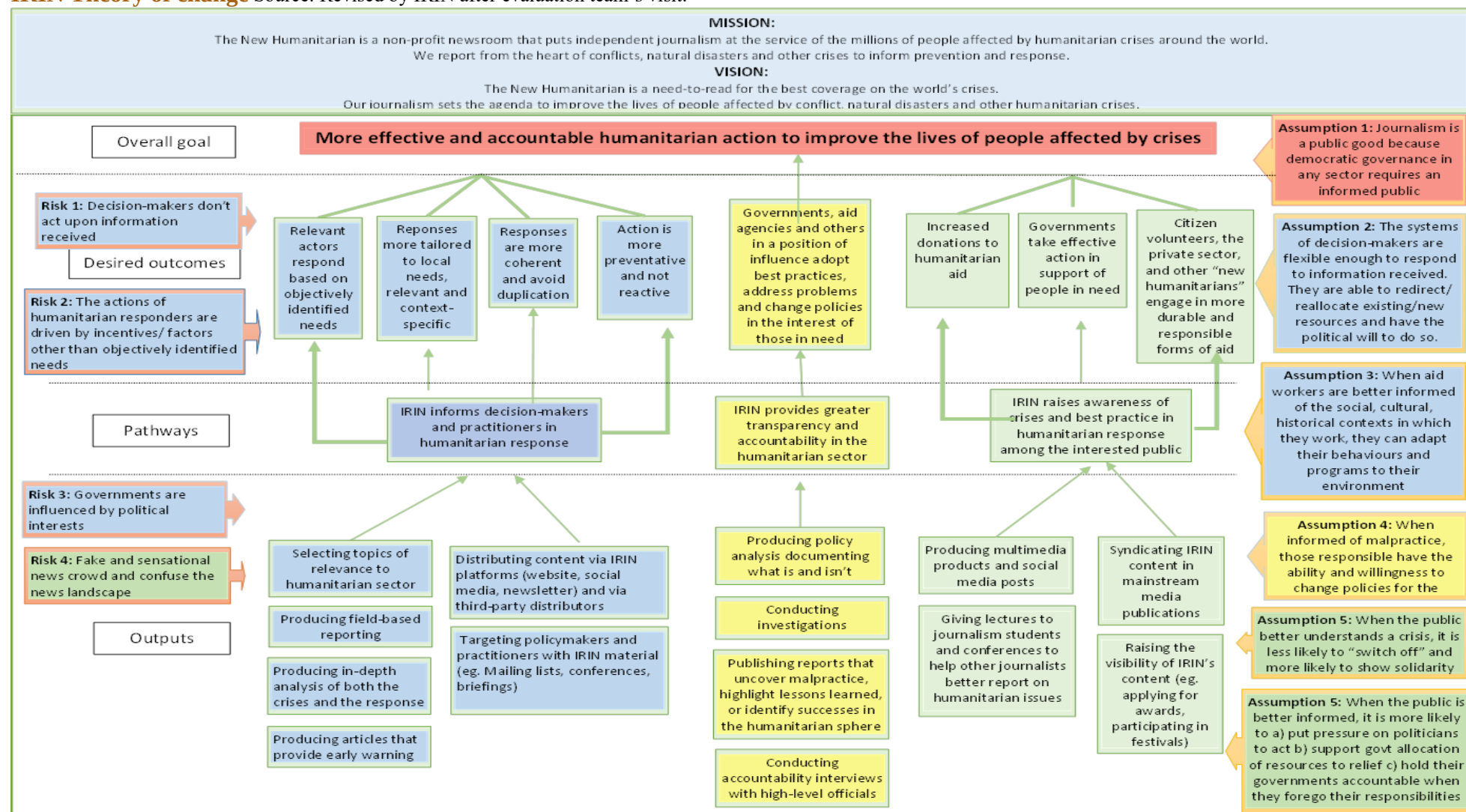
ANNEX 5 – REVISED THEORIES OF CHANGE

HPG Theory of change Source: Revised by HPG after evaluation team's visit.



ANNEX 5 – REVISED THEORIES OF CHANGE

IRIN Theory of change Source: Revised by IRIN after evaluation team's visit.





Evaluation of Sida Humanitarian Method Partners

This evaluation used a Contribution Analysis approach to contribute towards Sida's understanding of the extent to which, and in what way the outcomes of its six Humanitarian Method Partners' work have influenced the efficiency and effectiveness of the humanitarian system. The organisations that received Sida's methods support were ACAPS, ALNAP, ATHA, DI-GHA, HPG and IRIN.

The partner organisation's theories of change were identified and revised and assumptions identified and tested against evidence collected in interviews and documents. All six partners were evidently achieving the expected outputs, with some variations in the use of outputs. An important conclusion to note is that all outputs are relevant to both the humanitarian system and to operational actors at the field level.

The evaluation offers recommendations to both Sida and the specific partner organisations and how they could be addressed.

SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

Address: SE-105 25 Stockholm, Sweden. Office: Valhallavägen 199, Stockholm

Telephone: +46 (0)8-698 50 00. Telefax: +46 (0)8-20 88 64

E-mail: info@sida.se. Homepage: <http://www.sida.se>

